

Research Authorship Procedures

1. Purpose and Scope

Researchers must disseminate research findings responsibly, accurately and broadly. Authorship of a research output acknowledges the substantial contribution made by a researcher individually or in collaboration. Acknowledgement of authorship of a research output is also recognition of responsibility for the material contributed.

These Procedures support the principles of:

- KOI's Responsible Conduct of Research Policy and related research and research training policies and procedures; and
- the Australian Code for the Responsible Conduct of Research, 2018 ("the Code") and the supporting Authorship: A guide to supporting the Australian Code for the Responsible Conduct of Research ("the Guide").

These Procedures ensure:

- the acknowledgment of research authorship is aligned with the Code and the Guide;
- credit for authorship, affiliation and contributions to research for all research outputs is fairly and accurately stated, managed and recorded; and
- there are appropriate mechanisms for confirming authorship, minimising disputes and resolving any conflict or disputes that may arise as a result from acknowledgement of research authorship.

The Procedures apply to:

- all research activities conducted under the auspices of KOI;
- all staff, including adjunct and other KOI appointees;
- Higher Degree Research (HDR) candidates;
- all research outputs, including non-traditional research outputs, arising from research by staff, including adjunct and other KOI appointees; and
- research outputs that are produced from or form part of a HDR thesis.

These Procedures do not apply to entire theses that are submitted for an HDR award.

2. Related Documents

This Procedure is to be read in conjunction with KOI's:

- [Conflict of Interest Policy](#)
- [Conflict of Interest Procedures](#)
- [Conflict of Interest Guidelines](#)
- Responsible Conduct of Research Policy
- Responsible Conduct of Research Procedures;
- Research Data Management Procedure.

3. Definitions

The following definitions are drawn from the Guide:

Author – the 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.

Corresponding Author - the author who is, as agreed by all co-authors, responsible for communication between the publishers, managing communication between the co-authors and maintaining records of the authorship agreement and any associated authorship statements.

Research Output - a 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, reports, datasets, patents and patent applications, performances, videos and exhibitions

4. Procedures

These Procedures are aligned to the Guide, which assists institutions and researchers to adhere to relevant principles of the Code, including:

- Principle 4, Fairness in the treatment of others, which requires researchers to give credit, including authorship where appropriate, to those who have contributed to the research; and
- Principle 6, 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, which requires researchers to credit the contributions of Indigenous peoples and knowledges.

Criteria for and Rights to Authorship

Authorship must be based on a significant scholarly or intellectual contribution involving at least two of the following:

- conception and design of the project or output;
- acquisition of research data where that acquisition requires significant intellectual judgement or input;
- contribution of knowledge, where justified, including Indigenous knowledge;
- analysis and interpretation of research data; and
- drafting significant parts of the output or critically revising it so as to contribute to the interpretation.

Authorship will be offered to all people who meet the criteria for authorship. All named authors must be willing to accept public responsibility for their part in the publication.

Disciplines may apply different models or have their own norms for assigning authorship.

Some journals, disciplines, and institutions with whom a researcher has an affiliation may have authorship criteria that specifies higher criteria thresholds than those prescribed by KOI and/or the Guide.

Criteria that do not meet Authorship

Researchers must ensure that authorship is not offered to those who do not meet the criteria for authorship.

Authorship will not be offered or attributed on the basis of:

- the provision of funding, data, materials, infrastructure or access to equipment;
- the provision of routine technical support, technical advice or technical assistance;
- the position or profession of an individual, such as their role as the author's supervisor or as the head of a research group or a 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').

It is a breach of the Code for a person to claim, demand, or accept authorship without having made a significant intellectual or scholarly contribution.

It is a breach of the Code for a person to offer or attribute authorship to someone who has not made a significant intellectual or scholarly contribution.

All those who contributed to the research but do not meet the criteria for authorship will be properly acknowledged. Where individuals are to be acknowledged and named, authors will make a reasonable attempt to obtain their written consent.

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.

Following publication, all authors must ensure that any concerns about the accuracy or integrity of any part of the output are appropriately responded to. This may mean providing all necessary evidence to demonstrate the accuracy and integrity of their contribution or seeking such evidence from the other co-authors. It may result in correcting the public record by way of erratum or retraction in a timely manner.

Appropriate and Fair Attribution of Authorship

A person who qualifies as an author will not be included or excluded as an author without their written permission.

All authors will approve the research output before its submission for publication and will also approve the final version before final publication.

If an author is deceased or cannot be contacted following reasonable efforts to do so, the publication may proceed provided that there are no grounds to believe that this person would have objected to being included as an author. If an author is deceased, this should be noted in the publication.

Authorship Arrangements

KOI requires researchers complete an Authorship Agreement Form, which includes:

- identification of those who will be recognised as the authors of the research output;
- a description of the contribution that each author has made (or will make) to the research output;
- an indication of the order in which the authors appear. The agreed order of authors should be consistent with any applicable disciplinary norms and publication requirements, and any other criteria approved by the Institute; and
- identification of at least one corresponding author who is responsible for communication with the publisher and managing communication between the co-authors.

It is the responsibility of the corresponding author to:

- ensure that all contributors to the research output are properly recognised;
- maintain records of the authorship agreement and any amendments to the agreement;
- obtain written approval from all authors for the final publication of the research output;
- communicate with the publisher and co-authors;
- periodically consult with all authors to review the authorship agreement to ensure consistency with the criteria of authorship, especially if new people become involved in the research and make a significant intellectual or scholarly contribution

If the corresponding author is not from KOI, all KOI authors must keep their own records.

