Authorship Procedure

1 Purpose

To establish the process by which Authorship is managed at the University.

2 Scope

This Procedure applies to all Researchers.

3 Procedure Overview

This Procedure supports the University's Research Code of Conduct Policy and contains specific guidance to assist Researchers to appropriately attribute Authorship, to identify responsibilities and to manage disputes.

The University recognises Authorship in the following circumstances:

- a significant intellectual or scholarly contribution to a Research Output; and/or

- significant contributions to documents related to Research, such as Research proposals, grant applications, reports for funding agencies, tenders, patents and patent applications, creative works, reports, and web-based publications and applications (e.g., professional blogs).

This Procedure closely aligns with Authorship: A Guide supporting the Australian Code for the Responsible Conduct of Research. It outlines the responsibilities and processes related to Authorship at the University. Specifically, it aligns with the following principles outlined in the Australian Code for the Responsible Conduct of Research (the Code):

- Principle 4, 'Fairness in the treatment of others', which requires Researchers to 'give credit, including Authorship where appropriate, to those who have contributed to the Research.'

- Principle 6, 'Recognition of the right of Aboriginal and Torres Strait Islander Peoples to be engaged in Research that affects or is of particular significance to them', which requires Researchers to credit the contributions of Indigenous people and knowledge.

4 Procedures

4.1 Criteria for Authorship

Consistent with the Authorship: A Guide supporting the Australian Code for the Responsible Conduct of Research, Authorship must be based on significant intellectual or scholarly contribution that must include one, and should include a combination of two or more, of the following:

- conception and design of the project or output;

- acquisition of Research Data where the acquisition has required significant intellectual judgement, planning, design, or input;

- contribution of knowledge, where justified, including Indigenous knowledge;

- analysis or interpretation of Research Data; and

- drafting significant parts of the Research Output or critically revising it so as to contribute to its interpretation.

It is a breach of the Code to fail to acknowledge individuals who meet any of the above criteria. It is also a breach of the Code to include authors who do not meet at least one of the above criteria.

In line with current best practice (e.g., International Committee of Medical Journal Editor - recommendations), all authors must also:

- agree to be personally accountable for the author's own contributions;

- ensure that questions related to the accuracy or integrity of any part of the work, even those in which the author was not involved, are appropriately investigated, resolved, and resolutions documented in the literature; and

- approve the submitted version of the output.

Contributors who do not meet the criteria for Authorship or are unable to approve the submission or be accountable for its content should be listed in the Acknowledgements section.

4.2 Authorship agreements

Researchers should discuss Authorship at the early stages of Research and continue that discussion through the development of a Research project. It should be noted that Authorship

may evolve and change, especially as new people may be brought into a collaboration to provide additional information and discipline expertise. An Authorship agreement is needed for each Research Output.

It is good practice to have an Authorship agreement in place that can be updated throughout the development of the paper and finalised prior to submission. Authors must approve the Research Output before its submission for publication and, in doing so, agree to be accountable for it. Authors must also approve the final version before publication.

It is recommended that the University's Authorship Agreement form is used to facilitate discussion and record Authorship contributions and agreement. This ensures that there is appropriate:

- identification of those who will be recognised as the authors of the Research Output;

- documentation and confirmation of the affiliation of each author;

- description of the contribution that each author has made (or will make) to the Research Output;

- indication of the order in which the authors appear. The agreed order of authors should be consistent with any applicable disciplinary norms and publication requirements;

- identification of those who will be acknowledged for their contribution(s) other than Authorship; and

- identification of at least one corresponding author.

A record of agreement may also be captured through email or letters. It is the responsibility of the corresponding author to maintain records of the Authorship agreement. All authors are also encouraged to keep records for their own reference, particularly when co-authors are from different institutions.

Researchers are recommended to regularly review the University's Authorship Agreement form and Authorship documentation to prevent Authorship disputes.

4.3 Corresponding author

Where there is more than one author of a Research Output, at least one co-author, by agreement amongst the authors, should be nominated as the corresponding author. The corresponding author is responsible for communication between the publishers and managing communication between the co-authors. The corresponding author is also responsible for ensuring that the submission is compliant, and the Research presented satisfies all requirements by the publisher as well ensuring that all authors have approved the submission, including the order of authors and contributions.

4.4 Appropriate and fair attribution of Authorship

Researchers must ensure appropriate and fair attribution of Authorship, avoiding ghost, gift or honorary Authorships. All authors are responsible for raising concerns around the omission of any individuals who have had a significant intellectual or scholarly contribution. A Researcher who qualifies as an author must not be included or excluded without their written agreement, and a record of this agreement must be kept.

4.5 Accountability

All authors are collectively responsible for the whole Research Output. An individual author is directly responsible for the accuracy of their contribution and should have confidence in the contributions of their fellow authors.

