



Bayero
University
Kano

AUTHORSHIP POLICY

Directorate of Research, Innovation and Partnership (DRIP)
BAYERO UNIVERSITY, KANO
(Office of the Vice-Chancellor)



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Table of Contents

PREFACE	3
INTRODUCTION	4
1.1 Preamble	4
1.2 The Board of Research, Innovation and Partnership (BRIP)	5
2. AUTHORSHIP	6
2.1 Authorship Policy	6
2.2 Applicability	6
2.3 Definitions of Authorship	6
2.4 Co-authorship	6
2.5 Co-authorship of Students' Research Results	7
2.6 Acknowledgment of Personalities who do not Merit Authorship	7
2.7 Unacceptable Authorship	7
3. COLLABORATIVE RESEARCH AND AUTHORSHIP	9
3.1 Conflicts in Collaboration	9
3.2 Guidelines on Collaborative Research	9
3.3 Primary and Secondary Products	10
4. BEST PRACTICES	11
4.1 Accessibility to Project Information	11
4.2 Accountability	11
4.3 Disputes over Authorship	11
4.4 Inter-Institutional Collaborations	11
4.5 Order of Authorship	11
4.6 Student Authorship	11
5. RESEARCH MISCONDUCT	12
5.1 Concept and Classification	12
5.2 Serious Research Misconduct	13
6. ADDRESSING ALLEGATIONS OF RESEARCH MISCONDUCT	14
6.1 Enquiry	14
6.2 Inquiry	14

PREFACE

The philosophy of academic publishing may be traced to the establishment of the journal “The Philosophical Transactions of the Royal Society” in the seventeenth century (1665). Academic publishing has emerged as a global system of communication and scholarship in many parts of the world. Publication is often considered as one of the metrics for measuring the output of researchers and their institutions. The development in computer and information technology has facilitated the emergence of various publication outfits with corresponding increase in the number of publications as well as abuses of authorship. The global scientific community unanimously saw the need to regulate publication misconducts through development of authorship policies.

Bayero University, as a formidable player in the knowledge creation, scientific communication and scholarship landscape, has developed its Authorship Policy in order to provide a framework for managing issues related to authorship of scientific publications. The policy is developed for Bayero University employees (full and/or part-time), students, research collaborators who wish to publish their scholarly output in or outside the university.

The Policy focuses on two fundamental issues: i) the allocation of responsibility and credit for authorship; and ii) determination of the nature and extent of contributions in collaborative research. In clear terms, the policy defines an author and collaborators who do not merit but qualify for acknowledgement in a scholarly work. The Policy provides guidelines on authorship in collaborative research with the view to creating just, fair and level playing field for collaborating parties. In addition, the Policy outlines best practices in the management of authorship issues. The Policy has also outlines different forms of research misconduct and how such shall be handled in Bayero University, Kano.

Adherence to the provisions of this Authorship Policy will allow Bayero University researchers and other stakeholders make publications in line with best practice publication ethics, thereby making sustainable contribution to knowledge.

I wish to acknowledge the contributions of Prof. Sagir Adamu Abbas (the pioneer Director, DRIP) for setting a solid foundation in the Directorate. The DRIP success story will not be complete without Prof. Murtala Sabo Sagagi and Prof. Abdulrazak Habib as they are credited with developing the first draft of the Authorship Policy. I, also, appreciate the contributions of Prof. Abdullahi Sule-Kano (current Director), Dr. Umar Ibrahim Gaya (former Deputy Director, Research), Prof. Rabi Sani Shatsari (Deputy Director, Partnerships), Prof. Abdullahi Hassan Kawo (Deputy Director, Innovation) and Prof. Ibrahim Ahmad Rufai (current Deputy Director, Research) for revising and editing the document to its present form.

Professor Muhammad Yahuza Bello, FNMS
Vice Chancellor, Bayero University, Kano

1. INTRODUCTION

1.1 Preamble

Bayero University has established the Directorate of Research, Innovation and Partnership (DRIP) and charged it with the responsibility of managing all issues related to research and its output. DRIP is governed by the Board of Research, Innovation and Partnership (BRIP). DRIP is headed by a Director and has three divisions, each headed by a Deputy Director, as follows:

- i. Division of Research and Publications;
- ii. Division of Innovations and Technology Incubation; and
- iii. Division of Partnerships.

