

# PUBLICATION ETHICS & Authorship Dispute

Dr Trevor Lane COPE

Universiti Malaysia Sabah, 1 July 2022

publicationethics.org



#### **PRESENTER**



Trevor Lane, MA, DPhil
Council Member &
Chair, Education Subcommittee, COPE

Dr Trevor Lane is a publishing and education consultant based in Hong Kong. From 1997 to 2005, he was the managing editor of several medical journals in Asia and the senior editor of two social science journals in the United States. From 2005 to 2015, he headed a knowledge exchange unit at the University of Hong Kong, where he taught research communication and publishing ethics to postgraduate students and helped staff publish and publicise their research. He was elected to COPE Council in 2016.

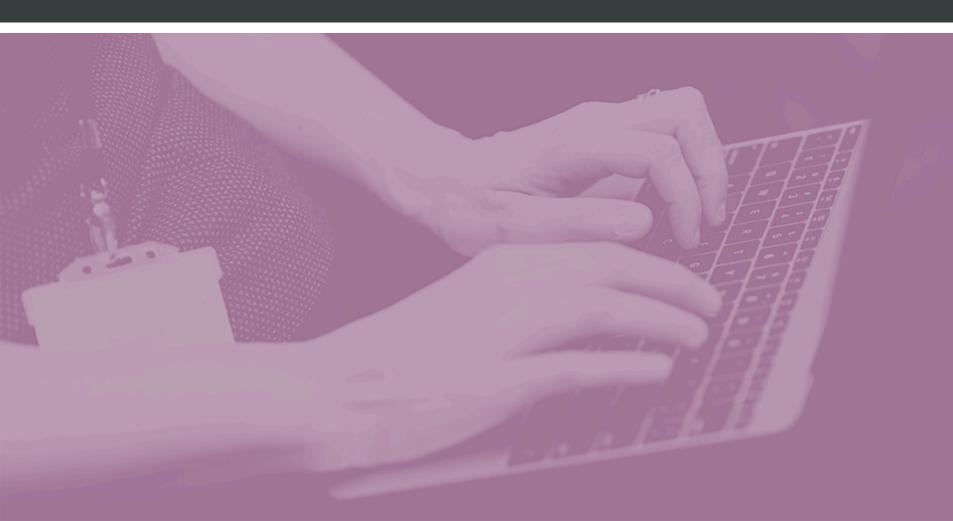


# Publication Ethics & Authorship Dispute Agenda

- Introduction to COPE
- Authorship issues
- Possible solutions
- Q & A session

## Introduction to COPE





publicationethics.org



#### **ABOUT COPE**



 Non-profit established in 1997; operated, managed, and governed by small group of paid employees with volunteers on Trustee Board and Council



>12,000 members are primarily editors and owners/publishers of scholarly journals of all disciplines; includes editorial and publishing support services, universities & research institutes:
 https://publicationethics.org/membership/universities-researchinstitutes



• COPE brings together all those involved in scholarly research and its publication to strengthen the network of support, education, and debate in publication ethics: *Creating a culture of publication integrity together* 



#### **COPE CORE PRACTICES**

Policies and core practices required to reach the highest standards in publication ethics:



Allegations of misconduct



Authorship and contributorship



Complaints and appeals



Conflicts of interest/ Competing interests



Data and reproducibility



Ethical oversight



Intellectual property



Journal management



Peer review processes



Post-publication discussions and corrections



#### **COPE CORE PRACTICES**

Policies and core practices required to reach the highest standards in publication ethics:



Allegations of misconduct



Authorship and contributorship



Complaints and appeals



Conflicts of interest/ Competing interests



Data and reproducibility

Non-author contributors:

Acknowledge -ments section Clear policies (that allow for transparency around who contributed to the work

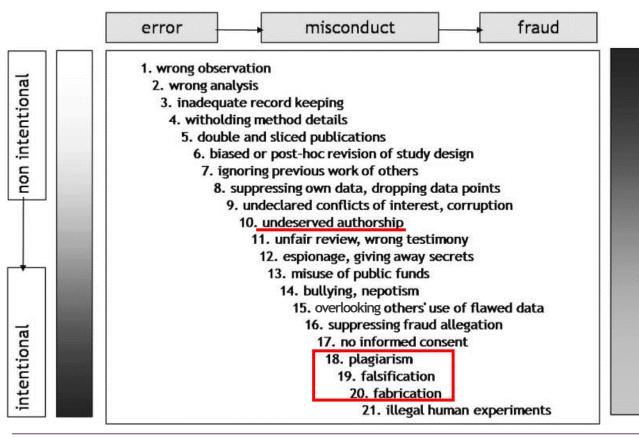
and in what capacity) should be in place for requirements for authorship and

contributorship, as well as processes for managing potential disputes

Author byline



#### ETHICAL ISSUES IN SCHOLARLY PUBLISHING



## ... & Questionable research / publication practices:

- inappropriate / insufficient sampling
- inappropriate / biased analysis (P-hacking, confounder bias)
- biased / selective reporting
- not correcting errors

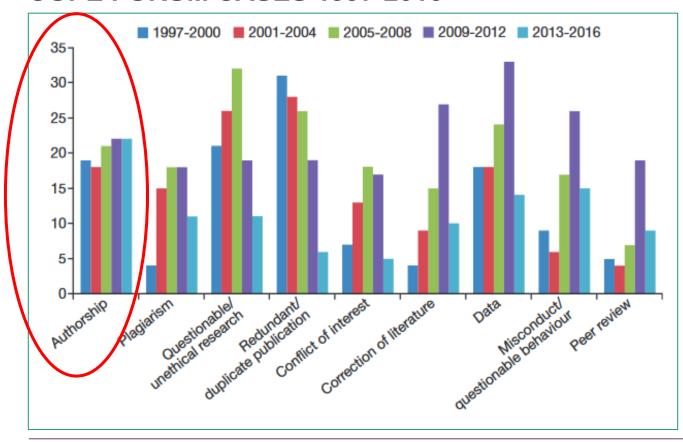
not easily detected

easily detected

- citation manipulation (inaccurate / fake citations, citation stacking, citation cartels, coercive/coerced citation)
- reviewer misconduct (delay, +/- bias, stealing data, plagiarism, breach of confidentiality)
- fake review & reviewer identity fraud
- <u>authorship misattribution (& fraud)</u>,
   <u>eg, ghost authors</u>, forged / fake authors
- knowingly publishing in predatory journals
- unauthorised data use / reporting / sharing
- unregistered clinical trials, no ethics board approval / waiver etc...