Responsibilities may vary depending on extent and type of the contribution by each author. If an author doesn't agree to be accountable for their contribution, their contribution should not be included in the Research Output.

All authors are responsible for:

- their direct contribution to the Research Output;

- taking reasonable steps to ensure the accuracy and integrity of the contributions of all other co-authors;

- raising any concerns about the accuracy and integrity of the Research before the Research is submitted or published;

- disseminating overall Research findings and conclusions responsibly, honestly and with integrity and transparency, and making findings openly accessible where possible;

- disclosing any Conflict of Interest (perceived, potential or actual) in the Research Output;

- citing and acknowledging other relevant work appropriately, following corresponding guidelines and formatting accurately;

- responding to any concerns about the accuracy and integrity of the Research and promptly and diligently acting to correct the record to amend any errors made in any published material; and

- following publisher guidelines in regard to the use of artificial intelligence, and/or disclosing whether an artificial intelligence system was used and clearly acknowledging and explaining how the tool was used.

Failure to comply with this Policy or Policy Instrument may be considered as misconduct and the provisions of the relevant Policy or Procedure applied. A hard copy of this electronic document is uncontrolled and may not be current as UniSQ the University regularly reviews and updates its Policies and Policy Instruments. The latest controlled version can be found in the UniSQ's Policy and Procedure Library.

In addition to the responsibilities outlined above, the corresponding author is responsible for ensuring that agreement has been reached and recorded appropriately prior to submitting the Research Output for publication. In rare circumstances where all reasonable efforts have been made to contact an author and these are documented, or where a person is deceased, and approval cannot be obtained, publication can proceed provided their contribution warranting Authorship is recorded in writing and there are no known reasons why the person would object to being included as an author. Allegations of Plagiarism (including author exclusion) will be resolved in accordance with the Research Code of Conduct: Management of Potential Breaches Procedure.

4.6 Contributions other than Authorship

Authors are responsible for fairly and fully acknowledging those who have contributed to the Research and Research Output but do not meet the criteria for Authorship. For example:

- sources of funding or any financial or in-kind support;

- significant contributions by people such as Research assistants, statisticians, software/code developers, cultural/community advisors, or librarians; or

- contributions in the form of samples, materials, data, equipment, technical assistance or writing.

An acknowledgement could also appear if one of the major contributors passes away before an output is finalised (and it is unclear whether they meet the criteria for Authorship). The terms of acknowledgement should be discussed with the next of kin and their views sought prior to publication. Acknowledgements must be made in accordance with the relevant funding, Research or other agreement.

It is expected that when acknowledgements are included, authors obtain the permission of named contributors prior to inclusion.

Researchers intending to publish Indigenous knowledge obtained through sources including unpublished manuscripts or audio or video recordings should refer to the National Health and Medical Research Council Ethical guidelines for Research with Aboriginal and Torres Strait Islander peoples. Researchers should refer to the University's Intellectual Property Policy and subordinate Procedures as well as the Research Data Management and Indigenous Data Governance Schedule when proposing to work with Aboriginal and Torres Strait Islander Research.

4.7 University of Southern Queensland affiliation

The name 'University of Southern Queensland' must:

- Appear in all outputs produced by University Researchers and only in Research Outputs generated under the auspices of the University, even if published after the Researcher(s) leave the University. If the Researcher moves to another institution, University of Southern Queensland should appear as secondary affiliation. Incomplete or incorrect profiles or Research Output records are minimised when all authors include their unique Open Researcher and Contributor Identifier (ORCID) in every output authored.

- Be used in full; acronyms or abbreviations should not be used in Research Outputs.

- Appear as the primary affiliation of Researchers employed with a Research function at the University. A School, Institute or Centre may be listed as part of the University of Southern Queensland byline, also in full, and if that area has contributed to the Research. An example of a University byline is below, slight variations can be applied as required by the publisher.

  - "<Researcher Name>, <Research Institute>, University of Southern Queensland, Australia"

- Be accompanied by other non-University affiliations relevant to the author's Research and academic practice (e.g., company, business, organisation). Citing non-University affiliations related to the output is important for identifying industry collaboration and Research translation, and is necessary for declaring a potential, perceived or actual Conflict of Interest.

4.8 Authorship disputes

4.8.1 Informal resolution

Where a dispute arises between authors, all parties are encouraged to first attempt to resolve the matter informally and ideally using an existing Authorship agreement for the output under dispute. Records of Authorship disputes and the agreed resolution should be kept by the authors involved. It is noted that this informal resolution process may not be possible in situations where:

- power imbalances exist between authors;

- there are breakdowns in communication;

- there is a failure to accept accountability for contribution/s; and/or

- the Research Output has been published.

