



University of Colorado **Anschutz Medical Campus**

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Responsible Conduct of Research

# Authorship and Publication

Making or breaking careers



# Expectations

- Silence personal devices.
- Stay muted when not talking.
- Set up in a quiet location.
- Remain attentive. Avoid checking email/phone/web.
- Use the Chat function to ask questions or get technical help.
- Use your full name, not an alias.

## Receiving credit for attendance:

To satisfy the NIH Requirement for Instruction in the Responsible Conduct of Research, the following are required to receive credit for attendance:



**Attend the full 90 minutes of the training.** Attending any 8 out of the 9 RCR seminars we offer will satisfy the NIH requirement.

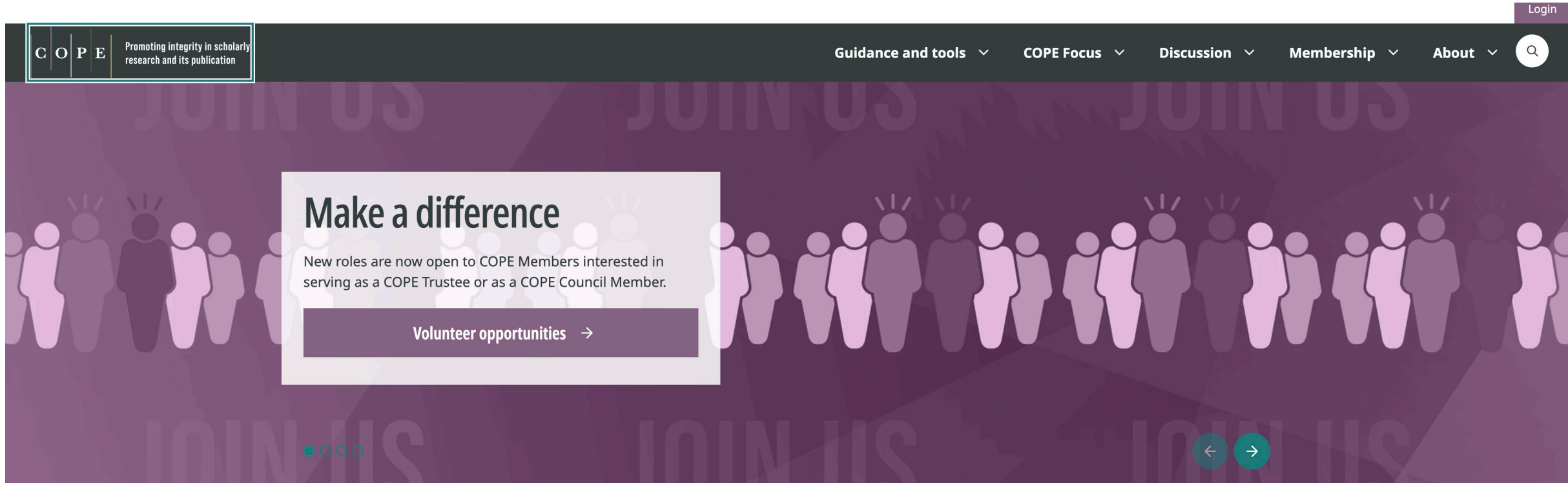


**Keep your video camera on throughout the session.** NIH requirements for RCR training specify face-to-face discussion.



**Participate interactively throughout the session.** Engage in discussion through the chat, come off mute, or raise your hand.

# Committee on Publication Ethics



## Promoting integrity in scholarly research and its publication

COPE brings together all those involved in scholarly research and its publication to strengthen the network of support, education and debate in publication ethics.

<https://publicationethics.org/>



# What is the definition of authorship?

Discussion document ⓘ

Last reviewed: 2 September 2019

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## Authorship

Authorship can refer to individuals or groups that create an idea or develop the publication that disseminates that intellectual or creative work. Appropriately acknowledging roles and contributions is not always easy. This document provides core policy guidance for editors, including advice on managing authorship disputes before and after publication, information resources for authors, and guidance for institutions to manage and support authorship integrity.

Authorship and contributorship

**Cite this as:**

COPE Council. COPE Discussion Document: Authorship. September 2019.