#### **COPE FORUM CASES 1997-2016**



- Of <u>134 authorship cases</u> up to 2019:
  - questionable changes to author list after submission (27%)
  - ghost, guest, or gift authors(19%)
  - submission without knowledge
     of one or more authors (19%)
  - disputed author order (7%)
  - forged paperwork (7%)
  - often involves other problems (duplication, salami slicing, IP theft, conflicts of interest)



#### **COPE FORUM CASES**

- <u>Case 15-17</u>, <u>Case 06-13</u>, & <u>Case 11-24</u> deal with institutionalised gift authorship for senior researchers
- Case 07-04, with Case Discussion on gift authorship, is about an institute board member and department head who was publishing a total of 50 to 100 articles per year, suggestive of routine gift authorship
- <u>Case 18-07</u>, with <u>Case Discussion on multi-institution</u>
   investigations, shows need for cooperation and communication
   among multiple institutions concerned in an authorship dispute





#### **COPE RESOURCES**

#### **Examples for authorship and contributorship**

#### **Flowcharts**

- Changes in authorship
- How to recognise potential authorship problems

#### **Guidelines**

• How to handle authorship disputes: a guide for new researchers

**Discussion document:** Authorship

#### **COPE Forum Cases:**

https://publicationethics.org/guidance/Case?classification=2772

#### **Seminars**

- WCRI 2019: Responsible authorship
- COPE 2021 Seminar: Ethical authorship vs fraudulent authorship

  Some slides in this presentation are based on that seninar, CC BY-NC-ND

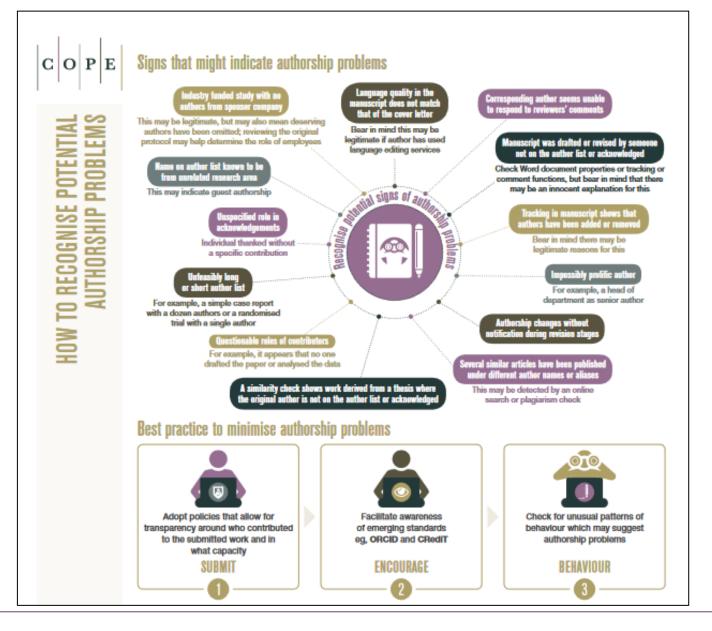


**Flowcharts** 

eLearning

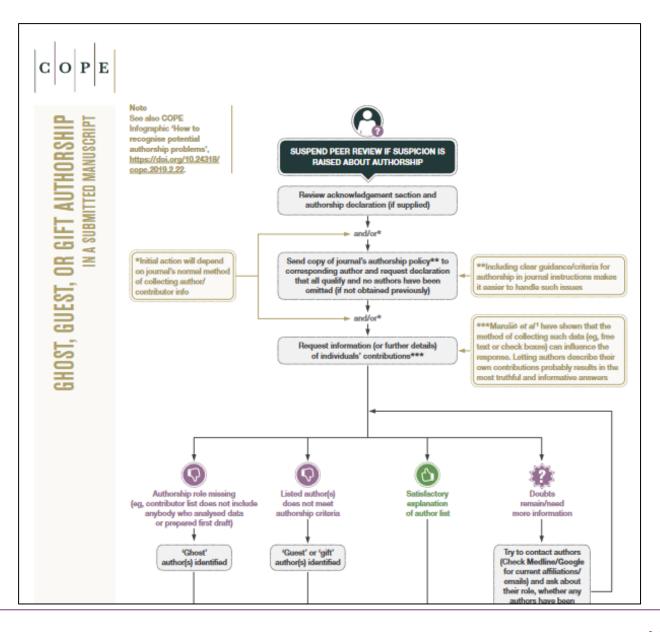


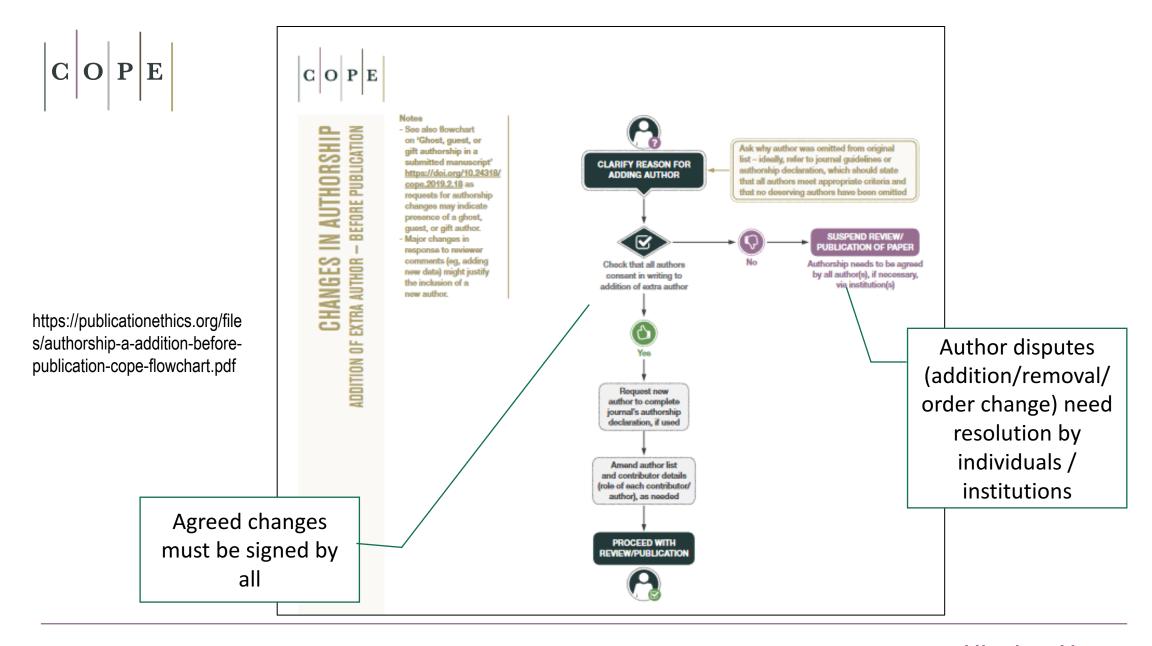
https://publicationethics.org/resource s/flowcharts/how-recognise-potentialauthorship-problems





