

APPROVE Initiative
Administrative Policies, Procedures, Rules, Orders & Value Edicts

ADMINISTRATIVE POLICY

POLICY NUMBER: 2016-01-ORIC

TITLE : ACADEMIC, INTELLECTUAL & RESEARCH INTEGRITY

**ORIGINATING DEPARTMENT: OFFICE OF RESEARCH, INNOVATION,
AND COMMERCIALIZATION**

DATE APPROVED:

DATE APPLICABLE:

DATE LAST REVISED:

1. RATIONALE

In order to incorporate Academic, Intellectual, and Research ethics in the basic cognitive framework of scholars, the practices of both teaching and learning have to be adjusted and aligned with this vision. Such an end cannot be achieved without official support and encouragement aimed at this important long term commitment. This policy is among the first steps in this direction.

2. STATEMENT OF PURPOSE

The purpose of this policy is to establish the defining principles and relevant procedures necessary for inviolable mentoring of all scholars to the standards of absolute commitment to all aspects of intellectual creativity, academic performance, and research integrity.

3. APPLICABILITY

This policy applies to the *Scholars*, *Faculty*, and *Employees* of all constituent and affiliated institutions of Khyber Medical University.

4. RELATED REFERENCES

5. DEFINITIONS

5.1 Research refers to systematic, objective, reproducible, and scientifically robust investigation into aspects of reality aimed at answering questions that leads to increase in human knowledge and to applications of this knowledge that benefits mankind.

5.2 Scholar refers to a student of any level in any of the constituent and affiliated institutions of Khyber Medical University.

5.3 Faculty refers to a teaching staff member of any level in any of the constituent and affiliated institutions of Khyber Medical University.

- 5.4 Academic Integrity** refers to absolute fairness, transparency, honesty, and proactive dynamism in planning, reviewing, revising, and implementing syllabi, curricula, and courses with demonstrable intent to ensure that all KMU scholars are at par with the international academic institutions of renown regarding knowledge and skills.
- 5.5 Intellectual Integrity** refers to absolute, transparent, and judgement-free recognition of and respect for the ownership of an idea, considering an idea as much of a personal property of the originator as any material possession, realizing that referring to the idea without acknowledging the originator is akin to theft.
- 5.6 Research Integrity** refers to strict adherence to the principles of research ethics throughout the various stages of an evolving research idea, from inception to publishing and beyond, avoiding any unethical practice at any stage of the research process from anyone involved in the said research directly or indirectly in any way.
- 5.7 Research Misconduct** refers to any form of fabrication of scientific results or claiming undue credit for discovery through any acts of commission or omission; the term includes Fabrication, Falsification, and Plagiarism.
- 5.8 Fabrication** refers to producing false data aimed at creating false results for personal gain.
- 5.9 Falsification** refers to changing, partially omitting or suppressing data and manipulating analyses in order to produce false results for personal gain.
- 5.10 Plagiarism** refers to the practice of passing someone else's idea or work as one's own.
- 5.11 KMU** is initialism for Khyber Medical University.
- 5.12 Ghostwriting** refers to the practice of writing for someone else with or without monetary compensation.
- 5.13 Mercenary Authorship** refers to the form of ghostwriting where money or equivalent compensations are received for writing a thesis / dissertation / paper or any other assignments for a scholar.

6. POLICY

- 6.1** KMU holds Academic, Intellectual and Research Integrity among its Principal Values and inviolable fundamental principles.
- 6.2** All constituent and affiliated institutions of KMU will follow a zero tolerance policy for any violation of these valued principles.
- 6.3** *Undertaking of Commitment to Academic, Intellectual and Research Integrity* must be an integral part of *all employment contracts* and all *admissions* in all constituent and affiliated institutions of KMU.
- 6.4** All constituent and affiliated institutions of KMU must have clearly defined and well communicated set of guidelines and procedure for immediate official response to any breach of these principles:

