

Authorship Standards (interim)

1. Introduction

The *Australian Code for the Responsible Conduct of Research (Australian Code)* was substantially revised in 2018 and the *Macquarie University Code for the Responsible Conduct of Research (Macquarie Research Code)* subsequently amended and issued in July 2019.

The *Macquarie Research Code* articulates broad principles and responsibilities which underpin the responsible conduct of research across varied research contexts and disciplines. It is in place to ensure that research being undertaken under the auspices of Macquarie University is conducted with the highest standards of ethics, responsibility and integrity.

The detail provided in the former *Australian Code* and *Macquarie Research Code* about how the principles and responsibilities should be applied to specific elements or stages of the research process (in this case, to Authorship) is being refined and clarified. This detail will be included in accompanying guides being written by the Australian Research Council (ARC), National Health and Medical Research Council (NHMRC) and Universities Australia. Until each guide is issued and the associated policies and guidance at Macquarie University are adjusted, researchers are expected to refer to the relevant chapter of the former *Macquarie Research Code* (reproduced in section 4).

The *Macquarie University Research Code Complaints, Breaches and Investigation Procedure* describes how deviations from the principles and responsibilities outlined in the *Macquarie Research Code* (including failing to meet these standards) must be reported, assessed, investigated and managed.

2. Purpose

These standards supplement the *Macquarie University Code for the Responsible Conduct of Research (Macquarie Research Code)* and outline the expected conduct of researchers related to authorship.

3. Scope

- a. These standards apply to anyone who conducts research or research support under the auspices of Macquarie University, as per the *Macquarie Research Code*.
- b. While these standards establish the regular expectations for all Macquarie researchers, additional requirements may be imposed on those involved with external/overseas institutions, external funding bodies or publishers, external collaborators, or where required by local legislation, for example in the case of HDR Candidates subject to cotutelle or joint PhD agreements or researchers with a conjoint appointment.
- c. Researchers may consult with a Research Integrity Advisor (RIA) at any time for advice in relation to the implementation of these standards.

3. Chapter 10. Authorship

Duplicated from the first edition of the *Macquarie University Code for the Responsible Conduct of Research, Part A: Principles and Practices to Encourage Responsible Research Conduct*

1. For a person to be recorded as an author of an output requires that he or she is directly involved in the creation by making substantial contributions through a combination of the following criteria:
 - a. conceiving or designing the project
 - b. analysing and interpreting the data on which it is based; or
 - c. writing or critically revising the intellectual content in the output.
2. In addition to the criteria in section 1.1 all authors must give final agreement to the version to be submitted for publication and retain a record of that agreement. Minor corrections (e.g. correction of typographical errors) to proofs may be managed by the corresponding author without the need for further agreement. However, substantial changes in content (e.g., new results, corrected values, and changes of title and authorship) are not allowed without the approval of all authors.
3. A person who has made a significant contribution to the work underpinning a publication, but does not meet any of the above criteria, should not be listed as an author.
4. The right to authorship is not tied to position or profession; ghost, gift, or honorary authorship is unacceptable. Authorship should honestly reflect contribution to the work being published.
5. Acquisition of funding, the collection of data, general supervision of the research group, provision of technical assistance or materials do not, by themselves, justify authorship.
6. Any part of an article that is critical to its main conclusion must be the responsibility of at least one author.
7. An author's role in a research output must be sufficient for that person to take public responsibility for at least that part of the output in that person's area of expertise.
8. No person who is an author, consistent with this definition, may be excluded as an author without her/his express permission in writing.
9. When there is more than one co-author of a research output,
 - a. one co-author (by agreement amongst the authors) should be nominated as executive or corresponding author for the purposes of administration and correspondence; and
 - b. the authors should discuss and reach an early agreement on the order in which authors shall be listed. A record of any agreements that are made must be kept.

10. Other persons who contributed to the work who are not authors should be named in the footnotes and/or in the Acknowledgements (where the publisher provides for this, and in a manner consistent with the norms of the research field or discipline). An author must ensure the work of cultural advisors, reference groups, students, research assistants and technical officers is recognised in a publication derived from research to which they have made a contribution. Individuals and organisations providing access to facilities, samples or reference collections must be fully acknowledged. Where individuals are acknowledged, their approval should be sought.
11. Subject to agreement with the publishers of the research output, if there are reasonable grounds to believe that a deceased person would have agreed to be an author, and the person meets the criteria for inclusion as an author, they should be so included. There should be an appropriate author information note indicating that the author is included posthumously. Similarly, if a deceased person meets the criteria for acknowledgement, and there is reasonable grounds to believe they would have agreed to be acknowledged, they should be so acknowledged.
12. All staff and students must comply with the University's [Academic Honesty Policy](#). Staff and students must act with integrity in the creation, development, application and use of ideas and information. When the ideas or work of others are used, these ideas must be appropriately and accurately cited or acknowledged.
13. Researchers should comply with authorship conventions appropriate to their discipline. These requirements may vary according to discipline, journal requirements and funding provisions. Researchers should be familiar with international best practice in their discipline, for example [ICMJE: Roles & Responsibilities](#).

4. Abbreviations

Abbreviation	Definition
NHMRC	National Health and Medical Research Council
ARC	Australian Research Council
Australian Code	<i>Australian Code for the Responsible Conduct of Research 2018</i>
Australian Guide	<i>Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research</i>
Macquarie Research Code	<i>Macquarie University Code for the Responsible Conduct of Research</i>
Macquarie Research Code Procedure	<i>Macquarie University Research Code Complaints, Breaches and Investigation Procedure</i>
RIA	Research Integrity Advisor: A member of Macquarie University staff who has been nominated by the DVC(R) to promote the responsible conduct of research and provide advice to those with concerns or complaints about potential breaches of the <i>Macquarie Research Code</i> . Research Integrity Advisors are people with research experience, wisdom, analytical skills, empathy, knowledge of the University's policy and management structure, and familiarity with the accepted practices in research.

5. Key related documents

5.1 Macquarie University policies and standards

- a. Macquarie University Code for the Responsible Conduct of Research
- b. Macquarie University Research Code Complaints, Breaches and Investigation Procedure
- c. Collaborative Research Standards
- d. Conflict of Interest Policy (and Standards)
- e. Higher Degree Research Supervision Policy
- f. Peer Review Standards
- g. Publication and Dissemination Standards
- h. Research Data Management Standards
- i. Supervision of Students Undertaking Research

5.2 External documents

- a. Australian Code for the Responsible Conduct of Research 2018
- b. Australian Code of Practice for the Care and Use of Animals for Scientific Purposes
- c. Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research
- d. Guidelines for Ethical Research in Australian Indigenous Studies
- e. National Statement on Ethical Conduct in Human Research

6. Commencement and amendment history

6.1	Contact Officer	Research Integrity Office
6.2	Implementation Officer	Director, Research Ethics and Integrity
6.3	Approval Authority / Authorities	Deputy Vice-Chancellor (Research)
6.4	Date of Commencement	July 2019 – Interim standards under review
6.5	Documents Superseded by this document	This document presents chapter 14 of the former <i>Macquarie University Code for the Responsible Conduct of Research 2014</i> and will be updated following the release of the Guide on Authorship expected to be issued by NHMC, ARC and Universities Australia)