Research Authorship and Publication Dispute Management Procedure

Purpose

To outline the process for raising and resolving concerns and disputes about authorship and the publication of all forms of research outputs.

Scope

This procedure applies to the publication, or intended publication, of all research outputs and the attribution of authorship in other documents related to research where one or more of the authors are UNSW researchers.

Introduction

Disputes over authorship and publication of research outputs usually occur when researchers have a conflicting understanding of the authorship criteria and publication arrangements for research outputs. They are also more likely to occur when researchers have not discussed and agreed upon the identity of the authors and publication content; contributors who should be acknowledged; or when documentation of these discussions are not updated as contributions change over the course of the research project.

This UNSW *Research Authorship and Publication Dispute Management Procedure* (Procedure) should be read in conjunction with the UNSW *Code of Conduct and Values* (the Code) , the Australian Code for the Responsible Conduct of Research, and the UNSW *Research Authorship, Publication and Dissemination Policy*.This procedure applies the *Authorship: A guide supporting the Australian Code for Responsible Conduct of Research* and *Publication and dissemination of research: A guide supporting the Australian Code for the Responsible Conduct of Research* to the UNSW context.

Principles and objectives

1. Application of this procedure

1.1.   Authorship disputes and disputes about the content of the research output, should be handled following this procedure.

1.2.   Where the dispute concerns a potential breach of the Code or the Australian Code for the Responsible Conduct of Research, it will be managed under the *Complaints Management and Investigations Policy and Procedure*.

1.3. Where the corresponding author of the research output is not affiliated with UNSW, the dispute should be handled and resolved by the corresponding author's institution and its applicable procedure.

2. Disputes under this procedure

2.1. Disputes under this procedure may be about:

- Authorship, including but not limited to the:
    - listing order of the authors
    - inclusion or exclusion of authors; or
    - acknowledgement of contributors other than authors.
- Content, including but not limited to the:
    - literature review
    - methodology
    - interpretation
    - presentation of research results.
- Method or medium of publication.

3. Raising and resolving disputes

3.1. Raise concerns

- Researchers should raise any concerns about authorship and publication of a research output with the co-authors as soon as they arise.
- While there is a dispute being managed under this procedure the research output must not be submitted for or be published in its current form until the dispute is resolved.

3.2. Stage 1 – Parties to attempt dispute resolution

- Disputing parties should attempt to directly resolve any conflict at the earliest opportunity.
- In resolving any dispute, the requirements of the Code and Research Authorship, Publication and Dissemination Policy should be followed.

3.3. Stage 2 – Mediation

- Disputes which cannot be resolved at Stage 1 may be referred to a Head of School for mediation with:

    - any one of the disputing parties; or
    - the UNSW Conduct and Integrity Office (CIO).

- The Head of School must be free from any conflicts of interest in respect to the dispute or the parties to the dispute.
- The Head of School may seek advice and assistance from the CIO.
- Where a resolution is reached, details of the agreement should be documented, and a copy of the document provided to all parties.
- Where an agreement cannot be reached the Head of School may refer the dispute for determination (Stage 3 below).
- Where any disputing party does not consent to participate in the mediation, the dispute may be referred by the Head of School to a determination (Stage 3 below).
- Where any disputing party does not agree to have the dispute referred for determination, the research output must not be submitted for or be published in its current form.
- Where the Head of School identifies that the dispute relates to a potential breach of the Code it must be referred to the CIO to be managed under the *Complaints Management and Investigations Policy and Procedure*.

3.4. Stage 3 – Determination

- Disputes which are not resolved in Stage 2 may be referred by the Head of School (or their nominee) to one of the UNSW Research Integrity Advisors (RIA) (or their nominee), for determination.
- Where the RIA (or their nominee) has declared a conflict of interest, the matter should be referred by either the disputing parties or the RIA to a Dean (or their nominee) for determination.
- Where the Dean has declared a conflict of interest, the dispute should be referred to the Director, UNSW Conduct and Integrity (or their nominee), for determination.
- The person making the determination may seek the following:
    - copy of the research output in dispute, including any drafts produced
    - details of the dispute
    - evidence or material to support claims made; and/or
    - relevant expert advice.

- The person making the determination must be free from any conflicts of interest in relation to the dispute, the parties to the dispute, and must not have been involved in Stage 2.
- The person making the determination will provide a copy of the determination to:
    - the disputing parties
    - the Head of School (or their nominee) in Stage 2; and
    - the CIO at research.integrity@unsw.edu.au for recordkeeping.

