

DEPARTMENT	Office for Research	
NAME OF DOCUMENT	Research Publications and Authorship Guideline	
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IMPLEMENTATION STRATEGY	Email update to all employees and uploaded to the Office for Research website.
EVALUATION STRATEGY	Updated policy to be evaluated by Melbourne Health Office for Research Governance management team.
STANDARD/S (National, Aged Care, Disability Services)	NSQHS Clinical Governance Standard.
VERSION SUMMARY	These guidelines have been developed to set out the requirements for publication and authorship of research at Melbourne Health (MH). These guidelines govern all Research Outputs by MH staff and others where the research was conducted at MH. They define the responsibilities of researchers and authors. They provide for the registration of research publications and declaration of authorship with the Office for Research. They define the requirements for listing people as authors as well as defining unacceptable authorship.

EXECUTIVE SUMMARY

1. Honesty, transparency and fairness are the leading principles for research publication and authorship issues.
2. All approvals (ethics, governance, legal, Intellectual property, institutional, author etc) must be in place before publication of Research Outputs and authors must abide by terms and conditions of all project agreements.
3. Agreement on authorship should be negotiated and documented early in the project and prior to commencing write-up of research outputs.
4. Authorship should honestly reflect the contribution to the work being published and all contributors to research should be appropriately acknowledged in research outputs.
5. If, after publication, researchers become aware of misleading or inaccurate statements they must take appropriate action to correct the record as soon as possible.
6. Publications that do not meet the requirements of these guidelines may constitute a breach of the Code.

1. ASSOCIATED MELBOURNE HEALTH POLICY

Melbourne Health Research Policy MH 18

2. PURPOSE AND SCOPE

These guidelines have been developed to set out the requirements for publications and authorship of research at MH.

These guidelines govern all research outputs by MH staff and others where the research, including quality assurance projects, was conducted at MH. These guidelines also apply to presentations; both oral and posters, web-based publications and those submitted as part of a course of study, by MH staff and students in relation to research conducted at MH.

3. DEFINITIONS

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.
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.
Contributor	Is a person, body or institution who have enabled the research to be completed

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	either through provision of facilities, funding, data collection and management, supervision, mentorship, statistical support, technical writing and the like who has not made other contribution that would constitute authorship as defined in this document.
Editor	Is a person who has played a significant role in the intellectual shaping of a publication. This may occur in a significant collective work where the person has responsibilities analogous to those of an author.
HREC – Research Ethics Committee	This term is used throughout this document to indicate the MH Human Research Ethics Committees.
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.

4. RESPONSIBILITIES

The MH Office for Research will keep a register of publications and authors.

It is the responsibility of researchers to disseminate research findings responsibly, accurately and broadly.

Researchers must be aware of and abide by these guidelines.

5. PROCEDURE/GUIDELINE/POLICY

5.1. INTRODUCTION

MH is committed to promoting an environment of honesty, integrity and accuracy in publishing.

The aim of research is to gain knowledge. This knowledge may advance our ability to treat and to heal the sick; to improve our understanding of the human body and disease process; to prevent illness or to improve our practices.

An important component of the research process is the dissemination of research results through publication. Research publications inform other researchers, professional practitioners and the wider community of the results of the research. Although the formal publication of the results of research will usually take place in academic journals or books, this may not always be the case.

The Australian Code for the Responsible Conduct of Research 2018 (the Code) articulates the broad principles and responsibilities that underpin the responsible conduct of Australian research including:

Principle 1: Honesty in research, which requires presentation of information truthfully and accurately in proposing, conducting and reporting research.

Principle 3: Transparency in declaring interests and reporting research methodology, data and findings, which requires sharing and communication of research methodology, data and findings openly, responsibly and accurately.

Principle 4: 'Fairness in the treatment of others', which requires researchers to 'give credit, including authorship where appropriate, to those who have contributed to the research.'

Transparency and openness in reporting results may include reporting results contrary to hypotheses and where necessary, take action to correct the record in a timely manner.

The results of research activities supported by public funding should always be made available.

