ORCID: building academic trust

Research Ethics
STM Publishing and China Publishing Training day
Beijing, 26 August 2015

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Multiple dimensions of publishing ethics

- Data fabrications
  - Honest oversight, or intentional
- Plagiarism
- Duplicate submissions
- Authorship
  - Ghost/guest/gift
- Review misconduct
- Citation ethics
Dear Editor,

In [month] [year], your journal published my colleagues’ and my article. Since the publication, we have been working on follow-up analysis using the same database. When new results were implausible, we undertook an intensive investigation… we found we failed to include 8 files of data in the original dataset. This mistake resulted in the under-reporting of xxx… The mistake occurred despite the intensive quality checks. We sincerely apologize for the issues and would like to ask for your cooperation in correcting the published article.

(This letter is fictional)
Intentional? Fabrication & Plagiarism

• Haruko Obokata, Japanese scientist
  • First claimed to have developed a radical and remarkably easy way to make stimulus-triggered acquisition of pluripotency (STAP) cells that could be grown into tissue for use anywhere in the human body
  • Published in *Nature*, January 2013
  • Results were unable to replicate
  • RIKEN eventually launched an investigation in response to allegations of irregularities in images
  • Failing her own replication study, Obokata resigned from RIKEN
  • The scandal has become one of the world’s most well-known scientific frauds alongside the Shön scandal and Hwang Woo-suk’s cloning experiments
Experts pointed out that Obokata possibly copied and pasted passages on stem cells from the U.S. National Institutes of Health website as well as a bibliography from a paper that Taiwanese researchers published in a medical journal in 2010.

Asahi Newspaper, March 16, 2014
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
- it reports unethical research

Journal editors should consider issuing an expression of concern if:

- they receive inconclusive evidence of research or publication misconduct by the authors
- there is evidence that the findings are unreliable but the authors' institution will not investigate the case
- they believe that an investigation into alleged misconduct related to the publication either has not been, or would not be, fair and impartial or conclusive
- an investigation is underway but a judgement will not be available for a considerable time

Journal editors should consider issuing a correction if:

- a small portion of an otherwise reliable publication proves to be misleading (especially because of honest error)
- the author / contributor list is incorrect (i.e. a deserving author has been omitted or somebody who does not meet authorship criteria has been included)

Retractions are not usually appropriate if:

- a change of authorship is required but there is no reason to doubt the validity of the findings

Find out on COPE retraction guidelines:

- Journal editors should consider retracting a publication if:
- Journal editors should consider issuing an expression of concern if:
- Journal editors should consider issuing a correction if:
- Retractions are not usually appropriate if:

http://publicationethics.org/files/retraction%20guidelines_0.pdf
Whose responsibility is duplicate submission?

**CASE NUMBER:** 04-32

**YEAR:** 2004

duplicate submission and had written to the author to request clarification. The author replied, insi...

Duplicate submission to two journals and previous duplicate publication uncovered

**CASE NUMBER:** 02-03

**YEAR:** 2002

not been submitted elsewhere. Duplicate submission became evident only when the associate edi...

Duplicate submission

**CASE NUMBER:** 08-18

**YEAR:** 2008

journal A, and therefore contacted the editors of journal A about the possibility of duplicate submis...
The authors submitted a paper to journal A on genetic analysis of a potentially pathogenic organism isolated from children, analyzed by school attended.

Six days later, the same authors submitted a paper to journal B on genetic analysis of the same organism isolated from children, analyzed by socio-economic class.

The papers appear to be different analyses of the same data, and substantial portions of the texts of the two manuscripts are identical. No reference is made in either paper to the other submission.

The instructions for authors for both journals state that “by submitting, corresponding authors confirm that their manuscripts report unpublished work that is not under consideration for publication elsewhere”.

http://publicationethics.org/cases/duplicate-submission
An original work was published in our journal in September 2010. The article had five authors.

In February 2013, the third author is requesting an alteration in his/her name.

The original name published was SFHS. The request is to change the name to SFH, both on the journal's website and Medline.

No valid reason could be provided by the author for this change in name. The last name is the cast and now he/she wants to write in future without the cast being evident.

