Metro North Research

Procedure

Effective from: December 2019
Review date: December 2020

Research: Authorship [PROC004416]

Purpose and intent

Research aims to advance healthcare by providing outcomes that lead to better treatments and enhance understanding of disease processes. The accurate dissemination of these research findings within the research community and to professional practitioners is an important part of this process.

Metro North Hospital and Health Service (Metro North) adheres to the *Australian Code for Responsible Conduct of Research 2007* (the Code) in relation to its research activities and its obligation to support publication and dissemination of research outcomes to the research and wider community.

According to the principles of the Code, researchers have a responsibility to appropriately acknowledge the role of others in research and to responsibly communicate research results and outcomes. As a result, authorship of a scientific communication is a role that comes with responsibilities to ensure the accurate reporting of scientific findings.

This procedure provides details of the recommended requirements for an individual to be considered as an author and the attribution of authorship in subsequent publications. Guidance is provided to aid in the initial resolution of authorship disputes. Metro North expects that the authorship of research publications and resolution of disputes will be determined in accordance with the following procedure.

Scope and target audience

This procedure/protocol/guideline applies to:

- all Metro North clinical and non-clinical staff (permanent, temporary and casual) and all organisations and individuals acting as its agents (including Visiting Medical Officers and other partners, contractors, consultants and volunteers)
- all settings across the health continuum including community, primary, acute, rehabilitation and residential care health services within Metro North

Procedure

Determining authorship

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.

Whilst authorship conventions may vary across disciplines, the criteria for authorship must be determined based on **significant intellectual or scholarly contributions** and must include one and should include a combination of two or more of the following:

- conception and design of the project or output; and/or
- acquisition of research data where acquisition has required significant intellectual judgement, planning, design or input; and/or
- contribution of knowledge, where justified, including Indigenous knowledge; and/or
- analysis and interpretation of research data; and/or
- drafting significant parts of the research output or critically revising it in a way that contributes to the interpretation of the data; and
- final approval of the version to be submitted for publication.

Where someone does not meet the criteria for authorship but has contributed to the research they should be named in the *acknowledgements* section of a publication. For example, those who have contributed facilities, materials, technical skills, technical writing assistance or funding under a relevant funding agreement would all qualify for mention in the acknowledgements section.

While valuable contributions to research are made through the following roles, they should not alone be considered as a basis for authorship:

- an Organisational Unit Head or other person in a position of leadership;
- provision of access to a patient population, materials or other technical support to the project without other intellectual input; including enabling access to database material;
- provision of routine assistance such as administrative support; or
- providing data that has already been published or materials obtained from third parties without providing any other intellectual input.

Whilst ownership of a clinical database or custodianship of data does not by itself constitute grounds for authorship, such individuals have a right to be involved in the design and conduct of any research undertaken using this data. In particular, the custodians(s) of clinical databases must be consulted about any planned research that relies on using information in their databases prior to the research's commencement.

As well as processes specified within the Metro North Research Policy and procedures, researchers will also abide by other legal rights provided under the *Copyright Act 1968* (Cth). Section 9 of this Act gives authors the exclusive right to be attributed as having authored a work, and to publish, reproduce, communicate, adapt or perform their work. It also bars anyone from falsely attributing the work of an author to themselves. Authorship grants these rights for as long as the copyright over the scientific communication lasts, regardless of any other policies, procedures or agreements relating to the communication.

Attributing authorship

Authorship Affiliation

Authorship protocols should be consistent with the publishing journal requirements or professional body under which the publication is being made. Where authors have university affiliations, they are advised to also refer to their institution for specific policies and procedures. Where authorship affiliation is to be determined in relation to collaborations and partnership outside of Metro North HHS, researchers are expected to also refer to Procedure Research: Partnership and Collaboration, Procedure Research: Intellectual Property.

Appropriate author affiliation is important for internal and external analysis of publication data, which may impact receipt of academic or financial recognition. Where an author's primary or secondary affiliation is with a Metro North HHS facility or service, it is suggested that, where appropriate, authors cite their institutional affiliation with the relevant department/stream/unit, where there is sufficient space.

