

Authorship, Peer Review and Publication of Research Findings Procedures

1. POLICY SUPPORTED

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

2. IMPLEMENTATION PRINCIPLES

- 2.1. Appropriate acknowledgement and record of authorship.
- 2.2. Appropriate acknowledgement of the role of others in research.
- 2.3. Responsible communication, publication and dissemination of research outputs.

3. PROCEDURAL DETAILS

This procedure applies to 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 and institutional repositories. This procedure supports the Australian Code for the Responsible Conduct of Research (**The Code**), 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**).

3.1. Authorship eligibility

- 3.1.1. 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. Substantial contributions are a combination of:
 - (a) conception and design of the project;
 - (b) analysis and interpretation of research data; and
 - (c) drafting significant parts of the work or critically revising it so as to contribute to the interpretation.
- 3.1.2. Authorship will be offered to all people who meet the criteria for authorship as listed in section 3.1.1 of this procedure.
- 3.1.3. Authorship will not be offered to those who do not meet the requirements set out in section 3.1.1 of this procedure. For example, none of the following contributions on their own justify inclusion of a person as an author:
 - (a) Being head of department, holding other positions of authority, or personal friendship with the authors
 - (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 a third party, but with no other intellectual input.
- 3.1.4. Collaborating authors will agree on authorship of a publication at an early stage in the research project and review their decision periodically.
- 3.1.5. All those who contributed to the research but do not meet the criteria for authorship as described in section 3.1.1 of this procedure will be properly acknowledged. Where individuals are to be named, authors will make a reasonable attempt to obtain their written consent.

3.2. Record of authorship acknowledgement

- 3.2.1. A person who qualifies as an author will not be included or excluded as an author without their written permission.
- 3.2.2. A record of authorship acknowledgement will be maintained by the executive author for each submission and at each stage of submission including revisions and resubmissions. Authorship certification may be obtained through certification of

work to be submitted as requested by the journal or publisher, or an email agreement between the authors.

- 3.2.3. 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.

3.3. Author order

- 3.3.1. The order of authors will reflect the established written conventions of the discipline or the proportion of input from each of the named authors based on the criteria for authorship outlined in section 3.1.1 of this procedure.
- 3.3.2. Written agreements about the process of author order determination will be considered at an early stage in the research project. As author order is often discipline specific the process of author order determination will be explicitly stated in the authorship agreement including why the order is used.

3.4. Authorship dispute resolution prior to publication

- 3.4.1. Researchers will attempt to resolve authorship disputes involving University researchers at the local level.
- 3.4.2. Where disputes cannot be resolved locally then the matter may be referred to a Research Integrity Adviser, or the relevant Head of School who will attempt to resolve the dispute through mediation.
- 3.4.3. If the dispute cannot be resolved, the Deputy Vice-Chancellor Research, or their delegate, will be approached for a final determination.

3.5. Intellectual property

- 3.5.1. University IP will be governed in accordance with the [Intellectual Property – Ownership and Commercialisation Policy and Procedures](#).

3.6. Dissemination of research findings and Open Access

- 3.6.1. Within the restrictions of confidential information, rights to use intellectual property, and personally and culturally sensitive information, researchers will disseminate an account of research findings through the institutional open access repository espace@Curtin and as broadly as possible, including negative findings and results contrary to their hypotheses.
- 3.6.2. Researchers should provide an appropriate summary of the research results to research participants.
- 3.6.3. ~~Fragmented publication, plagiarism, self-plagiarism~~ and under-reporting of research are not permitted. ~~Duplicate publications~~ are not acceptable, unless appropriate citation is made in the later publication to the earlier one, and where the editor or publisher is explicitly informed.
- 3.6.4. Researchers will take all reasonable steps to accurately and properly report research findings. Researchers will correct misleading and inaccurate statements about their work as soon as possible after they become aware of them.
- 3.6.5. Publication activities will take account of any restrictions on publication imposed by [legislation](#) and [sanctions](#), the sponsor, contractual arrangements, and any restrictions relating to intellectual property in the [Intellectual Property – Ownership and Commercialisation Policy and Procedures](#).
- 3.6.6. The work of other researchers will be cited appropriately and accurately.
- 3.6.7. The permission of the original publisher will be obtained by the executive author before republishing research findings and the original publication will be acknowledged.
- 3.6.8. Researchers will publish research data and metadata in accordance with the [Research Data and Primary Materials Policy](#) to support research findings where appropriate.
- 3.6.9. Researchers will consider rights management of their authored material, including data, in order to maximise the rights retained by the author and/or the University including seeking advice from legal and copyright advisors.

