Publication and Dissemination of Research Policy

Section 1 - Purpose

(1) This Policy outlines expectations to ensure that research findings are disseminated in a responsible, ethical and timely manner, consistent with the principles and responsibilities set out in the Australian Code for the Responsible Conduct of Research (the Code). It applies national requirements and should be read in conjunction with:

a. Australian Code for the Responsible Conduct of Research (the Code);
b. Publication and dissemination of research: a guide supporting the Australian Code for the Responsible Conduct of Research (the supporting guide);
c. Responsible Conduct of Research Policy;
d. Intellectual Property Policy;
e. Code for the Protection of Freedom of Speech and Academic Freedom;
f. Open Access Policy;
g. Research Data and Primary Materials Management Procedure;
h. Research Breach Investigation Procedure;
i. Disclosure of Interest Policy;
j. Research Authorship Procedure.

(2) It is recognised that compliance with the provisions set out in the Code, the Responsible Conduct of Research Policy and this Policy may be subject to third-party publication agreements or requirements. It is appropriate to comply with such restrictions when they are consistent with the intent of the Code.

Section 2 - Scope

(3) This Policy applies to all University of Newcastle staff, students and affiliates involved in research activities and dissemination of research outputs. This includes, but is not limited to:

a. Researchers; and
b. Marketing and Communications staff.

Section 3 - Document Specific Definitions

(4) In the context of this document:

a. Research publication, as described in Publication and dissemination of research: A guide supporting the Australian Code for the Responsible Conduct of Research, includes:

i. traditional research outputs e.g. books, book chapters, journal articles;
ii. non-traditional research outputs (NTRO) e.g. original creative works, performances, curated events, exhibitions, software, code and policy briefs;
iii. non-refereed publications e.g. conference publications, interviews, pre-prints and social media; and
iv. dissemination undertaken as part of applications for research grants and forms of financial support.

b. Researcher is as defined in the Responsible Conduct of Research Policy;
c. FAIR Principles – a set of guiding principles to improve the Findability, Accessibility, Interoperability, and Reusability of research data and outputs.
d. DORA (Declaration on Research Assessment) – an international initiative that aims to improve the ways in which the outputs of scholarly research are evaluated. DORA advocates for the assessment of research based on its intrinsic quality and impact rather than on metrics such as journal impact factor.

Section 4 - Principles and Standards for Responsible Dissemination of Research

Disseminating Research Findings

(5) Researchers are encouraged to disseminate research findings as widely as possible, in formats appropriate to the audience and discipline, at the earliest opportunity, except where constraints apply.

(6) In accordance with the provisions of the Code and it's supporting guide, Researchers are responsible for ensuring the account of their research is accurate and complete. This includes:

a. taking all reasonable steps to ensure that methodology, data and findings are reported accurately and are consistent with relevant discipline guidelines and conventions;
b. ensuring that conclusions are justified by the results and limitations are appropriately acknowledged;
c. accurately citing and acknowledging their own work and the work of others, whether published or unpublished, including primary sources and data;
d. ensuring any negative, null and inconclusive findings are included;
e. the ratification of any human clinical or animal research activity by the appropriate ethics committee;
f. acting promptly to correct the public record if errors are identified or retracting research when necessary; and
g. where artifical intelligence tools are used to assist in drafting or editing research outputs, including translations and lay summaries, their use must be disclosed in accordance with journal, publisher, or funder requirements, and outputs must be reviewed and verified by the Researcher for accuracy and compliance with ethical standards.

(7) Researchers must ensure the University is listed as the affiliated institution in the author by-line on all publications as per the Research Authorship Procedure, and consider including ORCID ID where possible.

(8) Research approved by a human or animal ethics committee should include the ethics approval identification number in any resulting publication.

(9) Researchers must ensure that publications take into account any ethical and legal restrictions relating to intellectual property. This includes the appropriate handling of confidential or other sensitive information, including culturally sensitive information and/or data (refer to the University's Indigenous Cultural Intellectual Property Protocols where relevant).

