

TITLE	Cabrini Authorship and Publications for Research Policy
SETTING	All staff, honorary appointments, VMOs, and students engaged in research (or research support) at Cabrini Health - All sites engaged in research, or research support

PURPOSE

Cabrini Health acknowledges that the dissemination of research findings is an essential part of the research process and allows the benefits of research findings to pass on to fellow researchers, patients, and the wider community.

The purpose of this policy is to outline the requirements for responsible publication and dissemination of research conducted at Cabrini in accordance with the *Australian Code for the Responsible Conduct of Research, 2018* (the Code) and the related supporting *Publication and dissemination of Research and Authorship guides*. This policy also outlines the requirements for authorship and authors responsibilities.

SCOPE

This policy applies to research undertaken at Cabrini Health by Cabrini Staff (including honorary, affiliates and associates) and students. It also applies to a variety of research dissemination outputs including, but not limited to, journal articles, posters, conference presentations, book chapters, and pre-prints.

DEFINITIONS

The Code: *Australian Code for the Responsible Conduct of Research, 2018*

Breach: a breach is defined as a failure to meet the principles and responsibilities of the Code. It may refer to a single breach or multiple breaches.

Conflict of interest is a situation where an independent observer might reasonably conclude that the professional actions of a person are or may be unduly influenced by other interests. Conflict of interest may be actual, potential or perceived.

Designated Officer (DO): Designated Officer is a senior professional appointed to receive complaints about the conduct of research or potential breaches of the Code and to oversee their management and investigation where required.

Intellectual property: All intellectual and industrial property rights conferred by statute, at common law or in equity, including patents, inventions, research data, designs, copyright, trademarks, brand names, product names, domain names, trade secrets and any other rights arising from confidential information, and any other rights subsisting in the results of intellectual effort in any field, whether or not registered or capable of registration.

Peer Review: The impartial and independent assessment of research by others working in the same or a related field.

Research Integrity Advisor (RIA): promote the responsible conduct of research by providing advice on research practices and researcher responsibilities. RIAs have knowledge of the Code (and associated Guides) and other Cabrini research policy and procedures.

POLICY

Cabrini Health is committed to transparent publication and dissemination of research undertaken at Cabrini or by Cabrini staff. Furthermore, Cabrini Research is committed to promoting an environment of honesty, integrity, accuracy, fairness, respect and responsibility in the publication and dissemination of research findings.

This policy closely follows the principles (P1-P8) of the Australian Code for the responsible Conduct of Research, 2018 which are hallmarks of responsible conduct in research. The Code's principles are listed in Appendix A.

Researchers' responsibility in publication and dissemination of research

It is the responsibility of all researchers to plan early the publication and dissemination of results, ensuring:

- Timely and wide dissemination unless restricted;
- Independent peer review;
- Adherence to privacy, ethical, confidentiality legislation and policies including those concerning intellectual property.

Researchers have the responsibility to disseminate a full account of their research findings. This should include any relevant negative findings or one contrary to the originally stated hypothesis.

Dissemination of the research should not be inappropriately influenced by the nature and / or results of the findings. Researchers must ensure all contributions and work of others have been adequately acknowledge and cited.

Further to this, researchers also have the responsibilities to:

- take all reasonable steps to ensure that methodology, data and findings are reported accurately and are consistent with relevant discipline guidelines and conventions;
- ensure that conclusions are justified by the results and limitations are appropriately acknowledged;
- take action in a timely manner to correct or retract research when necessary;
- take action to correct the record in a timely manner if they become aware of any errors or misleading information in their published research outputs;
- disclose relevant interests and manage conflicts of interests consistent with the Code and the [Disclosure of interests and management of conflicts of interest: a guide supporting the Australian Code for the Responsible Conduct of Research](#) as well as the Cabrini Health [Declaration of Interest](#) policy;
- cite primary sources and data to ensure that credit for research is attributed fairly and to facilitate the easy location of the origin of a work, a finding, an idea, or research data.

Wherever possible, researchers shall provide study participants with an appropriate summary of the study outputs and outcomes.

Researchers must ensure the relevant Cabrini Health research department is listed as the affiliated institution in the author by-line on all publications if one or more of the following applies:

- the research was funded by Cabrini Health;
- the research was administered by Cabrini Health;
- the research was undertaken at Cabrini Health;
- data for the research was collected in part or whole from Cabrini Health patients.

Researchers are expected to notify Cabrini Research Governance Office via email, researchgovernance@cabrini.com.au, of any new publication arising from research undertaken at, funded and/or administered by Cabrini Health. Publications lists are regularly collated and presented to relevant research committees for review.

