Authorship of Research Output Procedures

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Schedule 1— Author affiliation requirements

1. Governing Policy

Research Integrity Policy

2. Purpose

To ensure that authorship of research outputs is:

a. an honest reflection of contribution to research

b. assigned fairly, and consistently with established disciplinary practice

c. communicated clearly and transparently between contributors to the research

—in accordance with Principles 4 and 6 and Researcher Responsibilities 25 and 26 of the Australian Code for the Responsible Conduct of Research (the Code), as adopted by the Flinders University Research Integrity Policy and set out below:

> **P4** Fairness in the treatment of others
> - Treat fellow researchers and others involved in the research fairly and with respect.
> - Appropriately reference and cite the work of others.
> - Give credit, including authorship where appropriate, to those who have contributed to the research.
>
> **P6** 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
> - Recognise, value and respect the diversity, heritage, knowledge, cultural property and connection to land of Aboriginal and Torres Strait Islander peoples.
> - Engage with Aboriginal and Torres Strait Islander peoples prior to research being undertaken, so that they freely make decisions about their involvement.
> - Report to Aboriginal and Torres Strait Islander peoples the outcomes of research in which they have engaged.
>
> **R25** Ensure that authors of research outputs are all those, and only those, who have made a significant intellectual or scholarly contribution to the research and its output, and that they agree to be listed as an author.
>
> **R26** Acknowledge those who have contributed to the research.

These procedures draw extensively on, and are consistent with *Authorship: A guide supporting the Australian Code for the Responsible Conduct of Research* produced by the National Health & Medical Research Council, Australian Research Council and Universities Australia.

3. Scope

a. These procedures apply in respect of the attribution of authorship of:

   i. all research outputs (including non-traditional research outputs)

   ii. all documents related to research, such as research proposals, grant applications, reports for funding agencies, tenders, patents and patent applications, etc.

   iii. all web-based publications and applications related to research, including professional blogs and any form of authored research output that is made publicly available.

b. These procedures apply to all researchers at Flinders University, namely:

   i. all staff

   ii. all academic status holders in respect of their Flinders University-related research output, and

   iii. all higher degree by research (HDR) students.

4. Definitions

research output	communicates or makes available the findings of research that may be in hardcopy, electronic or other form —examples of research outputs include journal articles, book chapters, books, conference papers, conference/oral presentations, reports, HDR theses, datasets, patents and patent applications, software, born-digital objects, performances, videos, audio visual outputs, and exhibitions.

5. Procedures

5.1. Formalising authorship arrangements

a. At an early stage in the research, and regularly throughout the research project, all researchers must discuss authorship and identify those who are likely to be recognised as authors of the research output in accordance with Procedure 5.2.

b. Before the commencement of writing up a research project, all researchers must:

   i. ensure a Corresponding Author is designated, and

   ii. contribute information required by the Corresponding Author for the establishment of an Authorship Agreement, which may initially be tentative but must be finalised before submission of the output (see 5.1.d).

c. The Corresponding Author has primary responsibility for:

   i. communication between the publishers

   ii. managing communication between the co-authors

   iii. ensuring that all authors to the research output are properly recognised, and

   iv. maintaining records of the Authorship Agreement, including any agreed changes resulting from new researchers joining the project.

d. An Authorship Agreement – which may be in the form of emails, a transcript of an online discussion or other similar evidence of agreement, or in the form of the University's Authorship and Data Location Form – must be established prior to submitting the output for publication.

e. The Authorship Agreement must:

i. identify those who will be recognised as the authors of the research output

ii. describe the contribution that each author has made (or will make) to the research output

iii. indicate the order in which the authors will appear, consistent with any applicable disciplinary norms and publication requirements, and

iv. identify the Corresponding Author.

f. If the Corresponding Author is not from Flinders University, authors who are staff or students of Flinders University are encouraged to keep their own records and, to the best of their ability, ensure that the Corresponding Author fulfils the responsibilities of these procedures.

5.2. Ensuring appropriate and fair attribution of authorship

a. An **author** is an individual who has:

i. made a significant intellectual or scholarly contribution to research and its output, and

ii. agreed to be listed as an author.

b. Authorship must be offered to all researchers who make a significant intellectual or scholarly contribution.

c. Authorship must not be offered or attributed to an individual who has not made a significant intellectual or scholarly contribution.