(10) Publications involving, or of significance to Aboriginal and Torres Strait Islander people and communities must be

respectfully and culturally safe. They must adhere to requirements for co-authorship, data sovereignty and community approval where appropriate. Guidance may be sought from the following publications:

a. Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders;
b. Keeping Research on Track II; and
c. Code of Ethics for Aboriginal and Torres Strait Islander Research.

(11) Where feasible, and within the context of standard discipline practice, Researchers should provide research results to those parties who are normally advised or directly affected by the research in a format accessible to them (e.g. summaries, translations, lay reports).

(12) Where possible, Researchers should ensure research outputs adhere to FAIR principles and are made available via open access platforms in accordance with the University's Open Access Policy.

Restrictions on Material linked to Research Breaches

(13) A Researcher must not use, or permit to be used, any data or results that are found to have been improperly obtained as the basis for the dissemination including publication, presentation, patent applicaton or any other form of disclosure.

Responsible Submission Practices

(14) Researchers must not:

a. include the same research findings in several publications, except in specific and clearly explained circumstances such as review articles, anthologies, collections or translations; or
b. submit work that is substantially similar to more than one publisher, or submit work that is similar to work already being published without disclosing this to the publisher at the time of submission.

(15) Researchers should avoid publication practices that prioritise quantity over quality in accordance with the DORA principles.

(16) Researchers must seek permission from the original publisher before republishing research findings. Any republication must acknowledge the original source and comply with copyright, licensing and publisher requirements. Republishing includes, but is not limited to:

a. reproducing work in another language;
b. re-using figures or tables;
c. submitting work to anthologies or collected works; or
d. re-issuing previously published content in any format.

Disclosing Research Support

(17) Researchers must ensure that:

a. the research publication includes information on all sources of financial and in-kind support for the research, including relevant interests and any conflicts of interest in accordance with the Conflict of Interest Policy;
b. the host institution and any specific facilities within that institution, partner institution/s and funding sources of the research are acknowledged; and
c. proper representation of institutional contributions are included in line with authorship conventions where

international collaborators or dual affiliations exist.

Registering Clinical Trials

(18) Researchers are required to register clinical trials with the Australian and New Zealand Clinical Trials Registry and include the clinical trial registration number in any subsequent publication/s. In accordance with national best practices, Researchers must also ensure the trial results are reported in the registry within the required timeframes to promote access to information about all clinical trials.

Release of Findings Prior to Peer Review

(19) Researchers may post preprints on a public server to make research outputs available prior to peer review. When doing so, they must disclose any preprint versions at the time of submitting for peer-reviewed publication.

(20) When releasing research findings that have not yet been subject to peer review, including preprints, Researchers must first give due consideration to the release, particularly if the research is sensitive in nature or may be contentious. In allcases, the release, must clearly state the unpublished status of the research and provide details of the peer-review mechanisms to which the research findings will later be subjected.

(21) When the confidentiality requirements of a funding body prevents or delays peer review until after the research results are delivered to the funding body, the Researcher must:

a. present the findings to the funding body under a written disclaimer that states the work has not been subject to peer review; and
b. alert the funding body to the principles and responsibilities of the Code.

Communicating Research Findings in the Public Arena

(22) Researchers are encouraged to communicate their findings to a range of audiences. They should engage with relevant communities to inform genuine public debate.

(23) Where research has a strong commercial element or legal obligations, findings should be appropriately presented before any public release.

(24) Where generative artifical intelligence (AI) tools are used in preparing public communications, this use must be made transparent within the communication. The output must be reviewed for accuracy before dissemination and must be consistent with ethical and professional standards.

(25) Researchers should be aware of the difficulties of communicating research findings to the wider community where there is no opportunity to review media reports of communications before the reports are released to the public. Researchers should therefore avail themselves of professional assistance and media training in communicating with the wider community.