<https://doi.org/10.24318/cope.2019.3.3>

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<https://publicationethics.org/guidance/discussion-document/authorship>

# Why is authorship important?

- Indicates who conducted the research, who should get credit, and **who is responsible**.
- Contributes to prestige, grant funding and promotion and tenure.



# How do you navigate authorship?

- Each field is different –
  - frequently first author is one who makes the most significant contribution / did most of the work and
  - last author or corresponding author is the project lead
- Journals can have specific rules
- Interdisciplinary papers, or international collaborations expectations and conventions may vary

Elisabeth Pain, “How to navigate authorship of scientific manuscripts”, Science, 6 May 2021

# How do you decide?

Authors are usually listed in their order of importance

## What does that mean?

- Designation *first or last* author carries special weight
- Corresponding or Primary Author assumes responsibility for all aspects of a publication
- Senior authors “generally direct, oversee, and guarantee the authenticity of the work reported”.

McKneally M Put my name on that paper: reflections on the ethics of authorship. J Thorac Cardiovasc Surg 131: 517–519, 2006



## About ICMJE

The ICMJE is a small working group of general medical journal editors whose participants meet annually and fund their own work on the Recommendations for the Conduct, Reporting, Editing and Publication of Scholarly Work in Medical Journals. The ICMJE invites comments on this document and suggestions for agenda items.



## *2. Who Is an Author?*

The ICMJE recommends that authorship be based on the following 4 criteria:

- Substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data for the work; AND
- Drafting the work or reviewing it critically for important intellectual content; AND
- Final approval of the version to be published; AND
- Agreement to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

<https://www.icmje.org/recommendations/browse/roles-and-responsibilities/defining-the-role-of-authors-and-contributors.html>

# What are the criteria for authorship?

## 1. Substantive Contribution:

- Conception and design
- Acquisition of data
- Analysis or interpretation of data



# Writing Criteria (cont.):

1. Draft or critically revise manuscript
2. Provide final approval for published version
3. Agree to be accountable for certain or all aspects of the work.



- Criticized as vague and ambiguous, and not uniformly followed.
- NATURE: does not impose an order on list of authors, but encourages a statement of actual contribution.
- Academic Medicine: requires all authors to be familiar enough with the entire manuscript to take public responsibility.

# Contributor Role Taxonomy (CRediT)

CRediT is a community-owned 14 role taxonomy that can be used to describe the key types of contributions typically made to the production and publication of research output such as research articles.

Conceptualization

Data curation

Formal analysis

Funding acquisition

Investigation

Methodology

Project  
administration

Resources

Software

Supervision

Validation

Visualization

Writing – original draft

Writing – review &  
editing



# Author or Acknowledged?

- Made substantial contribution but did not meet the criteria for authorship
- Implies endorsement of data and conclusions

# What about these individuals?

## How would you handle the following?

- Person who provided the funding
- Provided the space
- Provided technical assistance
- Provided administrative assistance
- Provided the data
- Statistician
- Acclaimed in the field

# Multi-Collaborator Research and Authorship

- Genome-wide association studies and other “omics” studies
- Biobanks
- Group/Consortia Authorship

Call for a fairer approach to authorship in publishing biomedical research. *Communications Medicine*. 2025;5:Article Number 99