6.4.1 An *Integrity Review Board* (IRB) must be established in each institution:

- 6.4.1.1 The board must be chaired by the Head of the relevant institution.
 - 6.4.1.2 The head of the institution must select *two other persons* of integrity from among the staff to assist him in the proceedings.
 - 6.4.1.3 Each IRB must formulate Guidelines and Procedures for managing Integrity related issues in the relevant institution. Such documents must clearly state the penalties for breach of these fundamental values, must be updated as and when necessary and distributed to all departments and units.
 - 6.4.1.4 IRBs of different institutions must work as a collaborative body, under the direct supervision of the office of the Vice Chancellor.
 - 6.4.1.5 Any official legal support therein will be provided by the office of the Vice Chancellor
- 6.4.2 Preparation of such Guidelines and Procedures must be initiated without delay on approval of this policy.
- 6.4.3 The Procedures must ensure that anyone with concerns regarding breach of these principles has easy access to launch an investigation.
- 6.4.4 Absolute protection must be guaranteed for anyone who launches such an investigation.
- 6.4.5 Penalties for false accusations must also be clearly communicated in these guidelines and procedures.
- 6.4.6 Each department and unit of various institutions must have processes in place for independent investigation of such reports and to forward the summary conclusions to the next higher office in the administrative hierarchy for further action.
- 6.5 Bylaws regarding dealing with breach of these principles will be defined within a period not exceeding 3 months from the date of approval of this policy.
- 6.6 Penalties for breach of these fundamental guiding principles must be designed to carry maximum impetus and impact for negative reinforcement of such behavior.
- 6.7 **Academic Integrity:**
- 6.7.1 All members of faculty will plan, review, revise, and implement syllabi, curricula, and courses with demonstrable intent to ensure that all KMU scholars are at par with the international academic institutions of renown regarding knowledge, skills, and behaviors, while keeping the local potential, culture, and traditions in view.
 - 6.7.2 There should be documented proof that the faculty is taking practical and effective measures addressing the special academic challenges in providing

insights to our scholars that might have resulted from our educational systems.

- 6.7.3 Curriculum review must be done annually for every department of each constituent and affiliated institution and record must be kept.
- 6.7.4 Such review should include documented proof that the curriculum is at par with international standards and that fundamental conceptual needs of the students have been addressed.
- 6.7.5 Contribution of each faculty member in curriculum development must be documented and archived.
- 6.7.6 Promotions and academic opportunities must be tied to such contributions.
- 6.7.7 Failure to update curricula / courses for two consecutive years must be subject to official explanation and necessary action.
- 6.7.8 IRB must make sure that annual summary reports of academic developments are provided to the office of the Vice Chancellor.
- 6.7.9 Faculty must collaboratively develop special plans for students with special needs.
- 6.7.10 *Academic Performance Review Reports about the faculty* must be the shared responsibility of the IRB and the chair-person of each department.
- 6.7.11 Academic Performance Review Reports may include spot checks of students' insights into the relevant subject matter.
- 6.7.12 Faculty members responsible for supervising scholars' research projects must be able to produce documented proof of having assisted the scholar significantly, both in scientific writing and in managing ethical aspect.
- 6.7.13 Faculty involved in any practice in breach of these basic principles of Academic, Intellectual, and Research Integrity must face documented administrative action with *penalties as deemed appropriate* by the office of the Vice Chancellor based on the report of the IRB.

6.8 Intellectual Integrity:

- 6.8.1 An Idea is as much the property of its initiator as any physical belongings.
- 6.8.2 All constituent and affiliated institutions of KMU must have a secure system of documenting and managing all new inventions, processes, therapeutic and diagnostic procedures or any other products of intellectual labor not covered in this clause so far; this includes clear, well-documented, and transparent management of patents and the creator's and the university and the institution's commercial rights.
- 6.8.3 Anyone disclosing someone's research idea to anyone else or using it for his/her own research, if proved beyond reasonable doubt on investigation,

must be subject to investigation by the IRB and penalties stipulated therefrom.

- 6.8.4** Plagiarism, if proved beyond reasonable doubt on investigation, will be subject to investigation by the IRB and penalties stipulated therefrom.
- 6.8.5** Ghostwriting and Mercenary Authorship are crimes that must be investigated by the IRB on priority basis and the strongest possible penalties, along with documented proof(s), must be recommended to the office of the Vice Chancellor.
- 6.8.6** Ghostwriting and Mercenary Authorship:
- 6.8.6.1** For the Faculty: If proven beyond reasonable doubt, this breach of the basic values must be subject to *termination of service with blacklisting* for future work in public or private sector.
- 6.8.6.2** For the Scholars:
- 6.8.6.2.1. Detected before the award of degree:** If proven beyond reasonable doubt, this breach of the basic values must be subject to *immediate termination of studies*, with *Expulsion from the institution with blacklisting* for future admission in any of the constituent or affiliated institutions of KMU.
- 6.8.6.2.2. Detected after the award of degree:** If allegation of breach of Integrity is reported and proven beyond a reasonable doubt, after the award of the degree, it must lead to *immediate revocation of the degree* with *blacklisting* for future job or admission in any of the constituent or affiliated institutions of KMU.