Researchers may also seek advice from a University Research Integrity Advisor. Research Integrity Advisors play an important role in building the culture of Research integrity and ethics

at the University. They provide initial advice to Researchers who may be unsure about responsible Research conduct. Student Researchers are also encouraged to seek advice from Student advocates.

4.8.2 Mediation

If informal resolution is not possible or is unsuccessful in resolving the matter, the Researcher/s involved should consult a senior academic who must be completely independent of the dispute and have no actual or perceived Conflicts of Interest. Suggested examples of appropriate senior academics include the Associate Dean (Research), Institute Executive Director, or Dean (Graduate Research School).

The senior academic shall attempt to resolve the dispute by mediation. Any agreement reached in mediation must be recorded in writing. If mediation fails, or if the process is taking a significant amount of time (i.e., more than 12 weeks) to resolve, the dispute should be referred in writing to the Manager (Research Integrity and Ethics).

4.8.3 Referral

When a matter is referred to the Manager (Research Integrity and Ethics) by either the senior academic or one or more of the author/s, it should include the following details:

- the parties involved and contact details;

- the reason for the dispute;

- a copy of the Authorship agreement or any informal written documentation about Authorship, such as email correspondence;

- copies of any key documentation to show how each of the authors may have made a significant intellectual contribution to the Research Output;

- a list of all those believed to be valid authors, and why;

- a list of those believed to have contributed to the Research Output and who should be acknowledged (without being an author), and why;

- a basic timeline of events leading to the dispute;

- the outcome sought and the reason why;

- details of any attempt at informal resolution; and

- any other relevant documentation.

Following receipt of the matter, the Manager (Research Integrity and Ethics) will review details received. Following review, the Manager (Research Integrity and Ethics) may determine that the Authorship dispute should be dealt with in accordance with the Research Code of Conduct: Management of Potential Breaches Procedure and refer it accordingly.

If it is not referred, the Manager (Research Integrity and Ethics) will arrange a meeting with all parties to attempt to clarify the concerns. At this point the matter may be able to be resolved. If the matter is not resolved, an initial assessment will be prepared by the Manager (Research Integrity and Ethics) for the Deputy Vice-Chancellor (Research and Innovation) to make a determination.

4.8.4 Final review and outcome

The Deputy Vice-Chancellor (Research and Innovation) will review the initial assessment and may choose to meet with all parties involved prior to making a determination. In reviewing the matter, the Deputy Vice-Chancellor (Research and Innovation) may determine that an Authorship dispute should be dealt with in accordance with the Research Code of Conduct: Management of Potential Breaches Procedure.

The Decision made by the Deputy Vice-Chancellor (Research and Innovation) is final and will be communicated in writing to all parties involved. If an agreement cannot be reached among all eligible authors, the Research Output should not be published in its current form.

Disputes involving authors from other institutions are to be handled by the institution of the corresponding author. Confidentiality will be maintained to the greatest extent possible in resolving Authorship disputes.

4.8.5 Potential breaches

The Research Code of Conduct: Management of Potential Breaches Procedure outlines the process for reviewing potential breaches of the University's Research Code of Conduct Policy and associated Procedures. Examples of a Breach in Research related to Authorship can be found in more detail in Authorship: A guide supporting the Australian Code for the Responsible Conduct of Research.

5 References

Australian Government. (2019). Authorship: A guide supporting the Australian Code for the Responsible Conduct of Research. Canberra, ACT: Australian Government, Retrieved from: https://nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018

Australian Government. (2018). Australian Code for the Responsible Conduct of Research. Canberra, ACT: Australian Government, Retrieved from: https://nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018

6 Schedules

This procedure must be read in conjunction with its subordinate schedules as provided in the table below.

7 Procedure Information

Accountable Officer	Deputy Vice-Chancellor (Research and Innovation)
Responsible Officer	Deputy Vice-Chancellor (Research and Innovation)
Policy Type	University Procedure
Policy Suite	[Research Code of Conduct Policy](#)
Subordinate Schedules	
Approved Date	10/12/2025
Effective Date	10/12/2025
Review Date	10/12/2030
Relevant Legislation	
Policy Exceptions	[Policy Exceptions Register](#)
Related Policies	[Intellectual Property Policy](#) [Records and Information Management Policy](#)
Related Procedures	[Commercialisation of Intellectual Property Procedure](#) [Intellectual Property Procedure](#) [Research Code of Conduct: Management of Potential Breaches Procedure](#) [Research Data and Primary Materials Management Procedure](#)
Related forms, publications and websites	[Australian Code for the Responsible Conduct of Research](#) • [Authorship Guide](#) • [Peer Review Guide](#) [University Authorship Agreement Form](#)

