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The Blue Book on Authoring Responsibly for Academic Journal Articles

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Contents

Research in China is growing rapidly nowadays and so are published academic articles in both Chinese and English STM journals. Along with the surge, it is not rare for researchers, editors, journals or institutions to encounter authorship problem. Overall, this blue book aims to shed light on authorship-related issues, emphasize transparency and especially the corresponding responsibilities implied in authorship, and recommend best practices to all stakeholders involved in the research and publishing ecosystem. The blue book is written for researchers, in their various roles as authors, editors, and peer reviewers; societies; universities; research institutions; funders; corporations; publishers and science & technology administration departments. It is especially beneficial for three groups of stakeholders. Firstly, it provides authors with explicit definition and criteria of authorship, and delivers best practice guidelines regarding authorship in various stages of the authorship journey. Secondly, it emphasizes responsibilities of universities and research institutions in educating and training researchers as well as increasing transparency of the authorship. Last but not the least, it recommends journals, societies and publishers to clearly state the authorship policy in submission guidelines and be alert to suspicious authorship information. Meanwhile, we recognize that cultural and disciplinary differences exist and there's room to adjust the guidance or policy in combination with each stakeholder's own specifics.

1   Background

Publishing article on academic journal is a critical way for researchers to announce and promote scholarly research. The authorship of academic journal article is a key component which reflects the research community's recognition of the author's identity as the academic article's copyright owner. This recognition is declared and documented in the form of officially published research records (articles). The identity of authorship and the author order usually reflect what and how much each author contributed to the academic article. Authorship also indicates that all authors are accountable for the research content, issues related to research integrity and publishing ethics, and have the obligation to respond to reasonable inquiries and questions. Therefore, authorship is also entitled to receive recognition and benefits related to the published article in the relevant scientific and technological evaluation activities.

With the development of the economy and the progress of society, scientific and social problems we face are getting increasingly complex. Solutions rely on the cooperation of researchers from different countries, institutions, disciplines and research fields. Collaborative research and co-authored publishing have increasingly become the trend of scientific research and academic publishing. At the same time, the misuse and misconduct regarding authorship of academic journal articles are not rare, resulting in an increasing number of disputes. Common problems include: listed author has no contribution to the research (guest/gift authorship), qualified author is not listed (ghost authorship), the order of authors does not match the actual contribution, someone is listed as an author without his/her consent, someone forges a fake identity for authorship, someone consents to be listed as an author but avoid to take responsibilities when the article faces integrity challenges, someone changes authors list or the order of authors at will after the article is accepted, an excessive number of first authors or corresponding authors, misuse of acknowledgments and authorship, etc. [1]

The authorship of academic journal articles has drawn attention of all stakeholders in the research and publishing ecosystem, including publishers, researchers, administrative staff, academic organizations, management departments of research fund projects, etc. Some national scientific and technological management institutions, publishers, and international organizations have provided relevant documents of criteria or guidelines for authorship of academic journal articles in their respective fields and disciplines. These include the International Organization for Standardization (ISO), Committee on Publication Ethics (COPE), International Editorial Council (IEC), International Committee of Medical Journal Editors (ICMJE), Council of Science Editors (CSE), European Chemical Society (EuChemS), American Psychological Association (APA), National Health Commission of the People's Republic of China (NHC PRC), etc.

It is worth noting that the guidelines on authorship issued by various institutions at different times contain varying interpretations and expressions of concepts and ideas, which may not always be adequate or practical for China research and publishing ecosystem, particularly in the face of new situations and problems.

To this end, the Institute of Scientific and Technical Information of China (ISTIC) and Wiley set up a working group to raise awareness of authorship issues, clarify the concepts and recommend best practices for STM publishing communities in China based on investigation and review of relevant research and practice in the field. The blue book takes current problems into account and, at the same time, provides a framework of basic principles for the best practices that relevant stakeholders should perform in the process of creation, publication, and promotion of academic articles. It is hoped that it can guide the publishing field, research communities and the scientific and technological management departments in China to form a general consensus on the issues regarding authorship-focused concepts and eligible behavior.

2 Goals

Provide clear definition on author roles in scholarly publishing

To eliminate ambiguous definitions of authorship in various stages of scientific research and publishing activities, clearly articulate criteria to justify authorship credit and reduce misconduct.

