



Publishing Ethics Workshop



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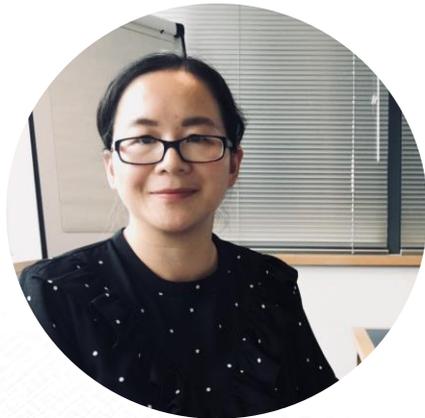
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Taylor & Francis and COPE



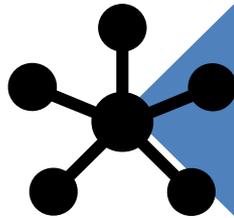
- All Taylor & Francis journals are members of COPE
- T&F editors may attend COPE Forums, access the flowcharts and submit queries to COPE for advice
- T&F are working closely with COPE on AHSS-specific issues and resources



Aim for this session



Discuss guidelines and training from COPE and Taylor & Francis to help with the publishing ethics challenges which you face.



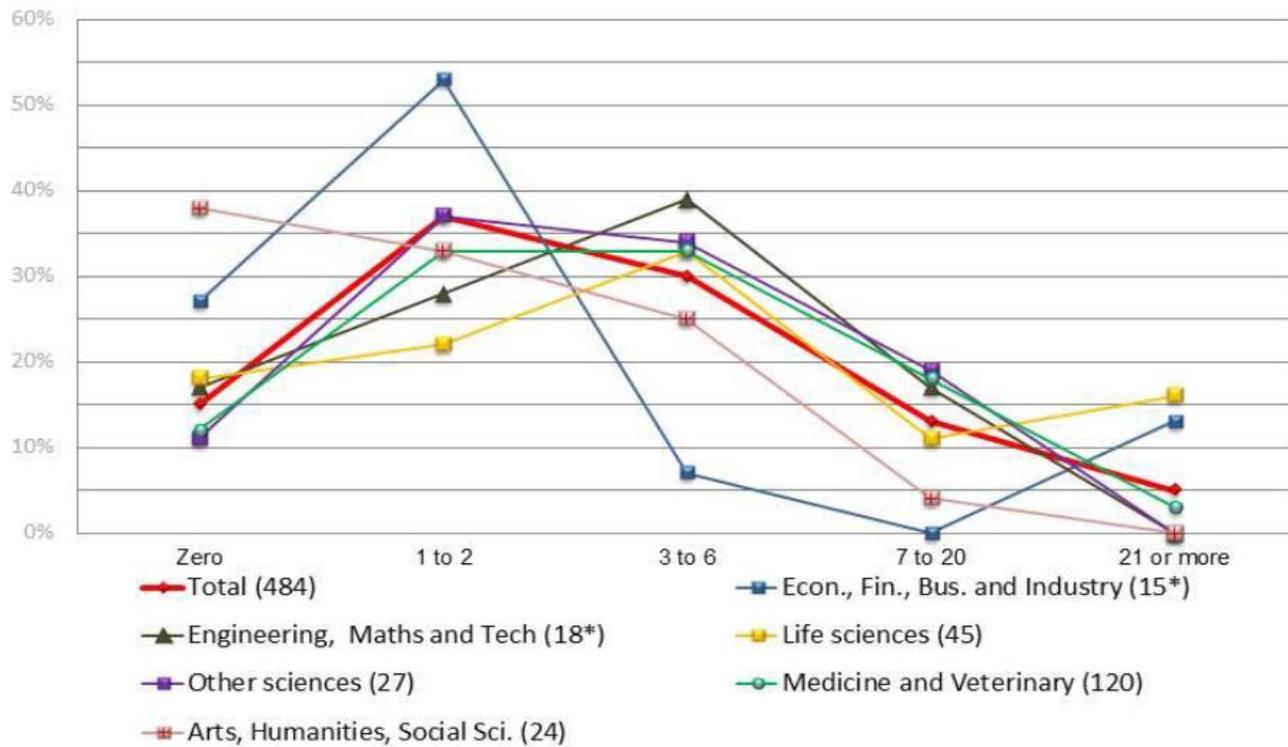
Share your experiences of publishing ethics cases and questions as journal editors





