

Kingdom of Saudi Arabia
Ministry of National Guard
Health Affairs



المملكة العربية السعودية
وزارة الحرس الوطني
الشؤون الصحية

APP

MINISTRY OF NATIONAL GUARD - HEALTH AFFAIRS ADMINISTRATIVE POLICY AND PROCEDURES

NUMBER : 1436-01
TITLE : RESEARCH AUTHORSHIP AND PUBLICATION CONDUCT
ORIGINATING DEPT. : KING ABDULLAH INTERNATIONAL MEDICAL RESEARCH CENTER ADMINISTRATION (419801)
ORIGINAL DATE : NOVEMBER 2015

1. PURPOSE

To establish policy and procedures for authorship rights on research or scientific work or publication as well as define procedures for dealing with research and publication misconduct committed by authors and resolving authorship conflicts between staff or researchers from Ministry of National Guard-Health Affairs (MNG-HA), King Abdullah International Medical Research Center (KAIMRC) and King Saud bin Abdulaziz University for Health Sciences (KSAU-HS).

2. APPLICABILITY

To all employees, trainees, researchers, teaching staff and students of MNG-HA and all affiliated facilities including KAIMRC and KSAU-HS.

3. RELATED REFERENCES

- 3.1 APP 1419-05: Research Proposal, Submission, Processing and Approval
- 3.2 APP 1433-37: Conducting Research Studies
- 3.3 APP 1426-19: Code of Ethics
- 3.4 APP 1433-27: Professional Code of Conduct
- 3.5 APP 1432-23: Disciplinary Actions & Terminations
- 3.6 Employee Relations Manual (ERM)

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- 3.7 Recommendations for the Conduct, Reporting, Editing and Publication of Scholarly Work in Medical Journals (Updated December 2013), International Committee of Medical Journal Editors' Uniform Requirements for Manuscripts Submission to Biomedical Journals
- 3.8 Guidelines of Professional Classification and Registration for Health Practitioners (Sixth Edition 1435, 2014), Saudi Commission for Health Specialties
- 3.9 Committee Formation Order (CFO: KAIMRC-04-15) Authorship and Publication Conduct Committee

4. DEFINITIONS

- 4.1 **Allegation** - refers to any written or oral statement of possible research and publication misconduct made to an institutional official.
- 4.2 **Author** - refers to the originator of any written work or an individual who has substantially contributed to any written work and also shares responsibility and accountability to said work.
 - 4.2.1 **Co-author** - refers to author but the name is usually not the first in the author list.
 - 4.2.2 **Corresponding author** - refers to individual that assumes the role of the senior author or the first author, who communicates with journal editors and readers, provides specific information on the contribution of all co-authors, ensures that all co-authors are aware of and approve the submission of the manuscript for publication.
 - 4.2.3 **First or primary author** - refers to the individual who has carried out the majority of the work being reported.
 - 4.2.4 **Senior author** - refers to an individual who directs, supervises and guarantees the authenticity of the work reported and implicitly takes responsibility for the scientific accuracy, valid methodology analysis and conclusions.
- 4.3 **Authorship** - refers to the state or act of writing, creating or substantially contributing to a manuscript and/or the scientific research of a manuscript and in the context of this APP, to include research proposals.
- 4.4 **Authorship conflict** - refers to when an author(s) perceives their intellectual contribution or role to a scientific/research work is not given due recognition.
- 4.5 **Complainant** - refers to a person who makes an allegation.
- 4.6 **Critical revision of manuscript** - means reviewing the manuscript by making sure it is deemed appropriate and meets journal submission requirements.
- 4.7 **Duplication** - refers to publication of a paper that overlaps substantially with one or more already published without clear reference to the previous publication.

