

中国科学技术协会 “中国科技期刊卓越行动计划选育高水平办刊人才子项目”

学术出版卓越计划 培训系列
Excellence in Academic Publishing Webinars

5

研究和出版道德:挑战和最佳实践 — COPE的视角

Research and Publishing Ethics: Challenges and Best Practices— A COPE Perspective

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出版顾问, 国际出版伦理道德委员会 理事

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中国高校科技期刊研究会, Taylor & Francis 出版集团
Society of China University Journals, Taylor & Francis Group



Research and Publishing Ethics: Challenges and Best Practices— A COPE Perspective

从COPE的角度出发，探讨科研和出版道德的挑战和最佳实践

Outline 大纲

- **Introduction to COPE, Committee on Publication Ethics**
出版伦理委员会介绍
- **What are the issues? What are the best practices?**
问题是什么?最佳实践是什么?
- **COPE Interactive Case Workshop**
COPE互动案例讨论



Promoting integrity in scholarly research & its publication

促进学术研究及其出版诚信



- COPE provides **support, leadership** & a **professional voice** to help preserve & promote the integrity of the scholarly record & ensure highest standards in publication ethics, through **best principles & practices in transparency & integrity**.

COPE提供支持、领导力和专业见解，致力于维护和促进学术记录的完整性，并通过在透明度和完整性方面的最佳原则和实践，确保出版伦理达到最高标准。



- COPE is an international membership organisation. Our **>12,500 members** are mainly editors & publishers of scholarly journals of all disciplines, as well as affiliated groups/individuals. We are **expanding membership**, with a pilot project for research institutions.

COPE是一个国际会员组织。我们的12500名会员由学术期刊编辑、出版商、附属团体和个人组成。我们正在扩大成员，并为研究机构提供试点项目。



- COPE is a non-profit organisation that is managed by a small group of paid employees & a **group of volunteers** who serve on the Trustee Board & Council.

COPE是一个非营利性组织，由雇员和志愿者管理，他们是理事会和理事会的成员。





10 Core Practices

for members to create codes of conduct for ethical scholarly publishing
10个核心实践：帮助会员制定道德的学术出版行为准则



ALLEGATIONS OF MISCONDUCT



COMPLAINTS & APPEALS



DATA & REPRODUCIBILITY



INTELLECTUAL PROPERTY



PEER REVIEW PROCESSES



AUTHORSHIP & CONTRIBUTORSHIP



CONFLICTS OF INTEREST



ETHICAL OVERSIGHT



JOURNAL MANAGEMENT



POST-PUBLICATION DISCUSSIONS & CORRECTIONS



中国高校科技期刊研究会
Society of China University Journals



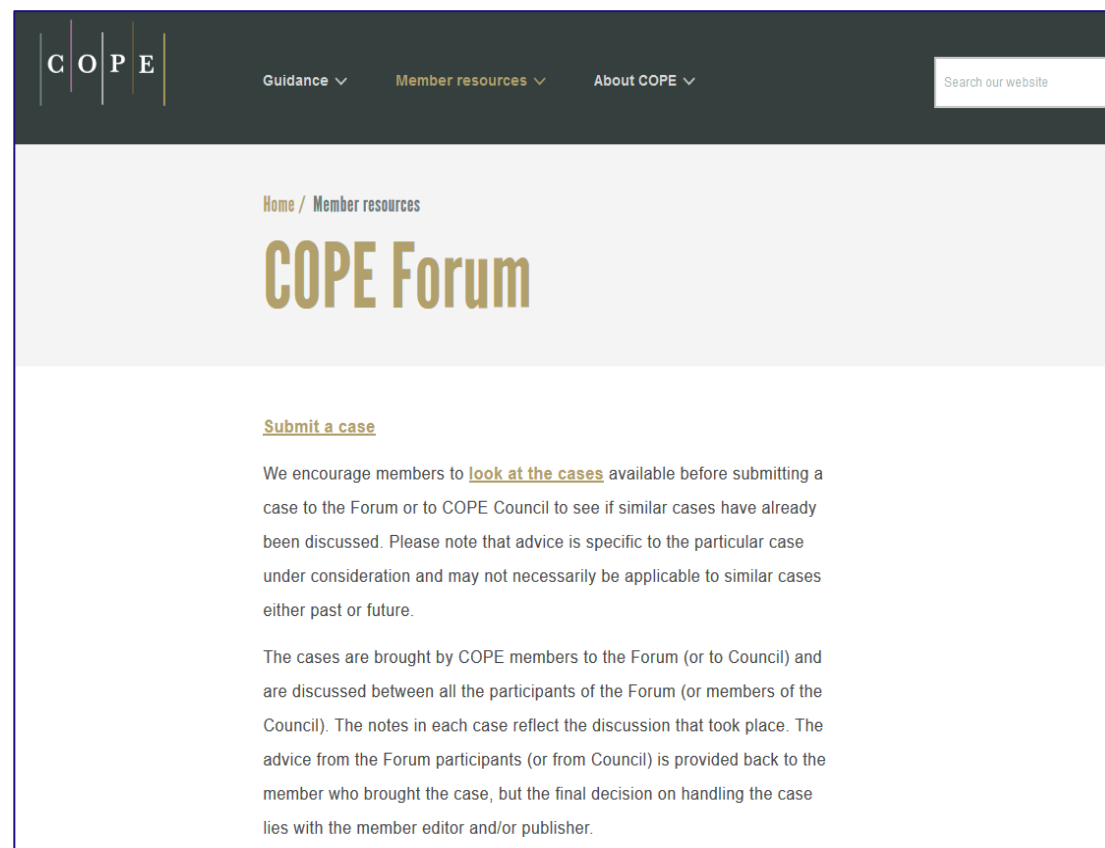
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COPE Resources, www.publicationethics.org

