

The Ethics of Authorship

Acknowledgements & Credit, Responsibilities, and Professional Recourses

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Suzanne: Thank you for joining us today. I'm Suzanne Davis, and I'm speaking to you from Ann Arbor, Michigan which is on the traditional Territories of the Three Fire Peoples - the Ojibwe, Odawa, and Bodewadmi. As I live and work here, I try to keep in mind the ongoing effects of colonization and state-enacted violence, as well as the struggles of many communities for self-determination. I'm an archaeological conservator and AIC's Vice President, and one of my biggest professional goals is to encourage and support more conservation professionals in publishing their work. So I'm very excited to be part of this important session. Before I introduce my co-presenter, I want to do a quick shout-out and thank you to the AIC staff who are working the technical and support side of today's session. Carmina Lamare-Bertrand and Bonnie Naugle are running the event today and providing assistance for anyone having technical problems. Thank you, Carmina and Bonnie. So, I know you've all found the chat feature, but also note that, just above the chat window, there is a box for files related to this presentation. These include a copy of our talk's script, as well as several resources from the Committee on Publication Ethics. To access any of these, highlight the document or link by clicking on it, and then click on the button that says "open." It's on the lower left of the links box. I'm now very pleased to introduce my co-presenter, Cory Rogge. Cory is a conservation scientist and an associate editor for JAIC.

Cory: Thanks, Suzanne. I'm speaking to you from Houston, Texas and this area was the traditional land of the Karankawa, Sana and Atakapa people. The ethics of authorship is a topic Suzanne and I care about a lot. We've each been involved in situations where our work either wasn't credited appropriately, or where we were not involved appropriately in the publication process. In talking to each other, and to others in the field, we came to

realize that most conservators never receive any formal training or guidance in publication ethics. So today, we'll provide some key information about this topic.

Giving credit where credit is due

Not giving appropriate credit is **PLAGIARISM**

Issues of authorship and acknowledgements



<https://www.youtube.com/watch?v=Py47gu5J7Rg>

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Cory: To begin, let's get the first and most important fact clear - published work must be credited appropriately. You wouldn't steal a painting from a museum, but if you're using someone else's work without acknowledging it, you're stealing. It's plagiarism. And, if you're crediting them, but doing so without their knowledge or consent, that's also unethical. So how do you know when to include someone as an author, and when to simply acknowledge or credit their work?

Responsibilities of Authorship

1. Scholarship - a substantial, direct, intellectual contribution to the work. This could include the conception, design, analysis and/or interpretation of data.

Anyone who meets qualification 1 should have the opportunity to participate in actions 2-4, these later criteria should not be used as a tool to disqualify individuals from being an author

1. Authorship - all authors should play a role in the drafting and/or revision of a manuscript.
2. Review and Approval - all authors must review and approve the entire manuscript prior to submission; all authors must approve revisions to a manuscript, prior to resubmission.
3. Responsibility - all authors are held responsible for the integrity and accuracy of the work.

Cory: Authorship should be reserved for people who make a substantial and direct contribution to the project. This might include development of the original idea, the research design, or the analysis and interpretation of data. For example, if you get an idea for a great experiment from your colleague, then this is your colleague's intellectual property and she should have the chance to participate in taking it further. Similarly, if a principal investigator uses data collected and interpreted by a student, the student then also deserves the right to serve as an author on the paper. Authorship entails serious responsibilities which include the writing and revision of the manuscript, reviewing and approving the entire manuscript, and assuming responsibility for the accuracy and integrity of the work.

Roles of lead and co-authors during writing and revision

First author(s) - pilot

primary responsibility for structuring, drafting, editing, and revising paper; typically serves as corresponding author

Second author - co-pilot

next highest level of contribution, assists in drafting, editing, and revising entire paper

Each additional author - crew

contributes to writing, editing, and revising as appropriate; reviews and approves paper prior to submission and resubmission



A Women's Airforce Service Pilots flight team walks from the "Pistol Packin' Mama." (Photo courtesy US Air Force Museum)