- 3.6.10. Publications will acknowledge Curtin University and all sources of financial and in-kind support for the research and any conflicts of interest.
- 3.6.11. Publications arising from grant funded projects will comply with the rules of the funding body. E.g. [National Health and Medical Research Council Dissemination of Research Findings](#), [Australian Research Council Open Access Policy](#).
- 3.6.12. Publications will be made freely available online as soon as possible or within twelve (12) months of publication via the open access institutional repository [espace@Curtin](#), taking into consideration any legal or contractual obligations, and funding body rules.
- 3.6.13. Research output with at least one Curtin affiliated author will be recorded in the institutional research management system (e.g. [SCRIPT](#)).
- 3.6.14. Digital publication of research findings will be consistent with the [Digital Publishing Procedures](#).
- 3.6.15. Where ethical approval was required for the research to proceed, any ethical approvals, as well as the approving committee, will be recorded within the publication arising from that research.
- 3.6.16. Where regulatory permits or other discipline specific approvals are required to conduct the research, these will be recorded within the publication arising from that research in the manner generally accepted for that discipline

3.7. Communicating research findings to the media

- 3.7.1. [Public and Community Relations](#) will support researchers in communicating research findings through the media where allowed under any relevant contractual arrangement.

3.8. Compliance and breaches

- 3.8.1. Breaches of these procedures or The Code will be managed in accordance with the misconduct or serious misconduct provisions of the [Curtin University Academic, Professional and General Staff Enterprise Agreement 2012-2016](#) for staff or [Statute No. 10 – Student Disciplinary Statute](#) for students. Potential research misconduct will be reported and dealt with in accordance with the [Responsible Conduct of Research Policy](#) and *Responsible Conduct of Research Procedures (forthcoming)*.

4. RESPONSIBILITIES

4.1. Authors' Responsibilities

- 4.1.1. Each author is responsible for the accuracy, validity, originality, and integrity of the research that they contributed to the published work.
- 4.1.2. 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 as an author, their consent must be obtained as per section 3.2.
- 4.1.3. 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.
- 4.1.4. Authors will adhere to the open access requirements of the body funding the published research.
- 4.1.5. Authors will ensure that all collaborating authors are aware of and comply with The Code.

4.2. Researchers' Responsibilities

- 4.2.1. Researchers are responsible for informing sponsors of research of the importance of peer review and publication of research results including open access.
- 4.2.2. Researchers whose work is undergoing peer review will not seek to influence the process or outcomes.

- 4.2.3. Supervising researchers will assist trainee researchers in developing the necessary skills for peer review and understanding their obligation to participate.

4.3. Director, Research and Development

- 4.3.1. Maintain the institutional research management system.

4.4. Curtin Library

- 4.4.1. Provide guidelines for researchers on Open Access.
- 4.4.2. Maintain the open access institutional repository espace@Curtin.

5. SCOPE OF PROCEDURES

These procedures apply to University staff, University Associates and research students.

6. DEFINITIONS

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

Duplicate publication

Publication of a paper that overlaps substantially with one already published in print or electronic media.

Executive Author

When work has several authors, the author appointed to record authorship and to manage communication about the work with the publisher.

Fragmented publication

The intentional dividing of a coherent research report into smaller, publishable reports to create the (false) impression of extensive productivity.

Peer Review

The impartial and independent assessment of research by others working in the same or a related field. Peer review provides expert scrutiny of a project, and helps to maintain high standards and encourage accurate, thorough and credible research reporting.

Plagiarism

Presenting the work or property of another person as one's own, without appropriate acknowledgement of the other person's work

Publication of research findings

Is 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.

Research output

Refers to peer reviewed works such as books, book chapters, journal articles and conference papers; creative research outputs such as original creative works, live performance of creative works, recorded/rendered creative works and curated or produced public exhibitions and events; and scholarly outputs which are not peer reviewed, such as technical or working papers, scholarly book reviews or legal submissions.

Self-plagiarism

Presenting the work or property of a previously published research output where you were listed as an author without appropriate acknowledgement or referencing.

7. SCHEDULES

Nil

8. RELATED DOCUMENTS/LINKS/FORMS

Internal

[Academic Freedom Policy](#)

[Conflict of Interest Policy](#)

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

[Curtin University Academic, Professional and General Staff Enterprise Agreement](#)

[Curtin University Code of Conduct](#)

[Digital Publishing Procedures](#)

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

[Media Procedures](#)

[Research Management Policy](#)

Responsible Conduct of Research Procedures (forthcoming)

[Social Media Guidelines](#)

[Statute No. 10 – Student Disciplinary Statute](#)

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](#)

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Approval Authority	Academic Board
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REVISION HISTORY

Version	Approved/ Amended/ Rescinded	Date	Committee / Board / Executive Manager	Approval / Resolution Number	Key Changes and Notes
New	Approved	26/06/2015	Academic Board	AB 135/15	Attachment B 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