COPE PROMOTING INTEGRITY IN RESEARCH AND ITS PUBLICATION

RESPONSIBLE AUTHORSHIP

Panel discussion promoting best practices for responsible authorship (SY2)

View from COPE – Dr. Charon Pierson
View from Institutions – Dr. Tracey Bretag
View from Journals – Dr. Siu-wai Leung
View from Third Parties – Dr. Trevor Lane

Disclosures – funding provided by COPE, a Registered UK Charity

View from COPE – Qualitative Analysis of 134 Authorship Cases

Dr. Charon Pierson, COPE Council & Trustee Board, Immediate Past Secretary

Editor Emeritus, *Journal of the American Association of Nurse Practitioners*

COPE’s Core Practices

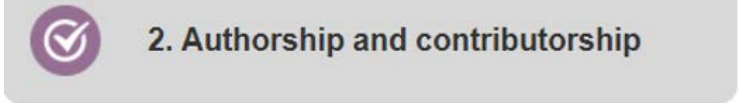
COPE assists editors of scholarly journals and publishers - as well as other parties, such as institutions - in their work to preserve and promote the integrity of the scholarly record through policies and practices. COPE describes these in 10 “Core Practices”. COPE's Core Practices should be considered alongside specific national and international codes of conduct for research.

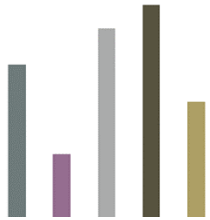
Core practices are the policies and practices journals and publishers need, to reach the highest standards in publication ethics. We include cases with advice, guidance for day-to-day practice, education modules and events on topical issues, to support journals and publishers fulfil their policies.

View all core practices

1. Allegations of misconduct
2. Authorship and contributorship
3. Complaints and appeals
4. Conflicts of interest / Competing interests
5. Data and reproducibility
6. Ethical oversight
7. Intellectual property
8. Journal management
9. Peer review processes
10. Post-publication discussions and corrections

https://publicationethics.org/core-practices





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Home

Authorship and contributorship

> 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

View | Edit

Cases

Victim of article theft wants correction to list their name, not retraction

Peer reviewer contacted by author

Authorship conflict

View all Authorship and contributorship cases

Guidelines

How to handle authorship disputes: a guide for new researchers

Flowcharts

How to recognise potential authorship problems

Systematic manipulation of the publication process

General approach to publication ethics for the Editorial Office

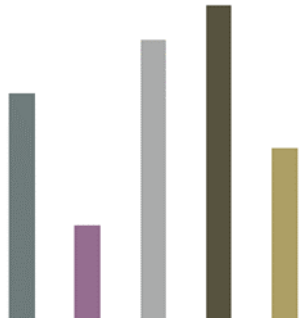
View all Authorship and contributorship flowcharts

Analysis of Authorship Cases

COPE database of cases (N=597) presented to Forum for discussion includes 134 (23%) cases related to authorship and contributorship through December 2018
(https://publicationethics.org/guidance/Case)

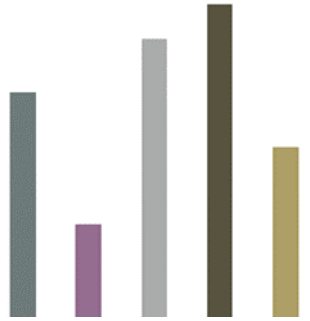
Qualitative content analysis of written case presentation
Cases brought to COPE Forum by members (1997-2018)

29 specific categories assigned to reflect major issues
Cases are complex and multiple categories apply



Overarching Question about Behaviors

- Unintentional
  - Legitimate confusion
  - Naiveté
  - Cultural misunderstandings
  - Vulnerable authors
  - Honest disagreement about the science
- Intentional
  - Protection of reputation
  - Territorial disputes
  - Deliberate plagiarism
  - Bullying or threatening
  - Conflicts of interest
  - Forging documents



