

NAME OF DEPARTMENT	RESEARCH DIRECTORATE
NAME OF DOCUMENT	Research Publications and Authorship
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REVISION NUMBER	2
FUNCTIONAL GROUP	Research Directorate
DIVISIONAL SPONSOR	Executive Director of Research
EQUIP CRITERIA	<p>Standard 2.5 – The organisation encourages and adequately governs the conduct of health and medical research to improve the safety and quality of health care.</p> <p>Criterion 2.5.1 – The organisation's research program promotes the development of knowledge and its application in the healthcare setting, protects consumers/patients and manages organisational risks associated with research.</p>
SUMMARY	<p>These guidelines have been developed to set out the requirements for publication and authorship of research at Melbourne Health. These guidelines govern all research articles submitted to journals for publication by Melbourne Health staff and others where the research was conducted at Melbourne Health. They define the responsibilities of researchers and authors. They provide for the registration of research publications and declaration of authorship with the Research Directorate. They define the requirements for listing people as authors as well as defining unacceptable authorship.</p>

1. ASSOCIATED POLICY

MH Research Policy.

2. PURPOSE AND SCOPE

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

These guidelines govern all research articles submitted to journals for publication by Melbourne Health staff and others where the research was conducted at Melbourne Health. These guidelines also apply to presentations, both oral and posters, web-based publications and theses submitted as part of a course of study, by Melbourne Health staff and students in relation to research conducted at Melbourne Health. Further these guidelines apply to publication of research that was approved by the Melbourne Health Human Research Ethics Committee, the Mental Health Human Research and Ethics Committee and to Quality Assurance projects. However the requirement to complete Publications and Authorship Declaration Forms only applies to articles submitted for publication.

3. DEFINITIONS

Responsible Author	Where a manuscript has several authors, one should be appointed to manage peer review and to communicate with the publisher. The responsible author should be the person who had the main involvement in the development and conduct of the research as defined in this document.
Author	An author is a person who has made a significant contribution to the research and the publication 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.
Contributor	Is a person, body or institution who have enabled the research to be completed 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.
REC – Research Ethics Committee	This term is used throughout this document to indicate the Melbourne Health Human Research Ethics Committee and/or the Melbourne Health Mental Health Research and Ethics Committee as appropriate.

4. RESPONSIBILITIES

The Research Directorate will keep a register of publications and authors.

Researchers must be aware of and abide by these guidelines.

5. GUIDELINES

5.1 INTRODUCTION

These guidelines should be read in conjunction with Chapters 8. “Peer Review”, 9. “Publications”, and 10. “Authorship”, of the Melbourne Health Guidelines for Research Practice 2007. These guidelines are also in accordance with *the National Statement on Ethical Conduct in Human Research (2007)* and *the Australian Code for the Responsible Conduct of Research (2007)*.

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 finding within the research community, professional practitioners.

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

Melbourne Health supports the communication of research findings to a range of audiences, which may include the sponsor, professional organisations, peer researchers, policy makers and the wider community. This includes written publication in journals, oral and poster presentations at conferences and may also include interview by the media, participation in debates and approach of individuals for comments. Communication of results to the wider community should only take place at the end of the research, after peer review and discussion with funding bodies. Prior to making any media comment, researchers must consult with Melbourne Health’s Department of Communications and Community Relations. Further, researchers who, by the nature of their research are likely to be asked for media comment, are encouraged to seek participation in workshops or other activities to gain expertise in communicating with the media and the wider community.

Melbourne Health will keep a register of publications and the associated register of authors in the Research Directorate.

5.2 PUBLICATIONS

Publications that do not meet the requirements of these guidelines may constitute research misconduct.

Researchers

Researchers should aim to publish their research. In accordance with *the National Statement on Ethical Conduct in Human Research (2007)*, section 1.3(d), “Research that is conducted with integrity is carried out by researchers with a commitment to disseminating and communicating results, whether favourable or unfavourable in ways that permit scrutiny and contribute to public knowledge and understanding.” In clinical trials, it Melbourne Health’s policy that a trial is registered with a ICMJE (International Committee of Medical Journal Editors) /WHO criteria, compliant clinical trials registry.