Guide stakeholders to reach a general consensus on authorship

Authorship is not universally defined, and practices vary by disciplines and communities. But in general, there're basic principles and best practices. One of the aims of this blue book is to raise the attention of stakeholders involved in the research and publishing ecosystem on authorship and increase its transparency. The blue book also aims to introduce best practices of authorship in the process of preparation, writing, submission, peer review, publication, and promotion of academic journal articles.

Guard against the misconduct of authorship and strengthen integrity

To enhance the education and training of research integrity and publishing ethics, and reduce authorship disputes for the lack of comprehensive practice guidelines. To discourage misconduct and increase transparency in authorship. To recommend best practices to be widely adopted by broader research and publishing communities.

3   Definitions

3.1 Authorship

3.1.1 Right to Claim Authorship

The right to claim authorship grants moral and legal rights to academic article authors and reflects the research community's recognition of author identities. The protection term of the right to claim authorship, right of revision, and right of integrity shall not be limited. Authors have the right to claim authorship for the articles published by utilizing the resources of the legal entities or other organizations within their tenure. The following conducts are the common infringements of authorship:

(1) Publish an article without the permission of copyright owners;

(2) Publish an article on collaborative research outputs without the permission of co-authors;

(3) Claim ineligible authorship of other authors' articles for the sake of fame or fortune;

(4) Publish an article with counterfeited authorship.

In addition to the authorship of a natural person, a group author can be another type of authorship, including the authorship of a collaborative team, a legal entity, other organizations, etc.

Authors shall not apply any informal form of authorship, such as pseudonym, nickname, abbreviations, and fictitious names, when publishing academic articles.

3.1.2 Authorship Criteria

The criteria for authorship[2] are the followings:

(1) Participate in the research and contribute to the important, innovative and substantive content, including:

a. Propose original research ;

b. Or make significant contributions to research ideas or key designs;

c. Or play a significant role in acquiring, analyzing, or interpreting the data;

d. Or draft academic articles;

e. Or make critical revisions to the articles. AND

(2) Understand the entire process of research; AND

(3) Understand the full text of the article and approve the article's final version to be published, including the contribution statement of himself/herself and all the co-authors; AND

(4) Consent to the authorship, and accept the role of authorship and author order; AND

(5) Consent to undertake authors' responsibilities.

We also realize there is no universal definition of authorship, and practices vary by disciplines and communities especially when individuals collaborate across subject areas.[3]

It is recommended that all authors reach an agreement on authorship at the beginning of the research process and keep written records.

Gift, Guest or Honorary Authorship and Ghost Authorship[4] should be avoided. Gift, Guest or Honorary Authorship is to add leaders or senior researchers who do not meet the authorship criteria as authors out of respect, gratitude or other motivations. Ghost Author is the actual author of the article but is not listed as author

when the article is published, which is often bound up with academic misconduct, such as paper mills or ghostwriting. Even though there might be no objection among authors, these integrity breaches should still be resisted by all stakeholders in the research and publishing ecosystem. If any of these misconducts emerged already, there are a number of COPE flowcharts to follow with detailed solutions.[5]

3.1.3 Authorship Responsibilities

Authorship refers to the obligation and responsibility of published articles. The author's rights and responsibilities correspond to each other. Therefore, while obtaining the right to claim lifelong authorship, authors also take lifelong responsibilities.

The responsibilities of authorship[2] mainly include:
(1) All authors guarantee that the full content of the article is legitimate, authentic, scientifically reliable, etc., and will jointly undertake due responsibilities;
(2) All authors guarantee that the research and article are completely reliable in terms of integrity, ethics, privacy or confidentiality protection etc. in light of its discipline, for example, data is anonymized, an ethics board has approved the research, and/or that it has been conducted in accordance with internationally accepted research standards. Also authors will jointly undertake due responsibilities;
(3) All authors jointly guarantee that the publication of the article does not infringe upon the rights (including without limitation the copyright, patent or trademark rights), does not contain material or instructions that might cause harm or injury and will jointly undertake due responsibilities;
(4) Each author has the obligation to report "honest error" to ensure the integrity of the literature and respond to reasonable inquiries and questions from readers and stakeholders regarding his/her responsible content.

3.1.4 Authorship Information

Authorship information must be authentic and accurate, containing adequate contact information of all authors, such as institution, academic title, e-mail address etc.