5.2.1. Significant intellectual or scholarly contribution

a. A **significant intellectual or scholarly contribution** includes one, and is generally expected to include at least two, of the following criteria:

i. conception and design of the project or output

ii. acquisition of research data where the acquisition has required significant intellectual judgement, planning, design, or input

iii. significant contribution of knowledge, where justified, including Indigenous knowledge (in alignment with AIATSIS Code of Ethics for Aboriginal or Torres Strait Islander Research)

iv. analysis or interpretation of research data

v. drafting significant parts of the research output or critically revising it so as to contribute to its interpretation.

[This provision is the minimum threshold for authorship for Flinders University researchers and does not prevent higher thresholds when required by journals, disciplines or other institutions.]

b. HDR students and junior researchers who have made a significant intellectual or scholarly contribution are entitled to authorship, notwithstanding that they may have been more closely supervised.

c. Authorship must not be attributed solely on the basis of:

i. the provision of funding, data, materials, infrastructure or access to equipment

ii. the provision of routine technical support, technical advice or technical assistance

iii. the position or profession of an individual, such as their role as the author's supervisor or being in an institutional leadership position ('gift authorship')

iv. whether the contribution was paid for or voluntary

v. 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 ('guest authorship').

d. It is the collective responsibility of all researchers on a project to ensure that authorship is offered to all researchers who make a significant intellectual or scholarly contribution.

e. It is not acceptable to have 'ghost authorship' (where an individual, e.g., a research assistant or industry researcher, meets the criteria for authorship but is not acknowledged as an author).

f. Where the editor of a significant collective work or anthology of research papers has made contributions analogous to those of authors, similar criteria may apply to 'editor' as to 'author'. It is expected that the term 'editor' is applied only to a person who has played a significant role in the intellectual shaping of a publication.

g. Researchers must alert the Corresponding Author to any author or contributor who may have been inadvertently omitted or added erroneously.

h. It is the individual responsibility of the Corresponding Author to maintain the Authorship Agreement as provided in Procedure 5.2.c.

5.2.2. Authors' agreement

a. A researcher who qualifies as an author under Procedure 5.2.1 must not be included or excluded without their written agreement.

b. Written agreement must be provided by each author in a timely fashion.

c. A record of each written agreement must be kept by the Corresponding Author with the Author Agreement.

d. Where an author is deceased or cannot be contacted, see Procedure 5.5.f.

5.3. Author affiliation

a. Researchers must identify Flinders University as the affiliated organisation in their author identifiers (e.g. ORCiD) and the author by-line (or equivalent) in respect of their Flinders University-related research outputs.

b. Author by-lines must be stated as specified in Schedule 1—Author by-line requirements.

c. Researchers are responsible for ensuring that their affiliation is correctly recorded on all research outputs.

5.4. Acknowledging contributions other than authorship

a. It is the collective responsibility of all authors to ensure that contributions to the research output that do not meet the criteria for authorship are acknowledged in a manner consistent with current practice in the relevant academic discipline.[1] This must occur regardless of the contributors' position (e.g., student, junior researcher, individual providing technical support) or any changes in their position or role.

b. When a substantial amount of the research has been conducted, funded or otherwise supported by Flinders University (including the contribution of research infrastructure), the output must acknowledge this at the time of publication. This may include an attribution in the author by-line.

c. It is good practice to disclose any financial or other sponsor support as appropriate and agreed by the sponsoring body.

d. Researchers intending to publish Indigenous knowledge obtained through sources including unpublished manuscripts, or audio or video recordings, are expected to seek approval from the

[1] Contributor Roles Taxonomy (CRediT) is high-level taxonomy, defining 14 roles, that can be used to describe contributions to a scientific or scholarly output. The CRediT taxonomy has been formally adopted by many organisations, including publishers and provides a way to acknowledge contributors in a standardised and accepted form. See Contributor Roles Taxonomy, CASRAI website.

Indigenous people involved in the project or the community from which that knowledge originates, and to acknowledge the individual and collective contributors of the knowledge, as appropriate.[2]

e. Researchers are expected to obtain permission from named contributors before acknowledging them in research outputs, since acknowledgement may imply a contributor's endorsement of the research output.

