

## Authorship policy

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### 1. Policy statement

ANROWS adheres to the *Australian Code for the Responsible Conduct of Research* (2018), including the requirements for the attribution of authorship in publications. ANROWS recognises the International Committee of Medical Journal Editors (ICMJE) *Recommendations for the Conduct, Reporting, Editing and Publication of Scholarly Work in Medical Journals* (2019) (formerly known as the “Vancouver Protocol”), widely regarded as the foremost international standard of publication ethics, and that is often referred to in institutions’ authorship policy documents.

ANROWS recognises that protocol for the attribution of authorship may differ between academic disciplines. There are a number of overarching ethical principles and procedures, however, to which all researchers are expected to adhere and which are incorporated in this policy. To be named an author requires a substantial scholarly contribution to the publication.

### 2. Scope

This policy applies to all ANROWS staff and associates who are involved in the conduct of ANROWS research. Each external organisation commissioned by ANROWS to conduct research and/or produce a publication is contractually obliged to comply with the *Australian Code for the Responsible Conduct of Research* (2018) (“the Code”), which includes a requirement to have in place an authorship policy to which its researchers adhere. Where an organisation that ANROWS commissions to undertake research does not have an authorship policy in place, this policy also applies.

### 3. Principles

Authorship must only be assigned to those who have made a substantial scholarly contribution to a publication and agree to be listed as an author. Author/s are responsible for the integrity of the research, including sound methodology and accurate reporting, at least for their contribution. Authorship must be:

- (i) an accurate reflection of an individual’s contribution to the research
- (i) assigned fairly and consistently, preferably at the commencement of the work

- (ii) communicated clearly and transparently between researchers.

All individuals and organisations that contributed to the research, but are not eligible for authorship, must be acknowledged within the **publication**. This includes:

- (i) members of project advisory group/s or community organisations that provided significant advice/input
- (ii) staff members of partner organisations
- (iii) technical experts and support staff
- (iv) traditional owners of any Indigenous knowledge used in the research.

## 3.1 Authorship criteria

3.1.1 Attribution of author status may depend to some extent on a specific discipline, however, in line with the Code and the ICMJE Recommendations, a significant intellectual or scholarly contribution must include one and should include a combination of two or more of the following:

- (i) conception and design of the research project or output
- (ii) acquisition of research data where the acquisition has required significant intellectual judgement, planning, design, or input
- (iii) analysis and interpretation of research data
- (iv) writing significant parts of the article or report or revising it to the extent that the content is critically changed or substantively advanced
- (v) contribution of knowledge, where justified, including Indigenous knowledge.

All those who have made a significant intellectual or scholarly contribution to the publication should be identified as an author, unless their written agreement to be named as an author has not been obtained.

For publications where the relevant discipline requires a higher minimum threshold, the discipline's requirements supersede this Authorship Policy.

3.1.2 Authorship must not be offered solely on the following grounds:

- (i) holding a position of authority (e.g. manager/supervisor)
- (ii) acquiring research funding
- (iii) providing routine support/assistance in some aspects of the project
- (iv) providing a technical contribution, data that has already been published or material obtained for a third party, without having made a substantial contribution to the research project or publication.

3.1.3 Each author must be able to take public responsibility for their contribution to the publication.

3.1.4 Publishing may not proceed if any of the authors have legitimate reservations concerning the theory, data or its interpretation underpinning critical parts of the publication.

