

# RESEARCH AUTHORSHIP AND ATTRIBUTION PROCEDURE

## SCOPE

This procedure applies to:

- all Monash University staff, affiliates, visiting academics and students;
- all research outputs, including journal articles, books and book chapters, conference abstracts, creative works, performances and other scholarly works; and
- all web-based publications, professional blogs and the making of any form of research output available over the Internet.

## PROCEDURE STATEMENT

This procedure outlines the processes involved in determining authorship and attribution and resolving authorship disputes at Monash University (the University).

### 1. Authorship

- 1.1 To formalise authorship arrangements between multiple authors, a written “authorship declaration/agreement” must be completed by the Executive Author of a research output and agreed to by all co-authors. This agreement can be formal (for example, using an authorship agreement) or informal (for example, via email or otherwise in writing) and must include:
  - the name and contact details of each author, and where there is more than one author, the name and details of the Executive Author;
  - evidence of permission to be included as authors; and,
  - a description of each author’s contribution.
- 1.2 If an author is deceased or cannot be contacted, the head of department or unit may give approval on their behalf, noting the reason for their unavailability and that the publication can proceed provided that there are no reasonable grounds for believing that this person would have objected to being included as an author.

### 2. Recordkeeping

- 2.1 All written or electronic communications in relation to authorship must be held by authors and Executive Authors for a minimum of five years from publication for all research outputs.
- 2.2 Where an Executive Author is appointed, agreement from all co-authors should be recorded.
- 2.3 Executive Authors must keep written records (e.g. authorship agreement or email correspondence) that confirm that approval has been obtained from all authors for publishing the research output with the publisher.
- 2.4 Records of authorship must include all communication with authors and publishers/venues/facilitators in relation to the publication of the output, including any relevant conflict of interest declarations made to the publisher.
- 2.5 Acceptance or granting of permission to be included as an author must be in writing or retrievable electronic communication and include a brief description of their contribution to the work.
- 2.6 Any communication indicating that an author has declined to be included as a co-author must also be retained as a record.
- 2.7 Records should be kept in accordance with the University’s [Record Keeping Policy](#) and [Retention and Disposal of University Records Procedures](#).

### 3. Authorship training

- 3.1 Authors should check [mydevelopment](#) for details of all available professional development programs to maintain their knowledge of authorship requirements under the [Australian Code for the Responsible Conduct of Research, and any other in-country equivalents](#).

### 4. Authorship Disputes

- 4.1 Authorship disputes should be addressed as follows:
- 4.1.1 Authors involved in the dispute should first seek to resolve the dispute through discussion with the people involved. Advice may be sought from the head of department or their direct supervisor.
  - 4.1.2 Disputes between authors that cannot be resolved by the people concerned will be referred to the head of department or direct supervisor of the executive author, who will attempt resolution through mediation.
  - 4.1.3 Disputes between authors that cannot be resolved by the head of department or direct supervisor will be referred to the relevant Faculty Associate Dean (Research)/head of organisational unit, who will undertake an assessment and provide a recommendation.
  - 4.1.4 If there is a concern about the process undertaken in step 4.1.3 or the matter cannot be resolved, it will be referred to the Senior Vice-Provost (Research), or nominee.
- 4.2 If an agreement on the inclusion and order of authors cannot be reached, the research output cannot be published.

#### Misconduct

- 4.3 If it is established that research misconduct has occurred, the matter must be dealt with under the [Responsible Conduct Of Research: Procedure For Investigating Code Breaches](#).
- 4.4 If it is established that general misconduct has occurred, the matter must be dealt with as follows:
- 4.4.1 for staff, in accordance with the [Resolution of Unacceptable Behaviour and Discrimination Procedure](#)
  - 4.4.2 for students, in accordance with the [Student General Misconduct Procedures](#).

### 5. Attribution of research output affiliation

- 5.1 When attributing the University as the affiliated institution for research outputs, staff must:
- 5.1.1 include the University's name (e.g. 'Monash University' or 'Monash University Malaysia') in full;
  - 5.1.2 list any other affiliations (for example, institute, centre, department or school) after the University's name, wherever possible.
  - 5.1.3 list the University's name first in a list of multiple affiliations wherever possible and appropriate; and,
  - 5.1.4 make reasonable efforts to ensure that the University is appropriately attributed where the Executive Author of research that the University has supported is based at another institution.

## DEFINITIONS

<b>Affiliates</b>	A person who holds an adjunct, emeritus or honorary appointment at the University.
<b>Author</b>	A person who has made a significant intellectual or scholarly contribution to research and its output and who has agreed to be listed as an author.
<b>Co-author</b>	A person who collaborates with one or more authors in the production of a research output.
<b>Executive Author</b>	The author who, as agreed by all co-authors, is responsible for communication between the publishers, the co-authors and maintaining records of the authorship agreement.
<b>Research</b>	The University applies the definition provided in the ARC Code for Responsible Conduct of Research: The creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.
<b>Researcher</b>	Person (or persons) who conducts, or assists with the conduct of, research.
<b>Research Output</b>	A research output communicates or makes available the findings of research that may be in hardcopy,

	electronic or other form. Examples of research outputs include traditional types such as journal articles, book chapters, books and conference papers, reports, datasets, patents and patent applications as well as non-traditional types such as creative works, performances, videos and exhibitions.
Scholarly contribution	<p>A scholarly contribution is made through at least one of the following:</p> <ul style="list-style-type: none"> <li>• conception and design of the research project;</li> <li>• acquisition, analysis or interpretation of research data, where the acquisition has required significant intellectual judgement, planning, design, or input;</li> <li>• contribution of knowledge, where justified, including Indigenous knowledge;</li> <li>• drafting significant parts of the research output or critically revising it so as to contribute to its interpretation.</li> </ul>
Visiting academic	A person from another institution, government or corporate entity invited to pursue research and scholarly activities, for a limited period, within the University. The person does not have a formal contract with the University, but does have access to University systems and resources.

## GOVERNANCE

Parent policy	<a href="#">Research Authorship &amp; Attribution Policy</a>
Supporting schedules	N/A
Associated procedures	<a href="#">Conflict of Interest Procedure</a> <a href="#">Research Outputs Data Collection Procedures</a> <a href="#">Resolution of Unacceptable Behaviour and Discrimination Procedure</a> <a href="#">Responsible Conduct of Research: Procedure for Investigating Code Breaches</a> <a href="#">Retention and Disposal of University Records Procedures</a>
Related legislation	<p>Monash University (Vice-Chancellor) Regulations Part 5.  Higher Education Standards Framework (Threshold Standards) 2021  Australian Code for the Responsible Conduct of Research 2018  <a href="#">Malaysian Code of Responsible Conduct in Research</a></p>
Category	Academic
Approval	<p>Monash Research Committee  23 April 2020  MEETING NUMBER 3, 2020 / AGENDA ITEM 8</p>
Endorsement	<p>Senior Vice-Provost and Vice-Provost (Research)  09 April 2020</p>
Procedure owner	Vice-Provost (Faculty & Graduate Affairs)
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Version	2.1 ( <i>Administrative amendments effective 24 July 2020</i> )
Content enquiries	<a href="mailto:adm-pubcoord@monash.edu">adm-pubcoord@monash.edu</a>