

RESEARCH AUTHORSHIP AND ATTRIBUTION POLICY

SCOPE

This policy 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 including professional blogs and the making of any form of research output available over the Internet.

POLICY STATEMENT

This policy sets out the principles and rules that guide authorship and attribution activity at Monash University (the University). Authorship gives appropriate recognition to researchers who make significant scholarly contributions. Attribution acknowledges the University's support for research and ensures its achievements and investments contribute to all relevant measures of performance.

1. Principles of Authorship and Attribution

1.1 Authorship and attribution of research at the University should be:

- an honest reflection of contribution to research;
- assigned fairly, and consistently with established disciplinary practice; and,
- communicated clearly and transparently between contributors to the research.

2. Determining Authorship

Authorship criteria

2.1 To be named as an author, a researcher must:

- have made a significant scholarly contribution to a research output; and,
- agree to be listed as an author.

2.2 While authorship depends to some extent on the discipline, significant scholarly contribution must include at least one of the following:

- conception and design of the project;
- significant or non-routine collection of data that has required significant intellectual judgement and input;
- analysis or interpretation of data for the creation of the research output, where this contributes to the intellectual shaping of the research; and/or,
- drafting significant parts of the research output or critically revising it in a way that contributes to its interpretation.

2.3 A person who meets the authorship criteria, as outlined above, must not be included or excluded as an author without their prior permission.

2.4 Where a research output has more than one author, one person must be appointed Executive Author.

2.5 Co-authors must agree on authorship at an early stage of their involvement in the research project and review their decisions periodically as and when necessary.

- 2.6 Higher degree by research students may publish research outputs from their supervised work and should be recognised as authors if they meet the authorship criteria. Where a graduate research supervisor contributed to the research output in a way that meets the authorship criteria, the supervisor has the right to be a co-author of the research output.

Unacceptable inclusions of authorship

- 2.7 Without substantial intellectual contribution, the following activities do not constitute a claim to authorship of the research output:
- being head of department, holding other positions of authority, or personal friendship with the authors;
 - providing a routine technical contribution
 - providing routine assistance in some aspects of the project;
 - acquisition of funding;
 - general supervision of the research team; or,
 - providing data that has already been published or materials obtained from third parties (including the routine collation and provision of research source material).

Other Contributors

- 2.8 All those who have contributed to the research output but do not meet the criteria for authorship (such as research assistants, technical writers, and research students) must be properly acknowledged. Where individuals are to be named publicly, prior permission must be obtained.
- 2.9 A person contributing to a publication who does not meet the criteria for authorship as per section 2.2 above but has been acknowledged on the publication (e.g. 'on behalf of') would not be considered an author on the publication.

3. Responsibilities

- 3.1 All authors of a research output must comply with the [Australian Code for the Responsible Conduct of Research](#) and any in-country equivalent, and must:
- 3.1.1 be accountable for, and willing to ensure the accuracy and integrity of, their contribution to the research output;
 - 3.1.2 ensure all authors (including students who are supervised) are recognised;
 - 3.1.3 seek permission in writing before excluding or including any other authors;
 - 3.1.4 acknowledge contributions made by people who do not meet authorship criteria;
 - 3.1.5 keep records of authorship documentation, including any authorship agreements and records relating to authorship disputes;
 - 3.1.6 approve research outputs with the publisher, prior to publication;
 - 3.1.7 include information on all sources of financial and in-kind support for the research to ensure that the findings of publicly funded research are made available to the public;
 - 3.1.8 comply with the Open Access requirements of funding bodies;
 - 3.1.9 declare any potential or actual conflict of interest according to the [Conflict of Interest Procedure](#); and,
 - 3.1.10 engage in training to understand authorship requirements.
- 3.2 When seeking to publish or present a research output, the author or Executive Author must:
- 3.2.1 record authorship in the order that applies according to the conventions of the specific discipline;
 - 3.2.2 ensure the University is submitted to publication outlets/venues in full as the institution of affiliation;
 - 3.2.3 manage communication about the research output with the publisher/venue/facilitator;
 - 3.2.4 consult with all other authors prior to submission and any subsequent revisions; and,
 - 3.2.5 comply with any Open Access requirements to lodge or register publications in the Monash University repository.
- 3.3 The Office of the Provost is responsible for providing training for authors on their responsibilities in relation to authorship.

4. Authorship Disputes

- 4.1 Where a dispute about inclusion, exclusion or order of authorship arises, staff are expected to treat fellow researchers and others involved in the research fairly and with respect, and follow the dispute resolution processes set out in the Authorship and Attribution Procedure.

5. Attribution of Research Output Affiliation

- 5.1 Authors must attribute institutional affiliation to the University if:
- University resources and/or facilities have been used in the research leading to the output, including contribution to salary of researchers, funding, facilities, apparatus, human and administrative resources; or,
 - funds for research have been directed through Monash University accounts.
- 5.2 The above applies even if the author has subsequently left the University, as the meaningful institutional support of both past and current University employers can count for reporting purposes.

DEFINITIONS

Affiliates	A person who holds an adjunct, emeritus or honorary appointment at the University.
Author	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.
Co-author	A person who collaborates with one or more authors in the production of a research output.
Executive Author	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.
Research	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.
Researcher	Person (or persons) who conducts, or assists with the conduct of, research.
Research Output	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	A scholarly contribution is made through at least one of the following: <ul style="list-style-type: none">• conception and design of the research project;• acquisition, analysis or interpretation of research data, where the acquisition has required significant intellectual judgement, planning, design, or input• contribution of knowledge, where justified, including Indigenous knowledge;• drafting significant parts of the research output or critically revising it so as to contribute to its interpretation.
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

Supporting procedures	Research Authorship & Attribution Procedure
Supporting schedules	N/A
Associated policies	Recordkeeping Policy

	Research Output Collection Policy
Related legislation	Monash University (Vice-Chancellor) Regulations Part 5 Higher Education Standards Framework (Threshold Standards) 2021 Australian Code for the Responsible Conduct of Research 2018 Malaysian Code of Responsible Conduct in Research
Category	Academic
Approval	Academic Board 20 April 2020 Meeting 03, 2020 / Agenda Item 12.2
Endorsement	Monash Research Committee 23 April 2020 Meeting 3, 2020 / Agenda Item 8
Policy owner	Vice-Provost (Faculty & Graduate Affairs)
Date effective	20 May 2020
Review date	20 May 2023
Version	2.1 (<i>Administrative amendments effective 24 July 2020</i>)
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