(26) Researchers anticipating media interest subsequent to the publication of research outcomes should liaise with the University Communications and Media Centre to coordinate responses to media enquiries.

(27) Researchers are required to observe any restrictions on communications that have been formally agreed with the funding body of the research.

(28) Discussion of research findings should not usually occur until research findings have been evaluated through a peer review process or another appraisal process that meets the standards of the discipline, unless it is:

a. presented as research in progress, a preprint, or at professional conferences; or

b. in the national interest or in response to a public health crisis.

(29) Care should be taken to explain the status of the project e.g. whether it is still in progress, is a preliminary conference report, or has been finalised.

(30) To minimise misunderstandings, those directly impacted by the research (including interested parties to the research or those given undertakings as part of the research process) should be informed of the research findings before they are made public.

Section 5 - Roles and Responsibilities

(31) Researchers are responsible for the dissemination and publication of research findings in accordance with:

a. this Policy;
b. the Responsible Conduct of Research Policy;
c. the Code;
d. any external requirements of funding or other bodies; and
e. any other relevant University policy.

(32) Researchers must:

a. be aware of their obligations under the Code when making research findings publicly available as preprints;
b. seek advice from the Research Integrity Unit if they identify potential misuse of their research findings or outcomes (eg misinterpretation, dual-use concerns);
c. agree on dissemination and authorship strategies at the outset, particularly when engaging in multi-institutional research;
d. ensure any use of AI in the preparation of research outputs or communications complies with relevant University policies, publisher / funder requirements, and that final responsibility for content remains with the Researcher.

(33) Researchers should:

a. not be inappropriately influenced by research results when determining how or where research is published;
b. take into account limitations regarding patent applications and publication fee requirements;
c. be aware of unscrupulous publication practices such as predatory journals and use appropriate databases to identify quality outlets (see: Library Guide: Strategic Publishing);
d. avoid unreasonable publication delays;
e. seek advice from their line manager where their research or research outputs are confidential or sensitive, or could harm human, animal or plant health, the environment, or Australia's national security;
f. seek advice from Export Controls where their research may be subject to export controls or sanctions regimes;
g. refer to the University Library's Research Support Guides for guidance on avenues for publication.

Status and Details

Status	Current
Effective Date	25th November 2025
Review Date	25th November 2028
Approval Authority	Academic Senate
Approval Date	25th November 2025
Expiry Date	Not Applicable
Responsible Executive	Rohan Walker Pro Vice-Chancellor (Research)
Enquiries Contact	Office of the Deputy Vice-Chancellor (Research and Innovation)

Glossary Terms and Definitions

"University" - The University of Newcastle, a body corporate established under sections 4 and 5 of the University of Newcastle Act 1989.

"Student" - A person formally enrolled in a course or active in a program offered by the University or affiliated entity.

"Intellectual property" - Intellectual property (IP), as defined by the World Intellectual Property Organisation, refers to creations of the mind: inventions; literary and artistic works; and symbols, names and images used in commerce. Intellectual property is divided into two categories: Industrial property includes patents for inventions, trademarks, industrial designs and geographical indications; and Copyright covers literary works (such as novels, poems and plays), films, music, artistic works (e.g. drawings, paintings, photographs and sculptures) and architectural design. Rights related to copyright include those of performing artists in their performances, producers of phonograms in their recordings, and broadcasters in their radio and television programs.

"Research" - As defined in the Australian Code for the Responsible Conduct of Research, or any replacing Code or document.

"Staff" - Means a person who was at the relevant time employed by the University and includes professional and academic staff of the University, by contract or ongoing, as well as conjoint staff but does not include visitors to the University.

"Affiliate" - A person or organisation legally obligated to, or informally associated with the University. Categories of affiliates are outlined on the University website.

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 always refer to the Policy Library for the latest version.