



AUTHORSHIP POLICY

Policy number	TLR 5.14
Policy name	Authorship Policy (Issue One)
Applicability	Bond University Staff and Students engaged in publishing Research Outputs, Visiting Academics, Industry Fellows, Honorary and Adjunct Title Holders, or Emeritus Professors of the University
Policy owner	Deputy Vice-Chancellor (Academic)
Contact person	Director, Research Services
Policy status	Approved Policy
Date of approval	27 August 2020
Date last amended	
Date last exposed	25 June 2020
Date last reviewed	
Date of next review	27 August 2023
Related policies and forms	Open Access Policy (USP 1.04) Code of Conduct Policy (HRP 3.05) Academic Integrity Policy (TLR 4.02) Research Code of Conduct Policy (TLR 5.06) Copyright Compliance Policy (TLR 6.01) Intellectual Property Policy (TLR 6.02) HDR Student Supervision Policy (TLR 8.04) Australian Code for the Responsible Conduct of Research (2018)

1. INTRODUCTION

This Policy describes best-practice for authorship of research outputs within the Bond University research community and sets out the requirements for Bond University Authors and Contributors to ensure that significant intellectual or scholarly contribution to a Research Output is recognised as per recommendations in the [Australian Code for the Responsible Conduct of Research \(National Code\)](#) and [supporting guides](#) and other applicable ethical and funding body requirements.

This Policy applies to all Researchers or visitors who publish Research Outputs.

The National Code states that recognition, including authorship where appropriate, must be given to those who have contributed to the research.

2. ATTRIBUTION OF AUTHORSHIP

2.1. The attribution and confirmation of authorship for every Research Output involving a Bond University Author is a necessary and important part of the pre-publication stage of each work, whether the work is single or multi-authored. The fulfilment of this requirement at Bond involves a combination of pre-publication and post-publication steps, including:

- (a) training and awareness-raising among all Authors and supervisors of their responsibilities in relation to authorship;
- (b) confirmation of authorship for all Research Outputs;
- (c) maintenance of complete authorship records for all Research Outputs by individual Authors/Corresponding Author;
- (d) annual monitoring by the University of compliance by researchers.

2.2. Each author of a collaborative research output must provide to the Corresponding Author clear consent to be an author.

2.3. In line with relevant discipline protocols, to be named as an Author, a Researcher must have made a substantial scholarly contribution to the work and be able to take responsibility for at least that part of the work to which they contributed. While attribution of authorship depends to some extent on the

discipline, in all cases authorship must be based on substantial contributions in a combination of:

- (a) conception and design of the project;
- (b) acquisition, analysis and interpretation of research data;
- (c) drafting significant parts of the work or critically revising it to contribute to the interpretation; and
- (d) final approval for the version to be submitted for publication and subsequently published.

- 2.4. Bond University recognises that individuals may also make significant contributions to a Research Output through significant or non-routine collection of data. Where this activity contributes to the intellectual shaping of a Research Output authorship may be appropriate.
- 2.5. Higher degree by research (HDR) students own the copyright of their thesis, in accordance with the University's [Intellectual Property Policy](#), and may publish Research Outputs from their supervised work. In cases where their supervisor contributed to the work in a way that meets the designated authorship criteria, the supervisor has the right to become a co-author of any such works.
- 2.6. Sometimes the editor of a significant collective work or anthology has responsibilities analogous to those listed above for authorship - in these cases similar criteria apply to 'editor' as 'Author'. However, the term editor should be applied only to a person who has played a significant role in the intellectual shaping of a publication.
- 2.7. The University acknowledges that the criteria for authorship outputs differ depending on the practices of particular disciplines.
- 2.8. The University strongly encourages all research teams to develop and agree on an authorship plan, detailing contributions, lead authorships and order of authors, and acknowledgements. However, for all research teams comprising supervisors and HDR students there must be an Authorship Agreement Form completed and signed by all supervisors and HDR students at the outset of the project, and this must be updated as appropriate throughout the project.

Participation solely in the acquisition of funding or the collection of data would not usually justify authorship. General supervision of a research group is not sufficient for authorship. An Author's role in a Research Output must ensure that person takes public responsibility for at least the part of the Research Output which is within that person's expertise.

No person who is an Author, as outlined in this document, can be excluded without their permission in writing.

- 2.9. Authors must include their ORCID identifier in their publications and in their Research Management System (Pure) researcher profile.
- 2.10. All Contributors to a Research Output who are not Authors should be recognised and named in the work's footnotes or the acknowledgments section detailing the nature of their contributions. Provision of technical assistance is not normally sufficient for inclusion as an Author. However, provision of important technical support, materials, or other support components by individuals or organisations, should be acknowledged.
- 2.11. A Researcher must, prior to publication of any research that names the Researcher as an Author, assure themselves that:
 - (a) authorship has been offered to all people, including students, who meet the criteria for authorship listed above in clause 2.3; and
 - (b) appropriate steps have been taken to obtain each person's written or email notification of acceptance or disclaimer of authorship within a reasonable time of the offer being made.
- 2.12. When there is more than one co-author of a Research Output, one Author (by agreement among the others) should be nominated as Corresponding Author for the entire Research Output and should be responsible for record-keeping regarding that Research Output.
- 2.13. When the research is to be submitted for publication, including digitally, all co-authors of a publication must acknowledge their authorship in writing, in terms of the minimum acceptable definition at 2.3 above. The signed statement of authorship must specify that the signatories are the only Author according to this definition and that they have seen the version of the paper submitted for publication. This information must be included in the Authorship Agreement Form and lodged with the Associate

Dean Research in each Faculty and recorded in the University's information management system (Pure).