Authorship is to be assigned as early as possible in the development of each research output. Collaborating authors will agree on authorship of a publication at an early stage in the research project and review their decision periodically.

As author order is often discipline specific, the process of author order determination will be discussed and documented, including why the order is used.

The order of authorship must reflect the different amounts of intellectual and scholarly input, with the person who made the greatest contribution listed as the principal author using the discipline standard and others listed in order of relative contributions.

Authorship certification may also be required for work to be submitted to journals or other publishers.

The Authorship Agreement Form and all written or electronic communications in relation to authorship will be stored in line with data retention and management requirements for the research and wherever else required by KOI.

Institutional Affiliation

Researchers are responsible for recording all research publications and creative works in KOI's research repository.

For staff and students of KOI, authorship of a research output must record their affiliation to the Institute if they undertook the research as part of their employment or course of HDR study with the Institute.

KOI also expects adjunct staff to record their affiliation to the Institute in outputs of their research as an adjunct staff member, in return for the Institute's support of and investment in their research.

Even if a researcher has left the Institute, the researcher should record their affiliation to KOI in outputs from research conducted while they were at the Institute.

Acknowledging Contributors

All those whose research or other contributions do not meet the criteria for authorship, but who have otherwise made a meaningful contribution to the research, including funding agencies, have the right to be acknowledged in the research output.

Researchers should obtain permission from named contributors before acknowledging them in a research output, unless such permission is provided via a collaborative agreement signed on behalf of the Institute.

Researchers who intend to publish Indigenous knowledge obtained through sources such as unpublished manuscripts, audio or video recordings, or verbal knowledge (e.g., yarning) must seek approval from the Indigenous people involved in the research, or from the Indigenous community from which the knowledge originates. The individual and collective contributors of the knowledge must be acknowledged in accordance with the [Guide and the Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders](#).

Authorship Dispute Resolution

Researchers will attempt to resolve authorship disputes at the local level with reference to the existing Authorship Agreement Form and all other relevant documentation.

If a power imbalance exists between authors in a dispute, junior authors, including HDR students, may wish to seek the support of a third-party person, provided that person is not a practicing lawyer.

Where collegial discussion does not reach consensus, the authors should consider mediated discussion supported by an impartial senior colleague. Alternatively, advice may be sought from a Research Integrity Adviser, who will advise on the appropriateness of the inclusion of each author listed in the Authorship Agreement, based on their documented contributions and other relevant documentation.

The Vice President Academic or nominee will decide all disputes and conflicts on authorship that cannot be resolved by collegial discussion or mediation.

The Vice President Academic or their nominee will investigate by talking with all parties involved and, if necessary, taking advice from colleagues in other institutions. before making a decision.

Where an author is unhappy with the decision of the Vice President Academic on a dispute about authorship, they may request a review by the CEO.

Where the Vice President Academic considers that a person claiming authorship has breached the Code in doing so, they may refer the matter for investigation under the Responsible Conduct of Research Procedure.

Higher Degree Research (HDR) Students

Acknowledgement of a supervisor as a co-author is appropriate if the supervisor meets the criteria for authorship as stated in the Guide.

A HDR student should be listed as principal author on any multiple-authored article that is substantially based on the student's work for the HDR award. If a supervisor meets the criteria for authorship, they should take second author status, unless the student and supervisor have agreed otherwise.

There may be circumstances where the supervisor is the principal author, but this must be with the student's written approval. If a research supervisor and their student form a contract for their research collaboration, it must include a statement on the principles to be used to determine authorship.

Breaches of the Code

KOI will manage and investigate concerns or complaints about potential breaches of the Code in accordance with its Responsible Conduct of Research Procedures.

Examples of breaches of the Code that are related to authorship include, but are not limited to:

- crediting authorship to or accepting authorship from individuals who do not meet the criteria for authorship (for example, honorary, gift or guest authorship);
- failing to ascribe authorship to individuals where those individuals meet the requirements of authorship;
- attributing authorship to individuals without their consent;
- publishing research without the final approval of the attributed authors;
- failure to comply with an authorship agreement;
- making false claims about authorship in a grant application.

Researchers should be aware that the denial of authorship may raise the potential for plagiarism.

When managing and investigating a potential breach of the Code regarding authorship, KOI will consider the extent to which each author met their authorship responsibilities.

5. Associated Information

[Australian Code for the Responsible Conduct of Research, 2018 \(the Code\)](#)

[Authorship: A guide to supporting the Australian Code for the Responsible Conduct of Research \(the Guide\);](#)

[Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders](#)

[Higher Education Standards Framework \(Threshold Standards\) 2021](#)

6. Monitoring and Reporting

The Academic Board, supported by the Research and Scholarship Committee, will monitor the effectiveness of the Authorship of Research Output Procedures through monitoring the Procedures' implementation and effectiveness, including with reference to research outputs.

Document Control

Policy title	Research Authorship Procedures
Policy owner	Vice President (Academic)
Policy version date	29 August 2025 Version 1.0
Procedures approver	AIBM Council on the recommendation of the Academic Board
Date of approval	29 August 2025
Date of implementation	29 August 2025
Date of next review	29 August 2026
Changes in this version	New Procedures