





CSE - Misconduct Scenarios for Discussion by Editors






1. You discover, through electronic means that a figure was substantially altered prior to submission.

		Response Percent	Response Count
a. Request that the authors provide an unaltered figure.		28.3%	26
b. Conduct an investigation regarding the nature of the alterations.		19.6%	18
c. Refer the matter to the institution of the corresponding author for investigation.		8.7%	8
d. Reject the manuscript.		12.0%	11
e. (a) and (b) simultaneously.		31.5%	29
Other (please specify)/Comments			17
		answered question	92
		skipped question	4





2. A reviewer indicates that the data look “too good to be true.”

		Response Percent	Response Count
a. Ignore the reviewers' remarks.		1.2%	1
b. Ask the authors for the primary data but keep the paper in review.		39.3%	33
c. Ask the authors for primary data and place peer review on hold pending receipt of the data. If they do not provide it, reject the manuscript.		39.3%	33
d. Ask the authors for the primary data and place peer review on hold. If they do not provide it, refer the matter to the corresponding author's institution for a misconduct investigation.		20.2%	17
e. Immediately refer the matter to the corresponding author's institution for a misconduct investigation.		0.0%	0
	Other (please specify)/Comments		18
answered question			84
skipped question			12







3. You hear from a third party (e.g., researcher in the community or newspaper) that a manuscript under consideration is alleged to have fabricated data.

		Response Percent	Response Count
a. Ask the authors to explain the issues identified by the third party.		65.1%	56
b. Ask the reviewers to closely examine the suspect data.		30.2%	26
c. Ask the authors to identify the author responsible for the allegedly fabricated data and refer the matter to that author's institution for investigation.		4.7%	4
Other (please specify)/Comments			24
answered question			86
skipped question			10


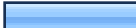

4. An institution investigating an allegation of misconduct asks you for records of the peer reviewers and peer reviews of a manuscript.

		Response Percent	Response Count
a. Deny the request – these are confidential documents.		31.0%	27
b. Provide the inquirer the reviews but not the names of the peer reviewers.		31.0%	27
c. Ask the reviewers for permission to reveal their names and reviews and abide by the limitations they request on disclosure.		32.2%	28
d. Provide the requested information only if the reviewer is alleged to have committed misconduct.		5.7%	5
	Other (please specify)/Comments		15
		answered question	87
		skipped question	9





5. You learn informally from the editor of another journal that duplicate submissions have been made of an article, which is a violation of journal guidelines.

		Response Percent	Response Count
a. Reject the article on the basis that duplicate submission is breach of the guidelines.		7.7%	7
b. Request that the corresponding institution conduct a misconduct investigation.		1.1%	1
c. Write to the other journals asking for information about possible duplicate submissions.		11.0%	10
d. Ask the authors to confirm that they did not submit the article to another journal for consideration. If they did reject.		20.9%	19
e. Ask the authors to confirm that they did not submit the article to another journal for consideration. If they deny, ask the source for the duplicate submission and confirm with the other journal.		9.9%	9
f. (d) and (e).		49.5%	45
	Other (please specify)/Comments		10
	answered question		91
	skipped question		5





6. You learn that the data in a manuscript you are considering is a subset of a larger data set generated by the same research group.

		Response Percent	Response Count
a. Reject the article as incomplete.		2.2%	2
b. Ask the researchers to provide the full data set and determine whether to publish the full set or not at all.		19.8%	18
c. Indicate that they are no longer welcome to submit articles to your journal.		0.0%	0
d. Ask the author to provide further information and revision or justification for omission.		78.0%	71
	Other (please specify)/Comments		8
		answered question	91
		skipped question	5

7. You get a manuscript that has plagiarized material in it and the same author is alleged to have plagiarized material before when he was at another institution.

		Response Percent	Response Count
a. Ask the author to re-write the offending sections and resubmit.		25.6%	21
b. Ask the institution to conduct a misconduct investigation.		48.8%	40
c. Advise a relevant federal agency about the plagiarism and let them advise the relevant institutions about a misconduct inquiry.		12.2%	10
d. Advise the author that they are forbidden to submit manuscripts to your journal.		13.4%	11
	Other (please specify)/Comments		22
		answered question	82
		skipped question	14






8. An individual indicates that although her data was included in a published paper, she was not included as a co-author.

		Response Percent	Response Count
a. Write to all the co-authors asking whether or not she should be an author.		33.8%	27
b. Ask the complaining author's institution to investigate her claims.		11.3%	9
c. Write to the corresponding author asking whether she should be added author.		47.5%	38
d. Do nothing – all the authors signed the statement that they were the appropriate authors.		7.5%	6
	Other (please specify)/Comments		22
		answered question	80
		skipped question	16






9. An institutional official writes to you and indicates that a published paper should be withdrawn, but none of the co-authors indicates it should be withdrawn.

		Response Percent	Response Count
a. Accept the institutional official's retraction notice and retract the paper.		3.8%	3
b. Do not take action unless the institutional official provides evidence of misconduct such as an investigation report or admission.		60.0%	48
c. Write to the authors and ask them whether the paper should not be withdrawn and do not do so unless the paper contains falsification, fabrication or plagiarism.		28.8%	23
d. Publish the letter from the institutional official but do not issue a formal retraction.		0.0%	0
e. Publish an expression of concern.		7.5%	6
	Other (please specify)/Comments		20
		answered question	80
		skipped question	16






10. A group of authors indicate that they wish to withdraw a publication because they cannot locate the primary data.

		Response Percent	Response Count
a. Do not retract unless there is a concern that the data was fabricated or falsified.		24.1%	19
b. Ask the institution to conduct a misconduct investigation.		10.1%	8
c. Even if the article is more than six years old, retract the paper because production of primary data on request is a requirement of publication in the journal.		21.5%	17
d. Only if the article is less than six years old, retract the paper. No negative inference should be drawn from the lack of the primary data generated more than six years ago – federal guidelines only require data to be retained three years and six years is the statute of limitations for misconduct findings.		25.3%	20
e. Publish the letter from the authors but do not do a formal retraction.		19.0%	15
	Other (please specify)/Comments		18
answered question			79
skipped question			17




11. An author indicates that he wants to withdraw from co-authorship of a published paper because of concerns about the integrity of the data.

		Response Percent	Response Count
a. Do not allow withdrawal of co-authorship and do not retract the paper.		0.0%	0
b. Ask the relevant institution to conduct a misconduct investigation but neither retract the paper nor co-authorship nor take any other adverse action pending completion of the investigation.		16.3%	14
c. Publish "an expression of concern."		3.5%	3
d. Ask the other authors to address the specific integrity concerns identified to you.		33.7%	29
e. Ask the other authors to address the specific integrity concerns identified to you then provide the responses to the relevant institution for investigation.		23.3%	20
f. Response (c) with a combination of the other answers.		23.3%	20
	Other (please specify)/Comments		10
answered question			86
skipped question			10




12. A group of authors indicate that they wish to withdraw a paper because of concerns about data fabrication by an author who has not signed the letter submitted.

		Response Percent	Response Count
a. Retract the paper.		10.0%	8
b. Publish the letter but do not retract the paper.		1.3%	1
c. Ask the institution to conduct a misconduct investigation and do nothing unless and until misconduct has been confirmed by such an investigation.		22.5%	18
d. Ask the non-signing author to explain the alleged fabrication and retract if no explanation is forthcoming.		47.5%	38
e. Answer © but also issue an expression of concern pending completion of the investigation.		18.8%	15
Other (please specify)/Comments			10
answered question			80
skipped question			16




13. An anonymous reader identifies substantive errors in a publication.

		Response Percent	Response Count
a. Ask the authors to explain and correct the identified errors.		77.2%	61
b. Ask the institution to conduct a misconduct investigation.		2.5%	2
c. Do nothing - anonymous sources do not allow for follow up and may be malicious.		20.3%	16
Other (please specify)/Comments			12
answered question			79
skipped question			17





14. An individual provides a copy of a published paper showing that certain figures/text in a submitted manuscript paper are copied from a prior published paper.

		Response Percent	Response Count
a. Retract the publication – it violates the copyright of the first article.		43.1%	25
b. Report the plagiarism to the institution for investigation.		41.4%	24
c. If an author was an author on the prior publication, do nothing.		15.5%	9
Other (please specify)/Comments			40
answered question			58
skipped question			38






15. An individual provides a copy of a published paper showing that certain figures/text in a submitted manuscript are copied from a prior published paper.

		Response Percent	Response Count
a. Reject the ms – it violates the copyright of the first article.		64.7%	33
b. Report the plagiarism to the institution for investigation.		23.5%	12
c. If an author was an author on the prior publication, do nothing.		11.8%	6
	Other (please specify)/Comments		38
		answered question	51
		skipped question	45






16. You learn that an institution has made a finding of misconduct, but there has not been a finding of misconduct by a federal agency having jurisdiction.

		Response Percent	Response Count
a. Do nothing - the case is still confidential and institutions and federal agencies have different definitions of misconduct.		21.1%	15
b. Retract the paper.		36.6%	26
c. Publish an expression of concern.		31.0%	22
d. Ask the author(s) whether the paper should be retracted and abide by their opinion.		11.3%	8
	Other (please specify)/Comments		16
	answered question		71
	skipped question		25






17. An anonymous reader points out a substantive error in a publication (e.g., the graph is mislabeled or appears to be copied).