- 2.14. If, for any reason, one or more of the co-authors are unavailable or otherwise unable to sign the Authorship Agreement Form, the Associate Dean Research may sign on their behalf noting the reason for their unavailability.
- 2.15. Conflicts or disputes about authorship should be mediated by the Associate Dean Research, the Executive Dean, and a senior member of the Faculty Research Committee in the first instance. If the matter cannot be resolved it should be referred to the Deputy Vice Chancellor (Academic) and then to the Vice Chancellor.

3. UNACCEPTABLE INCLUSIONS OF AUTHORSHIP

- 3.1. The following activities do not by themselves constitute a claim to authorship without substantial intellectual contribution to the work:
 - (a) being head of department, holding other positions of authority, or personal friendship with the Authors;
 - (b) providing a routine technical contribution;
 - (c) providing routine assistance in some aspects of the project;
 - (d) acquisition of funding;
 - (e) general supervision of the research team;
 - (f) providing data that has already been published or materials obtained from third parties (including the routine collation and provision of research source material).

4. ATTRIBUTION OF RESEARCH OUTPUT AFFILIATION

- 4.1. In order that Bond University's achievements and investment in research receive appropriate acknowledgement and contribute to all relevant measures of performance, Bond must be attributed as the institution of affiliation by all Bond staff and students, and by joint, conjoint and adjunct appointments where appropriate (see Authorship Procedure for details). This should be the case whenever the research was conducted at Bond University, even if an Author/creator has subsequently left the institution, as the meaningful institutional support of both past and current university employers can count for some reporting purposes.
- 4.2. In addition to disclosing institutional affiliation and support, a publication must include information on all other sources of financial and in-kind support for the research, including grant ID number(s). This meets best practice guidelines, as outlined in the National Code, and facilitates compliance with the Australian Research Council (ARC) Open Access Policy and the National Health and Medical Research Council (NHMRC) Revised Policy on Dissemination of Research Findings, to ensure that the findings of publicly funded research are made available to the wider public as soon as possible.

5. PUBLICATION

- 5.1. Publication of multiple papers based on the same set(s) or subset(s) of data is generally not acceptable, except where there is full cross-referencing and disclosure within the papers (for example, in a series of closely related work, or where a complete work arose from a preliminary publication and this is fully disclosed).
- 5.2. An Author who submits a substantially similar work for publication to more than one publisher must disclose this to the publishers at submission.
- 5.3. As a general principle, research findings should not be reported in the public media before they have been reported to an audience of research experts in the field of research and, preferably, in the form of a peer-reviewed journal, unless contractually limited from so doing.
- 5.4. On occasion, issues of public policy and concern may make it desirable that advice is given to the public or professional authorities before the research findings are published in a peer reviewed journal or presented at a scientific conference. In these circumstances, the authorities should be advised of the unreported status of the findings. The media should only be advised of unreported research findings when the responsible authorities fail to act.
- 5.5. Where research which has not yet been scrutinised by peer review is privately reported, especially to prospective funding organisations, Researchers are obligated to fully disclose the status of the work and outline the proposed peer review mechanisms to which it will be subjected.

- 5.6. Publications must include information on the sources of financial support for the research and should include recognition of the University's support. While the transparency of financial sources is an important aspect of research integrity, private donor requests for privacy may be preserved where appropriate.
- 5.7. At all times research publications should be prepared with exacting rigour and attention to accuracy. All reasonable steps must be taken to ensure that published reports, statistics, images or public statements about research activities and performance are complete, accurate and unambiguous.
- 5.8. All Bond University authors must record the details of their affiliated research publications in the University's Research Management System (Pure).
- 5.9. The University supports the principle of Open Access (OA) and compliant OA versions of Research Outputs are to be deposited in the University's Research Management System in accordance with the [Open Access Policy](#).
- 5.10. It is the responsibility of researchers to comply with the OA requirements of funding bodies particularly the ARC and NHMRC.

6. DECLARATION OF INTERESTS IN RESEARCH OUTPUT

- 6.1. Authors must be aware that perceived or real conflicts of interest (for example, sources of funding or other commercial interests or affiliations) may interfere with the perceived integrity of research conducted at Bond University. Therefore, in the confirmation of authorship, all Authors must take responsibility for declaring any potential or actual conflict of interest according to Bond University's Research Code of Conduct Policy, Code of Conduct Policy and Conflict of Interest Procedure.

7. DEFINITIONS

Author	The creator, single or joint, of any Research Output, who has made a substantial intellectual contribution to its creation.
Contributor	May include those who have contributed to the Research Output, such as research assistants, technical writers, and research degree students.
Corresponding Author	Senior or corresponding Author who is the Author responsible for liaison with publishers, communication with all Authors and Contributors and the maintenance of all records concerning authorship.
Research Output	A publication, report or creative output that meets the definition of research in the HERDC and ERA guidelines. Includes traditional publications, such as journal articles, books, chapters and conference papers, and equivalent forms of research output.
Researchers	Staff, visiting fellows and researchers, adjuncts, visiting students or volunteers, academic title holders and students of the University who conduct research and acquires or creates research data.
National Code	The Australian Code for the Responsible Conduct of Research (2018)

8. RELATED PROCEDURES, GUIDELINES, AND FORMS

[Authorship Procedure](#)
[Authorship Agreement Form](#)
[Conflict of Interest Procedure](#)