

Quality and the integrity of the academic economy

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My argument

- 1) The integrity of the academic economy is central to the maintenance of quality in higher education
- 2) Professional virtues or values key to integrity are being eroded by the forces of performativity, academic capitalism and academic cronyism

The virtues of academic practice: a reminder

Teaching

Respectfulness, sensitivity, pride, courage, fairness, openness, restraint, collegiality

Research

Courage, respectfulness, resoluteness, sincerity, humility, reflexivity

Service

Benevolence, collegiality, loyalty, guardianship, engagement

Macfarlane (2004; 2007; 2009)

Merton's C.U.D.O.S.

Communism – intellectual property should be freely shared (思想や理論の共同所有)

Universalism – academics are concerned with the pursuit of the truth (真実を追求する普遍性)

Disinterestedness – academics should be impartial about the results of research; not emotionally biased (私情を挟まない公平)

Organized Skepticism – all knowledge claims should be open to critical scrutiny (組織的に持つ懐疑主義)

Virtues and their vices: some examples

Research

Vice

cowardice
manipulativeness

Virtue

courage
respectfulness

Vice

recklessness
partiality

Teaching

Vice

arbitrariness
defensiveness

Virtue

fairness
openness

Vice

inflexibility
quiescence

Service

Vice

remoteness
egoism

Virtue

collegiality
guardianship

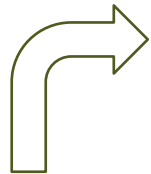
Vice

cliquishness
sectarianism

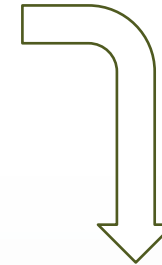
The academic economy



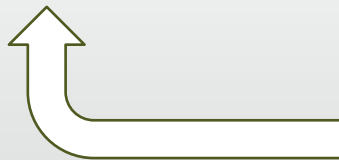
Cultural capital
(Publications/titles/
awards)



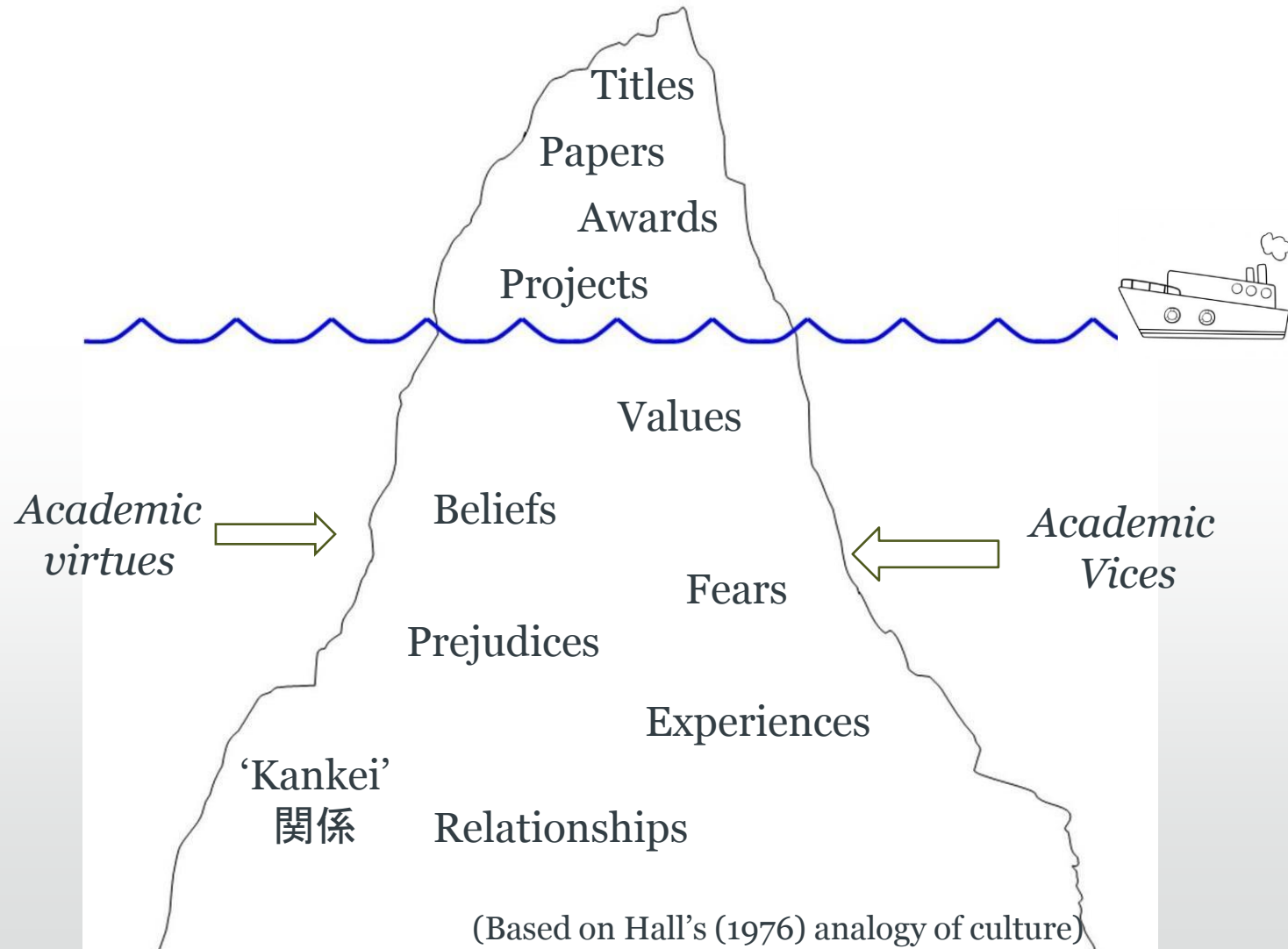
Economic capital
(Funding/resourc
es)



