# PROCEDURE FOR AUTHORSHIP AND FOR RESOLVING DISPUTES BETWEEN AUTHORS

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| **Policy Hierarchy link** | This procedure details actions pursuant to the UNSW Research Code of Conduct and the UNSW Code of Conduct |
| **Responsible Officer** | Deputy Vice-Chancellor (Research) |
| **Contact Officer** | Ms Bronwyn Greene<br>Executive Officer (Research Policy)<br>Office of the Deputy Vice-Chancellor (Research)<br>Email: b.greene@unsw.edu.au<br>Phone: x 52983 |
| **Superseded Documents** | Code of Conduct for the Responsible Practice of Research approved by Academic Board 2 March 2004 (AB04/21) |
| **File Number** | 2009/0747 |
| **Associated Documents** | Code of Conduct<br>Research Code of Conduct<br>Intellectual Property Policy<br>Policy on Paid Outside Work by Academic Staff<br>UNSW Delegations of Authority<br>Conflict of Interest Policy<br>Insider Trading Policy<br>UNSW Recordkeeping Policy<br>Procedure for Handling Allegations of Research Misconduct<br>Procedure for Handling Research Material and Data<br>Statement of Authorship and Location of Data Form |

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## 1. PURPOSE & SCOPE

1.1. This procedure covers the principles and processes for handling disputes between authors of all forms of research output where one or more of the authors are UNSW staff and/or students.

## 2. INTRODUCTION

2.1. Information on the criteria for authorship is found in the ***UNSW Research Code of Conduct***.

## 3. DEFINITIONS

3.1. Research "original investigation undertaken to gain knowledge, understanding and insight."[1]

[1] Australian Code for the Responsible Conduct of Research, page 1

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|---|---|---|
| 3.2. | Research Trainee | Higher Degree Research student (PhD or Masters by Research) or early career researcher (postdoctoral research fellow or within 5 years of obtaining PhD). |
| 3.3. | Researcher | All UNSW staff, conjoint appointments, and visiting appointments undertaking research at UNSW, including staff classified as "professional and technical" and casual staff undertaking research. |

## 4. AUTHORSHIP

### 4.1. Authorship Criteria

4.1.1. The minimum requirement for authorship is that an author must have had a substantial intellectual contribution to a paper or research output, where any of the following conditions are met:

(a) conception and design; and/or

(b) analysis and interpretation of data; and/or

(c) drafting the article or revising it critically so as to contribute to the interpretation.

4.1.2. Acquisition of funding, the collection of data, general supervision of the research group, provision of technical assistance or materials by themselves, do not justify authorship.

4.2. UNSW acknowledges that the criteria for authorship (including the order of authors), of research output vary to some extent depending on currently accepted practice in the research discipline.

4.3. Authorship of a research output is a matter that should be discussed between researchers at an early stage in a research project, and reviewed whenever there are changes in participation.

### 4.4. Order of Authorship

4.4.1. The accepted practice for the order of authors names appearing on a publication varies from discipline to discipline.

4.4.2. It is preferable that the agreed authorship and order of authors be recorded in a signed document.

4.4.3. Authors must be able to justify the order in which authors are listed on any publication.

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### 4.5. Corresponding author

4.5.1. When there is more than one co-author of a research output, one or more authors must take responsibility for the integrity of the work as a whole, from inception to published article. One UNSW co-author (the "executive author", or "corresponding author") should take responsibility for being the point of contact for all correspondence regarding the publication and for record-keeping regarding the research output.

4.5.2. Each author must have participated sufficiently in the work to take public responsibility for the entire content.

## 5. STATEMENT OF AUTHORSHIP

5.1. All authors of all types of publication (including web-based publication) must sign a ***Statement of Authorship and Location of Data*** form prior to its submission. All authors must have final approval of the version to be published. The signed statement of authorship must specify that:

5.1.1. the signatories are the only valid authors;

5.1.2. there are no other valid authors;

5.1.3. the order in which the authors' names appear in the submitted paper is acceptable to all authors;

5.1.4. all authors agree that they have met the minimum requirements listed above;

5.1.5. all authors have approved the submitted version of the paper; and

5.1.6. all authors agree that they are responsible for the content of the paper.

5.2. If, for any reason, one or more co-authors are unavailable or otherwise unable to sign the statement of authorship, the executive author may sign on their behalf, noting the reason for their unavailability. Confirmation should be obtained from absentee authors within six months of submission of the paper.

## 6. PROCEDURE FOR HANDLING DISPUTES BETWEEN AUTHORS

6.1. Disputes over the inclusion, exclusion or order of potential authors sometimes arise, especially where an informal approach to authorship has been adopted.

6.2. An attempt should be made to resolve any conflicts between authors about authorship of a work at the local level.

6.3. Disputes between authors which cannot be resolved by the persons concerned may be referred to an Advisor in Research Integrity who will attempt to resolve the dispute through mediation.

6.4. If the dispute still cannot be resolved, the Deputy Vice-Chancellor (Research) or their delegate, should be approached for a determination.

