



- 1.3. Where the corresponding author of the research output is not affiliated with UNSW, the dispute should be handled and resolved by the corresponding author's institution and its applicable procedure.

## 2. Disputes under this procedure

- 2.1. Disputes under this procedure may be about:

Authorship, including but not limited to the:

- listing order of the authors
- inclusion or exclusion of authors; or
- acknowledgement of contributors other than authors.

Content, including but not limited to the:

- literature review
- methodology
- interpretation
- presentation of research results.

Method or medium of publication.

## 3. Raising and resolving disputes

- 3.1. Raise concerns

Researchers should raise any concerns about authorship and publication of a research output with the co-authors as soon as they arise.

While there is a dispute being managed under this procedure the research output must not be submitted for or be published in its current form until the dispute is resolved.

- 3.2. Stage 1 – Parties to attempt dispute resolution

Disputing parties should attempt to directly resolve any conflict at the earliest opportunity.

In resolving any dispute, the requirements of the Code and [Research Authorship, Publication and Dissemination Policy](#) should be followed.

- 3.3. Stage 2 – Mediation

Disputes which cannot be resolved at Stage 1 may be referred to a Head of School for mediation with:

- any one of the disputing parties; or
- the UNSW Conduct and Integrity Office (CIO).

The Head of School must be free from any conflicts of interest in respect to the dispute or the parties to the dispute.

The Head of School may seek advice and assistance from the CIO.

Where a resolution is reached, details of the agreement should be documented, and a copy of the document provided to all parties.

Where an agreement cannot be reached the Head of School may refer the dispute for determination (Stage 3 below).

Where any disputing party does not consent to participate in the mediation, the dispute may be referred by the Head of School to a determination (Stage 3 below).

Where any disputing party does not agree to have the dispute referred for determination, the research output must not be submitted for or be published in its current form.

Where the Head of School identifies that the dispute relates to a potential breach of the Code it must be referred to the CIO to be managed under the

Disputes which are not resolved in Stage 2 may be referred by the Head of School (or their nominee) to one of the UNSW Research Integrity Advisors (RIA) (or their nominee), for determination.

Where the RIA (or their nominee) has declared a conflict of interest, the matter should be referred by either the disputing parties or the RIA to a Dean (or their nominee) for determination.

Where the Dean has declared a conflict of interest, the dispute should be referred to the Director, UNSW Conduct and Integrity (or their nominee), for determination.

The person making the determination may seek the following:

- copy of the research output in dispute, including any drafts produced
- details of the dispute
- evidence or material to support claims made; and/or
- relevant expert advice.

The person making the determination must be free from any conflicts of interest in relation to the dispute, the parties to the dispute, and must not have been involved in Stage 2.

The person making the determination will provide a copy of the determination to:

- the disputing parties
- the Head of School (or their nominee) in Stage 2; and
- the CIO at [research.integrity@unsw.edu.au](mailto:research.integrity@unsw.edu.au) for recordkeeping.

Where one or more of the disputing parties are unwilling to accept the determination made under this section, the research output must not be submitted for or be published in its current form.

#### **4. Complaints about a potential breach of the *UNSW Code of Conduct and Values* and the *Australian Code for the Responsible Conduct of Research***

##### 4.1. Disputed authorship as breach of the Code

Where an authorship dispute or concerns involve a published research output and a potential breach of the Code, it may be handled as a complaint under the [\\_\\_\\_\\_\\_](#)

##### 4.2. Examples of authorship breaches of the Code

Examples of breaches of the Code concerning authorship and publication include, but are not limited to:

- Ascribing authorship to individuals who do not meet the criteria for Code, it may be handled as a Code, if

**Effective:** 12 February 2024 **Responsible:** Deputy Vice-Chancellor, Research and Enterprise

Lead: Director, Conduct and Integrity



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**Research output**

A research output communicates or makes available the findings of research that may be published in hardcopy, electronic or other form. Examples of research outputs include, but are not limited to journal articles, book chapters, books, conference papers, reports, datasets, patents and patent applications, performances, videos, exhibitions and research theses. These can be in draft or published form.

Person or persons engaged or affiliated with UNSW who conducts research.

At UNSW this includes UNSW academic staff, non-academics/professionals undertaking research, conjoint appointments (those who have been conferred an

**Researcher/s**