

Who Writes the Papers? Issues of Authorship

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01 September 2015

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Definition of Research

- ... creative work undertaken on a systematic basis in order to increase the stock of knowledge, and the use of this knowledge to devise new applications. Research necessarily involves a significant element of novelty (innovation), uncertainty with respect to outcomes, *potential for publication of outcomes in peer reviewed scholarly media* and/or a high level of technical complexity requiring innovative resolution.
- *Research is taken to include the activities of Higher Degree by Research Students.*

(Source – University Research and Development Policy on Research Management)

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Focus on Research

University Strategic Plan (2013 - 17)

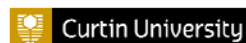
- Strengthen as a research-intensive university
- Undertake world-leading research in areas of global significance

Excellence in Research for Australia

- Increase quality and number of publications
- Increase quality and value of research grants

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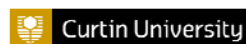


Mechanisms for Publication and Dissemination

- Seminars, workshops and conferences
- Journals
- Books and book chapters
- Exhibitions, films, performance and web pages
- Professional and institutional repositories

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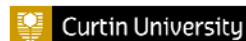


National Codes

- *Australian Code for the Responsible Conduct of Research* (endorsed by NH&MRC, ARC and Universities Australia)
- *Principles for the Provision of Education by Australian Universities* (Universities Australia)
- Authorship, Peer Review and Publication of Research Findings Policy

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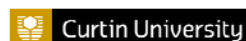


Principles of Joint Authorship with Students

- Foundation of future careers
- Mutual agreement between student and supervisor
 - Authorship
 - Acknowledgements
 - During and after candidature
- Address power imbalance and respect professional guidelines

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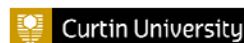


Test Publishing Goals During and After a Doctoral Program – Research Students and Supervisors

- How many publications:
 - During?
 - After?
- What is the variation between disciplines?
- Where should you publish?
- When should you publish?
- What are the benefits?

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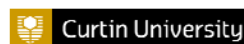


Responsibilities of Researchers - Publication and Dissemination

- Disseminate all research findings
 - Complete - including negative findings
 - Consider restrictions relating to IP, ethical and cultural sensitivity
 - Where appropriate, provide a summary of the research results to participants
- Ensure accuracy of publication – authors are responsible for the integrity of their contribution to the research
- Cite work of others fully and accurately

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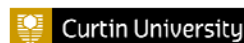


Responsibilities of Researchers - Publication and Dissemination (cont'd)

- Obtain permission for republishing
- Acknowledge those who have contributed
 - Funding bodies, research assistants, providers of facilities, etc
- Register clinical trials
- Ethics Approval
- Manage confidentiality
- Manage contractual obligations to funders etc
- Communicate research findings in the public arena

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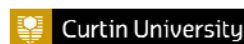


Open Access

- Open access publishing in journals and through repositories such as Curtin's e-Space, can enhance access to research results by wider community
- <http://libguides.library.curtin.edu.au/c.php?g=202415>
- The NHMRC requires that all publications accepted after 1 July 2012 be open access unless otherwise justified
- The ARC requires that all publications resulting from Funding Rules released after 1 January 2013 be open access unless otherwise justified

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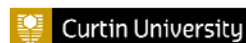


Who qualifies as an author?

- Authors make a substantial contribution to the work being reported that are a combination of:
 - a. Conception and design of the project;
 - b. Analysis and interpretation of the data; and
 - c. Drafting significant parts of the work or critically revising it so as to contribute to the interpretation
- Take responsibility for the part of the work they contributed

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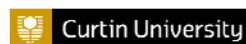


Who does not qualify as an author?

- Attribution of authorship is not based upon:
 - Providing technical contributions
 - Being named on the thesis committee
 - Being Lead CI for the grant to fund the research
 - Being Director of research centre/HOS/HOD
 - Friendship with authors
 - Paid vs voluntary participation
 - Being a proof reader.