The author's institution shall be his/her actual workplace or the organization that provides resources for the research outputs. Author has the obligation to confirm that they have obtained authorization from the institution (authorizing evidence is required if necessary) and provide the publisher with authentic and complete information of the institution. The institution should have the capability to supervise the research behavior of relevant authors (such as organizing ethics review and integrity investigation) and participate in resolving the intellectual property disputes over relevant research outputs.

An e-mail address shall be an indispensable part of the author's contact information. It is strongly recommended that the author uses his/her institution email address, which usually passes the user identity verification and is managed by real-name registration. It is not recommended to use a random e-mail address with free registration and without real name for article submission.

It is recommended to list the names of all specific institutions and their affiliated departments or organizations, and information of funding agencies, etc. that have the intellectual property of the article's outputs.

When requiring authors to provide authorship information, the publishing institutions/journals/editors should avoid the excessive collection of the authors' confidential information or information irrelevant to the research outputs, such as personal

identification documents, travel documents, gender, age, photos, curriculum vitae, etc. In the case of a dispute, authors may choose not to provide nonessential information. When collecting non-essential information on authorship from an author for applications beyond the scope of the publishing service of the article (such as analyzing the trend of discipline, gender distribution, etc.), the publishing institutions/journals/editors need to inform the author in advance of the purpose and use of the information and obtain the author's consent.

Under the premise of adhering to personal information and data protection policies, journal publishing institutions are recommended to provide authors with the option of using the researcher identifier that is widely used worldwide, mandated by management authorities, or recommended by the authors' institutions. For example, there are ORCID (Open Researcher and Contributor ID), ResearcherID or Scopus Author ID.

It is recommended to annotate the corresponding author and list the detailed and complete contact information such as e-mail and mailing address. If the corresponding author is not specifically annotated, the first author is assumed to be corresponding author by default and is responsible for contacting all authors and liaising with other stakeholders such as journal publishing institutions, editors, and readers at every stage.

When the authorship is in the form of group author, the authorship information shall include a list of each personnel and relevant information involved in the research if possible.

3.1.5 Author Order and First Author

The principles for author order include:
(1) The order of authors should be a collective decision of all authors who meet the authorship criteria, and the publishing institutions should be excluded from the process;
(2) The order of authors shall be agreed upon and confirmed in writing before submission, and no further adjustment is allowed after submission in principle.

The recommended options for author order:
Option 1: by author's contribution in descending order, which applies to most journals;
Option 2: by author's name in alphabetical order, only for journals in specific fields. These journals usually have long-standing authorship policies, i.e., order by author's name alphabetically, which have been explained to authors and readers openly in author guidelines etc. When the authors are ordered by their names, the workload distribution and contributions of all authors must be explained in the content or annotation of the article.

The first author refers to the researcher whose name comes first in the article's byline. It is a normal case (the first choice for the order of authors) to list the authors by author's contribution in descending order. The identity of the first author represents that he/she has made the biggest contribution to the academic article. The first author should be:
(1) The author who proposed the key academic originalities and innovative research ideas and discovered the core outputs;
(2) Or the author who conducted most of the research;
(3) Or the author who undertook the majority workload in drafting, writing, and revising the article.

The first author has the following additional responsibilities compared to other authors:
(1) Explain the overall structure and content of the article;
(2) Explicate the academic conceptions and design of research ideas;
(3) Interpret the content, such as expressions and

diagrams in the article.

Due to the complexity of research, there may also be interdisciplinary collaboration; and in some cases, more than one author may have made significant contributions. If their contributions are the same, multiple "first authors" or "equal contributions" are annotated in the article's authorship. In this case, the publishing institution shall request written consent signed and confirmed by all authors for this specific annotation. The principle of integrity shall be followed when annotating multiple "first authors," and there should not be any fake "parallel first authors" annotated to cater to the research evaluation rules.

3.1.6 Corresponding Author

The corresponding author is the key contact with journals throughout the whole submission, peer review, publication and post-publication stages. The corresponding author is a functionally significant role among all authors and should not be associated with honor.