Researchers must be aware of and abide by responsibilities associated with publication and communication of research which include:

- i. ensuring due consideration for any restrictions and responsibilities associated with the research, such as those related with confidentiality, intellectual property, copyright, potential

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- for dual use and any other relevant requirements to ensure that the rights of parties involved in the research are protected
- ii. dissemination research findings responsibly, accurately and broadly
 - iii. appropriate acknowledgement of authors
 - iv. obtaining peer review
 - v. disclosing of conflicts of interest
 - vi. acknowledgement of research funding and sources of financial support
 - vii. acknowledgement and citing the work of others and your own work
 - viii. limiting professional comments and advice to recognised expertise when engaged in public discussions

These guidelines should be read in conjunction MH policy and guidelines.

These guidelines have been developed in accordance with:

- The [Australian Code for the Responsible Conduct of Research \(2018\)](#) (Code)
- [Authorship - A guide supporting the Australian Code for the Responsible Conduct of Research](#) (2019)
- [National Statement on Ethical Conduct in Human Research \(2007 updated 2018\)](#) (National Statement).

5.2. WHAT CONSTITUTES PUBLICATION?

Publication is a Research Outputs as defined in Section 3: Definitions and includes the communication of research findings in hardcopy, electronic or other form to a range of audiences, which may include the sponsor, professional organisations, peer researchers, policy makers and the wider community.

Types of publication include:

- written publication in journals, book chapters, books
- oral and poster presentations at conferences
- grant applications
- reports
- datasets
- patents and patent applications
- interview by the media
- participation in debates
- approach of individuals for comments
- performances, videos and exhibitions

Communication of results to the wider community should only take place at the end of the research, after peer review and in accordance with ethical approval, and where relevant: legal and intellectual property considerations, participant consent, agreements (collaborator, registry, sponsor, funding body etc.).

5.3. PUBLICATION IN THE MEDIA

Prior to making any media comment, researchers must consult with MH's Department of Communications and Community Relations.

5.4. APPROVAL TO PUBLISH

Researchers are responsible for ensuring that they hold and abide by all approvals required for their research prior to publishing research results including:

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- i. ethical approval - All research that researchers wish to publish must have been approved by an appropriately constituted HREC as per the *National Statement*. Researchers must be aware of, and declare to the HREC via their submission, any contractual arrangements that may restrict, delay or limit publication.
- ii. approval to publish in the media – researchers should obtain approval before publishing research information in the media. Refer to section 5.3: Publication in the media.
- iii. agreements - Researchers must be aware of and abide by any restriction that may be placed on publication of research results by contractual agreements including with Sponsors, funding bodies, collaborators, registries etc.
- iv. legal requirements - in some instances, researchers may seek input from the MH legal department prior to publishing in order to ensure that they abide by the MH's legal requirements. In most cases the legal requirements will be identified during the research application and approval stage and requirements documented in agreements when external parties are involved. Legal reviews should be managed through the Office for Research.
- v. Business Development Unit (BDU) – in some instances researchers may seek input from the BDU prior to publishing in order to ensure that they abide by the MH Intellectual Property Policy.
- vi. author approvals - Authors must approve the research output before its submission for publication and, in doing so, agree to be accountable for it. Authors must also approve the final version before publication. The final approval process may be coordinated by the publisher, often through the corresponding author.

5.5. PEER REVIEW

Peer review is an integral part of publication.

Peer review is the independent and impartial evaluation of work by one or more people with similar competences and discipline. It is an important aspect of assurance of scientific merit of the research protocol and functions as a form of self-regulation by qualified members of a profession within the relevant field of study.

Peer review of the research protocol should occur prior to submission for publication of Research Outputs.

For further information refer to the Office for Research website for the [Peer review process](#).

5.6. INSTITUTIONAL ACKNOWLEDGEMENT

Researchers must acknowledge MH as the host institution in publications.

ADD SAMPLE TEXT HERE

5.7. INTELLECTUAL PROPERTY CONSIDERATIONS

Researchers must be aware of and abide by the MH Intellectual Property Policy MH12.