Top 5 most common problems

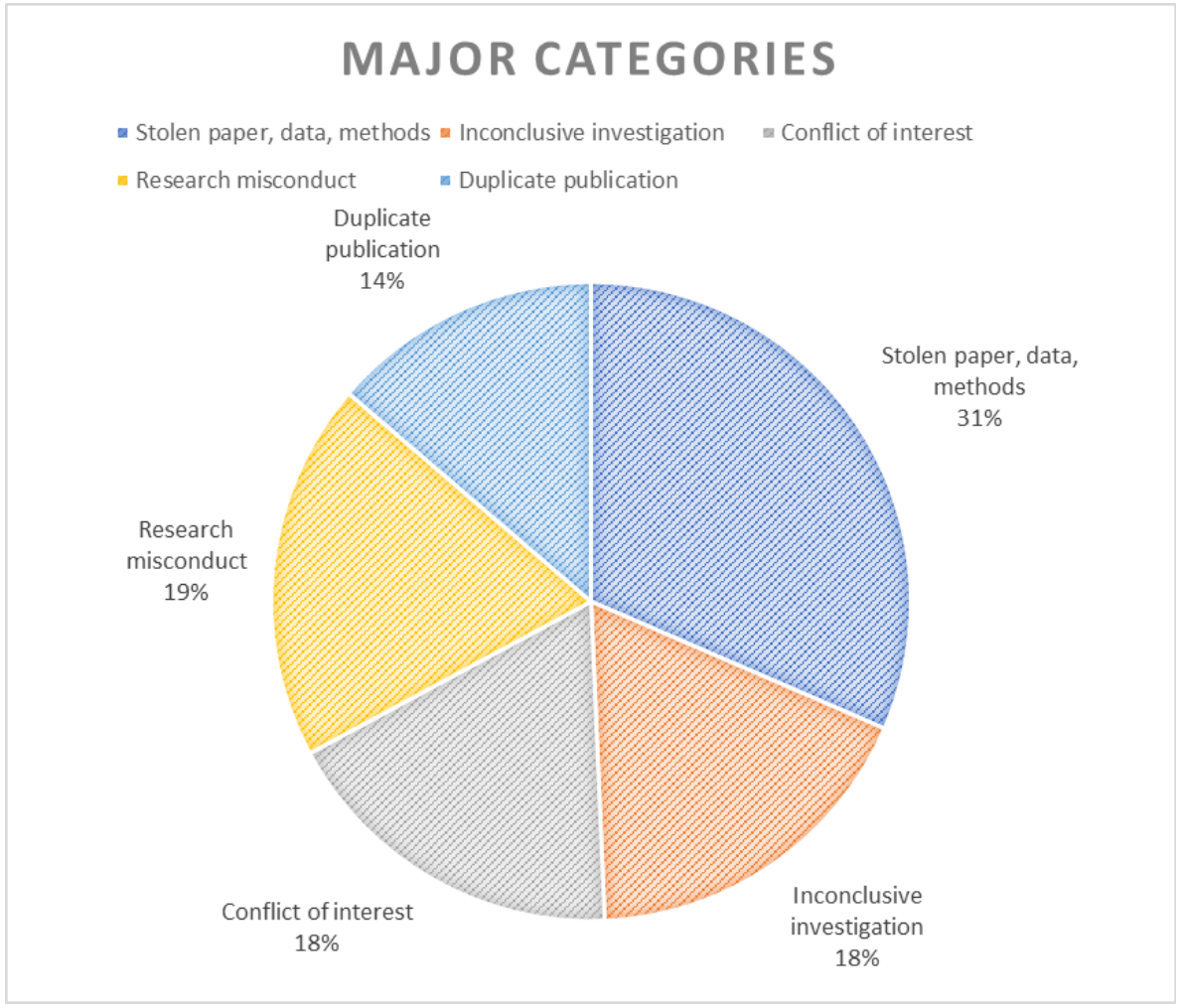
Claims that data, methods, intellectual content stolen