The corresponding author should have the abilities and facilities to communicate with journal publishing institutions, editors, readers, and other institutions in a timely and effective manner in publishing activities [2]. In specifics:

(1) Upon submission: communicating with journal editors and providing the content of the article and other information following the procedures and requests of the journals (for example, confirmation of authorship, ethics approval statement, registration document for clinical trials, etc.);

(2) In the process of peer review: contacting all authors and giving responses to reviewers' comments and requests;

(3) Preparing for publication: timely proof correction, signing of the license agreement;

(4) Post-publication: actively responding to reasonable inquiries and questions (such as academic contentions, whistleblowing) raised by readers and stakeholders, and cooperating with publishers, funding agencies, research institutions, etc., to carry out relevant and necessary investigations.

The corresponding author has the following additional responsibilities compared to the other authors: carrying out communication routines timely, accurately, comprehensively, and appropriately; specifically:

(1) Make sure to follow the journal policy and submission process as well as relevant requirements;

(2) Make sure to contact all co-authors, cooperate with journal publishing institutions, and respond to readers' and stakeholders' inquiries and questions.

Corresponding author should not be considered as an honorary role or associated with an individual's contribution. In practice, there are cases of mistreating corresponding author as a role that reflects certain contribution or honor, such as "project leader", "funder", "team convener", "core contributor", "person in charge", "responsible author", and "sole owner of intellectual property", which should be avoided.

In the practice of research management and evaluation, there are cases where corresponding author is regarded as or replaced with first author. A typical case is that, for the same article, the first author is identified as the most important contributor to the article in one scenario (e.g., the graduation qualification review); while in another scenario (e.g., performance assessment on investigator's research work), the corresponding author is identified as the most important contributor to the article. Such rules focus more on the feasibility of management but ignore the relationship between the order of authors and identity of authorship, and the actual contribution of each author to the article. Some researchers cater to the rules based on misuse and misunderstanding when

it comes to the authorship of the articles, which violates the principle of integrity in authorship and leads to some academic misconduct.

According to the definition of corresponding author, it would be appropriate for each article to designate one "corresponding author" who is qualified for communication. In most cases, multiple "corresponding authors" should be avoided. If multiple "corresponding authors" are indeed necessary, the journal should ask the authors to give reasons to avoid misconduct such as opportunism caused by benefit-driven activities.

3.1.7 Group Author

The general criteria for group author are:
(1) The article is the routine output of a particular organization;
(2) The article is a collection of originalities which cannot be completed independently but formed by compiling extensive information by a particular organization;
(3) The article is regarded as a document to release an official opinion, or with the nature of a statement or declaration, by an organization.

The group author has the following additional responsibilities:
(1) Group author should designate and indicate in the article one named individual author to undertake the responsibility of liaison;
(2) Group author should use full name, instead of abbreviations.

When annotating a group author, it is recommended to list the information of all involved members (named individual authors)[6], or a few key authors as the representatives of the group, in which case the representatives should obtain written authorization from the group authors.

3.2 Contribution Statement

To consolidate research integrity and improve information transparency, it is recommended that academic journals request author contribution statement when publishing articles, for the purpose to describe the contribution of each author to the manuscript. Nowadays, more and more academic journals are encouraging or even requiring authors to provide author contribution statement.

It is recommended that journals adopt the Contributor Roles Taxonomy (CRediT) to identify each author's specific contribution to the scholarly output. CRediT includes 14 roles that give a standardized description of each author's contribution and can be further expanded in the light of actual conditions.

3.3 Acknowledgements

The criteria for being listed in the acknowledgments of the article are:
(1) Contributors who cannot meet the authorship criteria but provide advisory opinions, research funding, working resources, technical supports, or services by a third party etc.;
(2) The recipient of the acknowledgments should be informed in advance and agree to be included in the acknowledgements.

In the acknowledgments, it is necessary to explain in detail the contribution of the recipients.

4 General Principles of Authorship Conducts and Disputes Resolution

Authenticity

Authenticity is a basic principle that should be adhered to by authors of academic journal articles. The authorship qualification, the order of authors, authorship information, contribution statement, and acknowledgments should all be consistent with facts. For articles whose authorship is sequenced by contribution, the author order therein should faithfully reflect their actual contribution to the academic articles. It is forbidden to provide fake authorship information including title, education background, or research experiences.

Compliance with Best Practices

The authorship of academic journal articles should be complete, clear and transparent. Author institutions should be listed with full and official names. The contact information of the corresponding authors should be their working e-mail addresses. The author contribution statement should present the name of each author and their specific contribution to the article in a structured way. Contribution statements of authors should be consistent with the actual role they have played.