Ethics cases: some stats

Volume of publication ethics cases seen annually



Base: All with an opinion ()

* Indicates caution: low base of less than 20 respondents





Types of ethical problems

Common problems within all disciplines, but sometimes different treatment:

Plagiarism

- Quotes more often used in AHSS
- STEM often see overlap in methods/materials sections

Authorship

- Different definitions can apply in STEM and AHSS

Libel and defamation

- Greater risks in AHSS due to more focus on subjective analyses of other people's views and the world around us, rather than "raw laboratory data"



Types of ethical problems



New types of problems:

Online harassment

- Especially around topics such as race and gender

Political pressure

- Leading to withdrawal of submitted articles

Issues around research with human subjects

- Using social media





2 Key findings

Co-authorship is increasingly typical

74% of respondents reported that the typical number of authors per paper in their area of expertise is now two or more. Over half of respondents believe the incidence of co-authorship has increased since the beginning of their research careers. The most common reason identified for this growth of co-authorship was 'increasing competition and greater performance-based pressures'.

Researchers encounter problems attributing authorship fairly

Co-authorship is not without its challenges. When asked about the most commonly occurring problems associated with co-authorship, the highest scoring responses related to the order in which author names should be listed and determining who should receive an authorship credit. Where no author has made a dominant contribution, respondents believe authors should either be listed jointly as first authors or should be listed alphabetically.

There is an authorship attribution 'reality gap'

There are conditions regarded as being important for determining an authorship claim in practice which respondents do not believe would have significance in an ideal world. In practice, too much weight is placed on being a senior ranked researcher, the supervisor

of a doctoral student, or a research grant holder. As a result, respondents believe that there is a tendency for senior academics to be over-credited and junior ranked academics to be under-credited in comparison to other authors.

Instead, researchers believe that an authorship credit should go to those who are responsible for the conception and/or design of a project; the analysis and/or interpretation of data; or drafting the paper or revising it critically for intellectual content.

Few researchers receive guidance and training on authorship

Only 25% of respondents reported that guidance on authorship is included in the research ethics policy of their institution. Just 18% have received training or guidance from their institution in respect to determining academic authorship.

Editors and reviewers would intervene if they suspected incorrect authorship attribution

The majority of editors surveyed would ask the corresponding author of a paper to amend the authorship list if they believed an uncredited research assistant had made a substantial contribution to the paper. Most reviewers would also give advice to the journal editor to take this course of action.



Steps for dealing with ethics problems



Keep the case confidential

Contact your Taylor & Francis Managing Editor for guidance and support

Use the COPE flowcharts

Request a Crossref Similarity Check report

Draw on your editorial board for subject specific expertise

Take advantage of peer-review systems features

Use it as an education opportunity

Keep up-to-date with Editor Resources



Peer Review and Research Integrity team



This new team work with Taylor & Francis Editorial teams to:

- manage peer review policies across all journals
- act as a central point for ethics queries and cases
- monitor and report on change and innovation in industry standards
- take responsibility for new peer review initiatives.