		Response Percent	Response Count
a. Ask the authors to submit a correction for publication and if they do not, retract the paper.		22.7%	15
b. Ask the authors to submit a correction for publication and if they do not publish the letter pointing out the errors.		48.5%	32
c. Immediately ask the institution to conduct a misconduct investigation.		0.0%	0
d. Ask the authors to submit a correction for publication and if they do not, ask the institution to conduct a misconduct investigation.		25.8%	17
e. Do nothing – errors occur.		1.5%	1
f. Do nothing if the paper is more than five years old.		1.5%	1
	Other (please specify)/Comments		21
		answered question	66
		skipped question	30





18. An author of a multi-authored publication admits research misconduct, but does not want the paper retracted because the conclusions of the publication are valid without the fabricated data/figure.

		Response Percent	Response Count
a. Retract the paper with a notice that the author admitted scientific misconduct.		25.3%	20
b. Do not retract the paper but publish a correction addressing the fabricated sections.		25.3%	20
c. Rely on the other authors' determination about whether the paper should be retracted.		10.1%	8
d. Refer the matter to the authors' institution or a federal agency for investigation.		22.8%	18
e. Rely on the members of the editorial staff to determine if the publication is valid without the fabricated data/figure.		16.5%	13
	Other (please specify)/Comments		12
		answered question	79
		skipped question	17





19. An individual indicates that a figure in a published paper is incorrect and submits a substantially revised figure.

		Response Percent	Response Count
a. Accept the revised figure without further explanation and publish it.		7.6%	6
b. Decline to accept the new figure and retract the paper.		1.3%	1
c. Ask the institution to investigate the original figure.		0.0%	0
d. Ask whether the figure is the subject of a misconduct investigation and only publish it if it is not.		5.1%	4
e. Ask for an explanation from the author and have the editors review the figure against the content before determining whether an investigation is warranted.		78.5%	62
f. Publish an expression of concern along with responses (d) or (e).		7.6%	6
	Other (please specify)/Comments		9
answered question			79
skipped question			17

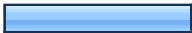



20. A senior author indicates that the records for approximately 5% of those reported in a clinical trial were fabricated by an individual not an author, but the author does not wish to retract the paper because the conclusions are valid.

		Response Percent	Response Count
a. Retract the paper.		12.5%	10
b. Publish a letter linking the article to the published finding of misconduct.		15.0%	12
c. Publish a correction.		11.3%	9
d. Seek explanation from the PI on the trial, publish an expression of concern, and refer to the institution's IRB, taking action after their finding.		61.3%	49
	Other (please specify)/Comments		4
		answered question	80
		skipped question	16




21. An author admits that he fabricated a figure in a published paper and provides you a substitute figure to publish.

		Response Percent	Response Count
a. Retract the paper – the deception was intentional		35.4%	28
b. Publish the corrected figure.		3.8%	3
c. Report the individual to the institution for an investigation.		8.9%	7
d. Seek further information from the author, consult with the editor on the nature of the deception versus study content, and take action depending on import.		51.9%	41
	Other (please specify)/Comments		10
		answered question	79
		skipped question	17




22. An individual admits he did not conduct experiments in the manner reported in a published paper, but he does not admit scientific misconduct.

		Response Percent	Response Count
a. Retract the paper.		27.8%	22
b. Correct the paper.		17.7%	14
c. Ask the relevant federal agency to conduct an investigation of research misconduct.		3.8%	3
d. Ask the institution to investigate research misconduct and take action based on the institution's findings.		50.6%	40
	Other (please specify)/Comments		9
		answered question	79
		skipped question	17

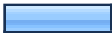




23. An author failed to disclose a significant financial conflict of interest in a published paper.

		Response Percent	Response Count
a. Do nothing, this is not research misconduct.		3.7%	3
b. Publish a correction to the paper's disclosure statement.		65.9%	54
c. Retract the paper – financial disclosure is a condition of publication and would have factored into the peer review process.		30.5%	25
	Other (please specify)/Comments		11
	answered question		82
	skipped question		14

24. You learn that appropriate informed consent was not obtained for a published study.

		Response Percent	Response Count
a. Retract the paper – consent is required for publication of human subject studies.		39.0%	30
b. Retract the paper only if a significant number of individuals did not give informed consent.		0.0%	0
c. Do nothing - this is not research misconduct.		0.0%	0
d. Ensure that that study design required consent before taking steps to retract the paper.		50.6%	39
e. Publish an expression of concern.		10.4%	8
	Other (please specify)/Comments		11
		answered question	77
		skipped question	19

25. A researcher is found guilty of research misconduct. Would you ban the researcher from being an author on any manuscript submitted to your journal?

		Response Percent	Response Count
a. No.		15.8%	12
b. Yes, if the institution found the individual guilty of research misconduct.		28.9%	22
c. Yes, if both the institution and a governmental agency or body found the researcher guilty of research misconduct.		18.4%	14
d. Yes, but only if both the institution and a governmental agency or body found the researcher guilty of research misconduct and they found a pattern of misconduct.		28.9%	22
e. Yes, but only if the researcher refused to participate in the correction of the scientific literature.		7.9%	6
	Other (please specify)/Comments		12
		answered question	76
		skipped question	20

26. A single author of a multi-author publication is found guilty of research misconduct. Would you impose a sanction against any of the other authors?

		Response Percent	Response Count
a. No.		41.3%	33
b. Yes, if the institution found the other authors remiss in their duties as an author.		27.5%	22
c. Yes, but only against the senior author for failing to meet his responsibilities as a senior author.		1.3%	1
d. Yes, but only against the first author for failing to meet his responsibilities as a first author.		0.0%	0
e. Yes, but only if the authors failed to notify the journal as soon as possible after they knew the published research was flawed regardless of whether or not the investigation was complete.		16.3%	13
f. Yes, but only of the authors refused to participate in the correction of the scientific literature.		13.8%	11
Other (please specify)/Comments			7
answered question			80
skipped question			16

Page 2, Q1. You discover, through electronic means that a figure was substantially altered prior to submission.

1	This clearly depends on the nature of the alteration.	Apr 11, 2012 10:51 PM
2	I have had cases like this and the answer has always been to contact the authors. It is an editor's job to play detective beyond getting the facts straight.	Apr 9, 2012 8:50 PM
3	As this is prior to submission, send the paper out to referee(s), perhaps with a caution that the referee pay particular attention to the figure in question.	Apr 5, 2012 10:39 AM
4	Any time a potential ethics violation accusation is made for a paper in my journals, I consult respected ethics resources to help determine my path of action. These include CSE White Paper on Ethics, CSE website, COPE website, "Peer Review and Manuscript Management" by Hames, etc.	Apr 3, 2012 8:12 PM
5	We would want to see the raw data from which the figure was produced.	Apr 2, 2012 1:40 PM
6	Included in the reject letter to the authors would be some mention of our concern about the figure and a recommendation to the authors that they provide an unaltered figure for future submissions to other journals.	Apr 2, 2012 6:27 AM
7	It depends on the kind of paper that is going to be submitted.	Apr 1, 2012 9:19 AM
8	"Substantially altered" can mean many things. I would request the original image to make a judgement call unless it was clear from the initial submission that the author was attempting to deceive the reader with the alteration. In the latter case, a and b would be a better answer.	Apr 1, 2012 8:19 AM
9	Ask author(s) for background on why illustration was altered and request an answer in writing should any questions arise upon publication. If amplification is refused or inadequate, reject the paper	Mar 30, 2012 4:18 PM
10	My previous employer did a whole project on this. We would discuss with the authors what the intention was in altering the figure -- to enhance area of interest? to remove artefact on photomicrograph? or to falsify data?	Mar 30, 2012 3:01 PM
11	Ask the authors for comment.	Mar 30, 2012 2:07 PM
12	Could it be that the figure was corrected after an error was found?	Mar 30, 2012 1:20 PM
13	True image fraud is rare. Something like 20% of images have been altered, but most are the result of ignorance or negligence. A larger problem, to me, is that author do not document the images appropriately; how they were acquired, what they show, and so on.	Mar 30, 2012 1:02 PM
14	ask the author for an explanation. simultaneously review published papers from the same author(s) for similar problems. depending of the findings either request an institutional investigation or accept a corrected figure.	Mar 30, 2012 12:41 PM
15	I am assuming that you mean the figure is a plagiarism and no reference to original publication is provided by the author. The question is not altogether clear	Mar 30, 2012 12:25 PM
16	And reject the paper	Mar 30, 2012 12:13 PM
17	Ambiguous or confusing question. Authors routinely alter figures before submitting a paper--to incorporate new data, to correct errors, and so on.	Mar 30, 2012 11:49 AM

Page 2, Q1. You discover, through electronic means that a figure was substantially altered prior to submission.

Perhaps you meant alteration of a previously published figure?

Page 2, Q2. A reviewer indicates that the data look "too good to be true."