COPE的资源



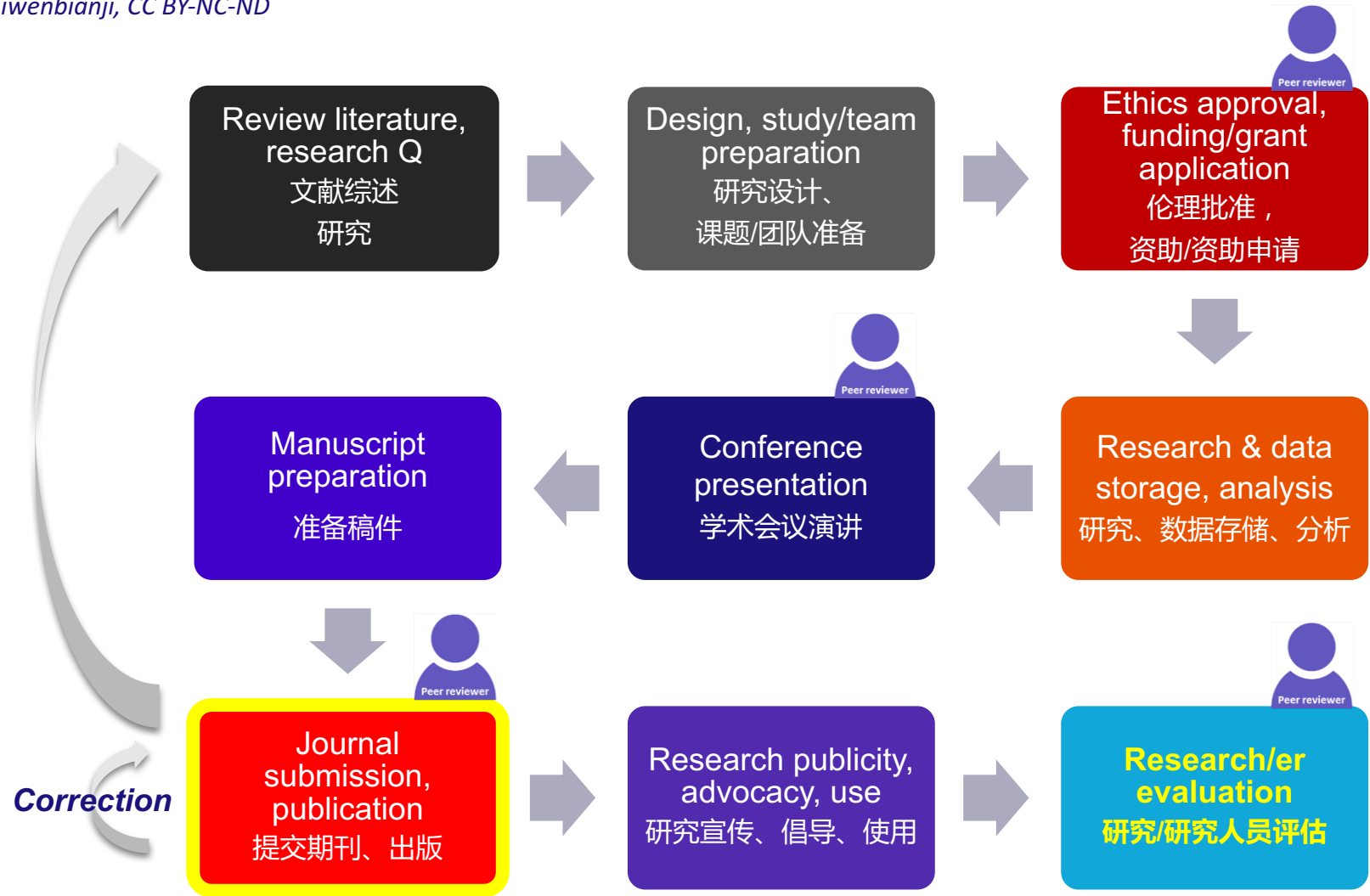
What are the issues? 问题出在哪？

Edanz Group / Liwenbianji, CC BY-NC-ND

Scholarly publishing 学术出版

- True 真实
- Trustworthy 可信
- Honest 诚实
- Correct 准确
- Robust 夯实
- Unbiased 无偏见
- Ethical, legal, safe, fair...
道德、法律、安全、公平.....

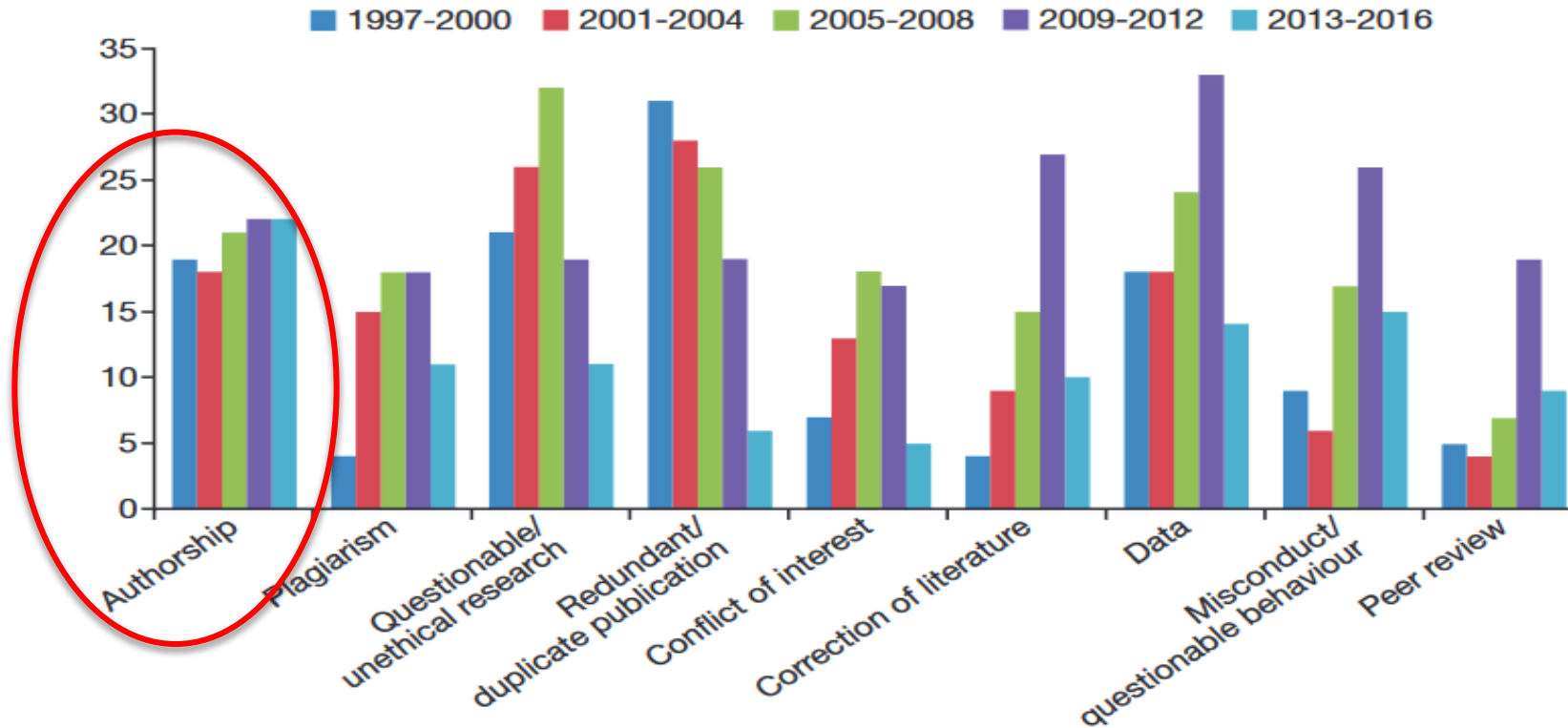
...a collective
responsibility
多重责任



What are the issues? 问题出在哪？

COPE, CC BY-NC-ND. https://publicationethics.org/files/u7140/Peer%20Review%20poster_2017.pdf

No. of COPE Forum cases, by category, 1997-2016



What are the issues? 问题出在哪？

Marcovitch et al, CC BY. Croat Med J. 2010 doi: 10.3325/cmj.2010.51.7 <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC2829174/>



“Specific research misconduct” (...FFP) 特定的研究不端行为

National Academy of Sciences, et al. <https://www.nap.edu/catalog/21896/fostering-integrity-in-research>

Japan MEXT. http://www.mext.go.jp/a_menu/jinzai/fusei/_icsFiles/afieldfile/2015/07/13/1359618_01.pdf

- **Fabrication:** Making up data or research results in record/report
伪造：在记录或报告中捏造数据或研究成果
- **Falsification:** Manipulating research materials, equipment, or processes, or changing/omitting data or results
篡改：操纵研究材料、设备或过程，或改变/遗漏数据或结果
- **Plagiarism:** Appropriating the ideas, analysis, analytical methods, data, research results, research paper(s), or words of other researchers without obtaining the permission of the researchers or giving appropriate credit
剽窃：未经其他研究者许可或给予适当的信用而盗用他人的思想、分析、分析方法、数据、研究成果、研究论文或文字



“Questionable research practices” (QRPs) 可疑的研究方法

National Academy of Sciences, et al. <https://www.nap.edu/catalog/1864/responsible-science-volume-i-ensuring-the-integrity-of-the-research>
Cornell University. <https://theuniversityfaculty.cornell.edu/news/promoting-research-integrity/definitions-and-examples/>

- Inappropriate management of research records and data analysis; not storing data for a certain period
研究记录和数据分析管理不当;不存储某一特定时期的数据
- Dishonest authorship and research presentation / media publicity
不诚实的作者和研究报告/媒体宣传
- Limiting access to research materials and/or data
限制对研究材料和/或数据的访问
- Insufficient research training; exploiting students
研究培训不足 ; 利用学生

Various agencies & institutions count these and forgery, breach of confidentiality, facilitating misconduct, knowingly misleading readers, stealing/destroying other's property to alter research record, etc... as misconduct

各种机构和机构将伪造、违反保密、促成不当行为、故意误导读者、窃取/破坏他人财产以改变研究记录等.....视为不当行为

Research misconduct does not include honest error or differences of opinion

研究不端行为不包括诚实的错误或意见分歧



“Questionable publication practices” (QPPs) 可疑的研究方法

<https://www.ncbi.nlm.nih.gov/pmc/articles/PMC4507982/>

- **Key concepts in research integrity/ethics statements of 795 professional organisations, by frequency**

795个专业机构研究诚信/道德声明的关键概念(按频率)

(Komić D, Marušić SL, Marušić A. *Research Integrity and Research Ethics in Professional Codes of Ethics: Survey of Terminology Used by Professional Organizations across Research Disciplines*. *PLoS One*. 2015; 10(7): e0133662).