The following points should be considered when communicating research findings publicly in any forum:

- as a general principle, research findings should not be reported in the public media before they have been reported to a research audience of experts in the field of research, preferably by publication in a peer-reviewed journal, except where there is a contractual arrangement;
- in discussing the findings of a research project, care should be taken to explain the status of the project (in preparation, in progress, submitted, accepted);
- to maximise understanding of research findings, researchers should undertake to promptly inform those directly affected by the research, including interested parties.

As per the ICH GCP, it is expected that the content of each study protocol includes a publication policy for the study. It is good practice to include such policy in every protocol, irrespective of clinical trial, investigator led or collaborative research study. This publication policy may vary from study to study, depending on the study and protocol design.

Responsibilities regarding Authorship:

According to the Code, an author is an individual who:

- has made a significant intellectual or scholarly contribution to research and its output, and
- agrees to be listed as an author.

A significant intellectual or scholarly contribution must 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.

All named authors must have confidence in the integrity and accuracy of these contributions. Where feasible, authors should be able to identify which co-authors are responsible for specific parts of the work and they should raise any concerns about the accuracy and integrity of the research before submission or publication.

Authorship should not be attributed solely on the basis of:

- the provision of funding, data, materials, infrastructure or access to equipment;
- the provision of routine technical support, technical advice or technical assistance;
- the position or profession of an individual, such as their role as the author's supervisor or head of department ('gift authorship');
- whether the contribution was paid for or voluntary;
- the status of an individual who has not made a significant intellectual or scholarly contribution being such that it would elevate the esteem of the research ('guest or honorary authorship').

General supervision of the research group is not sufficient for authorship.

No person who is an author, consistent with this definition, must be excluded as an author without their permission in writing. This is considered 'ghost authorship' and is not acceptable practice and inconsistent with the principles of the Code and its guides.

It is essential that all parties responsible for generating a piece of research are duly acknowledged and recognised for their contributions in any research dissemination outputs. When there is more than one author, authorship of a research output is a matter that shall be discussed at an early stage in the research process and reviewed when changes are arising in researchers' participations. It is good practice to have an authorship agreement in place before the commencement of the writing up of a research project. An authorship agreement does not need to be a formal legal document. It can be an email, transcript of discussion or similar evidence that has been acknowledged by all authors.

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 name will appear;
- identification of at least one corresponding author who is responsible for communication with the publisher and managing communication between the co-authors;

It is good practice to record each author's contribution according to the [CRediT](#) (Contributor Roles Taxonomy) statement. This allows the recognition of each individual contribution to be recorded accurately and in a detailed manner; thus, reducing disputes and facilitating collaboration. The role(s) of author should be listed using the relevant categories. An author can contribute to multiple roles.

The corresponding author is responsible for ensuring that all nominated authors have read the final paper, and that each meet the minimum requirement for authorship, and that no other person who meet the requirement as author has been omitted the opportunity to contribute and review the paper. The corresponding author has primary responsibility for ensuring that all contributors to the research output are properly recognised regardless of their position or any changes in their position or role. All authors should alert the corresponding author to any author or contributor who may have been inadvertently omitted.

It is good practice to acknowledge research infrastructure in research outputs. Contributions that do not meet the criteria for authorship should also be acknowledged appropriately with the contributor's written permission.

Disclosure of Artificial Intelligence (AI) tools usage

AI or Large Language Models (LLM) cannot be listed as co-author as they are not a legal entity and cannot take responsibility for the work submitted.

If researchers are using AI tools such as (but not limited to) Chat GPT or other LLM, such usage should be disclosed in the materials and methods, or similar, section of any publications or other research outputs. It should describe the tool(s) use and how it was used. This is not limited to manuscript writing, but also encompasses data collection, analysis, or production of graphical elements.

Authors remain fully responsible for the content of their research outputs and are expected to be transparent in all aspects of their research.

Breach and Dispute resolution:

Example of breaches of the Code with respect to Authorship:

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

Examples of breaches of the Code that are related to the dissemination of research may include:

- fabrication, falsification or misrepresentation of research data or source material in a research output or any communication, including social media and grant applications;
- plagiarism of someone else's work, including theories, concepts, research data and source material;
- duplicate publication (also known as redundant or multiple publication, or self-plagiarism) without acknowledgement of the source or original publication;
- failure to maintain records required by an export control body as a condition of publication and dissemination;
- failure to take active, reasonable and timely steps to correct the public record upon becoming aware of errors or misleading information in their published research outputs;
- public dissemination of research (e.g. via social media) that is yet to be tested in peer review without providing an appropriate caveat;
- failure to honour a restriction on publication or dissemination imposed by Cabrini, a sponsor, ethics or other approval body.