Social capital(networks/r
elationships/collab
orations)



The visible and invisible academic economy



3 threats to academic integrity

Academic performativity 学術研究における点数稼ぎ主義

Rewarding academic work on the basis of targets and performance indicators



Academic capitalism 学術界での利益至上主義

Commercial exploitation of academic work



Academic cronyism 適性等関係なく地位を与える等のえこひいき

Relationships based on gifts and favors within academic networks to trade privileges and opportunities without regard to merit



Academic Performativity



学術研究における点数稼ぎ主義

Rewarding academic work on the basis of targets and performance indicators (eg research outputs; teaching scores)

Consequences:

- Undermines riskier research and longitudinal investigation
- Lack of commitment to service and teaching roles
- Concealment and exaggeration of research findings and other forms of misconduct (eg plagiarism 盗作, citation rings)

Academic Capitalism



学術界での利益至上主義

Generating income and/or additional resources beyond the receipt of an academic salary

Consequences:

- Funding for research valued over originality and curiosity-driven work
- Distortion of research results to meet expectations of sponsors
- Delays in sharing research data due to commercial contracts
- Commercial exploitation of teaching and online materials

Academic Cronyism



適性等関係なく地位を与える等のえこひいき

Using academic networks and connections to gain privileges without regard to merit resulting in the trading of gifts and favors

Consequences:

- Appointments and promotions determined by social relationships rather than intellectual merit
- Reinforcement of teacher-student lineage reducing social mobility within the academic profession
- Distortion of attribution of authorship credit
- A reciprocal economy of gifts and favors

Illustration: multiple authorship

- Growth of new multi-disciplinary research fields
- Increasing methodological sophistication
- Dominance of empiricism over theory-oriented scholarship
- Growth of opportunities to collaborate internationally
- Increasing competition and performative pressures in academic life

Endersby (1996); Park (2014)

Well known authorship abuses and effects

- *Gift authorship*: someone is credited as an author who has not made a significant contribution
- *Ghost authorship*: the real author of the paper uncredited
- *White Bull effect*: pressure or coercion from senior researchers to get unmerited authorship credit (Kwok, 2005)
- *The Matthew effect*: well-known researchers tend to get more credit than less well known authors in multi-authored work (Merton, 1968)



Who is an author?

Authorship should be based on substantial contributions to which of these 3 conditions?

- 1) Conception and design, or analysis and interpretation of data?
- 2) Drafting the article or revising it critically for intellectual content?
- 3) Final approval of the version to be published?