Consent for Submission and Publication

All authors should be aware of the reality of the publications (including their place in the order of authors, contribution statement etc.), authorship due responsibilities, and relevant agreements signed during the publication process. All authors also have the right to know the journal to which the article has been submitted, the status of peer review, questions from editors and reviewers during peer review, and reasonable inquiries and questions from readers after publication.

5 Recommended Framework of Conduct

To create a positive research atmosphere, prevent any potential misconduct before it occurs and reduce inappropriate authorship conduct, research institutions, authors, and journal publishing institutions should work together in terms of the formulation and implementation of authorship policies for all stages from research to publication.

5.1 Before Submission

5.1.1 Universities and Research Institutions[7]

Universities and research institutions should ensure that the authorship policies are open and transparent. It is recommended to solicit opinions publicly from administrative staff, researchers, teachers, students, and other relevant personnel within the institution and formulate, publish, and regularly update the policy on authorship. An open and transparent policy in the earlier stage can avoid problems and disputes later.

Policymakers should be aware that authorship policies may vary across disciplines to reflect subject differences.

The department responsible for employee and student training needs to regularly conduct relevant education for researchers (especially new employees, students, visiting scholars, etc.) to familiarize them with authorship best practice in their fields.[7]

5.1.2 Researchers

Begin to think about authorship when making the research plan and continue discussing it during the research process. It is recommended to discuss this in face-to-face meetings whenever possible and gather input from all the project team members to ensure that the expectations of all those involved in the research are consistent.

To better reflect the contributions of all researchers, authorship should be discussed on an ongoing basis during the research. Authors to be listed and the order of authors are allowed to change throughout the project's progress.

Make a preliminary decision on authorship before starting to write the article. Imbalanced expectations and poor communication may cause many disputes over authorship. Therefore, before starting to write an article, all participants should confirm the division of work for each person in writing and form a preliminary consensus on authorship.[8]

During the writing process, authors should always maintain communication. Ideally, everyone should be notified in writing if there are any changes in authorship.

Finalize the authorship information and contribution of authors after the article is finished. All participants who have contributed to the research findings and writing shall reach an agreement on authorship qualification and author order through discussion based on their actual contributions, and the specific contributions of each author shall be annotated in the article.

5.2 Submission

5.2.1 Authors

Ensure that all authors meet the authorship criteria, all those who are eligible for authorship are included as authors, and all authors agree to the order they are listed. Describe each author's contribution accurately and honestly. Provide complete, truthful, and accurate author information. Authors are advised to use the e-mail address assigned by their institutions and a researcher identification code.

The drafter of the article must solicit opinions of all authors on the full text in advance. All authors should review and agree to submit the article in advance and be responsible for the content of the article.

Once submitted, authorship information is not allowed to be changed. If there is a need to remove/add any author(s) or adjust the order of authors after submission, it is recommended to withdraw the manuscript and resubmit.

5.2.2 Journal Publishing Institutions

Provide clear authorship policy in the submission guidelines. Ask authors to confirm that all authors meet authorship criteria and ensure that all authors agree with the submission. Journal publishing institutions should notify all authors after receiving the submission and confirm the validity of their e-mail addresses if possible.

To eliminate confusion in author names and ensure that the released information is complete and correct, journal publishing institutions are advised to encourage all authors (at least first author and corresponding author) to provide their preferred unique researcher identifiers.

It is recommended that journal publishing institutions make policy on author contribution statement for co-authored articles, indicating the required format and process to sign and submit the statement, and defining elements for author contribution and generic specification. Journals are recommended to adopt CRediT, a high-level taxonomy to collect structured information on author contributions.

Journal publishing institutions may use an academic misconduct checking system during the submission process to automatically review and identify inappropriate authorship.

5.2.3 Editors

Before acknowledging the submission of a manuscript, editors should check and confirm the authorship information, author contribution, order of authors, etc. with all authors, and inform authors of their responsibilities and obligations as well as review and identify inappropriate authorship.

