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| Standard Operating Procedures for Authorship and Pre-Publication Review | Version No: 2 |
| | Approved Date: |
| | Effective Date: |

Process Overview

Please note this process flow includes the minimum times required by the AMPATH Ghana Research Program Office (RPO) and the Publications Committee to process and review a publication for submission to an external publisher. Investigators are strongly encouraged to begin this process as early as possible to ensure submission deadlines are met.

10 business days before publication submission deadline

Submit draft publication and impact statement to AMPATHGhana@nyulangone.org



7 business days before publication submission deadline

RPO pre-review process complete and publication routed to Committee



2 business days before publication submission deadline

Committee review process complete. Presiding committee chair communicates committee decision to approve or not approve submission to an external audience to the corresponding author.

**FAILURE TO FOLLOW THE GUIDELINES IN THIS SOP
CAN RESULT IN A REQUIREMENT TO NOT SUBMIT
OR EVEN WITHDRAW A MANUSCRIPT OR ABSTRACT ALREADY SUBMITTED**

Purpose

To ensure that all investigators and trainees involved in AMPATH Ghana research, clinical, educational, and administrative programs (1) obtain formal approval and clearance from co-authors, program directors, and other stakeholders to submit publications to external publishers and audiences; (2) adhere to international standards for publication in peer-reviewed medical and scientific publications; and (3) comply with AMPATH Ghana SOPs for research.

Publications Committee Overview

The Publications Committee ensures that publications resulting from AMPATH Ghana collaborations do not misrepresent the program or author affiliations. The Publications Committee reviews are friendly peer reviews from knowledgeable colleagues designed to help strengthen publications originating from AMPATH Ghana.

Members of the Committee include, but are not limited:

- AMPATH Ghana Executive Leadership
 - North America: AMPATH Ghana Executive Director
 - UDS: Dean (or representative), UDS-School of Medicine
 - TTH: CEO (or representative), TTH
- Co-Directors of AMPATH Ghana Research (Ghana and North America)
- Quantitative data scientists (Ghana and North America)
- Qualitative scientists (Ghana and North America)
- Research ethics experts (Ghana and North America)

This SOP covers:

- Scientific publications (original contributions, reviews, systematic reviews, qualitative research) which are deliverables related to AMPATH Ghana activities, *hereinafter referred to as "Manuscripts"*.
- Written or oral/poster congress presentations/abstracts prepared using data obtained from AMPATH Ghana activities, *hereinafter referred to as "Presentations"*.

All of the above are hereinafter jointly referred to as "**Publications**".

Publications Committee reviews the following:

- Does the publication reflect what is actually being done on site?
- Are individuals who make a substantive contribution to this program named as co-authors?
- Has the director (or PI) of the program being described been named as a co-author?
- Was the director (or PI) of the program notified of the potential publication?
- Have all co-authors been allowed to review the potential publication?
- Does the project have IRB approval?
- Are the conclusions supported by the presented data?
- Does the potential publication maintain patient and staff confidentiality?

Required Pre-Review Approvals

Before manuscripts are submitted for review by the Publications Committee, authors should ensure the following approvals have been granted.

1. **Research Project Approval** – Approval must be sought from the Project PI whose data are being used for the publication.
2. **Co-author Approval** – All co-authors must be notified of their co-authorship and given the chance to review the potential publication prior to submission.

Publication Committee Review Procedure

Prior to submission to a publisher, conference, or external audience, all publications must complete the publications pre-review process by the Publications Committee. Before submitting a publication for review by the Publications Committee, all authors should review and approve the publication for submission.

Publications should be submitted at least 10 business days before the publication submission deadline using the following procedure:

1. At least 10 business days before the publication submission deadline, the corresponding author submits the following items to the AMPATH Ghana Research Program Administration (RPA) (AMPATHGhana@nyulangone.org):
 - 1.1. A copy of the publication;
 - 1.2. Which of the missions are represented by the publication (care, research, education);
 - 1.3. A one-paragraph impact statement describing what the author(s) believe the AMPATH Ghana leadership should know/learn about the content described in the publication that might contribute to AMPATH Ghana program policy.
 - 1.4. A statement of attestation that all co-authors been allowed to review the potential publication.

- 1.5. The director (or PI) of the program being described in the publication must be cc'ed on this email correspondence.
2. RPO conducts a pre-review within 3 business days of submission to (a) confirm submission completeness and (b) confirm correct affiliations, AMPATH Ghana acknowledgement statements, and standard AMPATH Ghana templates and style are used.
3. After the RPO pre-review process is complete, publications are routed by RPO to the Publications Committee.
4. Publications Committee members review submitted proposals and copy the corresponding author on their comments within 5 business days of submission.
5. Authors may be required to submit revisions to the publications committee prior to final approval.
6. If a committee member believes a publication should not be published, the entire committee will review the publication and make a determination.
7. Final approval for external submission is granted by the co-director of AMPATH Ghana Research who is presiding chair of the Publications Committee for the month within 5 business days of submission to the committee.