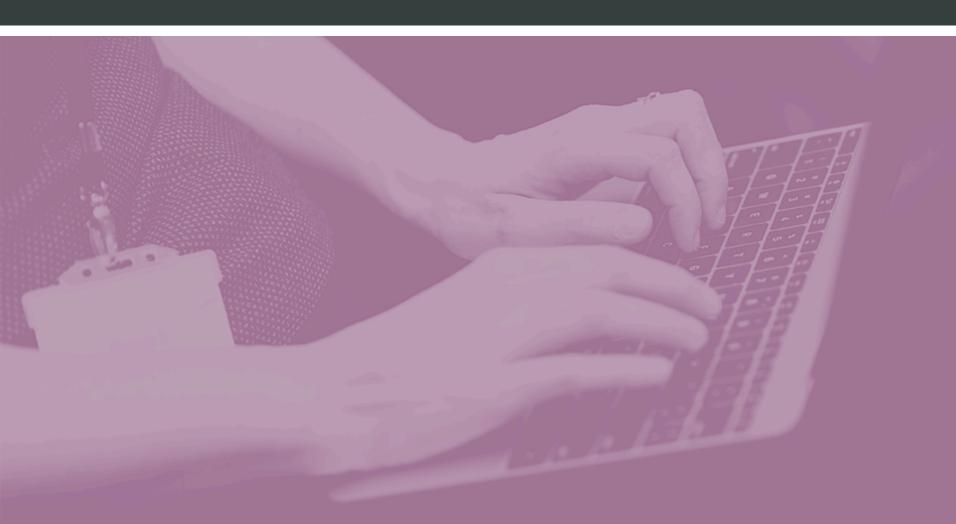
https://publicationethics.org/files/gho st-authorship-submitted-manuscriptcope-flowchart.pdf





## **Authorship issues**





publicationethics.org



#### **AUTHORSHIP MATTERS**

- Record of attribution
- Moral and legal rights
- Responsibility for (your/all) content
- Accountability in investigations
- Shapes academic career
  - Expertise & track record (ORCiD)
  - Collaborations, networks
  - Funding, awards, promotion
- Institutional reputation



https://orcid.org/



#### **OLD & NEW ISSUES**

- Publish or perish, author credit, competition for resources
- Disguising content
  - Industry research
  - Pseudoscience
  - Spoofs, stings
  - Identity fraud
- More multicenter, 'collaborative' work but people fall out, get ill, are away, leave
- Greater variety of outputs (preprints, data, code, software)

- Diversity & inclusion in research
- Involvement of public, patients, stakeholders
- Publishing traditions
  - Discipline / journal / institution practices
  - New disciplines
  - Interdisciplinary, multidisciplinary journals
- Privacy & confidentiality
  - Anonymous / pseudonymous protection
  - Privacy around legal name changes



#### WHOSE BYLINE IS IT ANYWAY?

"Author-A et al (2022) reported that..."

Journal Name, July 2022 (Vol 7)

# **Journal article title**A Author, B Author, C Author, D Author, E Author, F Author

Lead
author/writer?
Guarantor?
Corresponding
author?

**Corresponding author?** 

(Administrative task before/after publication)

Amount of work? Value of contribution? Equal contribution?

Alphabetical order? Reverse alphabetical order?

Random order?

Explain in footnote

Senior author?
Group head?
Guarantor?
Corresponding
author?



Selected for a Viewpoint in *Physics* PHYSICAL REVIEW LETTERS

week ending 15 MAY 2015

PRL **114**, 191803 (2015)

Combined Measurement of the Higgs Boson Mass in pp Collisions at  $\sqrt{s} = 7$  and 8 TeV with the ATLAS and CMS Experiments

G. Aad et al.\*

(ATLAS Collaboration) (CMS Collaboration)<sup>3</sup> (Received 25 March 2015; published 14 May 2015)

A measurement of the Higgs boson mass is presented based on the combined data samples of the ATLAS and CMS experiments at the CERN LHC in the  $H \to \gamma\gamma$  and  $H \to ZZ \to 4\ell$  decay channels. The results are obtained from a simultaneous fit to the reconstructed invariant mass peaks in the two channels and for the two experiments. The measured masses from the individual channels and the two experiments are found to be consistent among themselves. The combined measured mass of the Higgs boson is  $m_H = 125.09 \pm 0.21 \text{ (stat)} \pm 0.11 \text{ (syst) GeV}.$ 

DOI: 10.1103/PhysRevLett.114.191803 PACS numbers: 14.80.Bn, 13.85.Qk

CC BY: G. Aad et al. (ATLAS Collaboration, CMS Collaboration) Phys. Rev. Lett. 114, 191803 – Published 14 May 2015