1	Review the other substantive comments from that reviewer and other reviewers and ask the authors to address concerns.	Apr 11, 2012 10:51 PM
2	As with all papers out for review, sit back and wait for the second review	Apr 9, 2012 8:50 PM
3	Ask the REFEREE to explain the "too good to be true " remark and proceed on the basis of his/her response.	Apr 5, 2012 10:39 AM
4	We'd ask the reviewer to try to word the comment in a way that the author could respond and we'd require such a response as part of the revision process. We may have an additional reviewer look at the comment/response. Hard to provide a black/white response to this scenario.	Apr 2, 2012 1:40 PM
5	I would ask the reviewer to provide more detail on the concerns.	Apr 2, 2012 6:31 AM
6	This is the reviewer's opinion. It's worth investigating, but at this point there is no evidence of a problem.	Mar 30, 2012 3:01 PM
7	Ask the reviewer to elaborate on why the data look "too good to be true, and ask another reviewer or reviewers for their comments.	Mar 30, 2012 2:07 PM
8	The reviewer needs to resolve the issue with the author and EIC before accepting the paper. (The paper would not be available for editing until after these concerns were addressed.)	Mar 30, 2012 2:02 PM
9	Not relevant since I work directly with authors and I generally see the data.	Mar 30, 2012 1:20 PM
10	Situation dependent. Depends on the credibility of the reviewer and whether other reviewers have the same opinion.	Mar 30, 2012 1:02 PM
11	Except if the reviewer comes up with data backing his remark. Maybe the results are really good.	Mar 30, 2012 12:25 PM
12	And notify the author's institution	Mar 30, 2012 12:13 PM
13	Send back to authors for self-assessment then ask them to resubmit.	Mar 30, 2012 12:07 PM
14	This decision is up to our peer section editors and peer EIC.	Mar 30, 2012 11:50 AM
15	None of the above. The frst thing to do is to ask the reviewer to explain the statement in some detail.	Mar 30, 2012 11:49 AM
16	Let the author refer to the reviewer's remarks in their point-by-point response and then proceed as needed.	Mar 30, 2012 11:30 AM
17	In our shop, these comments go to the editor handling the paper. I would expect the editor to evaluate it from a scientific standpoint, and help to determine if additional steps were necessary.	Mar 30, 2012 11:29 AM
18	None of the above. Suggest the other reviewers comments on the quality of data before taking any other action.	Mar 30, 2012 11:28 AM

Page 2, Q3. You hear from a third party (e.g., researcher in the community or newspaper) that a manuscript under consideration is alleged to have fabricated data.

1	Only after carefully reviewing the allegation.	Apr 11, 2012 10:51 PM
2	Again an unreal scenario is polarized by playing 'cop'	Apr 9, 2012 8:50 PM
3	and proceed on the basis of the authors' responses.	Apr 5, 2012 10:39 AM
4	I would do all 3 of the above, depending on the situation and credibility of the allegation's source.	Apr 3, 2012 8:12 PM
5	The question is a little confusing as it is not if the allegation is widely known and if any action has occurred to respond to the allegation already. Is the person making the allegation willing to be identified to the author?	Apr 2, 2012 1:40 PM
6	Request further information from the third party (if needed), then proceed with choice A.	Apr 2, 2012 6:27 AM
7	My preferred answer was not include which would be to get more information about the allegation. This sounds more like a rumor than a true allegation. An allegation needs to include specific and verifiable details or it is useless. I would follow up and try to establish contact with the actual accuser.	Apr 1, 2012 8:19 AM
8	A and B concurrently	Mar 31, 2012 3:11 PM
9	A and B	Mar 30, 2012 4:18 PM
10	Probably a and b, but the author deserves to know about the allegation, as natural justice requires that someone accused has a right to know they are accused and to respond.	Mar 30, 2012 3:01 PM
11	Ask the third party for specifics to ascertain whether there is sufficient evidence to investigate with the authors the need for seeing the actual data.	Mar 30, 2012 2:23 PM
12	And then if the authors' replies are not satisfactory, refer the author's (authors') institution(s) for investigation.	Mar 30, 2012 2:07 PM
13	Note that a third party can sometimes have other reasons for reporting an author's conduct than merely to report dishonesty. In my previous organization, such a case arose between authors in countries competing for olive oil advancement. Without hard evidence, an allegation of data falsification should not be acted on. That said, this would be a procedural question to raise with the EIC regarding the need for peer reviewers to carefully look at data and methodology (which they do anyway in our journals).	Mar 30, 2012 2:02 PM
14	Fabrications in clinical trials are generally found and addressed through the clinical monitoring process.	Mar 30, 2012 1:20 PM
15	If reviewers find something questionable, then ask the author for the data. The questions must be asked carefully, partly to protect a potential whistle-blower and partly to acquire the necessary answers.	Mar 30, 2012 1:02 PM
16	Ask authors to respond to accusations.	Mar 30, 2012 12:07 PM
17	This decision is up to our peer section editors and peer EIC.	Mar 30, 2012 11:50 AM

Page 2, Q3. You hear from a third party (e.g., researcher in the community or newspaper) that a manuscript under consideration is alleged to have fabricated data.

18	First, do you mean that (1) someone says that someone else (a researcher or a newspaper) is alleging . . . , or do you mean that (2) you hear the allegation yourself? If it's (1), go to the source; if it's (2) ask for details that support the allegation. Second, only after getting details, option (a) above.	Mar 30, 2012 11:49 AM
19	would use an approach that combines both a and c.	Mar 30, 2012 11:38 AM
20	I would do A & B simultaneously.	Mar 30, 2012 11:31 AM
21	Ask the third party for specifics as to what he/she thinks and/or can prove is fabricated. If found to in fact be fabricated, then "c" above.	Mar 30, 2012 11:31 AM
22	possibly a. also	Mar 30, 2012 11:29 AM
23	A+B simultaneously	Mar 30, 2012 11:27 AM
24	A and B simultaneously.	Mar 30, 2012 11:27 AM

Page 2, Q4. An institution investigating an allegation of misconduct asks you for records of the peer reviewers and peer reviews of a manuscript.

1	Depending on the situation/allegation - this information may be available from other sources (ie, the author(s)if the investigation involves an allegation about the author).	Apr 11, 2012 10:51 PM
2	The first real question in the survey	Apr 9, 2012 8:50 PM
3	but request more details from the institution with the assumption that the editor will then respond appropriately.	Apr 5, 2012 10:39 AM
4	Again this is not black and white. If we cooperated and to what extent would depend on the relevance of the information to the investigation.	Apr 2, 2012 1:40 PM
5	We've never had this request and so I have no prior examples from which to draw my answer. I would have to consult with my EIC first.	Apr 2, 2012 1:21 PM
6	I would refer this to legal counsel for the organization that owns the journal.	Apr 2, 2012 6:31 AM
7	I'm a publisher rather than an editor, so this would be in the editor's purview. I'm not sure how far the limits of confidentiality of peer review go.	Mar 30, 2012 3:01 PM
8	I inferred that the instance 4 refers to an allegation of misconduct on the part of an author, not a peer reviewer. Even so, I do not follow choice D. Instance 4 states at an allegation has been made, and choice d refers to providing requested information only if the reviewer is alleged to have committed misconduct. Assuming that an institution is investigating an allegation of misconduct on the part of a reviewer, I suggest first asking the reviewer to comment in the allegations.	Mar 30, 2012 2:07 PM
9	Not relevant	Mar 30, 2012 1:20 PM
10	I believe a court order is required to release such records.	Mar 30, 2012 1:02 PM
11	Can see scenarions where I might share reviews, but not names of reviewers. And would exclude any 'internal' or privileged communications. Would only share the content of reviewer material included in decision letters.	Mar 30, 2012 12:10 PM
12	It is the purview of the authors to respond to these allegations.	Mar 30, 2012 12:07 PM
13	#4 doesn't state or imply that the reviewer is alleged to have behaved unethically. If that were the case, I would answer d; if that's not a consideration, then probably b or c.	Mar 30, 2012 11:56 AM
14	This decision is up to our peer section editors and peer EIC.	Mar 30, 2012 11:50 AM
15	If you mean misconduct on the part of reviewers, option (d). If you mean misconduct on the part of the authors, option (c). But I don't know what "records of the reviewers" means.	Mar 30, 2012 11:49 AM

Page 2, Q5. You learn informally from the editor of another journal that duplicate submissions have been made of an article, which is a violation of journal guidelines.

1	First, carefully review the allegation including a review of the allegedly duplicate articles and manuscripts. Then, ask the authors for an explanation.	Apr 11, 2012 10:51 PM
2	More likely we'd ask the other journal to exchange manuscripts so we can compare the content and assess the overlap. That may be what is meant by answer "c" above. We'd then contact the author.	Apr 2, 2012 1:40 PM
3	Ask the authors to confirm that they did not submit the article to another journal for consideration. If they did, reject and inform the other journal if possible. If they deny, ask the other journal if an article about the topic at hand by the authors has been submitted to that other journal.	Mar 30, 2012 2:07 PM
4	Not relevant	Mar 30, 2012 1:20 PM
5	First, you would have to establish that duplication publication actually happened. 1) Ask the editor for the evidence. 2) See if CrossCheck, ET Blast, or even a web search would answer the question. If duplicate publication can be established, inform the authors and reject the paper if necessary. Journals can publish anything they want, so copyright is probably the main issue. If the authors disclose everything and both journals agree, there isn't a problem.	Mar 30, 2012 1:02 PM
6	I would mark D and E because they are complementary.	Mar 30, 2012 12:25 PM
7	We need the facts and need to compare the alleged duplicate. Editors are not police.	Mar 30, 2012 12:07 PM
8	We would ask the other journal and the authors and put the paper on hold until we could resolve the issue. If they did submit to another journal and it was in peer review, we would reject it for duplicate submission.	Mar 30, 2012 11:51 AM
9	I assume that by "deny", you mean deny submitting to another journal. If the authors deny doing that, ask "the source" (meaning the source of the statement that there was duplicate submission?) to explain the allegation.	Mar 30, 2012 11:49 AM
10	Ask for proof first from the other journal's editor that this is in fact the case, i.e., duplicate submission, and then "f" above.	Mar 30, 2012 11:31 AM

Page 2, Q6. You learn that the data in a manuscript you are considering is a subset of a larger data set generated by the same research group.