The Forum noted that this case highlights the importance of schemes like ORCID, which provides a code to uniquely identify academic authors and which authors can sign up to. Then an author’s history and online activity can be traced, regardless of what name they use, as all publications are traced back to this unique identifier.

On a show of hands, the majority (15) of the Forum said they would not change the name and 10 said they would.

http://publicationethics.org/case/change-author’s-name-after-publication
Project CRediT (Contributor Roles Taxonomy) is led by The Wellcome Trust and Digital Science, facilitated by CASRAI and NISO and supported by the Science Europe Scientific Committee for the Life, Environmental and Geo Sciences.

The project is developing and maintaining recommendations for a science-oriented contributor role taxonomy and its implementation.
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<tr>
<td>#2</td>
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<td>#3</td>
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<td>data curation</td>
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The Peer Review Scum

In 2012, the Elsevier journal *Optics & Laser Technology* retracted 11 papers after an unknown party gained access to an editor's account and assigned papers to fake reviewer accounts.

… to verify reviewers' identities, the system now integrates the Open Researcher and Contributor ID (ORCID) at various points. ORCID identifiers, unique numbers assigned to individual researchers, are designed to track researchers through all of their publications, even if they move institutions.

When to cite?


- Pioneers
- Giving credit to peers
- Methodology, equipment, etc
- Background reading
- Correcting own/others’ work
- Criticizing previous work
- Substantiation

- Alerting forthcoming work
- Providing leads to underrepresented work
- Authenticating data/fact
- Disclaiming, disputing, ... etc.
Self-citations

• Excessive self-citation weakens the integrity of the journal

• Journals with excessive self-citations or stacking citations may be deleted from JCR until the problem is corrected
  
  • List of suppressed journals: “Journal Citation Reports Notices.” Thomson Reuters Corporation.  
Plagiarism detection

Tools to allow for easy addition of identifiers (for people, places, and things) during publishing, grant application, thesis deposit, etc.

...and assertion of connection by trusted organization
Publons allows authors to register their peer review contributions, in turn display them in their profile; sync with ORCID.
ORCID in submission process

ORCID: http://orcid.org/
ORCID in submission process

- ScholarOne allows authors to submit their ORCID iDs
- More and more publishers & associations adopt ORCID in manuscript submission process
ORCID-enabled systems

Systems with Built-in ORCID Support:

Publishing Platforms
Aries Editorial Manager, ejournal Press, Open Journal Systems, ScholarOne,

Research Information Systems
Elements, Plum Analytics, PURE, SmartSimple, VIVO

Repository Platforms
DSpace, Dryad, ePrints
Over 1.5 million researchers have registered for an ORCID identifier.

ORCID iDs by creation method

- Member created
- Direct via orcid.org
- Member referred

Adoption by researchers
Integration in research systems

Over **280 members** and integrations in every region and sector of the international research community.

- **Americas**: 48%
- **EMEA**: 36%
- **Asia Pacific**: 16%
- **Research Institute**: 45%
- **Repository**: 20%
- **Publishing**: 16%
- **Funder**: 7%
- **Association**: 12%
- **Eria**: 7%
- **Repub**: 20%
- **Asia Pacific**: 16%
- **EMEA**: 36%
- **Americas**: 48%
With other identifiers, ORCID enables machine-readable connections with:

- works
- organizations
- person IDs
Coming in 2015:

The author can pre-populate submission form fields: preferred name, affiliation, funding

The authenticated iD becomes a part of the paper

Upon publication, the iD is indexed by CrossRef, Scopus, Web of Science, and other services.

AND the author’s ORCID record is updated with provenance

Information flows through ORCID to linked platforms
• Research ethics entail multiple dimensions from honest ones to intentional, from simple to complex issues.

• There is an increasing number of cases reported, meanwhile increasing level of efforts to prevent.
  • Standards, tools, guidelines, etc.

• Misconduct, done by individuals or group, can harm reputations; takes time to recover.
Thank you!