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- 4.8 **Fabrication** - refers to an intentional act of making up data and misrepresenting research results.
- 4.9 **Falsification** - refers to manipulating research materials or changing research data without scientific justification.
- 4.10 **Fraud** – refers to deliberate deception, usually the invention of data.
- 4.11 **Gifted authorship** - refers to including co-authors that did not provide any contribution to the research work.
- 4.12 **Misconduct** – refers to unacceptable or improper behavior by an employee or professional person.
- 4.13 **Plagiarism** - refers to the copying of ideas, data or text (or various combination of the three) without permission or acknowledgement.
- 4.14 **Principal Investigator (PI)** - refers to an individual or group of individuals who prepare, develop and submit research proposal(s) for review by the Research Committee.
- 4.15 **Program** - refers to the Ministry of National Guard - Health Affairs and all affiliated facilities.
- 4.16 **Publication misconduct** - refers to plagiarism, fraud, fabrication, falsification, duplication and gifted authorship in reporting a research.
- 4.17 **Research** – refers to all basic, applied and demonstration research in all fields of science.
- 4.18 **Research Misconduct** – refers to fabrication, falsification, plagiarism, or deception in proposing, carrying out or reporting results of research.
- 4.19 **Research Study Protocol** - refers to a document that describes the objective(s), design, methodology, statistical considerations, and organization of a trial. The research study protocol usually gives the background and rationale for the trial, but these can be provided in other protocol referenced documents.
- 4.20 **Research support team** - refers to any member who is not identified in the study protocol, but supports the research study as a part of their job responsibility (e.g. editing the manuscript, conducting a laboratory test in the research lab, review of research proposal by KAIMRC, etc.)
- 4.21 **Research Team** - refers to all members of the research study identified and stated in the approved research protocol.
- 4.22 **Respondent** – refers to the person against whom an allegation of Research and Publication Misconduct is directed.
- 4.23 **Substantial contribution** - refers to all intellectual inputs made by an author to the conception and design of a research study.

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4.24 Teaching Staff – refers to professional personnel directly involved in teaching students. It also includes chairpersons of departments whose duties comprise a given amount of teaching.

4.25 Technical advice - is any assistance provided for the researcher that facilitates progress of the research.

5. POLICY

5.1 Authorship

5.1.1 To qualify for authorship, an individual must meet all the following criteria:

5.1.1.1 Provided substantial contributions to the conception or design, or acquisition, analysis, or interpretation of data

5.1.1.2 Contributed to the drafting of the manuscript or had done critical revision of the manuscript for intellectual content,

5.1.1.3 Granted final approval of the version to be published.

5.1.2 All individuals whose names identified on the study protocol are qualified to have authorship rights provided they meet all the criteria mentioned in article 5.1.1.

5.1.2.1 Research support team members are not entitled to authorship, unless they have prior written agreement with the Principal Investigator (PI).

5.1.3 All individuals designated as authors must meet the criteria in article 5.1.1 and all those who qualify must be listed.

5.1.3.1 The senior author must attest that no individual other than the listed co-authors contributed to the intellectual development of manuscript.

5.1.3.2 The order between the first and senior author names must reflect the relative contribution to the manuscript and/or the work being reported or as per authors' agreement.

5.1.4 The following contributions do not qualify for authorship, but must be acknowledged in the paper:

5.1.4.1 Providing funding, administrative or technical advice, reagents, samples or patient's data.

5.1.4.2 Providing students or technical personnel who perform studies.

5.1.4.3 Routine collection of data.

5.1.4.4 General supervision of the research group.

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- 5.1.5 All acknowledged individuals who are not qualified for authorship must have prior knowledge and consent to have their names included in the acknowledgement list.
- 5.1.6 Gifted authorship is not allowed. Everyone in the authorship list must have contribution to the research work.
- 5.1.7 All research works, publication or scientific communications generated by authors working at all MNG-HA facilities, KAIMRC and KSAU-HS must follow the affiliation format:

*Author's Name
King Abdullah International Medical Research Center / King Saud bin
Abdulaziz University for Health Sciences,
Author's Department - Hospital – MNG-HA*

5.2 Research and Publication Misconduct

- 5.2.1 All research works are expected to be the author's own work following research conduct and publication standards and avoiding research and publication misconduct, including but not limited to:
- 5.2.1.1 Intentional and/or reckless fabrication, falsification and plagiarism of research/scientific work or misrepresenting data in publications.
- 5.2.1.2 Publishing research data without proper approval from Institutional Review Board (IRB).
- 5.2.1.3 Misuse of research funds including misleading, concealing information related to research funds and/or potential conflicts of interest related to research funds.
- 5.2.1.4 Gifted authorship and duplicative publication of a manuscript to more than one journal.
- 5.3 All authors and co-authors must be held responsible and accountable for all acts of research and publication misconduct.
- 5.4 The Research Authorship and Publication Conduct Committee (RAPCC) at KAIMRC must deliberate and resolve all authorship-related disputes and research and publication misconducts.
- 5.5 All employees or individuals working in MNG-HA, KAIMRC and KSAU-HS must report observed, presumed or apparent research or publication misconduct to the RAPCC with supporting documentations.