It is difficult for editors to monitor each submission's author or contributor list thoroughly. However, suggestions from COPE can be referred to stay vigilant against inappropriate authorship. These suggestions are available across multiple stages, such as submission and peer review.[9]

Editors/journals are not well placed to adjudicate author disputes, and if there is a disagreement among the authors over who should be included in the author list, the best practice is to put the paper on hold in review or publication at the journal and, if no

resolution, to refer the matter to their institutions.[10]

5.3 Peer Review

5.3.1 Authors

The corresponding author is required to keep all authors informed of the peer review progress (although corresponding author is the main contact with journals, journals may also copy all authors in the communications). Authors should cooperate with editors to revise the manuscript, respond to the inquiries promptly and provide the original data upon request.

The corresponding author should ensure that authorship information remains the same during peer review. If there is any change, journal editors should be notified in a timely and proactive manner.

All authors should confirm and sign the final version of the manuscript to be published.

5.3.2 Reviewers

When being invited to review manuscripts, reviewers should avoid reviewing papers by authors who have potential conflicts of interest with them (such as cooperative relationships, teacher-student relationships, family relationships, those from the same institution or department, and those who are direct competitors, etc.), and disclose any existing conflicts of interest.

Reviewers should pay attention to whether the article has potential issues of authorship and raise relevant issues with clues to the editors and assist them in identifying inappropriate authorship.

5.3.3 Editors and Journal Publishing Institutions

At any stage of the peer review process, if journal publishing institutions spot any problems such as inappropriate authorship or academic misconduct, they should contact authors for a response and take corresponding measures.

If there is an authorship issue, journal publishing institutions can decide whether to continue peer review or reject the manuscript at their discretion, depending on the specific situation, and consider whether to notify the author's institution. It is recommended that journal publishing institutions keep records on manuscripts with issues and related processing documents. When authorship disputes arise, submissions can be held in the review or publication process until the dispute is resolved. Editors are not in a position to fairly adjudicate disputes.[10]

A. Preliminary Review

Always pay attention to potential issues of authorship during manuscript reviewing process. Editors should investigate the qualifications and contributions of authors according to journal regulations, such as whether the contribution statement submitted by authors meets journal's requirements and question authors as appropriate to identify authorship concerns.

Editors should avoid processing manuscripts from authors who have potential conflicts of interest with them (e.g. those from the same institution or department). Editors have an obligation to keep the author's manuscript confidential. They should not take advantage of the manuscript's content for improper benefits, such as stealing the data and opinions of the article, selling the publishing opportunities, and so on.

Editors should invite reviewers properly based on the authorship information and may consider asking authors to nominate reviewers or to indicate which specific personnel is not suitable for reviewing the article to avoid inviting those who have conflicts of interest with authors.

Journals should establish a mechanism for handling submissions from editors and editorial board members. Editors and editorial board members should avoid processing manuscripts authored by themselves.

B. Revision

Editors should check whether the authorship has been changed in each version of the revised manuscript, including name, institution, number and order of authors. During peer review, it is discouraged to change authorship information without solid reasons. The manuscript may be withdrawn if the authorship information needs to be changed. Journals reserve the right to refuse changes to authorship information.

C. Proofreading

It is recommended that editors require all authors to return a signed proofreading letter. In addition, authors need to confirm the content of the final article version to be published. If authors cannot be contacted within a certain period, journals may consider that authors would discontinue publication and withdraw the manuscript.

5.4 Publication

Before the article is published, authors must sign relevant agreements with the journal publishing institution, such as the "Copyright Transfer Agreement", "Exclusive License Agreement", or "Open Access Agreement" to ensure the originality of the article and

that it has not been published before, and its final version is only published in this journal. All authors should be aware of the content of the agreements and authorize the corresponding author to sign the agreements on their behalf.

In principle, after the article is published, it is highly discouraged to add or remove authors, or change the order of authors. If there is any special reason and all authors agree in writing, the authorship information can be amended by publishing corrections instead of revising the final published version without any note. The online version of record and the traditional print version, if this exists, are both considered as the article's final published version.

Journal publishing institutions should publish the procedures for changing authorship information and ensure that the process is transparent and consistent with published records.

5.5 After Publication

Authors are accountable for the full content of the article as well as the authenticity and reproducibility of the data. Authors should provide the journal with the original data upon request and cooperate with the journal to address any inquiries that may arise following publication, and any corrections, expressions of concern, or withdrawals resulting from such inquiries. Authorship obligations last a lifetime.