## 4. Procedures

### 4.1 Authorship protocols

- 4.1 In circumstances where there is more than one author, one must be appointed as a **corresponding author** to record authorship and manage communication about the publication with the publisher.
- 4.2 Any person who qualifies as an author must be included or excluded only with prior permission in **writing**.
- 4.3 As the accepted practice for the order of author names on a publication varies between disciplines, that order should be determined, recorded and reviewed in conjunction with any other decisions about authorship. Authors should be prepared to explain the listing order, if required.
- 4.4 Where individuals or communities who contributed to the publication are to be acknowledged within the publication, their **written consent** must be obtained, where practicable.
- 4.5 Arrangements to acknowledge any Aboriginal and Torres Strait Islander peoples who made a significant contribution to the research should comply with the Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS) *Guidelines for Ethical Research in Australian Indigenous Studies 2012* and the NHMRC's *Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders* (2018).
- 4.6 As an acknowledgement of the institutional contribution to the delivery of research outcomes, where appropriate authors must cite their institutional affiliation or affiliations in any publication.
- 4.7 An **Authorship Declaration** must be completed by the author of a publication or, where there are multiple authors, by the corresponding author. This must be done before the publication is presented in a public forum.
- 4.8 All authors must declare any real or perceived conflicts of interest relating to their research project, if and when they become apparent.

#### **Responsibility – Researchers should:**

- (i) At an early stage of the project, discuss authorship with all other researchers involved and agree on authorship for particular outputs/publications, and review whenever there are changes in participation (personnel and/or tasks).
- (ii) Collectively determine the order of authorship for each publication.
- (iii) Record authorship in compliance with the conventions of the relevant discipline/s.
- (iv) Appoint a corresponding author.
- (v) Acknowledge all individuals and organisations that contributed to the research outcome.

#### **Responsibility – Corresponding author should:**

- (i) Retain a record of any agreed changes to the authorship of a publication.
- (ii) Send a written offer of authorship to each person determined to have made a significant intellectual or scholarly contribution to a publication. This offer should be made at the time that the final manuscript is circulated for authors review.

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- (iii) Obtain from each person offered authorship **written** notice of acceptance or decline. If a potential author fails to respond, the corresponding author must keep a record of decisions made on behalf of the authors.
- (iv) Obtain the **written** consent of all individuals and organisations that contributed to the research outcome, where practicable.
- (v) Complete an **Authorship Declaration** each time a manuscript is to be submitted for publication. Ensure that all authors have approved the version to be published, unless circumstances make it impossible (e.g. due to death or reasonable efforts have failed to establish contact). In such circumstances, publication may proceed if there are no grounds to believe the relevant person/s would have objected to being included as an author, or to the place or type of publication.

## 4.2 Dispute resolution

On occasions, disputes over authorship may arise. Where researchers are unable to reach mutual agreement on an authorship issue, the following procedures apply:

- 4.2.1 Any person involved in the dispute may seek advice from the responsible ANROWS Research Director (or the CEO, if the Research Director is involved in the dispute).
- 4.2.2 Continuing disputes over authorship are to be referred for attempted resolution to the Director of the corresponding author, or the ANROWS CEO if the Director of the corresponding author is involved in the dispute.
- 4.2.3 Disputes involving co-authors from other institutions are to be handled by the institution of the corresponding author in consultation with ANROWS. If the corresponding author is an ANROWS employee, the dispute will be handled by ANROWS's CEO and the institution/s of the aggrieved author/s. An external arbitrator may be engaged to resolve the dispute at ANROWS's discretion.
- 4.2.4 Any attempts to resolve the dispute should consider:
  - (i) if there is a power imbalance between the researchers involved, for example, in the case in collaborative projects, in ANROWS's dual role as contributor and publisher
  - (ii) if researcher/s are unwilling to accept authorship and/or accountability for their contribution, obstruct progress of a research project or output or fail to cooperate with co-authors.
- 4.2.5 If the dispute remains unresolved within 30 days of referral under clause 4.2.2, it will be referred to the CEO for determination. The CEO may engage an external arbitrator or mediator to assist in resolving the dispute; however, the final decision remains with ANROWS. In cases where the dispute involves a corresponding author from another institution, this clause does not apply.
- 4.2.6 Outcomes from the dispute process may include the following:
  - (i) Agreement is reached by all authors (as defined in Principle 3.1).
  - (ii) Individuals who are determined by the ANROWS CEO or their delegated authority to not meet the authorship criteria but wish to be treated as authors will not be included as

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authors of the publication, but may have their contributions acknowledged in the publication in a way that is acceptable to all parties.

