



جامعة نِزْوَى
University of Nizwa

Document Reference Number

UoN/GSRER-DOR-POL/007//V1/2021

Authorship Policy

A handwritten signature in blue ink, appearing to read 'Ahmed bin Khalfan Al Rawahi', written over a horizontal line.

Professor Ahmed bin Khalfan Al Rawahi
University Chancellor

Date: 20/09/2021

Authorship Policy prepared by: The Vice-Chancellor for Graduate Studies, Research and external relations (VCGSRER) Office, Deanship of Research (DoR).

Approved by: T.H. Professor Ahmed Al-Rawahi, The University Chancellor

Document Reference No.: UoN/GSRER-DOR-POL/007//V1/2021

Table of Contents

NO.	SECTIONS	PAGE NO.
I	Introduction/Rational	2
II	Purpose	2
III	Objective	2
IV	Scope	2
V	Definitions	3
VI	Related Policies and Documents	3
VII	Policy Statements and General Provisions	3
VIII	Procedure/Process	7
IX	Roles and Responsibilities	7
X	Historical Records	8

I. INTRODUCTION/RATIONALE

University of Nizwa (UoN) is committed to maintaining the highest ethical standards in research and publication, maintaining the integrity of research and respecting the intellectual contribution of all members of the research team.

Authors' responsibilities and roles differ according to their contributions to research and scholarly activities, and therefore, authorship should fairly and equitably reflect the actual contributions of all authors.

This document outlines the authorship standards. Adhering to those standards at the beginning of research or scholarly activities helps to avert any disputes among authors/researchers. Therefore, the general requirements for authorship should be discussed prior to conducting any joint research/ scholarly work. An agreement should be made between all parties.

II. PURPOSE

The purpose of this policy is to provide the general framework of authorship and maintain highest ethical standards of research integrity and practices.

III. OBJECTIVE

The objectives of this policy are to:

- 1- provide the general framework of authorship
- 2- maintain research integrity
- 3- minimize disputes related authorship
- 4- ensure a high quality of research and publications
- 5- protect researchers, including students and those on short term contracts
- 6- provide the basis for resolution of disagreements on authorship issues.

IV. SCOPE

This policy applies to all faculty, staff, undergraduate/postgraduate students, visiting fellows or post-doctorates, working at the UoN full-time or part-time. The policy applies to all disciplines and research activities in the University.

V. DEFINITIONS

In applying the provisions of this policy, the following words and phrases shall have the meaning assigned to each of them unless the context requires otherwise. The below definitions are listed based on their alphabetical order.

Term	Definition
Author	See section 2.1
Authorship	The state or fact of being the writer of a book, article, or document, or the creator of a work of art.
Collaborator	Partnership between two or more academic faculty/researchers who are pursuing mutually interesting and beneficial research.
Corresponding author (CA)	The person who takes primary responsibility for communication with the journal during the manuscript submission, peer review, and publication process. See section 2.9.
Plagiarism	The theft or misappropriation of intellectual property and the substantial unattributed textual copying of another's work.
Principal investigator (PI)	The holder of an independent grant and the lead researcher for the grant project.
Research misconduct	Fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. (ref 2)

VI. RELATED POLICIES AND DOCUMENTS

- Research policy
- Human Research Ethics policy
- Intellectual Property and Copyright Policy

VII. POLICY STATEMENTS AND GENERAL PROVISIONS

1. BASIC PRINCIPLES OF RESEARCH PUBLICATION

The authors are obliged to conform to the following principles:

- 1.1 Authors should prevent any forms of research misconduct (plagiarism, fabrication, and falsification) and maintain accuracy and credibility in all steps of scholarly activities.
- 1.2 Authors should avoid any type of plagiarism which applies to both published and unpublished work.
 - 1.2.1 When a sentence is copied directly from a source, quotation marks, such as inverted commas, should be used and the source of the quotation is referenced.
 - 1.2.2 If a paragraph is altered or a paraphrasing sentence is used, the source of the paraphrase must be cited.

