

## Plagiarism, duplicate publication, and other suspected author, editor, or referee misconduct

### SIAM Guidelines for Journal Editorial Boards

#### 1. Plagiarism

- **Plagiarism check for all submissions.** SIAM is a member of CrossCheck, an initiative to help journals prevent scholarly and professional plagiarism. An arm of [CrossRef.org](http://CrossRef.org), CrossCheck software compares a paper against its database of published content. As of this writing, CrossCheck maintains a library of 54,000 publications and more than 26 million pieces of content from its 130 members. Included in this are other publishers' mathematics journals of interest to SIAM community members.

When a paper is submitted to a SIAM journal:

- SIAM Publications staff runs a CrossCheck scan before the submission is sent to the journal Editor-in-Chief.
  - If the CrossCheck report shows a significant match the Publications Manager is consulted. If there's no clear-cut explanation for the matching content, SIAM points the findings out to the journal Editor-in-Chief. Editors-in-Chief can also choose to access CrossCheck reports for any paper submitted to their journal.
- **Second plagiarism check at time of acceptance.** SIAM also re-checks all accepted papers before the start of production for publication.
  - **Editor or referee recognition.** Plagiarism charges sometimes begin when a review editor or referee receive a paper they recognize from another publication. As the paper is in review, the first step is to report the matter to the EIC. Once the EIC has knowledge of the charge he or she should involve the Publisher and Vice President for Publications. The EIC may be asked for a report. If further investigation is needed, the VP for Publications may also assemble a group of experts.
  - **SIAM journal content appearing in another journal.** SIAM holds the copyright on articles accepted for and published in its journals. Plagiarism includes such an article, or parts of the article, published in another journal under another title, and/or under the names of other authors. (See section 5. Procedure for responding to complaints of plagiarism of SIAM content.)

Such occurrences should be reported to the Publisher and the Vice President for Publications, who will begin an inquiry.

- **Safeguards**

- Reviewers are advised (posted at Instructions for Referees at [www.siam.org](http://www.siam.org)):

All manuscripts are privileged documents; an author retains the right to the unpublished work. A referee should not use results or ideas obtained exclusively through the refereeing process in his or her own research.

- All community members are cautioned: It may be unsafe to place a manuscript in a web-accessible directory. It may be found by search engines and become a de-facto public document.

#### ■ Reference

- SIAM's policy on Authorial Integrity in Scientific Publication is posted at <http://www.siam.org/journals/plagiarism.php>.
- Details of a specific case of a paper plagiarized from SIOPT are available at <http://www.siam.org/journals/plagiary/>.

## 2. Suspected duplicate publication/self-plagiarism

Duplicate publication, which is also sometimes referred to as self-plagiarism, includes full papers or substantial portions of papers previously published as well as simultaneous submission to two or more journals. A large duplication of an author's own work is a sign of poor scholarship and is also a copyright issue if the source is not cited. In the case where the paper merits review, the manuscript should be revised prior to review to provide proper citations and to minimize the duplication. Refusal by an author to make these necessary changes is a ground for rejection.

- **Author confirmation.** The Corresponding Author is required to respond to the following when submitting a paper to a SIAM journal. The submission cannot be finalized without a response.

Submission of a manuscript to a SIAM journal is representation by the author that the manuscript has not been published or submitted simultaneously for publication elsewhere. In general, papers that have appeared in conference proceedings will not be considered unless significantly revised. If a paper has appeared previously, in any form, authors must clearly indicate this in both their cover letter and in a footnote on the first page of the paper.

By selecting "yes," the authors confirm they read and agree to the conditions--excerpted from the journal's Editorial Policy.

- If an author selects "no" the submission will be refused.

- **Check for Duplicate Manuscript.** Each submission goes through a "Check for Duplicate Manuscripts" at the SIAM office. This occurs before the paper goes to the EIC to begin peer review. The duplicate manuscript check will identify simultaneous submission to another SIAM

journal. However this software is limited to SIAM and will not catch simultaneous submission to another publisher's journal. SIAM learns of such papers intermittently through an editor or referee who is sent the same paper for two different journals.

- A clear-cut case of simultaneous submission will be stopped at the SIAM office. A message is sent to the Corresponding Author that SIAM will not accept the submission. The Publications Manager, Publisher, VP for Publications, or EIC may be consulted to determine if further action is in order. A case of duplicate---but not simultaneous--- submission, which may involve mitigating circumstances, will be sent to the journal Editor-in-Chief along with a message from the SIAM office outlining the circumstances. One duplicate manuscript situation that is acceptable is a paper rejected by one SIAM journal with a suggestion by the Review Editor that it is instead appropriate for another SIAM journal. The author may not need to revise greatly in such a case before re-submitting it to the journal suggested.
  