Institutional investigation was incomplete, inconclusive, suspicious

Undeclared conflicts of interest

Misconduct in conducting, analyzing, or reporting findings

Duplicate publication or salami slicing



Author activities involved in disputes

Changes to author list: removal, omission, or addition after submission

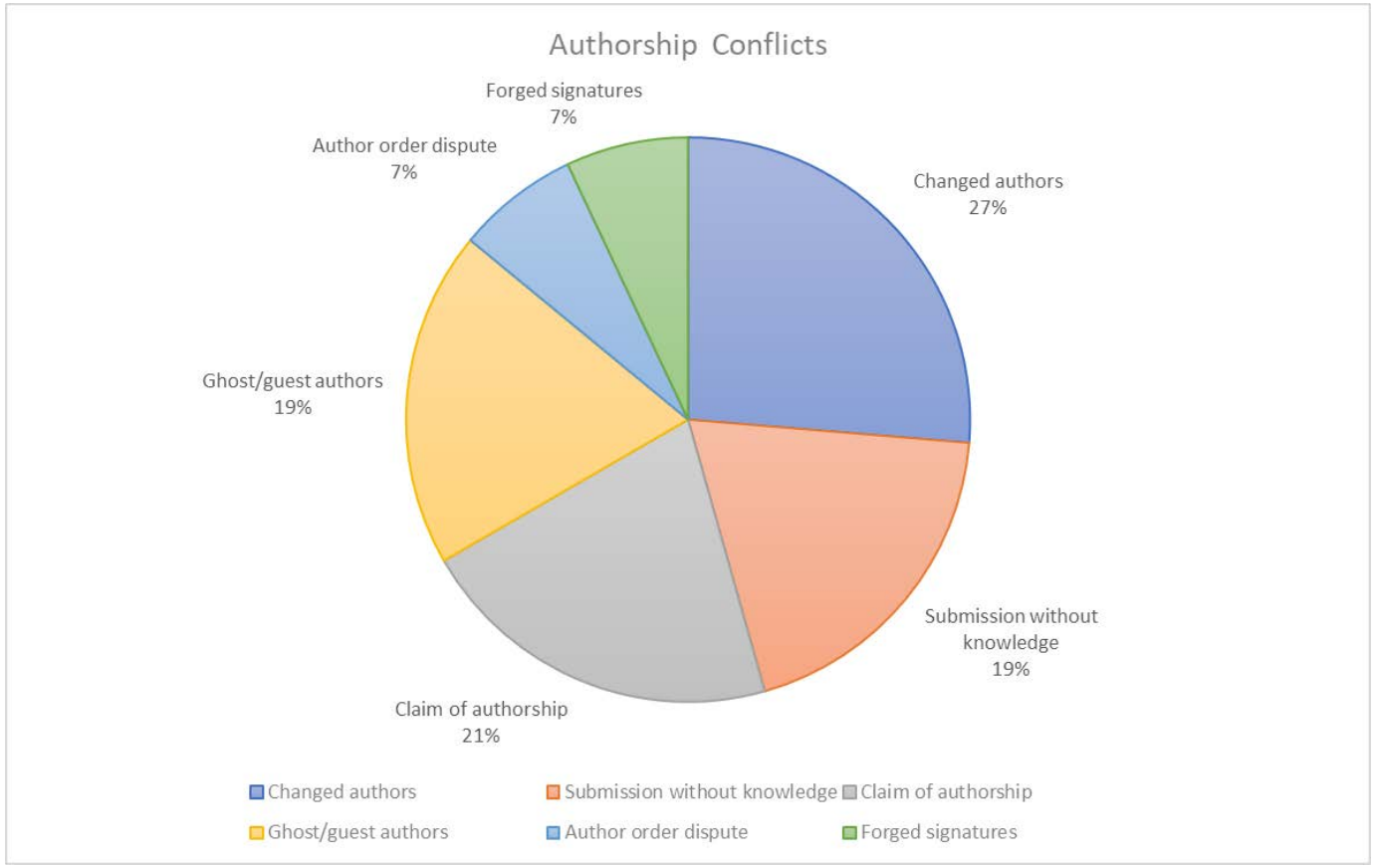
Manuscripts submitted without knowledge of one or more listed authors