Melbourne Health is committed to advancing its research. In the current climate, commercialisation and exploitation of scientific discoveries or inventions will add significantly to MH's reputation as a leading research institution.

Researchers should be aware that patents and intellectual property are important components of research.

Researchers should liaise with the Office for Research at an early stage in the development of research that may have potential intellectual property or patents.

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Where external bodies are involved, MH has an obligation to oversee confidentiality agreements to protect intellectual property rights between MH and the external body. MH will work with researchers and the external body to ensure that where such agreements limit free publication and discussion, an approved process is instigated to ensure that limitations and restrictions are explicitly agreed.

5.8. **CONTRACTUAL REQUIREMENTS**

Researchers must be aware of and abide by any restriction that may be placed on publication of research results through the terms and conditions of any project or associated agreements.

5.9. **COMMERCIALY SPONSORED RESEARCH**

Commercial sponsors of research conducted at MH must understand the importance of publication in research and not delay publication beyond the time needed to protect intellectual property and other relevant interests.

All details of sponsor requirements and limitations for publication should be:

- negotiated and agreed upon prior to study start-up at MH sites.
- detailed in the approved ethical and research governance application documentation.
- detailed in the MH-sponsor agreement.

5.10. **ACKNOWLEDGEMENT OF CONTRIBUTION**

P4 of the Code requires that researchers must ensure that all those who have contributed to the research, facilities or materials, including **MH** and partner institutions or sponsors, are properly acknowledged as contributors.

This includes, for example, research assistants, research nurses, study coordinators and technical writers.

Refer to Section 5.22 Acknowledgement of contributions other than authorship.

5.11. **CITING OTHER WORKS**

Use of the work of other authors without acknowledgement is unethical.

P4 and R27 of the Code require researchers to ensure that other relevant work is cited and acknowledged appropriately and accurately.

Researchers should appropriately cite other works appropriately when preparing research outputs.

5.12. **FINANCIAL DECLARATIONS AND CONFLICTS OF INTEREST**

In accordance with P7 and R26 of the Code, all financial support for the research must be declared in the research outputs.

Researchers are responsible for identifying, disclosing and managing potential or perceived conflicts of interest (P3 and R24 of the Code).

Researchers should disclose any potential conflict of interest that may influence or be seen to influence any aspect of the conduct of the research at the time of proposing and of reporting research.

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5.13. **PLAGIARISM**

Researchers should ensure that their study is original and does not contain plagiarised content.

P4 and R27 of the Code require researchers to ensure that other relevant work is cited and acknowledged appropriately and accurately.

Plagiarism the action or practice of taking someone else's work, idea, etc., and passing it off as one's own ([Oxford English Dictionary](#)). Plagiarism is unethical and is a type of intellectual theft.

Plagiarism in research can take many forms, from deliberate cheating to accidentally copying works, theories, concepts, research data, source material (published or unpublished), and duplicate publication (also known as redundant or multiple publication, or self-plagiarism) without acknowledgment of the source.

Therefore, whenever the words or ideas of another person are used in your work (publications, reports etc.) include appropriately acknowledge of the source.

Common forms of plagiarism include:

- direct plagiarism – copying verbatim another work, in whole or in part, without attribution and without quotation marks.
- self-plagiarism – is reproducing/duplication of portions of one's own work in a publication and submitting it for publication as an entirely new paper, without cross-referencing or acknowledging earlier publication(s)
- mosaic Plagiarism – Substantial copying or borrowing phrases from a source without permission and acknowledgement or finding synonyms for the author's language while reproducing the same general structure and essential meaning of the source.
- accidental plagiarism - occurs when a person neglects to cite their sources, or misquotes their sources, or unintentionally paraphrases a source by using similar words, groups of words, and/or sentence structure without attribution.

5.14. **CORRECTING THE RECORD AFTER PUBLICATION**

In accordance with P1, P3 R7 and R23 of the Code, if after publication, researchers become aware of misleading or inaccurate statements they must take appropriate action to correct the record in a timely manner.

