Authorship, Peer Review and Publication of Research Outputs Policy

1. **STRATEGIC PLAN THEME AND COMPLIANCE OBLIGATION SUPPORTED**

   Strategic Plan Theme: Research and Innovation

   Australian Code for the Responsible Conduct of Research

2. **PURPOSE**

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

3. **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**).

   3.1. Academic freedom

   3.1.1. 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 *Academic Freedom and Freedom of Speech Policy*.

   3.2. Authorship

   3.2.1. To be named as an author, a researcher will have:

   a) made a significant intellectual contribution to the work and be able to take responsibility for at least that part of the work they contributed; and

   b) agree to be an author.

   Attribution of authorship is dependent on the discipline of research and the type of research output. Procedures for authorship eligibility are outlined in the *Authorship, Peer Review and Publication of Research Outputs Procedures*.

   3.2.2. Researchers will recognise and credit the contributions of Aboriginal and Torres Strait Islander peoples where appropriate.

   3.2.3. Researchers intending to publish Indigenous knowledge obtained through sources including unpublished manuscripts, or audio or video recordings, will seek approval from the Indigenous people involved in the project or the community from which that knowledge originates and the individual and collective contributors of the knowledge will be acknowledged, as appropriate.

   3.3. Peer review

   3.3.1. Participation in peer review processes will be encouraged and supported to promote research integrity.

   3.3.2. Participants in peer review will:

   a) Be fair, rigorous and timely in their review

   b) Act in confidence and not disclose the content or outcome of any process in which they are involved

   c) Declare all conflicts of interest, not permit personal prejudice to influence the peer review process, and not introduce considerations that are not relevant to the review criteria

   d) Not take undue or calculated advantage of knowledge obtained during the peer review process

   e) Ensure that they are informed about, and comply with, the criteria to be applied

   f) Not conduct a review for which one lack appropriate expertise

g) Give proper consideration to research that challenges or changes accepted ways of thinking.

3.4. FAIR and open access to knowledge

3.4.1. Curtin is committed to the *Policy Statement on F.A.I.R. access to Australia's Research Outputs* and the *CAUL Statement on Open Scholarship*.

3.4.2. Researchers will adhere to established national and international standards for data description and structuring to facilitate tracking of references. These standards include using Digital Object Identifiers for datasets, ORCID IDs for researchers, and standard terminology for scientific concepts.

3.4.3. Curtin requires the following research outputs will be made openly available after publication, subject to publisher permissions, via Curtin's institutional repository as soon as possible; or via peer reviewed open access journal publications, conference proceedings, book or book chapters, and other outlets where appropriate:

- referred journal articles
- refereed conference papers
- digital theses submitted via the Graduate Research School.

3.4.4. Curtin encourages all other research outputs be made openly available after publication, subject to publisher permissions, via Curtin's institutional repository as soon as possible; or via other outlets where appropriate.

3.5. Authors' responsibilities

3.5.1. Each author is responsible for the accuracy, validity, originality, and integrity of the research that they contributed to the published work.

3.5.2. 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 Outputs Procedures*.

3.5.3. Where a publication has several authors, one author will be appointed corresponding author and take responsibility for recording authorship and managing communications about the publication with the co-authors and the editor/publisher.

3.5.4. Where work includes or builds on third-party copyright materials, the authors are responsible for seeking permission of the copyright holder.

3.5.5. Authors will ensure that all collaborating authors are aware of and comply with The Code.

4. SCOPE OF POLICY

This policy applies to all staff, adjuncts, associates and students in any location or campus, whether in or outside of Australia.

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

The Code

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

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 outputs
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; 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.

6.   SUPPORTING PROCEDURES

Authorship, Peer Review and Publication of Research Outputs Procedures

7.   RELATED DOCUMENTS/LINKS

Internal

Academic Freedom and Freedom of Speech Policy

Conflict of Interest Procedures

Curtin's Open Access Guidance Document

Curtin University Code of Conduct

Intellectual Property Policy

Intellectual Property Procedures

Research Management Policy

External

Australian Research Council Open Access Policy

National Health and Medical Research Council Open Access Policy

National Health and Medical Research Council Research Quality Strategy

Policy Statement on F.A.I.R. Access to Australia's Research Outputs

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

Guidelines for Ethical Research in Australian Indigenous Studies

Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities

Keeping research on track II

CAUL Statement on Open Scholarship

FAIR Data Principles

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Policy Manager	Deputy Vice-Chancellor, Research
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	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
	Approved	06/12/2019	Academic Board	AB 239/19	Attachment A to Item 14.5
	Approved	04/12/2020	Academic Board	AB 218/20	Attachment I to Item 14.2, effective 1 January 2021