Standards in authorship

COPE Webinar
29 June 2017

Guest speakers:
Deborah Poff, Editor-in-Chief, *Journal of Academic Ethics*
Kelly Cobey, Senior Clinical Research Associate, Ottawa Hospital Research Institute
Liz Allen, Director of Strategic Initiatives, *F1000*

Moderator:
Trevor Lane, Education Director and Senior Publishing Consultant, Edanz Group

COPE Webinar: Standards in authorship

Trevor Lane

Education Director and Senior Publishing Consultant, Edanz Group

COPE Council Member

Deborah Poff

Editor-in-Chief, *Journal of Academic Ethics,*

Advances in Business Ethics Research (book series)

COPE Vice-Chair and Chair-Elect

Kelly Cobey

Senior Clinical Research Associate, Ottawa Hospital Research Institute, Ottawa, Canada

Liz Allen

Director of Strategic Initiatives, *F1000*

Co-Chair of Project CRediT (Contributor Roles Taxonomy)

Webinar overview

- Introduction: authorship issues & COPE resources

- Presentations by guest speakers

- Discussion (Q/A): **please type your questions in the Question Box** *(not the Chat Box)*

Recording & summary report will be uploaded to COPE website

Importance of authorship
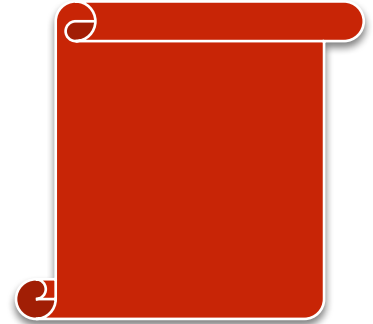
- Record of attribution

- Moral and legal rights

- Accountability in investigations

- Key in shaping research/academic careers

Authorship practices

Who
did
what?

- Larger groups (100s-1000s of authors); multiple institutions, countries, disciplines; new disciplines

- Depends on culture, research group, department, institution, discipline, journal, country…

COPE resources on authorship

publicationethics.org/resources

- 122 / 566 **COPE Forum cases** related to authorship, mostly author disputes

- *How to handle authorship disputes: a guide for new researchers*

- **COPE flowcharts:**
  - o What to do if you suspect ghost/guest/gift authorship
  - o How to spot authorship problems
  - o Adding/removing authors before publication
  - o Adding/removing authors after publication

COPE resources on authorship

publicationethics.org/resources

- **eLearning** module on authorship

- Discussion document: *What constitutes authorship?*

publicationethics.org/files/u7141/Authorship_DiscussionDocument_0_0.pdf

C | O | P | E   COMMITTEE ON PUBLICATION ETHICS

What constitutes authorship? COPE Discussion Document

COPE Council
9 June 2014

This document aims to stimulate discussion around the most common authorship issues faced by COPE members. It discusses existing guidelines on authorship, puts together some basic principles to help prevent common problems, and sets out some of the more thorny issues that have come to light in previous discussions, many of which are discipline-specific and which require more nuanced consideration. COPE welcomes feedback on this document and invites members to point out further authorship guidelines from across disciplines. We encourage journal editors and publishers to comment (whether or not they are COPE members), and also welcome comments from researchers/authors and academic institutions. Please email all comments to Natalie Ridgeway, COPE Operations Manager at http://publicationethics.org/contact-us

ORCID

Open Researcher and Contributor ID

- Persistent digital identifier for researchers

ICMJE

International Committee of Medical Journal Editors

- Declaration, 4 authorship criteria

CRediT

Consortia Advancing Standards in Research Administration Information (CASRAI)
Contributor Roles Taxonomy (CRediT)

- Standardised contributorship roles

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Q

Can we or should we standardise authorship across disciplines?

Authorship Issues in the Humanities and Social Sciences

Deborah Poff, CM, PhD

The Problem of Talking about the Humanities and Social Sciences together

Humanities Distinction

Important point not said frequently enough
Authorship issues

- Most articles and monographs single authored.

- Thesis supervision often results in student publications but mostly with no expectation of authorship on the part of the supervisor or members of the supervisory committee.

