
Recognition of Authorship Policy

Research Policy Group

1 Purpose

Universities are distinguished by the requirement that they maintain, advance, disseminate, and assist the application of knowledge (Education Act 1989, s162(4)). The principal means by which researchers advance and disseminate knowledge is by publishing research; world leaders are active publishers. The purpose of this policy is to ensure that all contributors receive appropriate recognition for their work.

2 Organisational Scope

This is a University-wide policy.

3 Definitions

For purposes of this policy, unless otherwise stated, the following definitions shall apply:

Publication: Can refer to either the action of publishing or the actual published work

4 Policy Content and Guidelines

4.1 Authorship

- (a) This policy acknowledges that guidelines and conventions specific to disciplines and journals exist, and that authors of publications will need to follow these. However, choice of journals and other publication media must ensure that all persons who have earned authorship are appropriately recognised.
- (b) Authorship of a publication is warranted if a person makes a significant contribution to a work in, for example, at least one of the following ways:
 - (i) conception and design of research;
 - (ii) analysis and interpretation of data;
 - (iii) drafting the publication or revising it for substantive intellectual content.
- (c) None of the following is sufficient on its own to justify attribution of authorship:
 - (i) participation solely in the acquisition of funding;
 - (ii) routine collection of data;
 - (iii) general supervision or oversight of a research group or individual.
- (d) Authors of a publication must be able to take public responsibility for at least that part of the work that falls within their area of expertise, or - as is the convention in some

disciplines – the entire paper. All authors must approve the final version of the publication.

- (e) Researchers are encouraged to discuss recognition of authorship at an early stage in the project, and where possible, to reach a decision at this stage. Researchers are also encouraged to review these arrangements periodically, especially at the request of any one of the participants.
- (f) Researchers should record and retain any initial agreement (see the appendix for a sample agreement) on recognition of authorship and any subsequent changes to that agreement.
- (g) Contributions that do not warrant recognition of authorship may be acknowledged in a note or other means as customary in the discipline.
- (h) Nothing in 4.1 (a) – (g) should be construed to circumvent attributing authorship when recognition of that authorship is warranted.

4.2 Special considerations when co-authors are students

- (a) Particular care should be taken with students to distinguish between work that is produced for a qualification, and work that is produced for publication.
 - (i) *Work produced for a qualification.* Any work undertaken by a student as part of a qualification is the final responsibility of the student, not of a staff member. In other words, students must be the authors of their thesis or other similar work that is required for a qualification.
 - (ii) *Work produced for publication.* Because supervisors normally contribute intellectually to a student's research, depending on discipline specific guidelines and conventions as acknowledged in 4.1 (a), their authorship is to be recognised. Joint publication may be a warranted output from the supervisory relationship [see, for example, section 5.1.3 of the [Intellectual Property Policy](#)].
- (b) When staff and students work collaboratively on a publication, it is recommended that:
 - (i) Recognition of co-authorship by a supervisor be dependent upon the nature of the contribution and discipline specific conventions.
 - (ii) The Victoria staff member will normally be the author who corresponds with the publisher.

4.3 Conflict resolution

Should disputes arise over recognition of authorship, the Vice-Provost (Research), or delegated authority (who is not a party to the research), should in the first instance facilitate negotiation among the parties. If a dispute is not resolved, the Vice-Provost (Research) (or delegated authority) will appoint an independent mediator. Negotiated outcomes must be consistent with this policy.

5 Legislative Compliance

The University is required to manage its policy documentation within a legislative framework. The legislation directing this policy is the:

[Education Act 1989](#)

6 References

[Intellectual Property Policy](#)
[Doctoral Policy](#)

7 Appendices

[Appendix A: Staff-Student Publication Agreement](#)

8 Approval Agency

Academic Board

9 Approval Dates

This policy was originally approved on: 7 December 2000

This version was approved on: 22 November 2016

This version takes effect from: 22 November 2016

This policy will be reviewed by: 22 November 2019

10 Policy Sponsor

Provost

11 Contact Person

The following person may be approached on a routine basis in relation to this policy:

Associate Director Research Services

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