



## AUTHORSHIP POLICY

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<b>Responsible Division &amp; Unit:</b>	Research Services Office, Research and Innovation Division (RaID)		
<b>Supporting documents, procedures &amp; forms:</b>	<a href="#">Authorship Acknowledgement Procedure</a> <a href="#">Authorship Grievance Procedure</a> Authorship Acknowledgement Form <a href="#">Conflict of Interest Policy</a> <a href="#">IP Intellectual Property Policy</a> <a href="#">Code of Practice –Research</a> <a href="#">Research Misconduct and Complaints Management Policy</a> <a href="#">Research Data Management Policy</a> <a href="#">Research Sponsorship and Collaboration Policy</a>		
<b>Relevant Legislation &amp; External Documents:</b>	<a href="#">The Australian Code for Responsible Conduct of Research (2007)</a> <a href="#">Research Integrity and Research Misconduct Policy (2016)</a>		
<b>Audience:</b>	Public – Accessible to Anyone		

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## 1 Purpose of Policy

1. This Policy outlines the principles for determining authorship of publications that are the result of research undertaken at the University of Wollongong (“the University”).
2. The purpose of this policy is to ensure:
  - 2.1. Researchers who participate in investigation and other academic activities are equitably acknowledged and their contributions are fairly represented;
  - 2.2. The criteria for attribution of authorship of all research outputs is clarified and appropriate steps to confirm authorship are taken prior to any submission of research outputs for publication; and
  - 2.3. The University complies and is fully consistent with all relevant external regulations and guidelines relating to the attribution of authorship.

## 2 Definitions

Word/Term	Definition (with examples if required)
Author	The creator, single or joint, of any research output who has made a substantial intellectual contribution to its creation.
Authorship	The intellectual participation in conceiving, executing or interpreting at least part of a research, scholarly or other academic output in the author's field of expertise, sufficient for the author to take public responsibility for that output.
Research	The creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.
Researcher	Staff member, occupational trainees, visiting student, visiting fellow, volunteer, industry fellow, honorary and adjunct title holders, Emeritus Professors, professional staff, visiting students and all students registered for any course at the University who conduct research at or on behalf of the University.
Staff Member	All persons appointed as an academic or professional staff member of the University whether they hold full-time, part-time, casual, contract or conjoint appointments.
The Code	National Health and Medical Research Council <a href="#">The Australian Code for Responsible Conduct of Research (2007)</a> .
The University	University of Wollongong.
Visiting Fellow	Honorary and visiting fellows appointed by UOW to non-salaried, full-time or fractional positions titled “Associate Fellow”, “Fellow”, “Senior Fellow”,



	Honorary and visiting fellows appointed by UOW to non-salaried, full-time or fractional positions titled “Associate Fellow”, “Fellow”, “Senior Fellow”, “Principal Fellow”, “Professorial Fellow”, “Visiting Fellow”, or “Research Fellow” who are not Visiting Students or Volunteers.
Visiting Student	A student who undertakes part of their research or training at UOW but who is not registered at UOW.
Volunteer	A person who is not a Fellow, Visiting Student, Staff Member or Student of UOW but is working on a UOW project in a voluntary capacity. An example of a volunteer is someone who is undertaking unpaid work experience at UOW or is doing an internship at UOW. A collaborating colleague from another University or research institution is not a Volunteer.

### 3 Application & Scope

1. This policy applies to:
  - a. Research and other academic outcomes distributed by both traditional and web-based publications such as journal articles, books, reports, chapters and conference papers.
  - b. All Researchers including academic, adjunct and professional staff, students, volunteers, Fellows, visiting academics and students and any other person(s) involved in joint publications with Researchers at the University.