6.9 Research Integrity:

- 6.9.1** KMU is a research driven University and encourages its faculty and scholars to pursue ongoing original research in all area of scientific inquiry.
- 6.9.2** KMU expects all faculty and scholars to uphold the principles of research ethics at each stage of their research.
- 6.9.3** A scholar must learn the principles of collaborative work in scientific investigation.
- 6.9.4** A scholar must maintain a research portfolio with all documentation about the relevant research project for future reference and confirmation of findings by others.
- 6.9.5** A scholar must be aware of the ethical aspects of his/her research and must keep a documented proof of having paid attention to *Justice, Beneficence,*

and *Respect for persons*. The scholar must be able to fulfill the following basic requirements:

- 6.9.5.1 Deliberating about and exploring *unintended consequences* of the research for the participants, the researcher, or the institution
- 6.9.5.2 Maintaining *Privacy* for the participants and *Confidentiality* of Information
- 6.9.5.3 Taking care of all components of *Informed Consent*: should include *Disclosure*, *Comprehension* on part of the participant, and *Voluntary* participation
- 6.9.5.4 Exploring the Subjects' *Vulnerability* due to Socio-economic, personal circumstantial, and physical or cognitive vulnerabilities.
- 6.9.5.5 Ensuring that Benefits of the research for the participants outweigh any potential Harm to them.
- 6.9.5.6 Knowing about and following the principles of shared responsibilities in collaborative research and about *Authorship*, Co-authorship, and acknowledgements.
- 6.9.5.7 Recognizing and managing *Conflicts of Interest*.
- 6.9.5.8 Recognizing and avoiding *Research Misconduct*, Reporting it if observed, and helping in eliminating it.
- 6.9.5.9 Realizing the grievousness of the scourge of ghostwriting and mercenary authorship, avoiding such behaviors at all costs and reporting them to the IRB if / when observed.
- 6.9.6 A scholar must maintain a Study Portfolio for each research project and must preserve all paper based and electronic records and data for a period stipulated by the relevant organizational policies which may vary from as little as 3 years to as long as 10 years.
- 6.9.7 *Study Portfolios* must be up to date and ready for surprise checkups.
- 6.9.8 *On such surprise checks, a Scholar must be able to reproduce, through analysis under supervision, any results reported in the study.*
- 6.9.9 The portfolio must contain, but not limited to, the following:
 - 6.9.9.1 Original, filled in Data Forms / Questionnaires, Electronic Data Entry System and Data files.
 - 6.9.9.2 Randomization (Both Random Selection and Random Allocation) plans and implementation details as well as Blinding / Masking details, in hard and soft copies.

- 6.9.9.3** Sample Size calculation details and hard copies of the results.
- 6.9.9.4** Funding information and any contractual details, constraints, commitments, and obligations; potential conflicts of interest information for any of the authors.
- 6.9.9.5** Research Question and the background that led to it, Study Design, Population delineation, Inclusion and Exclusion criteria, Case Definitions, List of Outcome Variables, List of Explanatory Variables.
- 6.9.9.6** Authorship Details in case multiple authors are involved, including identity of: Primary Investigator, Co-Investigators, Corresponding Author, along with roles, responsibilities and contribution of each author in writing and analyses.
- 6.9.9.7** For Corresponding Author: Documentation about authorship, Conflict of interest statement, Research / Ethics Committee Approval Letter, Information Letter for the Participants and Consent Form, Clinical Trial Registration, and getting written permissions about acknowledgements.
- 6.9.9.8** Logistic Details, Budgeting information, Gantt Chart, and Field work plan, identifying Interviewers / Data Collectors, Supervisors, Data Entry Personnel, Data Managers, and Data Analysts.
- 6.9.9.9** Data Management Responsibilities: Person(s) responsible for anonymity / confidentiality, Person(s) responsible for Physical / paper based records custody, Person(s) Responsible for Primary and Backup Copies of database, Review board members and follow up schedule.
- 6.9.9.10** Database Details, including: File names, Storage locations, Backup plans and backup file names, Variable details, names, types, labels, Codebook & Constraints / Checks, Check Files.
- 6.9.9.11** Statistical Methods and Analyses plan, including Statistical Analysis Software to be used, Proposed analyses and Result Reporting Formats, Dummy Tables, Logs of all analysis sessions, by date, regarding: Any changes to database, Data manipulation, Newly created variables, Variable labels, Notes etc. and Comments on the Data File and Variables.