1	Unclear scenario, but many big sets have to be subdivided as they address different questions.	Apr 9, 2012 8:50 PM
2	Salami science is not really unethical in the same way that duplicate submission or plagiarism is. Editors I've worked with would have a conversation with the author to determine whether this was salami science or "cooking" (choosing data to fit their hypothesis).	Mar 30, 2012 3:01 PM
3	Investigate if the data from a larger set has been previously published. Perhaps the subset of data was not published before and the larger data set is not relevant to the current submission.	Mar 30, 2012 2:23 PM
4	Ask the authors to justify submitting only a subset.	Mar 30, 2012 2:07 PM
5	Depends on what this means by a "subset of a larger data set." Exploratory data with a different objective are often collected with the same patients and may be reported after the main paper in a different publication. As long as there is justification and transparency this should not be an issue.	Mar 30, 2012 1:20 PM
6	The authors need to explain.	Mar 30, 2012 12:07 PM
7	This decision is up to our peer section editors and peer EIC.	Mar 30, 2012 11:50 AM
8	Option (d) at most. There are all sorts of good reasons for not including the larger dataset. Depends on the rationale, timing, and so on, of the paper being submitted. If you're referring to misleadingly cherry-picked data, you should have said that.	Mar 30, 2012 11:49 AM

Page 2, Q7. You get a manuscript that has plagiarized material in it and the same author is alleged to have plagiarized material before when he was at another institution.

1	in my discipline, we do not have federal agencies to depend on	Apr 18, 2012 10:01 AM
2	Ask the author for an explanation. Then, depending on the author's funding, institutional affiliation, and location (US govt, non-US govt, insituton with oversight, country with misconduct reporting rules, etc). If the author's response is not satisfactory, contact the author's instuitional authority or funder and request an investigation. Follow-up will be needed.	Apr 11, 2012 10:51 PM
3	And reject.	Apr 6, 2012 2:11 PM
4	Ask the author to explain their point of view. If necessary then b. If found to be true, then advise the author that future submissions would find difficulty in acceptance in my journal.	Apr 5, 2012 10:39 AM
5	Reject the manuscript because it contains plagiarized material and notify the dean at the institution.	Apr 1, 2012 9:04 AM
6	b and d.	Apr 1, 2012 8:19 AM
7	Unless there's very good information about the previous allegation, it should have no bearing on the journal's decision. At this point, it's hearsay. For a plagiarism case, the gravity of the case should be weighed by comparing the document with the previous publication. Is this "patchwork" by an English non-native speaker? Is it theft of data? Is the article being passed off as the author's work? There are a lot of considerations. Reply a implies that only certain sections appear to be from another article, rather than data or the entire paper being stolen.	Mar 30, 2012 3:01 PM
8	Following appropriate investigations, if plagiarism was the case the author would be forbidden to submit mss in the future.	Mar 30, 2012 2:56 PM
9	withdraw the ms from consideration and put the author on a "watch list"	Mar 30, 2012 2:45 PM
10	Prior allegations are not sufficient evidence alone. If you can document the plagiarized material, then reject for now and ask the author to explain the duplcation. If not satisfied, ask institution to conduct an investigation.	Mar 30, 2012 2:23 PM
11	Ask the author to explain how and why there appears to be plagiarized material in the manuscript	Mar 30, 2012 1:57 PM
12	Ask the author to explain the plaigiarism.	Mar 30, 2012 1:57 PM
13	Ask the author for an explanation. The answer would determine my action.	Mar 30, 2012 1:16 PM
14	Depends on what was plagiarized and who did it. Non-native English speakers often copy boiler-plate methods, which is more or less benign. If the author appropriated the words, but not the ideas, of another paper, rewriting is probably indicated. The problem of "citation amnesia" is a difficult area that ranges from negligence to theft of intellectual property. Cases of blatant, outright fraud (theft of intellectual property) should be referred to the author's institution.	Mar 30, 2012 1:02 PM
15	I would click B and D if I could	Mar 30, 2012 12:25 PM

Page 2, Q7. You get a manuscript that has plagiarized material in it and the same author is alleged to have plagiarized material before when he was at another institution.

16	And also B	Mar 30, 2012 12:13 PM
17	ask the author for an explanation; proceed via policy to consider sanctions on the author(s)	Mar 30, 2012 11:56 AM
18	The answer to this question depends entirely on the nature (content and extent) of the alleged plagiarism. If it's boilerplate text in the methods section, that's common and not serious. If it's data or extensive verbatim text in other parts of the manuscript, that's potentially serious. If it's minor, I would call the author's attention to the problem and ask them to revise. If it's massive, I would probably reject. An editor must use good judgement in these cases, as it's important to weight the possible intent of the author in deciding on the judicious course of action. Was the plagiarism minor and the result of inexperience, an oversight, or carelessness? Or was it deliberate and intended to be deceptive? there is not hard and fast rule of how to deal with alleged plagiarism. The same can be said for all charges of misconduct.	Mar 30, 2012 11:56 AM
19	We use CrossCheck so when we detect plagiarism, we reject the paper or ask the authors to substantially rewrite the paper and give them a sample of the plagiarized information. If we found that the same authors had plagiarized at their old institution, we would likely reject the paper and put them on our "watch list".	Mar 30, 2012 11:51 AM
20	Both B and D	Mar 30, 2012 11:38 AM
21	Choices b. and d.	Mar 30, 2012 11:28 AM
22	We run a plagiarism check on all manuscripts before the author is notified of acceptance. If the manuscript falls outside the accepted range, the author is told that the manuscript will not move forward/be accepted until the plagiarism is corrected.	Mar 30, 2012 11:27 AM

Page 3, Q8. An individual indicates that although her data was included in a published paper, she was not included as a co-author.

1	Contact the corresponding author and ask for an explanation. Depending on that explanation follow a or c above.	Apr 11, 2012 11:00 PM
2	If agreed after a bit of probing with corresponding author, publish a correction. If no compliance then investigate doing an editorial correction to the by-line	Apr 9, 2012 8:51 PM
3	c. If no then b. Notify all authors and request their views.	Apr 5, 2012 10:46 AM
4	authors have to work this out themselves and let the journal know when it is all agreed upon. editors cannot be the arbitrators of authorship. the authors' institutions are in the best position to determine proper authorship/credit on a paper.	Apr 4, 2012 9:06 AM
5	And ask for each author's specific contributions to the paper, then consult with the editors who oversaw the paper's peer-review before deciding how to proceed.	Apr 3, 2012 8:42 PM
6	This would be step one. An investigation may be needed and/or reaching out to the other authors.	Apr 2, 2012 1:50 PM
7	This is an issue for the complaining individual's institution and that of the other authors.	Apr 2, 2012 6:35 AM
8	As a rule, we do not mediate authorship disputes. That is left to the authors themselves.	Apr 2, 2012 6:32 AM
9	Authorship criteria are clear in uniform requirements	Apr 1, 2012 9:27 AM
10	"data" is plural! data were!!	Mar 30, 2012 4:23 PM
11	I would remind the institution of criteria for authorship/contributorship at the journal. The institution should have criteria in place as well, and should be aware of issues in research credit. Only the institution can determine whether the contribution qualifies for authorship.	Mar 30, 2012 3:15 PM
12	recommend that the complaining author take it up with her institution	Mar 30, 2012 2:48 PM
13	Suggest the individual take the matter up with the published authors who signed the statement attesting to authorship. Further action depends on what happens when she does that.	Mar 30, 2012 2:01 PM
14	1) Suggest to the author that she work through her institution to resolve the issues. 2) Ask for----and publish----contributorship information. See if the author list changes as a result.	Mar 30, 2012 1:14 PM
15	And then depending on what they say, I would take further action to investigate why she was left off of the submission.	Mar 30, 2012 12:46 PM
16	Approach the problem with a solution, not an accusation. There may be a perfectly valid reason... or not.	Mar 30, 2012 12:15 PM
17	All authors share equal responsibility for the paper. All must agree on the authorship and resolve authorship disputes.	Mar 30, 2012 12:04 PM

Page 3, Q8. An individual indicates that although her data was included in a published paper, she was not included as a co-author.

18	First, option (c); then, depending on the results, option (b). Option raises the question of what to do when the authors are in different institutions.	Mar 30, 2012 11:57 AM
19	If she should have been an author and it can be proved, we would likely publish a correction or errata.	Mar 30, 2012 11:55 AM
20	This decision is up to our peer section editors and peer EIC.	Mar 30, 2012 11:51 AM
21	Additionally, we would ask why she wasn't included as an author to begin with.	Mar 30, 2012 11:36 AM
22	we do not get involved in authorship disputes	Mar 30, 2012 11:35 AM

Page 3, Q9. An institutional official writes to you and indicates that a published paper should be withdrawn, but none of the co-authors indicates it should be withdrawn.

