Publication and Authorship Policy

Policy name	Publication and Authorship Policy
Policy number	TLP010
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Approving body	The Academic Board (Senatus)
Responsible officer	The Head of School
Implementation officer	Associate Head of School (Research)
Next review date	December 2020
Linked policies	Research Partnerships Policy
Linked forms	

Purpose of this policy

The Cairnmillar Institute (the Institute) and it's members produce and publish research papers, texts and monographs. Staff and students are required to agree regarding the designated authors for all publications, including the order in which these authors are presented, prior to submitting the paper or text for publications.

This policy is designed to:

- Stipulate the criteria that is applied to decide who are designated as authors
- Provide some principles to establish the order these authors are listed
- Clarify when the authors affiliate themselves with the Institute
- Prevent possible disputes and conflicts of interest during the publication of research
- Ascertain which outlets will be utilised to publish research.

Scope

This policy applies to all outputs of research in which authors are specified, including

- Traditional publications, such as books, chapters, conference papers, and journal articles

- Other online publications, such as technical reports or websites

- Works of art or performance that revolves around research.

This policy must be followed by all staff and students at the Institute, but only for research that is undertaken under the auspices of this organisation. This policy does not apply to a research thesis prior to publication.

When staff or students collaborate with other institutions, they are required to follow the principles of this policy to the extent possible—but may need to compromise with the requirements, guidelines and policies of other organisations. These issues must be discussed and resolved with research partners during the initial phases of any collaboration.

Criteria to establish authorship

In principle, and in accord with the *Australian Code for the Conduct of Responsible Research* (NHMRC, 2007), individuals can be designated as authors only if they provided substantial intellectual contribution to the work. A substantial intellectual contribution corresponds to activities or deliberations that shape the research objectives, outcomes, or interpretations substantively. The primary examples include:

- Substantial intellectual contribution to the conception and design of the project with respect to the research rationale, questions, or method or analysis strategy

- Substantial intellectual contribution to the analysis and interpretation of data

- Drafting significant portions of the work

- Critical revisions of the work that shape the interpretations

In general, the collection of data alone does not constitute substantial intellectual contribution. However, some exceptions are possible. For example, while conducting interviews, the interviewer may adjust the questions and uncover key insights that would otherwise have been overlooked. In contrast, individuals are not designated as authors if their only contribution was to:

- Provide routine technical or statistical assistance—that is, assistance in which the individuals merely initiated established routines rather than offered intellectual insight

- Assist in the acquisition of funding

- Provide pre-existing datasets to other researchers

- Assume a position of authority, such as head of department or supervisor of a research team, without substantial intellectual contributions to this particular work

Where individuals are awarded authorship, or cited in 'Acknowledgement of contributions' (see below), their written permission for this inclusion must be obtained (and record held).

Criteria to establish authorship for supervisors

After completing their thesis, some students may publish their work in other outlets, such as scholarly journals. In these instances, supervisors will typically, but not invariably, be designated as authors as well.

Supervisors will be designated as authors only if they also provide substantial intellectual contribution to this work and with respect to the 'Criteria to establish authorship', above. Supervisors who did not contribute substantially—for example, if they were absent during most of the candidature—must not be designated as authors.

Principles to establish order of authorship

In most, but not all publications, the order in which authors are presented is intended to reflect the level of contribution. Level of contribution can be formally defined as the degree to which a person shaped the intellectual contribution of this work. In practice, especially when the researchers are similar in level of expertise, level of contribution is roughly equivalent to the time that each person dedicated to the intellectual facets of this research.

Usually, if the thesis is published as a paper, the student will typically be the first author, and the supervisor will be the second author. Some exceptions may be considered:

- Sometimes the supervisor may want to combine several projects into one paper. If the students agree, the supervisor will be the first author. The order of other students may depend on the extent to which they are willing to complete extra work on the paper.
- Sometimes, another person may have contributed substantial intellectual input—perhaps to the conception, design, analysis, interpretation, and drafting. This person could also be granted authorship, even if this individual had been paid.

Acknowledgement of contributions

Individuals who have contributed to the research, but have not provided substantial intellectual contributions, may be acknowledged in the work instead. For example, in many publications, the researchers are granted an opportunity to write a section called acknowledgments. Typically, they would write something like "We would like to acknowledge the valuable assistance of…" and then list the relevant names. These names will often include

- Research and technical assistants who did not provide substantial intellectual contributions

- Technical writers who did not provide substantial intellectual contributions.

Attribution of affiliation

In the majority of publications, authors must specify the institution to which they are affiliated. Staff and students at the Institute must acknowledge this organisation. In particular, they must acknowledge the Institution if their contributions were provided as part of their role as staff or students at this organisation — even after they leave.

Choice of outlets

Once the authors have been established, the individuals need to decide in which outlets to publish their work. For example, they may need to decide whether to publish the work in scholarly journals, book chapters, industry magazines, or technical reports. Several principles must be considered to decide which outlet to follow:

- Each author needs to consider the primary goal of publishing this work. The goal, for example, may be to establish their scholarly reputation, validate a commercial tool, or support a community

- If the primary goal of publication is to establish their scholarly reputation, the authors should normally consider publication in the form of rigorously peer-reviewed journal articles, books, book chapters or conference presentations.

- If the primary goal of publication is to validate or promote a commercial tool, industry magazines or similar outlets may be more beneficial

- If the primary goal of publication is to support a community, other possibilities, such as technical reports, may be more appropriate.

- If the primary goal of publication is unclear, the authors normally consider a scholarly journal if possible; journal articles can more readily be translated into other opportunities.

- Authors of web-based publications must be able to take responsibility for the publication's content and must be clearly identified in the publication.

- Sometimes, the authors may not share the same goals. In these instances, compromises might be necessary—or the work could be divided into several pieces to accommodate different needs.

- In student projects, the goals of the student are normally granted priority over the goals of the supervisor, partly to redress an imbalance of power.

- Authors must seek the guidance of the Head of School or Research Coordinator if uncertain which outlets to utilise.

Conflicts of interest

Occasionally, an author might experience a conflict of interest. They might, for example, have conducted research into a product in which they have been afforded some level of ownership. All authors must declare actual or potential conflicts of interest. Typically, publications provide opportunities for authors to declare these conflicts.

Supporting activities

To ensure this policy is observed, the Institute:

- Provides relevant training and information to all individuals who need to reach decisions about authorship; and

- Monitors compliance at regular intervals.