5.5. Being accountable for the research output

a. Authors are collectively accountable for the whole research output. However, the responsibilities associated with this accountability are dependent on the extent and type of contribution made.

b. Each author is individually responsible for ensuring the accuracy and integrity of their direct contribution to the research output, in accordance with the principles and responsibilities of the Code, as adopted in the Research Integrity Policy.

c. Authors are also responsible for taking reasonable steps to ensure the accuracy and integrity of the contributions of all other co-authors. Where feasible, authors are expected to be able to identify which co-authors are responsible for specific other parts of the work. Any concerns about the accuracy and integrity of the research must be raised before submission or publication.

d. If an individual does not agree to be accountable for their contribution, the contribution must not be included in the research output.

e. Researchers are responsible for publishing in journals that operate under principles of transparency and best practice in scholarly publishing as defined by the Committee on Publication Ethics (COPE).

f. If an author is deceased or cannot be contacted after reasonable attempts have been made, all the co-authors must still have confidence in the accuracy and integrity of that author's contribution. This may require consideration of the underlying data and methodology.

5.6. Approving research output

a. Authors must approve the research output before its submission for publication and, in doing so, agree to be accountable for it.

b. Authors must also approve the final version before publication. The final approval process may be coordinated by the publisher, often through the Corresponding Author.

c. The Corresponding Author must keep written records that confirm that approval has been obtained from all authors.

d. If an author is deceased, publication can proceed, provided that there are no grounds to believe that this person would have objected to being included as an author. In such instances, it may be appropriate for an institution to provide written agreement for the inclusion of an author, and for the author's death to be noted in the publication. The same process applies where an author cannot be contacted to approve the final version or to agree to be an author, provided also that reasonable efforts have been made to contact the author and those efforts have been documented.

6. Authorship disputes and breaches of research integrity

a. Where an authorship dispute arises **prior** to submitting the research output for publication, the researcher may raise it with the relevant College Dean (Research) who is responsible for resolving the dispute with the relevant researchers.

[2] See *Ethical guidelines for research with Aboriginal and Torres Strait Islander Peoples*, NHMRC Research Policy website.

b. Where a researcher feels their dispute has not been satisfactorily resolved by the Dean (Research) they may make a complaint as follows:

Staff	Enterprise Agreement, Part 15 Grievances
Student	Student Complaints Policy

In the case of academic status holders the Dean (Research)'s decision is final.

c. An authorship dispute that arises **after** the research output has been submitted and accepted constitutes an allegation of a breach of research integrity and the researcher may make a complaint in accordance with the Breach of Research Integrity Procedures.

d. Other potential breaches of research integrity under these procedures to be dealt with in accordance with the Breach of Research Integrity Procedures include:

i. failing to offer or attribute authorship to someone who has made a significant intellectual or scholarly contribution.

ii. claiming, demanding, or accepting authorship without having made a significant intellectual or scholarly contribution

iii. offering or attributing authorship to someone who has not made a significant intellectual or scholarly contribution

iv. publishing research without the final approval of the attributed authors.

7. Forms

Authorship and Data Location Form

Approval Authority	Deputy Vice-Chancellor (Research)
Responsible Officer	Manager, Research Ethics and Compliance
Approval Date	24 June 2025
Effective Date	24 June 2025
Review Date*	2028
Last amended	
CM file number	CF21/413

* Unless otherwise indicated, this policy or procedures still apply beyond the review date.

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Schedule 1—Author affiliation requirements

a. Flinders University must be identified as the affiliated organisation in the author by-line of all Flinders University-related research outputs as set out at d. below, including all research outputs of Flinders University staff, HDR students, and research outputs of Flinders University academic status holders where the research has been conducted, funded or otherwise supported by Flinders University.

b. It is the responsibility of the researcher to ensure that their affiliation is correctly recorded on all research outputs.