Inaccuracy, Contributor/Contribution, Ethics, **Plagiarism**, Credit, Author/Authorship, Conflicts of interest, Integrity, Bias, Honesty, **Falsification**, **Fabrication**, Fraud/Fraudulent, Misrepresentation, Misconduct, Manipulation,
不准确、贡献者/贡献、道德、**剽窃**、引用、作者/作者身份、利益冲突、正直、偏见、诚实、**篡改**、**捏造**、**欺诈/欺诈性陈述**、**失当**、**操纵**

Questionable Publication Practices (QPP): duplicate publication, Dishonesty, Dual interest/relationship, **QPP: redundant publication**,
可疑出版行为:重复出版、不诚实、双重利益/关系、**重复发表**

Responsible conduct of research, **负责进行研究**

QPP: repetitive publication, **QPP: secondary publication**, 重复出版、二次出版
Questionable research practices, Malpractice, **QPP: salami publication**
可疑的研究实践、渎职行为、“腊肠论文”出版



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What are the best practices? 最佳实践是什么?

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publicationethics.org
 doaj.org
 oaspa.org
 wame.org

In the event that a member organization is found to have violated these best practices, or other specific requirements of the organization, OASPA/DOAJ/COPE/WAME shall in the first instance try to work with them in order to address any concerns that have been raised. In the event that the member organization is unable or unwilling to address these concerns, their membership in the organization may be suspended or terminated. All of the member organizations have procedures for dealing with concerns raised about member journals.

PRINCIPLES OF TRANSPARENCY & Best Practice in Scholarly Publishing

Committee on Publication Ethics (COPE), the Directory of Open Access Journals (DOAJ), the Open Access Scholarly Publishers Association (OASPA), and the World Association of Medical Editors (WAME) are scholarly organizations. All have seen increases in the number, and range in quality, of membership applications. Our organizations have collaborated to identify Principles of Transparency & Best Practice for Scholarly Publications. These principles form the basis of the criteria by which suitability for membership is assessed by COPE, DOAJ and OASPA, and part of the criteria on which membership applications are evaluated by WAME.

WEBSITE	NAME OF JOURNAL	PEER REVIEW PROCESS	OWNERSHIP AND MANAGEMENT	ALLEGATIONS OF RESEARCH MISCONDUCT	PUBLICATION ETHICS	PUBLISHING SCHEDULE	ACCESS
 <p>A journal's website, including the text that it contains, shall demonstrate that care has been taken to ensure high ethical and professional standards. It should:</p> <ul style="list-style-type: none"> - contain an 'Aims & Scope' statement and the readership clearly defined. - include a statement on what a journal will consider for publication including authorship criteria e.g. not multiple submissions, redundant publications - ISSN displayed clearly (separate for print and electronic). <p>It must not:</p> <ul style="list-style-type: none"> - contain information that might mislead readers or authors. - attempt to mimic another journal/publisher's site. 	 <p>The Journal name shall be unique. It must not:</p> <ul style="list-style-type: none"> - be one that is easily confused with another journal. <p>It should:</p> <ul style="list-style-type: none"> - mislead potential authors and readers about the Journal's origin or association with other journals. 	 <p>Journal content must be clearly marked as whether peer reviewed or not. Peer review is defined as obtaining advice on individual manuscripts from reviewers expert in the field who are not part of the journal's editorial staff. The journal's website should:</p> <ul style="list-style-type: none"> - clearly describe this process, as well as any policies related to the journal's peer review procedures including the method of peer review used. <p>The journal's website should not:</p> <ul style="list-style-type: none"> - guarantee manuscript acceptance or very short peer review times. 	 <p>Information about the ownership and/or management of a journal shall be clearly indicated on the journal's website. Publishers should not:</p> <ul style="list-style-type: none"> - use organizational or journal names that would mislead potential authors and editors about the nature of the journal's owner. 	 <p>Publishers and editors shall take reasonable steps to identify and prevent the publication of papers where research misconduct has occurred. This includes but not limited to:</p> <ul style="list-style-type: none"> - plagiarism - citation - manipulation - data falsification/fabrication <p>In no case shall a journal or its editors encourage such misconduct, or knowingly allow such misconduct to take place. In the event that a journal's publisher or editors are made aware of any allegation of research misconduct relating to a published article in their journal, the publisher or editor shall follow COPE's guidelines (or equivalent).</p>	 <p>A journal should have policies on publishing ethics. These should be clearly visible on its website, and should refer to:</p> <ul style="list-style-type: none"> - journal policies on authorship and contributorship - how the journal will handle complaints and appeals - journal policies on conflicts of interest/competing interests - journal policies on data sharing and reproducibility - journal's policy on ethical oversight - journal's policy on intellectual property - journal's options for post-publication discussions and corrections. 	 <p>The periodicity at which a journal publishes shall be clearly indicated.</p>	 <p>The way(s) in which the journal and individual articles are available to readers and whether there are associated subscription or pay per view fees shall be stated.</p>
GOVERNING BODY	EDITORIAL TEAM/CONTACT INFORMATION	COPYRIGHT AND LICENSING	AUTHOR FEES	ARCHIVING	REVENUE SOURCES	ADVERTISING	DIRECT MARKETING
 <p>Journals shall have editorial boards or other governing bodies whose members are recognized experts in the subject areas included within the journal's scope. The journal's website should:</p> <ul style="list-style-type: none"> - show full names and affiliations of the journal's editorial board or other governing body. 	 <p>Journals shall provide the full names and affiliations of the journal's editors on the journal website as well as contact information for the editorial office, including a full address.</p>	 <p>The policy for copyright shall be clearly stated in the author guidelines and the copyright holder named on all published articles. The journal's website should:</p> <ul style="list-style-type: none"> - show licensing information clearly described in guidelines. <p>Licensing terms shall be indicated on all published articles, both HTML and PDFs. If authors are allowed to publish under a Creative Commons license then any specific license requirements shall be noted. Any policies on posting of final accepted versions or published articles on third party repositories shall be clearly stated.</p>	 <p>Any fees or charges that are required for manuscript processing and/or publishing materials in the journal shall be clearly stated. This must be:</p> <ul style="list-style-type: none"> - in a place that is easy for potential authors to find prior to submitting their manuscripts for review <p>OR</p> <ul style="list-style-type: none"> - explained to authors before they begin preparing their manuscript for submission. - if no such fees are charged that should also be stated. 	 <p>A journal's plan for electronic backup and preservation of access to the journal content shall be clearly indicated (for example, access to main articles via CLOCKSS or PubMedCentral). This is in the event that a journal is no longer published.</p>	 <p>Business models or revenue sources shall be clearly stated or otherwise evident on the journal's website. For example:</p> <ul style="list-style-type: none"> - author fees - subscriptions - advertising - reprints - institutional support - organizational support <p>Publishing fees or waiver status should not influence editorial decision making.</p>	 <p>Journals shall state their advertising policy if relevant including:</p> <ul style="list-style-type: none"> - what types of adverts will be considered - who makes decisions regarding accepting adverts - (online only) whether they are linked to content or reader behavior or are displayed at random. <p>Advertisements should not be related in any way to editorial decision making and shall be kept separate from the published content.</p>	 <p>Any direct marketing activities, including solicitation of manuscripts that are conducted on behalf of the journal, shall be appropriate, well targeted, and unbiased. Information provided about the publisher or journal is expected to be truthful and not misleading for readers or authors.</p>

Each organization also has their own, additional criteria which are used when evaluating applications. The organizations will not share lists of publishers or journals that failed to demonstrate that they met the criteria for transparency and best practice. This is the third version of a work in progress (published January 2018); the first version was posted on the COPE website on January 2014 and a second version in June 2015. We encourage its wide dissemination and continue to welcome feedback on the general principles and the specific criteria.