https://journals.aps.org/prl/pdf/10.1103/PhysRevLett.114.191803

H. Abramowicz, <sup>153,†</sup> H. Abreu, <sup>152,†</sup> R. Abreu, <sup>30,†</sup> Y. Abulaiti, <sup>146a,146b,†</sup> B. S. Acharya, <sup>164a,161b,b,†</sup> L. Adamczyk, <sup>38a,†</sup> D. L. Adams, 25.† J. Adelman, 108.† S. Adomeit, 100.† T. Adye, 131.† A. A. Affolder, 74.† T. Agatonovic-Jovin, 13. J. A. Aguilar-Saavedra, 126a,126f,† S. P. Ahlen, 22,† F. Ahmadov, 65,c,† G. Aielli, 133a,133b,† H. Akerstedt, 146a,146b,† T.P. A. Åkesson, 81, G. Akimoto, 155, A.V. Akimov, 96, G.L. Alberghi, 200, 206, J. Albert, 169, S. Albrand, 55, P. Ramos, 1961. A. Rassalat, 177.1 A. Rassa, 187.1 R. L. Ramos, 257.1 S. J. Ratista, 1987. J. R. Ratloy, 287.1 M. Rattaglia, 177.1 M. Baser, \*\*En, \*\*This F. Baser, \*\*Fall H. S. Baser, \*\*Fall J. B. Boscham, \*\*Fall M. D. Bestie, \*\*Th. T. Boscham, \*\*En, C. Bocci, 1953 A. J. Beddell, 1963 A. Beddell, 1963 V. A. Bederschov, 1653 C. P. Boc, 1963 L. J. Beometer, 1963 T. A. Beermann, 1963 M. Begel, 23, J. K. Bele, 220, C. Belanger-Champagne, 27, W. H. Bell, 41, G. Bella, 171, L. Bellagamba, 26, A. Bellerise, 24, J. G. Cogan, M.J. B. Colo, N.J. S. Colo, 1983. A. P. Colija, 1983. J. Collor, N.J. T. Colombo, No.J. G. Compostella, 1983. P. Conde Muito, Dia, Dia, Dia, E. Coniavitis, 44, S. H. Connell, 100a, L.A. Connelly, T.J. S. M. Consonni, 44, 95a, V. Connerti, 44, S. Constantinesco, Mod. C. Conta, Hallind G. Conta, M. P. Conventi, Miled M. Cooke, M.J. B. D. Cooper, M.J. A. M. Cooper Sarkar, M.J. Cornelison, M.J. M. Cornelison, M.J. F. Corrivous, M.J. A. Corne Rado, M.J. A. Cartes Gonzales, M.J. R. W. Gardner, N. J. N. Garelli, P.U. V. Garonne, 1857 C. Gatti, P.J. A. Gardiolio, 26,286,7 G. Gardio, 125a, B. Gaur, L. Gauthier, 46,7 P. Gauzzi, 100a,100a,7 L. L. Gaveilenko, 56,7 C. Gry, 100,7 G. Grycken, 76,7 E. N. Gazin, 56,7 P. Ge, 700,7 Z. Grese, 100,7 C. N. P. Geo, 1983 D. A. A. Georis, 1983 Ch. Geich-Gimbel, 183 M. P. Geisler, Stell C. Gemme, Stell M. H. Genest, 50 S. Gontle, COLUMN M. George, S.J. S. George, T.J. D. Gorbando, N.J. A. Gorshon, Cl.J. H. Ghardane, Cl. B. Giacobbe, Th.J. S. Giago, PDa, PDa, P. Giangiebbe, D.J. P. Giannetti, Dia, Dh.J. B. Gibbard, N.J. S. M. Gibson, T.J. M. Gilchriese, D.J. T. P. S. Gillam, N. D. Gilberg, W. G. Gilles, N. D. M. Gingrich, N. Giokaris, M. P. Giordani, Ma, Ma, Ma, F. M. Giorgi, Na. J. Giorgi, No. J. Giologi, No. J. Giorgi, No. J E.M. Giogl, <sup>8,1</sup> P.F. Girant, <sup>9,1</sup> P. Gironini, <sup>4,1</sup> D. Giagni, <sup>8,1</sup> C. Gialini, <sup>4,1</sup> M. Gialini, <sup>8,1</sup> B. K. Gjelova, <sup>8,1</sup> S. Ghaintois, <sup>9,1</sup> I. Gidini, <sup>9,1</sup> F. L. Ghoughousis, <sup>11,1</sup> I. K. Gladini, <sup>8,1</sup> C. Ghousan, <sup>9,1</sup> I. Gheor, <sup>8,1</sup> P. C. E. Ghysher, <sup>4,1</sup> A. Glacov, <sup>4,1</sup> M. Goblinech-Koll, <sup>9,1</sup> J. R. Goldunt, <sup>8,1</sup> J. Gollewski, <sup>9,1</sup> S. Goldunt, <sup>8,1</sup> T. Golling, All D. Golubkov, Phy A. Gomes, Disc, Disc, Disc, Disc, Disc, Disc, Phys. J. Gonesives Pinto Pirmino Du Conta, Phil Gonella, <sup>N.J.</sup> S. González de la Hor, <sup>100</sup> G. González Parra, <sup>N.J.</sup> S. González-Sevilla, <sup>00,1</sup> L. Gonzalez, <sup>10,1</sup> P.A. Gorbounov, T.J. H.A. Gordon, M.J. L. Gorelov, M.J. B. Gorini, M.J. E. Gorini, Ta, Th.J. A. Gorišek, M.J. E. Gornicki, M.J. A. T. Goshus, <sup>(1)</sup> C. Gönding, <sup>(1)</sup> M. L. Goskin, <sup>(4)</sup> D. Gosjdami, <sup>(10)</sup> A. G. Gosmiou, <sup>(10)</sup> N. Govender, <sup>(40)</sup> I. M. X. Goshus, <sup>(5)</sup> L. Goshus, <sup>(4)</sup> E. Gramstad, 1853 S. Grancagonilo, 201 V. Granti, 201 V. Granthev, 2013 H. M. Gray, 201 E. Grantani, 1963 Z. D. Greenwood, 200, K. Gregersen, T.J. L.M. Gregor, G.J. P. Grenier, 193, J. Grilliths, L.J. A. A. Grillo, 273, K. Grimm, T.J. S. Grinstein, T.A. Ph. Griz, M.J. J.-P. Grivaz, 1973 J. P. Groha, M.J. A. Grobajcan, M.J. E. Gross, 1973 J. Grosso-Kacticz, M.J. G. C. Grossi, N.J. Z. I. Groat, 1993 L. Guan, 1993 I. Guenther, 1993 F. Guencini, 1933 D. Guent, 1993 O. Gueta, 1993 R. Guide, 50,000 T. Guillomin, 1993 S. Gainston, <sup>3,2</sup> U. Gol, <sup>30,1</sup> C. Gumpert, <sup>40,1</sup> I. Guo, <sup>30,1</sup> S. Gupta, <sup>30,1</sup> P. Gutierree, <sup>31,1</sup> N. G. Gutierree Orfic, <sup>30,1</sup> C. Gutierree, <sup>30,1</sup> C. Guryot, <sup>30,1</sup> C. Gueratan, <sup>30,1</sup> C. B. Gwilliam, <sup>30,1</sup> A. Hann, <sup>30,1</sup> C. Haber, <sup>31,1</sup> H. K. Hadround, <sup>30,1</sup> C. Guryot, <sup>30,1</sup> C. Guryot, <sup>30,1</sup> C. Gueratan, <sup>30,1</sup> C. B. Gwilliam, <sup>30,1</sup> A. Hann, <sup>30,1</sup> C. Haber, <sup>31,1</sup> H. K. Hadround, <sup>30,1</sup> C. Guryot, <sup>30</sup> N. Haddad, <sup>106, J</sup> F. Hacher, <sup>11, J</sup> S. Hagdröck, <sup>11, J</sup> Z. Hajduk, <sup>36, J</sup> H. Hakobyan, <sup>37, J</sup> M. Hakeem, <sup>40, J</sup> J. Hakey, <sup>114, J</sup> D. Hall, <sup>384, J</sup> G. Halladian, Rd. G. D. Halland, Rd. K. Hamacher, Ph.J. P. Hamal, Rd. K. Haman, Md. M. Hamar, NJ. A. Hamilton, 1994. G.N. Harnity, Hb.J. P.G. Harmett, G.J. L. Han, Th.J. K. Hanapaki, HL.J. K. Hanawa, M.J. M. Hance, H.J. P. Hanke, Ha.J. R. Hann, The J. B. Hanne, Mr. J. D. Hanne, Mr. M. C. Hanne, Mr. P. H. Hanne, Mr. K. Harn, Mr. A. S. Hard, Ph. T. Harmborg, <sup>(KS)</sup> F. Harist, <sup>(KS)</sup> S. Harbada, <sup>(KS)</sup> R. D. Harrington, <sup>(KS)</sup> P. F. Harrinon, <sup>(KS)</sup> F. Hartjor, <sup>(KS)</sup> M. Hangawa, <sup>(KS)</sup> S. Hasegawa, 1993. Y. Hasegawa, 1983. A. Hasib, 1933. S. Haseani, 1983. S. Hang, 1933. R. Hanser, 1933. L. Hanswald, 1933. M. Havranck, [27] C. M. Hawkes, [6] R. J. Hawkings, [6] A. D. Hawkins, [6] T. Hayabi, [66] D. Haydes, [60] C. P. Hays, J. M. Hays, N. H. S. Hayward, N. J. S. J. Haywood, Ol. J. S. J. Head, N. J. T. Heck, N. J. V. Hedberg, N. J. L. Heckas, N. J. S. Heim, 1933 T. Heim, Ph.J. B. Heinemann, Ph.J. L. Heinrich, 1983. J. Hejhal, 1983. L. Helary, Ph.J. S. Hellman, 1984, 1983. D. Hellmich, Ph.J. C. Helsens, M.J. J. Henderson, DR.J. R. C. W. Henderson, T.J. Y. Hong, Ph.J. C. Hongler, G.J. A. Honrichs, Ph.J. A. M. Henriques Correin, M.J. S. Henrot-Versille, 102, G. H. Herbert, M.J. Y. Hernindez, Simbacz, 102, R. Herrberg-Schubert, M.J. G. Herten, M.J. R. Hertenberger, M.J. L. Hervas, M.J. G. G. Hecketh, M.J. N. P. Hossey, M.J. J. W. Herberty, M.J. R. Hickling, M.J. E. Higda Rodriguez, Mal. E. Hill, Mal. J. C. Hill, M.J. K. H. Hiller, M.J. S. J. Hillior, M.J. L. Hinchiffe, D.J. E. Hince, M. R. R. Hinnun, H.J. M. Hirose, 107, D. Hirschbuchl, Ph.J. J. Hobbs, 103, N. Hod, 207, M. C. Hodgkinson, 106, P. Hodgson, 106, A. Hoecker, M.J. M. R. Hoeferkamp, M.J. H. Hoenig, M.J. M. Hoblield, M.J. D. Hobs, M.J. T. R. Holmer, M.J. T. M. Hong, M.J. I. Hooft van Haysdrynen, 1962 W. H. Hopkins, 1962 Y. Hori, 1992 A. J. Horton, 1982 J.-Y. Hostachy, 252 S. Hou, 1962 A. Homensta, <sup>103, J</sup>. Howard, <sup>203, J</sup>. Howard, <sup>21, M</sup>. Hubrowk, <sup>203, J</sup>. Hristow, <sup>203, J</sup>. Howard, <sup>203, J</sup>. Howard, <sup>203, J</sup>. Hubrowk, <sup>203,</sup> F. Habast, N.J. F. Hagging, N.J. T. B. Huffman, 1985 E. W. Hagher, N.J. G. Hagher, N.J. M. Habtinen, N.J. T. A. Hilleing, N. Hosepson, M.J. J. Huston, M.J. J. Huth, 27.J. G. Iacobacci, M.J. G. Iakovidis, 27.J. I. Bragimov, M.J. L. Iconomidou Fayard, 177, E. Meal, Ph. Z. Mrissi, Ph. Rego, No. O. Igonkina, Ph. T. Szewa, Ph.J. Y. Beganni, M. R. Bernston, Ph.J. M. Berns, M.J. Y. Behesko, N.J. D. Bladis, N. Hic, M.J. Y. Isamuru, M.J. T. Ince, M.J. P. Isamou, M. Rodice, Mad. K. Iordanidou, M.J. V. Ippolito, St.J. A. Irlos Quilos, 101.3 C. Icaksson, 106.1 M. Ishino, 90.3 M. Ishinuka, 191.3 R. Ishnukhametov, 111.3 C. Isuwer, 1 ,154 authors

