

Publication and Dissemination Standards (interim)

1. Introduction

The *Australian Code for the Responsible Conduct of Research (Australian Code)* was substantially revised in 2018 and the *Macquarie University Code for the Responsible Conduct of Research (Macquarie Research Code)* subsequently amended and issued in July 2019.

The *Macquarie Research Code* articulates broad principles and responsibilities which underpin the responsible conduct of research across varied research contexts and disciplines. It is in place to ensure that research being undertaken under the auspices of Macquarie University is conducted with the highest standards of ethics, responsibility and integrity.

The detail provided in the former *Australian Code* and *Macquarie Research Code* about how the principles and responsibilities should be applied to specific elements or stages of the research process (in this case to Publication and Dissemination) is being refined and clarified. This detail will be included in accompanying guides being written by the Australian Research Council (ARC), National Health and Medical Research Council (NHMRC) and Universities Australia. Until each guide is issued and the associated policies and guidance at Macquarie University are adjusted, researchers are expected to refer to the relevant chapter of the former *Macquarie Research Code* (reproduced in section 4).

The *Macquarie University Research Code Complaints, Breaches and Investigation Procedure* describes how deviations from the principles and responsibilities outlined in the *Macquarie Research Code* (including a failing to meet these standards) must be reported, assessed, investigated and managed.

2. Purpose

These standards outline how the principles and responsibilities articulated in the *Macquarie Research Code* should be applied to the Publication and Dissemination of Research Findings.

3. Scope

- a. These standards apply to anyone who conducts research or research support under the auspices of Macquarie University, as per the *Macquarie Research Code*.
- b. While these standards establish the regular expectations for all Macquarie researchers, additional requirements may be imposed on those involved with external/overseas institutions, external funding bodies or publishers, external collaborators, or where required by local legislation, for example in the case of HDR Candidates subject to cotutelle or joint PhD agreements or researchers with a conjoint appointment.
- c. Researchers may consult with a Research Integrity Advisor (RIA) at any time for advice in relation to the implementation of these standards.

4. Chapter 11. Publication and Dissemination of Research Findings

This document may be varied, withdrawn or replaced at any time. Printed copies, or part thereof, are regarded as uncontrolled and should not be relied upon as the current version. It is the responsibility of the individual reading this document to refer to Macquarie University Policy Central for the current version.

Duplicated from the first edition of the *Macquarie University Code for the Responsible Conduct of Research, Part A: Principles and Practices to Encourage Responsible Research Conduct*

1. There are many ways of disseminating research findings. Formal publication of the results of research will usually take place in academic journals or books, but this is not always the case. This section of *The Macquarie Code* applies to all forms of dissemination, including non-refereed publications, such as web pages, and other media such as exhibitions or films, as well as professional and institutional repositories.
2. Researchers must not deliberately include inaccurate or misleading information relating to research activity in research outputs, curriculum vitae, grant applications, job applications or public statements.
3. Researchers must ensure that published reports, statistics and public statements about research activities and performance are complete, accurate and unambiguous. In the event that a researcher becomes aware of unintentional misleading or inaccurate statements in their work, they must attempt to correct the record as soon as possible.
4. Publication of more than one research output of the same type (e.g. papers, books, multimedia presentations), or of different types with substantially similar content (e.g. a paper and a book chapter), on the same set(s) or subset(s) of data is not acceptable, except where each subsequent paper fully cross-references and acknowledges the earlier paper or papers (for example, in a series of closely related work, or where a complete work grew out of a preliminary publication).
5. Publication of the same material translated into different languages is acceptable provided the original source is fully acknowledged.
6. The publication of substantially similar work in more than one location is discouraged. An author who submits substantially similar work to more than one publisher must disclose this to the publishers at the time of submission. Copyright must be carefully considered in these circumstances.
7. Researchers must ensure that they maintain the confidentiality of any information to which they have been given access on a confidential basis and that consent and/or removal of any identifiers or sensitive information is in place prior to publication.
8. Publications must include information on the sources of financial support for the research and must include a disclosure of any potential conflicts of interest, if these occur. Financial sponsorship that carries an embargo on such naming of a sponsor should be avoided where possible, except with approval of the Deputy Vice-Chancellor (Research).
9. Researchers should, where possible, make the results of their research publicly accessible. Researchers must comply with the University's [Open Access Policy](#).
10. Subject to any conditions imposed by the research sponsor, researchers should seek to communicate their research findings to a range of audiences, which may include the sponsor, professional organisations, peer researchers, policy makers and the community. Researchers may be interviewed by

the media, invited to participate in debates, and approached by individuals for comment. Researchers should seek training in communicating with the media and the community.