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Singapore Statement on Research Integrity, 2010

《新加坡研究诚信声明》，2010年

http://www.singaporestatement.org/downloads/singapore%20statement_A4size.pdf

- 1) **Honesty** in all aspects of research
在研究的各个方面保持诚实
- 2) **Accountability** in the conduct of research
履行研究的责任心
- 3) **Professional courtesy** and fairness in working with others
与他人合作时要有专业的礼貌和公平
- 4) **Good stewardship** of research on behalf of others
代表他人进行良好的研究工作



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San Francisco Declaration on Research Assessment (DORA), 2012

《旧金山研究评估宣言》，2012年

<https://sfdora.org/>

Needs for all stakeholders 所有利益攸关方的需要：

- 1) To **eliminate the use of journal-based metrics**, such as Journal Impact Factors, in funding, appointment, and promotion considerations;
在资金、任命和晋升考虑中，消除使用基于期刊的指标，如期刊影响因子；
- 2) To **assess research on its own merits** rather than on the basis of the journal in which the research is published;
评估研究本身的价值，而不是根据研究发表的期刊；
- 3) To capitalize on the opportunities provided by **online publication** (such as relaxing unnecessary limits on the number of words, figures, and references in articles, and exploring new indicators of significance and impact).
利用在线出版提供的机会(例如放宽文章中字数、数字和参考文献的不必要限制，探索新的意义和影响指标)。



The Leiden Manifesto for Research Metrics, 2015

《莱顿研究指标宣言》，2015年

Hicks et al. <https://www.nature.com/news/bibliometrics-the-leiden-manifesto-for-research-metrics-1.17351>

- 1) Quantitative evaluation should **support qualitative**, expert assessment.
定量评估应该**支持定性的**专家评估
- 2) Measure performance against the **research missions** of the institution, group or researcher.
根据机构、团体或研究人员的**研究任务**来衡量绩效
- 3) Protect excellence in **locally relevant** research.
保护**当地**相关研究的优秀成果
- 4) Keep evaluation-data collection and analytical processes **open, transparent and simple**.
保持评估数据收集和分析过程的**公开、透明和简单**
- 5) Allow those evaluated to **verify** evaluation-data and analysis.
允许被评估者**验证**评估数据和分析



The Leiden Manifesto for Research Metrics, 2015

《莱顿研究指标宣言》，2015年

Hicks et al. <https://www.nature.com/news/bibliometrics-the-leiden-manifesto-for-research-metrics-1.17351>

- 6) Account for **variation** by field in publication and citation practices.
考虑到不同领域的出版和引用实践的差异
- 7) Base assessment of individual researchers on a **qualitative** judgement of their portfolio.
评估研究人员时要基于其整体研究的定性判断
- 8) **Avoid** misplaced concreteness and false precision.
避免错误的具体性和虚假的精度
- 9) Recognize the **systemic effects** of assessment and indicators.
认识到评估和指标的系统性影响
- 10) **Scrutinize** indicators regularly and update them.
定期检查指标并保持信息更新



The Hong Kong Principles for Assessing Researchers, 2019

《香港研究人员评估原则》，2019年

Moher et al. <https://bit.ly/3dv6vVk>

- 1) Assess researchers on **responsible practices** from conception to delivery, including the development of the research idea, research design, methodology, execution and effective dissemination.
评估研究人员从构想到出版的整个过程是否都是尽责的，包括研究理念的发展、研究设计、方法论、执行和有效的研究成果传播。
- 2) Value the **accurate and transparent reporting** of all research, regardless of the results.
不管结果如何，都要准确、透明地报告所有的研究。
- 3) Value the practices of **open science** (open research), such as open methods, materials and data.
重视开放科学(开放研究)的实践，如开放方法、开放材料和开放数据。
- 4) Value a **broad range** of research and scholarship, such as replication, innovation, translation, synthesis, and meta-research.
重视广泛的研究和学术，如复制、创新、翻译、综合和元研究。
- 5) Value a range of **other contributions** to responsible research and scholarly activity, such as peer review for grants and publications, mentoring, outreach, and knowledge exchange.
重视负责任的研究和学术活动的其他贡献，如资金资助和出版物的同行评议、指导、推广和知识交流。



Responsible Conduct of Research (RCR) 负责任的研究行为

Japan MEXT. MEXT Guidelines for Responding to Misconduct in Research. Adopted 26 August 2014

- **“Voluntary self-discipline”** by researchers
研究人员的“自愿自律行为”
- **Checking and training...**in lab, unit, department / faculty
在实验室、单位、系/系进行检查和培训
- **Institutional culture**, management, investigations, sanctions
组织文化、管理、调查、制裁
- **Responsibility to funders:** prevent misuse of funding
对资助者的责任：防止资金滥用



“Ethics in Scientific Research”, RAND, 2019 《科学研究中的伦理》，兰德公司，2019年

Weinbaum et al. https://www.rand.org/pubs/research_reports/RR2912.html

3 Ethical categories & 10 ethical principles 3个伦理范畴 & 10个伦理原则

- 1) Ethical scientific enquiry: *Duty to society*
有伦理的科学探索：*对社会的责任*
- 2) Ethical conduct & behaviors of researchers: *Integrity, non-discrimination, professional competence, professional discipline, minimizing conflicts of interest*
研究者的伦理行为：*正直、不歧视、专业能力、专业纪律、尽量减少利益冲突*
- 3) Ethical treatment of research participants: *Informed consent, beneficence, non-discrimination, non-exploitation, privacy & confidentiality*
研究参与者的伦理待遇：*知情同意、慈善、非歧视、非剥削、隐私和保密*



Reproducibility and reliability of biomedical research: improving research practice, 2015

生物医学研究的可重复性和可靠性:改进研究实践, 2015

Academy of Medical Sciences, BBSRC, MRC, Wellcome Trust. <https://acmedsci.ac.uk/file-download/38189-56531416e2949.pdf>

Issues 问题

- Data dredging 数据挖掘
- Omitting null results
省去无效结果
- Underpowered study
动力不足的研究
- Weak experimental design
没有说服力的实验设计
- Underspecified methods
未指定的研究方法
- Errors 错误

Possible causes 潜在问题

- Poor design, analysis
糟糕的研究设计和分析
- Lack of training
缺乏培训
- Incentive structure
激励结构
- Questionable research practices
(overstating findings, partial/not publishing, cherry picking)
有问题的研究实践 (夸大发现, 部分发表/不发表, 随意选取)

