

Authorship, Peer Review and Publication of Research Findings Policy

1. PURPOSE

To support academic integrity in the publication, peer review and dissemination of research.

2. POLICY STATEMENT

This policy is based on guidelines in the Australian Code for the Responsible Conduct of Research (**The Code**). This policy supports Recommendations for the Conduct, Reporting, Editing and Publication of Scholarly Work in Medical Journals (**Vancouver Protocol**), and guidelines issued by the Committee on Publication Ethics (**COPE**).

2.1. Academic freedom

- 2.1.1. An academic staff member may speak, write and publish, or artistically perform, create and exhibit, without being subject to institutional censorship or discipline in accordance with the [Intellectual Freedom Policy](#).

2.2. Authorship

- 2.2.1. The outcomes of research may be disseminated in a variety of ways but enduring forms of are of particularly importance and to be an author for such a form is meritorious.
- 2.2.2. To be named as an author, a researcher will have made a substantial contribution to the work and be able to take responsibility for at least that part of the work they contributed. Procedures for authorship eligibility are outlined in the [Authorship, Peer Review and Publication of Research Findings Procedures](#).

2.3. Peer review

- 2.3.1. Participation in peer review processes will be encouraged and supported to promote research integrity.
- 2.3.2. Participants in peer review will:
- Be fair and timely in their review
 - Act in confidence and do not disclose the content or outcome of any process in which they are involved
 - Declare all conflicts of interests, do not permit personal prejudice to influence the peer review process, and do not introduce considerations that are not relevant to the review criteria
 - Not take undue or calculated advantage of knowledge obtained during the peer review process
 - Ensure that they are informed about, and comply with, the criteria to be applied
 - Not agree to participate in peer review outside their area of expertise
 - Give proper consideration to research that challenges or changes accepted ways of thinking.

2.4. Publication and dissemination of research findings

- 2.4.1. Within the restrictions of confidential information, rights to use intellectual property, and personally and culturally sensitive information, researchers will disseminate a full account of all research findings as broadly as possible, including negative findings and results contrary to their hypotheses. Procedures for the publication and dissemination of research findings are outlined in the [Authorship, Peer Review and Publication of Research Findings Procedures](#).

2.5. Open Access

- 2.5.1. Publications will be made freely available online as soon as possible or within twelve (12) months of publication via the open access institutional repository,

taking into consideration any legal or contractual obligations, and funding body rules.

3. RESPONSIBILITY FOR IMPLEMENTATION, COMPLIANCE MONITORING, MEASURING AND CONTINUAL IMPROVEMENT

3.1. Authors' responsibilities

- 3.1.1 Each author is responsible for the accuracy, validity, originality, and integrity of the research that they contributed to the published work.
- 3.1.2 Authors will ensure that all those who have contributed to the research, facilities or materials are properly acknowledged, such as funding bodies, research assistants and technical writers. Where individuals are to be named, consent will be obtained as outlined in the [Authorship, Peer Review and Publication of Research Findings Procedures](#).
- 3.1.3 Where a publication has several authors, one author will be appointed executive author and take responsibility for recording authorship and managing communications about the publication with the co-authors and the editor/publisher.
- 3.1.4 Authors will ensure that publications are freely available online as soon as possible or within twelve (12) months of publication via the open access institutional repository, taking into consideration any legal or contractual obligations, and funding body rules.
- 3.1.5 Where work includes or builds on third-party copyright materials, the authors are responsible for seeking permission of the copyright holder.
- 3.1.6 Authors will ensure that all collaborating authors are aware of and comply with The Code.

3.2 Researchers' responsibilities

- 3.2.1 Researchers are responsible for informing sponsors of research of the importance of peer review and publication of research results including open access.
- 3.2.2 Researchers whose work is undergoing peer review will not seek to influence the process or outcomes.
- 3.2.3 Supervising researchers will assist trainee researchers in developing the necessary skills for peer review and understanding their obligation to participate.

3.3 Director, Research Services and Systems

- 3.3.1 Ensure this policy is regularly updated.

4. SCOPE OF POLICY

This policy applies to University staff, University Associates and research students.

5. DEFINITIONS

(Note: Commonly defined terms are located in the [Curtin Common Definitions](#). Any defined terms below are specific to this document)

Peer Review

The impartial and independent assessment of research by others working in the same or a related field. Peer review has a number of important roles in research and research management, in the assessment of grant applications, in selecting material for publication, in the review of performance of researchers and teams, and in the selection of staff. Peer review provides expert scrutiny of a project, and helps to maintain high standards and encourage accurate, thorough and credible research reporting.

Publication of research findings

All forms of dissemination including academic journals and books, non-refereed publications including web-pages, and other media such as exhibitions and films, and discipline-based professional and institutional repositories.

6. SUPPORTING PROCEDURES

[Authorship, Peer Review and Publication of Research Findings Procedures](#)

7. RELATED DOCUMENTS/LINKS

Internal

[Authorship, Peer Review and Publication of Research Findings Procedures.](#)

[Conflict of Interest Policy](#)

[Curtin's Open Access Guidance Document](#)

[Curtin University Code of Conduct](#)

[Intellectual Freedom Policy](#)

[Intellectual Property – Ownership and Commercialisation Policy and Procedures](#)

[Research Management Policy](#)

External

[Australian Research Council Open Access Policy](#)

[National Health and Medical Research Council Open Access Policy](#)

[The Australian Code for the Responsible Conduct of Research](#)

[Recommendations for the Conduct, Reporting, Editing and Publication of Scholarly Work in Medical Journals \(Vancouver Protocol\)](#)

[Committee on Publication Ethics](#)

Policy Compliance Officer	Catherine Gangell , Manager, Reporting and Compliance Research Integrity
Policy Manager	Deputy Vice-Chancellor, Research
Approval Authority	Academic Board
Review Date	1 st April 2019

REVISION HISTORY

Version	Approved/ Amended/ Rescinded	Date	Committee / Board / Executive Manager	Approval / Resolution Number	Key Changes and Notes
New	Approved	30/08/2013	Academic Board	AB 153/13	Attachment 2 to Document No 00920/13
	Amended	26/06/2015	Academic Board	AB 135/15	Attachment A to Item 14.3
	Administratively Updated	06/10/2015	Director, Legal and Compliance Services	EC 76/15	Executive Manager Title Changes
	Administratively Updated	16/01/2017	Director, Legal and Compliance Services		Review and Amended dates updated
	Administratively Updated	20/06/2017	Director, Legal and Compliance Services		Updated links for Intellectual Freedom Policy