Peer review initiatives include:

- Publons
- Open peer review trial





Deborah Kahn

Publishing Director, Medicine & Open Access
Taylor & Francis



C O P E

PROMOTING INTEGRITY IN
RESEARCH AND ITS PUBLICATION



Introduction to COPE

Scholarly Summit, London

28 June 2018

Deborah Kahn

Publishing Director, Medicine and Open Access

COPE Council member

Taylor & Francis Group
an informa business



| C | O | P | E |

PROMOTING INTEGRITY IN
RESEARCH AND ITS PUBLICATION

COPE

Promoting integrity in research and its publication

- COPE's role is to assist editors of scholarly journals and publisher/owners in their endeavour to **preserve and promote the integrity of the scholarly record** through policies and practices that reflect the current best principles of transparency as well as integrity.
- COPE is a membership organisation. COPE's **12,000 members** are primarily **editors of journals and publishers** and we are currently exploring expanding our membership. Part of this potential expansion is being explored with a pilot project with **five universities around the world**.
- COPE operates, manages, and governs the organisation with a small group of paid employees and a **group of active volunteers** who serve on the trustee board and council.

publicationethics.org

OUR CORE PRACTICES

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

[View all core practices](#) ▶



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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>

Resources

- **10 core practices**
 - Flowcharts for handling cases of alleged misconduct
 - Infographics
 - Best practice guidelines
 - Discussion documents
 - Newsletter, presentation archives
 - COPE Forum cases
- **For members:**
 - **E-Learning modules**
 - **Letter templates, Self-audit tool for journals**
 - **Seminars/workshops and webinars**
 - **COPE Forum**

<https://publicationethics.org/resources>

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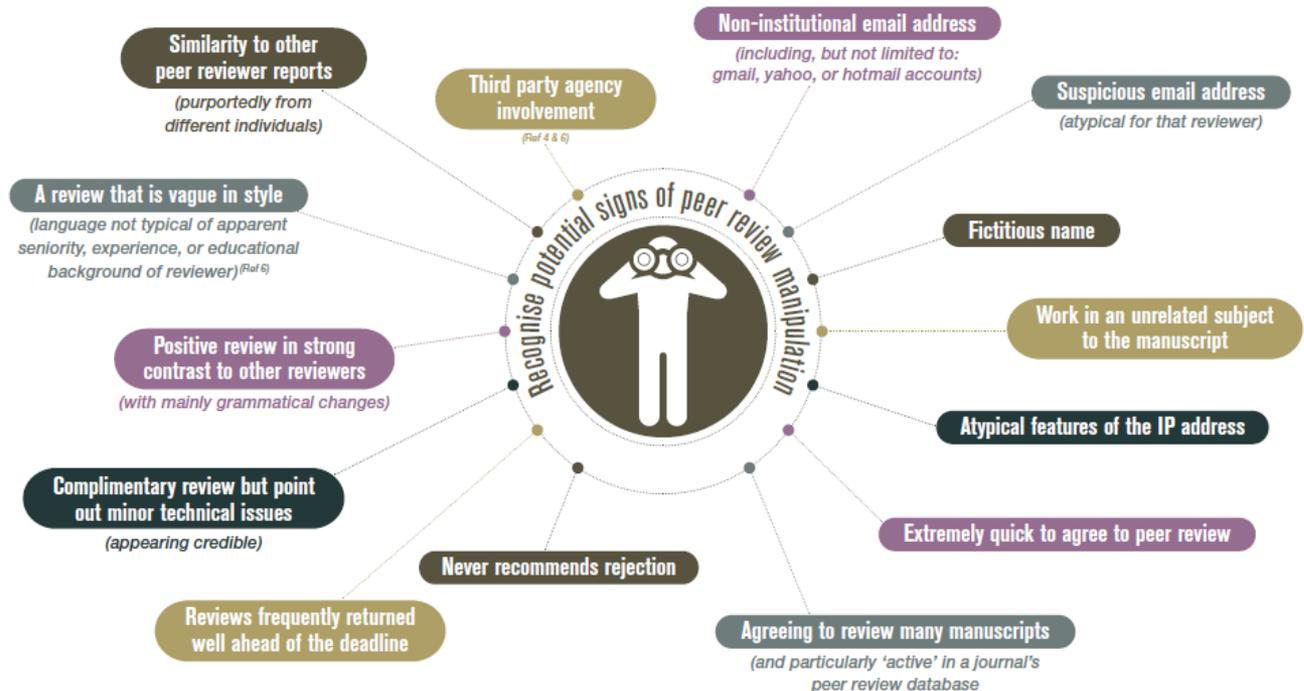
Infographic