Claims of authorship after submission or publication

Ghost, guest, gift authors

Disputed order of authors

Forged signatures on submission and/or copyright transfer forms



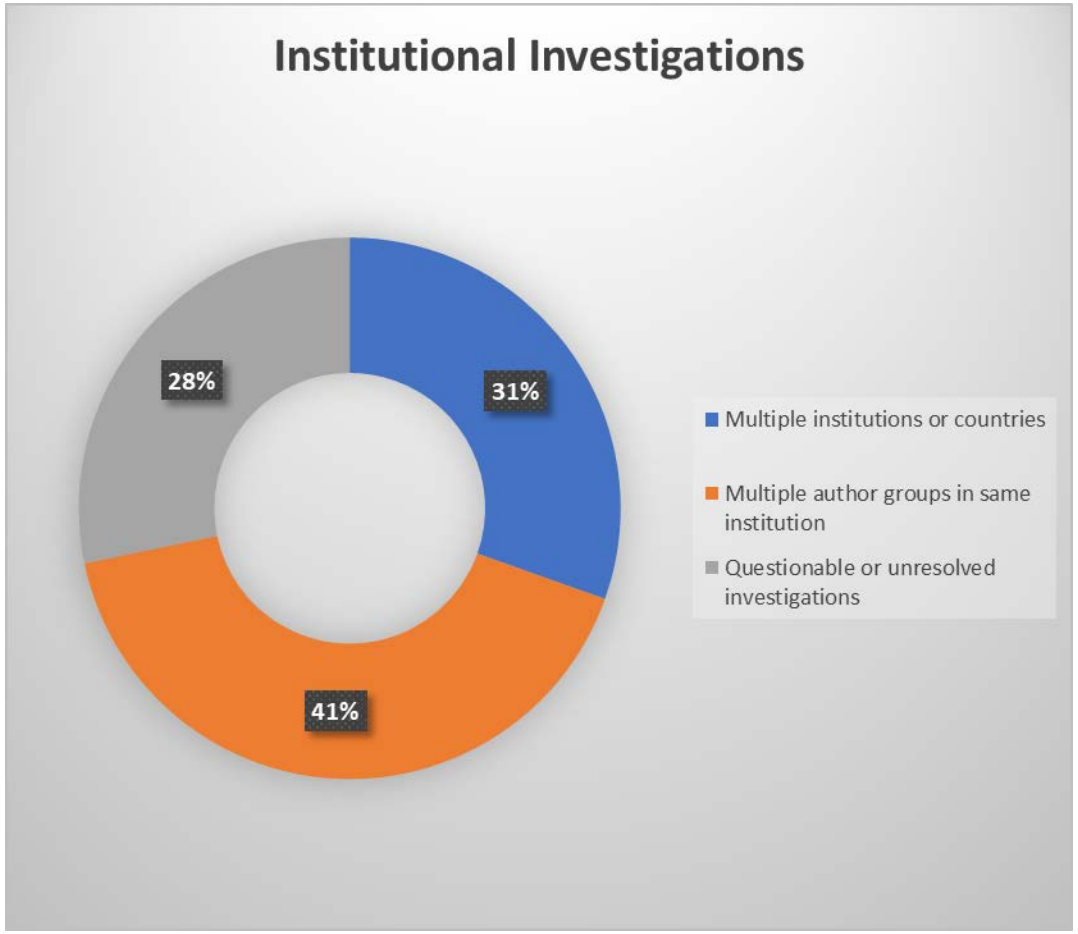
Institutional investigations of complex cases

