

# AUT Research (Co)Authorship Protocol

## Summary

The publication or presentation of work derived from an AUT staff member or student's research should follow the accepted principles of (co)authorship attribution for research projects. Authorship should be allocated to individuals who have made a significant intellectual or scholarly contribution to the research and its output, and who agree to be listed as an author.

## Purpose

This protocol outlines the principles and approaches that should be used when considering and agreeing upon the attribution of co-authorship on any "outputs" arising from research conducted under the auspices of AUT (AUT staff and/or students).

## Scope

This protocol provides guidance for the allocation/attribution of (co)authorship for any outputs (e.g. publications, presentations) arising from research undertaken under the auspices of AUT. This includes research undertaken by AUT staff, research projects which AUT is contracted to deliver, and it may also be applied for students who may be involved in publication or presentation of works derived from their studies at AUT.

## Definitions

**Research** is original, independent investigation undertaken to contribute to knowledge and understanding and, in the case of some disciplines, cultural innovation or aesthetic refinement.<sup>1</sup>

A **research output** is any dissemination into the public arena of work derived from research. This includes, but is not limited to, books and monographs, book chapters, journal articles, conference papers and presentations, reports, creative works such as art, music, films, and performances, work presented for examination as a thesis, dissertation or research project and practice-based materials and supporting exegesis.

An **author** is an individual who has made a significant intellectual or scholarly contribution to research and its output, and agrees to be listed as an author.

A **significant intellectual or scholarly contribution** must include one, and should include a combination of two or more, of the following:

- Conception and design of the project or output;
- Acquisition of research data where the acquisition has required significant intellectual 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 quality and interpretation.

## Principles

Authorship should be attributed when an individual has made a significant intellectual or scholarly contribution to a research output.

- All authors must agree to be authors.
- All named authors must have confidence in the integrity and accuracy of their contributions.
- All named authors are accountable for their contributions.

- The order of multiple (co)authorships should follow the conventions of the discipline or scholarly community (e.g. for many the first author is the person who is the primary/lead researcher with regard to the output).
- Contributions to research that do not meet the criteria for authorship should be acknowledged where appropriate.

Authorship should not be attributed solely on the basis of:

- The provision of funding, data, materials, infrastructure or access to equipment;
- The provision of technical support, technical advice or technical assistance that does not meet the threshold of a significant intellectual or scholarly contribution;
- The position or profession of an individual, such as their role as the student's supervisor or head of department ('gift authorship');
- Whether the contribution was paid for or voluntary;
- 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').

Deliberate transgression of these principles, including the listing of authors without their permission, attributing work to persons who have not contributed to the research, and failing to attribute those who have, may constitute research misconduct under the AUT Code of Conduct for Research.

### **Co-Authorship Agreement**

All researchers contributing to a research project should discuss authorship using this protocol as a guide. As part of developing their collaboration on a research project, co-authors should discuss and record an agreement containing the following:

- the co-authors of any research output will be identified;
- each co-author's contribution to the research output will be described;
- the order in which the authors are listed will be specified.

The agreed order of authors should be consistent with any applicable disciplinary norms and publication requirements.

As a project evolves, it is important to continue to discuss co-authorship, especially if new people become involved in the research and make a significant intellectual or scholarly contribution. The Co-Authorship Agreement may also be expanded to include an agreement with regard to intellectual property and the rights to use/develop/disseminate intellectual property arising from the research.

Note: An AUT Co-Authorship Agreement Template is provided at the end of this document.

### **Resolution of Disagreements**

If there is a disagreement with regard to authorship attribution, Primary Investigators and/or senior staff (e.g. Professors) must be cognisant of the power imbalance that exists between them and more junior staff. The principles of this protocol should be referred to and used as a guide when seeking to resolve disagreements. If the disagreement is unable to be resolved then the parties involved may seek the advice of the relevant Faculty Associate Dean Research. In the event that a disagreement is unable to be resolved the matter will be referred to the Deputy Vice Chancellor Research who will make the final decision.

### **Externally Funded/Supported Research Projects**

Where research is funded or supported by an external party (such as via an external research grant or consultancy or via a contract with an external entity) there may be obligations that exist which influence intellectual property rights and authorship of research outputs. Any such obligations need

to be detailed (or appended to) the Research Collaboration Agreement so it is clear and explicit what these obligations are. Such obligations should not be in conflict with the principles of authorship outlined in this protocol.

### **Moral Rights**

The New Zealand Copyright Act 1994 provides authors with a set of automatic rights called 'moral rights'. Moral rights include; (a) the right to be identified as the author of a work, (b) the right to object to derogatory treatment of a work, and (c) the right not to have a work falsely attributed to them. Moral rights are personal rights and exist regardless of who owns the work (unless the author has specifically waived their moral rights).

Funders sometimes ask authors to waive their moral rights. Any decision to waive moral rights is a decision for the author, not the University.

### **Other Related Guidance**

For more detailed guidance on allocation of (co)authorship please refer to: [Authorship: A guide supporting the Australian Code for the Responsible Conduct of Research. National Health and Medical Research Council, Australian Research Council and Universities Australia](#). Also see: [The International Committee of Medical Journal Editor recommendations](#).

**For more specific guidance for postgraduate research students and co-authorship matters please see the related [Co-authorship Protocol for Postgraduate Research Students](#)**

[AUT Code of Conduct for Research](#)

[AUT Code of Conduct for Graduate Research Supervisors](#)

[AUT Open Scholarship Policy](#)

[AUT Intellectual Property Rights Policy](#)

[AUT Policies and Procedures can be found on TUJA](#)

AUT Co-Authorship Agreement Template (see following pages)

## AUT Co-Authorship Agreement

This agreement is intended to help establish and maintain clear expectations regarding co-authorship. It should be considered as a guideline template which can be amended to meet the needs of the co-authors. It may also be revisited during the duration of a research project/collaboration and revised as needed.

Working Title of Research Output (Manuscript/Paper/Presentation/Creative Work ...):

[Write title here]

### AUT Co-Authorship Protocol

Please refer to the AUT (Co)Authorship Protocol in developing this agreement.

### Proposed Co-Authorship Roles and Order

Please list the proposed (co)authors in the order they will appear on the research output/s, adding rows as necessary.

Name	Co-Author Position	As a Co-Author, I commit to... (e.g., writing the first draft, designing the tables, writing the methods section, corresponding with journal ...)	Date
1	First Co-Author		
2	Second Co-Author		
3	Third Co-Author		
4	Fourth Co-Author		

### Research Output Goal

Intended Output/s
First Choice
Second Choice
Third Choice

### Completion/Submission Goal

This research output is intended to be completed/submitted to the intended publication/conference/exhibition etc. on:
DD/MM/YYYY

### Next Deliverables and Deadlines

Identify key deliverables and deadlines, adding rows as needed.

	Date	Deliverable(s) (e.g., first draft, feedback on draft, second draft)	Person responsible
1			
2			
3			

### Signatures

Add rows as needed.

	Date	Signatures of Co-Author	Print name
1			
2			
3			

Note: Copies of this agreement should be retained by all co-authors