https://publicationethics.org/files/COPE%20PR_Manipulation_Process.pdf

How to recognise potential manipulation of the peer review process

The features or patterns of activity shown are suggested to **help recognise potential signs** of peer review manipulation.

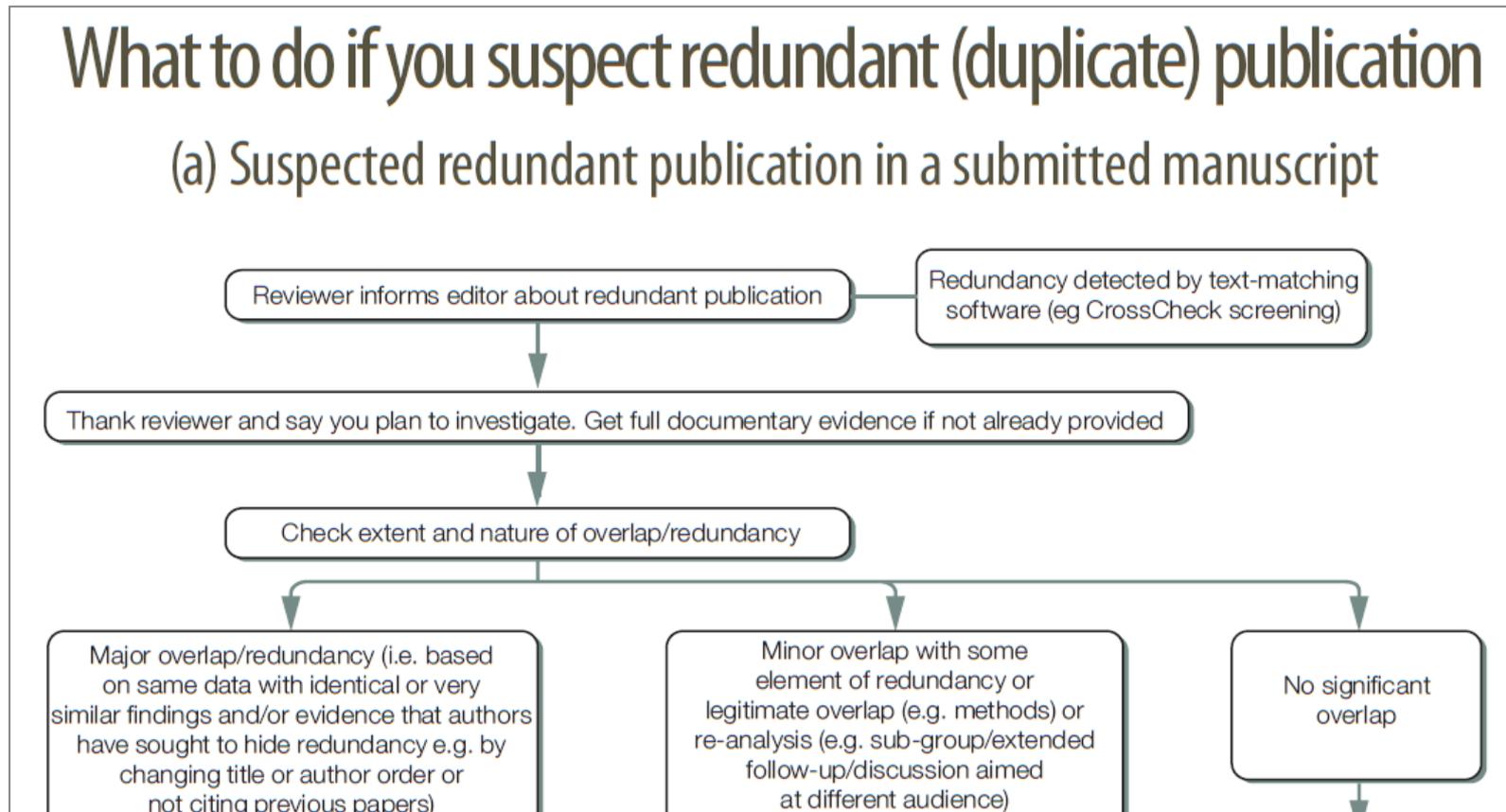
Often it is the **occurrence of these features in combination** that may indicate a potential issue.