1	Depending on the circumstances, E is also a possibility.	Apr 18, 2012 10:05 AM
2	Evaluate the request for retraction and the rationale. If substantiated, contact the authors and ask them for a letter to retract the paper (provide a deadline). If no response, publish the letter from the institution and a retraction. In the interim, consider publishing a "Notice of Concern."	Apr 11, 2012 11:00 PM
3	We'd contact the institution to gain more information regarding the request and would probably contact all the authors as well. There could be reasons to withdraw other than misconduct.	Apr 2, 2012 1:50 PM
4	Get more information.	Apr 2, 2012 6:35 AM
5	With the evidence I will ask for help to the Editorial Committee to take a final decision	Apr 1, 2012 9:27 AM
6	b and c.	Apr 1, 2012 8:26 AM
7	As EOC is published, investigate the what has occurred with the published paper and query the institution for more information.	Mar 30, 2012 4:18 PM
8	Probably b, c and e simultaneously.	Mar 30, 2012 3:15 PM
9	Not relevant	Mar 30, 2012 1:25 PM
10	Needs to be resolved at the institutional level.	Mar 30, 2012 1:14 PM
11	I would do B and C	Mar 30, 2012 12:33 PM
12	Care must be taken not to meddle b/c there the authors are autonomous and must be responsible.	Mar 30, 2012 12:15 PM
13	Once again, it's difficult to answer this question in the absence of specifics. Any of these options could be appropriate, depending on the circumstances.	Mar 30, 2012 12:04 PM
14	request further info from the institution and proceed to (c) on that basis	Mar 30, 2012 12:00 PM
15	We would notify all the authors of the findings and let them know that our policy is to adhere to official findings from institutions or investigative bodies.	Mar 30, 2012 11:55 AM
16	This decision is up to our peer section editors and peer EIC.	Mar 30, 2012 11:51 AM
17	B and C	Mar 30, 2012 11:36 AM
18	we always give the authors the chance to retract; if they will not, then we go ahead, given the institution's findings of misconduct	Mar 30, 2012 11:35 AM
19	Probably some combination of all these options depending on the situation.	Mar 30, 2012 11:33 AM
20	I would write to the authors, as in (c), but take all of their responses, along with the institutional official's request, into consideration.	Mar 30, 2012 11:31 AM

Page 3, Q10. A group of authors indicate that they wish to withdraw a publication because they cannot locate the primary data.

1	6 years is an arbitrary cut off. Review the reasons from the authors and ask for a better reason. If none is forthcoming, consider b above and the possibility (depending on the nature of the publication) of publishing a "Notice of Concern."	Apr 11, 2012 11:00 PM
2	maybe an expression of concern to alert readers.	Apr 4, 2012 9:06 AM
3	My action would depend on the authors' concerns; I would certainly gather as much information as I could and talk to all authors (and others at the institution if necessary) prior to taking action.	Apr 3, 2012 8:42 PM
4	I would assume the authors had thought carefully about withdrawing their paper and I'd want to understand the rationale and ascertain that all authors agreed with the decision.	Apr 2, 2012 1:50 PM
5	If the publication was written by that group of authors, then yes we would withdraw it.	Apr 2, 2012 6:43 AM
6	If all of the authors want to retract the paper, I would do that.	Apr 2, 2012 6:35 AM
7	With the evidence the Editorial Committee will take a decision	Apr 1, 2012 9:27 AM
8	D or e. it is a judgment call and will depend on the nature of the publication and the primary data that are missing.	Mar 31, 2012 3:17 PM
9	Follow the lead of the authors and withdraw the article as warranted.	Mar 30, 2012 4:18 PM
10	Awareness of the importance of primary data is a relatively new development. The loss could have happened well in the past. E is also a good answer.	Mar 30, 2012 3:15 PM
11	Ask the authors for more information about the reason for their request.	Mar 30, 2012 2:01 PM
12	Not relevant	Mar 30, 2012 1:25 PM
13	The question uses "withdrawn" but the answer use "retract," which are different options. If the paper has not been published, reject it. If it has been published, find out why and ask for evidence that might indicate whether the loss is critical.	Mar 30, 2012 1:14 PM
14	Not entirely sure but this is what I believe I would do should I encounter this situation.	Mar 30, 2012 12:46 PM
15	I would click A and E	Mar 30, 2012 12:33 PM
16	Once again, it's difficult to answer this question in the absence of specifics. Any of these options could be appropriate, depending on the circumstances.	Mar 30, 2012 12:04 PM
17	We would likely bring it to the attention of their institution and ask for an investigation and retract based on their findings.	Mar 30, 2012 11:55 AM
18	they lost their data?? really? that may be careless of them, but is it a reason to retract?	Mar 30, 2012 11:35 AM

Page 3, Q11. An author indicates that he wants to withdraw from co-authorship of a published paper because of concerns about the integrity of the data.

1	d then e	Apr 11, 2012 11:00 PM
2	Don't do much unless the integrity is explained and then consider and act	Apr 9, 2012 8:51 PM
3	Next steps depend upon the response/reaction of the other authors.	Apr 2, 2012 1:50 PM
4	I would get more information on the nature of the concerns.	Apr 2, 2012 6:35 AM
5	B, c and d	Apr 1, 2012 9:27 AM
6	A decision should only be made once all the facts have been addressed.	Apr 1, 2012 8:26 AM
7	This could be nothing, or it could be the beginning of a misconduct discovery. I'd probably work with the editor to follow c and e.	Mar 30, 2012 3:15 PM
8	Not relevant	Mar 30, 2012 1:25 PM
9	d likely followed by b.	Mar 30, 2012 12:47 PM
10	I would prefer to put the paper on hold, pending findings of the investigation.	Mar 30, 2012 12:00 PM

Page 3, Q12. A group of authors indicate that they wish to withdraw a paper because of concerns about data fabrication by an author who has not signed the letter submitted.

1	c - depending on the timing and seriousness, consider e thereafter.	Apr 11, 2012 11:00 PM
2	d and/or c	Apr 5, 2012 10:46 AM
3	None of these are quite right. I'd probably do a combo of d, then c, then e.	Apr 2, 2012 1:50 PM
4	I don't understand this question.	Apr 2, 2012 7:43 AM
5	Again, the facts need to be collected before rushing to a decision.	Apr 1, 2012 8:26 AM
6	The first part of choice D, then wait for the response. The response determines the next course of action.	Mar 30, 2012 4:18 PM
7	Also, have a policy in place that all authors have to sign either the cover letter or the copyright form or both. I instituted such a policy because of the sheer number of problems with people not knowing they were authors, authors moving to Outer Mongolia, and authors who did not take responsibility for content.	Mar 30, 2012 3:15 PM
8	Ask the non-signing author to explain the alleged fabrication and be sure that the nonsigning author has received this request. If no explanation is forthcoming, publish the letter from the signing authors and retract the paper. . Ask the non-s	Mar 30, 2012 2:09 PM
9	Not relevant	Mar 30, 2012 1:25 PM
10	There is no way I would publish a paper without all the signatures in the copyright transfer form, unless he is deceased in which case he would appear as "late John Doe"	Mar 30, 2012 12:33 PM

Page 3, Q13. An anonymous reader identifies substantive errors in a publication.

1	Review the allegation of errors, then if substantiated, a	Apr 11, 2012 11:00 PM
2	c but also a	Apr 5, 2012 10:46 AM
3	But, only if the allegation includes sufficient detail to justify an inquiry.	Apr 1, 2012 8:26 AM
4	The handling editor should determine the validity of the claims, then query the authors as necessary.	Mar 30, 2012 4:18 PM
5	From experience, I find anonymous allegations are suspect. If someone has a concern, he/she should have the fortitude to stand behind his/her comments. However, I might have someone reliable (reviewer, editor) take a look at the paper and see if there seems to be anything to it.	Mar 30, 2012 3:15 PM
6	Ask person to write a letter to the editor with scientific basis for the errors, then ask authors to respond. The originating letter may be opinion only.	Mar 30, 2012 2:28 PM
7	Ask the authors to write an errata if indeed there are errors.	Mar 30, 2012 1:25 PM
8	Determine if there are in fact errors. The answer determines the action (eg, if the authors agree that there is are errors, publish a correction).	Mar 30, 2012 1:20 PM
9	If the errors can be confirmed, ask the author to fix. If not, do nothing.	Mar 30, 2012 1:14 PM
10	I would click A but only if our editorial board had verified the anonymous allegations and we collectively assume the burden of denouncing the errors	Mar 30, 2012 12:33 PM
11	I have dealt with this issue as and editor. It's tricky and an editor has to tread very carefully.	Mar 30, 2012 12:04 PM
12	Conduct an internal review of the matter, possibly by a statistician. If allegations seem plausible, then do (A) or (B).	Mar 30, 2012 11:35 AM

Page 4, Q14. An individual provides a copy of a published paper showing that certain figures/text in a submitted manuscript paper are copied from a prior published paper.

