

Research Publication - Policy & Procedures

1.0 Purpose

- 1.1 AUIB acknowledges the importance of disseminating high-quality research globally through publications, as it significantly enhances the economic, social, and cultural impact of both individual contributors and the institution.
- 1.2 This policy details the requirements set by AUIB for the publication process, including the dissemination and documentation of research.

2.0 Scope

- 2.1 This policy is applicable to all AUIB staff and researchers for whom publication is a job requirement, as well as to postgraduate and undergraduate students.

3.0 Definitions

- 3.1 Author - any researcher or academic who significantly contributes intellectually to a scientific investigation or study, which may include:
 - Conceptualizing or designing the work;
 - Gathering, analyzing, or interpreting data and results;
 - Reviewing or revising a manuscript for publication;
 - Contributing other significant scholarly insights.
- 3.2 CC BY - a license that permits others to distribute, modify, adapt, and build upon the material in any medium or format, as long as the original creator is credited. This license also permits commercial use of the work.
- 3.3 Co-authors - any researchers who meet the authorship criteria (see 3.1) but are not the Lead or Corresponding Author (see 3.6). Each co-author must review and approve the manuscript prior to publication.
- 3.4 Guest authorship - the inclusion of someone on a research publication or related non-text output who has not substantially contributed to the research or text. This may occur:
 - To enhance the publication's prestige or credibility,
 - As a gesture of respect or reliance on an individual, potentially benefiting the true authors,
 - Following the early death of a participant involved in the research or publication process.
- 3.5 Ghostwriting - the deliberate omission of identifying an individual in a publication who has substantially:
 - Contributed to the writing,
 - Participated in the underlying research.
- 3.6 Lead or corresponding author - at least one researcher must be designated as the lead author, who must fulfill the authorship criteria (see 3.1) and is responsible for managing

the manuscript's integrity. The lead author ensures that all listed co-authors agree to their inclusion and approve the final manuscript.

3.7 Non-text outputs - include, but are not limited to, artefacts, performances, artists' books, exhibitions, digital artefacts, and moving images such as animations.

3.8 Publications - considered outputs of research activities, these include, but are not limited to, journal articles, abstracts, conference proceedings, books, monographs, book chapters, and exhibition catalogues.

4.0 Policy

4.1 Encourage responsible authorship practices, such as ensuring all authors have reviewed and approved the final manuscript before submission.

4.2 Promote academic integrity in authorship and attribution, recognizing individuals who have made significant contributions to the research while preventing honorary or ghost authorship.

4.3 Any forms of authorship that do not align with the aforementioned definitions, such as "guest authorship" and "ghostwriting," are deemed inappropriate. Deliberately violating this policy by engaging in such practices is classified as research misconduct.

4.4 The AUIB does not allow publications by its representatives (staff, researchers, postgraduate and undergraduate students) to be ghostwritten by any party, subject to the exclusion reported below.

4.5 AUIB acknowledges that there are instances where an individual may contribute to a publication without qualifying for authorship. This might include editorial assistants or professional writers who have enhanced the manuscript's clarity or adapted its content for specific audiences, such as the general public. AUIB allows such contributions under the following conditions:

- Individuals making such contributions must be acknowledged in the publication's acknowledgment section. This acknowledgment should include the individual's employment status, employer, a description of the contribution, and details on how it was compensated.
- The authors must retain complete responsibility for the content of the publication.

4.6 AUIB representatives and students are obligated to make a concerted effort to ensure that publications resulting from their work accurately describe the roles and affiliations of all individuals who made substantial contributions.

4.7 All published work must represent the original efforts of the authors or be properly attributed. Unauthorized reuse of text, data, figures, or images, or the paraphrasing of text, concepts, and ideas without proper acknowledgment, and in some cases, permission from the original authors, constitutes plagiarism. Similarly, republishing previously disseminated work without appropriate citations is considered self-plagiarism. Both forms of misconduct—plagiarism and self-plagiarism—are taken seriously.