Authorship Order

The order of authorship is a decision of the combined authorship group and should always comply with publishing journal and professional group requirements. Researchers may seek guidance about the preferred method for listing authors from their university, professional bodies or the journal in which they wish to publish.

Acknowledgement of Funding Sources

Where research has been funded by an external agency or individual or by any internal Metro North HHS scheme, the source of funds should always be acknowledged in a manner consistent with that described under the relevant funding agreement and in accordance with the specific journal requirements.

Acknowledgement of Research Ethics Approvals

As appropriate and as required by the publisher, animal and/or human research ethics approvals, site-specific governance and data access approvals (eg. under the *Public Health Act*) should be recorded in relevant publications arising from that research, with reference to the unique identifiers of the approving committee and authorities.

Reporting conflict of interest

Conflicts of interest are relatively common, but can only be managed if they are reported. Any conflicts of interest relating to research should be reported by researchers as outlined in the Metro North HHS Procedure Research: Conflict of Interest and the Metro North HHS Policy Managing conflict of interest.

Dispute resolution

Disputes over authorship sometimes arise. Attempts should be made to resolve disputes through discussion amongst the authors. If resolution cannot be reached between the authors, then any affected party may raise the issue for discussion and mediation through their local hospital facility.

Where an authorship dispute is raised with the local hospital facility, an *ad hoc* mediation group should be established by that local hospital facility, which includes representation from researchers not involved in the publication and should include representation from academic institutions and universities where appropriate. Individuals should also be aware that universities may have their own mediation policy. In such cases where other parties are involved, consideration should be given to the complexities prior to mediation processes commencing.

The mediation group may require copies of key documentation, including records of authorship, acknowledgements if a scientific communication has been submitted for publication, and summaries of earlier authorship agreements, collaborative research agreements and funding agreements.

A report by the Chair of the Mediation Group should be provided to the relevant Facility Executive Director, Facility Director of Research, Executive Director, Research Metro North HHS.

Cases that are not resolved by the mediation group should be referred to the Executive Director, Metro North HHS Research and the Executive Director at the relevant facility for final determination.

If a formal complaint is raised, consideration for investigating and managing potential breaches of The Code in relation to authorship should be considered in line with the Procedure Research: Complaints and Breaches of the Code, and the National Health and Medical Research Council *Guide to investigating and managing potential breaches of the Australian Code for the Responsible Conduct of Research*.

Complainants will be able to lodge concerns formally in the knowledge that these will be addressed confidentially and sensitively, and with care, to avoid adverse consequences for the individual. The principles of procedural fairness will be applied to processes for investigating and managing concerns and complaints about authorship.

Partnering with consumers

The active involvement of consumers and community members in health and medical research benefits the quality and direction of research. Consumer and community involvement is about research being carried out with or by consumers and community members rather than to, about or for them.

Patients and family members are to be encouraged and given the opportunity to ask questions, clarify information and actively participate in the development and communication of research. Staff are responsible for providing information in a way that is understandable and that meets their needs and are to check consumer's understanding of discussions.

Refer to the NHMRC Statement on Consumer and Community involvement in Health and Medical Research for further guidance on research with consumers.

Aboriginal and Torres Strait Islander considerations

The National Health and Medical Research Council (NHMRC) provide Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders 2018 and Keeping research on track II 2018 as ethical guidelines for research with Aboriginal and Torres Strait Islander Peoples. These documents should be read alongside the Guidelines for Ethical Research in Australian Indigenous Studies 2012.

The Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS), The Lowitja Institute and the Queensland Aboriginal and Islander Health Council QAIHC provide further resources.