- **Flagged authors.** SIAM maintains a flagged authors list. Inclusion in the list is not a finding of guilt, but reflects that there's been an issue with a prior submission. The list exists to give Editors-in-Chief background information, when needed. The SIAM office runs every paper, at the time of submission, against the list.
  - Action taken in response to a match depends on the specifics in the author note on file.
    - ❖ In most cases the SIAM office will include a message to the EIC along with the submission. The message details the history of problems with previous submissions, if relevant to the current submission.
    - ❖ Banned authors: In rare cases some or all SIAM journals will ban an author, refusing submissions for a given period of time or permanently. The step has been authorized in specific cases by the Executive Director, or by an Editor-in-Chief and the Vice President for Publications. The Publications Manager should be consulted when a submission is to be refused.

### 3. Suspected referee conflicts

- **Author charges referee.** An author who charges a referee with appropriating ideas from a paper in his or her own work most often sends the complaint to the Editor-in-Chief or the Review Editor for that manuscript. A Review Editor who receives such a complaint should immediately share it with the EIC. If the charge has merit, the EIC will notify the Publisher and Vice President for Publications, who may ask for further investigation. Depending on circumstances, this may

be accomplished by the EIC, or a small committee of experts may be formed to compile a report. Further action depends on the results and conclusions.

- Referees occasionally will contribute directly to a revised paper. When these contributions are far beyond helpful suggestions, the referee in effect changes roles, and may seek to drop anonymity and become a co-author. If all parties are in agreement---the authors, the former referee, the Review Editor, and the EIC---this is acceptable. The addition of a former referee as an author requires agreement by all parties mentioned above, including the journal EIC. SIAM staff must be informed.

#### 4. Editor conflicts of interest

- **SIAM policy.** It is SIAM policy that editors not review papers authored by their friends, relatives, colleagues, co-workers, current and former students and postdocs, advisers, or anyone else who may cause a conflict of interest. The same policy applies to referees: editors should not send papers to referees who work at an author's institution or who are known to have close ties to the author. (In the case that a referee's exceptional expertise is needed, conflicts must be disclosed to the editor handling the paper. ) To help avoid conflicts of interest it is SIAM policy that editors who receive manuscript submissions or who are assigned manuscripts that present a conflict of interest decline the assignment. The EIC can then reassign the paper to another editor.
- **Papers authored by Editorial Board members.** Papers authored by Editorial Board members are subject to the same anonymous peer-review process as other papers. All SIAM journals abide by some guiding principles in handling papers authored by members of the board, but the previous sentence is the first in every journal's policy, and it is the basis for the policy. There is no favoritism in handling work submitted for publication by members of the Editorial Board.

The rest of the policy varies from journal to journal, but each follows one of two basic themes.

- The first:

**Papers authored by Editorial Board members:** Papers authored by Editorial Board members are subject to the same anonymous peer-review process as other papers. Submissions to the journal authored by the members of the Editorial Board will be handled by the Editor-in-Chief. Submissions to the journal authored by the Editor-in-Chief will be directed to the Vice President for Publications, who will oversee the review process.

As of March 2011, the following follow this model:

MMS, SIADS, SIAP, SICON, SIDMA, SIIMS, SIMAX, SINUM.

SIREV also follows this basic policy, though due to its structure an Associate Editor-authored paper submitted to the AE's own section is handled by the Section Editor. Section-Editor authored papers are handled by the EIC.

- The second:

**Papers authored by Editorial Board members:** Papers authored by Editorial Board members are subject to the same anonymous peer-review process as other papers. Submissions to the journal authored by the Editor-in-Chief will be directed to the Vice President for Publications, who will oversee the review process.

As of March 2011, the following subscribe to this model:

SICOMP, SIFIN, SIMA, SIOPT, SISC.

SIMA also follows this basic policy, though SIMA's Corresponding Editors who author papers for the journal will have them directed to the EIC, who will coordinate the review.

The difference in the two themes is the second sentence, which is deleted in the second version. Journals with a policy revolving around the first statement maintain that submissions to the journal authored by the members of the Editorial Board will be handled by the Editor-in-Chief, meaning the EIC handles correspondence to preserve Review Editor anonymity in all cases. Journals using the second version do not necessarily hide Review Editor identity, but the editor may ask the EIC to correspond if they wish to remain anonymous, the same as for any other paper they handle.