- 1.3 Authors should not add any names that did not play a role in the scientific publication, or omit/change names of an author.
- 1.4 The corresponding author should submit the manuscript to only one publisher at a time.
- 1.5 Authors should not re-publish the same scientific paper in another journal without introducing substantial additions/alterations to the new article. Duplicate publication is a violation of the copyright law. However, if the work has been previously published only as a conference abstract, the author can republish it in another journal, and it will not constitute duplicate publication in this case because publication of a full article will introduce substantial changes into the work.
- 1.6 Republication of a paper in another language does not constitute duplicate publication, but should be clearly indicated as a translation.
- 1.7 Ideas obtained in the form of personal communication should be acknowledged in publication.
- 1.8 Authors should avoid “cutting and pasting” substantial amounts of text from their own previously published work (self-referencing).
- 1.9 In order not to be involved in personal, financial or other interests affecting the integrity of research or authorship, researchers/authors shall:
 - 1.9.1 disclose any conflict of interest in relation to scientific research
 - 1.9.2 disclose any material or moral rewards in respect of the research or publication
 - 1.9.3 not dispose of illegal financial resources to conduct research
- 1.10 Authors should comply with all national and international copyright laws and regulations

2. AUTHORSHIP

- 2.1 Everyone who is listed as an author on a publication should have made a substantial and direct intellectual contribution to the work, including contributions in the development of the research concept, design study, analysis and interpretation of the findings.
- 2.2 The author should contribute to the writing of the research manuscript, revise the manuscript critically and approve the final version of the manuscript to be published
- 2.3 The author should agree to be accountable to all aspects of research and be able to answer all controversial aspects in relation to that research work.
- 2.4 Honorary or guest authorship is not acceptable: the principal author should not be influenced by the relative status of a person (e.g Dean, Head of Department/Unit/ center.....etc) to include him/her as an author without a significant contribution to that work.

- 2.5 The principal author may include names of young researchers, who have made effective contributions to that research, even though do not fully meet the above provisos.
- 2.6 Routine technical support, providing small substances such as a chemical to the research work does not constitute an intellectual contribution. However, such input should be acknowledged in the publication.
- 2.7 All authors should read the manuscript before sending it for publication, be able to defend their part of the work when there is any scientific criticism of that part and sign any documents pertaining to that scientific publication.
- 2.8 The name of the Corresponding Author in a research publication should be defined before starting the research.
- 2.9 The order of authors in a publication should not be influenced by the relative status of the authors (e.g Dean, Head of department/sections...etc).
- 2.10 In some research fields, the order of authors is determined by the relative size of each individual's contribution. The first name indicates that the person has practically done most of the research activities, and the second name indicates the person also carried out research activities but not as much as the first name. Thus, the names shall be organized according to the proportion of contributions. The last name is usually kept for the research supervisor or head of the research group.
- 2.11 Some publishers order the names alphabetically, however, the principal author should be indicated in publication.

3 STUDENT-SUPERVISOR RESEARCH COLLABORATION

- 3.1 The student (either graduate or undergraduate), should usually be the first author when the manuscript is substantially based on his/her research work, therefore, he/she must contribute significantly to writing up the manuscript.
- 3.2 The research Supervisor should ensure that student is enabled to make major contributions to the research work including the development of the ideas of research, design of the studies, and extensive analysis of the research findings, in order to name him/her as the first author.
- 3.3 An agreement about the order of authors in the potential publication should be made between supervisor and student/s (and other investigators involved in student's research project).

3.4 If a student did not publish the research findings while being registered at the University, the supervisor can publish the research work after getting consent from the student.

3.5 The copyright of PhD/Master thesis rests with the UoN. Therefore, the student should sign a statement acknowledging UoN ownership of copyright in the thesis and asserting UoN right to be identified as the author of the thesis. The student should seek permission if they wanted to republish their thesis.

4. ACKNOWLEDEMENT IN SCIENTIFIC PUBLICATION

The acknowledgement section of a paper/ report should be used to recognize the contribution of those not meeting the criteria for authorship:

4.1 Excluding the authors, acknowledgments should be given to all those who contributed to the success of the publication.

4.2 The PA/CA should consult those who were acknowledged in the scientific article and ensure their satisfaction of the words used to thank them.