G. Aad, 85,† B. Abbott, 113,† J. Abdallah, 151,† O. Abdinov, 11,† R. Aben, 107,† M. Abolins, 90,† O. S. AbouZeid, 158,†







Available online at www.sciencedirect.com

#### **ScienceDirect**

**Procedia** Social and Behavioral Sciences

Procedia - Social and Behavioral Sciences 134 (2014) 213 - 219

ICLALIS 2013

Can't live without my FB, LoL: The influence of social networking sites on the communication skills of TESL students

Shakiratul Hanany Abd Rahman<sup>a</sup>\*

<sup>a</sup> Centre for the Promotion of Knowledge and Language Learning, Universiti Malaysia Sabah Sandakan Campus, Locked Bag No. 3, 90509 Sandakan, Sabah, Malaysia

It is getting common to see two or more people sitting together at a café but not talking to each other their smart phones, tablets or laptops to browse through social networking sites (SNSs) like Facebo name a few. Virtual communication seems to be more favourable to certain people as compared to

https://cyberleninka.org/article/n/158538.pdf





**Empirical** paper

Exploring entrepreneurial readiness of youth and startup success components: Entrepreneurship training as a moderator



Seun Azeez Olugbola

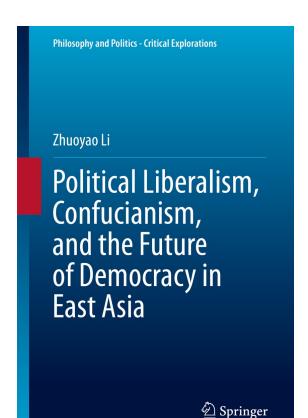
Faculty of Economics & Muamalat, Universiti Sains Islam Malaysia, 71800 Bandar Baru Nilai, Malaysia

ARTICLE INFO

Article history

From the behavioral perspective, this study analyzed the entrepreneurial readiness of youth

https://www.elsevier.es/index.php?p=revista&pRevista=pdf-simple&pii=S2444569X1730001X&r=376



https://link.springer.com/book/10.1007/978-3-030-43116-7

#### **DEFINITIONS OF AUTHORSHIP?**

# International Committee of Medical Journal Editors (ICMJE)

(www.icmje.org)

- 1) Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work; AND
- 2) **Drafting** the work or **revising** it critically for important intellectual content; AND
- Final approval of the version to be published; AND
- 4) 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.

### "PNAS", McNutt et al, 2018

(https://doi.org/10.1073/pnas.1715374115)

- 1) Each author is expected to have made <u>substantial</u> <u>contributions</u> to the **conception** or **design** of the work; or the **acquisition**, **analysis**, **or interpretation of data**; or the **creation of new software** used in the work; <u>OR</u> <u>have drafted the work or substantively</u> revised it;
- 2) AND to have approved the submitted version (and any substantially modified version that involves the author's contribution to the study);
- 3) AND to have agreed both to be personally accountable for the author's own contributions and to ensure that questions related to the accuracy or integrity of any part of the work, even ones in which the author was not personally involved, are appropriately investigated, resolved, and the resolution documented in the literature.