- Frequently, ethical issues are not so much about authorship as they are about: excessive self-citation; plagiarism, redundant publications and the problem of citation in 'received wisdom.'

Social Sciences

- More similarities with sciences generally.

- Considerable work done on research integrity, publication ethics and authorship, among professional organizations, such as, the APA, ASA, CSA, CPA, etc.

- There is some family resemblance within the Social Sciences in terms of authorship norms with exceptions (e.g., unless otherwise stated, authors are listed alphabetically and when that practice is not followed, the order indicates the level of authorial leadership and responsibility for the publication).

- Within some disciplines, for example, Psychology, the assumption is that with respect to journal articles based on a thesis or dissertation, the student is first author.

- Social Sciences generally have a smaller number of authors per research project although this can vary with large labs and multidisciplinary teams.

- With respect to the Social Sciences overall, from my experience as an EIC and from research in the field, most authorship disputes arise from not clearly stipulating authorship roles prior to engaging in the research or because of interpersonal conflict that arises between the co-investigators or members of the team.

- With respect to clarity and transparency about authorial roles, guidelines like the ICMJE or the American Psychological Association are helpful in identifying the substantive roles that must be present for ascribing authorship within the Social Sciences.

- Particularly with respect to students, but also for the sake of all researchers in a project, the best practice of identifying roles and responsibilities in writing (with agreement) is crucial to avoiding disputes later.

Some Unique Issues for Social Scientists

- Given the unique cultural factors in some Social Science research, unique common understanding among researchers and the participants of research needs to be identified upfront.

- E.g., many Aboriginal communities require that members of the community are authors in all research that takes place in those communities and also assert that they can veto publications if they believe the findings to be harmful to the communities.

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Relationship between Journals and Institutions during Investigations

- Reasonably and for legal and labour relations factors, universities conduct investigations with respect to misconduct in publications.

- This can be an unusually long and protracted process which leaves the journal either making interim process announcements or making decisions independent of university investigations.

COPE's Pilot Project with Universities

While COPE respects the autonomy of university governance, we are in a test pilot mode with respect to creating a category of university membership in COPE. We hope that among other things this will lead to:

1. Enhanced common educational practices on publication ethics issues, including appreciation of distinct issues for different disciplines, and

2. Common understanding of the role and importance of journals in knowledge dissemination and the protection of research integrity with the mutual understanding of how this matters to universities.

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Thanks very much

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Lightning Poll 1

Engaging Research Institutions in Authorship Outreach

COPE Webinar

29 June 2017

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Why do institutions care about authorship?

Authorship as a metric:
- Authorship confers credit (Rennie & Glanagin, 1994; JAMA)
- Research institutions use publications as a metric to highlight academic productivity and the achievement of impact

Why do institutions care about authorship?

Desire to avoid authorship conflict:
- Researchers
- Journals

Solution: Internal authorship policies

Trextron ♥, Flickr

Need for training and support

- How to draft useful policies which are broadly applicable and in line with international best practice

- How to stay up to date with changes in authorship best practice

- When and how to incorporate novel tools/practices as policy
  - Risk averse: don't want to ask more of busy researchers

- How to create and disseminate training to researchers
  - Potential for shared resources, policy templates

Research integrity officers (RIO)

- Often reactive rather than proactive due to resource constraints

- Could standard training be developed to support those acting in these roles?

- Are networks established within/between countries for RIO's to get the support they need?

Publications Officers

- Dedicated staff who could be responsible for teaching what is and isn't ethical in regards to authorship

Olga Berrlos, Flickr

Institutions need to take a seat at the table

- Typically only interact with journals when dealing with alleged misconduct
- There needs to be monitoring of changes to authorship policies and researcher needs assessments
- Contribute to implementation of new tools
  - CRediT

- **Along with authorship comes important responsibilities; research institutions have an obligation to support their employees in publications best practice.**

Mark Hakansson, Flickr

Engaging Research Institutions in Authorship Outreach

Thank You

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Lightning Poll 2

EXPLAINING THE CONTRIBUTOR ROLES TAXONOMY (CRediT)

Liz Allen

Director, Strategic Initiatives, F1000

29 June 2017

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PROBLEMS WITH AUTHORSHIP WELL ESTABLISHED

When Authorship Fails
A Proposal to Make Contributors Accountable

Drummond Rennie, MD; Veronica Yank; Linda Emanuel, MD, PhD

≫ Author Affiliations

Editorials

Authorship: time for a paradigm shift?