# An integrated encyclopedia of DNA elements in the human genome.

ENCODE Project Consortium, Dunham I, Kundaje A, Aldred SF, Collins PJ, Davis CA, Doyle F, Epstein CB, Frietze S, Harrow J, Kaul R, Khatun J, Lajoie BR, Landt SG, Lee BK, Pauli F, Rosenbloom KR, Sabo P, Safi A, Sanyal A, Shores N, Simon JM, Song L, Trinklein ND, Altshuler RC, Birney E, Brown JB, Cheng C, Djebali S, Dong X, Dunham I, Ernst J, Furey TS, Gerstein M, Giardine B, Greven M, Hardison RC, Harris RS, Herrero J, Hoffman MM, Iyer S, Kellis M, Khatun J, Kheradpour P, Kundaje A, Lassman T, Li Q, Lin X, Marinov GK, Merkel A, Mortazavi A, Parker SC, Reddy TE, Rozowsky J, Schlesinger F, Thurman RE, Wang J, Ward LD, Whitfield TW, Wilder SP, Wu W, Xi HS, Yip KY, Zhuang J, Bernstein BE, Birney E, Dunham I, Green ED, Gunter C, Snyder M, Pazin MJ, Lowdon RF, Dillon LA, Adams LB, Kelly CJ, Zhang J, Wexler JR, Green ED, Good PJ, Feingold EA, Bernstein BE, Birney E, Crawford GE, Dekker J, Elinitzki L, Farnham PJ, Gerstein M, Giddings MC, Gingeras TR, Green ED, Guigó R, Hardison RC, Hubbard TJ, Kellis M, Kent WJ, Lieb JD, Margulies EH, Myers RM, Snyder M, Stamatoyannopoulos JA, Tennebaum SA, Weng Z, White KP, Wold B, Khatun J, Yu Y, Wrobel J, Risk BA, Gunawardena HP, Kuiper HC, Maier CW, Xie L, Chen X, Giddings MC, Bernstein BE, Epstein CB, Shores N, Ernst J, Kheradpour P, Mikkelsen TS, Gillespie S, Goren A, Ram O, Zhang X, Wang L, Issner R, Coyne MJ, Durham T, Ku M, Truong T, Ward LD, Altshuler RC, Eaton ML, Kellis M, Djebali S, Davis CA, Merkel A, Dobin A, Lassmann T, Mortazavi A, Tanzer A, Lagarde J, Lin W, Schlesinger F, Xue C, Marinov GK, Khatun J, Williams BA, Zaleski C, Rozowsky J, Röder M, Kokocinski F, Abdelhamid RF, Alioto T, Antoshechkin I, Baer MT, Batut P, Bell I, Bell K, Chakraborty S, Chen X, Chrast J, Curado J, Derrien T, Drenkow J, Dumais E, Dumais J, Duttagupta R, Fastuca M, Fejes-Toth K, Ferreira P, Foissac S, Fullwood MJ, Gao H, Gonzalez D, Gordon A, Gunawardena HP, Howald C, Jha S, Johnson R, Kapranov P, King B, Kingswood C, Li G, Luo OJ, Park E, Preall JB, Presaud K, Ribeca P, Risk BA, Robyr D, Ruan X, Sammeth M, Sandu KS, Schaeffer L, See LH, Shahab A, Skancke J, Suzuki AM, Takahashi H, Tilgner H, Trout D, Walters N, Wang H, Wrobel J, Yu Y, Hayashizaki Y, Harrow J, Gerstein M, Hubbard TJ, Reymond A, Antonarakis SE, Hannon GJ, Giddings MC, Ruan Y, Wold B, Caminci P, Guigó R, Gingeras TR, Rosenbloom KR, Sloan CA, Learned K, Malladi VS, Wong MC, Barber GP, Cline MS, Dreszer TR, Heitner SG, Karolchik D, Kent WJ, Kirkup VM, Meyer LR, Long JC, Maddren M, Raney BJ, Furey TS, Song L, Grasfeder LL, Giresi PG, Lee BK, Battenhouse A, Sheffield NC, Simon JM, Showers KA, Safi A, London D, Bhinge AA, Shestak C, Schaner MR, Kim SK, Zhang ZZ, Mieczkowski PA, Mieczkowska JO, Liu Z, McDaniel RM, Ni Y, Rashid NU, Kim MJ, Adar S, Zhang Z, Wang T, Winter D, Keefe D, Birney E, Iyer VR, Lieb JD, Crawford GE, Li G, Sandhu KS, Zheng M, Wang P, Luo OJ, Shahab A, Fullwood MJ, Ruan X, Ruan Y, Myers RM, Pauli F, Williams BA, Gertz J, Marinov GK, Reddy TE, Vielmetter J, Partridge EC, Trout D, Varley KE, Gasper C, Bansal A, Pepke S, Jain P, Amrhein H, Bowling KM, Anaya M, Cross MK, King B, Muratet MA, Antoshechkin I, Newberry KM, McCue K, Nesmith AS, Fisher-Aylor KI, Pusey B, DeSalvo G, Parker SL, Balasubramanian S, Davis NS, Meadows SK, Eggleston T, Gunter C, Newberry JS, Levy SE, Absher DM, Mortazavi A, Wong WH, Wold B, Blow MJ, Visel A, Pennachio LA, Elinitzki L, Margulies EH, Parker SC, Petrykowska HM, Abyzov A, Aken B, Barrell D, Barson G, Berry A, Bignell A, Boychenko V, Bussotti G, Chrast J, Davidson C, Derrien T, Despicio-Reyes G, Diekhans M, Ezkurdia I, Frankish A, Gilbert J, Gonzalez JM, Griffiths E, Harte R, Hendrix DA, Howald C, Hunt T, Jungreis I, Kay M, Khurana E, Kokocinski F, Leng J, Lin MF, Loveland J, Lu Z, Manthavadi D, Mariotti M, Mudge J, Mukherjee G, Notredame C, Pei B, Rodriguez JM, Saunders G, Sboner A, Searle S, Sisu C, Snow C, Steward C, Tanzer A, Tapanan E, Tress ML, van Baren MJ, Walters N, Washietl S, Wilming 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**Nature. 2012 Sep 6;489(7414):57-74. doi: 10.1038/nature11247.**