c. Adhering to these requirements ensures that:

   i. Flinders researchers comply with the Research Integrity Policy, as well as the Australian Code for the Responsible Conduct of Research

   ii. research outputs are recognised by the University, and external bibliometric analysis (including Excellence in Research for Australia (ERA)) recognises Flinders University and its affiliated authors. If the University's name in full (i.e. "Flinders University") is not used, it will not receive affiliation credit in bibliometric analysis

   iii. there is transparency of affiliation, which enables a positive impact on the University's research rankings and funding

   iv. harvesting publications into the University's research management system is more efficient and increases opportunities for research data capture and re-use

   v. the capture of Open Access publications in the University's repository can be facilitated, meeting Australian Research Council and National Health and Medical Research Council requirements.

d. When the by-line order and form are not dictated by the publication, the by-line **must** include the following:

   i. the University's name in full (i.e. "Flinders University"). Acronyms or abbreviations must not be used

   ii. the College name in full (e.g. "College of Business, Government and Law")

   iii. any Academic Senate-approved University Centre or Institute affiliations (e.g. "Centre for Defence Engineering Research and Training" or "Medical Devices Research Institute")

   iv. location (e.g. Adelaide, South Australia or Darwin, Northern Territory, Australia)

   v. external affiliations relevant to the author as a separate affiliation (this is used as an important metric demonstrating external engagement with industry and end-users). Where the external affiliation is Flinders Medical Centre care must be taken to differentiate from Flinders University. Do not use "Flinders Medical Centre and University" or "Flinders University and Medical Centre" as a single affiliation. The full name "Flinders University" must be used for the University to receive appropriate affiliation in bibliometric analysis and in the ERA process.

   vi. for authors not aligned to a College, "Flinders University" followed by a comma and the name of their functional area. The name of the functional area must be informative to readers outside of the University (e.g. "Flinders University, Library" or "Flinders University, Information and Digital Services").

   Note: An address is to be avoided where possible, but where required by a publisher the University's postal address must be used (GPO Box 2100 Adelaide SA 5001 AUSTRALIA). This address must be used even where researchers are based outside of Adelaide.

By-line examples

The below examples give guidance when by-line order and form are not dictated:

Style	Style format	Example
College affiliation only	<Researcher's Name>, Flinders University, <Name of College>, Adelaide, South Australia.	Jane Citizen, Flinders University, College of Business, Government and Law, Adelaide, South Australia.
College with Centre/Institute	<Researcher's Name>, Flinders University, <Name of College>, <Centre/Institute Name>, Adelaide, South Australia.	Jane Citizen, Flinders University, College of Education, Psychology and Social Work, Flinders Institute for Mental Health and Wellbeing, Adelaide, South Australia.
Flinders affiliation, plus external affiliation	<Researcher's Name>, Flinders University <Name of College>, <Centre/Institute Name>, Adelaide, South Australia. <Name of External Affiliation>,	Jane Citizen, Flinders University, College of Nursing and Health Sciences, Caring Futures Institute, Adelaide, Australia. Department of Nursing, Flinders Medical Centre
Author list with multiple authors and affiliations	<Researcher's Name>[1,2,*] <Researcher's Name>[1,3] & <Researcher's Name>[4]. [1] Affiliation per above requirements [2] Affiliation per above requirements [3] Affiliation per above requirements [4] Affiliation per above requirements * Corresponding author <email address>	Jane Citizen[1,2,*] John Citizen[1,3] & Sam Citizen[4] [1] Flinders University, College of Medicine and Public Health, Adelaide, Australia [2] Flinders University, College of Education, Psychology and Social Work, Adelaide, Australia [3] Flinders University, College of Nursing and Health Sciences, Caring Futures Institute, Adelaide, Australia [4] University of Western Sydney, Faculty of Engineering, NSW, Australia * Corresponding author, xxx.xxx@flinders.edu.au
Academic position indicated	<Researcher's Name> is Adjunct Principal Research Fellow at Flinders University in the <Name of College>, Adelaide, South Australia, Australia	Professor Jane Citizen is Adjunct Principal Research Fellow at Flinders University in the College of Science and Engineering, Adelaide, South Australia, Australia.
Non-College aligned authors	<Researcher's Name>, Flinders University, <Name of organisational unit>, Adelaide, South Australia.	Jane Citizen, Flinders University, Information and Digital Services, Adelaide, South Australia. Jane Citizen, Flinders University, International Student Services, Adelaide, South Australia. Jane Citizen, Flinders University, Research Development and Support, Adelaide, South Australia.