CHANGING CURRENCY: AUTHORSHIP

DEMISE OF THE LONE AUTHOR
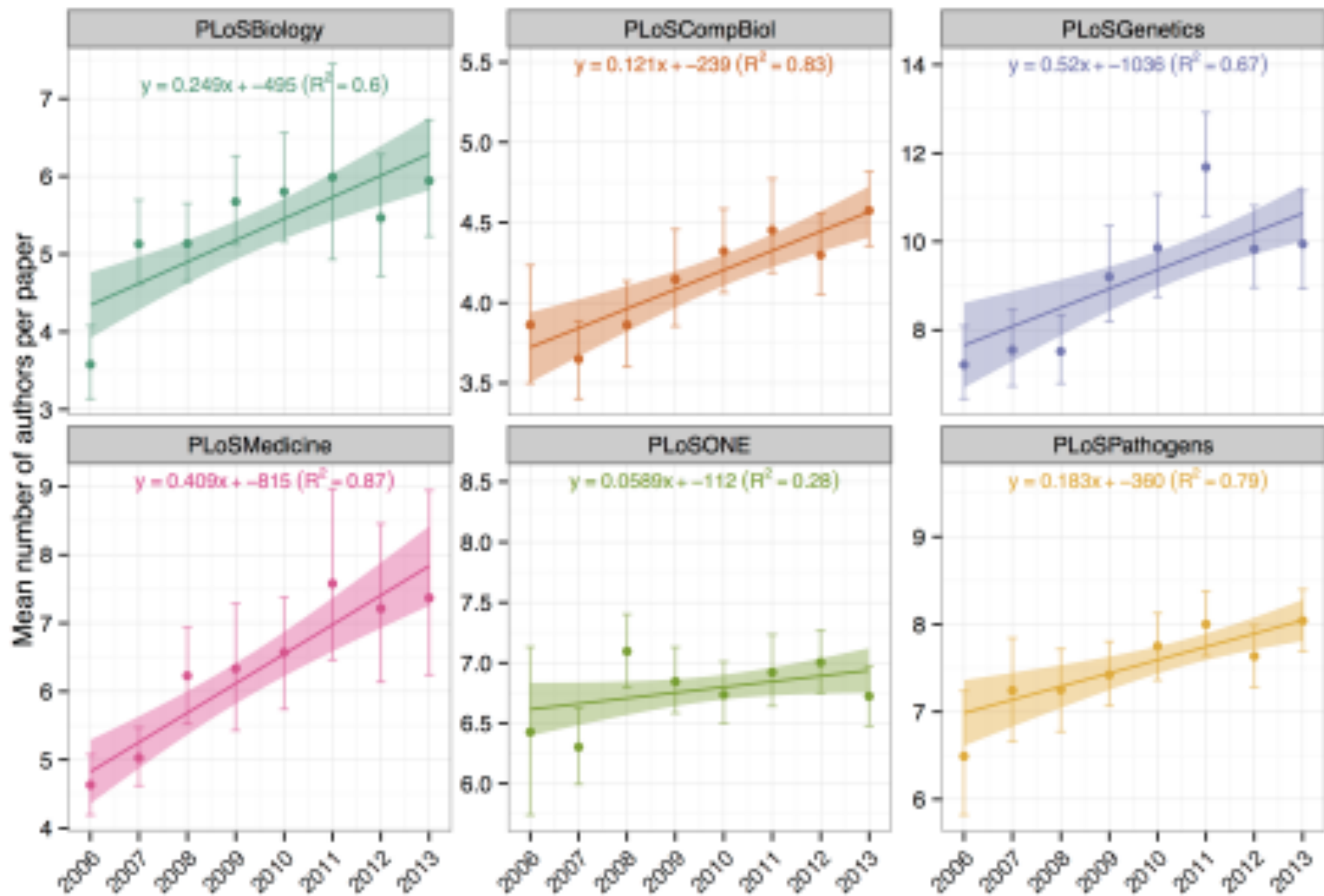
RATIONALE FOR MORE ABOUT CONTRIBUTION ...