**PMID: 22955616 [PubMed - indexed for MEDLINE]**



# Genome-wide screening reveals the genetic basis of mammalian embryonic eye development

Research article | [Open access](#) | Published: 03 February 2023

Volume 21, article number 22, (2023) [Cite this article](#)

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[Consortium](#), [Brian Brooks](#), [Colin McKerlie](#), [K. C. Kent Lloyd](#), [Henrik Westerberg](#) & [Ala Moshiri](#) ✉

## Acknowledgements

The following authors are IMPC members that contributed to this study: Cheryl Ackert-Bicknell, David J Adams, Douglas Adams, Anne-Tounsia Adoum, Juan A Aguilar-Pimentel, Uchechukwu Akoma, Dalila Ali-Hadji, Oana V Amarie, Philippe André, Aurelie Auburtin, Chaouki Bam'Hamed, Johannes Beckers, Joachim Beig, Zorana Berberovic, Alexandr Bezginov, Marie-Christine Birling, Katharina Boroviak, Joanna Bottomley, Antje Bürger, Dirk H Busch, Natalie C Butterfield, Pilar Cacheiro, Julia Calzada-Wack, Emma L Cambridge, Susan Camilleri, Marie-France Champy, Heather Cater, Philippe Charles, Elissa J Chesler, Yi-Li Cho, Audrey E. Christiansen, Valentina Cipriani, Nicola Cockle, Gemma Codner, Amie Creighton, Maribelle Cruz, Katharine F Curry, Abigail D'Souza, Ozge Danishment, Daniel Delbarre, Hannah F Dewhurst, Brendan Doe, Alex Dorr, Florian Giesert, Graham Duddy, Kyle Duffin, Amal El Amri, Hillary Elrick, Mohammad Eskandarian, Martin Fray, Anthony Frost, Helmut Fuchs, Valerie Gailus-Durner, Karen K Gampe, Milan Ganguly, David Gannon, Lillian Garrett, Marina Gertsenstein, Diane Gleeson, Leslie Goodwin, Jochen Graw, Kristin Grimsrud, Hamed Haselimashhadi, Liane Hobson, Andreas Hörlein, Sabine M Hölter, Seung-Hyun Hong, Neil Horner, Amanda G. Trainor, Ziyue Huang, Coleen Kane, Yulia Katsman, Lance C. Keith, Lois Kelsey, Janet Kenyon, Ruairidh King, Piia Keskivali-Bond, Andrea Kirtton, Tanja Klein-Rodewald, Thomas Klopstock, Davide Komla-Ebri, Tomasz Konopka, Ralf Kühn, Fiona Kussy, David Lafont, Qing Lan, Denise G Lanza, Valerie Laurin, Elise Le Marchand, Sophie Leblanc, Victoria D Leitch, Chris Lelliott, Christoph Lengger, Lauri Lintott, John G Logan, Isabel Lorenzo, Ann-Marie Mallon, Naila S Mannan, Susan Marschall, Melissa L. McElwee, Matthew McKay, Robbie SB McLaren-Jones, Jeremy Mason, Terrence F Meehan, David Miller, Michayla Moore, Violeta Munoz-Fuentes, Stephen A Murray, Dong Nguyen-Bresinsky, Oskar Ortiz, Panos Pandis, Helen Parkinson, Alexandru Parlog, Amit Patel, Guillaume Pavlovic, Monica Pereira, Kevin Peterson, Vivek Philip, Andrea S Pollard, Jan Prochazka, Dawei Qu, Ayexa Ramirez, Sean Rangarajan, Tara L. Rasmussen, Birgit Rathkolb, Mike Relac, Kyle Robertson, Willson Roper, Stéphane Rousseau, David W Rowe, Jan Rozman, Jennifer Ryan, Edward J Ryder, Luis Santos, Adrián Sanz-Moreno, Joel Schick, Zachary Seavey, John R Seavitt, Claudia



