

# Authorship Rule

## Section 1 - Overview

(1) The universally recognised outcomes from research include publication of journal articles, book chapters, books, conference proceedings and reports. Inclusion of a researcher or research trainee as an author for such a publication is a fitting recognition when they have made a substantial contribution to the intellectual aspects of the work. As Authorship is used as an indicator of a researcher's productivity, it is vital that only those who meet the criteria for Authorship are included as authors. The purpose of this policy is that Authorship is properly assigned.

(2) Responsible conduct of research includes the honest recognition and acknowledgement of contributions made to the development and production of a research publication or other non-traditional research output such as creative work. This requires that only those people who have met the conditions of Authorship are to be included as authors.

## Section 2 - Scope

(3) This Rule applies to all publications of employees and Students of the University of New England for traditional and web-based publications. It provides a definition of "Authorship", consistent with the UNE [Code of Conduct for Research](#) and the [Australian Code for the Responsible Conduct of Research](#), and should be read in conjunction with the [Knowledge Assets and Intellectual Property Policy](#) and the [Management and Storage of Research Data and Materials Policy](#).

## Section 3 - Rule

### General

(4) The University is responsible for ensuring that Head of Schools, researchers, research supervisors and research trainees have access to this Rule.

(5) Researchers, research supervisors and research trainees are responsible for reading and meeting the requirements of this Rule.

(6) An author's role in a research result must be sufficient for that person to take public responsibility for at least part of the output in that person's area of expertise.

(7) The right of a contributor to be included as author on a publication exists only if that contributor meets the conditions of the definition of 'authorship' as per this Rule.

(8) No person who is an author, consistent with the definition, is to be included or excluded as an author without their permission in writing.

(9) Where there is more than one author of a research output, one co-author (by agreement amongst authors) should be nominated as responsible or principal author for the whole research output, and should take responsibility for submission of the publication through the University publication recording system, obtaining relevant permissions and other record-keeping regarding the research output.

(10) A publication which is substantially similar to another publication derived from the same research must contain appropriate reference to the other publication.

(11) A researcher who submits substantially similar work concurrently to more than one publisher should disclose that fact to the publishers at the time of submission.

### **Unacceptable Inclusions of Authorship**

(12) A person who has not participated in conceiving, executing or interpreting at least part of the relevant research is not to be included as an author of a publication derived from that research.

(13) Authorship must not be granted to anyone solely on the basis of their position of authority or close relationship with the author.

(14) Participation solely in the acquisition of funding or the collection of data does not justify Authorship.

(15) General supervision of the research group is not sufficient for authorship.

(16) Provision of technical or general assistance, without other intellectual input, does not satisfy the criteria for authorship.

### **Acknowledgement of Other Contributions**

(17) Written consent must be obtained from individuals who are named as contributors, prior to publication.

(18) Contributors whose contribution is insufficient for inclusion as author, for example collectors of research data, should be acknowledged in any publication derived from that research. Individuals and organisations providing facilities or resources should also be acknowledged.

(19) Publications must include information on the sources of financial support for the research, and financial sponsorship that carries an embargo on such naming of a sponsor should be avoided.

### **Confidentiality**

(20) Confidentiality provisions relating to publications may apply in circumstances where the University or the researchers have made or given confidentiality undertakings to third parties or confidentiality is required to protect intellectual property rights.

(21) It is the responsibility of researchers to enquire at an early stage as to whether confidentiality provisions apply.

(22) It is the responsibility of the Head of School to inform researchers, research supervisors and research trainees of the obligations with respect to these provisions.

### **Statement of Authorship Form**

(23) While a publication is itself a statement of Authorship, where the lead author requires a separate statement of Authorship, they should ensure that a Statement of Authorship Form is completed, signed and lodged in the University's repository TRIM.

(24) Where it is not practical to obtain an original signature, faxed or emailed consent is acceptable.

### **Authority and Compliance**

(25) The Vice-Chancellor and Chief Executive Officer, pursuant to Section 29 of the [University of New England Act](#), makes this University Rule.

(26) UNE Representatives and Students must observe it in relation to University matters.

(27) The Rule Administrator (Deputy Vice-Chancellor Research), is authorised to make procedures and guidelines for the operation of this Rule. The procedures and guidelines must be compatible with the provisions of this Rule.

(28) This Rule operates as and from the Effective Date.

(29) Previous policy regarding authorship and related documents, are replaced and have no further operation from the Effective Date of this new Rule.

(30) Notwithstanding the other provisions of this University Rule, the Vice-Chancellor and Chief Executive Officer may approve an exception to this Rule where the Vice-Chancellor and Chief Executive Officer determines the application of the Rule would otherwise lead to an unfair, unreasonable or absurd outcome. Approvals by the Vice-Chancellor and Chief Executive Officer under this clause must be documented in writing and must state the reason for the exception.

## Status and Details

Status	Current
Effective Date	3rd August 2015
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## Glossary Terms and Definitions

**"UNE Representative"** - Means a University employee (casual, fixed term and permanent), contractor, agent, appointee, UNE Council member, adjunct, visiting academic and any other person engaged by the University to undertake some activity for or on behalf of the University. It includes corporations and other bodies falling into one or more of these categories.

**"Student"** - Is an admitted student or an enrolled student, at the relevant time: 1. an admitted student is a student who has been admitted to a UNE course of study and who is entitled to enrol in a unit of study or who has completed all of the units in the UNE course of study; 2. an enrolled student is a student who is enrolled in a unit of study at UNE.

**"Authorship"** - Authorship is defined as substantial contributions in a combination of the following: conception and design of the project; analysis and interpretation of research data; and drafting significant parts of the work or critically revising it so as to contribute to the interpretation.

**"Effective Date"** - means the Rule/Policy takes effect on the day on which it is published, or such later day as may be specified in the policy document.