



Authorship, Peer Review and Publication of Research Outputs Procedures

1. STRATEGIC PLAN THEME AND COMPLIANCE OBLIGATION SUPPORTED

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

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

Strategic Plan theme: [Research and Innovation](#)

2. PROCEDURAL DETAILS

This procedure applies to all forms of dissemination of research outputs.

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).

2.1. Authorship eligibility

- 2.1.1. To be named as an author, a researcher will have made a significant intellectual contribution to the work and be able to take responsibility for at least that part of the work they contributed. Significant intellectual contributions are a combination of at least two of the following:
 - (a) conception and design of the project or output;
 - (b) acquisition of research data where the acquisition has required significant intellectual judgement, planning, design or input
 - (c) contribution of knowledge, where justified, including Indigenous knowledge
 - (d) analysis and interpretation of research data; and
 - (e) drafting significant parts of the work or critically revising it so as to contribute to the interpretation.
- 2.1.2. Authorship will be offered to all people who meet the criteria for authorship as listed in section 2.1.1 of this procedure.
- 2.1.3. Authorship will not be offered to those who do not meet the requirements set out in section 2.1.1 of this procedure. Authorship will not be attributed solely on the basis of:
 - (a) The provision of funding, data, materials, infrastructure or access to equipment
 - (b) The provision of routine technical support, technical advice or technical assistance
 - (c) The position or profession of an individual, such as their role as the author's supervisor, discipline lead or head of department or school ('gift authorship')
 - (d) Whether the contribution was paid or voluntary
 - (e) The status of an individual who had not made a significant intellectual contribution being such that it would elevate the esteem of the research ('guest authorship')
- 2.1.4. Collaborating authors will agree on authorship of a publication at an early stage in the research project and review their decision periodically.
- 2.1.5. All those who contributed to the research but do not meet the criteria for authorship as described in section 2.1.1 of this procedure will be properly acknowledged. Where individuals are to be named, authors will make a reasonable attempt to obtain their written consent.

2.2. Record of authorship acknowledgement

- 2.2.1. A person who qualifies as an author will not be included or excluded as an author without their written permission.
- 2.2.2. A record of authorship acknowledgement will be maintained by the corresponding 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.
- 2.2.3. 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.
- 2.2.4. All authors, with the exception of limitations outlined in 2.2.3, will approve the research output before its submission for publication and will also approve the final version before final publication.

2.3. Author order

- 2.3.1. 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 2.1.1 of this procedure.
- 2.3.2. 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 discussed and documented, including why the order is used.

2.4. Authorship dispute resolution prior to publication

- 2.4.1. Researchers will attempt to resolve authorship disputes involving University researchers at the local level.
- 2.4.2. 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.
- 2.4.3. If the dispute cannot be resolved, the Deputy Vice-Chancellor Research, or their delegate, will be approached for a final determination.

2.5. Intellectual property

- 2.5.1. University Intellectual Property will be governed in accordance with the [Intellectual Property Policy](#) and [Intellectual Property Procedures](#).

2.6. Dissemination of research outputs

- 2.6.1. In the dissemination of research outputs, researchers will:
 - (a) disseminate research as described in the Data Management Plan.
 - (b) consider the potential unintended consequences of research for individuals or communities prior to publication and dissemination, and will take steps to mitigate this. Unintended consequences may include the research being misused and cause harm to humans, animals, plant health, the environment and national security.
 - (c) share research outputs responsibly, transparently, and ethically, and will avoid 'predatory publishing/publications' in the dissemination of their research.
 - (d) provide a suitable summary of the research findings to research participants where appropriate.
 - (e) take all reasonable steps to accurately and properly report research outputs.
 - (f) will correct misleading and inaccurate statements about their work as soon as possible after they become aware of them.

2.7. FAIR and open access to knowledge

- 2.7.1. Researchers will disseminate research outputs as open access on publication where possible, through appropriate outlets, including the institutional repository space, and within the restrictions of confidential information, rights to use intellectual property, and personally and culturally sensitive information.