There is currently no certified Aboriginal and Torres Strait Islander Human Research Ethics Committee (HREC) in Queensland. You may wish to contact one of these HREC's for more information:

- Australian Institute of Aboriginal and Torres Strait Islander Studies Research Ethics Committee
- Aboriginal Health & Medical Research Council Ethics Committee (NSW)
- Aboriginal Medical Service Western Sydney Ethics Committee (NSW)
- Human Research Ethics Committee for the Northern Territory Department of Health and Menzies School of Health Research
- Aboriginal Health Research Ethics Committee (SA)
- Western Australian Aboriginal Health Ethics Committee

Refer to the *Metro North Better Together Plan* or the *Queensland Health Aboriginal and Torres Strait Islander Cultural Capability Framework 2010-2033*

Legislation and other authority

Australian Research Council Act 2001 (Cth)

Financial Accountability Act 2009 (Qld)

Hospital and Health Boards Act 2011 (Qld)

Human Rights Act 2019 (Qld)

Information Privacy Act 2009 (Qld)

National Health and Medical Research Council Act 1992 (Cth)

Public Records Act 2002 (Qld)

Public Sector Ethics Act 1994 (Qld)

Public Service Act 2008 (Qld)

Related documents

Metro North Research Policy (POL004365)

Research: Monitoring (PROC004412)

Research: Financial management (PROC004413)

Research: Conflict of interest (PROC004414)

Research: Intellectual Property (PROC004415)

Research: Authorship (PROC004416)

Research: Responsible reporting (PROC004417)

Research: Honorary Appointments, Research Students and Visitors (PROC004418)

Research: Partnership and collaboration (PROC004419)

Research: Gender equity (PROC004420)

Research: Complaints and breaches of the Code (PROC004421)

Appendix 1- Definition of terms

Term	Definition
Allegation	A claim or assertion arising from a preliminary assessment that there are reasonable grounds to believe a breach of the Code has occurred. May refer to a single allegation or multiple allegations.
Author	An individual who has made a significant intellectual or scholarly contribution to research and its output and who has agreed to be listed as an author.
Authorship	Authorship refers to the attribution of contributors to academic publications. Authorship must be determined based on substantial scholarly contributions.

Breach	A failure to meet the principles and responsibilities of the Code. May refer to a single breach or multiple breaches.
Clinical record	A collection of data and information gathered or generated to record the clinical care and health status of an individual or group. Also referred to as a Patient Chart, Patient Record, Medical Record, Healthcare Record, Current Encounter Chart (CEC).
Code, the	The *Australian Code for the Responsible Conduct of Research, 2018* (the Code) establishes a framework for responsible research conduct that provides a foundation for high-quality research, credibility and community trust in the research endeavour. https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018
Collaboration	A working relationship between researchers who together engage in research. A collaboration may occur between researchers internal or external to the one organisation and may be guided by formal agreements for a specific project.
Collaboration Agreement	An agreement made between Metro North and another entity for the purpose of performing research. For clarity, this definition does not include an employment agreement with an employee of Metro North.
Confidential Information	Confidential Information means any information that— (a) is about a person who is receiving or has received a public sector health service; and (b) could identify the person. *Hospital and Health Boards Act 2011* (Qld)
Confidentiality Agreement	An agreement made between Metro North and another entity for the purpose of secretly disclosing information between those parties. For clarity, this definition does not include an employment agreement with an employee of Metro North.
Conflict of Interest	A conflict of interest exists in a situation where an independent observer might reasonably conclude that the professional actions of a person are or may be unduly influenced by other interests.[1] Where a person's individual interests or responsibilities have the potential to influence the carrying out of his or her institutional role or professional obligations in research; or where an institution's interests or responsibilities have the potential to influence the carrying out of its research obligations.
Contributor	A person, body or institution who has enabled the research to be completed either through provision of facilities, funding, data collection and management, supervision, mentorship, statistical support,

[1] Australian Code for the Responsible Conduct of Research 2018. National Health and Medical Research Council, Australian Research Council and Universities Australia. Commonwealth of Australia, Canberra.