5.15. **FAILURE TO MEET PUBLICATION REQUIREMENTS**

Publications that do not meet the requirements of these guidelines may constitute a breach of the Code.

5.16. **AUTHORSHIP CRITERIA**

Authorship should honestly reflect the contribution to the work being published.

Authors are responsible for the publication of the results of research.

Authorship:

- i. must be an honest reflection of contribution to research
- ii. must be assigned fairly, and consistently with established disciplinary practice
- iii. must be communicated clearly and transparently between contributors to the research.

Under R25 of the Code, it is a researcher responsibility to ensure that each author of a publication is an individual who:

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- i. has made a significant intellectual or scholarly contribution to research and its output, and
- ii. agrees to be listed as an author. This section sets out further detail on authorship criteria.

A significant intellectual or scholarly contribution must include one, and should include a combination of two or more, of the following:

- conception and design of the project or output.
- acquisition of research data where the acquisition has required significant intellectual judgement, planning, design, or input.
- contribution of knowledge, where justified, including Indigenous knowledge.
- analysis or interpretation of research data.
- drafting significant parts of the research output or critically revising it so as to contribute to its interpretation.

This is the minimum threshold for authorship, noting that some journals, disciplines, and institutions may require a higher threshold

No person who is an author, consistent with this definition, may be included or excluded as an author without their written agreement.

All authors should alert the corresponding author to any author or contributor who may have been inadvertently omitted.

References in this section should be interpreted to include contributions from student and junior researchers.

If an author is deceased, this should be noted in the publication.

All those listed as authors must have participated sufficiently in the work to take public responsibility for appropriate portions of the content.

5.17. **FORMALISE AUTHORSHIP ARRANGEMENTS**

All researchers should discuss authorship at an early stage in the research, as well as throughout the research project.

Where there is more than one author, an agreement on authorship should be established and documented before the commencement of writing up a research project.

An authorship agreement does not need to be a formal legal document. It can be in the form of emails, a transcript of an online discussion or other similar evidence of agreement.

The authorship agreement should include:

- identification of those who will be recognised as the authors of the research output
- a description of the contribution that each author has made (or will make) to the research output
- an indication of the order in which the authors appear. The agreed order of authors should be consistent with any applicable disciplinary norms and publication requirements
- identification of at least one corresponding author who is responsible for communication with the publisher and managing communication between the co-authors.

It is the responsibility of the corresponding author to maintain records of the authorship agreement.

Where the corresponding author is not from the same institution as other listed authors, authors are encouraged to keep their own records.

As a project evolves, it is important to continue to discuss authorship, especially if new people become involved in the research and make a significant intellectual or scholarly contribution. The

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corresponding author should retain a record of any agreed changes to the authorship of a research output.

5.18. **EDITOR CRITERIA**

Where the editor of a significant collective work or anthology of research papers has made contributions analogous to those of authors and, in such cases, similar criteria may apply to 'editor' as to 'author'.

However, the term 'editor' should be applied only to a person who has played a significant role in the intellectual shaping of a publication.

5.19. **CORRESPONDING AUTHOR**

Each publication must have a Corresponding Author who is agreed by all co-authors and is responsible for:

- ensuring all contributors to the research output are properly recognised regardless of their position or any changes in their position or role.
- managing communication between the co-authors.
- maintaining records of the authorship agreement.
- ensuring that the funding body is acknowledged for their contribution to the research.
- ensuring the manuscript is appropriately peer reviewed, as required by the MH Research Integrity Guideline.
- communication between the publishers.

This individual will meet the criteria for authorship and will be the individual who has completed the majority of the work and made the major contribution to the research and the manuscript.

5.20. **STUDENT AUTHORSHIP**

Students and junior researchers who have made a significant intellectual or scholarly contribution are entitled to authorship, notwithstanding that they may have been more closely supervised.

5.21. **LARGE MULTI-CENTRE GROUP RESEARCH**

In research conducted by groups, individuals from within the group should be identified as those who accept direct responsibility for the manuscript.

These individuals must meet the criteria for authorship as given above.

