

## **UNIVERSITY OF MALAYA POLICY ON AUTHORSHIP**

### **1. Purpose**

The main objective of this policy is to ensure academic and scholarly integrity with regard to the responsible conduct of research and the reporting of such in scientific and scholarly publications.

### **2. Scope and Application**

This policy is applicable to scholars and students affiliated with the University of Malaya (hereinafter referred to as “UM”) who are involved in the conduct of research and publication associated with the University.

### **3. Definitions**

#### **(1) Scientific and Scholarly Publications**

Books, articles, abstracts, presentations at academic and professional meetings, and grant applications in digital and/or print form which disseminate findings, thoughts, and analyses to the scientific, academic, and lay communities.

#### **(2) Corresponding Authors**

The author who assumes overall responsibility for the manuscript, often serves as the managerial author, as well as providing a significant contribution to the research effort.

The usual convention is for the corresponding author to be the more senior researcher who has a long term affiliation with the institution where the research was carried out.

The corresponding author serves as a point of reference for any questions that may arise regarding the publication and post-publication.

## **4. Authorship**

### **(1) Authorship Criteria**

Authorship is attributed only when a researcher has made substantial intellectual contributions to a research output. To qualify as authors, researchers should meet the following criteria, and all those who meet the criteria should be authors:

- a) Scholarship: Contribute significantly to the conception, design, analysis and/or interpretation of data;
- b) Authorship: Participate in drafting, reviewing, and/or revising the manuscript for intellectual content; and
- c) Approval: Approve the manuscript to be published.

An administrative relationship, obtaining funding, collection of data, editing for language or general supervision of a research group alone DOES NOT constitute authorship.

### **(2) Responsibility**

#### **(a) Integrity of the Work**

Authors are responsible for the integrity of the work as a whole, and ensuring that reasonable care and effort has been taken to determine that all the information and data are complete, accurate, reasonably interpreted and properly acknowledged; and

#### **(b) Publishing materials/data from student's thesis after Graduation**

Oftentimes, papers are published based on a student's thesis, several years after the student has graduated. For this reason, all publications of materials and data taken wholly or partially\* from the thesis by either graduand or his/her supervisor, both graduand and supervisor shall be authors of the publications. It is the responsibility of the graduand who initiates the drafting of the manuscript to communicate with the supervisor so that both can be involved in the manuscript preparation. Similarly, if the supervisor initiates the paper, the graduand should be informed and allowed to be involved for the same purpose. In any case, as stipulated in 4 (1) c), all authors must approve the manuscript to be published.

However, for publication of new work which is related to the thesis or an extended work from the thesis, previous published article(s)\*\* from the thesis would be cited, and these publications shall include the supervisor of the thesis as one of the authors.

\* with new work added.

\*\*Previous published article(s) referred to the published article(s) that contain materials and/or data taken wholly or partially from the thesis.

### **(3) Order of Authorship**

The order of authors is a collective decision of the authors or study group. Authors should work together to assign the relative weighting of each author's contribution towards the whole effort that resulted in the manuscript.

Where the publication arises from a student's thesis and a substantial portion is done by the student, first authorship should go to the student. If however, the student refuses to participate in the paper writing, then the supervisor may reclaim first authorship. In any case, the principle investigator should always retain corresponding authorship (please refer to Corresponding Author).

### **(4) Group of Authors**

In a situation where there is a group of authors, the name of the group may be listed with the title, and the names of these authors are then listed in an appendix to the article. However, there must be one investigator that takes responsibility for the work as a whole. All authors in the group should also meet the criteria for authorship.

## **5. Affiliation**

Staff and students of the University of Malaya should put "University of Malaya" as their affiliation in the manuscript title. Other affiliations of UM staff and students should be added as a footnote on the first page. Co-authors or collaborators from other institutions would state their respective affiliations in the title.

Staff of UM who had carried out research at another institution during a sabbatical or research leave would normally have a co-author from that institution, such that

both institution addresses will appear in the title.

## **6. Acknowledgement**

Individuals who do not meet the criteria for authorship but may have made some contribution to a publication, such as financial sponsors, technical assistants, enumerators, editorial assistants or medical writers should be mentioned in the acknowledgement section of the work.

UM requires that the authors state the reference number of the research grant that supported the work being reported.

## **7. Authorship Dispute**

All disputes pertaining to authorship should be resolved within the research group. Any changes in the authorship should be agreed upon by all authors involved in the manuscript. Criteria for authorship and possible order for authorship should be agreed by all members of a research group before the start of the project. The authorship criteria should be revisited as needed, to avoid any disputes among the researchers.

Continuing disputes over authorship are to be referred for attempted resolution to the Research Committee of the corresponding author's institution. Disputes involving co-authors from other institutions are to be handled by the institution of the corresponding author.

If the dispute remains unresolved within 30 days, it will be referred to the Deputy Vice-Chancellor (Research and Innovation) (hereinafter referred to as "the DVC") for determination. The DVC may engage an external arbitrator or mediator to assist in this process, although the final decision remains with the University.

## **8. Conflicts of Interest**

Conflict of interest exists where an author has financial or personal relationship that might bias his/her scientific judgment and influence the research or writing. Full disclosure of potential conflict of interest such as financial interest (paid consultancy, commercial interest, stock holder) or other affiliations or personal relationships must be made by all authors.

Authors shall fully disclose, in all manuscripts to journals, grant applications, and at professional meetings, all relevant financial interests that could be viewed as a potential conflict of interest or as required by the University and/or journal.

Interests must also be reported internally as required by the Institute of Research Management & Monitoring, University of Malaya.

## **9. Fabrication, Falsification, Plagiarism and Stealing**

Fabrication, falsification and plagiarism are strictly forbidden. For purposes of this document, the following definition drafted by the Office of Science and Technology Policy (U.S.) issued in December 2002 is used:

*“Fabrication is making up data or results and recording or reporting them. Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record. Plagiarising or Stealing is appropriation of another person's ideas, processes, results, or words without giving appropriate credit.”*(<http://www.aps.org>)