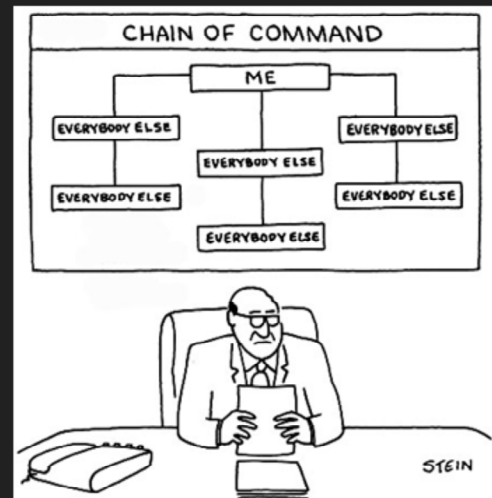
Suzanne: This is not to say that all authors should expect to assume the same burden of work for drafting and revising the paper. In general, the amount of work you do should match the amount of credit you'll receive. I like the analogy of an airplane and a flight team when thinking about each author's role on a manuscript. In conservation publications, the first author typically receives the most credit, and this person should assume primary responsibility for the work, as if they were piloting the plane. This includes structuring the paper, drafting, editing, and later revising it. Unlike on a plane, papers can have two first authors if both have contributed equally to the project - and in the sciences this is frequently done. But either way, the person in the second author, or co-pilot, position should expect the next highest level of involvement and contribute substantially to shaping, writing, and editing the paper. I think of all other authors on a paper as crew. "Crew" authors have a defined area of responsibility and should contribute robustly to this area, but do not necessarily need to concern themselves with copy-editing or restructuring others' contributions. But all authors must read and approve the entire paper, for both the initial submission as well as any revisions, because every author bears responsibility for a paper's accuracy.

Co-author / corresponding author agreements

All named co-authors agree to empower the Corresponding Author to act on their behalf with respect to:

1. Communication with the journal: coordination of revisions and preparation of a final version of the article
2. Communication with the journal's publisher during the article production process: checking, correcting, and approving the accuracy of all content in article proofs.

The corresponding author **MUST** communicate with their co-authors throughout these processes



<https://elisteincartoons.com/taxonomy/term/39>

Suzanne: In addition to playing different roles in drafting the manuscript, authors also agree to do different levels of work during the review process. When you're publishing a multi-authored paper with a peer-reviewed journal like JAIC, you'll need to nominate a corresponding author for all communication with the journal. The convention for who assumes this role varies by discipline. In the humanities, including for most conservation publications, this is usually the paper's lead author and the first author listed in the manuscript. But in the sciences, it's usually the senior scientist or the principal investigator (or PI) for the project, and they are often not the first author. Either way, all other authors agree to empower this person to communicate with the journal on their behalf. As the paper goes through review, the corresponding author is responsible for coordinating any requested revisions - and there will always be revisions requested! So if you're the corresponding author, it'll be your job to get the paper back to the correct coauthors for addressing review comments and providing revisions, and you'll need to manage doing this in a timely way. Once a revised version of the article is complete, you'll also be responsible for providing it to all your coauthors and making sure they approve it prior to resubmission. Once the paper goes into production, you'll be responsible for providing image permissions, checking copy and communicating with copy editors, and generally making sure the article proofs are correct and accurate.

Communication among authors is key

- Establish and communicate roles, responsibilities, goals, and timelines at the beginning of the research / conservation / collections care project.
- Keep communication open throughout the project (data collection, interpretation and writing).
- Review roles, responsibilities, and timelines prior to writing and editing manuscript(s) for publication.
- If you are the PI or lead author, do what you said you would, on the timeline you set (you're the pilot - don't let your crew down).



<https://i.pinimg.com/originals/46/75/68/4675688bb270b24251ca066b2638a71a.jpg>

Suzanne: In general, the thing that will crash your plane or derail your research and publication train most easily and horribly is a communication breakdown among authors. My main tip for how to avoid this is to be very clear and explicit about roles, goals, outcomes, and expected timelines, from the very beginning of the project through to its publication. And you can influence this, no matter what your role is in the work. So even if you're a student, you can ask questions to help bring clarity. All participants should deliberately work to communicate openly and professionally about the project and its progress. This can sometimes feel awkward, depending on the situation or on your institutional culture, but it's worth it in the long run to be open and explicit.

Gift co-authorship is unethical. Choose a different gift!