- 4.8 Falsifying or fabricating data or results is strictly prohibited and is deemed research misconduct. This includes practices such as manipulating images, cropping images to alter their meaning, creating false data sets, or selectively omitting data.
- 4.9 All AUIB representatives, including staff, must disclose any potential conflicts of interest related to their research publications, whether these are legal, ethical, financial, personal, or of another nature.
- 4.10 Recognition should also be given to those who do not meet the authorship criteria but have nonetheless made significant contributions to the research or manuscript. This might include acquiring funding, providing materials, managing a research group, or offering administrative support. These contributions should be noted in the acknowledgments or contributions section of the publication.

5.0 Procedures

- 5.1 The Vice President of Academic Affairs collaborates with academic deans, department chairs, and faculty to ensure that faculty members and researchers are aware of the policy's guidelines and adhere to ethical publication practices.
- 5.2 The Chief Research Officer of the Research Center is accountable for ensuring that research integrity and publication ethics are upheld throughout the research process.
- 5.3 Research authors are accountable for providing accurate and complete information to journal editors or publishers during the submission process and promptly addressing any requests for corrections or retractions.
- 5.4 Researchers are obligated to cite AUIB in all research publications starting from the manuscript submission phase.
- 5.4.1 If a publisher restricts the details of a researcher's affiliation, the term 'American University of Iraq, Baghdad - AUIB' must be prioritized over any college, department, or research group affiliations.
- 5.4.2 In cases where a publisher does not facilitate including university affiliation, this information should appear in a footnote on the first page of the text.
- 5.4.3 For non-text outputs, researchers are responsible for determining the most appropriate location to indicate the university affiliation.
- 5.5 Disclosure of funding sources is required when mandated by the sponsor, starting from the manuscript phase. This should include the specific grant number.
- 5.5.1 Acknowledgment of funding sources must be detailed if stipulated by the funder, including the precise grant number from the manuscript stage.
- 5.5.2 When funded by multiple sources, each should be separated by a semi-colon in the listing.
- 5.5.3 If the publisher does not provide space for funding acknowledgments, these should be included as a footnote on the first page of the manuscript.

- 5.5.4 Any research that benefits from data or facilities funded or provided by specific sources should acknowledge this support explicitly.
- 5.6 Researchers must adhere to funding agency publication requirements and licensing agreements.
- 5.7 Researchers must secure a persistent identifier from ORCID (Open Researcher and Contributor ID) and ensure it is included in their discovery profile from the submission phase onward.
- 5.8 Publications resulting from clinical trials must acknowledge the trial registration, including the database and registration number, as per the registry's guidelines. If no specific guidelines are provided, this information should be included in the acknowledgments or contributions section.
- 5.9 Research involving human or animal subjects must include ethical statements detailing the ethics committee involved, applicable licenses, and compliance with recognized standards and guidelines.
- 5.10 The unique reference number or ID from the ethics committee's approval letter must be included in all research involving human subjects.
- 5.11 When entering into copyright agreements, researchers are encouraged to retain copyright and reuse rights for their publications, preferably using the CC BY license.
- 5.12 Researchers must ensure the chosen publication route does not involve illegal, predatory, or reputation-damaging vendors.
- 5.13 Researchers may utilize third-party platforms like ResearchGate or Academia.edu for dissemination, adhering to funder and publisher policies, and avoiding copyright infringement.
 - 5.13.1 Researchers should consult the AUIB Marketing and Communication Department before seeking media exposure or respond immediately if media interest arises.
 - 5.13.2 Media exposure for non-peer-reviewed research requires prior approval from the AUIB Marketing and Communication Department.
- 5.14 The responsibility to comply with funder and publisher policies when using third-party dissemination platforms remains with the researcher.
- 5.15 Researchers must notify the AUIB Library once a research output is accepted for publication and provide a copy for archiving once published.
 - 5.15.1 If providing a copy is not feasible, the researcher should inform the AUIB Library upon publication so that a copy may be acquired.
 - 5.15.2 Researchers must create records for non-text outputs, detailing the output and linking to relevant websites that describe the work further.

5.16 Researchers must report any withdrawal, retraction, or substantial corrections of published works or non-text outputs to the AUIB Library.

Related Policies and Documents

University Publications