Often involved large studies or clinical trials

Frequently involved patents or proprietary intellectual property

Legal issues complicated proceedings

Cases were extremely complex



Cases of Claims of Theft (N=47)

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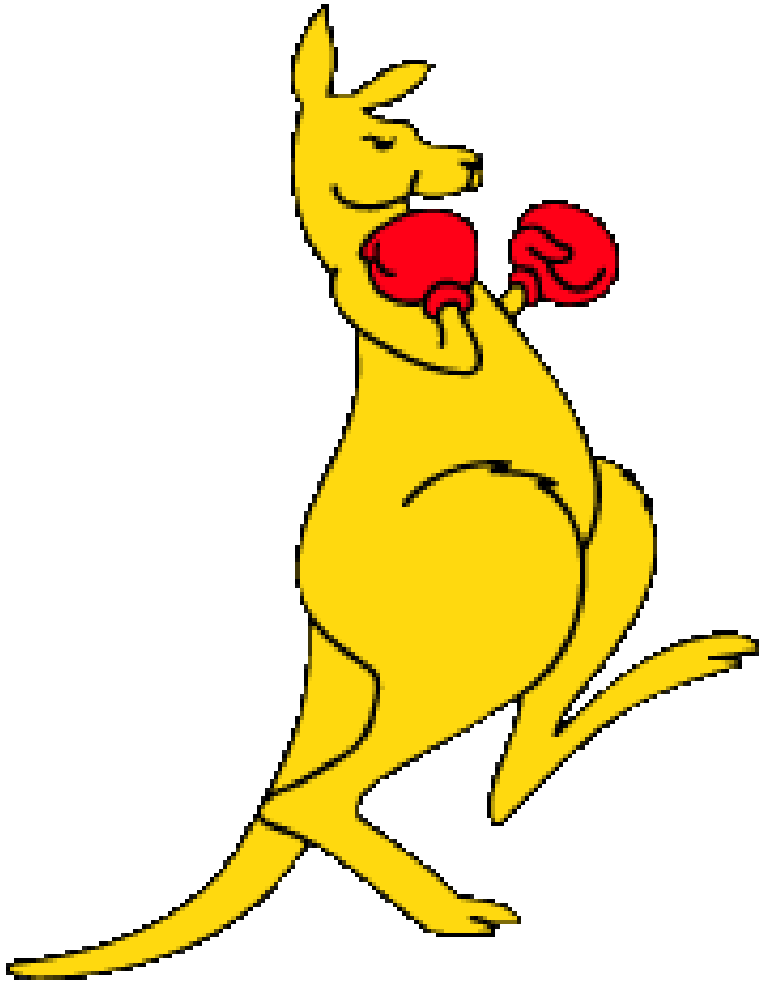
- Stolen data, methods, materials, verbal content = 23
- Student work submitted by supervisors, others = 7
- Translated article fails to acknowledge original = 2
- Legitimate authors removed or omitted, inappropriate addition of other authors = 15

Cases of Authors Fighting (N=35)

- Differences of opinion or interpretation of data = 11
- Legal threats or disputes = 10
- Authorship order disputes = 4
- Submission delayed by supervisor = 3
- Bullying by one author = 7



