

Monash University Procedure

Procedure Title	Authorship Procedures
Parent Policy	Authorship Policy
Date Effective	05-June-2013
Review Date	05-June-2016
Procedure Owner	Provost and Senior Vice-President
Category	Academic Quality and Standards
Version Number	1.1
Content Enquiries	Education Policy Unit
Scope	<p>All research outputs, including traditional publications, such as journal articles, books, chapters and conference papers, and equivalent forms of research output.</p> <p>All staff, including academic, adjunct and professional staff, and students on all campuses.</p>
Purpose	<p>The purpose of this procedure is to:</p> <ul style="list-style-type: none"> • Clarify criteria for attribution of authorship of all research outputs contributed to by Monash University staff and students; • Ensure that appropriate steps to confirm authorship are taken prior to submission of research outputs for publication; and • Ensure that researchers appropriately attribute research outputs to 'Monash University'.
PROCEDURE STATEMENT	

1. Confirmation of authorship

- All research outputs to which Monash authors make a contribution, whether internal or external, sole authored or multi-authored, must have their authorship confirmed and recorded according to this policy and procedures;
- Faculties, heads of academic units and supervisors responsible for performance development must take all reasonable steps to ensure on a regular basis that all authors are aware in advance of their obligations under this policy and procedures;
- Individual authors are expected to be familiar with this and related research policies and procedures in order to fully understand their compliance obligations. Opportunities will be provided by the University for on-line and face-to-face training.

Responsibility

Individual authors
 Executive authors
 Faculties/Heads of Academic Units/Supervisors

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2. Attribution of research output affiliation

In order that Monash University achievements and investment in research receive appropriate acknowledgement and contribute to all relevant measures of performance, Monash University must be attributed for research outputs in the following cases:

- Where resources and/or facilities of Monash University have been used in the research leading to the output. This includes contribution to salary of researchers, other funding, resources, facilities, apparatus, human and administrative resources;
- Where funds for research have been directed through Monash University accounts.

These criteria may apply even where an author may subsequently have left Monash University, provided that one or more of the above conditions are met.

- In attributing Monash University as the institution of affiliation, 'Monash University' must be written out in full for authors on all Monash campuses apart from the South African campus (see next dot point).
- While the application for university status at Monash South Africa is still pending, authors should state 'Monash South Africa' as the institution of affiliation unless they have an adjunct appointment at an Australian campus, in which case they must use 'Monash University'.
- Where authors wish to list other affiliations (for example, institute, centre, department or school) these may also be listed but never in place of 'Monash University'. Where multiple affiliations are listed 'Monash University' must always be listed first wherever possible.
- Where an executive author is based at another institution, it is the responsibility of the Monash author(s) to use all reasonable efforts to ensure that Monash University is appropriately attributed as described above.
- A publication must also include information on all other sources of financial and in-kind support for the research. Authors must ensure that all funding sources of the research are acknowledged in the publication, including research grants and other forms of research funding. Authors should familiarise themselves with the requirements for acknowledgements of specific funding agencies.

3. Appointment and responsibilities of Monash executive authors

- Where a work has several authors, one must be appointed executive author. Collaborating authors must agree on authorship at an appropriate early stage of their involvement in the research project and review their decisions periodically as and when necessary.
- The responsibilities of the executive author include to:
 - consider and advise collaborating authors on who else might meet the authorship criteria;
 - record authorship in the order that applies according to the conventions of the specific discipline;
 - ensure that 'Monash University' is submitted to publication outlets/venues in full as the institution of affiliation or 'Monash South Africa' where appropriate;
 - manage communication about the work with the publisher/venue/facilitator;
 - consult with all other authors prior to submission and any subsequent revisions.

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- The executive author is responsible for complying with any Open Access requirements to lodge publications in the Monash University repository.

4. Inclusion/exclusion of authors

- Executive authors must offer authorship to all people, including research trainees and students, who meet the criteria for authorship (see Authorship Policy).
- A person who qualifies as an author must not be included or excluded as an author without their permission. This must be in writing or retrievable electronic communication and include a brief description of their contribution to the work.