# What do you do if you disagree?

- Try to negotiate with PI and/or collaborators
- Write out contribution and have the PI affirm
- Discuss with faculty advisor / mentor
- Refer the issue to the authorship dispute committee at [ResearchEthics@ucdenver.edu](mailto:ResearchEthics@ucdenver.edu) More information at: <https://cctsi.cuanschutz.edu/resources/ethics>

# How to avoid disputes

1. Do not be lured into just any collaboration
2. Decide at the beginning who will work on what tasks
3. Stick to your tasks
4. Be open and honest
5. Feel respect, get respect

Vicens Q, Bourne PE. Ten simple rules for a successful collaboration. PLoS Comput Biol 3: e44, 2007.



6. Communicate, communicate and communicate
7. Protect yourself from a collaboration that turns sour
8. Always acknowledge and cite your collaborators
9. Seek advice from experienced scientists
10. If your collaboration satisfies you, keep it going



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# NIH's Adoption of Common Forms for Biographical Sketch and Current and Pending (Other) Support by May 25, 2025

**Notice Number:**

NOT-OD-24-163

## Key Dates

**Release Date:**

July 31, 2024

## Related Announcements

- **March 25, 2025** - Applicants are advised that NIH is postponing the May 25, 2025 implementation of the Common Forms for all applications and Research Performance Progress Reports (RPPRs). Refer to [Common Forms for Biographical Sketch and Current and Pending \(Other\) Support](#).
- **November 21, 2024** - Reminder that Multiple Changes Affecting Extramural Applications and Review are Coming for Application Due Dates on or After January 25, 2025. See Notice [NOT-OD-25-035](#).
- **April 4, 2024** - Overview of Grant Application and Review Changes for Due Dates on or after January 25, 2025. See Notice [NOT-OD-24-084](#).

## Issued by

NATIONAL INSTITUTES OF HEALTH ([NIH](#))

## Purpose

This Guide Notice informs the extramural community of NIH's adoption of Common Forms for Biographical Sketch and Current and Pending (Other) Support to be used with all applications and Research Performance Progress Report(s) (RPPRs) by May 25, 2025.

### Background

The Common Forms represent a collaborative effort between federal research agencies to ensure standard disclosure requirements as outlined in the [National Security Presidential Memorandum - 33](#). The approved Common Forms for Biographical Sketch and Current and Pending (Other) Support (OMB Number 3145-0279 managed by the U.S. National Science Foundation (NSF)), can be accessed at NSF's website at [NSTC Research Security Subcommittee NSPM-33 Implementation Guidance Disclosure Requirements & Standardization](#).

### NIH Common Forms Implementation

NIH will implement the Common Forms without change to any collection fields. However, in accordance with NIH's Peer Review Regulations at [42 Code of Federal Regulations Part 52h](#), NIH currently plans to continue collecting three required agency specific data elements (i.e., Personal Statement, Contributions to Science, and Honors) to assess qualifications. **These data elements will be collected separately from the Common Forms on a new NIH Biographical Sketch Supplement.**

A high-level summary of NIH specific updates are as follows:

#### General Information

- NIH will require the use of Science Experts Network Curriculum Vitae ([SciENcv](#)) to complete Common Forms (i.e., Biographical Sketch, Current and Pending (Other) Support) and the NIH Biographical Sketch Supplement to produce digitally certified PDF(s) for use in application submission.
- NIH will require all Senior/Key Personnel to enter their ORCID ID into SciENcv in the Persistent Identifier (PID) section of the Common Forms.
  - NIH will require all Senior/Key Personnel to link their ORCID ID to their eRA Commons Personal Profile. For information on linking an ORCID ID to the eRA Commons Personal Profile see the [ORCID ID topic in the eRA Commons](#) online help.