1	A and B	Apr 18, 2012 10:19 AM
2	Review the allegation and if substantiated ask the corresponding author for an explanation.	Apr 11, 2012 11:12 PM
3	Assume that copyright was honoured	Apr 9, 2012 8:51 PM
4	But check the copyright policy of the other paper, and check to see if the author had permission to reuse but the credit line was erroneously leftout.	Apr 4, 2012 10:22 AM
5	Depends on the extent of the copying and importance of the figures to the overall conclusions in the paper.	Apr 4, 2012 9:16 AM
6	Reject, notify and educate the authors, AND notify the institution	Apr 3, 2012 9:10 PM
7	I wouldn't "do nothing"; instead, if the author was an author on the previous paper, I would contact the copyright holder to obtain permission to reprint the figures and then publish a correction with the proper attribution. This course of action assumes that the figures are relevant to the subject of the new paper and there is no malfeasance.	Apr 3, 2012 8:16 AM
8	Of course, if the papers have shared authors, you'd proceed differently. You'd need to determine whether or not the authors had obtained the appropriate rights and need to cite the reprinted images appropriately. If the authors intent was to pass off old data as new data, then the situation requires an investigation.	Apr 2, 2012 2:02 PM
9	First, I would contact the corresponding author and ask for an explanation regarding the figures/text in question.	Apr 2, 2012 7:53 AM
10	Depending on the amount of text and figures, it may be possible to speak to the other journal, request permission, and add a correction	Apr 2, 2012 7:09 AM
11	Assuming that an author was an author on the prior publication, I would ask the authors to get post-hoc permission from the prior publisher and explain the impropriety of their action. If there was no joint authorship, I would do both a and b.	Apr 2, 2012 6:43 AM
12	We would likely also retract this paper (in addition to reporting the problem to the institution).	Apr 2, 2012 6:40 AM
13	I will ask for the permissions to the authors	Apr 1, 2012 10:17 AM
14	If a figure only: Report the publication to the editor of the journal in which the first paper was published, then publish a notice that permission had not been properly sought . If text: Report plagiarism to the editor of the other journal, then publish a notice of duplicate publication or plagiarism in my own journal.	Apr 1, 2012 9:34 AM
15	This may not apply to all of CSE's members, but I receive a lot of manuscripts from authors who are working on their own or for a small private company. Even when they are working for an "agency" this is not typically an organization that focuses on research and would therefore be less familiar with the investigation of a writing ethics issue. The concept of "reporting to the institution" for investigation doesn't really apply when the author is the owner of a company	Apr 1, 2012 8:39 AM

Page 4, Q14. An individual provides a copy of a published paper showing that certain figures/text in a submitted manuscript paper are copied from a prior published paper.

	with a dozen employees. That makes the responsibility fall to me as the Editor or to the Association. I would like to see CSE guidelines address this type of scenario.	
16	B but it may depend on context, eg how generic or specific are these figures and text.	Mar 31, 2012 3:26 PM
17	It could be all 3 based on a number of scenarios. Not enough information to determine next steps.	Mar 30, 2012 4:26 PM
18	My real answer is a variation of c. I've been in this situation. I wouldn't do nothing. I would talk to the author and ask about the copyright arrangements with the previous publisher; many publishers now allow reproduction of figures and tables. I would analyze and discuss the issue with the author. If there were real plagiarism detected, I would let the other journal publisher know and inform the author's institution.	Mar 30, 2012 3:33 PM
19	First report, then retract.	Mar 30, 2012 3:15 PM
20	Ask author for an explanation and request the permission letter	Mar 30, 2012 2:53 PM
21	I assume that the figures/text does not indicate prior publication. Ask the corresponding author of the submitted paper for an explanation. If a satisfactory explanation is forthcoming, have the author revise the submission. If not, reject the submission and report the duplication (if from author's previous work) or plagiarism (from other's publication) to the institution for investigation.	Mar 30, 2012 2:36 PM
22	If an author was the author on the prior publication, contact the author to submit permission from the other journal to reprint the figure. If text was copied, ask the author to revise and resubmit.	Mar 30, 2012 2:14 PM
23	Ask the authors to explain.	Mar 30, 2012 2:11 PM
24	Ask the primary authro for an explanation	Mar 30, 2012 2:08 PM
25	This sentence doesn't make much sense but if it means the submitted paper has figures text that were in a prior publication, ask the author to obtain permissions to reproduce, if appropriate.	Mar 30, 2012 1:45 PM
26	Call the duplication to the attention of the author and make publication contingent on getting copyright permission.	Mar 30, 2012 1:30 PM
27	A and B	Mar 30, 2012 12:59 PM
28	A and B	Mar 30, 2012 12:46 PM
29	Depends on the specifics. There are other options not mentioned above. Maybe the authors just neglected to get permission to cite a previously published figure. Once again, intent must be considered.	Mar 30, 2012 12:27 PM
30	Option (b)--maybe. The question is so ambiguous that it's hard even to tell how many papers are involved. You have a published paper, a submitted paper, and a prior published paper.	Mar 30, 2012 12:17 PM

Page 4, Q14. An individual provides a copy of a published paper showing that certain figures/text in a submitted manuscript paper are copied from a prior published paper.

31	query the authors to start and proceed according to poicy	Mar 30, 2012 12:06 PM
32	"submitted manuscript" is not a published paper - this question is confusing. If we violated someone else's copyright, then we always go back to the author first for an explanation; if the plagiarism is extensive and not just salami science, then we would retract.	Mar 30, 2012 12:01 PM
33	We would also report it to the authors and ask for an explanation.	Mar 30, 2012 12:00 PM
34	Both A and B	Mar 30, 2012 11:57 AM
35	Option a suggests that the paper had been published; however, the question suggests that it had not.	Mar 30, 2012 11:56 AM
36	"a" and "b"	Mar 30, 2012 11:46 AM
37	I would verify that the author has permission from the other authors of the previous paper, along with (c).	Mar 30, 2012 11:40 AM
38	If letter of permission was obtained for figure, that is acceptable. The text component is more problematic. If the text describes a common procedure, no problem. If results and conclusions are copied verbatim, action necessary.	Mar 30, 2012 11:40 AM
39	Ask the publisher and any other authors of the first paper for permission to reprint in the second paper; then publish a note referring to the permission to reprint.	Mar 30, 2012 11:39 AM
40	D. Request that the authors obtain permission from the copyright holder to reprint the unoriginal figures/text and consider publishing a corrigendum with the appropriate permissions statements.	Mar 30, 2012 11:38 AM

Page 4, Q15. An individual provides a copy of a published paper showing that certain figures/text in a submitted manuscript are copied from a prior published paper.

1	same question, no?	Apr 18, 2012 10:19 AM
2	Review the allegation and if substantiated ask the corresponding author for an explanation.	Apr 11, 2012 11:12 PM
3	There should be some recognition where the figure first appeared. Text is generally not an issue. There are only so many ways of saying we did this or think that.	Apr 9, 2012 8:51 PM
4	Huh? see item14 !	Apr 5, 2012 11:27 AM
5	Work with the author to see if permission to use the figures can be obtained from the other publication.	Apr 4, 2012 10:22 AM
6	same as Q14 above	Apr 4, 2012 9:16 AM
7	Reject, notify and educate the authors, AND notify the institution	Apr 3, 2012 9:10 PM
8	Again, I wouldn't "do nothing"; instead, if the author was an author on the previous paper, I would contact the copyright holder to obtain permission to reprint the figures. This course of action assumes that the figures are relevant to the subject of the new paper and there is no malfeasance.	Apr 3, 2012 8:16 AM
9	same question as 14.	Apr 2, 2012 2:02 PM
10	First, I would contact the corresponding author and ask for an explanation regarding the figures/text in question.	Apr 2, 2012 7:53 AM
11	How is this different from 14?	Apr 2, 2012 7:39 AM
12	I'm not sure how scenario 15 is different from scenario 14, but if it is a matter of the manuscript in 15 being submitted but not published, I would ask the author if he or she has gained permission from the copyright holder of the prior publication to re-use or adapt the figures/text in the new manuscript	Apr 2, 2012 7:13 AM
13	Depending on the amount of text and figures, it may be possible to speak to the other journal, request permission, and add a correction	Apr 2, 2012 7:09 AM
14	As above.	Apr 2, 2012 6:43 AM
15	The same as before question	Apr 1, 2012 10:17 AM
16	Address with author.	Apr 1, 2012 8:39 AM
17	I think this is the same question as 14, just that the A choices are slightly different.	Mar 30, 2012 4:26 PM
18	Repeated from question 14	Mar 30, 2012 3:33 PM
19	If the author resubmits the mss with minimal changes (not correcting the plagiarized portions then reject again and report the misconduct.	Mar 30, 2012 3:15 PM
20	same as above	Mar 30, 2012 2:53 PM

Page 4, Q15. An individual provides a copy of a published paper showing that certain figures/text in a submitted manuscript are copied from a prior published paper.