Possible strategies 潜在策略

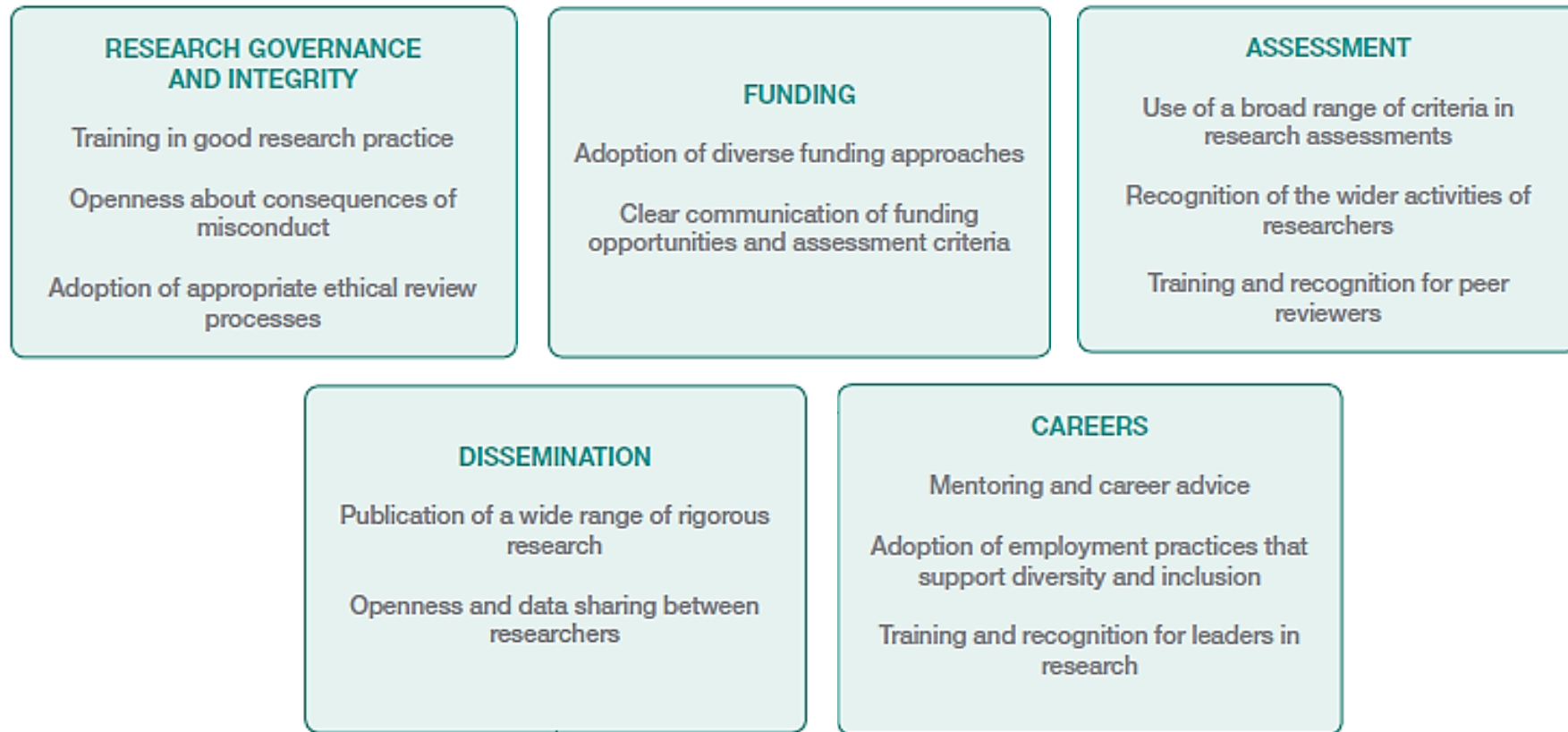
- Open data 开放数据
- Pre-registration 预注册
- Collaboration 协作
- Automation 自动化
- Open methods 开放方法
- Post-publication review
预出版审查
- Reporting guidelines
报告指南



Suggestions for action to support good research practice & production of high-quality science, 2014

支持良好研究实践和高质量科学成果的行动建议，2014年

Nuffield Council on Bioethics. <http://nuffieldbioethics.org/project/research-culture/>



Protecting the Integrity of the Research Record, 2018

保护研究记录的完整性，2018年

Collaborative Working Group from the conference “Keeping the Pool Clean: Prevention and Management of Misconduct Related Retractions”.

<https://researchintegrityjournal.biomedcentral.com/articles/10.1186/s41073-018-0055-1>;

<https://publicationethics.org/files/RePAIR%20Consensus%20Guidelines.pdf>

RePAIR Consensus Guidelines

Responsibilities of Publishers, Agencies, Institutions, and Researchers in Protecting the Integrity of the Research Record

The following guidelines emerged from the collaborative effort of a working group from the conference entitled Keeping the Pool Clean: Prevention and Management of Misconduct Related Retractions held on July 20-22nd in Fort Collins, Colorado, USA¹. Collectively, this twenty member working group has expertise spanning multiple scientific and professional disciplines with representatives from fifteen institutions, two U.S. government agencies, and five countries.

Researchers, institutions, agencies, and publishers have complementary roles and responsibilities in maintaining the integrity of the research record [1]. The following guidelines define the respective responsibilities of key stakeholders when questions arise regarding possible research or publication misconduct and identify barriers to communication as well as potential solutions.

Responsibilities

The signatories of the RePAIR consensus document support the adoption of the following responsibilities in handling allegations of research misconduct and correcting the research record:

Researchers

1. Maintain compliance with, and foster an environment conducive to, the highest research ethical standards and robust and rigorous research practices;
2. Address and communicate observed likely ethical breaches as appropriate;



| C | O | P | E |

Interactive case workshop 互动案例

based on 4 selected COPE Forum Cases
4个案例选取自COPE论坛



中国高校科技期刊研究会
Society of China University Journals



Taylor & Francis Group
an informa business

学术出版卓越计划培训系列
Excellence in Academic Publishing

COPE Core Practices 1 & 2

COPE 核心实践1 & 2

1. Allegations of misconduct

Journals should have a clearly described process for handling allegations, however they are brought to the journal's or publisher's attention. Journals must take seriously allegations of misconduct pre-publication and post-publication. Policies should include how to handle allegations from whistleblowers.



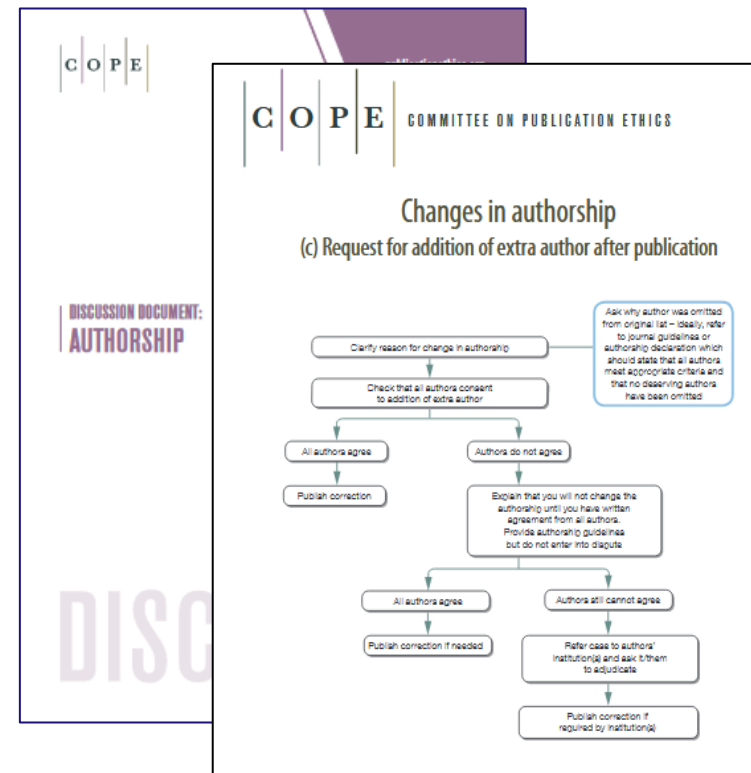
ALLEGATIONS OF MISCONDUCT

2. 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.