If an authorship dispute arises after article publication, it is suggested that the authors conduct internal negotiations in the first place or submit to arbitration by their institution. Journals and editors do not have an obligation to adjudicate any authorship dispute. If the negotiation fails, authors may appeal to a specialized academic arbitration institution or file a lawsuit with the court. The journal will take reasonable measures

according to the verdict.

All authors should cooperate with the journal publishing institutions on the investigation of academic misconduct.

5.6 Exceptional Cases

Deceased authors. If the submitted article involves a deceased author, or an author passed away during the review process, a statement with footnotes or other similar ways should be added to the published version of the article. Journals usually clarify the situation using special symbols and annotations. Co-authors should vouch for the contribution and potential conflicts of interest regarding the deceased. If the deceased is the corresponding author, another co-author should be nominated as a replacement.[3]

Request to change authorship information. The journal publishing institutions should consider the rationality, necessity and feasibility of the authorship change request and ensure that all authors and stakeholders are informed and have consented in writing. For example, Wiley has issued a policy in the publishing workflow to ensure that all authors approve the requests to add or remove authors in consistent with COPE guidelines. If author list is changed, a separate correction should be published.

Author name changes after publication. Sometimes authors may wish to change their names following publication as a result of marriage, divorce etc. At Wiley, there is a name change policy to respect the privacy and sensitivity of the issue. [3]

Translators shall not be considered as authors. Translating a published academic article is different from publishing an original one. The republication should respect the authors' right to claim authorship in the original document and annotate the translator. In article writing and publishing, those who only undertake translation tasks usually do not meet the authorship criteria, and it is recommended to list them in the acknowledgments.

6 Summary

Authorship in academic publications is an integral and important part of both the research integrity and publishing ethics system and the code of conduct for knowledge production which is stipulated by the copyright protection law. This should be of great concern to relevant stakeholders, including but not limited to researchers, journal editors, universities, research institutions and academic societies.

To curb various authorship misconducts on academic journal articles, authors are expected to have honest and trustworthy behavior in research practice and co-create a healthy academic ecosystem. All stakeholders should take the initiative to comprehend the concepts of authorship, identify authorship criteria, take the corresponding responsibilities and obligations, and learn the recommended practices of authorship information, author order, contribution statement and acknowledgments.

Consensus should be reached in the practice of science and technology administration and evaluation to avoid misunderstanding and misuse of roles such as "first author" and "corresponding author" to realize prudent use of "equal contribution" or "joint" and to restrain authorship misconducts caused by interest demands.

Researchers should start to think about and discuss authorship at the beginning of the research. All researchers involved in research, writing and revision of articles should discuss and negotiate whether they meet the authorship criteria, agree with the author order and elaborate their respective contributions. All authors should ensure that the submitted authorship information is authentic, accurate and complete. In principle, it is highly discouraged to add or delete authors or change author order once the article is submitted.

Journal publishing institutions should provide detailed, explicit and transparent guidelines on authorship and pioneer misconduct checking initiatives to identify potential problems during submission and publication. Before acceptance, journal editors are expected to check and confirm the authorship information, author contribution, author order with all authors, inform authors of the authorship responsibilities, review and identify potential authorship misconducts. Reviewers should consciously avoid reviewing submissions with potential conflicts of interest and assist editors in tracking authorship misconducts whenever needed.

Universities and research institutions should have authorship policy and update it on a regular basis. Academic institutions and universities should carry out relevant training systematically to strengthen publicity of recommended authorship practices, research integrity and publishing ethics education. And if referred to, universities and research institutions should be responsible for the investigation of authorship disputes.

7 Acknowledgements

8 Bibliography

[1] Committee on Publication Ethics (COPE). COPE Council. WCRI 2019: Responsible authorship. https://publicationethics.org/resources/seminars-and-webinars/wcri-2019-responsible-authorship.

[2] International Committee of Medical Journal Editors (ICMJE). Recommendations for the Conduct, Reporting, Editing, and Publication of Scholarly Work in Medical Journals. Updated May 2022. https://www.icmje.org/icmje-recommendations.pdf.

[3] Wiley. The Wiley Network. Best Practice Guidelines on Research Integrity and Publishing Ethics. https://authorservices.wiley.com/ethics-guidelines/index.html.

[4] Committee on Publication Ethics (COPE). COPE Council. COPE Flowcharts and infographics - Ghost, guest, or gift authorship in a submitted manuscript - English. https://doi.org/10.24318/cope.2019.2.18.

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