Publication and Dissemination of Research

A guide supporting *The Aurum Project Code for the Responsible Conduct of Research*

The Aurum Project

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Source: National Health and Medical Research Council.

Terms and abbreviations used in this guide

AP - The Aurum Project

AP Code - The Aurum Project Code for the Responsible Conduct of Research

1. Introduction

This guide supports the implementation of the *AP Code for the Responsible Conduct of Research* (AP Code), which articulates the broad principles and responsibilities that underpin the responsible conduct of The Aurum Project (AP) research.

In particular, this guide is intended to assist AP and researchers to adhere to relevant principles of AP Code and to facilitate responsible publication and dissemination of research conducted under the auspices of AP.

2. Publication and dissemination of research

Publication and dissemination of research is an important part of the research process, passing on the benefits to a diverse range of potential beneficiaries of research, including other researchers, research sponsors, consumers and industry, policy-makers, and the public. Methods of dissemination continue to evolve and expand, which can assist in more effectively reaching diverse audiences.

This guide includes dissemination of traditional and non-traditional research outputs (e.g. original creative works, performances and exhibitions) and non-refereed publications (e.g. conferences, interviews, pre-prints and social media), as well as dissemination undertaken as part of applications for research grants and forms of financial support.

Information in other AP guides is also relevant to the publication and dissemination of research, such as the *Aurum Project authorship guide.*

3. AP Responsibilities

3.1 Promote responsible publication and dissemination of research

To support transparency and responsible publication, dissemination and communication of the findings and results of research and to maximise the benefits of research, AP should:
- encourage researchers to disseminate their research widely
- provide guidance on the development of plans to publish, disseminate and communicate research findings and results, including the identification of appropriate avenues for publication and dissemination
- put in place mechanisms to support researchers to communicate research findings accurately and responsibly, regardless of the medium or method through which the research is published or the audience to whom it is communicated
- provide mechanisms that enable scrutiny of the research methods and reporting of findings for any bias or the inappropriate influence of participants, sponsors or other parties involved in the research

- enable researchers to take action, where required, to correct or retract their research in a timely manner.

AP should also establish a mechanism to notify the relevant journal/s of any need to correct the public record in a timely manner.

3.2 Support open communication of research to a wide audience

The open publication and dissemination of research improves researchers' capacity to build on previous results, increases innovation, encourages collaboration, improves community engagement, and allows the benefits of the research to be realised. It is an expectation of public funders that institutions should encourage the widest possible dissemination of research, using effective modes, and at the earliest opportunity. See also: *The Aurum Project Authorship Guide* and *The Aurum Project Management of Data and Information in Research Guide* and policies on open access issued by relevant funding agencies*.*

Consistent with international expectations that research outputs are openly available, AP should endeavour to support researchers to ensure their research outputs are openly accessible.

AP will allow researchers to have access to the Marketing Manager for the purpose of communicating research findings through all appropriate channels. AP should ensure that the Marketing Manager is aware of the principles and responsibilities of AP described in this guide.

When communicating about collaborative research, AP will acknowledge partner institutions and sponsors.

3.3 Protect confidential and sensitive information and manage intellectual property

While research outputs should be made openly accessible, there are instances when publication may be restricted, delayed or limited by ethical or legal obligations, such as intellectual property arrangements, confidentiality obligations made to participants or restrictions on the publication of sensitive information. Further guidance on managing confidential and sensitive information is provided in *The Aurum Project Management of Data and Information in Research Guide.*

AP should provide mechanisms to facilitate researchers' understanding, agreement and adherence to relevant contractual obligations and confidentiality agreements, including those that may restrict, delay or limit publication. Any agreement to restrict, delay or limit publication should not exceed the period needed to protect intellectual property and/or other relevant interests. AP should ensure that sponsors or other collaborators, including funders of research, do not delay or unreasonably withhold consent to publication.

3.4 Consider the potential application and consequences of publication and dissemination of research

The publication and dissemination of research can sometimes have unintended consequences for individuals and communities. Research, especially where reported in a preliminary, incomplete or summary form, may be liable to misinterpretation.

This policy informs researchers of the need to consider the potential unintended consequences of research.

3.5 Provide training for researchers

AP must provide ongoing training and education that promotes and supports responsible research conduct and assists all researchers, and those in other relevant roles, to follow AP policies. Training should include:

- disclosure of interests and management of conflicts of interest
- management of data and information, including secondary use of the data and information and general requirements related to privacy and confidentiality
- authorship, copyright and licensing standards
- publication ethics and standards, including how to recognise and avoid publication bias
- disclosure and sharing of findings and outcomes, including identification and management of their potential misuse.

4. Responsibilities of researchers

4.1 Disseminate research findings

Researchers have a responsibility to disseminate a full account of their research. The account should include relevant negative results as well as findings that may be contrary to any stated hypothesis. Decisions about how research will be published or disseminated should not be inappropriately influenced by the nature and direction of results. Researchers should also take into account limitations necessitated by patent applications, legitimate publication package and fee requirements and the increased costs of presenting findings to one's peers for critical input. Patents can also be a legitimate way in which to publish research results.

In fulfilling responsibilities related to accuracy and timeliness, completeness and transparency, researchers should be aware of practices, such as 'predatory publishing/publications' and unreasonable delays in publication and dissemination, including unjustified publication embargoes.