# Avoid Predatory Journals and Publishers

- Hard to define: Leading scholars and publishers from ten countries have agreed a definition of predatory publishing that can protect scholarship. It took 12 hours of discussion, 18 questions and 3 rounds to reach. Agnes Grudniewicz et al, "Predatory journals: no definition, no defense" Nature, 11 December 2019
- *"Predatory journals and publishers are entities that prioritize self-interest at the expense of scholarship and are characterized by false or misleading information, deviation from best editorial and publication practices, a lack of transparency, and/or the use of aggressive and indiscriminate solicitation practices."*

# What to consider?

- Do you or your colleagues know the journal?
- Do you recognize the editorial team and or board?
- Can you easily contact the publisher?
- Is the journal clear about their peer review process?
- Is it clear what fees will be charged?

# How to check:

- Search directory of open access journals
- Ask a librarian
- Journal request for fee no longer a clear indicator
- Predatory Journals in Science: <https://predatoryreports.org/>
- Identify publisher first - Jeffrey Beall (former CU Denver librarian) <https://beallslist.net/> [last updated Dec. 24, 2024]

**All journals published by a predatory publisher are potentially predatory unless stated otherwise.**

# Plagiarism Defined

- Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.



# Plagiarism verses Authorship dispute

ORI considers plagiarism to include:

1. Theft or misappropriation of intellectual property - unauthorized use of ideas or unique methods obtained by privileged communication e.g. grant or manuscript review
2. Unattributed textual copying of other's work - unattributed verbatim or nearly verbatim copying of sentences and paragraphs which materially mislead the ordinary reader regarding the contributions of the author.
3. Not Authorship disputes -disputes among former collaborators who participated jointly in the development or conduct of a research project, but who subsequently went their separate ways and made independent use of the jointly developed concepts, methods, descriptive language, or other product of the joint effort.

# Detection

- Plagiarism-detection software
- Google™
- Keen memory of scientists

# Self-plagiarism

The researcher is obliged to cite his published work, whether paraphrased or taken whole. Self-plagiarism is defined as reusing one's own work that has been submitted previously as an assessed item for another publication.

Self-plagiarism is more than recycling one's work. It can be perceived as an attempt to deceive editors, reviewers, and readers, "This happens when no indication is given that the work is being recycled or when an effort is made to disguise the original text." While some may argue that it is not possible to steal from one's own work, others feel that only original written material does not have to be cited.

(Hexam, I. (2005). Academic Plagiarism Defined. Retrieved on July 17, 2006, <http://www.ucalgary.ca/~hexham/study/plag.html>).

# Use of AI and Machine Learning Tools

- Citation should include specific tool used and how it was used (outline generation, first draft, final draft.
- Failure to cite use of outside tools will be considered plagiarism
- How does that work in practice?
- Most journals require attestation about use of AI tools

# Resources

If you have questions about RCR, email  
[ClinicalResearchSupportCenter@ucdenver.edu](mailto:ClinicalResearchSupportCenter@ucdenver.edu)

## Documentation:



**Certificates of completion are sent out at the end of the academic year**, for each person who has attended and signed-in for at least 8 of the 9 sessions.



**A Course Evaluation survey will be sent to you after the session.** Complete the 3-minute anonymous survey so we can best understand your experience and improve future courses.



**Slides are available on our website.** Scan the QR code and scroll towards the bottom of the page to the "Course Content" section.



# Case 1: The postdoc

Bob Powell, a postdoctoral fellow in biochemistry, has just completed a manuscript detailing the results from the first project in which he has taken a leading role. The focus of his project has been to discern the ways in which humans metabolize sulfites, a class of chemicals commonly used to preserve wines and dried fruits. Although he had developed the rough outlines of the project on his own, he owes much to individuals both inside and outside his lab. The assistance he received from others includes the following:

A colleague at another university, a toxicologist specializing in food additives, shared with Bob his previous work on the in vivo activity of sulfites, information that allowed Bob to choose the ideal animal model for the experiment--the Abyssinian field mouse.