All research that researchers wish to publish must have been approved by an appropriately constituted REC as per the *National Statement*. Researchers must acknowledge Melbourne Health as the host institution in publications.

Researchers must ensure their publication is an honest, original, accurate account of the research. Researchers should ensure that their study is original and does not contain plagiarised content. If, after publication, they become aware of misleading or inaccurate statements they must correct the record as soon as possible. Researchers must cite other relevant work appropriately and accurately. Use of the work of other authors without acknowledgement is unethical. All financial support for the research must be declared in the publication. Research that is to be published should undergo peer review as per Melbourne Health Guidelines for Research Practice.

Researchers must be aware of and abide by any restriction that may be placed on publication of research results by contractual agreements.

Researchers must be aware of, and declare to the REC via their submission, any contractual arrangements that may restrict, delay or limit publication.

Researchers must be aware of and abide by the Melbourne Health Intellectual Property Policy.

Researchers should assist Melbourne Health in promoting communication of research findings to the wider community, where the research may have community interest. Researchers who are about to publish such work should liaise with Melbourne Health's Executive Director Communications and Community Relations.

Sponsors

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

5.3 AUTHORSHIP

Collaborating researchers should agree on authorship of a publication at an early stage in the research project and should review their decisions periodically.

Researchers must offer authorship to all people, including research trainees, who meet the criteria for authorship stated in this document. Further, a person who qualifies as an author must not be included or excluded as an author without their written permission.

Acknowledgement of Contribution

Researchers must ensure that all those who have contributed to the research, facilities or materials, including **Melbourne Health** and partner institutions or sponsors, are properly acknowledged as contributors. This includes, for example, research assistants, research nurses, study coordinators and technical writers.

Responsible Author

Each publication must have a Responsible Author. This person accepts direct responsibility for the manuscript and public responsibility for the research. This individual will meet the criteria for authorship as given below and will be the individual who has completed the majority of the work (as stated in the definition of an author) and made the major contribution to the research and the manuscript.

The Responsible Author must ensure the manuscript is appropriately peer reviewed, as required by the MH Guidelines for Research Practice 2007.

The Responsible Author is the person who will liaise with the journal editor.

The Responsible Author must ensure that Melbourne Health and any funding body are acknowledged for their contribution to the research.

The Responsible Author should, complete a **PUBLICATION AND AUTHORSHIP NOTIFICATION FORM** (Appendix A), when a manuscript is accepted for publication and lodge it with the Research Directorate.

Author

An author, as defined by the ICMJE statement of authorship, is a person who has:

1. Made substantial contribution to (a) conception and design; or (b) acquisition of data; or (c) analysis and interpretation of data;
2. Participated in (a) drafting the article, or (b) revising it critically for important intellectual content;
3. Participated in final approval of the version to be published.

Authors must meet at least one criteria of each of the three above conditions. All those listed as authors must have participated sufficiently in the work to take public responsibility for appropriate portions of the content.

Authors must be listed and declare which criteria they meet on the **PUBLICATION AND AUTHORSHIP NOTIFICATION FORM** (Appendix A).

Large, multi-centre group work

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. The group and these individuals should be named on the **PUBLICATION AND AUTHORSHIP NOTIFICATION FORM** (Appendix A).

Unacceptable 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.

Melbourne Health 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.

Order of Authorship

The order of authorship in the byline 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.

Resolution of Authorship Disputes

To avoid authorship disputes, assignment of authorship should be discussed early in the research. However where disputes arise, researchers should endeavor to resolve the dispute passed on the criteria for authorship as given in this document. If Melbourne Health researchers are unable to resolve the dispute themselves they should seek the advice of their Head of Department. If further assistance is required they may wish to seek guidance from the Executive Director of Research, Melbourne Health. Additionally, Melbourne Health has appointed a number of individuals as Advisors on Integrity in Research. These individuals are also available to provide advice in relation to Authorship issues. (Refer to: Melbourne Health Guidelines for Research Practice 2007)

5.4 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; and
- Indefinitely and possibly permanently after publications that are controversial and may cause debate within the research community;
- Permanently if the work has heritage value;
- At least 15 years after the end of clinical trials.