- 1) Individuals do not satisfy the criteria for authorship for enabling the research and/or the preparation of the manuscript.
- 2) Under no circumstance should high-stature individuals be listed as co-authors solely in an effort to increase the likelihood of publication.
- 3) Contributions such as routine technical services, provision of a valuable material, assistance with data collection, or review of a manuscript are not usually sufficient for authorship.
- 4) Individuals who assist the research effort may warrant appropriate acknowledgement in the manuscript.



<http://balooocartoonblog.blogspot.com/2012/02/bribery-cartoon.html>

Giving credit where credit is due—authorship versus acknowledgment.
The Canadian Veterinary Journal, 2001. 42(4), p.249.

Cory: Okay, let's say that your magnum opus is complete, and it's on schedule for submission to a journal, and you're now tempted to add an author or two. Maybe there was someone who did something wonderful to help the project, like loaning an instrument to you or helping you edit your paper. Or maybe one of these people works in your same lab and was tangentially related to the work, and is also well respected and is likely to increase respect or readership for your paper. Unfortunately, neither of these things satisfies the criteria for authorship. Adding an author for reasons like this is called "gift authorship" and it's unethical. Never add a high-stature individual as a co-author solely in an attempt to increase the likelihood of publication or citation. This can be difficult as some academic and museum cultures are very hierarchical, but if an individual hasn't met the authorship criteria back on slide 3 they shouldn't be included. Also, contributions such as routine technical services, provision of a valuable material, assistance with data collection, or review of a manuscript are not usually sufficient for authorship. That said, individuals who assist the research effort may warrant appropriate acknowledgement in the manuscript and most journals have a manuscript section specifically for including this.

Acknowledgements

- Individuals who do not meet the requirements for authorship, but have provided a valuable contribution to the work, should be acknowledged.

For example - technicians who acquired data, a senior researcher who obtained funding, or a collaborator who only provided a new reagent or samples do not generally merit authorship on their own.



<https://www.cartoonstock.com/cartoonview.asp?catref=pha0045>

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Cory: For example, you will want to acknowledge people who have provided a valuable contribution to the work, and this might include technicians who acquired data, a lab head or key administrator who obtained funding, or a colleague who helped with the work in a tangential but valuable way, such as providing a key material or sample or reviewing or editing the manuscript. I've also seen authors acknowledge the input from journal editors and anonymous peer reviewers who provided substantial advice and guidance through the review process.

Acknowledgements continued...

- Financial sponsorship or donation of gift funding does not constitute criteria for authorship, but should be acknowledged.
- Some journals require that all acknowledged individuals agree to formal recognition.



<https://www.cartoonstock.com/cartoonview.asp?catref=CC35078>

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Cory: You will also need to acknowledge major funders. And - just so you know - some journals, although not JAIC as of yet, require all acknowledged individuals to agree to formal recognition, so that their names are not included on a paper without their knowledge and permission. Okay, we've discussed problems of gift authorship and when and how to use acknowledgements, so let's move on to ghost authorship.

Ghost authors are also unethical. You *should* be afraid of these ghosts!

- Using someone else's ideas, research design, data, or interpretation without proper attribution.
- Using a "ghostwriter" to draft the manuscript.

Remember - Authorship entails a substantial, direct, intellectual contribution to the work.

- Anyone meeting the criterion above should:
 - Play a role in the drafting and revision of a manuscript
 - Review and approve the entire manuscript
 - Be responsible for the integrity and accuracy of the work.