- 6.9.9.12** Main Statistical results and References, including copies of original texts referred to in the Paper / Dissertation.
- 6.9.9.13** Minutes of all meetings.
- 6.9.9.14** Research Ethics Checklist; *providing page number of the draft where the relevant component can be located:*
- 6.9.9.14.1.** Potential harms and benefits to the participants have been considered and that benefits outweigh harms.
 - 6.9.9.14.2.** Vulnerabilities have been defined and justice, respect, and freedom of choice has been assured for those recognized as vulnerable.
 - 6.9.9.14.3.** Full disclosure to the participants is prepared, congruent with their educational, linguistic and cognitive levels.
 - 6.9.9.14.4.** Exclusion of Coercion in any form.
 - 6.9.9.14.5.** Privacy has been planned in the design of the practical work.
 - 6.9.9.14.6.** Confidentiality of information in verbal, written, electronic, or audio and video-recorded formats has been planned.
 - 6.9.9.14.7.** Anonymity has been explicitly designed, planned and responsibilities delegated.
 - 6.9.9.14.8.** Informed consent contains information about potential harms, benefits, discomforts, and the right of the participant to refuse participation without any negative repercussions.
 - 6.9.9.14.9.** Potential adverse events have been deliberated over and relevant courses of action planned?
 - 6.9.9.14.10.** Ethical supervisory processes during the period of the study have been defined.
- 6.9.10** A scholar must *take full responsibility of personally doing all of his / her project related work, analysis and writing the entire Dissertation*, seeking conceptual help from the supervisor as and when necessary.
- 6.9.11** A scholar must understand that plagiarism, ghostwriting and mercenary authorship are crimes and will be dealt with accordingly. Such breach of ethical principles and integrity might spoil a person's carrier.

7. PROCEDURE

- 7.1 Undertaking to abide by these fundamental values must be part of all *admission forms* and all *employment contracts* (*Appendix A: Undertaking of Integrity*).
- 7.2 **Academic Integrity:**
- 7.2.1 IRB must continually remain aware of the situation of academic environment of the institution.
 - 7.2.2 IRB must ensure that summaries of this policy, including the potential penalties for breach of Academic Integrity, are made available to all levels of staff.
 - 7.2.3 IRB must ensure that all faculty members submit curriculum of studies three months before the start of the academic year
 - 7.2.4 The curriculum should be arranged based on real needs in the discipline, based on:
 - 7.2.4.1 List of the necessary basic background conceptual cognitive and scholastic skills for the subject.
 - 7.2.4.2 List of Practical procedural and computer skills that the course must impart to the scholar.
 - 7.2.4.3 List of evaluations that will ensure Basic and Advanced relevant practical skills in the subject for a scholar to handle real life situations and projects.
 - 7.2.4.4 All of the above should be demonstrably aimed at bringing our scholars at par with the international institutes of renown.
 - 7.2.5 The faculty must produce proof of curriculum adjustment, additions, and alterations according to the students' needs assessed during the previous session.
 - 7.2.6 The faculty must produce proof of comprehensiveness, compared with the international standards, of the basic aspects of the assigned subject.
 - 7.2.7 The faculty must produce the teaching materials for the academic year at the time of submission of the curriculum of studies.
 - 7.2.8 The faculty must produce certificate that the teaching material submitted for the academic year is free of plagiarism.
 - 7.2.9 The IRB, on behalf of the University, reserves the right to check for plagiarism in all submitted material.
 - 7.2.10 The submitted curricula must contain reviews / opinions of the subject matter by the top two position holding students as well as the bottom two position holding students of the previous session.

7.2.11 The IRB from each affiliated institution must be in touch with various national and international institutions and universities regarding updated curricula being used. Such communication must be documented, archived and be auditable.

7.3 Intellectual Integrity:

7.3.1 IRB must continually remain aware of the situation of intellectual environment of the institution.

7.3.2 IRB must ensure that easily understandable brief summaries of this policy are made available to the faculty, the scholars, and all levels of staff, including the potential penalties for breach of Intellectual Integrity.