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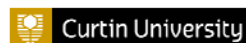


Acknowledgement vs Authorship

- Due recognition of all participants and organisations that have contributed to the research
 - Research students/trainees, research assistants, technical staff
 - Individuals and organisations providing facilities or other major contributions (eg access to data)
 - Organisations and granting bodies providing funding
 - Colleagues and reviewers contributing to quality improvement

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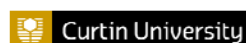


Negotiating Authorship with HDR Students

- Discuss any issues relating to IP agreements: as a general rule, HDR students own the IP they produce
- Discuss issues of ownership of data and the consequences for an early or unexpected end of the supervisory relationship: as a general rule, the University owns research data and primary materials

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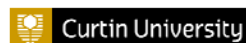


Negotiating Authorship (cont'd)

- Discuss any publication likely to arise on the basis of the research and review whenever there are changes in participation
- Develop a timetable for submission of material for publication
- Establish (preferably in writing) appropriate mutually agreed arrangements about co-authorship

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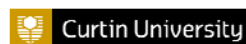


Negotiating Authorship (cont'd)

- Discuss opportunities for publication during candidacy
 - seminars/conferences
 - journals
- Discuss opportunities for any prospective publications arising from the final thesis
 - journals
 - books/book chapters
 - joint authorship or acknowledgements
- Affiliation of authors

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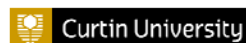


What about co-authors and collaborators?

- Discuss who will be the Executive/Corresponding Author
- Where there are several authors, one will take executive charge
 - Managing communication between authors
 - Communicating with publishers/editors
- Collaborating authors should agree on authorship at an early stage in the project

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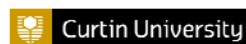


Documenting Authorship

- Executive/Corresponding author retains written acknowledgement of authorship
- Document copyright release from publishers/copyright owners
- For thesis by publications, mutual statement of respective contributions – HDR Rules 10 and 11

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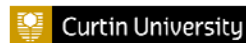


Some considerations

- Quality is more important than quantity
- Published findings should be complete and make an impact
- Multiple submission of research findings (salami slicing) is not permitted
- Remember:
 - Publications are easily accessed on line – its out there forever!
 - Its your reputation that's at stake
 - Ensure you do not plagiarise or self plagiarise
- Decide the ultimate goal for publication (e.g publication in a conference proceeding may preclude later publication in a journal)

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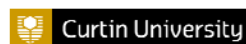


Thesis by Publication

- Permitted by Curtin but not the norm
- Must include introduction, literature review, conclusions
- Only papers published in peer review scholarly media during the period of enrolment may be included
- The number of papers included should be sufficient to constitute a significant and original contribution to knowledge
- Suggested number of papers 4 or 5 substantial papers
- Students should be first author and major contributor

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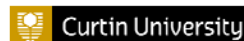
Documenting Authorship - Rules

- HDR Rules 10 and 11 – Section 11 (e)

(vi) any published paper of which the candidate is a joint author may only be included in the thesis provided the work done by the candidate is clearly identified. The candidate must provide to the University Graduate Studies Committee at the time of submission of the thesis a written statement from each co-author attesting to the candidate's contribution to a joint publication included as part of the thesis.

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Documenting Authorship – *Guidelines for Thesis by Publication*

- The written statements of the co-authors may take the following form and copies of these statements should be included as appendices at the end of the thesis:

To Whom It May Concern

I, *[Full Name of Candidate]*, contributed *(insert details of the Candidate's contributions to each component of the research reported in the publication)* to the paper/publication entitled *(insert reference details)*.

(Signature of Candidate)

I, as a Co-Author, endorse that this level of contribution by the candidate indicated above is appropriate.

(Full Name of Co-Author 1)

(Signature of Co-Author 1)

(Full Name of Co-Author 2)

(Signature of Co-Author 2)

(Full Name of Co-Author 3)

(Signature of Co-Author 3)

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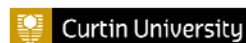


Some considerations – thesis by typescript

- A PhD/MPhil is awarded based on the thesis
- Where there is a clear need to finish within a given time, concentrate of the thesis first, papers second
- Publication scholarship:
 - 6 week scholarship after submission of thesis
 - Students must write and submit a paper to a journal
 - Round open twice a year – March and July

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Further Resources

A new HDR staff webpage, (guidelines, forms, policies) will be live soon:
<http://postgraduateresearch.curtin.edu.au/staff/> For now, please use these:

- Information Regarding Authorship and Joint Authorship for HDR Students and their Supervisors:
<http://research.curtin.edu.au/guides/forms/policies.cfm#authorship>
- Guidelines for Thesis by Publication
[http://research.curtin.edu.au/local/docs/graduate/TE-
ThesisByPubGuidelines.pdf](http://research.curtin.edu.au/local/docs/graduate/TE-ThesisByPubGuidelines.pdf)
- Authorship, Peer Review and Publication of Research Findings Policy
- <http://policies.curtin.edu.au/findapolicy/> (*Find a Policy Website*)

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