The functions of DRIP include:

- i. Defining the research focus of the University in different disciplines;
- ii. Initiating and supporting degree and non-degree research endeavours;
- iii. Sourcing and management of research funds;
- iv. Provision of guidelines and facilities for researchers;
- v. Patenting and keeping of copyrights; and
- vi. Commercialization/marketing of research output.

The Functions of the Division of Innovation and Technology Incubation are:

- i. To identify researches and projects, having clear commercial or social value, across the University;
- ii. To stimulate technology incubation of new inventions;
- iii. To identify potential users (inventors, industry, government and entrepreneurs) of University's research outputs with the aim of knowledge transfer/sharing;
- iv. To facilitate the creation of new techniques, technologies, products, new businesses and generating licenses and consultancy emanating from the University's original research projects;
- v. To provide technical and logistic support in the thematic and non-thematic research areas to generate Intellectual Property (IP);
- vi. To provide incentives and challenge the faculties, departments and centres to generate IP from their original research works and showcase all the IPs generated locally and internationally;
- vii. To develop the capacity of researchers/research groups in IP generating researches;
- viii. To create a stock of commercially viable knowledge-based product for the University;

- ix. To attract contract research between the University and corporations, governments and others; and
- x. To organise, periodically, an exhibition of Research output from the University.

DRIP is responsible for the implementation of Bayero University IP Policy through the following activities:

- i. Processing and safeguarding patent and copyright agreements;
- ii. Determination of the patentability or copyrightability (including handling of invention/innovation/software disclosures, undertaking patent search and completing applications for patents and copyrights) of research output;
- iii. Evaluating the commercial potential of inventions/innovations;
- iv. Obtaining appropriate patent protection;
- v. Locating suitable commercial development partners or licensees;
- vi. Negotiating and managing licenses;
- vii. Sharing of revenues/royalties among stakeholders.

1.2 The Board of Research, Innovation and Partnership (BRIP)

The Board of Research Innovation and Partnership, shall be the governing body of the directorate, and is responsible to the Vice-Chancellor and Senate for the regulation of research activities in the University. The Board shall provide guidelines relating to research work, innovation and collaboration. BRIP is a policy making organ and its functions shall include following:

- i. To advise the Vice-Chancellor/Senate on research activities, innovation and partnership in the University;
- ii. To recommend to the senate, revised University policy or guidelines on the conduct of research, innovation and partnership from time to time.
- iii. To oversee the implementation of the University Research, Innovation and Partnership Policies and submit an annual report to the Vice-Chancellor.

The Board consists of the following committees:

- i. Standing Committee on Research and Publication;
- ii. Standing Committee on Innovation and Technology Incubation;
and
- iii. Standing Committee on Partnership.

2. AUTHORSHIP

2.1 Authorship Policy

The purpose of the Authorship Policy is to address all issues around authorship matters. The policy provides a framework for the management of authorship of scholarly publications. It also offers suggestions for the rational, fair, and ethical resolution of conflicts about authorship of a published research output.

2.2 Applicability

This policy presents an appropriate attribution of credit and disposition of research products. The policy applies to research products in the broadest sense and encompasses research activities and materials ranging from quantitative analysis of experimental data to qualitative interpretation of anthropological narratives. The policy also applies to other forms of intellectual products such as monographs, technical reports, conference papers and briefings. The policy contained herein which is designed for use by academic members of staff in the University, Postdoctoral Scholars and Associates, Fellows, Trainees, Technologists and Students affiliated with Bayero University.

The policy deals with two related issues:

- a) the allocation of responsibility and credit for scholarly work;
- b) determination of the nature and extent of contributions and responsibilities in collaborative research.

For the purpose of this policy, research refers to all activities related to deliberate and systematic search for knowledge; either in the laboratory, library or elsewhere.

2.3 Definitions of Authorship

According to this policy, an author is referred to ***an individual who has made substantial intellectual contributions to a research activity***. Specifically, all authors should meet the following criteria:

- a) Approve the manuscript to be published in order to be able to attest to the accuracy and integrity of a part of or all of the contents.
- b) Participate in drafting and/or revising the manuscript for intellectual content.
- c) Contribute significantly to the conception, design, execution, and/or analysis and interpretation of data.