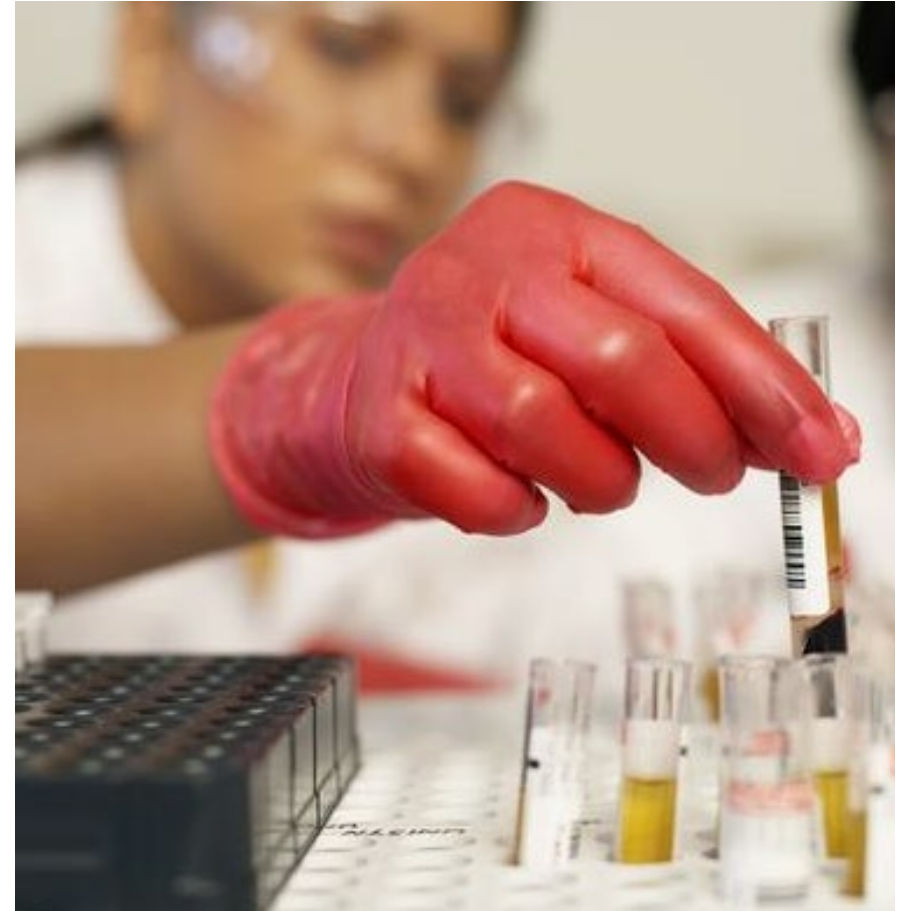




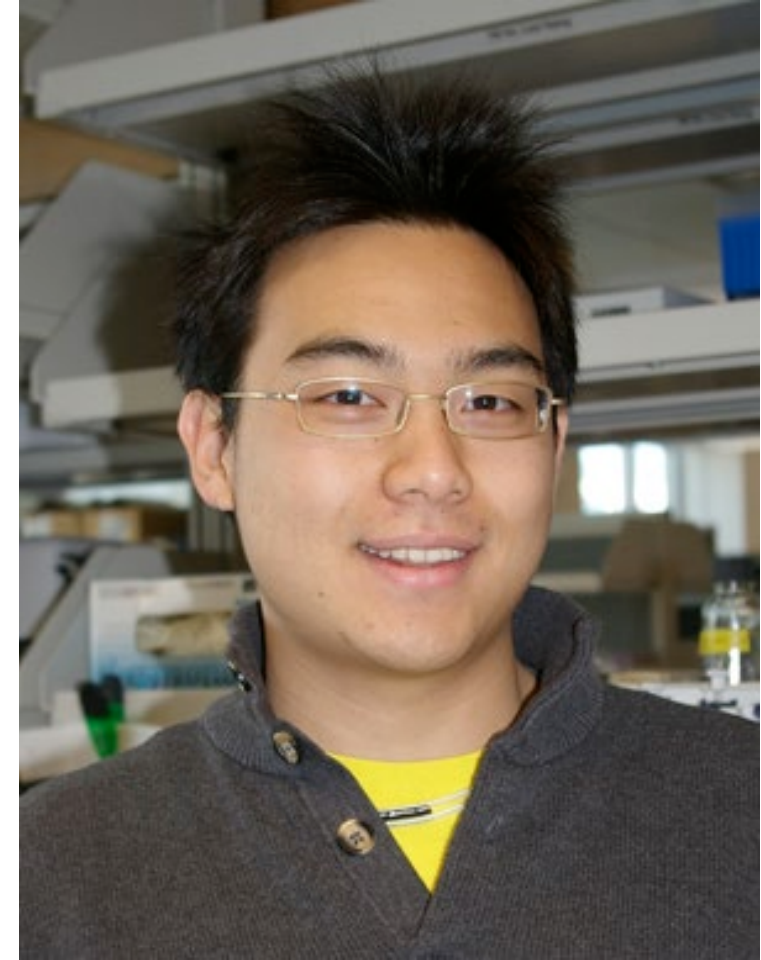
A friend of his, who happened to be a wildlife specialist, provided Bob with much advice on rearing and maintaining a colony of Abyssinian field mice such that he would have a stable pool of animal subjects.



A highly experienced technician in the lab gave Bob advice on modifying an assay he had been using, which finally allowed him to successfully measure sulfite metabolites in mouse urine. This technician also assisted in writing up the methods section of the paper.



The number of assays that Bob had to conduct was quite sizable and more than he could manage on his own, given other demands of the project. Thus, an undergraduate college student collected most of the urine samples and conducted the assays yielding the data.



Finally, a senior researcher in a neighboring lab who took an interest in Bob's career offered to review the initial drafts of Bob's paper. By the end of the writing process, this researcher had helped Bob outline the paper, suggested a few additional experiments that strengthened the paper's conclusions, and made a number of editing changes in the penultimate draft that enhanced the paper's clarity.





## Case 2: Professor on Sabbatical

Dr. Jonathan Perry, a tenured professor, used his sabbatical to visit the laboratory of Dr. Brian Chandler, a widely published and respected senior scientist. During his stay in Dr. Chandler's lab, Dr. Perry hoped to learn certain techniques of molecular biology that he would employ in his own research. To afford Dr. Perry this opportunity, Dr. Chandler assigned him a leading role in a new project that the lab was undertaking. After seven months, laboratory work on the project was completed, and Dr. Perry returned to his own institution to begin work on a paper to report the final results. Ultimately, many drafts of the