Flowchart

What to do if you suspect redundant (duplicate) publication

(a) Suspected redundant publication in a submitted manuscript



Guidelines

https://publicationethics.org/files/retraction%20guidelines_0.pdf



RETRACTION GUIDELINES

Summary

Journal editors should consider retracting a publication if:

- they have clear evidence that the findings are unreliable, either as a result of misconduct (e.g. data fabrication) or honest error (e.g. miscalculation or experimental error)
- the findings have previously been published elsewhere without proper crossreferencing, permission or justification (i.e. cases of redundant publication)
- it constitutes plagiarism

Discussion paper

https://publicationethics.org/files/u7140/COPE_Preprints_Mar18.pdf

C | O | P | E

DISCUSSION
COPE DISCUSSION DOCUMENT

VERSION 1: March 2018

PREPRINTS

BACKGROUND/CONTEXT

A preprint is a scholarly manuscript posted by the author(s) in an openly accessible platform, usually before or in parallel with the peer review process. While the sharing of manuscripts via preprint platforms has been common in some disciplines (such as physics and mathematics) for many years, uptake in other disciplines traditionally had been low, possibly influenced by differences in research culture and strong opposition by some journal publishers [1]. The landscape has evolved rapidly in other fields in recent years. however. thanks

PRINCIPLES OF TRANSPARENCY

& Best Practice in Scholarly Publishing



publicationethics.org



doaj.org



oaspa.org



wame.org

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.

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.

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.</p> <p>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's 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. – 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.</p> <p>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.</p> <p>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.</p> <p>This includes but not limited to:</p> <ul style="list-style-type: none"> – plagiarism – citation – manipulation – data fabrication/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 contribution – 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>
 <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.</p> <p>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.</p> <p>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.</p> <p>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).</p> <p>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.</p> <p>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 unobtrusive.</p> <p>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 2016); 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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 Attribution – You must attribute the work in the manner specified by the author or licensor (but not in any way that suggests that they endorse you or your use of the work).
 Non-commercial – You may not use this work for commercial purposes. No Derivative Works – You may not alter, transform, or build upon this work.
 We ask that you give full accreditation to COPE with a link to our website: <https://publicationethics.org/>

Taylor & Francis and COPE



- All Taylor & Francis journals are members of COPE, and editors may attend COPE Forums, access the flowcharts, submit queries
- Taylor & Francis is the leading publisher of AHSS journals through our Routledge brand
- COPE originates from a biomedical tradition
- We have a joint requirement to develop ethical guidelines for the particular needs of AHSS scholars





Rowena Lamb

Head of Research Integrity, UCL





Professor Cynthia Graham, PhD

Editor-in-Chief of *The Journal of Sex Research*





A case of duplicate submission



Prof. Cynthia A. Graham, Ph.D.
Editor-in-Chief
The Journal of Sex Research





Impetus for action:

- Received a request to review a manuscript by another journal.
- Recognised the title and abstract of the paper as the same as one that had recently been submitted to JSR.
- Assigned the manuscript to an Associate Editor, but the paper had not yet been sent out for review.