2.4 Co-authorship

All co-authors of a publication are responsible for:

- a) **Approval:** By providing authorship consent to the lead author, co-

authors have acknowledged that they have reviewed and approved the manuscript.

- b) Authorship:** By providing consent to authorship to the lead author, the co-authors acknowledge that they meet authorship criteria.
- c) Integrity:** Each co-author is responsible for the content of all appropriate portions of the manuscript, including the integrity of any applicable research.

2.5 Co-authorship of Students' Research Results

For any publication emanating from a Doctoral and Masters research work, it is expected that the student should be the lead author. For publication emanating from Bachelor Degree projects, flexibility in the choice of lead authors is allowed.

2.6 Acknowledgment of Personalities who do not Merit Authorship

The following are deemed not authors but shall be listed and acknowledged:

- a) individuals who may have made some contribution to a publication, but who do not meet the criteria for authorship, such as staff, editorial assistants, medical writers, or other individuals, can provide a valuable contribution to the writing and editing of publications; and
- b) those contributors that do not meet the criteria for authorship shall be listed in an acknowledgements and/or contributors section of the work;
- c) research sponsors or funding agencies;
- d) research assistants, technicians/technologists, grant administrators.

2.7 Unacceptable Authorship

Guest, gift and ghost authors are unacceptable and a violation of the policy on authorship.

- a) Ghost authorship:** Is defined as the failure to identify as an author someone who made substantial contributions to the research or writing of a manuscript that merited authorship. A ghost author is an unnamed individual who participated in writing the manuscript. Ghost authors may range from authors for hire with the understanding that they will not be credited, to major contributors not named as an author.
- b) Gift authorship:** Is credit offered from a sense of obligation, tribute or dependence, within the context of an anticipated benefit, to an individual who has not contributed to the work.

c) Guest (honorary, courtesy or prestige) authorship: Is defined as granting authorship out of appreciation or respect for an individual, or in the belief that experts standing as guest will increase the likelihood of publication, credibility or status of the work.

3. COLLABORATIVE RESEARCH AND AUTHORSHIP

3.1 Conflicts in Collaboration

- a) **Authorship Order:** The order of authors on research publications and the allocation of benefits from other research products is a collective decision of the authors or the study group. All authors must work together to make these informed judgements in conjunction with the lead author, and co-authors to discuss authorship order at the outset of the project and revise their decision as needed.
- b) **Financial Conflicts of Interest:** Authors shall fully disclose, in all manuscripts to journals, books, grant applications, and at professional meetings, all relevant financial interests that could be viewed as potential conflict of interest or as required by Bayero University and/or the journal. All such financial interests must also be reported.
- c) **Research Funding:** Authors shall acknowledge/disclose the source(s) of support for the work, including research and educational grants, salary or other support, contracts, gifts, and departmental, institutional and hospital support as appropriate.
- d) **Secondary Research Product(s):** Concept paper shall be developed by the collaborators, at the outset, to safeguard the interest of all collaborators in the event of secondary research products, and or in the utilisation of the primary data. Reasonable agreement, which encourages advancement of knowledge as well as ensuring equity in the allocation of any products that might emanate directly or indirectly, shall be reached and documented.

3.2 Guidelines on Collaborative Research

The following policy guidelines shall be adhered to on collaborative research:

- a) that research teams should discuss data handling, credit, publication, disposition of data and research materials, and the future directions of the research, early in the course of their work. The goals of the research unit or group should be clear and shared with all members. Transparency and fairness in the application of standards are essential to prevent breach of confidence;
- b) that disputes are best settled locally by the parties involved and/or the laboratory or unit head. If such efforts fail, then other pathways/avenues for dispute resolution should be explored; and
- c) that each group should post its policies and discuss them as part of orientation of new members.