### 4 Policy Principles

1. In accordance with the National Health and Medical Research Council Australian Code for the Responsible Conduct of Research (“the Code”) the principle of fairness requires that the work of others is cited and referenced appropriately and acknowledgement of authorship is given to those making a substantial scholarly contribution to the output.
2. Authorship must be offered to all researchers satisfying the eligibility criteria (as outlined in Section 5). The decline or acceptance of authorship must be in writing using the process outlined in the University *Authorship Acknowledgement Procedure*.

### 5 Authorship Criteria

1. To be eligible to claim authorship the contribution must be intellectual and substantial and made in a combination of the following areas:
  - a. Project and concept design;
  - b. Research data analysis and interpretation;
  - c. Drafting significant components of the work; and/or
  - d. Revision of significant parts of the work to contribute to the interpretation of it.
2. Authorship can only be offered to those Researchers meeting the criteria in Section 5.1.
3. Authors must qualify for and agree to the offer of authorship.



4. Authorship is not a right that is:
  - a. Tied to a position or a profession (such as Dean) or association with the author rather than by virtue of intellectual input into the work;
  - b. Based on whether the contribution is paid or voluntary;
  - c. Attributed to the provision of routine assistance or technical support, in the absence of intellectual input to the project;
  - d. Offered for providing previously published materials or data to include in the publication, in the absence of intellectual input into the specific project; and/or
  - e. Pertaining to the provision of resources, data, or material that is already in the public sphere or obtained from third parties with no intellectual input, even if the non-provision would have made the research difficult or impossible to pursue or complete.

## 6 Roles & Responsibilities

1. The University has a responsibility to:
  - a. Maintain and promote this policy;
  - b. Provide Researchers with training and awareness of the policy and their responsibilities in relation to authorship; and
  - c. Undertake annual monitoring of compliance.
2. Researchers have a responsibility to:
  - a. Comply with this policy and all applicable regulations;
  - b. Agree on authorship at the early stages of the project and periodically review their decisions;
  - c. Offer authorship to all people meeting the criteria in Section 5;
  - d. Accept or decline an offer of authorship in writing;
  - e. Ensure authorship is not offered to those not meeting the criteria in Section 5;
  - f. Take responsibility for the validity, originality and integrity of the research they contributed to the publication;
  - g. Take all reasonable steps to ensure findings are accurate and honestly reported;
  - h. Correct any inaccurate and/or improper reporting records as soon as they become aware of them;
  - i. Include information acknowledging all financial and in-kind support that has been received for the research they are publishing;
  - j. Include information acknowledging any conflicts of interest for the research being published;
  - k. Follow the University *Authorship Acknowledgement Procedure* and *Authorship Grievance Procedure*; and/or



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1. Ensure all scholarly outputs are recorded in the University Research Information System (RIS) and that research publications in RIS are also made available online via Research Online, the University's institutional repository.



## 7 Version Control and Change History

Version Control	Date Effective	Approved By	Amendment
1	10 October 1997	University Council	New Policy
2	15 September 2004	Academic Senate	Minor revisions to some definitions
3	18 April 2008	University Council	Major revisions in line with the 2007 joint National Health and Medical Research Council/Universities Australia Australian Code for the Responsible Conduct of Research.  Formatted into the Standard Policy Template.
4.	6 May 2009	Vice Principal (Administration)	Migrated to UOW Policy Template as per Policy Directory Refresh
5	4 February 2010	Deputy Vice-Chancellor (Research)	Review by Director of Commercial Research.  No changes required and new review date set.
6	18 August 2010	N/A	Policy Custodian position title and email address changed to reflect new role.
7	20 April 2011	University Council	Minor revisions to clarify content regarding standardisation of addresses and affiliation to UOW of authors of papers.
8	21 June 2011	Vice-Principal (Administration)	Updated to reflect change of name from Wollongong College Australia to UOW College.
9	20 February 2017	Vice-Chancellor	Amendments to the links to current Legislation and other information to bring in line with other UOW policy.
10	18 August 2017	University Council	Revision to create a policy document supported by subsequent procedural documents that are reflective of current practice. Updated to reflect the new template as well.