21	How does this question differ from Question 14?	Mar 30, 2012 2:36 PM
22	If an author was the author on the prior publication, contact the author to submit permission from the other journal to adapt the figure in the new paper. If text was copied, ask the author to revise and resubmit.	Mar 30, 2012 2:14 PM
23	Ask the authors to explain.	Mar 30, 2012 2:11 PM
24	Same as above	Mar 30, 2012 2:08 PM
25	Again, it depends on the appropriateness of repeating the figures or text and if permissions were obtained and the appropriate source information is stated.	Mar 30, 2012 1:45 PM
26	Whoops. Duplicate publication of question 14.	Mar 30, 2012 1:30 PM
27	A and B	Mar 30, 2012 12:59 PM
28	??? Same questions as #14??	Mar 30, 2012 12:27 PM
29	ask for an explanation... permission may have been secured.	Mar 30, 2012 12:26 PM
30	Options (a) and (b).	Mar 30, 2012 12:17 PM
31	Are 14 and 15 meant to be the same? I would do both a and b.	Mar 30, 2012 12:10 PM
32	we might ask the author for an explanation first, but in the end I think we'd just reject	Mar 30, 2012 12:01 PM
33	We would als ask the authors for an explanation.	Mar 30, 2012 12:00 PM
34	Both A and B	Mar 30, 2012 11:57 AM
35	Isn't this the same question as #14?	Mar 30, 2012 11:46 AM
36	I would verify that the author has permission from the other authors of the previous paper, along with (c).	Mar 30, 2012 11:40 AM
37	Ask the publisher and any other authors of the first paper for permission to reprint in the second paper; then publish a note referring to the permission to reprint.	Mar 30, 2012 11:39 AM
38	D. Request that the authors obtain permission from the copyright holder to reprint the unoriginal figures/text.	Mar 30, 2012 11:38 AM

Page 4, Q16. You learn that an institution has made a finding of misconduct, but there has not been a finding of misconduct by a federal agency having jurisdiction.

1	We do not usually have papers with federal oversight	Apr 18, 2012 10:19 AM
2	Ask the institution or authors for a letter to be published as a retraction or notice of expression of concern.	Apr 11, 2012 11:12 PM
3	Oh! So, so, so US Ameican!	Apr 9, 2012 8:51 PM
4	Ask the authors why the paper should NOT be retracted. There may be differences of opinion between multiple authors and the institution will need to be approached to develop with the journal an appropriate course of action.	Apr 5, 2012 11:27 AM
5	First, I would contact the corresponding author and ask for an explanation regarding the finding of misconduct by the institution.	Apr 2, 2012 7:53 AM
6	Federal agency misconduct investigations are not a realistic scenario for me because research is my field is not generally funded in such a manner.	Apr 1, 2012 8:39 AM
7	I'm in Canada. We don't have an ORI, which is a problem. Basically, the institution's finding stands, and may be followed by punitive measures by a federal granting body. I would immediately talk to the editor about an expression of concern. Depending on the situation, I might publish a retraction either immediately or later.	Mar 30, 2012 3:33 PM
8	Ask the institution for a written description of the finding.	Mar 30, 2012 2:11 PM
9	Ask the primary author for an explanation	Mar 30, 2012 2:08 PM
10	None of the above. Let the investigation proceed and be concluded before taking action. Colleagues can be malicious with each other, too.	Mar 30, 2012 1:45 PM
11	Wait for the federal finding. If both findings agree, retract the paper. If not, publish a letter explaining the position of the institution and the agency.	Mar 30, 2012 1:30 PM
12	Sorry, I am an Editor in Brazil and I do not know how the law applies in the USA.	Mar 30, 2012 12:46 PM
13	But options (b) and (d)? The question didn't mention a paper. Maybe the supposed misconduct had nothing to do with a paper? How can this question be reasonably answered without knowing what the supposed misconduct involved?	Mar 30, 2012 12:17 PM
14	I'm not sure.	Mar 30, 2012 12:10 PM
15	but give the author the chance to do the retracting first - a publisher's retraction is last resort	Mar 30, 2012 12:01 PM
16	This question is unclearly stated.	Mar 30, 2012 11:57 AM

Page 4, Q17. An anonymous reader points out a substantive error in a publication (e.g., the graph is mislabeled or appears to be copied).

1	way too many possibilities and none of these answers fit. I would ask the authors if there is an error and I would send the complaint and response to the editor/AE/Reviewer as they are the content experts. If they all agree, an erratum would be published so long as the error does not invalidate the results. If it does, the paper would be retracted.	Apr 18, 2012 10:19 AM
2	This is a bad example - there is a big difference between a mislabeled graph and a plagiarized graph.	Apr 11, 2012 11:12 PM
3	Discuss with the authors and act depending on the conclusions of this discussion, possibly involving the institution also.	Apr 5, 2012 11:27 AM
4	First, I would contact the corresponding author and ask for an explanation. Depending on whether or not the error changes the overall findings/conclusions of the manuscript would depend on my next actions. Errata, Expression of Concern, Retract, etc.	Apr 2, 2012 7:53 AM
5	If error, ask authors to submit a correction. If they do not, publish letter as a letter to the editor. If the graph appears to be copied, this is not an error but a copyright violation and should be treated as in #14 above.	Apr 1, 2012 9:34 AM
6	Again, the anonymity of the allegation is suspect. I would ask the author for a response. If the author can counter or explain the copying or show there is no error, I'd let it go. If the error is substantiated, I would ask the author to submit a correction, or explain the journal editor would have to write a correction if the author does not.	Mar 30, 2012 3:33 PM
7	This response is appropriate if no other grievous deficiencies are found in the paper and the major portion of the paper has been deemed worthy of publication.	Mar 30, 2012 3:15 PM
8	Communicate the suspected error in the publication and ask the authors for clarification. If there is an error, publish a correction.	Mar 30, 2012 2:53 PM
9	Choice b, plus publishing a letter of concern	Mar 30, 2012 2:36 PM
10	Ask the authors to submit a correction for publication, and if they do not, ask the reader to allow publication of the letter pointing out the errors with his identifying information.	Mar 30, 2012 2:11 PM
11	Ask the authors to submit a correction. If they do not, publish an Editor's note with a correction	Mar 30, 2012 2:08 PM
12	Again, confirm that there are errors first. If so, ask for a correction for publication.	Mar 30, 2012 1:45 PM
13	Ask the reader to explain the error in a letter to the editor. If the error is important enough to invalidate the entire paper, consider retraction. Publish an explanation for the retraction.	Mar 30, 2012 1:30 PM
14	If it simply mislabeled, I would ask authors for a proper label and correct the electronic version including an errata. If the graph appears to be copied without reference I would retract the publication.	Mar 30, 2012 12:46 PM

Page 4, Q17. An anonymous reader points out a substantive error in a publication (e.g., the graph is mislabeled or appears to be copied).

15	"b" is the most reasonable option if the authors will do not agree that the "error" is in fact an error (and the writer of the letter would agree to have it published), but most authors would have no problem with "a". Thus, I find the question ambiguous, as the way an editor should handle an error (i.e., publish an erratum) would inmost cases be different than responding to a copied figure, which is more serious.	Mar 30, 2012 12:27 PM
16	So we're to understand that the error was related to a graph? Mislabeled might well not be "a substantive error", and copying is more than an "error". Option (e) would depend on what the error was. Options (c) and (d) come into play only if you think misconduct was involved. You've left out the option that is missing from a number of these questions: Ask the author first, then take things from there.	Mar 30, 2012 12:17 PM
17	I would do d, first part only--asking authors for a correction; or f, depending on the age of the paper. Since this is an anonymous reader, I would not/could not publish the letter.	Mar 30, 2012 12:10 PM
18	contact the authors and proceed according to policy	Mar 30, 2012 12:06 PM
19	Ask the authors to provide an explanation and publish a correction.	Mar 30, 2012 12:00 PM
20	Contact the author regarding possible error. It may be honest error correctable via corrigendum.	Mar 30, 2012 11:40 AM
21	Ask authors to write a correction and post it with the paper (or as an errata).	Mar 30, 2012 11:39 AM

Page 4, Q18. An author of a multi-authored publication admits research misconduct, but does not want the paper retracted because the conclusions of the publication are valid without the fabricated data/figure.

1	I would publish a correction about the fabricated data. Even if the data does not change the conclusions, readers have a right to know that there is reported data that has been falsified.	Apr 18, 2012 10:19 AM
2	Also e then c and possibly e	Apr 5, 2012 11:27 AM
3	I would use the other authors' opinions as well as an expert on the Editorial Board to determine whether the work stands without the figure/data	Apr 4, 2012 9:16 AM
4	Or I might retract; I would certainly consult the other authors and the editorial staff first.	Apr 3, 2012 9:10 PM
5	Fabricated data are fraud. It doesn't matter the conclusions of the paper. They are not longer valid	Apr 1, 2012 10:17 AM
6	Issue a notice of partial retraction addressing the fabricated sections and refer the matter to the authors' institution for investigation.	Apr 1, 2012 9:34 AM
7	I have been in a similar situation, fortunately caught before publication. If the conclusions of the paper are original and valid, and only some material was falsified, then the paper should stand. However, the falsified sections should be corrected. In the situation I was in, we considered going to the institution but decided against it, as the infraction was minor. For a more serious situation, we would also have gone to the institution.	Mar 30, 2012 3:33 PM
8	In addition to, or instead of, rely on another set of reviewers to determine the validity of the conclusions.	Mar 30, 2012 3:15 PM
9	In this case, the paper must be retracted regardless of the merits of the paper AND the situation must be referred to the institution and funding agency. So both "a" and "d" are correct.	Mar 30, 2012 12:27 PM
10	Options (b), (c), and (e).	Mar 30, 2012 12:17 PM
11	A and D	Mar 30, 2012 12:11 PM
12	been there, done that.... there is such a thing as a "retraction in part" We also go back to the editor who handled the paper for their input on the validity of the base paper	Mar 30, 2012 12:01 PM

Page 4, Q19. An individual indicates that a figure in a published paper is incorrect and submits a substantially revised figure.