3.3 Primary and Secondary Products

- a) **Collaborative Relationship:** Collaborators shall specify, in advance and in writing, how the process by which the rights to Intellectual Property arising out of the collaboration will be determined. The determination of rights shall be based on the extent and nature of the contribution, and not on differences in power relations. Any waiver or modification of rights requires informed consent.
- b) **Contribution and Recognition:** Authorship of published work shall only include all those who have actually contributed to, and share responsibility for, the contents of the publication.
- c) **Contributors:** All contributors to scholarly works shall be recognised, regardless of their status at the University.
- d) **Ownership of Works Created by Others:** It is not possible for an individual to have exclusive ownership of a complete collaborated work, in whole or in part, unless Intellectual Property rights have been willingly waived or assigned under informed consent by the collaborator(s). It is possible for the Bayero University to own, exclusively, the work created by individuals working under it.
- e) **Recognising Contributions by the University:** In recognition of Bayero University as the host institution of a completed research, scholars involved in the study shall acknowledge the University as the location at which the work was done.

In the spirit of collegiality, developers of Intellectual Property are encouraged to recognise the University's indirect support (such as library resources, computing infrastructure), and direct (financial) contribution (if applicable).

4. BEST PRACTICES

For the best practices in authorship, the following shall apply irrespective of discipline:

4.1 Accessibility to Project Information

All authors should have appropriate access to the data related to the project; data set used for the analysis, and they should have access to the results of all the analyses that have been conducted.

4.2 Accountability

Every author listed on a publication is presumed to have approved the final version of the manuscript. Each author is responsible for the integrity of the research being reported.

4.3 Disputes over Authorship

Disagreements over authorship or the order of authorship, shall be resolved by the project leader in collegial consultation with other persons involved in the work. When this process cannot reach resolution, the project leader should arrange with his or her unit head for arbitration by a knowledgeable and disinterested third party acceptable to all the authors. If the authors cannot agree on a mutually acceptable arbitrator, then the Vice Chancellor shall on recommendation of DRIP appoint an arbitrator. During the arbitration process, all the authors are expected to refrain from unilateral actions that may jeopardise the authorship interests and rights of other authors.

4.4 Inter-Institutional Collaborations

When collaborative work takes place between Bayero University and other institutions a Memorandum of Action (MOA) shall be developed and signed. The collaborators shall strictly adhere to the terms of the MOA.

4.5 Order of Authorship

The lead author is generally defined as *the person whose name comes first on the list of authors and makes a major contribution to the manuscript*. Other co-authors are to be listed in order of decreasing level of contribution to the manuscript.

4.6 Student Authorship

The role of the student in research teams shall be fully defined in writing before the commencement of the work. Students shall be invited to share authorship provided they meet the criteria for authorship.

5. RESEARCH MISCONDUCT

5.1 Concept and Classification

Research Misconduct is any significant behaviour that improperly appropriates the intellectual property or contributions of others, that impedes the progress of research, or compromising the integrity of research practices. Such behaviours are unethical and unacceptable in proposing, conducting or reporting research, or in reviewing the proposals or research reports of others. The following shall constitute research misconduct:

- a) **Fabrication of Data:** A researcher shall not claim data where none has been obtained;
- b) **Falsification of Data:** A researcher shall not falsify data, including changing records;
- c) **Interference:** A researcher shall not, without authorisation take, sequester or materially damage any research-related material of another researcher, including the apparatus, reagents, biological materials, writings, data, hardware, software or any other substance or device used or produced in the conduct of research;
- d) **Infringements:** A researcher shall not infringe on the University's policies governing research practice;
- e) **Misrepresentation:** A researcher or reviewer shall not, intentionally deceive or in recklessness disregard the truth in the form of:
 - Stating or presenting a material of significant falsehood; and
 - Omitting a fact so that what is stated or presented as a whole states or presents a material of significant falsehood.
- f) **Plagiarism:** A researcher shall not *plagiarise* - the presentation of the documented ideas, words or creations of another as his or her own, without attribution appropriate for the medium of presentation.
Plagiarism may include:
 - Reproducing, by paraphrasing or summarising without acknowledgment, any work of another person(s) to present the work as a researcher's own work;
 - Making use of any information in breach of any duty of confidentiality, including those associated with the review of any manuscript or grant application; and
 - Omitting reference to the relevant published work of others for the purpose of inferring personal discovery of new information.
- g) **Misleading Ascription of Authorship:** A researcher shall not ascribe authorship misleadingly, including the listing of authors breaching the moral rights of authors, attributing work to others who have not, contributed to the research, and failing to acknowledge appropriately works primarily produced by a research student/trainee or associate.
- h) **Obstruction of Investigations of Research Misconduct:** A researcher shall not intentionally withhold or destroy evidence in breach of a duty to disclose or preserve, falsify evidence, encourage,

solicit or give false testimony, and attempt to intimidate or victimise witnesses, potential witnesses, or potential leads to witnesses or evidence before, during, or after the commencement of any formal or informal investigation.