6. PROCEDURES

- 6.1 **Authorship Agreement:** At the time of inception of the research/scientific work, the PI together with other identified authors, will discuss and define the authorship list and its order in the study protocol.

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- 6.1.1 However, this defined list may be changed at the time of conclusion of the study if new individuals fulfill the authorship criteria in article 5.1.1 of this policy.
- 6.1.2 The PI will have the responsibility of justifying any changes to the authorship list or its order.
- 6.2 Upon conclusion of the research or scientific work, the PI and co-authors are strongly encouraged to indicate their specific contributions to the paper in a footnote.
- 6.3 **Authorship Conflict:** Any individual who expresses grievance against the authors list or its order will:
- 6.3.1 First try to resolve the issue with the PI or main author of the manuscript and other co- authors.
- 6.3.2 If the individual fails to get a satisfactory resolution, he/she will complete the Authorship Conflict Resolution Request form (**Appendix A**) and submit it to RAPCC for appropriate action.
- 6.4 The RAPCC will deliberate on the request.
- 6.4.1 The decision of the RAPCC will be considered final, once approved by the Chief Executive Officer (CEO).
- 6.4.2 The aggrieved party will follow-up with the RAPCC regarding the status of the conflict resolution request.
- 6.5 **Research and Publication Misconduct.** Where there is allegation of publication and/or research misconduct, the RAPCC will initiate a strictly confidential preliminary enquiry.
- 6.5.1 If the initial inquiry found substance to the allegation, the Respondent, his immediate supervisor and CEO will be notified that RAPCC will conduct a full investigation.
- 6.5.2 If investigation proves the Respondent knowingly engaged in research and/or publication misconduct, the CEO will advise the Executive Director of KAIMRC and Chairman of Institutional Review Board to take appropriate action as well as will notify the Saudi Commission for Health Specialties about the incident.
- 6.5.3 Where a research work that has confirmed research misconduct is published, KAIMRC will notify the journal or journal publishers about the misconduct with supporting documentation.
- 6.5.4 In case of extramural funded research study and research done outside Program facilities, the study sponsor and research conducting institutions will be notified, held accountable and questioned for the publication misconduct case.
- 6.5.5 Appeal against the RAPCC decision will be allowed and considered if the respondent can present new evidence that merits review of the case.

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6.5.5.1 The respondent will file an Appeal Request Form (Appendix B) and submit to KAIMRC along with new evidence.

7. **RESPONSIBILITY**

7.1 All Program employees, researchers, trainees and students and all other relevant departments will be responsible for the implementation of this APP.

7.2 Internal Audit and Organizational Development will randomly monitor implementation of the provisions stipulated within this APP.

8. **APPROVALS**

PREPARED BY:

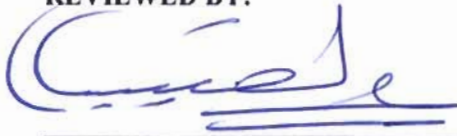


DR. AHMED AL ASKAR
Executive Director
King Abdullah International Medical Research Center

07 JAN 2016

Date

REVIEWED BY:

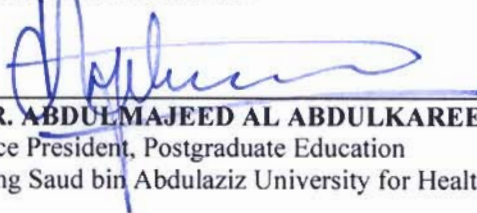


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18 JAN 2016

Date

RECOMMENDED BY:

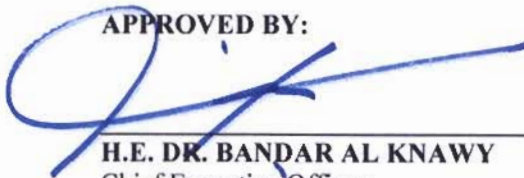


DR. ABDULMAJEED AL ABDULKAREEM
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20/1/2016

Date

APPROVED BY:



H.E. DR. BANDAR AL KRAWY
Chief Executive Officer
Ministry of National Guard – Health Affairs
President
King Saud bin Abdulaziz University for Health Sciences

01 FEB 2016

EFFECTIVE DATE

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