- 2.7.2. 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.
- 2.7.3. Researchers are required to connect Open Researcher and Contributor ID (ORCID) to the institutional research publication system (i.e. Elements), and to include their ORCID in all of their published research outputs.
- 2.7.4. Researchers are responsible for recording their research outputs in the institutional publications management system (i.e. Elements), and depositing a copyright compliant version of their output into espace, Curtin's institutional repository.

2.8. Restrictions on dissemination of research outputs

- 2.8.1. Researchers 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 Policy](#) and [Intellectual Property Procedures](#).
- 2.8.2. Where ethical approval was required for the research to proceed, researchers will ensure any ethical approvals, as well as the approving committee, will be recorded within the publication arising from that research.
- 2.8.3. Where regulatory permits or other discipline specific approvals are required to conduct the research, researchers will ensure these permits are maintained and will be recorded within the publication arising from that research in the manner generally accepted for that discipline.
- 2.8.4. Researchers will obtain the permission of the original publisher before republishing research outputs, and the original publication will be acknowledged.
- 2.8.5. Researchers are encouraged to retain the rights to their authored research outputs in order to maximise the rights retained by the author and/or the University including seeking guidance from legal and copyright advisors.
- 2.8.6. Researchers will ensure research outputs arising from grant funded projects comply with the rules of the funding body. E.g. [National Health and Medical Research Council Dissemination and Communication](#), [Australian Research Council Open Access Policy](#).

2.9. Acknowledgements in research outputs

- 2.9.1. Researchers will:
 - (a) cite the work of others appropriately and accurately.
 - (b) list Curtin University as their affiliated organisation
 - (c) acknowledge all sources of financial support for the research
 - (d) acknowledge any conflicts of interest in their research outputs.

2.10. Publishing metadata and digital publishing

- 2.10.1. Researchers will
 - (a) publish research data and metadata in accordance with the [Research Data and Primary Materials Policy](#) to support research outputs where appropriate.
 - (b) ensure digital publication of research outputs are consistent with the [Digital Publishing Procedures](#).

2.11. Communicating research outputs to the media

- 2.11.1. Researchers will comply with the [Media Procedures](#) when communicating research outputs.
- 2.11.2. [Media Relations](#) will support researchers in communicating research outputs through the media where allowed under any relevant contractual arrangement.

2.12. Compliance and breaches

- 2.12.1. 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 2017-2021](#) 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](#).

3. SCOPE OF PROCEDURES

These procedures apply to all staff, adjuncts, associates and students in any location or campus, whether in or outside of Australia.

4. 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.

Fragmented publication

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

Plagiarism

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

Research output

Refers to peer reviewed works such as books, book chapters, journal articles and conference papers; non-traditional research outputs including 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. In the context of authorship research outputs also refer to other documents related to research such as research proposals, grant applications, reports to funding agencies, tenders, patents and patent applications. It also includes web based publications and applications including professional blogs and any form of authored research that is made publically available.

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.

The Code

The Code refers to the Australian Code for the Responsible Conduct of Research and all associated Guides.

Predatory publishing/publications

Predatory publishing generally refers to the systematic for-profit publication of purportedly scholarly content (in journals and articles, monographs, books, or conference proceedings) in a deceptive or fraudulent way and without any regard for quality assurance.

5. SCHEDULES

Nil

6. RELATED DOCUMENTS/LINKS/FORMS

Internal

[Academic Freedom and Freedom of Speech Policy](#)

[Conflict of Interest Policy](#)

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

[Curtin University Academic, Professional and General Staff Enterprise Agreement 2017-2021](#)

[Curtin University Code of Conduct](#)

[Digital Publishing Procedures](#)

[Intellectual Property Policy](#)

[Intellectual Property Procedures](#)

[Media Procedures](#)

[Research Management Policy](#)

[Responsible Conduct of Research Procedures](#)

[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](#)

[NHRMC Research Quality Strategy](#)

[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	Deputy Vice-Chancellor, Research
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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
	Approved	08/11/2019	Deputy Vice-Chancellor, Research	EM1953	Includes Name Change
	Approved	12/12/2019	Deputy Vice-Chancellor, Research	EM1955	
	Approved	11/12/2020	Deputy Vice-Chancellor, Research	EM2086	