5.22. **ACKNOWLEDGEMENT OF CONTRIBUTIONS OTHER THAN AUTHORSHIP**

Contributions to research that do not meet the criteria for authorship should be acknowledged where appropriate; for example, contributions from individuals providing technical support. It is also good practice to recognise the contribution of research infrastructure.

Researchers intending to publish Indigenous knowledge obtained through sources including unpublished manuscripts, or audio or video recordings, should 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 should be acknowledged, as appropriate.

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As a general rule, researchers should obtain permission from named contributors before acknowledging them in research outputs, since acknowledgement may imply a contributor's endorsement of the research output.

5.23. ORDER OF AUTHORSHIP

The order of authorship in the by-line and citation is a decision of the authors or research group.

Researchers should seek guidance about the preferred method for listing authors from their professional bodies, university, or the journal in which they wish to publish.

5.24. INAPPROPRIATE INCLUSION OF AUTHORSHIP

The right to authorship is not tied to position or profession and does not depend on whether the contribution was paid for or voluntary. It is not enough to have provided materials or routine technical support, or to have made the measurements on which the publication is based. Substantial intellectual involvement is required.

None of the following contributions, in and of themselves, justifies including a person as an author:

- being the Head of Department, holding other positions of authority, or personal friendship with the authors.
- providing a technical contribution but no other intellectual input to the project or publication.
- providing routine assistance in some aspects of the project, the acquisition of funding or general supervision of the research team.
- providing data that has already been published or materials obtained from third parties, but with no other intellectual input.

MH does not accept guest authorship, gift authorship and ghost authorship.

- **Guest authorship** is the inclusion of an individual as an author solely to improve the chances of the manuscript being published or to improve the status of the publication.
- **Gift authorship** is the inclusion of an individual as an author solely based on an association with the study. e.g. Inclusion based on an individual's position as the head of the department in which the research was conducted.
- **Ghost authorship** is a failure to identify and disclose a contribution to the research and/or manuscript that meets the requirements of authorship.

5.25. AUTHOR APPROVAL

Authors must approve the research output before its submission for publication and, in doing so, agree to be accountable for it.

Authors must also approve the final version before publication.

The final approval process may be coordinated by the publisher, often through the corresponding author.

The corresponding author must keep written records that confirm that approval has been obtained from all authors.

If an author is deceased, or after all reasonable efforts that have been made to establish contact have failed and have been documented, publication can proceed, provided that there are no grounds to believe that this person would have objected to being included as an author. In such instances, it may be appropriate for an institution to provide written agreement for the inclusion of an author.

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5.26. RESOLUTION OF AUTHORSHIP DISPUTES

Researchers must treat fellow researchers and others involved in the research fairly and with respect (see P4 of the Code).

To avoid authorship disputes, assignment of authorship should be discussed and documented in the initiation phase of the research study.

Order of escalation for dispute negotiations:

- i. between researchers: Ideally, where disputes arise, researchers should endeavour to resolve the dispute based on the criteria for authorship as given in this document, the Code, requirements of the publisher (i.e. journal) etc.
- ii. Head of Department: If MH researchers are unable to resolve the dispute themselves, they should seek the advice of their Head of Department.
- iii. Human Research Ethics Committee (HREC) Manager: If further assistance is required, researchers may wish to seek guidance from the HREC Manager.
- iv. Director of Research Governance and Ethics.
- v. formal complaint: If the dispute has not been satisfactorily resolved a researcher may wish to make a complaint. Complaints from researchers about any aspect of the management of their research project by the Office for Research or the HREC should be directed in the first instance to the HREC Manager as per the MH Guidelines for Handling Complaints in Research.

Additionally, MH has appointed a number of [Research Integrity Advisors](#) (RIA's) who are also available to provide advice in relation to Authorship issues.

The parties to the dispute should maintain records of agreements reached through direct dialogue or mediation.

5.27. SUPPORTING DOCUMENTATION

Declaration of Publication and Authorship forms and other documentation regarding authorship agreements must be maintained as part of the research records for:

- at least 5 years after publication of the article/paper.
- at least 15 years after the end of clinical trials.
- indefinitely and possibly permanently after publications that are controversial and may cause debate within the research community.
- permanently if the work has heritage value.

