

Research Publication Responsibility Guideline

Section 1 - Introduction

(1) This Research Publication Responsibility Guideline (the Guideline) supports and reinforces the [Australian Code for the Responsible Conduct of Research](#) (the Code) and the University of Newcastle's (UON) [Responsible Conduct of Research Policy](#) (the Policy), and should be read in conjunction with those documents.

(2) It is recognised that compliance with the provisions set out in the Code, the Policy and this Guideline may be dependent upon commercial publication restrictions, where consistent with the intent of the Code, it is appropriate to comply with any commercial publication restrictions.

Section 2 - Audience

(3) UON Researchers.

Section 3 - Document Specific Definitions

(4) Research publication – includes books, book chapters, journal articles and/or conference publications. Research publications may be produced in any appropriate format, such as print, publication online, or publication in digital form on separate media such as a CD. A Research publication is more than the release of a work. It implies quality control (such as peer review or in-house quality control) and enhancement through processes such as assessment or review, editing, copy-editing, design, and conversion of the work to an appropriate format.

(5) UON Researcher – means anyone undertaking or piloting research in association, or affiliation, with UON including students and Higher Degree by Research candidates.

Section 4 - Guidelines

Disseminating Research Findings

(6) UON Researchers must disseminate as full an account of their research findings as possible.

(7) In accordance with the provisions of the Code, UON Researchers are responsible for ensuring the account is complete, by including any:

- a. negative findings;
- b. results contrary to the hypotheses; and
- c. ratification of any human clinical or animal research activity by the appropriate ethics committee.

(8) UON Researchers must ensure UON is listed as the affiliated institution in the author by-line on all publications.

(9) UON Researchers must ensure that publishing actions take account of any restrictions relating to intellectual property or culturally sensitive data.

(10) Where feasible, and within the context of standard discipline practice, parties who are normally advised of research results should be provided with an appropriate summary of such results.

Material that has been the Subject of Adverse Research Misconduct Findings

(11) A UON Researcher must not use any data that has been found to have been improperly obtained as the basis for dissemination of research findings, including all forms of publication.

(12) The UON accepts no liability for the subsequent use of data improperly obtained once a UON Researcher has left UON.

Avoiding Multiple Submissions of Research Findings

(13) UON Researchers must not:-

- a. include the same research findings in several publications, except in particular and clearly explained circumstances such as; review articles, anthologies, collections or translations; or
- b. submit work that is substantially similar to more than one publisher, or submit work that is similar to work already being published without disclosing this to the publisher at the time of submission.

Republishing

(14) UON Researchers must take reasonable steps to obtain permission from the original publisher before republishing research findings.

Disclosing Research Support

(15) UON Researchers must ensure that:

- a. the research publication includes information on all sources of financial and in-kind support for the research, and any potential conflicts of interest; and
- b. the host institution and funding sources of the research are acknowledged.

Registering Clinical Trials

(16) UON Researchers are required to register clinical trials with the [Australian and New Zealand Clinical Trials Registry](#), to promote access to information about all clinical trials.

Managing Confidentiality

(17) When the confidentiality requirements of a sponsor prevent or delay peer review until after the research results are delivered to the sponsor, the UON Researcher must present the findings to the sponsor under a written disclaimer that the work has not been subject to peer review.

Communicating Research Findings in the Public Arena

(18) UON Researchers are encouraged to communicate their findings to a range of audiences in accordance with UON's [Media Policy](#).

(19) UON Researchers should be aware of the difficulties of communicating research findings to the wider community where there is no opportunity to review the report of discussions before it becomes public. They should therefore avail

themselves of professional assistance and media training in communicating with the wider community.

(20) UON Researchers anticipating media interest subsequent to the publication of research outcomes should liaise with the [UON Media Centre](#) to coordinate responses to media enquiries.

(21) UON Researchers are required to observe any restrictions on communications that have been formally agreed with the sponsor of the research.

(22) Discussion of research findings should not usually occur until research findings have been evaluated through a peer review process or another appraisal process that meets the standards of the discipline.

(23) Care should be taken to explain the status of the project e.g. whether it is still in progress, is a preliminary conference report, or has been finalised.

(24) To minimise misunderstandings, those directly impacted by the research including interested parties to the research or those given undertakings as part of the research process should be informed of the research findings before they are made public.

Section 5 - Roles and Responsibilities

(25) UON Researchers are responsible for the dissemination and publication of research findings in accordance with this Guideline, the Policy and the Code, as well as any external requirements of funding or other bodies.

Status and Details

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| Responsible Executive | Paula Jones General Manager, Research & Innovation Division +61 2 49215300 |
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Glossary Terms and Definitions

"Student" - A person formally enrolled in a course or active in a program offered by the University or affiliated entity.

"Candidate" - With regard to Higher Degree by Research it has the same meaning as student. For all other instances it is a person considered for appointment to a position.

"Intellectual property" - Intellectual property (IP), as defined by the World Intellectual Property Organisation, refers to creations of the mind: inventions; literary and artistic works; and symbols, names and images used in commerce. Intellectual property is divided into two categories: Industrial property includes patents for inventions, trademarks, industrial designs and geographical indications; and Copyright covers literary works (such as novels, poems and plays), films, music, artistic works (e.g. drawings, paintings, photographs and sculptures) and architectural design. Rights related to copyright include those of performing artists in their performances, producers of phonograms in their recordings, and broadcasters in their radio and television programs.

"Research" - As defined in the Australian Code for the Responsible Conduct of Research, or any replacing Code or document.