Where negotiating an agreement between researchers and research sponsors that requires delivery of the research findings intended for publication to the sponsors before they undergo a peer review process, researchers may need to alert sponsors to the principles and responsibilities of AP Code.

Preprints are now part of the open research landscape and their use can accelerate dissemination of research. Researchers can post a research manuscript on a public server as a

preprint to allow research outputs to be available prior to peer review. In choosing to do so, researchers must remain cognisant of their obligations under AP Code, specifically ensuring that research findings are disseminated responsibly and accurately, and action taken, where necessary, to correct the record in a timely manner.

4.2 Ensure accuracy

Researchers must take all reasonable steps to ensure that methodology, data and findings are reported accurately and consistently with international guidelines and conventions appropriate to homeopathy research or other relevant disciplines. Researchers must ensure that conclusions are justified by the results and any limitations are appropriately acknowledged.

If they become aware of errors or misleading information in their published research outputs, researchers should take action to correct the record in a timely manner, in accordance with AP policy.

4.3 Accurately disclose research support and relevant interests

Communications about research and its findings must identify AP and all sources of support for the research.

Researchers must disclose relevant interests and manage conflicts of interests consistent with AP Code and the *Disclosure of Interests and Management of Conflicts of Interest Guide*. This includes fully disclosing relevant interests upon submission of publications, and consideration by researchers as to whether other actions are required to manage potential conflicts of interest.

4.4 Cite and acknowledge relevant work

Researchers must ensure that they cite and acknowledge their own work and the work of others (whether published or unpublished) accurately and in accordance with, *The Aurum Project Authorship Guide.*

Where appropriate, researchers should 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.

Researchers may seek to publish the same research in more than one publication, such as in an original journal article, followed by publication in book form and/or in anthologies, collections and translations. An author who submits substantially similar work to more than one publisher, or who submits work similar to work already published, must disclose this at the time of submission. Disclosure must also be included in the work itself to prevent any such re-use having the effect of portraying previously presented ideas or data as new.

4.5 Obtain permission for republishing

Researchers must take all reasonable steps to obtain permission from the original publisher or copyright owner before republishing their own or others' research findings, taking into account any relevant legal agreements.

4.6 Foster transparency in research and publications

Researchers and AP are responsible for fostering transparency in research. Researchers should, where appropriate, consider registering their research plans or protocols prior to the commencement of research.

For any research project that prospectively assigns participants to one or more health-related interventions to evaluate the effects on health outcomes, researchers must register the project as a clinical trial on a publicly accessible register complying with international standards before the recruitment of the first participant.

At the conclusion of a project, and where possible and appropriate, researchers should publish or allow interested parties to access and refer to research data, survey instruments, coding manuals and the tools and resources that supported analysis of research data. See also *The Aurum Project Management of Data and Information in Research Guide.*

4.7 Protect confidential and sensitive information

Publication and dissemination activities must take account of any ethical or legal restrictions relating to intellectual property and the appropriate handling of confidential or other sensitive information. Researchers are accountable for their research and must consider the consequences and outcomes of research prior to its communication. This may include dissemination via pre-publication activities eg: submitting an article to a journal for peer review.

4.8 Communicate research broadly

Researchers should communicate their findings to the widest appropriate audience in forms that are accessible to that audience. This may include research end-users, such as governments, industry, not-for-profit organisations, consumers and the general public.

Researchers should engage with relevant communities, using appropriate communication channels to inform genuine public debate. They should also seek appropriate communication support from AP.

Where the research affects, or is of particular significance to Aboriginal and Torres Strait Islander peoples and communities, the outcomes of the research must be presented in a format that is culturally appropriate and acceptable. Consult https://aiatsis.gov.au/research/ethical-research/guidelines-ethical-research-australian-indigenous-studies

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

- as a general rule, research findings should not be discussed in the public arena until they have been tested through peer review. Presentation of research in progress or before publication on a public server as a preprint, at professional conferences are exceptions to this general rule. In discussing the findings 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 and whether the findings have been published.
- to maximise understanding of research findings, researchers should undertake to promptly inform those directly affected by the research. This may include providing research participants with an appropriate summary of the research results.
- the findings of research with a strong commercial element, certain contractual obligations and patent requirements may have to be presented to a stock exchange, a financial body, a sponsor or investors before any public release.
- any restrictions on communications that have been agreed with the research sponsor should be respected, noting that publication restrictions should be discouraged, where possible.

4.9 Engage in relevant training

Researchers should engage in relevant training about AP policies for the responsible publication and dissemination of research, and should seek out other relevant training opportunities when they perceive a knowledge gap.

5. Breaches of the Code

AP should manage and investigate concerns or complaints about potential breaches of AP Code in accordance with the Guide to Managing & Investigating Potential Breaches of The Aurum Project Code for the Responsible Conduct of Research

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Examples of breaches of the Code that are related to the dissemination of research include, but are not limited to:

- 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 take active, reasonable and timely steps to correct the public record upon becoming aware of errors or misleading information in their published research output
- public dissemination of research (e.g. via social media) that is yet to be tested in peer review without providing an appropriate caution or caveat

- failure to honour a restriction on publication or dissemination imposed by a sponsor, ethics or other approval body.

Development of The Aurum Project Guide to Publication and Dissemination of Research to support AP Code for the Responsible Conduct of Research

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