AUTHORSHIP & CONTRIBUTORSHIP



Journal Criteria

- ✓ Activity 1
- ✓ Activity 2
- ✓ Activity 3
- ✓ Activity 4
- ✓ Activity 5

Declarations

- Authors
- Author order
- Contributions
- COI, funding
- Access to data
- Own work, © permission
- Acknowledgements
- No omissions

Case description 1/4 案例描述1/4

- After a **single-author** article was published, a co-author told the stated author to **correct the author list**.
在一篇单作者的文章发表后，一个合著者告诉声明作者更正作者列表。
- Author gave new list to journal; all authors agreed but not to **stated author as 1st author**.
作者给了期刊新的名单，所有作者同意新名单，但不同意将声明作者列为第一作者。
- Editor consulted **stated author's institution**, but it could not help because he had left and moved abroad.
编辑咨询了声明作者所在的机构，但无济于事，因为此作者已经该机构离开并移居国外。
- Because of disagreement on author order, stated author requested **article retraction**.
由于作者顺序上的分歧，声明作者要求文章撤回。

Suggested Journal Action 1 给期刊的行动建议 1

POLL 投票(1)

What should the journal do? 该期刊该怎么做？

- A. Ask authors again to resolve the disagreement themselves
再次要求作者自己解决分歧
- B. Retract article
撤稿
- C. Correct author list, with previous author as 1st author
修正作者列表，将之前的作者列为第一作者
- D. Correct author list, using alphabetical order
修正作者列表，按字母排序

Suggested Journal Action 1 给期刊的行动建议 1

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- D. Correct author list, using alphabetical order
修正作者列表，按字母排序

Retraction is for correcting
archive, content problem

Journals cannot decide
authorship order

Case description 2/4 案例描述2/4

- Editor tried resolving issue with a co-author.  编辑试图与一位合著者解决这个问题。
- Stated author still wanted to be 1st author, but said after a retraction and resubmission, another author could be 1st author.
声明作者仍想成为第一作者，但在撤回和重新提交后表示，另一作者可以成为第一作者。
- Attempts to resolve issue and educate about what retraction means failed.
编辑解决问题以及教育作者什么是撤稿的尝试失败了。

Suggested Journal Action 2 给期刊的行动建议 2

POLL 投票(2)

What should the journal do? 该期刊该怎么做？

- A. Correct the author list, with previous author as 1st author
修正作者列表，将之前的作者列为第一作者
- B. Retract article with resubmission when authors have decided order
撤回文章与重新提交时，作者已决定顺序
- C. Retract article without resubmission allowed, as punishment
作为惩罚，撤回文章且不允许重新提交文章
- D. Ask institution to investigate
要求机构调查

Suggested Journal Action 2 给期刊的行动建议 2

POLL 投票(2)

What should the journal do? 该期刊该怎么做？

- A. Correct the author list, with previous author as 1st author
修正作者列表，将之前的作者列为第一作者
- B. Retract article with resubmission when authors have decided order
撤回文章与重新提交时，作者已决定顺序
- C. Retract article without resubmission allowed, as punishment
作为惩罚，撤回文章且不允许重新提交文章
- D. Ask institution to investigate
要求机构调查

Journals cannot decide authorship order

Retraction is for correcting archive, content problem

Journals should not “punish” authors

Case description 3/4 案例描述3/4

Journal brought the case to **COPE Forum**, which advised:
该期刊把这个案子交给了COPE，COPE指出：

- According to **COPE Retraction Guidelines**, retractions are not for author disputes if data/findings are valid; retraction is to rectify the scholarly record.
根据COPE的撤回指南，如果数据/发现是有效的，撤回不属于作者争议。撤回是为了纠正学术记录。
- **Publishers or editors** cannot resolve authorship disputes.
出版商或编辑无法解决作者纠纷。
- Try again to **contact** authors and institution. **D**
→ If no result, publish **Expression of Concern** or **Correction** that is **transparent** about the dispute.
再次尝试联系作者和机构，如果没有结果，透明地发表对此争议的关注或更正。

Case description 4/4 案例描述4/4

- **Retraction/removal** and resubmission is possible if: B
如有下列情况，文章可撤回/删除及重新提交：
 - **Legal** reason (eg, © infringement, libel, breach of privacy, [problem with data ownership/use/export]).
法律原因（如侵权、诽谤、侵犯隐私、[数据所有权/使用/出口问题]）。
 - **Infringement** on co-authors' rights [eg, plagiarism, intellectual property rights].
侵犯合著者的权利 [如剽窃、知识产权]。
- **Review instructions:** at submission, require declaration of authorship [and contributions], order, no other authors; remind that retractions are not for author disputes.
审查说明：提交时，需声明作者 [和贡献]、顺序、不得出现其他作者。请注意，撤回不是为了作者争议。

COPE Core Practices 4 & 10

COPE 核心实践4 & 10

4. Conflicts of interest

There must be clear definitions of conflicts of interest and processes for handling conflicts of interest of authors, reviewers, editors, journals and publishers, whether identified before or after publication.

10. Post-publication discussions, corrections

Journals must allow debate post publication either on their site, through letters to the editor, or on an external moderated site, such as PubPeer. They must have mechanisms for correcting, revising or retracting articles after publication.



CONFLICTS OF INTEREST



POST-PUBLICATION DISCUSSIONS & CORRECTIONS

What to do if a reader suspects undisclosed conflict of interest (Col) in a published article

GUIDELINES:
RETRACTION GUIDELINES

Case description 1/3 案例描述1/3

- After 1st round of peer review, authors invited **subject (handling/academic/communicating) editor** to be an author.
经过第一轮的同行评议，作者邀请专题（处理/学术/交流）编辑成为作者。
- No-one at journal noticed extra author in the submitted revision.
相关期刊中没有人注意到在提交的修订版中有额外的作者。
- After 2nd round of peer review, 2nd revision accepted by Editor-in-Chief. Paper was published showing **subject editor** both as an author and in “Communicated by” label.
经过第二轮同行评议，主编接受第二次修订。文章发表后，专题编辑被同时列为“作者”和“责任编辑”。
- Authors notified journal, saying it looked like **preferential treatment**.
作者通知了该期刊，声称这样的作者署名看起来像是特别优待。

Suggested Journal Action 给期刊的行动建议 1

POLL 投票(3)

What should the journal do? 该期刊该怎么做？

- A. Retract article
撤回文章
- B. Publish Correction, removing senior editor as author
发表更正，将高级编辑从作者名单中删除
- C. Publish Correction of “Communicated by” name to Editor-in-Chief
发表更正，将“责任编辑”的署名给期刊主编
- D. Publish Comment explaining what happened
发表评论，解释这到底是怎么一回事

Suggested Journal Action 给期刊的行动建议 1

POLL 投票(3)

What should the journal do? 该期刊该怎么做？

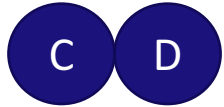
- A. Retract article
撤回文章
- B. Publish Correction, removing senior editor as author
发表更正，将高级编辑从作者名单中删除
- C. Publish Correction of “Communicated by” name to Editor-in-Chief
发表更正，将“责任编辑”的署名给期刊主编
- D. Publish Comment explaining what happened
发表评论，解释这到底是怎么一回事

Retraction is for
correcting archive

Journals cannot decide
authorship on their own

Case description 2/3 案例描述2/3

- Journal brought the case to **COPE Forum**, which advised publishing **Correction** of “‘Communicated by’ Editor-in-Chief”, updating Conflicts-of-Interest statement, and **explaining** what happened
该期刊把这个案例提交给COPE寻求建议，COPE建议期刊发表更正“责任编辑为期刊主编”，更新利益冲突声明，并解释发生了什么。



- Review procedures** for:
审查程序：
 - Changing/checking **authorship** and obtaining individual **Conflicts-of-Interest statements** in submissions (instead of relying on Corresponding Author)
更改/检查投稿的作者署名，并获取每个作者利益冲突声明（而非依赖通讯作者）
 - Peer review handling** and appropriate disclosure when editors become authors
当编辑成为作者时，同行评议需要回避处理以及适当披露

Case description 3/3 案例描述3/3

- **Conclusion:** Journal decided to add a **Note** (Comment) from the Editor-in-Chief:

D

结论：该期刊决定添加期刊主编的注释（评论）：

- Technical error during article handling, where an author was the subject editor.
因文章处理中存在技术错误，其中一位作者也是专题编辑。
- Guarantee that scientific standards and honesty had not been violated in any way.
可以保证的是，该文章没有以任何方式违反科学标准与诚信。

COPE Core Practices 7 & 9

COPE 核心实践7 & 9

7. Intellectual property

All policies on intellectual property, including copyright and publishing licenses, should be clearly described. In addition, any costs associated with publishing should be obvious to authors and readers. Policies should be clear on what counts as prepublication that will preclude consideration. What constitutes plagiarism and redundant/overlapping publication should be specified.