	technical writing who has not made other contribution that would constitute authorship as defined in this document.
Coordinating Principal Investigator (CPI)	The Investigator responsible for coordinating a multi-centre research study, and the submission and communication of all subsequent requests and notifications to the site PIs and Reviewing HREC. The CPI and their team are responsible for coordinating the HREC applications and correspondence throughout a multi-centre study, on behalf of the Accepting PIs for which the CPI is responsible. For single site studies the terms Coordinating Principal Investigator, Coordinating Principal Researcher, Site Principal Investigator and Principal Investigator are all synonymous.
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.
Department Head	The person who supervises or directs the organisational unit in which the Researcher is engaged.
Ethics	The concepts of right and wrong, justice and injustice, virtue and vice, good and bad, and activities to which these concepts apply.
Facility	The site at which the research is performed or the researcher is engaged.
Facility Executive Director	The executive officer of the Facility. At any time, the Chief Executive may step into the role described for the Facility Executive Director.
Final Report	A report submitted by the Coordinating Principal Investigator (CPI) to relevant governing bodies at the completion of a research project documenting the final project outcomes.
HREC Administrator	An employee of the institution who provides administrative support and advice on the institution's processes for ethical review of research studies. The HREC Administrator reports to the Chair of the HREC in matters related to the activities of the Committee. The terms HREC Coordinator and HREC Administrator are interchangeable.
Human Research Ethics Application (HREA)	The HREA is the Nationally accepted online application form provided by the NHMRC that enables all Australian research involving human participants to be efficiently and effectively reviewed. https://hrea.gov.au/
Human Research Ethics Committee (HREC)	Human Research Ethics Committees (HRECs) review research proposals that involve humans or their tissue or data. HRECs are established by organisations, which register their HREC with the NHMRC. It may also be referred to as the Reviewing HREC in multi-centre research studies.

	A Certified HREC has had its processes assessed and certified under the National Health and Medical Research Council (NHMRC) National Certification Scheme. NHMRC certification lasts for three years.
Intellectual Property	All rights in Australia or any other jurisdiction resulting from intellectual activity in the medical, industrial, scientific, artistic and literary fields, including any rights in, or rights to registration of: Works under the *Copyright Act 1968* (Cth) Designs under the *Designs Act 2005* (Cth) Inventions under the *Patent Act 1990* (Cth) Trade Marks under the *Trade Marks Act 1995* (Cth) Circuit layouts or integrated circuits under the *Circuit Layouts Act 1989* (Cth) Confidential information at common law and equity.
Investigation	Used to describe the action of investigating an allegation of a breach of the Code by the Panel, following the preliminary assessment. The purpose of the investigation is to determine whether a breach of the Code has occurred, and if so, the extent of that breach, and to make recommendations about further actions.
Journal article	A report on research outcomes made available to the public via submission and acceptance in a scientific journal involving a process of peer review and/or editorial review.
Metro North	Metro North Hospital and Health Service
National Statement, the	The *National Statement on Ethical Conduct in Human Research (2007)* (Updated 2018) consists of a series of guidelines made in accordance with the *National Health and Medical Research Council Act 1992*. The National Statement is intended for use by: • any researcher conducting research with human participants; • any member of an ethical review body reviewing that research; • those involved in research governance; and • potential research participants. https://www.nhmrc.gov.au/about-us/publications/national-statement-ethical-conduct-human-research-2007-updated-2018
NHMRC	National Health and Medical Research Council
Partnership	A research partnership involves engagement between two or more organisations who share a common purpose and whose researchers and decision-makers work collaboratively together to create better health services and health outcomes through generating or sharing research knowledge. Partnerships may involve organisations from different sectors; health service, academia, industry or non-government organisations.

