

## Editorial

### EDITORIAL POLICY ON SCIENTIFIC MISCONDUCT

At its November 2, 1997, meeting in Boston, the Editorial Advisory Board reaffirmed the Editorial Policy on Scientific Misconduct relative to articles submitted to *Pharmaceutical Research*, with minor modifications and procedural clarifications. The Editor-in-Chief reiterates here editorial policies and intended response to such instances.

For purposes of this policy, unethical behavior or scientific misconduct may include, but is not limited to: plagiarism, data fabrication or falsification, publication without the knowledge of all those who made a direct, substantial intellectual contribution to the work, failure to disclose or having conflicts of interest, misrepresentation of authorship or failure to give due credit to authors, copyright or patent infringement or misuse, duplicate or simultaneous submission or publication of research results, and other conduct considered professionally unethical, such as violation of the ethical principles for submission of papers and for referees.

### PROCEDURES IN CONNECTION WITH POTENTIAL INSTANCES OF UNETHICAL BEHAVIOR OR SCIENTIFIC MISCONDUCT

Where the Editor-in-Chief has reason to believe that unethical behavior or scientific misconduct may have occurred, the following procedures will apply:

1. The Editor-in-Chief will receive any complaints or may initiate an inquiry into instances of potential unethical behavior or scientific misconduct by any author(s) of papers previously published or individual(s) submitting papers for publication in *Pharmaceutical Research*. All matters arising under this Editorial Policy will be handled confidentially. The Editor-in-Chief will appoint an *ad hoc* Investigating Committee of competent professionals (with a chair to be selected by the Editor-in-Chief) to investigate, seek out, and evaluate all information and evidence pertaining to the matter that is available from the referees, members of the *Pharmaceutical Research* Editorial Advisory Board, or from other reliable sources. If the Editor-in-Chief believes it is necessary to obtain information from the subject author(s) or submitter(s), he will authorize written communication to such person(s) and will provide notification of the fact of the initiation of the confidential investigation; the author(s) or submitter(s) may be offered the opportunity to submit other information, but will be advised that, if there is a recommendation for action by the Investigating Committee, the author(s) and submitter(s) will be afforded the opportunity to provide a written response.

2. The Investigating Committee will develop findings of fact regarding the matter, will make a determination whether unethical behavior or scientific behavior occurred, and will recommend a course of action in a written communication addressed confidentially to the Editor-in-Chief. The Editor-in-Chief may accept, modify, or decline to follow the recommendation of the Investigating Committee. If there is no determination of unethical behavior or scientific misconduct

and no action proposed to be taken, the matter will be concluded and the files sealed and retained in the office of the Editor-in-Chief. If the author(s) or submitter(s) were advised of the fact of the investigation, notification will also be provided of the fact of its conclusion. If the Editor-in-Chief finds that there was unethical behavior or scientific misconduct (in consultation with legal counsel), the author(s) or submitter(s) will be provided written notification of the findings and proposal for action by the Editor-in-Chief, and will be offered the opportunity to respond in writing within thirty days of receipt of the communication from the Editor-in-Chief.

3. If the response of any author(s) or submitter(s) is deemed by the Editor-in-Chief to be insufficient or unsatisfactory to rebut the determination, action may be taken with respect to any author(s) or submitter. Actions may include, but are not limited to: rejection of the paper, published notice of the behavior or misconduct in *Pharmaceutical Research* for papers already published, and/or ineligibility to have papers published in *Pharmaceutical Research* for any specified period of time.

4. Before such actions are taken, the Editor-in-Chief will inform the author(s) or submitter(s) of the opportunity to submit a written appeal to the Editorial Advisory Board within thirty days of receipt of the notice of action to be taken, including submission of any additional facts and/or mitigating circumstances. An *ad hoc* committee of the Editorial Advisory Board in any appeal will be charged solely with deciding if the action taken in light of the circumstances was fair and reasonable, or arbitrary and capricious, and whether the procedures set forth under this policy were followed. The decision of any appeal by the *ad hoc* Editorial Advisory Board shall be final. Unless publication of action taken is to be made in *Pharmaceutical Research* with respect to previously published papers or referral of a matter is made as provided below, the matter will remain confidential.

5. If the Editor-in-Chief considers certain behavior sufficiently serious (whether or not an investigation is pursued or action recommended or taken), the Editor-in-Chief may, following consultation with legal counsel and with the consent of the *ad hoc* committee of the Editorial Advisory Board, refer the matter for further investigation or action by the American Association of Pharmaceutical Scientists, or other authorities, such as employers, granting agencies, regulatory agencies, or law enforcement authorities.

### STATEMENT OF ETHICAL PRINCIPLES FOR SUBMISSION OF PAPERS FOR PUBLICATION IN PHARMACEUTICAL RESEARCH

Submission of a paper to *Pharmaceutical Research* implies that all listed authors acknowledge and agree to the following principles:

1. Results presented as new data have not been published and are not being considered for publication elsewhere.

2. Each listed author has contributed intellectually and substantially to the submitted manuscript. In addition, he/she has reviewed the submitted manuscript and will take responsibility for its scientific validity overall. An author's contribution

may take various forms, including conceptualization, conduct, data interpretation and presentation, and direction of part or all of the research project.

3. It is *Pharmaceutical Research's* policy that funding sources be divulged to disclose potential conflicts of interest. The Editor-in-Chief should be notified of any potential conflict of interest, for example, if an author has received extramural funding from a company and the author has a financial interest in the company sponsoring the research.

4. Other situations and circumstances as determined by the Editor-in-Chief may provide grounds for additional requirements or actions to be taken in connection with submission of papers to *Pharmaceutical Research*.

#### STATEMENT OF ETHICAL GUIDELINES FOR REFEREES

Referees for *Pharmaceutical Research*, are subject to the following ethical guidelines:

1. Each submitted manuscript is confidential and shall not be distributed or serve as the basis for the referee's own research.

2. If research reported in a submitted manuscript directly competes with a referee's own work, the referee shall immediately notify the Editor-in-chief or the regional editor and indicate

whether the referee believes he or she can perform an impartial review. The Editor-in-Chief or the regional editor then decides as to whether to seek additional or alternative referees.

3. If a referee has a substantial financial or professional interest in an institution or company where the research was performed, or holds any bias, personal or professional, the referee shall immediately notify the Editor-in-chief or the regional editor and indicate whether the referee believes he or she can perform an impartial review. The Editor-in-Chief or the regional editor then decides as to whether to seek additional or alternative referees.

4. Referees are prohibited from using confidential information learned in the course of their review in a manner inconsistent with copyright, patent, or other proprietary rights learned in the course of the review.

5. Other conduct or factors that may constitute unethical behavior or scientific misconduct or otherwise considered by the Editor-in-Chief to be inappropriate or inconsistent with the mission and purpose of the publication of *Pharmaceutical Research* may be grounds to institute an investigation under the procedures above.

Vincent H. L. Lee  
Editor-in-Chief  
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