5. Acknowledging other contributors

- All those who have otherwise contributed to the research, facilities or materials, such as research assistants, technical writers and students, but whose contribution does not meet the authorship criteria, have the right to be properly acknowledged in resulting outputs. Where individuals are to be named publicly, evidence of their consent must be obtained.

6. Recordkeeping

- All written or electronic communications in relation to authorship must be held by authors/executive authors for a minimum of five years from publication for all research outputs contributed to by Monash authors. This applies to all traditional publications and equivalent forms of research output.
- Records of authorship must include all communication with all authors and publishers/venues/facilitators in relation to the publication of the output, including any relevant conflict of interest declarations made to the publisher. These records must be able to be produced on request.
- Records may be in any form including copies of all relevant emails, or staff may use an [Authorship Statement](#) (for forms to be used in jointly authored works in theses please see Section 10 of these procedures).
- 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.
- Any staff or students leaving Monash University should submit to their department copies of authorship records for any research outputs published within five years prior to their departure from the University, in addition to keeping such records for their own information.

7. Promulgation, compliance and monitoring

- The University, through the Office of the Provost and Senior Vice-President, the Human Resources Division and through faculties and heads of academic units, will provide information and training in authorship and other research policies.
- Staff and students will be required to certify annually that they have undertaken appropriate training and have complied with these and other policies and procedures.
- Audits of compliance with research policies will be carried out from time to time.

8. Disputes about authorship

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- Authorship disputes between staff.
 - Where a dispute arises between authors the immediate supervisor(s) or head(s) of academic unit must first be consulted to attempt a local resolution. Where the head of academic unit is one of the authors or otherwise has any conflict of interest the dispute must be brought to the attention of the relevant Associate Dean (Research).
 - Where issues cannot be resolved either at academic unit or faculty level, or the head of academic unit (e.g. Dean) and the Associate Dean (Research) are in a supervisory relationship or otherwise have a conflict of interest concerning the publication, the Associate Dean (Research) must call on the services of an independent conciliator from a relevant discipline, either internal or external to the University.
- Allegations of misconduct in relation to authorship.
 - Where a staff member wishes to make an allegation of misconduct in relation to authorship the University's [policy and procedures in relation to research misconduct](#) apply.
- Disputes between students and staff.

Refer to the [Student Complaints and Grievances Policy](#) for authorship disputes involving HDR students

9. Authorship and the Annual Publication Collection

- Roles of submitting/executive authors for the Higher Education Research Data Collection are outlined in [annually updated guidelines](#).

10. Inclusion of conjointly authored works in theses

- The [guidelines](#) developed by the Graduate Research Committee (formerly Research Graduate School Committee) must be consulted where relevant.

11. Declaration of Interests

- All authors should be familiar with the [University's Conduct and Compliance Policy - Conflict of Interest Procedure](#) and must ensure that, at the point in a research project where any perceived or actual conflicts of interest become apparent, these are declared according to the University's policy and procedures to granting bodies, editors, publishers, venue managers and to the relevant Heads of Academic Units.

Responsibility for implementation	Individual authors Executive authors Faculties/Heads of Academic Units/Supervisors Office of the Provost and Senior Vice-President Human Resources Division Associate Deans (Research) Heads of Academic Units All Monash authors
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	<p>Faculty Publication Coordinators</p> <p>Supervisors</p> <p>Higher degree by research students</p> <p>Director, Monash Graduate Research Office (MGRO)</p> <p>Chair, Graduate Research Committee</p> <p>Executive Dean, Monash South Africa</p>
Status	Revised
Approval Body	<p>Academic Quality and Standards policies</p> <p>Name: Academic Board</p> <p>Meeting: 3/2013</p> <p>Date: 05-June-2013</p> <p>Agenda item: 11.2</p>
Definitions	<p>Executive Author: Senior or corresponding author, being the author responsible for liaison with publishers, communication with all authors and contributors and the maintenance of all records concerning authorship.</p>
Legislation Mandating Compliance	<p>Queries may be addressed to Risk and Compliance at: riskandcompliance@monash.edu.</p>
Related Policies	<ul style="list-style-type: none"> • Student Complaints and Grievances Policy
Related Documents	<ul style="list-style-type: none"> • Authorship Statement • Policy and procedures in relation to research misconduct • Annually updated guidelines • University's Conduct and Compliance Policy - Conflict of Interest Procedure