#### **DEFINITIONS OF NON-AUTHORSHIP?**

### ICMJE (www.icmje.org)

Contributors who meet fewer than all 4 of the above criteria for authorship should not be listed as authors, but they should be acknowledged. Examples of activities that alone (without other contributions) do not qualify a contributor for authorship are acquisition of funding; general supervision of a research group or general administrative support; and writing assistance, technical editing, language editing, and proofreading...

...obtain written permission to be acknowledged from all acknowledged individuals.

"PNAS", McNutt et al, 2018

(https://doi.org/10.1073/pnas.1715374115)

...To discourage ghost authorship, CAs [corresponding authors] must reveal as appropriate whether the manuscript benefited from the use of editorial services that, if unacknowledged, might constitute an undisclosed conflict of interest. Examples include use of an editor from an organization that may have a vested interest in slanting the results or reliance on a technical writer at a level that would warrant authorship credit.



#### **UNDERLYING PROBLEMS?**

#### Practical:

- o Differences in authorship definitions & criteria, weighting, thresholds
- Who did what & quality/quantity, record keeping, proof, relative importance?
- What happens when authors leave institutions during drafting / submission?

#### Institutional traditions

- No / unclear IP, data, thesis management policies (eg, student name not on paper)
- Power relations; students / juniors versus supervisors, lab / dept head (eg, supervisor name added to paper)

#### Credit & appraisal systems

- Institutions' publication rules for hiring, promotions, awards, graduation
- Institutions' promotion of <u>JIF</u>, <u>authorship position/type</u>, <u>metrics</u>, <u>quantity>quality</u>, no checks
- Funder assessments / government assessments / world rankings using JIF or cites





#### **JOINT AUTHORSHIPS**

RESEARCH ARTICLE

Gene Expression Patterns during Light and Dark Infection of *Prochlorococcus* by Cyanophage

## Luke R. Thompson<sup>1</sup> Qinglu Zeng<sup>2</sup> Sallie W. Chisholm<sup>1,2</sup>

1 Department of Biology, Massachusetts Institute of Technology, Cambridge, Massachusetts, United States of America, 2 Department of Civil and Environmental Engineering, Massachusetts Institute of Technology, Cambridge, Massachusetts, United States of America

These authors contributed equally to this work.

¤a Current Address: Southwest Fisheries Science Center, National Oceanographic and Atmospheric Administration, La Jolla, California, United States of America

¤b Current Address: Division of Life Science, Hong Kong University of Science and Technology, Clear Water Bay, Hong Kong, China

email

(LRT);

email

(SWC)



#### **UNETHICAL OR FRAUDULENT AUTHORSHIP?**



Gift authorship, eg, for funding, technical service, data/materials, supervision, artwork





Guest authorship
(name dropping of key
opinion leaders,
+/- permission)





Ghost authorship (missing from byline)

## Questionable authorship practices,

eg, reciprocating gift/guest authorship, paying, bartering, relinquishing authorship (demoting author to acknowledgements, =ghost author)



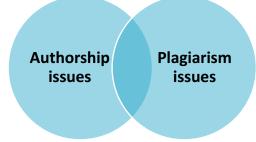
#### **UNETHICAL OR FRAUDULENT AUTHORSHIP?**













#### **UNETHICAL OR FRAUDULENT AUTHORSHIP?**



Knowingly publishing in predatory journal

https://publicationethics.org/res ources/research/paper-millsresearch



https://publicationethics.org/r esources/discussiondocuments/predatorypublishing





#### **UNETHICAL OR FRAUDULENT CONTRIBUTORSHIP?**

CRUSE

Guest contributorship



Fake / false contributorship



Coerced/coercive contributorship



Ghost contributorship

Could be ghost author if contribution was substantial

Ghost writer
Ghost editor
Ghost proofreader
Ghost translator



Questionable contributorship practices, eg, reciprocating guests, paying, bartering



Forged contributorship





#### **EXTENT & NATURE OF PROBLEM**

- 21% of articles in 6 medical journals in 2008 had undeserved +/- ghost authors (<a href="https://www.bmj.com/content/343/bmj.d6128">https://www.bmj.com/content/343/bmj.d6128</a>)
- 41% of first-authors of Cochrane reviews, 2016-2018, reported gift authorship (<a href="https://doi.org/10.1016/j.jclinepi.2020.08.004">https://doi.org/10.1016/j.jclinepi.2020.08.004</a>)
- 35.5% of respondents reported adding an undeserving author (<a href="https://journals.plos.org/plosone/article?id=10.1371/journal.pone.0187394">https://journals.plos.org/plosone/article?id=10.1371/journal.pone.0187394</a>)



#### **MISBEHAVIOUR OR MISCONDUCT?**

- Misrepresentation, impersonation, grant fraud; usually involves plagiarism
- Unjustified authorship is considered research misconduct in South Korea (Nature News 12 Nov 2019: More South Korean academics caught naming kids as co-authors, <a href="https://www.nature.com/articles/d41586-019-03371-0">https://www.nature.com/articles/d41586-019-03371-0</a>)
- "Legal remedies for medical ghostwriting: Imposing fraud liability on guest authors of ghostwritten articles" Stern S, Lemmens T (2011), PLoS Med 8(8): e1001070. doi:10.1371/journal.pmed.1001070. (<a href="https://journals.plos.org/plosmedicine/article?id=10.1371/journal.pmed.1001070">https://journals.plos.org/plosmedicine/article?id=10.1371/journal.pmed.1001070</a>)