4.3 Thanks and gratitude should go to research funder/s, indicating the number of the research grant(s) and whether it was a partial or complete grant.

4.4 UoN, and all relevant institutions (other than UoN), should be acknowledged if the research work was conducted at their premises.

5 PUBLICATION BY EX-RESEARCHER

5.1 Research work performed at the UoN should be published under the University's address even if the researcher has left UoN.

5.2 Ex-Researcher should seek a written permission prior to use the UoN address for future research work.

5.3 UoN can grant him/her a Visitor's Agreement or Voluntary Research Agreement status.

6 RESEARCH DATA OWNERSHIP AND ARCHIVING

6.1 The University asserts ownership over research data for all research projects conducted at the UoN.

6.2 The Principal Investigator shall serve as the custodian and steward of those data.

6.3 Researchers are expected to work in partnership with the University to manage and protect the research data and materials produced at the University.

6.4 After completing a research, paper-based data must be stored in a safe and secure place and in protected folders for electronic data; and responsibility for this shall rest with the principal investigator or the researcher in charge such as the corresponding author.

6.5 The University is the legal entity accountable for research conducted at the University premises. The University can access the data in case of misconduct, fraud or malpractice allegations and other issues that can tarnish the reputation of the University.

7. AUTHORSHIP DISPUTES AND RESOLUTION

7.1 Any disputes arising between the researchers/authors, must first be resolved within the research team, subsequently by the Head of Department / College Assistant Dean (CADs) for Research / College Dean; then the dispute may be taken to the Dean of Research. If the dispute is not resolved, then it can be taken to higher authorities of the institution.

7.2 All authors should be informed about the dispute.

7.3 All correspondence/documentation should be recorded.

7.4 Dispute should be kept confidential.

7.5 An expert opinion can be taken as part of this process to solve this issue.

7.6 The decision of the Chancellor of the University is final.

VIII. PROCEDURE/PROCESS

Relevant procedures/processes are outlined above

IX. ROLES AND RESPONSIBILITIES

- All research responsibilities should be distributed among the contributors.
- All contributors in a research project should agree on the order of their names in the research publications so that no dispute may occur between them.
- All authors should contribute to writing and revising the manuscript.
- All authors should approve the final version of the manuscript.
- All authors should agree to be accountable to all aspects of research and able to answer all controversial aspects pertaining to their parts.
- The Corresponding Author is responsible for informing all authors about any changes to the manuscript during the review process.
- All authors must ensure compliance with nondisclosure agreements and/or confidentiality provisions applying to specific projects.
- The Corresponding author should ensure that all co-authors' consent to be included in the publication
- The Principal Author should ensure that all co-authors have approved the final version of the paper or report.

X. APPENDICES

Research Misconduct Incident Report Form

XI. HISTORICAL RECORDS

This policy was drafted by the Office of the VCGSRER, Deanship of Research, based on the National Guidelines of the National Bioethics committee.

References:

1. Ethics of Research and Publication". National Bioethics Committee, 2019, Muscat, Oman,
2. Best Practice Guidelines on Publishing Ethics, 2014 John Wiley & Sons, Ltd. CC BY-NC 4.
3. <http://www.icmje.org/recommendations/browse/roles-and-responsibilities/defining-the-role-of-authors-and-contributors.html>
4. <https://www.research-integrity.admin.cam.ac.uk/research.../guidelines-authorship>
5. https://www.dcu.ie/sites/.../169%20-%20code_of_practice_on_authorship_v1.pdf
6. [https://www.ed.ac.uk/files/atoms/files/bps_principles_of_publishing -
_authorship_duplicate_publication_plagiarism_etc.pdf](https://www.ed.ac.uk/files/atoms/files/bps_principles_of_publishing_-_authorship_duplicate_publication_plagiarism_etc.pdf)
7. <https://authorservices.wiley.com/asset/Best-Practice-Guidelines-on-Publishing-Ethics-2ed.pdf>
8. Research Publication, Principles and Guidelines, King Abdulaziz City for Science and Technology -2014. Kingdom of Saudi Arabia.