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6.4.1. In making a determination, the Deputy Vice-Chancellor may ask the for following information:

(d) A copy of the Statement of Authorship and Location of Data Form if the material has been submitted for publication.

(e) Copies of any key documentation to show, how each of the authors may have:

(i) made a substantial contribution to the conception and design, or acquisition of data, or analysis and interpretation of data; and

(ii) had input into drafting the article or reviewing it critically for important intellectual content; and

(iii) given final approval of the version to be published.

(f) A list of all those believed to be valid authors, and why.

(g) A list of those believed to have contributed to the paper and who should be fully acknowledged (without being an author), and why.

## 7. OPTIONS FOR DISPUTES BETWEEN AUTHORS

7.1. With any authorship dispute, there are a number of options.

7.1.1. All valid authors agree on the authorship, in which case the paper can be published.

7.1.2. If one or more individuals do not meet the authorship criteria above, they should be removed as authors, and their contribution to the work must be fully acknowledged in the Acknowledgments section of the paper or in the footnotes. Note here that:

(a) the unpublished data or work of others cannot be used without their explicit permission to do so;

(b) anybody who provides their data or material for the paper must formally give their permission for this to be used and this must be fully acknowledged in the paper.

7.1.3. If the valid authors can't agree on the content or authorship of the paper, then the paper simply cannot be published in its present form. However, note that:

(a) if all of the authors can't agree, then it may be possible to break the paper down into sections where there is agreement, or where the contributions of individuals (or subgroups of the authors) might be published separately;

(b) no person who is a valid author, can be excluded as an author without their explicit permission.

## 8. AUTHORSHIP DISPUTES AS BREACHES OF THE UNSW RESEARCH CODE OF CONDUCT

8.1. A dispute between authors does not constitute an allegation of research misconduct, unless it is alleged that there has been a serious and intentional breach of the ***Research Code of Conduct***.

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8.2. The Deputy Vice-Chancellor (Research) may determine that an authorship dispute should be dealt with as a breach of the Code, or research misconduct.

8.3. Research misconduct includes the misleading ascription of authorship including the listing of authors without their permission or the inappropriate omission of authors, attributing work to others who have not in fact contributed to the research, and the lack of appropriate acknowledgment of the work of others.

**Appendix A: History**

| Version | Authorised by | Approval Date | Effective Date | Sections modified |
|---|---|---|---|---|
| 1.0 | UNSW Council (CL09/19) | 27 April 2009 | 27 April 2009 | This is a new procedure. |

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## 9. ATTACHMENT A

CLICK HERE FOR AN RTF VERSION OF THIS FORM

# *STATEMENT OF AUTHORSHIP AND LOCATION OF DATA*

UNSW

**This form (and any supporting material) must be lodged with the Research Publication Coordinator (Research-Publications@unsw.edu.au) or in hard copy (The Research Publications Coordinator, UNSW Library, UNSW).**

## *AUTHORSHIP DECLARATION*

The criterion for "authorship" is clearly defined in the ***UNSW Research Code of Conduct and the Procedure for Authorship and for Resolving Disputes between Authors***.

The minimum requirement for authorship is that an author must have had a substantial intellectual contribution to the paper or research output, where any one of the following conditions are met:

1. conception and design; and/or
2. analysis and interpretation of data; and/or
3. drafting the article or revising it critically so as to contribute to the interpretation.

According to this definition, the authors of the paper titled:

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submitted/resubmitted to……..

on……..are the undersigned, and there are no other valid authors. The order in which the authors' names appear in the submitted paper is acceptable to all authors. All authors agree that they have met the minimum requirements listed above and have approved the submitted version of the paper. All authors agree that they are responsible for the content of the paper.

| **NAME** | **SIGNATURE (and other information as necessary) (The UNSW corresponding author on the paper should be marked with an "*")** |
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| | |

More rows may be added as necessary.

If, for any reason, one or more of the co-authors is unavailable or otherwise unable to sign above, a Fax or email from them acknowledging that they are in agreement with the statements must be appended. If this is also not possible the senior School/Centre researcher most related to the work may sign on their behalf, noting the reason for their unavailability in the box above.

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## *LOCATION OF RESEARCH MATERIALS AND DATA DECLARATION*

I have read, and agree to comply with the ***UNSW Procedures for Handling Research Material and Data.***

The primary data on which the paper referred to above is:

☐ kept in the School;
☐ elsewhere.

If elsewhere, please indicate where:

Signed: _____

UNSW Corresponding or Executive author

Date: / /

## *ACKNOWLEDGEMENT OF LODGEMENT WITH HEAD OF ACADEMIC UNIT*

Submitted to School/Centre on: / /

Signed: _____

Head of School/Director of Centre

Date: / /

## *PUBLICATION DETAILS*

**(*To be added as appropriate at a later date*)**

Accepted for publication on: / /

Publication details

## *NOTE ON STORAGE OF COMPLETED FORMS*

1. The original version of this form is to be filed with the **UNSW Library**.
2. Copies of all documentation to be held by **at least** the UNSW corresponding or executive author.

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