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Western Sydney University

Authorship Guidelines

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These guidelines should be read in conjunction with the University's
Responsible Conduct of Research Policy

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1. Introduction

Western Sydney University's Responsible Conduct of Research Policy articulates the principles and responsibilities that underpin the responsible conduct of research for all Western Researchers and aligns with the Australian Code for the Responsible Conduct of Research (Code) 2018. It ensures that research being undertaken at Western adheres to the highest ethical standards and is conducted responsibly and with integrity.

Author means an individual who has made a substantial intellectual or scholarly contribution (includes a combination of two or more of the following: conception and design of project or output; acquisition of research data, where the acquisition has required significant intellectual judgement, planning, design or input; contribution of knowledge 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), to a research output, is accountable for the research output, and agrees to be listed as an author.

Although authorship conventions vary across disciplines, a significant contribution must include at least one of the following criteria, and should include a combination of two or more of the following criteria as related to the project or output:

- Conception and design
- Acquisition of research data where the where the acquisition has required significant 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.

2. Purpose

This guide is intended to assist researchers to adhere with the principles of the University's Responsible Conduct of Research Policy and recognise significant contributions to a research output. This recognition must be an honest reflection of contribution to research; must be assigned fairly, and consistently with established disciplinary practice; and must be communicated clearly and transparently between contributors to the research.

3. Responsibilities of researchers

- The University is guided by the Vancouver Protocol in applying research authorship.
- Any part of an article critical to its main conclusion must be the responsibility of at least one author.
- 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 their area of expertise.
- Authors who undertake research under the auspices of Western Sydney University, should, in all their research outputs, cite Western Sydney University as their affiliated university in the by-line. This applies to all instances where Western Sydney University expertise, resources, facilities and/or services have been used to undertake the research.

- Authors of research are responsible for:
 - Ensuring all participants are given due recognition.
 - Ensuring any person who is an author is not excluded as an author without his or her permission in writing.
 - Discussing and agreeing on the authorship of a research output with any other relevant researchers at an early stage of the research project, and reviewing any changes in participation as they occur.
 - Where there is more than one co-author of a research output, and with the agreement of all co-authors, nominating one co-author as corresponding author for that research output who is to take responsibility for the record keeping for the research output.
 - Preparing an agreed statement of authorship, which may be required by publishers at the time of submission of any research paper, including electronic dissemination of research findings (an exemplar statement is available from Research Services).
 - Ensuring the work of research students/trainees, research assistants and technical officers is properly acknowledged.
 - Acknowledging funding agencies, individuals and organisations providing facilities in the research output.
 - Listing the HDR student as first author, for a multiple authored article that is substantially based on the student's own research project and unique contribution, providing the student is the first author.
 - Ensuring all publications are correctly attributed to Western Sydney University (written in full) and, if space permits, followed by the relevant University Research Institute, School and Research Centre.
 - Ensuring the University is correctly and consistently attributed first as the institutional affiliation of University-based authors.
 - Placing the written acknowledgment of authorship on file in the corresponding author's academic unit or division for safe keeping, and providing the statement to the publishers at the time of submitting the research output for publication.
 - Claiming, demanding, or accepting authorship without having made a significant intellectual or scholarly contribution is regarded as a breach of the Responsible Conduct of Research Policy.
- Authorship must not be attributed to a person when they have not substantially participated in the research output, such as: through an 'honorary authorship'; or as the head or supervisor of a research group (gift authorship), or based on the status of a person where it would elevate the esteem of the research (guest authorship), or; a person who has provided or acquired funding or collected data. Also, authorship 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
- For a person to claim, demand, or accept authorship without having made a significant intellectual or scholarly contribution is a breach of the Responsible Conduct of Research Policy.

- Similarly, it is a breach of the Code for a person to offer or attribute authorship to someone who has not made a significant intellectual or scholarly contribution.
- Researchers have a responsibility to acknowledge those who have contributed to the research but do not meet the authorship criteria. Permission should be obtained from named contributors before acknowledging them in research outputs.
- Researchers should seek approval from Indigenous people involved in a project or from the community from which that Indigenous knowledge originates (via sources such as unpublished manuscripts, audio or video recordings, or directly from Indigenous people themselves), and acknowledge the sources as appropriate.

3. Formalising Authorship Arrangements

- When there is more than one author, the University requires researchers to have an authorship agreement in place before the commencement of writing up a research project. An authorship agreement does not need to be a formal legal document. It can be in the form of emails, a transcript of an online discussion, or other similar evidence of agreement. The authorship agreement should clearly identify the authors, the order of authors, the corresponding author, and a brief description of the contribution each author has made or will make.
- It is the responsibility of the corresponding author to maintain records of the authorship agreement. Where the corresponding author is not from the same institution as other listed authors, authors are encouraged to keep their own records.
- The corresponding author should retain a record of any agreed changes to the authorship of a research output.

4. Abbreviations used

- Code: Australian Code for the Responsible Conduct of Research
- HDR: Higher Degree Research