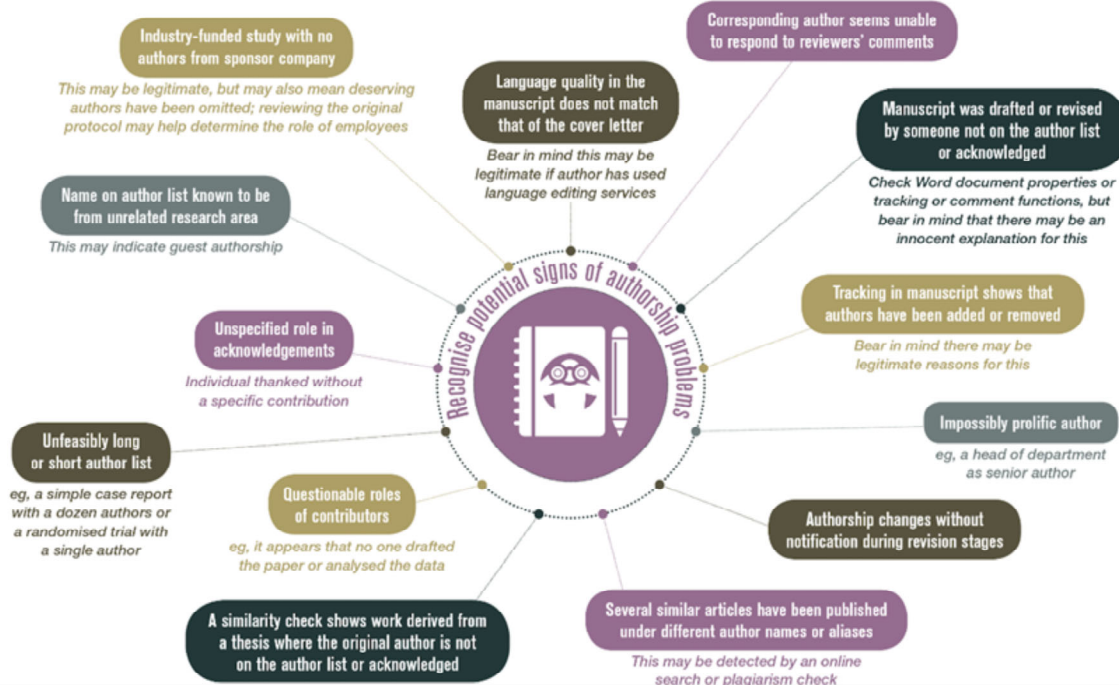


<https://www.pinterest.co.uk/pin/175218241724060717/>

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Suzanne: This brings us back full circle to the beginning of this presentation. Ghost authors are people who have provided a substantial intellectual contribution, or people who have been tasked with drafting or revising a paper, but who are not listed as authors. Again, this is plagiarism. Anyone who makes a significant and direct contribution should have the opportunity to serve as an author and receive intellectual credit for their work. Authors should play a role in writing, revising, and approving the manuscript, and they agree to be held responsible for what's being reported. I do want to add that although 'ghostwriting' is not ethical, use of an editing service is. Journals understand that English is often not the first language of their authors and it's absolutely appropriate to obtain help with copy editing.

Signs that Might Indicate Authorship Problems



Suzanne: This handy guide shows you the kinds of problems reviewers and editors look for, and what they might indicate about problems with authorship. We have included this, as well as a guide from the Committee on Publication Ethics - or COPE - on how journals deal with suspected authorship problems. These are in the links box at the left of our screen, and we encourage you to download them for reference. We think they will be handy whether you are reviewing a manuscript or writing one.

Professional Recourses

What to do if your work has been plagiarized, used without appropriate credit, or submitted under your name without your review:

- Gather documentation
- Contact the Editor in Chief of the journal.

Publishing of errata (print & online)

Retraction

Informing employers & granting agencies



<https://www.duetsblog.com/2016/06/articles/quest-bloggers/blowing-the-whistle-on-trade-secrets-employers-required-to-provide-notice-of-whistleblower-protections-under-dtsa/>

Cory: Speaking of which, what do you if your work has been plagiarized, used without appropriate credit, or submitted under your name without your review? First of all, know that you have the right to speak up. The best thing to do is to reach out to the Editor in Chief of the journal in question. However, if you know one of the associate editors, and you feel more comfortable raising the issue with them, do so. Describe the nature of your complaint, if the work has been published give them the title, author(s), volume, issue and date of publication of the article concerned, let them know whether the complaint has already been raised elsewhere, e.g. with the author directly or an institutional ethics review board, etc., Also provide any prior correspondence relating to the complaint. The Editor will then consult with the journal publication board and begin an investigation.

If it becomes apparent that the author list is incorrect the journal may publish an errata, which would appear in print in a subsequent volume of the journal and also appear online. In very serious cases the article itself may be retracted. The journal also can contact employers and granting agencies although this is more common for very serious types of misconduct such as fabrication of data or issues surrounding the use of human subjects..