Researchers

- Credit for true contribution
- Credit for 'new'/specific roles
- Identify collaborators
- Benefit junior reviewers
- Reduce authorship politics?
- Accountability

Research funders

- Supporting grant applications
- Understanding impact
- Awarding credit
- Identifying peer reviewers
- Identifying new funding opportunities

Research institutions

- Support tenure & appointment
- New esteem indicators for staff
- Understanding impact

Publishers

- Increase transparency
- Reduce author disputes
- Simplify process of chasing authors
- Identifying peer reviewers

CONTRIBUTOR ROLES TAXONOMY: ORIGINS …

1. Wellcome-Harvard workshop 2011

2. Initial collaboration with medical editors (ICMJE)

3. Developed draft taxonomy (2012/13)

4. Pilot with corresponding authors (2013)

5. Refine taxonomy & consultation phase 2 (2014 -)

6. casrai 'custodian' of CRediT (2014 -)
   (http://casrai.org/CRediT)

7. Implementations 2015 onwards ….

Term	Definition
Conceptualization	*Ideas; formulation or evolution of overarching research goals and aims.*
Methodology	*Development or design of methodology; creation of models.*
Software	*Programming, software development; designing computer programs; implementation of the computer code and supporting algorithms; testing of existing code components.*
Validation	*Verification, whether as a part of the activity or separate, of the overall replication/reproducibility of results/experiments and other research outputs.*
Formal Analysis	*Application of statistical, mathematical, computational, or other formal techniques to analyse or synthesize study data.*
Investigation	*Conducting a research and investigation process, specifically performing the experiments, or data/evidence collection.*
Resources	*Provision of study materials, reagents, materials, patients, laboratory samples, animals, instrumentation, computing resources, or other analysis tools.*
Data Curation	*Management activities to annotate (produce metadata), scrub data and maintain research data (including software code, where it is necessary for interpreting the data itself) for initial use and later re-use.*
Writing – Original Draft	*Preparation, creation and/or presentation of the published work, specifically writing the initial draft (including substantive translation).*
Writing – Review & Editing	*Preparation, creation and/or presentation of the published work by those from the original research group, specifically critical review, commentary or revision – including pre- or post-publication stages.*
Visualization	*Preparation, creation and/or presentation of the published work, specifically visualization/data presentation.*
Supervision	*Oversight and leadership responsibility for the research activity planning and execution, including mentorship external to the core team.*
Project Administration	*Management and coordination responsibility for the research activity planning and execution.*
Funding Acquisition	*Acquisition of the financial support for the project leading to this publication.*