6. ASSOCIATED PROCEDURES

Researchers must lodge RESEARCH PUBLICATION AND AUTHORSHIP FORMS (APPENDIX A) with the Research Directorate when submitting a paper to a journal for publication.

7. REFERENCES

- [National Statement of Ethical Conduct in Human Research 2007](#)
- [Australian Code for Responsible Conduct of Research 2007](#)
- [Melbourne Health Guidelines for Research Practice 2007](#)
- [International Committee of Medical Journal Editors Uniform requirements for manuscript Submitted to Biomedical Journals](#)
- CSE's [White Paper on Promoting Integrity in Scientific Journal Publications](#). Editorial Committee (2005-2006), Council of Science Editors
- [The Vancouver Protocol](#)
- [Committee on Publications Ethics \(COPE\): Guidelines on Good Publication Practice \(2002\)](#)
- [Nature - Publication Policies](#)

8. DOCUMENTATION

RESEARCH PUBLICATION AND AUTHORSHIP FORM (APPENDIX A)

9. FURTHER INFORMATION

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

10. REVISION AND APPROVAL HISTORY

Date	Rev No	Author and approval
3/10/07	New	Angela Gray, Assistant Manager Research Directorate
13/11/07	2	Angela Watt, Manager Research Directorate

MELBOURNE HEALTH RESEARCH PUBLICATION AND AUTHORSHIP FORM

Appendix A: Research Publications and Authorship

Ethics Committee

Human Research Ethics Committee (HREC):

Mental Health Research and Ethics Committee (MHREC):

Institutional Biosafety Committee (IBC):

Quality Assurance Approval:

Other:

Approval Number

Citation

Title

Authors

Journal and Reference

Current Status

Submitted

Accepted

Published

MH Responsible Author

Each publication must have a Responsible Author. This person accepts direct responsibility for the manuscript and public responsibility for the research. This individual will meet the criteria for authorship as given below and will be the individual who has completed the majority of the work (as stated in the definition of an author) and made the major contribution to the research and the manuscript.

The Responsible Author must ensure the manuscript is appropriately peer reviewed, as required by the MH Guidelines for Research Practice 2007 and the *Australian Code for the Responsible Conduct of Research 2007*.

The Responsible Author is the person who will liaise with the journal editor.

The Responsible Author must ensure that Melbourne Health and any funding body are acknowledged for their contribution to the research.

MH Research Policy

Research Publications and Authorship

The Responsible Author should, complete a **PUBLICATION AND AUTHORSHIP NOTIFICATION FORM**, when a manuscript is accepted for publication and lodge it with the Research Directorate.

Name	Contribution (1a, 1b, 2a, 2b, 3)	Signature	Date

MH Authors (expand section as required)

An author, as defined by the ICMJE statement of authorship, is a person who has:

2. a) Made substantial contribution to conception and design, or;
b) Acquisition of data, or analysis and interpretation of data
3. a) Participated in drafting the article, or;
b) Revising it critically for important intellectual content
4. Participated in final approval of the version to be published.

Authors must meet at least one criteria of each of the three above conditions. All those listed, as authors must have participated sufficiently in the work to take public responsibility for appropriate portions of the content.

Authors must be listed and declare which criteria they meet on the **PUBLICATION AND AUTHORSHIP NOTIFICATION FORM**

Name	Contribution (1a, 1b, 2a, 2b, 3)	Signature	Date

– add more rows if needed

Collaborative Institutions

Authors who are not employees of Melbourne Health, including students or large, multicentre group work. 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.

Name	Contribution (1a, 1b, 2a, 2b, 3)	Signature	Date

MH Research Policy

**Research Publications and
Authorship**

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– add more rows if needed

Has Melbourne Health been acknowledged in the publication? Yes No

If No: Please explain why not:

I am the Responsible Author in relation to the above-named publication, affirm that this list is a complete and true list of authors of this publication and that each author meets the criteria for authorship as stated in Melbourne Health's Publication and Authorship Policy.

Responsible Author's Name:	
Signature:	
Date:	