First steps:

- Contacted the assigned T&F editor to ask if the publishers had any policy or guidelines about possible cases of dual submission;
- Consulted COPE for guidance
- Contacted the previous Editor-in-Chief of JSR to ask if there were any journal-specific procedures for dealing with cases of duplicate submission (there were not)
- Emailed the Editor-in-Chief and Managing Editor of the other journal to communicate concerns that this was a case of duplicate submission.
- Quick response from the Editors of the other journal and agreed that this was potentially a case of dual submission.





Actions:

- Both journals suspended the review process for the article;
- Shared author details, submission details, and the manuscripts to confirm that the papers were the same;
- Both journals required authors to *"confirm that the manuscript has been submitted solely to this journal, and is not published, in press, or submitted elsewhere"* and the submitting author of this paper had signified confirmation of this;





Actions:

- Established that the content of both papers was identical (and they were submitted on the same day!), then contact the submitting author to request an explanation;
- The letter was sent jointly to the first author of the paper, and stated that “it had been brought to our attention that a possible incident of dual submission may have occurred.” It also highlighted the fact that simultaneous submission of a manuscript to more than one journal is considered an ethical violation within publishing.
- Informed the author that all further review of their manuscript had been suspended.
- Response from the author (who was a Master’s student):
“I’m new to this process and made the mistake. It’s probably not the only error in my submission.”





Subsequent steps/Resolution:

- Both journals rejected the manuscript, using this text:

"Although you said that this was a "mistake" on your part, as part of your submission you did state that the manuscript was not under review with another journal. As Dr X said in his letter, the simultaneous submission of a manuscript to more than one journal is considered an ethical violation within publishing. In view of this I have terminated further review of your manuscript."

- Further actions were considered, such as a ban on future submissions from the authors or notification of the author's host institution but decided against these. The T&F editorial contact agreed that this was the best course of action for this case.





Group Work

- A. On your table, discuss:
- The steps you would take to resolve your case
 - The questions you would ask
 - Where you would look for guidance
- B. How do your steps compare with advice from COPE?
- C. Does your case study have any relevance to:
- Issues on your journals?
 - Issues in your subject area?





A1: Authorship Dispute Regarding Author Order

- Paper accepted by journal in 2012 but there was a lengthy disagreement between the four authors regarding the order of authorship
- The paper could not publish until all authors had signed a written agreement on the order of authorship and copyright form, which was finally received in 2015
- Changes were then made during the proofing stage and approved by the corresponding author; however these changes were disputed by another of the authors, who has now requested retraction of the paper from Early View





A2: Withdrawing from Authorship

- A journal published a paper which is now under investigation by the host institution for misconduct
- All authors signed that they agreed authorship and took responsibility for the content of the paper
- An author has now asked to be removed from authorship





P1: A Case of Plagiarism?

- Paper published in journal
- A reader informed the Editor that the whole of the introduction was directly copied from another publication
- Editor-in-Chief wishes to retract the paper immediately
- Author wishes to publish a correction, as a retraction will affect their future career development





P2: Profusion of Copied Text Passages

- Journal has recently introduced systematic analysis of all submitted manuscripts for plagiarised text, using anti-plagiarism software
- 30-50% of submitted manuscripts return a positive response to this software, indicating copy values of 25-35% (substantial values beyond fortuitous incidences)
- No case of plagiarism of ideas or fraud, but a general question of how to handle manuscripts which attribute one third of their passages to other sources – these are not considered good science writing practice





P3: Self-plagiarism?

- A paper was published with four authors from two universities
- After publication, one author contacted the Editor claiming a case of plagiarism: the final paper was a direct copy of an MSc thesis which this author had supervised 7 years previously
- The authors included the person whose work was being plagiarised as first author and the supervisor of that work, who is also complaining about the publication of the paper
- The claim was that the other authors had plagiarised the MSc thesis and had no right to publish the material, and the complainant states the work belongs to him and not his student

