

# Research Office Procedure for Determining Authorship



## Purpose:

The purpose of this procedure is to ensure that authorship rights are appropriately attributed according to best practice.

## Scope:

This procedure applies to all The Royal Victorian Eye and Ear Hospital ('Eye and Ear') Staff and Honorary Research Staff publishing research results.

## Risks/Precautions:

None have been identified at the time of this review.

## Procedure/Method:

### Background

The Australian Code for the Responsible Conduct of Research (2018), known as The Code, jointly issued by the National Health and Medical Research Council (NHMRC), the Australian Research Council (ARC) and Universities Australia, notes that the accepted practice for attribution of authorship differs between disciplines; however, the following general principles should apply:

'... in all cases, authorship must be based on substantial contributions in a combination of:

- conception and design of the project;
- analysis and interpretation of research data;

AND

- drafting significant parts of the work or critically revising it so as to contribute to the interpretation.<sup>1</sup>

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<sup>1</sup> Australian Code for the Responsible Conduct of Research 2018  
<https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018>

In addition, The International Committee of Medical Journal Editors (ICMJE) has produced Uniform Requirements for Manuscripts submitted to Medical Journals<sup>2</sup> and added a fourth criterion for authorship:

- agreement to be accountable for all aspects of the work in ensuring that questions related to accuracy or integrity of any part of the work are appropriately investigated and resolved.

## Procedures

Authorship of material generated by researchers should follow these principles:

- Authorship of publications require strict adherence such that for a person to be recorded as an author of a publication requires them to have been directly involved in the creation of the publication or research, in particular relating to the conception of research ideas, analysis or interpretation of data, and revising or writing the manuscript for publication.
- Each author must take responsibility for a portion of the scholarly contributions to the article.
- The right to authorship should not be associated with a position or profession, be dependent on whether the contribution was voluntary or paid, as such any gift or honorary authorship is deemed unacceptable.
- Authorship should not be offered to those who do not meet the requirements set out above. For example, none of the following contributions, in and of themselves, justifies including a person as an author:
  - A. being head of department, holding other positions of authority, or personal friendship with the authors (honorary authorship is not acceptable);
  - B. providing a technical contribution but no other intellectual input to the project or publication;
  - C. providing routine assistance in some aspects of the project, the acquisition of funding or general supervision of the research team;
  - D. providing data that has already been published or materials obtained from third parties, but with no other intellectual input.
- All individuals who have contributed to the work but are not deemed to meet authorship requirements must be named in an Acknowledgements section. Describe the steps.

<sup>2</sup> ICMJE Uniform Requirements for Manuscripts Updated Dec 2015 <http://www.icmje.org>

- All researchers (including research trainees) that meet the criteria for authorship must be offered authorship, with written record of their intent to accept or decline authorship.
- Original signatures acknowledging authorship must be recorded and kept by the corresponding author.
- All authors must have the opportunity to read the final manuscript before submission.
- Authors of web-based publications must be able to take responsibility for the publication's content and must be clearly identified in the publication.
- All authors must be able to accept responsibility for the data presented. Published articles report honest observations. In the event of an honest error, a correction or erratum is required to be published. If there is evidence of scientific misconduct in relation to falsification, fabrication or plagiarism of results, retraction of the article is required to maintain scientific integrity.
- Authors are required to disclose potential conflicts of interest.
- As recommended in the Code, collaborating researchers should agree on authorship of a publication at an early stage in the research project and should review such decisions periodically.
- Authors should decide on the designated 'corresponding author', order of authors and author contributions to the publication. The corresponding author should be prepared to explain the presence and order of individuals.

## Acknowledgement and affiliation

The Royal Victorian Eye and Ear Hospital should be identified as the affiliated organisation in the author by-line of Eye and Ear Hospital staff.

For publications for which a substantial amount of the research has been conducted, funded or otherwise supported by The Royal Victorian Eye and Ear Hospital, appropriate acknowledgement in the work should be made at the time of publication. This may include an attribution in the author by-line.

## Dispute Resolution

Disputes over authorship are best resolved at the local level by the authors themselves or in consultation with senior research leaders in their organisation.

If the dispute is based on an allegation of poor research (mis)conduct, the Designated Person in the organisation for receiving such allegations must be contacted. At the Eye and Ear, the Executive Director Medical Services is the contact person and if conflicted, the Chief Executive Officer is to be contacted and research conduct procedures in The Code will be followed. Use subheadings where needed:

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## Outcome:

This procedure will ensure that research publications have appropriate authorship.

## Standard:



NSQHS Standard 1: Clinical Governance

## Legislation:

Current Legislation may be sourced at: <http://www.austlii.edu.au/> or Victorian legislation at: <https://www.legislation.vic.gov.au/>

None have been identified at the time of this review.

## References:

- [The Australian Code for the Responsible Conduct of Research](#) (The Code) (NHMRC 2018 and as amended) [accessed 28/04/2021]
- [Authorship: A guide supporting the Australian Code for the Responsible Conduct of Research](#) (NHMRC; 2019) [accessed 28/04/2021]
- [National Clinical Trials Governance Framework](#) [accessed 28/04/2021]

## Linked Policy & Procedure:

Research Policy

## Approval/Committees:

Research Committee

## Responsible Executive:

Executive Director Medical Services

## Document Author:

Manager Research

## Evaluation:

Processes and procedures are evaluated within the context of organisation risk management accreditation and legislative standards.

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## Procedure Review:

This procedure will be reviewed at least every five years.

## Author/ Co-Authors:

Name	Position	Service / Directorate
Andrea Johannessen	Manager Research	Medical Services

## Version Details:

Details	
Procedure No:	RVEE0195712
Parent Policy:	Research Policy
National Standard:	Clinical Governance
Legislation Section:	E – Patient’s rights F – Privacy
Review Date(s):	2010, 22/10/2012, 11/04/2016, 11/04/2018, 21/04/21