Definitions	**Terms defined in the Definitions Dictionary** [Conflict of Interest](#) If a University Member has an interest that conflicts or may conflict with the discharge of the University Member's duties the University Member should Declare the nature of the interest and the conflict to the University Member's Supervisor as soon as practicable after the relevant facts come to the University Member's knowledge and must not take action or further action relating to a matter that is or may be affected by the conflict until authorised. An Executive Leader may direct a University Member to resolve a conflict or possible conflict between an interest of the University Member and the University Member's duties. A reference to an interest or to a Conflict of Interest is a reference to those matters within their ordinary meaning under the general law, and, in relation to an interest, the definition in the Acts Interpretation Act 1954, Schedule 1, does not apply. A Conflict of Interest will arise when a University Member's Private Interests conflict with their duty to the University or to serve the public interest as a University Member. The risk of having a conflict of interest increases where a University Member's responsibilities include the authority to make decisions. A conflict of interest may be potential, perceived or actual - when a University Member is in a role where future decision making may be influenced by their Private Interests if a certain condition is fulfilled, they have a potential conflict of interest; a perceived conflict of interest arises where it appears that decisions a University Member make in the course of their University employment may be influenced by their Private Interests, whether or not this is in fact the case; an actual conflict of interest exists where a University Member's actions could be unduly, improperly or excessively influenced by their Private Interests. Serious misconduct can occur when a conflict of interest is concealed, understated, mismanaged or abused. [Plagiarism](#) An attempt to obtain undeserved advantage by taking and presenting words, ideas or information from another source as their own, without appropriate acknowledgement or referencing. This includes all published and unpublished material, whether in manuscript, printed or electronic form, and material generated wholly or in part through the unauthorised or unacknowledged use of artificial intelligence. Re-using one's previously assessed work, in whole or part, for a different assessment item or publication and presenting it as new is also a form

of plagiarism.

Research

Research is the creation of new knowledge and/or the use of existing knowledge in a new and creative way to generate new concepts, methodologies, inventions and understandings. This could include the synthesis and analysis of previous research to the extent that it is new and creative.

Research Data

Researchers have a responsibility to retain clear, accurate, secure and complete records of research data. It is critical that data includes records necessary for the reconstruction and evaluation of reported results and processes leading to those results. Research data relates to facts, observations, measurements or experiences on which an argument, theory or test is based. Research Data may be numerical, descriptive, visual or tactile. It may be raw, or analysed, experimental or observational and may be held in any format or media. Examples include, but are not limited to: Laboratory notebooks; Field notebooks; Primary Research Data; Questionnaires; Audio and video recordings; Photographs; Films; Test responses, and Any other records that are necessary for the reconstruction and evaluation of the reported results of research. Research Collections may include slides, specimens, samples and artefacts; with related provenance information. Research data (and primary materials) includes evidence supporting findings. For example, in the Creative Arts this may include early drafts and concept documents prior to the final output of the creative work.

Research Output

An output is an outcome of research and can take many forms. Research Outputs must meet the definition of Research.

Researcher

Any person/s involved in Research Activities at, or on behalf of the University. This includes, but is not limited to Employees, Students, visiting scholars, research partners, research affiliates, holders of Honorary or Adjunct positions.

Student

A person who is enrolled in a UniSQ Upskill Course or who is admitted to an Award Program or Non-Award Program offered by the University and is: currently enrolled in one or more Courses or study units; or not currently enrolled but is on an approved Leave of

Absence or whose admission has not been cancelled.

[University](#)

The term 'University' or 'UniSQ' means the University of Southern Queensland.

Definitions that relate to this procedure only

Authorship

Authorship should be an honest reflection of the contribution to Research; assigned fairly, and consistently with established disciplinary practice; and communicated clearly and transparently between contributors to the Research.

An author must satisfy at least one, preferably two or more of the following to be included on a Research Output:

- Conception and design of the project or Research Output.

- Acquisition of Research data where the acquisition has required significant intellectual judgement, planning, design, or input.

- Contribution of knowledge, where justified, including Indigenous knowledge.

- Analysis or interpretation of Research data.

- Drafting significant parts of the Research Output or critically revising it so as to contribute to its interpretation.

Authorship must not be attributed when an individual has not made a significant intellectual or scholarly contribution to a Research Output. It should not be attributed solely on the basis of:

- The provision of funding, data, materials, infrastructure or access to equipment.

- The provision of routine technical support, technical advice or technical assistance.

- The position or profession of an individual (commonly referred to as 'gift Authorship').

	• Whether the contribution was paid for or voluntary. • The status of an individual who has not made a significant intellectual or scholarly contribution being such that it would elevate the esteem of the Research (commonly referred to as 'guest Authorship'). If appropriate, recognition of these other types of contributions by Researchers, funding bodies and/or organisations may be included on the Research Output as an acknowledgement (but not as Authorship).
Keywords	
Record No	14/2211PL