



جامعة الأمير مقرن بن عبد العزيز
University of Prince Mughrin

Policy Title :	Research Ethics Policy				
Policy Number:	UPM.VRAA.SRGD.PP.04	Version	01	Effective Date	09/02/ 2020

Policy Statement:

University of Prince Mughrin (UPM) is committed to achieving excellence in research and scientific outcomes in accordance with high standards of ethical and moral integrity by establishing clear research ethics policy for all researchers.

Purpose:

This policy states the guidelines for maintaining the integrity and excellence of academic research at UPM.

Scope:

1. Office of the Rector
2. Office of Vice Rector for Academic Affairs

Policy Provision:

1. University of Prince Mughrin (UPM) is committed to maintaining the integrity and excellence of academic research. All research should be conducted to the highest levels of ethics and integrity.
2. Research activities conducted by UPM personnel will be supported once authorized by the Department of Research and Postgraduate Studies.
3. Each researcher will have to negotiate the full time equivalent (FTE) of research time with his/her Department Chair, approve by the Dean of the faculty and present the official approval to the Director of Scientific Research and Graduate Studies (DSRGS) to make the research as official load.
4. The DSRGS will ensure all policies and procedures that are developed and implemented by the Research Directorate, have institutional oversight. The DSRGS will ensure that policies and procedures will be adhered to in order to protect human subjects and animals and ensure that high standards of scientific integrity are maintained.
5. This Research Ethics Policy applies to all members of the UPM (including students, academic and research staff, honorary and visiting staff) in line with requirements set out by Saudi national and international regulatory bodies, professional and regulatory research guidance and research ethics frameworks issued in appropriate areas, as outlined in the "Research Procedures" section of this document. It applies to all kinds of research involving human participants or involving data related to directly identifiable human subjects. It applies to all outputs identified as "research", explicitly or implicitly, and all outputs communicating the outcomes, findings or conclusions of research, but does not apply to the outputs of those drawing from research, whether in editorials, op-eds, blogs and other such communications.



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6. It is the responsibility of all individual researchers to ensure their own compliance with this Research Ethics Policy and related policies, as mentioned in the “Related Policy(ies)” section.
7. All allegations regarding the breaches of this Research Ethics Policy outlined here will be investigated by “UPM Ethics Committee” in accordance with the Procedures for the investigation of allegations of misconduct outlined in “Procedures of Investigation of Allegations of Research Misconduct”.
8. All the research related activities such as conducting research, submitting national or international proposals, conducting funded projects, submitting intellectual property applications, conducting research related events or seminars, research publications, and joint national/industrial/international collaborations will be handled by the RPS Department after consultations with the home department and college of the faculty member initiating the research activity.
9. Any comments or queries regarding the Research Ethics Policy should be addressed in the first instance to the Research Director via pssr@upm.edu.sa
10. Any research activity within UPM should adhere to the following research conduct.

Research Conduct

1. All UPM staff and students (and any non-UPM staff undertaking research on behalf of UPM or using UPM facilities) are expected to observe the highest standards of integrity, honesty and professionalism and to embed good practice in every aspect of their work. This includes the interpretation and presentation of research results and contributions to the peer review process and the training of new researchers, staff and students as well as the conduct of the research itself. Research is deemed to follow good practice if it is conducted and disseminated in accordance with the principles of honesty, openness, transparency and research rigor. The following will be observed:
 - i) UPM will allow research to be part of official workload. However, each researcher has to get approval from his/her department chair and dean of the college.
 - ii) UPM will incentivize researchers (faculty, graduate student and undergraduate student) by announcing best researcher award per academic year. Scientific council will decide the criteria for such award. Also, Scientific Council will provide incentives for researchers who publish in ISI indexed journals as per the impact factor. Details of such criteria (e.g. Q1, Q2, Q3 tier) and amount of prize money will be decided by the Scientific Council.
2. In addition, specific requirements for good practice in research include:
 - Robust and appropriate research design
 - Documenting of methods and outcomes
 - Honesty in the reporting of findings
 - Acknowledging the contribution of others, whether they are researchers, funders or other stakeholders



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- Honesty and fairness with respect to the attribution of authors of any research outputs. This should include appropriate recognition of the research done by students or other researchers who have contributed to the research and/or publication. (It is recommended that researchers refer to the guidance on authorship provided by the International Committee of Medical Journal Editors (ICMJE), reference is provided at the “Reference(s)” section.
- Honesty in citing others’ research and of one’s own previous relevant or similar research
- Acknowledging the funders of the research in any research outputs.
- Transparency in reporting any impartiality or conflicts of interest of the researchers or other stakeholders involved in the research.
- Conducting the research in line with relevant ethical standards.
- Responsible data management, including the effective storing and archiving of data in accordance with relevant standards and policies, including those of Open Access.
- Responsible use of research funds.
- Responsibility for the needs and training of early career researchers.