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Salmonella Gets Gutted
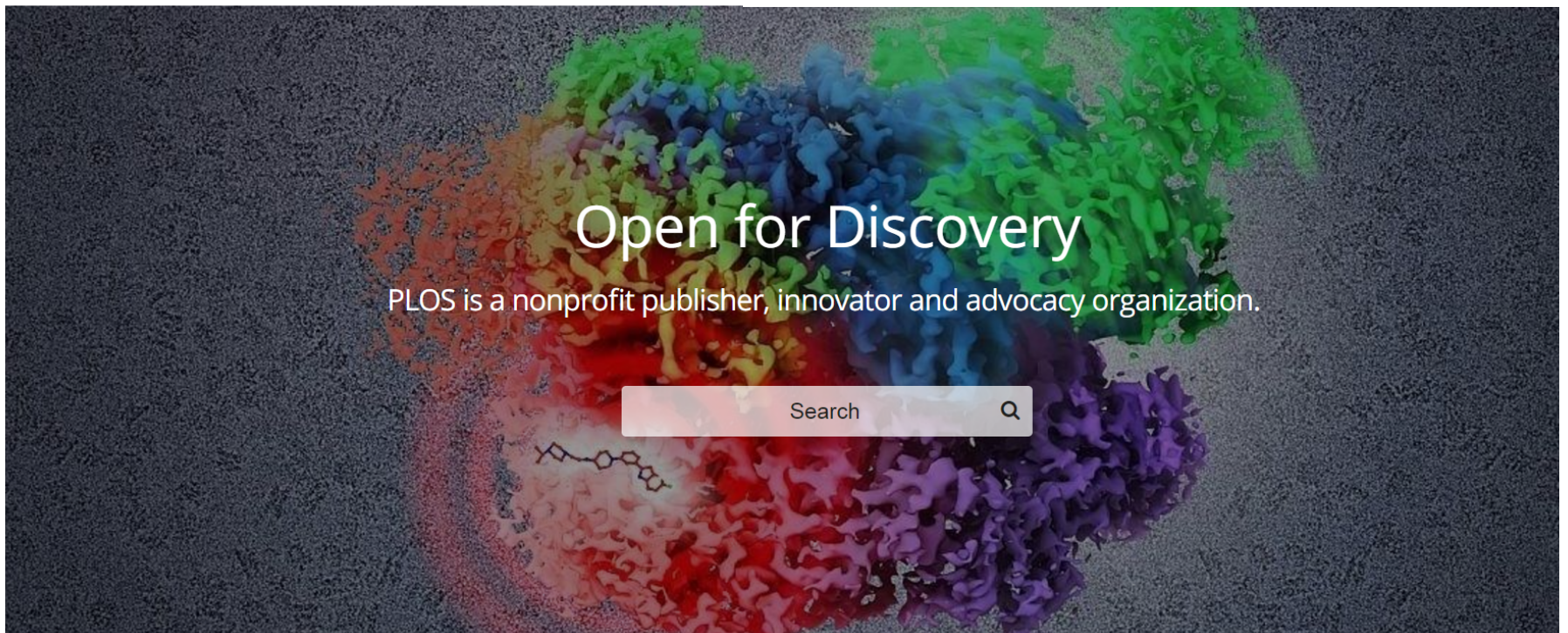
Strowig and colleagues in *Cell Host & Microbe* determine that intestinal microbiota ameliorates acute *Salmonella*-induced diarrhea by priming the immune system, resulting in enhanced IFNγ production, and preventing tissue invasion.

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RESEARCH ARTICLE

Vection is the main contributor to motion sickness induced by visual yaw rotation: Implications for conflict and eye movement theories

Suzanne A. E. Nooij ✉, Paolo Pretto, Daniel Oberfeld, Heiko Hecht, Heinrich H. Bülthoff

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Competing Interests

The authors have declared that no competing interests exist.

Author Contributions

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Contributorship badges: a new project

Posted on November 21, 2014 by Abigail Cabunoc Mayes

At the Science Lab, we're always looking for opportunities to work with the community to build prototypes that help research thrive on the open web. We find that these prototypes are best approached by bringing together existing tools and the right groups rather than starting from scratch. This way, we can bridge gaps in workflow and communities while building on existing work done in this space.

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New Results

Transparency In Authors' Contributions And Responsibilities To Promote Integrity In Scientific Publication

ⓘ Marcia McNutt, ⓘ Monica Bradford, ⓘ Jeffrey Drazen, ⓘ R. Brooks Hanson, ⓘ Bob Howard, ⓘ Kathleen Hall Jamieson, ⓘ Veronique Kiermer, ⓘ Michael Magoulias, ⓘ Emilie Marcus, ⓘ Barbara Kline Pope, ⓘ Randy Schekman, ⓘ Sowmya Swaminathan, ⓘ Peter Stang, ⓘ Inder Verma

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Lightning Poll 3

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Next steps

- Please comment on **COPE Discussion Document: *What Constitutes Authorship?*** publicationethics.org/files/u7141/Authorship_DiscussionDocument_0_0.pdf

- Please give us your **feedback** by responding to the email we will send you after this webinar

publicationethics.org

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