7.3.3 IRB must ensure that reporting of breach of Intellectual Integrity is made easy, anonymous and secure for the one reporting, while clearly specifying the penalties for abuse of the system.

7.3.3.1 The process of initiation and further management of such reports must be documented and distributed, ensuring that all Scholars and Staff are aware of the system.

7.3.3.2 Absolute confidentiality must be maintained in receiving and processing any concerns regarding breach of these valued principles.

7.3.4 Any breach of integrity that has been investigated by the IRB, forwarded to the office of the Vice Chancellor, and resulted in penalty must be communicated to all staff and students for awareness.

7.4 Research Integrity:

7.4.1 IRB must continually remain aware of the situation of research environment of the institution.

7.4.2 IRB must ensure that easily understandable brief summaries of this policy, and where necessary, simple guidelines and process flowcharts are made available to all scholars and all levels of faculty and staff; potential penalties for breach of Research Integrity must be included in such documents.

7.4.3 All research projects must be submitted as per rules of the university, on the prescribed form, along with all accompanying documents, to the ORIC office for processing the submission to Advanced Studies and Research Board.

7.4.4 At the time of initiation of any research project, IRB must ensure that an undertaking is taken from the scholar (*Appendix B: Research Scholars' Undertaking*) to abide by the principles of Integrity, remain in possession of the study portfolio and be able to produce the paper and electronic data forms as well as the datasets when asked.

7.4.5 The IRB must, through surprise checks, ensure that the scholar is able to demonstrate skills to *manage the data in the software format* regarding:

7.4.5.1 Data restrictions and checks

7.4.5.2 Data Consistency checks

7.4.5.3 Procedures for maintaining anonymity

7.4.6 The IRB must ensure through periodic checks that the scholar is in possession of and can produce a date-wise log of analyses done for the study.

7.4.7 The IRB must ensure, through independent periodic checks that the scholar is able to reproduce all statistical results presented in the paper, alone and without any assistance, through analysis under supervision of at least two persons deputed for the purpose.

8. RESPONSIBILITY

8.1 The Director of each affiliated institution must officially form IRB and produce the various Guidelines and Procedures for it.

8.2 Quality Management personnel must carry routine periodic audits to ensure that Academic, Intellectual, and Research Integrity guidelines are followed.

8.3 The results of such audits should be submitted to the office of the Vice Chancellor, through quarterly and annual reports.

9. APPROVALS:

PREPARED BY:

DR. Zia ul Haq
Director ORIC
KMU

DATE

APPROVED BY:

Prof. Dr. Mohammad Hafizullah
Vice Chancellor
KMU

EFFECTIVE FROM (DATE)

Appendix A; Policy 2016-01-ORIC

Undertaking of Integrity

I _____ s/o | d/o _____, resident of

_____, National Id Card No. _____

hereby solemnly undertake that I have been thoroughly briefed about and have understood all the rules and bylaws of Khyber Medical University regarding Academic, Intellectual, and Research Integrity and will abide by them without any exceptions.

I fully acknowledge the fact that in case I am found guilty of breach of any of these valued principles, I will be subject to disciplinary action including, but not limited to, termination of my services / studies and blacklisting for any future admission / employment in any constituent or affiliated institution of Khyber Medical University.

Signed: _____

Date: _____

Appendix B; Policy 2016-01-ORIC

Research Scholar's Undertaking

I _____ s/o | d/o _____, resident of _____,
National Id Card No. _____, a scholar at: _____,
for the degree of: _____ am submitting to the Advanced
Studies and Research Board the research proposal titled:

_____.

I hereby solemnly undertake that I will carry out my research in strict compliance with the policies of Khyber Medical University Khyber Medical University, in full commitment to the principles of Academic, Intellectual and Research Integrity and Ethics.

I solemnly affirm that I will absolutely avoid plagiarism, fabrication, and falsification and that I will not only avoid any use of mercenary authorship and ghostwriting, but will also report such practices to the institution immediately on any knowledge of these.

I acknowledge that the penalty for any breach of these practices is immediate termination of studies, expulsion from the institution, and blacklisting for any future admission or employment in any constituent or affiliated institution of Khyber Medical University.

I also acknowledge that even after I have been awarded my degree, if any such allegation is proved beyond reasonable doubt, my degree will be revoked and I will be blacklisted for any future studies or employment in any of the constituent or affiliated institutions of Khyber Medical University.

Signed: _____

Date: _____