1	Finally - a rational and realistic option for these questions.	Apr 11, 2012 11:12 PM
2	Publish in the correction, after getting agreement of the others.	Apr 9, 2012 8:51 PM
3	Is the "individual" an author? Accept the figure subject to a satisfactory explanation from the author	Apr 5, 2012 11:27 AM
4	What individual? an co-author? a reader?	Apr 2, 2012 7:39 AM
5	The editor needs to concur that the new figure does not change the paper's conclusions.	Apr 1, 2012 9:34 AM
6	Probably e before other possible follow-up.	Mar 30, 2012 3:33 PM
7	In most cases, "a" is appropriate and most editors have so dealt with these simple errors. One has to assume that the author is correcting an honest mistake. An editor needs go no farther unless there is reason to believe that misconduct has occurred. It's risky (and unprofessional) for an editor to jump to conclusions about possible misconduct in every case where an error has been identified. We are not policemen and we don't go looking under the covers, sniffing out wrongdoing. We should always give authors the benefit of doubt unless we are faced with evidence of misconduct, so it's best not to jump to conclusions based on hearsay or allegations.	Mar 30, 2012 12:27 PM
8	an "individual"? - we wouldn't accept revised data from non-authors... if the individual is the author, then option e.	Mar 30, 2012 12:01 PM
9	Ask authors to write a correction and post it with the paper (or as an errata).	Mar 30, 2012 11:39 AM

Page 4, Q20. A senior author indicates that the records for approximately 5% of those reported in a clinical trial were fabricated by an individual not an author, but the author does not wish to retract the paper because the conclusions are valid.

1	Ask the editors to examine the facts and decide what to do based on them.	Mar 30, 2012 2:11 PM
2	This is an extremely complicated issue and depends on so many factors that it's impossible to give a realistic answer to this question. An editor needs a lawyer's advice in these cases.	Mar 30, 2012 12:27 PM
3	I'd probably also do b.	Mar 30, 2012 12:10 PM
4	Do nothing.	Mar 30, 2012 11:40 AM

Page 4, Q21. An author admits that he fabricated a figure in a published paper and provides you a substitute figure to publish.

1	depending on the relevant importance of the content of the figure.	Apr 5, 2012 11:27 AM
2	Both retract the paper and report to the institution.	Apr 2, 2012 2:03 PM
3	I would also notify the author's institution.	Apr 2, 2012 6:43 AM
4	And c.	Mar 30, 2012 6:19 PM
5	Could be choice A also.	Mar 30, 2012 4:26 PM
6	A and C.	Mar 30, 2012 2:36 PM
7	Depends on the situation. Was this substitute figure the result of an investigation that led to a correction?	Mar 30, 2012 1:45 PM
8	Both "a"and "c".	Mar 30, 2012 12:27 PM
9	Options (a) and (c),	Mar 30, 2012 12:17 PM
10	A and C	Mar 30, 2012 11:57 AM

Page 4, Q22. An individual admits he did not conduct experiments in the manner reported in a published paper, but he does not admit scientific misconduct.

1	Review the situation and determine if flawed (ie, research appropriate but not reported accurately in the paper) or fraud - then consider next steps.	Apr 11, 2012 11:12 PM
2	only if the differences are minor and do not impact the conclusions.	Apr 4, 2012 9:16 AM
3	I would seek further information to find out the root cause of the inaccuracies. For example, if the errors were introduced by sloppy writing practices of multiple authors, it would be a lot less serious than if there was intentional deception. As long as there does not appear to be intentional deception, I would correct the paper.	Apr 3, 2012 8:16 AM
4	As above	Apr 2, 2012 6:43 AM
5	and publish EOC	Apr 1, 2012 9:43 AM
6	Depending on the gravity of the situation, I would also go to d	Mar 30, 2012 3:33 PM
7	C and D	Mar 30, 2012 1:30 PM
8	Option (c) if the offense was minor; options (a) and (d) if it was serious.	Mar 30, 2012 12:17 PM
9	Probably a or b.	Mar 30, 2012 12:10 PM

Page 4, Q23. An author failed to disclose a significant financial conflict of interest in a published paper.

1	If and only if Disclosure is required AND notify author's institution.	Apr 9, 2012 8:51 PM
2	Might take other steps such as provide the new disclosure to the reviewers to assess if this info would have impacted their review had they been aware of it at the time.	Apr 2, 2012 2:02 PM
3	Depends on what the actual financial disclosure was, either b or c.	Apr 2, 2012 7:53 AM
4	Our readership is very concerned about FCOI.	Apr 2, 2012 6:43 AM
5	Whether to retract the paper or not would depend on the nature of the disclosure. We would allow the appropriate editor to decide whether the nature of the disclosure was such that the paper would not have been accepted in the first place.	Apr 2, 2012 6:40 AM
6	This is simply a disclosure issue. It could lead to allegations of actual misconduct, but at this point there is no evidence of misconduct.	Mar 30, 2012 3:33 PM
7	This would be appropriate only if there were no negative comments during the review process relevant to the non-disclosure.	Mar 30, 2012 3:15 PM
8	This is a no-brainer.	Mar 30, 2012 12:27 PM
9	Option (c) if you really mean "significant".	Mar 30, 2012 12:17 PM
10	Authors who do this get blacklisted...	Mar 30, 2012 12:01 PM
11	We would also ask the editor to review the COI to see if it might have affected the outcome of the paper and act accordingly.	Mar 30, 2012 12:00 PM

Page 4, Q24. You learn that appropriate informed consent was not obtained for a published study.

1	Or e. depending on circumstances.	Apr 18, 2012 10:19 AM
2	Ask for a letter of explanation from the author(s) and then perhaps the authors' institution/funder. Consider asking about other methodologic issues.	Apr 11, 2012 11:12 PM
3	Get local IRB onto this	Apr 9, 2012 8:51 PM
4	And refer to an investigative body.	Apr 2, 2012 2:03 PM
5	Contact authors to confirm what you've learned is accurate. Then, refer to institution as necessary.	Mar 30, 2012 4:26 PM
6	And then investigate -- how many subjects did not give consent? was there some type of implied consent? what did the IRB require and was it followed? Would refer to the IRB if it seemed serious.	Mar 30, 2012 3:33 PM
7	Ask the editors to examine the facts and decide what to do based on them.	Mar 30, 2012 2:11 PM
8	Have the institution investigate; publish a correction if appropriate.	Mar 30, 2012 1:30 PM
9	Another no-brainer!	Mar 30, 2012 12:27 PM
10	Option (a). Option (d) is impossible because the question included the word "appropriate".	Mar 30, 2012 12:17 PM
11	d and e	Mar 30, 2012 12:10 PM

Page 4, Q25. A researcher is found guilty of research misconduct. Would you ban the researcher from being an author on any manuscript submitted to your journal?

1	it is up to my board not journal staff to determine whether people are banned.	Apr 18, 2012 10:19 AM
2	Yes	Apr 11, 2012 11:12 PM
3	for a limited about time, maybe 3-5 years.	Apr 4, 2012 9:16 AM
4	Researchers have been black-listed from journals I've worked on for less. In Canada, the finding of misconduct is by the institution.	Mar 30, 2012 3:33 PM
5	The question is not carefully drafted. Who found the researcher guilty of research misconduct?	Mar 30, 2012 2:36 PM
6	Yes, regardless of what the institution found. At some institutions and some countries the institution sweeps the issue under the rug. The journal decides on its own based on its evidence.	Mar 30, 2012 2:34 PM
7	Ask the editors to examine the facts and decide what to do based on them.	Mar 30, 2012 2:11 PM
8	Not relevant	Mar 30, 2012 1:45 PM
9	Either "b" or "c" could be appropriate depending on the circumstances, institution, country, etc.	Mar 30, 2012 12:27 PM
10	yes	Mar 30, 2012 12:06 PM
11	that's not our policy, but I (personally) think they should be blacklisted for misconduct.	Mar 30, 2012 12:01 PM
12	A combination of D and E, depending on the situation.	Mar 30, 2012 11:43 AM

Page 4, Q26. A single author of a multi-author publication is found guilty of research misconduct. Would you impose a sanction against any of the other authors?

1	I most likely would impose some sort of sanction against all authors, as they all sign off on the paper and copyright form, but would be more lenient on authors who apparently had nothing to do with the misconduct and were unaware of it.	Apr 3, 2012 9:10 PM
2	Probably e or f. Journals' only sanction is black-listing, and this would only be done if the co-author were found to have been some type of accessory or complicit in the research misconduct.	Mar 30, 2012 3:33 PM
3	This scenario begs for additional information in order to make a decision.....each "Yes" option is incomplete.	Mar 30, 2012 3:15 PM
4	Ask the editors to examine the facts and decide what to do based on them.	Mar 30, 2012 2:11 PM
5	Once again, any of these could be appropriate, depending on the circumstances.	Mar 30, 2012 12:27 PM
6	yes, depending on their defense	Mar 30, 2012 12:06 PM
7	A combination of E and F, depending on the situation.	Mar 30, 2012 11:43 AM