- i) Other Practices:** These are practices that seriously deviate from those commonly accepted within the research community for proposing, conducting or reporting research.

In Bayero University, plagiarism is a high profile academic fraud. It attracts maximum sanction of **outright dismissal of staff or withdrawal of Degree/Certificate/Statement of result of a student/graduate.**

Bayero University shall imbibe the culture of high-speed anti-plagiarism technology capable of detecting academic fraud at any level.

DRIP, in collaboration with departments, faculties, colleges, school of postgraduate studies and centres, shall subject all publications to anti-plagiarism test with a declaration of compliance of all copyright laws, rules and regulations, before such is made public.

No thesis or dissertation shall be examined unless it has passed anti-plagiarism test and the external examiners must verify certificate of compliance. All identified and convicted offenders shall be widely publicised by DRIP for all Nigerian Universities to know, particularly through the NUC website, and University websites. DRIP shall create a database of publications that would be linked to a global database, which will enhance efficiency of anti-plagiarism software like Turnitin and others.

Research misconduct does not include honest errors or honest differences in interpretation or judgements of data. Free scientific inquiry naturally includes proposing hypotheses that may ultimately be proven false, offering interpretations of data that conflict with other interpretations, and making observations and analyses that may prove to be in error.

5.2 Serious Research Misconduct

The following shall constitute serious research misconduct:

- a) Recurrence or continuation of conduct, which has previously been found to be research misconduct on the part of the staff/students;
- b) Failure to follow research protocols approved by DRIP or statutory license conditions, where such failure has resulted in an unreasonable risk or actual harm to humans, animals or the environment;
- c) Deliberately publishing false research results that become part of public records; and
- d) Conduct alleged to be research misconduct, but where the consequences of the alleged breach result in serious harm to the University, or other staff, students or visitors, and the conduct is characterized by a reckless and willful disregard for the consequences of the alleged conduct.

6. ADDRESSING ALLEGATIONS OF RESEARCH MISCONDUCT

When there is an allegation of research misconduct, DRIP may set up a committee of enquiry. If the enquiry concludes that the allegation of misconduct has substance, then an inquiry (investigation) committee shall be set up by DRIP and formal investigation shall begin within 3 weeks (21 days) of the completion of the enquiry;

6.1 Enquiry

- i. In the event of an enquiry, the allegations labelled against the accused individual(s) shall be appropriately communicated to him/her/them and be invited to comment on the accusation;
- ii. The accused individual(s) shall cooperate fully with research misconduct committee; and
- iii. The committee of enquiry shall complete its assignment and submit its report to drip within 21 days.

6.2 Inquiry

- i. the purpose of an inquiry is to determine whether research misconduct has occurred and, if so by whom and to what extent;
- ii. The accused individual(s) shall be given fair hearing by being informed about the allegations and be given an opportunity to defend themselves;
- iii. A case of research misconduct will be established whenever it is committed and the allegation proven;
- iv. The identity of both the accused individuals and those that reported the alleged misconduct shall be kept confidential as much as possible and care should be taken to protect their positions and reputations;
- v. All those directly involved in the misconduct proceedings shall ensure confidentiality of the process and that information obtained during its course is not disseminated to unauthorised person(s);
- vi. If the act of research misconduct is proven by the inquiry; the university staff or student involved shall be referred to the senior staff disciplinary and appeals committee or student's disciplinary committee as the case may be. Other persons involved not in the categories mentioned above shall be handed over to the police; and
- vii. If the individual(s) is/are found not to have engaged in any research misconduct, all reasonable, practical and appropriate measures to protect and restore his/her/their reputations and integrity shall be undertaken.