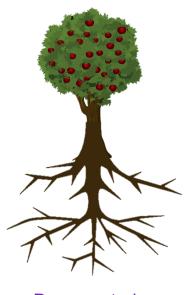


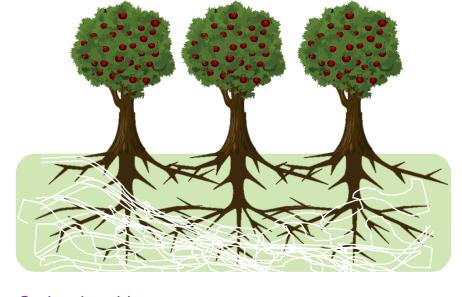
#### **EXTENT & NATURE OF PROBLEM**











Bad apples

Bad barrels

Bad tree

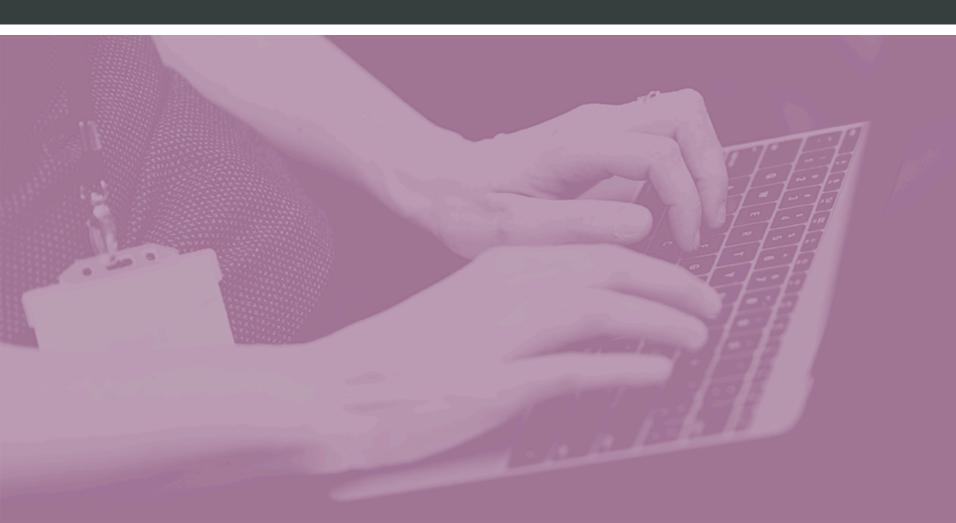
Deep-rooted systemic problem

Orchard problem

Network, community, environment
Underlying culture & ecosystem

## Possible solutions





publicationethics.org



#### **PUBLISH & NOURISH**

 No one reads paper
 Publication might prevent patenting

• Disinformation, unethical practice

Predatory journals

www.ThinkCheckSubmit.org

"Publish
or
perish"

"Publish and perish"

Publish and flourish

- Open Access OPEN ACCESS
- Research networks, conferences, debate
- Citations, reputation

Accountability, trust, corrections
 Knowledge exchange & research mobilisation
 Open Research, data sharing
 Societal impact: Sustainable development goals

Publish and nourish





## **CONTRIBUTOR ROLES TAXONOMY (CRediT)**

#### https://www.niso.org/publications/z39104-2022-credit

National Information Standards Organization

The Contributor Roles Taxonomy's 14 roles and best practices represent a simple but comprehensive system that enables the range and nature of contributions to scholarly published output to be captured in a transparent, consistent, and structured format

Conceptualization Resources

Data curation Software

Formal analysis Supervision

Funding acquisition Validation

Investigation Visualization

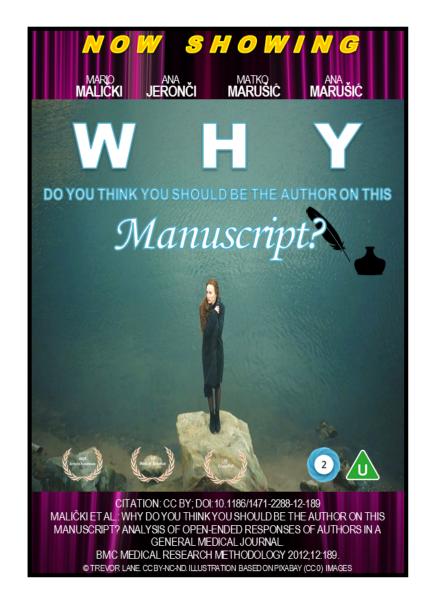
Methodology Writing – original draft

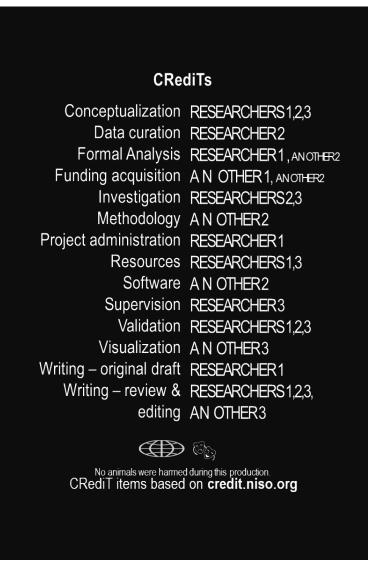
Project administration Writing – review & editing



#### **CREDITS?**

- Policies, procedures, guidelines for recording all contributions clearly
- But... journals usually ask for only authors' contributions
- Authorship criteria for institution / discipline / journal may differ
- Needs cross-checking in appraisals



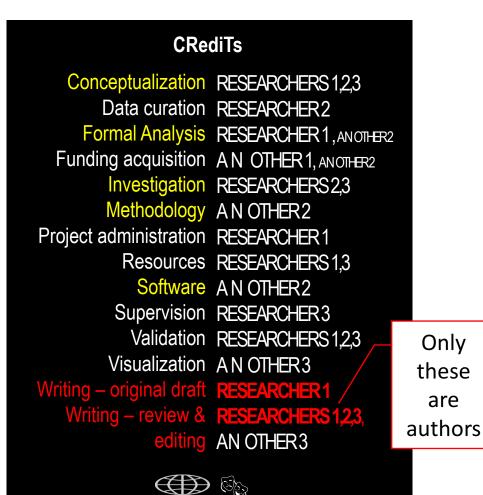




#### **AUTHORSHIP?**

# International Committee of Medical Journal Editors (www.icmje.org)

- Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work; AND
- 2) <u>Drafting the work or revising it critically for important intellectual content; AND</u>
- 3) Final approval of the version to be published; AND
- 4) 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.



No animals were harmed during this production. CRediT items based on **credit.niso.org** 



#### **AUTHORSHIP?**

"PNAS", McNutt et al, 2018 (https://doi.org/10.1073/pnas.1715374115)

- 1) Each author is expected to have made <u>substantial</u> <u>contributions</u> to the **conception** or **design** of the work; or the **acquisition**, **analysis**, **or interpretation of data**; or the **creation of new software** used in the work; <u>OR</u> have **drafted** the work or substantively **revised** it;
- AND to have approved the submitted version (and any substantially modified version that involves the author's contribution to the study);
- 3) AND to have agreed both to be personally accountable for the author's own contributions and to ensure that questions related to the accuracy or integrity of any part of the work, even ones in which the author was not personally involved, are appropriately investigated, resolved, and the resolution documented in the literature.

**CRediTs** 

More qualify as authors

Conceptualization RESEARCHERS 1,2,3

Data curation RESEARCHER 2

Formal Analysis RESEARCHER 1, ANOTHER2

Funding acquisition AN OTHER1, ANOTHER2

Investigation RESEARCHERS 2,3

Methodology ANOTHER2

Project administration RESEARCHER1

Resources RESEARCHERS 1,3

Software AN OTHER2

Supervision RESEARCHER3

Validation RESEARCHERS 1.2.3

Visualization ANOTHER3

Writing – original draft RESEARCHER 1
Writing – review & RESEARCHERS 1,2,3,

editing AN OTHER3



No animals were harmed during this production. CRediT items based on **credit.niso.org** 



#### **AUTHORSHIP?**

## "Neurology" journals

(American Academy of Neurology; <a href="https://www.neurology.org/authorship-and-disclosures">https://www.neurology.org/authorship-and-disclosures</a>)

Neurology defines an author as a person who has made a <a href="mailto:substantive">substantive intellectual contribution</a> to the submitted manuscript. A substantive contribution includes one or more of the following:

Design or conceptualization of the study

OR major role in the acquisition of data

**OR** analysis or interpretation of the data

OR <u>drafting</u> or <u>revising</u> the manuscript for intellectual content

 All those qualifying for authorship must give final approval of the version to be published and take responsibility for the conduct of the research.