In all cases the journal policy is publicly stated, appearing on the journal site at [www.siam.org](http://www.siam.org).

- **Direct submissions.** Members of the Editorial Board occasionally receive submissions directly from authors. In such cases the editor will ask the author to resubmit the paper to the SIAM office through the journal's usual web submission site (<http://peerreview.siam.org>). This ensures proper processing and tracking throughout the review process. Editors should not review a new submission without the approval of the EIC, who assigns the Review Editor for each paper.

The policy above is stated at [www.siam.org](http://www.siam.org). Also noted: Authors can suggest an editor from among those listed on the journal's masthead, but the EIC has the exclusive right to assign papers to members of the editorial board. The editors reserve the right to reject any manuscript that does not conform to the journal's standards.

## 5. Procedure for responding to complaints of plagiarism of SIAM content

- The SIAM office typically learns of a complaint when an author contacts them.

- Upon receipt of the complaint, SIAM will contact the EIC of the SIAM journal in which the article originally appeared. The EIC may decide to convene a small team of experts to determine the claim's validity, or may choose to make this determination on their own. The EIC or team should consider the evidence and issue a report to the SIAM office with their findings, along with supporting justification.
- If the determination is made that plagiarism has occurred, the SIAM office will contact the publisher of the offending article, outlining the complaint and suggesting courses of action.
- The other publisher will typically contact the EIC of the journal in which the plagiarized article appeared. They may also elect to contact the authors directly. In either case, they forward our concerns and ask for a response to the charge.
- This part of the process may take several months and the SIAM office will contact the publisher periodically in an attempt to keep the process moving forward.
- If the other publisher - after consulting with the EIC and/or author - agrees with our conclusion, the offending paper should either be retracted or an addendum should be published that outlines the situation.
- If the other publisher does not agree with our conclusion, the SIAM office will decide what further action is required.
- If the other publisher fails to respond at all, the SIAM office may write directly to the institution of the authors suspected of plagiarism and inform them of the situation. We may also consider further unspecified action.

## **6. Procedure for claims of plagiarism or author misconduct by a SIAM author**

Once a complaint or allegation is received and sufficient information is provided, the following steps will be followed:

- The SIAM Vice President for Publications will first ask the chief editor of the publication in question to look into the issue and report back on the merits of the allegations. The editor may inform the author of allegations and seek a response. Issues of inadequate citations, when not intentional and not egregious, may be resolved at this level in a way that satisfies all parties if this process occurs prior to final publication.
- If further investigation is warranted (the issue is deemed serious and can't be resolved by all parties) and there is sufficient information to proceed, the SIAM Vice President for Publications will assemble a group of experts to examine the allegations. The SIAM Vice President for Publications will coordinate this action with the appropriate people (journal Editor-in-Chief, etc., as appropriate) and may ask one of those people to lead the investigation process. The committee investigating the claims will file a formal report with the SIAM Vice President for Publications that provides expert judgment on the validity of claims.
- Once the report is submitted, the SIAM Vice President for Publications may pursue a variety of remedies, in consultation with the SIAM Committee, if the allegations are found to be valid by the ad hoc committee. Note that the formal investigation only occurs if the Editor-in-Chief is

unable to resolve the issue among the parties directly involved. The results of the formal investigation will be shared with the parties directly involved, and an attempt will be made to once again resolve the issue at the lower level. If the issue cannot be resolved at the lower level, and if the reviewing committee determines that author misconduct of any kind occurred, then further action must be taken.

For a paper in review, further action may include outright rejection of the manuscript for publication. It could even include, in extreme circumstances, involving the offending author's institution (but only after suitable legal review by SIAM's counselor).

The case where the offending material has already been published is more serious, as one must ensure that scholarly records remain correct.

If the offending material has already appeared in a SIAM publication, then additional steps may be required. These steps might include publishing a formal notice (with or without the consent of the plagiarizing author) that states the facts about the source of the work and provides the appropriate citations to that work. This may be done by simply publishing an addendum that indicates which parts of the work appeared earlier and providing the citations to that work.

The SIAM office may need to contact the publisher of the original work and inform them of the problem and its resolution. That publisher may request additional remedies.

Results will be communicated via e-mail to both parties (the person who filed the complaint and the author alleged to have committed plagiarism).