

AUTHORSHIP POLICY

Category	Policy		
Review	3 year from date of Approval		
Code	ARP-002		
Contact	policy@imc.edu.au		
Version	Approval Authority	Approval Date	Review Date
2024.11	Academic Board	20 November 2024	20 November 2027

1 PURPOSE

This Policy establishes the principles and requirements for the fair and transparent attribution of authorship in research outcomes produced under the auspices of the Institute.

The Policy supports responsible research conduct and aligns with the *Australian Code for the Responsible Conduct of Research 2018 (Australian Code)*, the Institute’s *Code of Conduct for Research*, and related research policies and procedures within the Institute’s research policy framework.

2 SCOPE

This policy applies to all staff, including honorary staff working under the auspices of the Institute, and students who carry out research as part of their enrolment at the Institute. It includes theses and dissertations but excludes coursework units.

3 DEFINITIONS

Author means a named contributor to a scholarly work (as outlined below in the authorship criteria), which may be published in a journal, conference proceedings or as a monograph.

Research outcome means a work that is the product of research and includes publications such as journal articles, book chapters and books or monographs.

Open access means research outputs that are made available online and worldwide, free of charge and free of most other access restrictions.

4 PRINCIPLE

The Institute supports and encourages active involvement of staff and students in research activities and recognises the significant value of research outputs. The Institute is committed to responsible research conduct and the fair and transparent attribution of authorship in research outcomes.

Authorship must:

- appropriately recognise substantial intellectual or scholarly contributions to research outcomes
- be assigned fairly, consistently and transparently
- involve open communication between contributors
- align with the principles of academic integrity and responsible research conduct
- comply with the *Australian Code for the Responsible Conduct of Research 2018* and the Institute's research policy framework

5 PROCEDURES

5.1 Authorship Criteria

Authorship is assigned based on the contribution of persons who have made a substantial intellectual or scholarly contribution to a research outcome and who accept responsibility for that contribution and/or the work as a whole.

Authors must make a substantial contribution in respect of one or more of the following criteria:

- Conception and design of the research described in the research outcome
- Acquisition of research data where the acquisition has required significant intellectual judgement or input
- Analysis and interpretation of data and/or
- Drafting the research outcome or critically revising its intellectual content.

Authorship arrangements should be discussed and agreed by all contributors prior to publication where practicable. The corresponding or principal author is responsible for maintaining appropriate records relating to authorship agreements and approvals. Authorship attribution does not in itself determine ownership of intellectual property or copyright, which is governed by the Institute's Academic Intellectual Property Policy.

Students, including HDR candidates, are eligible for authorship where they meet the authorship criteria outlined in this Policy.

5.2 Unacceptable Authorship Practices

No person may be included as an author unless they have made a substantial intellectual or scholarly contribution to the research outcome and are willing to be accountable for their contribution to the work.

No person may be included as an author of a research outcome solely on the basis of:

- their position of authority or close relationship with the author
- the acquisition of funding or provision of materials or access to equipment
- the mere collection of data
- general supervision of a research group; or
- provision of technical or general assistance without other intellectual input.

5.3 Acknowledgement of Contributions

Contributors who do not meet the criteria for authorship should be appropriately acknowledged in research outputs where relevant. Individuals and organisations providing facilities or support for the conduct of research should also be acknowledged where appropriate.

Contributors who are acknowledged in a research outcome should be informed of the acknowledgement where practicable.

Research outcomes should disclose sources of funding unless restricted by legal, contractual or confidentiality obligations.

5.4 Duplicate and Overlapping Publications

Research outcomes that are substantially similar to other outputs derived from the same research must appropriately reference related publications.

Authors submitting substantially similar research outcomes to multiple publishers must disclose this at the time of submission.

5.5 Confidentiality

Confidentiality provisions relating to publications may apply in circumstances where the researchers have made or given confidentiality undertakings to third parties or confidentiality is required to protect intellectual property rights. It is the responsibility of researchers to enquire at an early stage as to whether confidentiality provisions apply.

5.6 Confirmation of authorship

All research outcomes must have the authorship confirmed and recorded. The Institute's *Statement of Authorship Form* must be completed, signed and lodged with the Research Office. Where it is not practical to obtain an original signature, faxed or emailed consent is acceptable. These completed forms are to be located in a secure system consistent with the requirements of the *Research Materials and Data Management Policy*. A copy of the relevant research output must also be submitted to the Institute's Education Digital Repository.

Authors must comply with the Institute's *Research Materials and Data Management Policy*. Researchers must declare any conflicts of interest such as sources of funding or affiliations.

Where there are multiple authors of a research outcome, one co-author by mutual agreement must be nominated as the principal author for all research outcomes for the project and as principal author must take responsibility for record-keeping regarding the research outcomes.

5.7 Responsibilities

- The Institute is responsible for ensuring that researchers and research trainees have access to and understand the requirements of this policy
- The Institute is responsible for providing periodic training to support the development of practices aligned with this policy

- Researchers and research trainees are responsible for reading, understanding and meeting the requirements of this policy
- The Research Office is responsible for ensuring that appropriate procedures are followed with regard to the completion and storage of Statement of Authorship Forms.
- Records relating to authorship agreements must be retained in accordance with the Research Materials and Data Management Policy.

5.8 Public Access and Public Access

All refereed, revised, final draft research outcomes must be deposited in the Institute's Education Digital Repository after their acceptance for publication.

Books or chapters in books may be self-archived at the author's discretion.

Research outputs will normally be made openly accessible unless restricted by publisher embargo, confidentiality obligations, legal restrictions, cultural sensitivities, intellectual property requirements, or other approved conditions.

Where permitted by the publisher, the published version will be made publicly available in the Institute's Education Digital Repository.

Depositing the material in the Institute's Education Digital Repository does not transfer copyright to the Repository. Copyright remains with the author or publisher as per the publishing agreement. The Repository will not alter the material except as allowed under law.

5.9 Resolving Authorship Dispute

Where a dispute arises regarding authorship of a research outcome, the parties involved should first attempt to resolve the matter through discussion in good faith, with support from the Director of Research and Scholarship, and/or the Deputy President or delegate where appropriate.

Where the Director of Research and Scholarship, or Deputy President is directly involved in the dispute, an independent senior academic nominee may be involved in the resolution process.

Where the matter cannot be resolved informally, the dispute may be referred to the Research and Scholarship Committee (RSC) for consideration and determination.

Allegations of research misconduct in regard to authorship will be dealt with in accordance with the *Code of Conduct for Research, Workplace Grievance Policy* or *Student Complaints and Appeals Policy and Procedure*.

6 RELATED DOCUMENTS

External

- i. *Australian Code for the Responsible Conduct of Research (2018)*
- ii. *NHMRC Authorship Guide Supporting the Australian Code*

Internal

- i. *Code of Conduct for Research*
- ii. *Research Materials and Data Management Policy*
- iii. *Academic Intellectual Property Policy*
- iv. *Workplace Grievance Policy*
- v. *Student Complaints and Appeals Policy and Procedure*
- vi. *Academic Integrity Policy*

7 VERSION CONTROL

Historical Version	Approved by	Approval Date
2024.11	Academic Board	20 November 2024
2022.08	Academic Board	25 August 2022
2019.07	Academic Board	17 July 2019
2013.12	Academic Board	19 December 2013

8 STATEMENT OF OWNERSHIP/MAINTENANCE

The Research and Scholarship Committee (RSC) is responsible for oversight of this Policy and monitoring its implementation. Please contact policy@imc.edu.au for any enquiries or clarifications related to this policy.