- (iii) Where valid authors cannot agree on content, the publication may be divided in such a way that some sections can be published separately, or not published at all.
- (iv) Where disputes concerning publications arise over matters not directly related to the inclusion or exclusion of an author, content or interpretation of data, a reasonable decision may be made that permits the paper to be published and the dispute to be suitably acknowledged.

4.2.7 Proceeding to publication without agreement or formal determination of authorship may be considered a **breach** of the Code but may not constitute **research misconduct** under ANROWS's policy.

## **Responsibility: Authors**

- (i) Attempt resolution of authorship disputes.

## **Responsibility: Research Director**

- (i) Where it has not been possible to resolve authorship disputes at the research management level, refer to the CEO for resolution.

## **Responsibility: Chief Executive Officer (CEO)**

- (i) Consider assistance from an external arbitrator or mediator and/or make a determination on authorship, taking into account submissions from all parties involved in the dispute in the context of this policy.

## 5. Definitions

**Authorship Declaration** is written confirmation that a person who meets the criteria for authorship accepts or declines the offer to be listed as an author on a publication.

The **corresponding author** (sometimes referred to as the “executive author”) is a specified co-author of a publication, determined by agreement amongst the authors, who takes formal responsibility for the integrity of the work as a whole, is a point of contact for all correspondence related to the publication, and maintains relevant records.

A **publication** is the formal dissemination of research outputs in a public forum, including in hardcopy, electronic, web-based or other tangible formats. It includes refereed and non-refereed books and journals, web-pages, conference presentations, creative works, formal reports, and technical papers.

**Written consent/writing** includes original hand-written signatures, emails, fax, scanned documents or electronic identification as appropriate.

A **breach of the Code** involves an act or omission in contravention of the Australian Code for the Responsible Conduct of Research, but which does not carry the seriousness of consequence or wilfulness to constitute

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research misconduct. Repeated or continuing breaches of the Code, however, may constitute research misconduct.

**Research misconduct** means fabrication, falsification, plagiarism or deception in proposing, carrying out or reporting the results of research, failure to declare or manage a serious conflict of interest, and avoidable failure to follow research proposals as approved by a research ethics committee, particularly where this failure may result in unreasonable risk or harm to humans, animals or the environment. It also includes the wilful concealment or facilitation of research misconduct by others. Research misconduct is addressed in ANROWS's Code of Conduct of Staff and Associates.

## 6. References

Australian Institute of Aboriginal and Torres Strait Islander Studies. (2012). *Guidelines for Ethical Research in Australian Indigenous Studies*. AIATSIS: Canberra, ACT.

International Committee of Medical Journal Editors. (2019). *Recommendations for the Conduct, Reporting, Editing and Publication of Scholarly Work in Medical Journals*. Retrieved from <http://www.icmje.org/icmje-recommendations.pdf>

National Health and Medical Research Council, the Australian Research Council and Universities Australia. (2018). *Australian Code for the Responsible Conduct of Research*. Commonwealth of Australia: Canberra, ACT.

National Health and Medical Research Council, the Australian Research Council and Universities Australia. (2019). *Authorship: A guide supporting the Australian Code for the Responsible Conduct of Research*. Commonwealth of Australia: Canberra, ACT.

National Health and Medical Research Council. (2018). *Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders*. Commonwealth of Australia: Canberra, ACT.

DECLARATION OF AUTHORSHIP

Manuscript title: \_\_\_\_\_

Short title (if relevant) \_\_\_\_\_

I certify that I have made a substantial contribution to at least one of the following criteria for authorship as set out in clause 3.1.1 of the ANROWS Authorship Policy:

- i. Conception and design of the research project or output.
- ii. Acquisition of research data where the acquisition has required significant intellectual judgement, planning, design, or input.
- iii. Analysis and interpretation of research data.
- iii. Writing significant parts of the article or report or revising it to the extent that the content is critically changed or substantively advanced.
- iv. Contribution of knowledge, where justified, including Indigenous knowledge.

Further, I certify that I have read and approved the final version of the manuscript and I agree to take public responsibility for its contents.

Full name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date:            /            /