Professional writers employed by pharmaceutical companies or other academic, governmental, or commercial entities who have drafted or revised the intellectual content of the paper must be included as authors.



Conceptualization RESEARCHERS 1,2,3

Data curation RESEARCHER 2

Formal Analysis RESEARCHER 1, ANOTHER 2

Funding acquisition AN OTHER 1, ANOTHER 2

Investigation RESEARCHERS 2,3

Methodology ANOTHER2

Project administration RESEARCHER 1

Resources RESEARCHERS 1,3

Software ANOTHER2

Supervision RESEARCHER3

Validation RESEARCHERS 1.2.3

Visualization ANOTHER3

Writing – original draft RESEARCHER 1

Writing – review & RESEARCHERS 1,2,3,/

editing AN OTHER3, EDITOR



No animals were harmed during this production. CRediT items based on **credit.niso.org** 

Writer/
editor
also as
author



#### **DISPUTE RESOLUTION**

- Journal action
  - Refer to authors/institution (& halt review / publication)
  - o If published:
    - Expression of Concern while unresolved
    - Correction if content still reliable (after all parties agree & sign)
    - Retraction if legal/ethical issue (& refer misconduct to institutions)
- Group discussion / negotiation → revised authorship list
- (Multi)-Institutional investigation
  - Mediation (group resolution), Arbitration (3<sup>rd</sup> party resolution, eg, Authorship dispute board)
  - Escalation if misconduct → disciplinary action
  - Inform journal of outcome → revised authorship list



#### **DISPUTE PREVENTION**

#### 1. Research appraisal systems:

- quality > quantity, peer review
- limits on # publications & no JIF in CV
- 'narrative' CV
- evaluate contributions, 'stewardship'

#### 2. Institutions (eg, central & faculty/discipline):

- policies/agreements/forms on authorship / contributorship roles, IP (copyright, patents)
   & training to predict & prevent problems
- record all roles (eg, CRediT system);
   try scoring charts
- keep Tracked copies, notebooks
- o dispute resolution procedures, RIO / advisor

#### 3. Journals:

- clear authorship & contributorship
   (acknowledgement) guidelines & criteria
- record & publish author contributions;
   explain order; equal authors allowed?
- o author transparency, Col, © transfer forms
- o correspond with <u>all</u> authors
- management guidelines on allegations & authorship dispute, including publication/process management
- open peer review vs anonymised review
- post-publication review/discussion & amendments



#### INTERNATIONAL GUIDELINES & INITIATIVES

RePAIR Guidelines (Responsibilities of Publishers, Agencies, Institutions, and Researchers in Protecting the Integrity of the Research Record)

**CLUE Guidelines** (Cooperation & Liaison between Universities & Editors)

COPE Guidelines: Cooperation between research institutions and journals on research integrity cases



San Francisco
Declaration on Research Assessment
<a href="https://sfdora.org/">https://sfdora.org/</a>

- recognizes the need to improve the ways in which researchers and the outputs of scholarly research are evaluated.



#### **INTERNATIONAL GUIDELINES & INITIATIVES**

# THE HONG KONG PRINCIPLES FOR ASSESSING RESEARCHERS

Hong Kong Principles for Assessing Researchers
<a href="https://journals.plos.org/plosbiology/article?id=10.1371/journal.pbio.3000">https://journals.plos.org/plosbiology/article?id=10.1371/journal.pbio.3000</a>
<a href="https://wcrif.org/guidance/hong-kong-principles">https://wcrif.org/guidance/hong-kong-principles</a>

Leiden Manifesto for Research Metrics
<a href="http://www.leidenmanifesto.org/">http://www.leidenmanifesto.org/</a>
Singapore Statement on Research Integrity
<a href="https://wcrif.org/statement">https://wcrif.org/statement</a>
Montreal Statement on Research
Integrity in Cross-Boundary Research
Collaborations
<a href="https://wcrif.org/montreal-statement/file">https://wcrif.org/montreal-statement/file</a>



## https://ori.hhs.gov/infographics

- Discuss, agree, record before each project/paper
  - Document contributions
- Follow publication authorship criteria
- Discuss throughout project/paper
- Review & approve final paper

# AUTHORSHIP PRACTICES TO AVOID CONFLICTS

## Every field of study experiences conflicts with determining authorship on published papers



Implementing the following suggestions may help avoid potential authorship disputes:

#### BE PREPARED

Establish written authorship agreements with all members of the lab and other collaborators before preparing a manuscript or before starting a project.

#### **DOCUMENT CONTRIBUTIONS**

Authors should list their substantial contributions to the design of the study; the acquisition, analysis, or interpretation of data; and the contribution to the writing of the final paper.

#### BE CONSISTENT

Have clearly written expectations for authorship on publications and follow them.

#### COMMUNICATE OFTEN

As the project progresses, the authorship agreement may need to be revisited.

#### APPROVE THE MANUSCRIPT

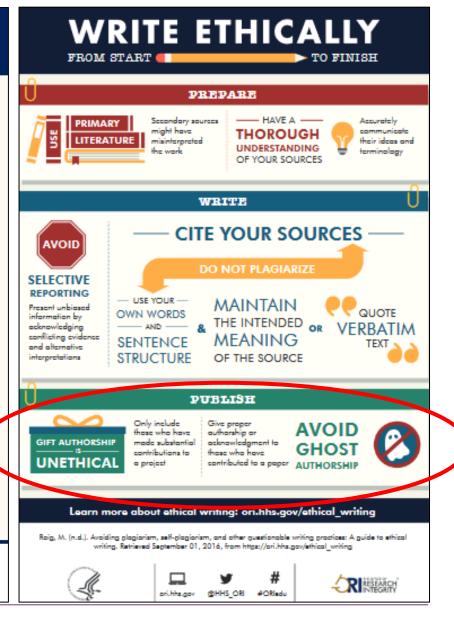
All authors should review manuscripts a approve the final version.

This may include people who provide support such as: editorial assistance (e.g., proofreading), limited data collection, supervision of research tasks without contribution to the collection, analysis, or interpretation of data, or the writing of the publication, and technical support









## Any questions?





## **THANK YOU**

Dr Trevor Lane, COPE Council; Chair, Education Subcommittee Email: trevorlane@publicationethics.org





## publicationethics.org

Registered charity No 1123023
Registered in England and Wales, Company No 6389120
Registered office: **COPE** New Kings Court, Tollgate, Chandler's Ford, Eastleigh, Hampshire, SO53 3LG, United Kingdom

©2022 Committee on Publication Ethics (CC BY-NC-ND 4.0)







PROMOTING INTEGRITY IN SCHOLARLY RESEARCH AND ITS PUBLICATION