Peer Review	The impartial and independent assessment of research by others working in the same or a related field.
Preliminary Assessment	Used to describe the gathering and evaluating of evidence to establish whether a potential breach of the Code warrants further investigation.
Principal Investigator (PI)	The nominated delegate with primary responsibility and accountability for a research project. For multi-centre studies the PI may be known as the Accepting PI if they do not have CPI responsibilities. For single site studies the terms Coordinating Principal Investigator, Coordinating Principal Researcher, Site Principal Investigator and Principal Investigator are used interchangeably. See also Coordinating Principal Investigator (CPI).
Publication	Dissemination of findings, whether in hardcopy, electronic or other tangible form, including: refereed and non-refereed books or journals; web-pages; eLearning resource packages; conference presentations, papers, proceedings, posters and abstracts; films; professional and institutional repositories; and patents, registered designs and intellectual property. A publication may be unsolicited or invited and may entail a primary research report or a review of previously published literature. A publication can also take the form of publication in an online platform or published proceedings of an organisation meeting or conference. Information submitted for publication must be an accurate representation of the research.
Research	The original investigation undertaken to gain knowledge, understanding and insight. The concept of research is broad and includes the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.
Research Collaboration Agreement (RCA)	An agreement made between Metro North and another entity for the purpose of determining those party's roles in Collaboration on Research. For clarity, this definition does not include an employment agreement with an employee of Metro North.
Research Ethics	Ethics as it applies to research with particular consideration of research risks and benefits as well as protection of the rights and safety of the community and research participants.
Research Governance	The process by which an RGO assesses the suitability of study to take place within their institution / HHS and recommends authorisation to the HHS CE. Once authorised, the study may commence at that institution / HHS.

	Also referred to as Site Authorisation.
Research Governance Officer (RGO)	The Office(r) or coordinated function within an institution / HHS whose responsibilities are: • assessing the site-specific aspects of ethically approved research applications; • making recommendations to the HHS CE or delegate as to whether a research study should be granted authorisation at that site; and • monitoring authorised research at the site to ensure it meets appropriate standards.
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.
Research Student	An individual enrolled in a course of study with a recognised research or teaching institution and may include: • Students enrolled in honours, research masters or doctoral program, or any substantial postgraduate research project or dissertation with a University. • Volunteer medical, nursing or allied health students gaining research experience.
Researcher	A person(s) who conducts, or assists with the conduct of, research.
Scholarly and Academic Works	Copyright works that are intended for publication in order to further community knowledge of a certain phenomenon or area of study excluding any Teaching Materials.
Site Authorisation	The process by which an RGO assesses the suitability of study to take place within their institution / HHS and recommends authorisation to the HHS CE. Once authorised, the study may commence at that institution / HHS. Also referred to as Research Governance.
Site-Specific Assessment (SSA) Form	The SSA Form is a tool to assist RGOs in the research governance process to document the level of support and suitability of a research study to be conducted at a site, irrespective of whether that study is multi-centre or single site.
Supervisor	An individual responsible for the supervision of a research students, honorary appointee or other individual undertaking research.

Document history

Author	Executive Director, Research Metro North
Custodian	Executive Director, Research Metro North
Compliance evaluation and audit	Summary data of authorship dispute investigations will be reported to the Chief Executive and Executive Director, Research Metro North
Replaces Document/s	PROC004416 V1.0
Consultation	**Key stakeholders** HREC Chair and Administrator Research Governance Officers (RGO) RBWH Executive Director of Research Director of Research and Education, Redcliffe **Broad Consultation** Metro North Aboriginal and Torres Strait Islander Unit Metro North Information Technology Metro North Nursing and Midwifery Metro North Allied Health Metro North Medical Services Metro North Finance Metro North Workplace Health and Safety Metro North Legal Unit Metro North Risk and Compliance Officer Metro North Emergency Medicine and Access Coordination Stream Clinical Operations Strategy Implementation Unit Clinical Directorate Safety and Quality Units Clinical Skills Development Centre
Marketing Strategy	A Policy, Procedure and Protocol Staff Update will be published online each month to update staff of all new and updated policies, procedures and protocols. This update will be emailed to all Safety and Quality Units in each clinical directorate and a broadcast email sent to all Metro North staff with a link to the published update.
Key words	Research, author, authorship, publication, peer reviewed, journal

Custodian Signature Date

Executive Director Research, Metro North Hospital and Health Service

AUTHORISATION

Authorising Officer Signature Date

Executive Director Research, Metro North Hospital and Health Service

The original signed version is kept in file at the Metro North Office of Research, Metro North.