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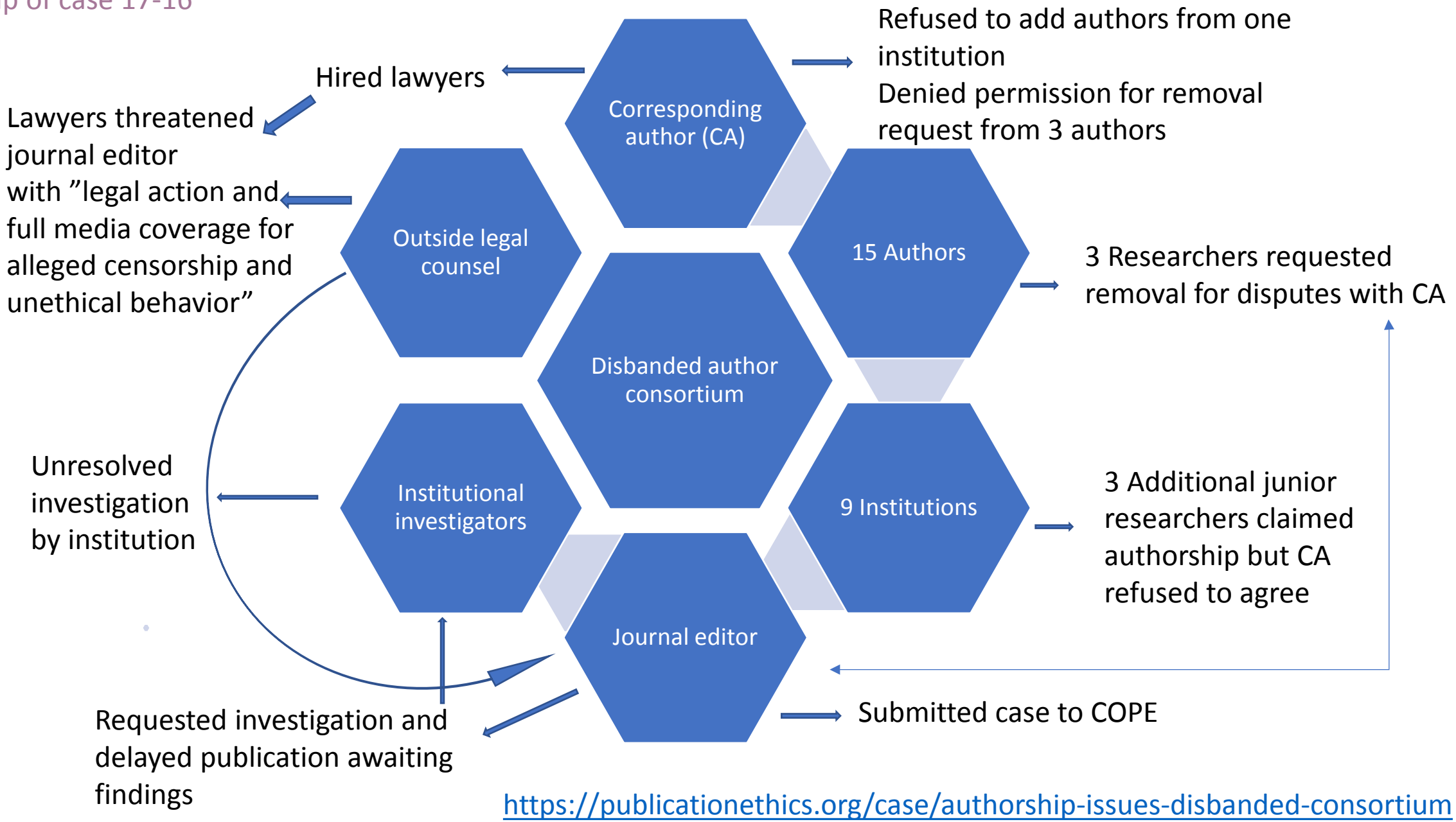
Cases of Shadowy/Mystery Authors (N=35)

- Ghost authors = 3
- Guest/gift authors = 8
- Unaware of submission = 11
- Disappearing authors = 5
- Forging authors = 4
- Implausible productivity = 1
- Anonymous authors = 1
- Questionable personal integrity = 2

Map of case 17-16



https://publicationethics.org/case/authorship-issues-disbanded-consortium

Please save your questions until all the presenters have finished

Thank You

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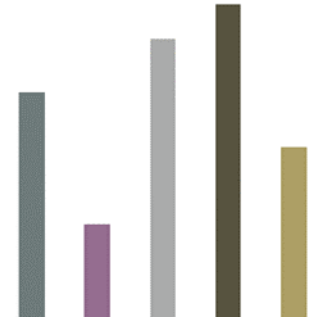

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