- Where one or more of the disputing parties are unwilling to accept the determination made under this section, the research output must not be submitted for or be published in its current form.

4. Complaints about a potential breach of the *UNSW Code of Conduct and Values* and the *Australian Code for the Responsible Conduct of Research*

4.1. Disputed authorship as breach of the Code

Where an authorship dispute or concerns involve a published research output and a potential breach of the Code, it may be handled as a complaint under the *Complaint Management and Investigations Policy and Procedure*.

4.2. Examples of authorship breaches of the Code

- Examples of breaches of the Code concerning authorship and publication include, but are not limited to:
    - Ascribing authorship to individuals who do not meet the criteria for authorship (for example, honorary, gift or guest authorship)
    - Failing to ascribe authorship to individuals whose contribution meets the authorship criteria set out in the Policy (for example, ghost authorship)
    - Ascribing authorship to valid authors without their consent
    - Publishing a research output without final approval of all the authors
    - Failure to comply with an authorship agreement; or
    - Making false or misleading claims about the authorship in a grant or funding application.

- Wrongful denial of authorship, or using content developed by another author without crediting their authorship, may constitute plagiarism and be considered a breach of the Code.
- The CIO will also consider the extent to which each author met their authorship responsibilities under the Code and the Policy when managing and investigating a potential breach of the Code involving authorship.

Appendix

Supporting Documentation

- Australian Code for the Responsible Conduct of Research 2018
- Authorship: A guide supporting the Australian Code for the Responsible Conduct of Research
- Code of Ethics for Aboriginal and Torres Strait Islander Research
- Complaints Management and Investigations Policy and Procedure
- Conflict of Interest Disclosure and Management Policy
- Conflict of Interest Disclosure and Management Procedure
- Ethical Conduct in research with Aboriginal and Torres Strait Islander People and communities: Guidelines for researchers and stakeholders
- Code of Conduct and Values
- Research Data Governance & Materials Handling Policy
- Plagiarism Policy
- Publication and dissemination of research: A guide supporting the *Australian Code for the Responsible Conduct of Research*

Definitions and Acronyms	
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.
Authorship	At UNSW this is the practice of the inclusion of researchers who have made a significant intellectual or scholarly contribution to the research and its output according to the authorship criteria set out in this Policy.
Breach of the Code	A failure by a UNSW Researcher to meet the principles or responsibilities of the UNSW *Code of Conduct* and Values (the Code). A breach of the Code may refer to a single breach or multiple breaches.
Research	The creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include: • Synthesis and analysis of previous research to the extent that it is new and creative • The conception, design, conduct and reporting of research, including all associated research activities, methods, procedures and research outputs; or Other activities in support/maintenance of a researcher's functions at UNSW, including undertaking responsible conduct of research training, research supervision (limited to mentoring on responsible research conduct and monitoring research trainee conduct) and participating in peer review or other activities as required.
Research Integrity Advisor (RIA)	Person or persons appointed, trained and supported by institutions to promote the responsible conduct of research by providing advice on research practices and researcher responsibilities as well as advice to those with concerns or complaints about potential breaches of the *Australian Code for the Responsible Conduct of Research*. At UNSW, RIAs will normally be the Deputy /Associate Dean (Research) within each UNSW Faculty.

Research output	A research output communicates or makes available the findings of research that may be published in hardcopy, electronic or other form. Examples of research outputs include, but are not limited to journal articles, book chapters, books, conference papers, reports, datasets, patents and patent applications, performances, videos, exhibitions and research theses. These can be in draft or published form.
Researcher/s	Person or persons engaged or affiliated with UNSW who conducts research. At UNSW this includes UNSW academic staff, non-academics/professionals undertaking research, conjoint appointments (those who have been conferred an academic title by UNSW in accordance with the UNSW *Conferring Academic Titles Policy*), and visiting appointments undertaking research at UNSW, including staff classified as "professional and technical" and casual staff undertaking research at UNSW. Researchers also include research trainees, Higher Degree Research (HDR) candidates and coursework students.
Research Trainee	Any HDR candidate or any researcher who is within 5 years of having obtained their postgraduate research qualification, excluding any career interruptions, and who is being supervised by another researcher.