11. When discussing the outcomes of a research project, special care should be taken to explain the status of the project — for example, whether it is still in progress or has been finalised.
12. To minimise misunderstanding about research outcomes, researchers should undertake to inform promptly those directly impacted by the research, including interested parties, before informing the popular media.
13. Confidentiality provisions to protect intellectual property rights may be agreed between Macquarie University and a sponsor of the research (see the University's [Intellectual Property Policy](#)). Researchers are nevertheless urged during negotiations to seek free publication of the results, regardless of whether they are seen as beneficial to the sponsor. Approval of the Deputy Vice-Chancellor (Research) must be obtained where such agreements limit free publication and discussion.
14. In the case of human research, potential participants in the research must be advised of any arrangements that might limit, delay or restrict the publication of the results prior to taking part in the research. Any of these arrangements must be disclosed to the Human Research Ethics Committee at the time of application and the disclosure to participants must follow the instructions of the committee.
15. The outcomes of research with a strong commercial element may have to be presented to a stock exchange or financial body before any public release.
16. Any restrictions on communications that have been agreed with the sponsor must be honoured.
17. Higher Degree Research Candidates are required to submit a digital copy of their thesis so that it may be added to the *Macquarie University Digital Thesis Collection* and included in [Macquarie University Research Online](#). Candidates must follow the Digital Thesis Submission Guidelines. If a candidate anticipates that another entity, such as a publisher, may in the future hold a copyright interest in the thesis material, it is recommended that a moratorium application be submitted to the Higher Degree Research Committee or a permission from the publisher for a copy to reside in *Macquarie University Research Online* be requested. Restrictions must be approved by the Higher Degree Research Committee.
18. All staff must comply with the University's [Public Comment Policy](#) and [Social Media Guideline](#).

4. Abbreviations

Abbreviation	Definition
NHMRC	National Health and Medical Research Council
ARC	Australian Research Council
Australian Code	<i>Australian Code for the Responsible Conduct of Research 2018</i>
Australian Guide	<i>Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research</i>

Abbreviation	Definition
Macquarie Research Code	<i>Macquarie University Code for the Responsible Conduct of Research</i>
Macquarie Research Code Procedure	<i>Macquarie University Research Code Complaints, Breaches and Investigation Procedure</i>
RIA	Research Integrity Advisor,

5. Key related documents

5.1 Macquarie University policies and standards

- a. Macquarie University Code for the Responsible Conduct of Research
- b. Macquarie University Research Code Complaints, Breaches and Investigation Procedure
- c. Authorship Standards
- d. Collaborative Research Standards
- e. Conflict of Interest Policy (and Standards)
- f. Higher Degree Research Supervision Policy
- g. Peer Review Standards
- h. Research Data Management Standards
- i. Supervision of Students Undertaking Research

5.2 External documents

- a. Australian Code for the Responsible Conduct of Research 2018
- b. Australian Code of Practice for the Care and Use of Animals for Scientific Purposes
- c. Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research
- d. Guidelines for Ethical Research in Australian Indigenous Studies
- e. National Statement on Ethical Conduct in Human Research

6. Commencement and amendment history

6.1	Contact Officer	Research Integrity Office
6.2	Implementation Officer	Director, Research Ethics and Integrity
6.3	Approval Authority / Authorities	Deputy Vice-Chancellor (Research)
6.4	Date of Commencement	July 2019 – Interim standards under review
6.5	Documents Superseded by this document	This document presents chapter 11 of the former <i>Macquarie University Code for the Responsible Conduct of Research</i> 2014 and will be updated following the release of the proposed Publication and Dissemination Guide supporting the <i>Australian Code for the Responsible Conduct of Research</i> .