paper were sent back and forth between laboratories until Dr. Perry received the penultimate version from Dr. Chandler's lab. On this version, a new name, J. B. Martin, Ph.D., appeared among the authors listed. Dr. Perry had never met Dr. Martin, never worked with him on any technical aspect of the project, and had never heard his name or ideas mentioned in the laboratory meetings in which the project was planned or the results discussed.

Dr. Perry called Dr. Chandler and questioned the addition of Dr. Martin as an author on the manuscript. Dr. Chandler stated that, due to prior collaborations, it was a longstanding policy to include Dr. Martin on all publications coming out of Dr. Chandler's laboratory. Dr. Martin's laboratory had a reciprocal agreement, he added. Dr. Perry stated that he did not feel that Dr. Martin was a qualified author on this particular paper since he had not made a significant contribution to the work being published. Dr. Chandler replied that Dr. Perry did not have the right to question the policy of a laboratory in which he had worked as an invited guest. Dr. Perry maintained his position that Dr. Martin did not belong as an author on the paper and further stated that if Dr. Chandler insisted on including Dr. Martin's name, then, as first author, Dr. Perry would not allow the paper to be submitted. Dr. Chandler responded, "Well, you can withdraw your name, but the work was done here in my laboratory and we plan to submit the paper for publication."

# Plagiarism in grant proposals

A full professor asked a colleague for a copy of a proposal that had received federal funds. The colleague, thinking the request was for informational purposes only, provided a copy. The borrower then lifted sections verbatim, put them in a new proposal.

## Is this a problem?



# Questions?







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**THANK YOU**