After 5 business days, unless otherwise notified, the submitting author can consider their work to be approved for submission.

After a publication has been approved by the Publications Committee, all co-authors must sign the journal's co-authorship clearance form when applicable. Lead authors should retain copies of the journal's co-authorship clearance form when applicable.

Standard Publication Elements

All publications should include the following standard elements.

1. **Author Identification** – All individuals who have made substantive contribution into the program or the project will be considered for co-authorship. The leadership of the program and/or the Principal Investigator (PI) of a project must be considered for co-authorship on any publication (manuscript or abstract) resulting from the project. Authorship is determined using the guidelines published by the [International Committee of Medical Journal Editors \(ICMJE\) \(www.icmje.org\)](http://www.icmje.org).
 - The ICMJE recommends that authorship be based on the following 4 criteria:
 - Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work; AND
 - Drafting the work or revising it critically for important intellectual content; AND
 - Final approval of the version to be published; AND

- Agreement to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

2. **Standard Author Affiliations**– AMPATH Ghana related publications should include a list of author affiliations. Unless an affiliation format is specified by a publisher, authors should list author affiliations using the following standard format:

¹ *University/Institution
Name, College, School,
Department/Division, City,
State, Country*

Example Author Affiliation List

Jane A. Doe, MD, MS^{1,2}; John A. Doe, MBChB, MMED, MPH^{2,3};
Jane B. Doe, PhD⁴; John B. Doe, PhD⁵; Jane C. Doe, BA^{1,2}; John C.
Doe, MS⁵; Jane D. Doe, MBChB, MMED^{2,4}; John D. Doe, ScM,
MD^{2,3,4}

¹NYU Grossman School of Medicine, Department of Population Health, New York, NY, USA

²Academic Model Providing Access to Healthcare Ghana (AMPATH Ghana), Tamale, Ghana

³University for Development Studies, School of Medicine, Department of Surgery, Tamale, Ghana

⁴Tamale Teaching Hospital, Department of Pediatrics, Tamale, Ghana

⁵New York University, Department of Anthropology, New York, NY, USA

Authors affiliated with the University for Development Studies should use the following format:

² *University for Development Studies, School of <INSERT NAME>, Department of <INSERT NAME>, Tamale, Ghana*

Authors affiliated with the Tamale Teaching Hospital should use the following format:

³ *Tamale Teaching Hospital, Department of <INSERT NAME>, Tamale, Ghana*

Authors affiliated with the AMPATH Ghana program should use the following format:

⁴ *Academic Model Providing Access to Healthcare Ghana (AMPATH Ghana)*

Alternative Publication Review

Publications originating from multicenter research studies may be exempted from the AMPATH Ghana publications review process if an alternative publications review process has been established for the study. In order to receive exemption from the review process, the AMPATH Ghana site PI must submit a formal request to RPO, AMPATHGhana@nyulangone.org, before the publication is submitted. The request should include a detailed description of the proposed review process and a justification explaining why the study should be exempted from the normal AMPATH Ghana publications review process. Exemption requests are reviewed by the AMPATH Ghana co-directors for research. If approved, exempted studies will not be required to follow the normal AMPATH Ghana publications review process but are expected to:

1. Circulate copies of reviewed publications to the AMPATH Ghana Publications Committee for their information;

2. Submit a one paragraph summary to AMPATHGhana@nyulangone.org describing what the author(s) of each reviewed publication believe that AMPATH Ghana leadership should know/learn about the research described in their publication that might contribute to AMPATH Ghana program policy;
3. Submit final copies of any manuscripts published in peer-reviewed journals to AMPATHGhana@nyulangone.org; and
4. Comply with any additional requirements mandated by the AMPATH Ghana co-directors of research.

Monitoring of Publications

Publication approval and submission is tracked by RPO. Published manuscripts are included in the AMPATH Ghana Research Publications Bibliography updated semi-annually by RPO. Copies of the final publications must be submitted to the RPO, AMPATHGhana@nyulangone.org, for inclusion in the bibliography and RPO records. A compendium of publications describing what AMPATH Ghana should learn from the publications submitted to the committee is produced semi-annually by RPO and circulated to AMPATH Ghana leadership.

| SOP Version Log | | | |
|-----------------|---------------|---|---|
| Version | Date | Authors | Summary of Changes |
| 1 | June 29, 2022 | R. Vedanthan L. Boateng V. Mogre N. B. Sam A. M. Shamudeen S. Tabiri | <ul style="list-style-type: none"> Adapted AMPATH Kenya Publications SOP for use by AMPATH Ghana |