3. Unacceptable research conduct includes the following (the list is not exhaustive):

- **Fabrication, falsification, fraud:** This includes the creation of false data or other aspects of research, including documentation and participant consent; the inappropriate manipulation and/or selection of data, imagery and/or consents; any other kind of fraudulent behaviour.
- **Plagiarism:** This includes the copying or misappropriation of ideas (or their expression), text, software, or data (or some combination thereof) without permission and due acknowledgement. Researchers are strongly encouraged to agree and record in advance with any co-authors and research assistants how any work carried out by them will be attributed in publications.
- **Self-plagiarism** (“presenting one’s own previously published work as though it were new”) while not considered to be misconduct is deemed poor practice in all but limited circumstances.
- **Misrepresentation:** this includes:
 - (i) Misrepresentation of data, for example suppression of relevant findings and/or data, or knowingly, recklessly or by gross negligence, presenting a flawed interpretation of data;
 - (ii) Undisclosed duplication of publication, including undisclosed duplicate submission of manuscripts for publication;
 - (iii) Misrepresentation of interests, including failure to declare material interests either of the researcher or of the funders of the research, including failure to disclose the fact that research has been funded by the subject or commissioner of the research;
 - (iv) Misrepresentation of qualifications and/or experience, including claiming or implying qualifications or experience which are not held;
 - (v) Misrepresentation of involvement, such as inappropriate claims to authorship and/or attribution of work where there has been no significant contribution, or the denial of authorship or full acknowledgement where another researcher or author has made a significant contribution.



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- **Mismanagement or inadequate preservation of data and/or primary materials.** This includes failure to:
 - (i) Keep clear and accurate records of the research procedures followed and the results obtained, including interim results;
 - (ii) Hold records securely in paper or electronic form;
 - (iii) Make relevant primary data and research evidence accessible to others for reasonable periods after the completion of the research: data should normally be preserved and accessible for seven years, but for projects of clinical or major social, environmental or heritage importance, for 20 years or longer;
 - (iv) Manage data according to the research funder's data policy and all relevant legislation;
 - (v) Wherever possible, deposit data permanently within a national collection. Responsibility for proper management and preservation of data and primary materials is shared between the researcher and the research organisation.
- **Breach of duty of care**, which may involve but not be limited to the following:
 - (i) Deliberately, recklessly or by gross negligence: disclosing improperly the identity of individuals or groups involved in research without their consent, or other breach of confidentiality; placing any of those involved in research in danger, whether as subjects, participants or associated individuals, without their prior consent, and without appropriate safeguards even with consent; this includes reputational danger where that can be anticipated;
 - (ii) Not taking all reasonable care to ensure that the risks and dangers, the broad objectives and the sponsors of the research are known to participants or their legal representatives;
 - (iii) Failing to ensure appropriate informed consent is obtained properly, explicitly and transparently;
 - (iv) Not observing legal and reasonable ethical requirements;
 - (v) Improper conduct in peer review of research proposals or results (including manuscripts submitted for publication); this includes failure to disclose conflicts of interest; inadequate disclosure of clearly limited competence; misappropriation of the content of material provided for the purposes of peer review; breach of confidentiality or abuse of material provided in confidence for peer review purposes;
- **Collusion** by the deliberate participation in the research misconduct of another person, or concealment of such action by others.
- **Interference** by the intentional damage to, withholding or removal of, the research-related property of another person.
- **Negligence** by the culpable serious departure from contemporary legal, institutional and ethical practices in research, including unjustifiable departure from accepted practices, procedures and protocols.



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- **Failure to declare or resolve a conflict of personal interest** in research, including failure to disclose the source of funding for the research where the funder has an interest in the outcome of the research.
- **Breach of confidentiality** required by external research contractors.

4. Director of RPS will form committees as deemed necessary to handle any research-related unethical practices or any received complaint regarding research misconduct as per Investigation of Allegations of Research Misconduct Procedures.

5. In order to comply legally with Saudi regulations relevant to the involvement of human subjects in research, on the one hand, and to fulfill its commitment to protecting such subjects regardless of the funding source and/or methodology employed, on the other hand, Research Department will consult with relevant institutional committee at UPM competent to review such research projects.

Procedure(s) that apply:

1. Procedures to conduct Research
2. Procedures to maintain Publication Ethics
3. Procedures to maintain Research Excellence at UPM
4. Procedures of Investigation of Allegations of Research Misconduct

Applicable Form(s):

Form Title	Retention Time	Retention Location
Research Ethical Approval Form	15 years	DSRGS
Research/Project Funding/Proposal Application Form	15 years	DSRGS
Seminar/Training/Workshop/Conference/Publication Application Form	15 years	DSRGS

Definition(s):

Research:	This policy adopts the definition: "...research is defined as a process of investigation leading to new insights, effectively shared. It includes work of direct relevance to the needs of commerce, industry, and to the public and voluntary sectors; scholarship; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also excludes the development of teaching materials that do not embody original research."
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Related Policy(ies):

1. **Data protection policy:** Currently under development
2. **Data Security policies, procedures and guidelines.** Currently under development
3. **Ethics Code:** currently under development.
4. **Health and Safety, travel and field work (School policies and legislation):** currently under development
5. **Intellectual Property policy**
6. **Commercialization policy**
7. **Research Data Management:** currently under development
8. **Researcher Safety Policy and Guidance:** currently under development
9. **Whistleblowing Policy (Public Interest Disclosure).** Currently under development

Reference(s):

The International Committee of Medical Journal Editors (ICMJE) guidance on authorship
(<http://www.icmje.org/recommendations/browse/roles-and-responsibilities/defining-the-role-of-authors-and-contributors.html>)

Policy History:

1. 09.02.2020 (Initial Release)

Contact(s):

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Department: Scientific Research and Graduate Studies

Deanship:

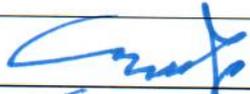
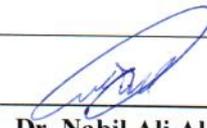
College / Program:

University Vice Rectorate:

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Approvals:

Reviewed By: (signed)	 Dr: Saeed Al-Qahtani	Approved By: (signed)	 Dr. Nabil Ali Al-Rajeh
Position:	Vice Rector for Academic Affairs	Position:	Rector
Date:	17 /02/2020	Date:	19 /02/2020