5.28. BREACHES OF THE CODE IN RELATION TO AUTHORSHIP

The NHMRC Authorship guide provides examples of breaches of the Code that are related to authorship which include, but are not limited to:

- crediting authorship to or accepting authorship from individuals who do not meet the criteria for authorship (for example, honorary, gift or guest authorship).
- failing to ascribe authorship to individuals where those individuals meet the requirements of authorship (for example, ghost authorship).
- attributing authorship to individuals without their consent.
- publishing research without the final approval of the attributed authors.

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- failure to comply with an authorship agreement.
- making false claims about the authorship in a grant application.

When managing and investigating a potential breach of the Code regarding authorship, consideration will be given to the extent to which each author met their authorship responsibilities.

Persons who have a concern about a possible breach of the code in relation to authorship by MH staff should raise the concern by either:

- discussing the concern with the person involved.
- contacting a [Research Integrity Advisory](#) for advice.
- reporting the breach to the Office for Research according to the [Investigating Breaches of the Code for the Responsible Conduct of Research Guideline](#).

6. ASSOCIATED POLICIES/PROCEDURES/GUIDELINES

- [MH Research Policy MH18](#)
- [Intellectual Property Policy MH12](#)
- [Documentation and Records Management MH 05](#)
- [Data Management in Research Guideline](#)
- [Data Storage and Security Guideline](#)
- [Agreements, Ownership and Intellectual Property Guideline](#)
- [Archiving retention and disposal of data Guideline](#)
- [Databanks and Registries Guideline](#)
- [Guidelines for the Use of Human Tissue Samples in Research](#)
- [Guidelines for Managing Conflict of Interest in Research](#)
- [Guidelines for Handling Complaints in Research](#)
- [Investigating Breaches of the Code for the Responsible Conduct of Research Guideline](#)

7. REFERENCES

- [Australian Code for the Responsible Conduct of Research \(2018\)](#)
- [Authorship - A guide supporting the Australian Code for the Responsible Conduct of Research](#)
- [Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research \(2018\)](#)
- [National Statement on Ethical Conduct in Human Research \(2007updated 2018\)](#)
- [Ethical guidelines for research with Aboriginal and Torres Strait Islander Peoples \(NHMRC\)](#)
- [Guidelines for Ethical Research in Australian Indigenous Studies \(AIATSIS\)](#)
- [International Committee of Medical Journal Editors \(ICMJE\) Uniform requirements for manuscript Submitted to Biomedical Journals](#)
- [International Committee of Medical Journal Editors \(ICMJE\) defining the role of authors and contributors](#)
- [International Committee of Medical Journal Editors \(ICMJE\) defining the role of authors and contributors](#)
- [SE's White Paper on Promoting Integrity in Scientific Journal Publications. Editorial Committee \(2005-2006\), Council of Science Editors](#)
- [The Vancouver Protocol](#)
- [Committee on Publication Ethics \(COPE\): Principles of Transparency and Best Practice in Scholarly Publishing \(2014\)](#)
- [Committee on Publication Ethics \(COPE\): How to handle authorship disputes: a guide for new researchers \(2003\)](#)
- [Committee on Publication Ethics \(COPE\), 'What constitutes authorship?'](#)
- [Nature - Publication Policies](#)

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8. FURTHER INFORMATION

Contact the Office of the Office for Research on 9342 8530 or email: research@mh.org.au

9. DOCUMENTATION

Nil

10. REVISION AND APPROVAL HISTORY

Date	Version	Author* and contributors
3/10/07	Draft	Angela Gray, Assistant Manager Office for Research
13/11/07	0	Angela Watt, Manager Office for Research
25/07/11	1	Angela Gray, Manager and Executive Officer Human Research Ethics Committee
23/6/2015	2	Sarah Rickard, Manager of Research Governance
5/9/2017	3	Sarah Rickard, Manager of Research Governance and Audit
1/7/2019	4	Sarah Rickard, Manager of Research Governance and Audit