Failure to comply with the obligations and procedures listed in this policy and or the Code, may be considered a breach. The process for managing breaches under this policy will depend on the nature of the breach, and will be assessed on a case by case basis. Breach of this policy may result in disciplinary or remedial action.

Cabrini will manage and investigate concerns or complaints about potential breaches of the Code, and this policy, in accordance with the [Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research](#) (the Investigation Guide) and in abidance with other relevant Cabrini policies.

If you suspect a breach of this policy or the Code has occurred, seek advice from a Research Integrity Advisor (RIA) who can advise on breaches of the Code, Cabrini policies, and available options, including how to make a complaint. As per the Cabrini Research Integrity and Misconduct Policy, RIAs keep confidential all matters concerning complaints and grievances except to the extent that the disclosure is necessary for the purpose of addressing the complaint or grievance.

RIAs may be contacted at Cabrini via researchgovernance@cabrini.com.au.

Upon receipt of a complaint by the Research Governance Office, the Designated Officer will decide how to proceed as per [Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research](#).

EVALUATION

Compliance with this policy and effectiveness of the policy will be evaluated through ad-hoc audit of publications and research outputs published by Cabrini Research staff and VMOs. Publications lists are already being collated on a quarterly basis for the Cabrini Research Committee. These lists will be used as starting point and regular checks in compliance. Further ad-hoc auditing on compliance with this policy may be performed by the Research Governance Office as part of their regular study audit.

REVIEW

This Policy shall be reviewed every 3 years or as need arises.

REFERENCES and ASSOCIATED DOCUMENTS

Cabrini Health Policies Procedures & Protocols

- [Declaration of Interest Policy](#)
- [Values and Behaviours Policy](#)
- [Cabrini Research Integrity and Misconduct Policy](#)

Key Legislation & Standards

- [Australian Code for the Responsible Conduct of Research, 2018](#)
- [Publication and dissemination of research guide to the Australian Code of the Responsible Conduct of Research, 2018](#)
- [Authorship guide to the Australian Code of Responsible Conduct of Research](#)
- [National Clinical Trials Governance Framework](#)
- [NHMRC National Statement on Ethical Conduct in Research](#)
- [NHMRC Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders \(2018\)](#)
- [Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research](#)
- [Catholic Health Australia Code of Ethical Standards](#)

References

- [CRediT](#) (Contributor Roles Taxonomy)
- <https://publicationethics.org/cope-position-statements/ai-author>

Appendix A: Principles of responsible Conduct of Research from The Code

The principles (P1–P8) that are the hallmarks of responsible research conduct are:

P1 Honesty in the development, undertaking and reporting of research

- Present information truthfully and accurately in proposing, conducting and reporting research.

P2 Rigour in the development, undertaking and reporting of research

- Underpin research by attention to detail and robust methodology, avoiding or acknowledging biases.

P3 Transparency in declaring interests and reporting research methodology, data and findings

- Share and communicate research methodology, data and findings openly, responsibly and accurately.
- Disclose and manage conflicts of interest.

P4 Fairness in the treatment of others

- Treat fellow researchers and others involved in the research fairly and with respect.
- Appropriately reference and cite the work of others.
- Give credit, including authorship where appropriate, to those who have contributed to the research.

P5 Respect for research participants, the wider community, animals and the environment

- Treat human participants and communities that are affected by the research with care and respect, giving appropriate consideration to the needs of minority groups or vulnerable people.
- Ensure that respect underpins all decisions and actions related to the care and use of animals in research.
- Minimise adverse effects of the research on the environment.

P6 Recognition of the right of Aboriginal and Torres Strait Islander peoples to be engaged in research that affects or is of particular significance to them

- Recognise, value and respect the diversity, heritage, knowledge, cultural property and connection to land of Aboriginal and Torres Strait Islander peoples.
- Engage with Aboriginal and Torres Strait Islander peoples prior to research being undertaken, so that they freely make decisions about their involvement.
- Report to Aboriginal and Torres Strait Islander peoples the outcomes of research in which they have engaged.

P7 Accountability for the development, undertaking and reporting of research

- Comply with relevant legislation, policies and guidelines.
- Ensure good stewardship of public resources used to conduct research.
- Consider the consequences and outcomes of research prior to its communication.

P8 Promotion of responsible research practices

- Promote and foster a research culture and environment that supports the responsible conduct of research.

REVISION HISTORY

Version	Revision date	Revision notes
1.0	20/03/2027	New document

Executive Sponsor	Group Director, Cabrini Research	
Content Approved By:	Group Director, Cabrini Research	Date: 23/11/2023
Authorised to Publish By:	Cabrini Scientific Advisory Committee	Date: 20/03/2024