Case Studies

- Conservators not crediting scientists appropriately
 - BE CLEAR ABOUT EXPECTATIONS
 - If you're not sure, ask
- Conservators not being credited appropriately by other specialists
 - BE CLEAR ABOUT EXPECTATIONS
- Clear communication works
 - Clearly outlined expectations at initiation of project
 - Keep lines of communication open throughout

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Suzanne: Okay - let's look quickly at some case studies. One thing I see frequently when I'm reading abstracts for AIC's annual meeting, is that the abstract will be by a conservator and it will describe an in-depth technical study, or a project that relied heavily on scientific data. It will be clear that this work was provided by a conservation scientist, but no scientist will be listed as an author. I see this for both papers and posters, and I often see it coming from conservators who are still in graduate school or who are early career. I suspect that what's missing in these situations is an understanding of when something is a small or routine technical service, and when it's a substantial contribution. This is a big problem, because most scientists' performance reviews and career trajectories depend on authoring conference papers and journal articles. If they're not credited appropriately, it has a direct, deleterious effect on their careers, in addition to this just being an unethical practice. So it's important to think carefully about when someone is working with you as a collaborator, and is contributing substantively to shaping your project and interpreting results, and when they're not. If you're not sure, it's better to ask what the other person's expectations are. This is something you can solve very easily through communication, and you'll want to communicate clearly throughout the life of the project. I have, personally, been both a ghost author and a gift author. So I'm trying to be better about communicating my own expectations, and I strongly encourage both conservators and conservation scientists to be clear about this with all their collaborators, including curators and archaeologists.

Cory- just to chime in here. **Papers given at conferences should follow the same standards of authorship as journal articles. And as Suzanne said, this is not always the case and it's something AIC is working on addressing.** I also want to provide two example about clear

and communication. I have analyzed the Egyptian Mummy portraits in our collection as part of an ongoing Getty Museum project. One of the other team members in the project is a scientist at the British Museum who is a wood expert. She willingly analyzed samples from the portraits with the clear and up-front understanding that if that information was used in a paper or presentation she would receive authorship. She donated her time and expertise and did something I could not- that's deserving of authorship. Because she clearly communicated her restrictions at the beginning of the project we had a clear path to follow when I was approached to give a presentation on the portraits. I contacted her immediately to ask if she would like to be a co-author. She did, and was appreciative for it, so I drafted the abstract, sent it to her for review, and presented our work in May. It was a win-win situation because I got the information, she received appropriate credit and can use this presentation in her performance reviews to show the impact she is making in the field and justify her participation in the project.

In another instance I was asked by a colleague to analyze a painting in our collection to determine if a specific pigment was present- they were studying paintings made by the artist's student. I did so and passed on a report to them. About a year later, they contacted me to say that they were writing up their work and would like to mention my findings, with an acknowledgement that I had done the analysis. I agreed- my work was not critical to their paper and in my opinion that level of credit was appropriate. There wasn't communication about authorship at the beginning, but the later timing was fine. Projects change, just keep the communications open.

Resources

Committee on Publication ethics (COPE), <https://publicationethics.org/> (English, Arabic, Chinese, French, Spanish, Turkish, Polish, Persian, Japanese, Italian, Croatian)

- 1) Authorship, https://publicationethics.org/files/COPE_DD_A4_Authorship_SEPT19_SCREEN_AW.pdf
- 2) How to handle authorship disputes: a guide for new researchers, https://publicationethics.org/files/2003pdf12_0.pdf
- 3) How to recognize potential authorship problems, <https://publicationethics.org/resources/flowcharts/how-recognise-potential-authorship-problems>

Taylor and Francis

- 1) Defining authorship, <https://authorservices.taylorandfrancis.com/defining-authorship/>
- 2) Ethics for authors, <https://authorservices.taylorandfrancis.com/ethics-for-authors/>
- 3) Co-authorship in the Humanities and Social Sciences: a global view, <https://authorservices.taylorandfrancis.com/wp-content/uploads/2017/09/Coauthorship-white-paper.pdf>

Thanks for listening! Suzanne Davis: davissL@umich.edu; Cory Rogge: crogge@mfah.org