9. Peer review processes

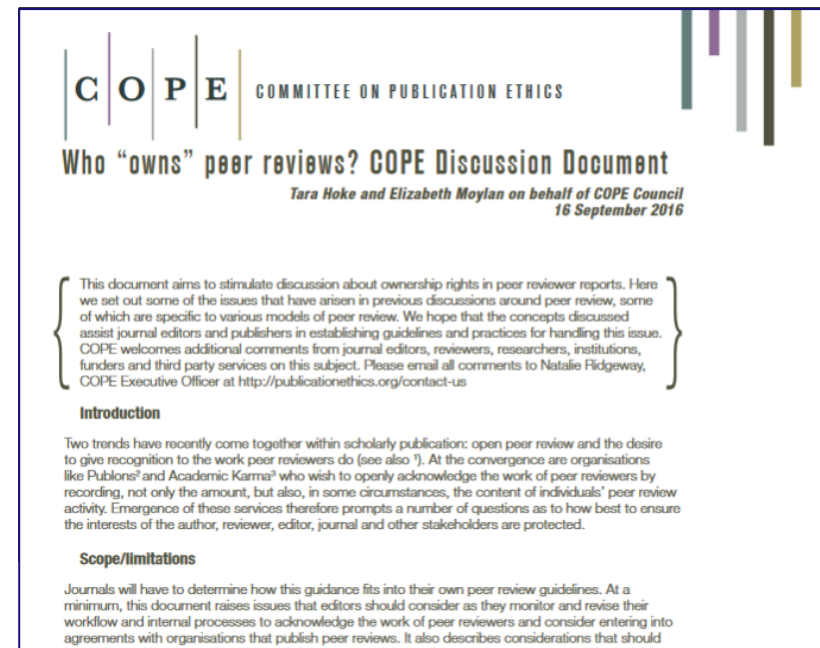
All peer review processes must be transparently described and well managed. Journals should provide training for editors and reviewers and have policies on diverse aspects of peer review, especially with respect to adoption of appropriate models of review and processes for handling conflicts of interest, appeals and disputes that may arise in peer review.



INTELLECTUAL
PROPERTY



PEER REVIEW
PROCESSES



Case description 1/3 案例描述1/3

- A **Commentary** was rejected by Journal A.
一篇评论文章被期刊A拒绝了；
- Later accepted and published in Journal B.
在这之后，这篇文章被期刊B接受了；
- A **peer reviewer** who had reviewed the Commentary for Journal A wrote to Journal B, complaining of **plagiarism** of text from the previous peer review report.
一位曾经帮期刊A评审过该文章的**审稿人**给期刊B写邮件，抱怨这篇文章中存在从之前的同行评议报告中**抄袭**的文字。

Suggested Journal Action 1 给期刊的行动建议 1

POLL 投票(4)

What should the journal do? 该期刊该怎么做？

- A. Publish Correction to attribute material to reviewer
发布更正信息，引用审稿人为部分内容的原创
- B. No action needed; normal use of peer reviewers' suggestions
不需要行动，正常使用审稿人的建议
- C. Not allow acknowledgement because its peer review is double-blind
否认，因为同行评议是双盲的
- D. Ask author's institution to investigate plagiarism
要求作者所在机构调查剽窃行为

Suggested Journal Action 1 给期刊的行动建议 1

POLL 投票(4)

What should the journal do? 该期刊该怎么做？

- A. Publish Correction to attribute material to reviewer
发布更正信息，引用审稿人为部分内容的原创
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不需要行动，正常使用审稿人的建议
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否认，因为同行评议是双盲的
- D. Ask author's institution to investigate plagiarism
要求作者所在机构调查剽窃行为

Can say reviewer is
anonymous

Plagiarism has not been
proven yet

Case description 2/3 案例描述2/3

- Journal brought the case to **COPE Forum**, which pointed out:
该期刊把这个案例提交给了COPE，COPE指出：
 - Who owns peer review reports? Do reviewers keep ©?
谁拥有同行评议报告？审稿人保留版权吗？
 - How should review comments be reasonably used?
如何合理使用评审意见？
- Author should not have copied idea/text from reviewer → **Correction with attribution** to named or anonymous reviewer, with permission **A**
作者不应该从审稿人那里复制观点/文本：在获得允许的情况下，将其署名为具名或匿名审稿人。

Case description 3/3 案例描述3/3

- **Conclusion:** Journal informed author and reviewer:

B

结论：期刊通知作者和审稿人：

- No need for Correction here
不需要更正
- Only one line of text copied
只复制了一行文字

Some thoughts on Case 3 关于案例3的一些思考：

Journal should consider:

期刊应该考虑到：

- If the idea/text taken from the review was a substantial message in the Commentary
从同行评议中获得的观点/正文是评论中重要的信息
- Paraphrasing or indicating a direct quote, plus citation
转述或指示直接引用，加上引用
- Reviewing its policies and instructions on © of peer review reports, how authors use peer review reports (including reports of a rejected paper), author declarations of originality and plagiarism at submission
审查其关于同行评议报告的政策和说明、作者如何使用同行评议报告（包括被退回论文的报告），提交文章时需要提交作者原创性声明和抄袭声明
- Reviewer credit (eg, Publons, ORCID)
审稿人的工作成果（例如,Publons和ORCID）

COPE Core Practices 5 & 6

COPE 核心实践5 & 6

5. Data and reproducibility

Journals should include policies on data availability and encourage the use of reporting guidelines and registration of clinical trials and other study designs according to standard practice in their discipline.



6. Ethical oversight

Ethical oversight should include, but is not limited to, policies on consent to publication, publication on vulnerable populations, ethical conduct of research using animals, ethical conduct of research using human subjects, handling confidential data and business/marketing practices.



ICMJE INTERNATIONAL COMMITTEE of MEDICAL JOURNAL EDITORS

TOP GUIDELINES

TRANSPARENCY AND OPENNESS PROMOTION

equator network Enhancing the **QUALITY** and **Transparency** Of health Research

U.S. National Library of Medicine

ClinicalTrials.gov

Protocol

Application for ethics approval

Informed consent

- ✓ Confidentiality
- ✓ Privacy
- ✓ Anonymity
- ✓ Security

Case description 1/6 案例描述1/6

- Journal editors noticed that a published article reported results of a **clinical trial**, but **online trial registration** was not mentioned.
期刊编辑注意到，一篇发表的文章报道了一项**临床试验**的结果，但没有提到**在线试验注册**。
- Journal asked authors for **details on trial registration** and the **trial protocol**, which are journal requirements for clinical trials.
期刊向作者询问了关于**临床试验注册和试验方案的详细信息**，这是期刊对临床试验的要求。
- Senior author said **trial was unregistered** and provided a **trial protocol**, but the journal considered it to be **unsatisfactory**.
深作者说，该**试验未注册**，并提供了试验方案，但该期刊认为这个解释无法接受。
- The authors requested ‘withdrawal’ of the article.
作者要求撤回这篇文章



Case 4

(Based on COPE Forum [Case 11-11](#))

Suggested Journal Action 1 给期刊的行动建议 1

POLL 投票(5)

What should the journal do? 该期刊该怎么做？

- A. Remove article completely
彻底去掉这篇文章
- B. Retract article
撤稿
- C. Publish Expression of Concern
发表对该文章的关注
- D. Ask for more information first
让作者提供更多的信息