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Existing ORCID members in Asia
Australia 13
New Zealand 3
China 2
Hong Kong 6
Taiwan 5
Japan 4
Korea 2
Malaysia, India 1
Consortium discussion taking place for a wider adoption with better support.
• Create the tools to allow for easy addition of identifiers (for people, places, and things) during publishing, grant application, thesis deposit, etc.
• Engage the community to embed, authenticate, and assert
ORCID iDs are being embedded in articles

Characterization of the definitive classical calpain family of vertebrates using phylogenetic, evolutionary and expression analyses

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Open Biology

rsob.royalsocietypublishing.org

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Special Article

Open Access

Prevention of Venous Thromboembolism, 2nd Edition: Korean Society of Thrombosis and Hemostasis Evidence-Based Clinical Practice Guidelines

Soo-Mee Bang, Moon Ju Jung, Kyoung Ha Kim, Ho-Young Ythm, Yeo-Kyoung Kim, Seung-Hyun Nam, Hun Gyu Hwang, Sung Hwa Ba, Sung Hyeon Kim, Young-Chul Mun, Yang Ki Kim, Inho Kim, Won-II Choi, Chul Won Jung, Nam-Kyung Choi, Byung-Joo Park, and Doyeon Oh

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34
Send Scopus Author details and publication list to ORCID

Your publications on Scopus may be spread over a number of different Author profiles, because these are generated automatically. In order to create a single profile containing the correct publications, please follow the steps in this wizard. On completion, any changes will also be sent as corrections to Scopus.

Accurate attribution has long been a challenge in the scholarly sphere. Whether one is the researcher, funder, publisher or another contributing to this ecosystem, it is critical that work be properly identified and tied to the right individual, institution, publisher or funder. Thomson Reuters has long known this, hence the reason for its ResearcherID solution. And, hence the reason for the company being a founding member of the Open Researcher and Contributor ID (ORCID) initiative.
...and also in theses, personnel records...
... and association membership systems ...
...and datasets...

Data from Figure 7 from: Measurements of Higgs boson production and couplings in diboson final states with the ATLAS detector at the LHC
2013-09 | data-set
DOI: 10.7484/INSPIREHEP.DATA.A78C.HK44
URL: http://dx.doi.org/10.7484/INSPIREHEP.DATA.A78C.HK44
SOURCE: Kyle Cranmer
CREATED: 2013-09-11
Preferred source

...and data management

Witt 2014

PeerJ 2015
How do I register my ORCID id with the Wellcome Trust?

If you are an existing user of the Wellcome Trusts online application system eGrants, you can verify your existing ORCID id via the ‘Your Details’ page of your eGrants account.

If you do not have an eGrants account or an ORCID id, you can register for both during the eGrants registration process. Further information can be found in the eGrants User Guide or by contacting eGrants Support.

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My NCBI Curriculum Vitae Web Application: SciENcv


2013 September 17 [posted]

SciENcv is a new feature in My NCBI that helps users create an online professional profile that can be made public to share with others. In SciENcv users can document their education, employment, research activities, publications, honors, research grants, and other professional contributions. In addition, the SciENcv profile may include an ORCID® ID, when registered with ORCID.
Implementation continuum

Researchers register as individuals
Capture ORCID using authentication
Connect ORCID to one university system
Synchronize ORCID Registry with local data
Connect ORCID to many university systems
Synch integration across organizations

- Consortium
  - No fee, requires internet connection
  - Premium member fee, local DB, IT resources

- Basic member fee, Member API, requires local DB and IT resources

- Basic or premium member fee, local DB and IT resources

- No fee, Public API, requires local database and IT resources

- No fee, requires internet connection
• Academic institutions and their affiliated members increasingly manage their academic reputation by building e-portfolio.

• Showcase academic work, grants received, community services.

**ORCID record includes, funder name, grant number, source, other provenance.**
ORCID provides persistent machine-readable names (aka digital identifiers) for researchers.

Member-built integrations of ORCID identifiers in key research workflows such as manuscript and grant submission support automated linkages between researchers and their professional activities and affiliations, ensuring that works are appropriately attributed and discoverable.

ORCID serves as a hub enabling machine-readable connections between identifiers for organizations, works, and person IDs.
ORCID provides plumbing for research information—and the tools to build trust
Digital scholarly communications require digital (machine readable) information