Suggested Journal Action 1 给期刊的行动建议 1

POLL 投票(5)

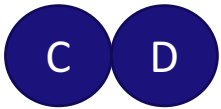
What should the journal do? 该期刊该怎么做？

- A. Remove article completely
彻底去掉这篇文章
- B. Retract article
撤稿
- C. Publish Expression of Concern
发表对该文章的关注
- D. Ask for more information first
让作者提供更多的信息

Usually for legal/ethical
reason

Case description 2/6 案例描述2/6

- Journal informed authors of its intention to publish an **Expression of Concern**, but also wanted **more information** first because of the unsatisfactory trial protocol.
该期刊告知作者，它打算发表一篇表达关注的文章，但由于试验方案不令人满意，期刊也希望获得更多的资料。



- Journal asked for a copy of the **letter of approval issued by the ethics committee / institutional review board** cited in the article. There was **no response**.
该期刊要求获得文章中引用的伦理委员会/机构审查委员会签发的批准函副本，没有收到回应。
- At the same time, an anonymous person (not an author) said the named **ethics committee / institutional review board** does not exist at the institution.
与此同时，一位匿名人士（非作者）表示，该机构不存在指定的伦理委员会/机构审查委员会。



Case 4

(Based on COPE Forum [Case 11-11](#))

Suggested Journal Action 2 给期刊的行动建议 2

POLL 投票(6)

What should the journal do? 该期刊该怎么做？

- A. Remove article completely
彻底去掉这篇文章
- B. Retract article
撤稿
- C. Publish Comment on non-compliance with clinical trial requirements
发表对不符合临床试验要求的评论
- D. Publish Expression of Concern about no ethics board at institution
针对该机构没有道德委员会，发表关注声明



Suggested Journal Action 2 给期刊的行动建议 2

POLL 投票(6)

What should the journal do? 该期刊该怎么做？

- A. Remove article completely
彻底去掉这篇文章
- B. Retract article
撤稿
- C. Publish Comment on non-compliance with clinical trial requirements
发表对不符合临床试验要求的评论
- D. Publish Expression of Concern about no ethics board at institution
针对该机构没有道德委员会，发表关注声明

Usually for legal/ethical
reason

Not proven yet

Case description 3/6 案例描述3/6

- Journal posted a **Comment** on the article to alert readers that it **did not adhere** to the journal's requirements for clinical trials.

期刊对这篇文章发表了评论，提醒读者它不符合该杂志对临床试验的要求。

C

- Journal repeated request for the **letter of ethics board approval**, explaining possible retraction.
期刊一再请求伦理委员会批准，解释这篇文章有撤稿的可能性。
- Finally, authors said the study was **not done at their institution** and showed approval letter from a **different ethics committee**. No authors seemed to be from the approving institution.
最后，该研究报告的作者们说，这项研究**并不是在他们所在的机构进行的**，而是由另一个伦理委员会出具的批准信。似乎没有任何一个文章作者是来自该批准机构。

Suggested Journal Action 3 给期刊的行动建议 3

POLL 投票(7)

What should the journal do? 该期刊该怎么做？

- A. Retract article to punish the authors for lying about ethics board
撤回文章以惩罚作者关于伦理委员会的谎言
- B. Retract article because authors did not conduct the trial
撤回文章，因为作者没有进行试验
- C. Launch investigation at institution that approved the trial
在批准该试验的机构进行调查
- D. Launch investigation at authors' institution
在作者所在的机构进行调查

Suggested Journal Action 3 给期刊的行动建议 3

POLL 投票(7)

What should the journal do? 该期刊该怎么做？

- A. Retract article to punish the authors for lying about ethics board
撤回文章以惩罚作者关于伦理委员会的谎言
- B. Retract article because authors did not conduct the trial
撤回文章，因为作者没有进行试验
- C. Launch investigation at institution that approved the trial
在批准该试验的机构进行调查
- D. Launch investigation at authors' institution
在作者所在的机构进行调查

Journals should not
“punish” authors

Not proven yet, but there
may be other reasons

Case description 4/6 案例描述4/6

- Journal brought the case to **COPE Forum**.
该期刊把这个案子交给了COPE。
- Journal proposed 该期刊提出:
 - **Retraction** for the lack of trial registration and appropriate protocol, and because the named ethics committee did not give approval; and also
该文中由于缺乏试验注册和适当的方案，以及指定的伦理委员会没有批准而被撤回；
 - **Investigation at authors' institution** and later updating retraction notice. D
在作者所在机构进行调查，随后更新撤回通知。



Case 4

(Based on COPE Forum [Case 11-11](#))

Suggested Journal Action 4 给期刊的行动建议 4

POLL 投票(8)

What should Forum advise the journal to do? COPE应该如何建议该期刊？

- A. Publish Expression of Concern
发表关注声明
- B. There are already enough grounds to retract article now
现在已经有足够的理由撤回该文章了
- C. Request institutional investigation; retract if needed
请求机构进行调查，如果需要，撤回该文章
- D. Punish authors
惩罚作者



Suggested Journal Action 4 给期刊的行动建议 4

POLL 投票(8)

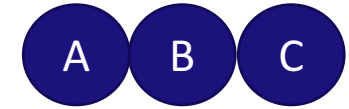
What should Forum advise the journal to do? COPE应该如何建议该期刊？

- A. Publish Expression of Concern
发表关注声明
- B. There are already enough grounds to retract article now
现在已经有足够的理由撤回该文章了
- C. Request institutional investigation; retract if needed
请求机构进行调查，如果需要，撤回该文章
- D. Punish authors
惩罚作者

Journals should not
“punish” authors

Case description 5/6 案例描述5/6

- **COPE Forum** suggested Expression of Concern, institutional investigation, or retraction anyway.
COPE建议发表关切、机构调查、或撤回。期刊发起了机构调查。
- Journal initiated **institutional investigation**. Findings: **C**
机构调查、发现:
 - Clinical trial was approved and done elsewhere (commercial company studying drug on its own employees)
临床试验获得批准并在其他地方进行（商业公司在自己的员工身上研究药物）
 - Ethical oversight and conduct were appropriate; no need for trial registration in that country for post-marketing study of approved medicine
适当的道德监督和行为；被批准的药物上市后研究不需要在该国进行试验注册
 - The authors reported results of analyses done on **samples** sent by trial-investigators
作者报告了试验研究人员对样品所做的分析结果



Case description 6/6 案例描述6/6

- **Conclusion:** Journal published **Expression of Concern**, about: A
结论：期刊发表关注声明：
 - A different ethics committee approving clinical trial
该临床实验由另一个伦理委员会批准
 - Trial details, including recruitment of a company's employees as participants
试验的细节，包括招聘一个公司员工作为实验参与者
 - Trial was unregistered in that country, but should have been, according to ICMJE criteria used by the journal
该试验未在该国注册，但根据该期刊使用的ICMJE标准，该试验理应注册

Some thoughts on Case 4 关于案例4的一些思考：

Journal should 期刊应该这样做：

- Have clarified relationship between original trial/protocol and published study, approvals/consent, any Conflicts of Interest; issued appropriate Corrections
澄清了原试验/方案与已发表的研究、批准/同意之间的关系，以及任何利益冲突；发表适当的更正
- Review office and peer review processes; checks for article/study types
审查办公室和同行评议程序；检查文章/课题类型
- Review policies and instructions on ethical oversight, trial registration, trial sub-analyses and secondary studies done elsewhere, avoiding redundant/salami publication; use Good Publication Practice (GPP3) guidelines
在其他地方进行的伦理监督、试验注册、试验分分析和二次研究方面的新政策和指示，避免多余/“香肠文章”的出版；使用良好出版规范(GPP3)指南

Research and Publishing Ethics: Challenges and Best Practices— A COPE Perspective

Thank you!

- COPE: <https://publicationethics.org>
- Dr Trevor Lane, tlane@edanzgroup.com