The Vancouver protocol

Authorship should be based on substantial contributions to
ALL of the following 3 conditions:

- 1) Conception and design, or analysis and interpretation of data; **AND**
- 2) Drafting the article or revising it critically for intellectual content; **AND**
- 3) Final approval of the version to be published

ICMJE (1978)

Hong Kong case study

- Online questionnaire survey based on 4 case scenarios to investigate ethical issues surrounding multiple authorship
- Lessen impact of social desirability reporting
- Sent to all academic members (299) of education schools/faculties in Hong Kong universities. Response rate of 36% (108 respondents)
- Minimal differences on basis of academic rank, gender, age, or country where they obtained their PhD

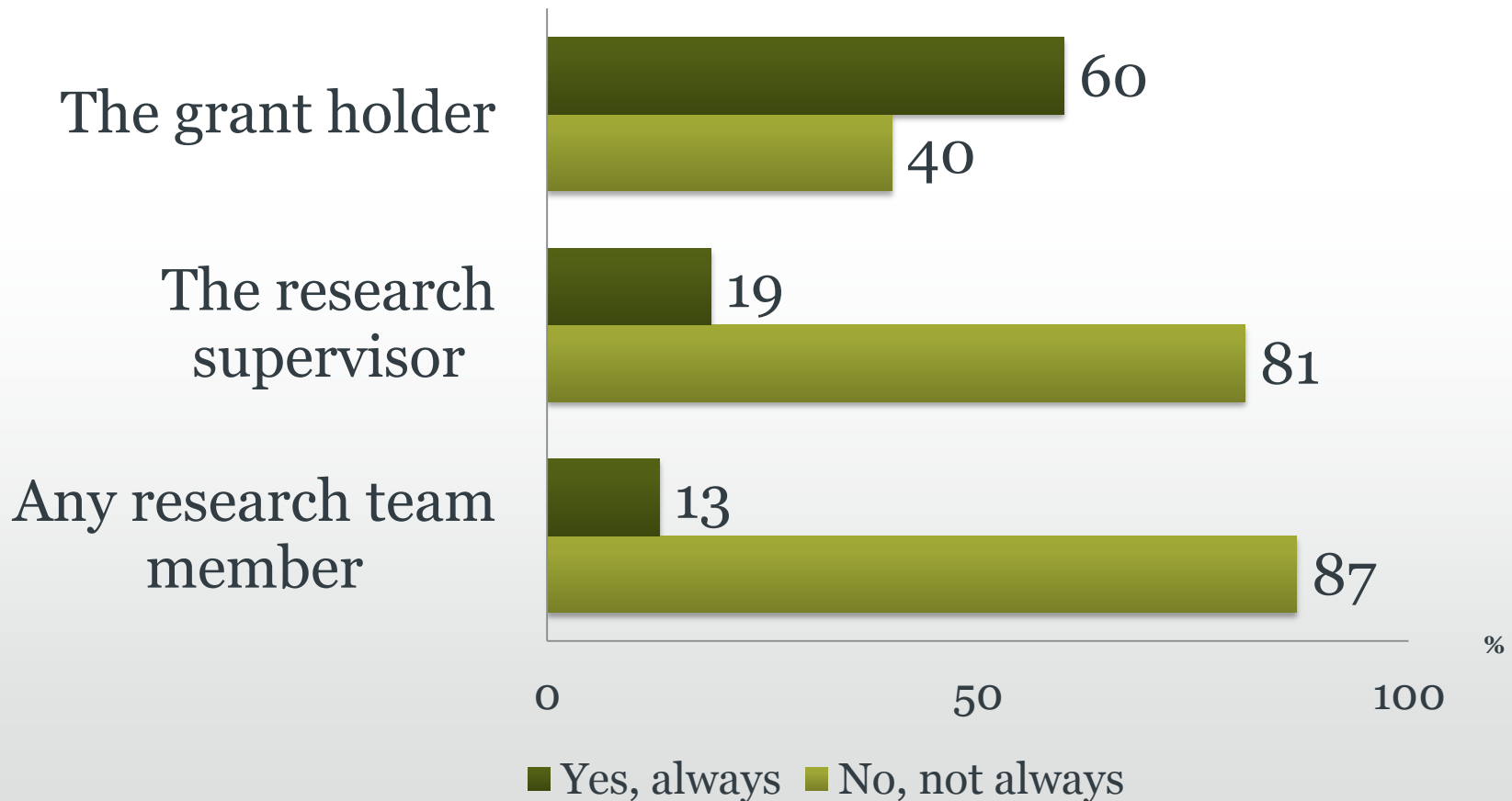
Who is an author?

Respondents who thought that meeting any ONE of these conditions constituted legitimate authorship (108 respondents)

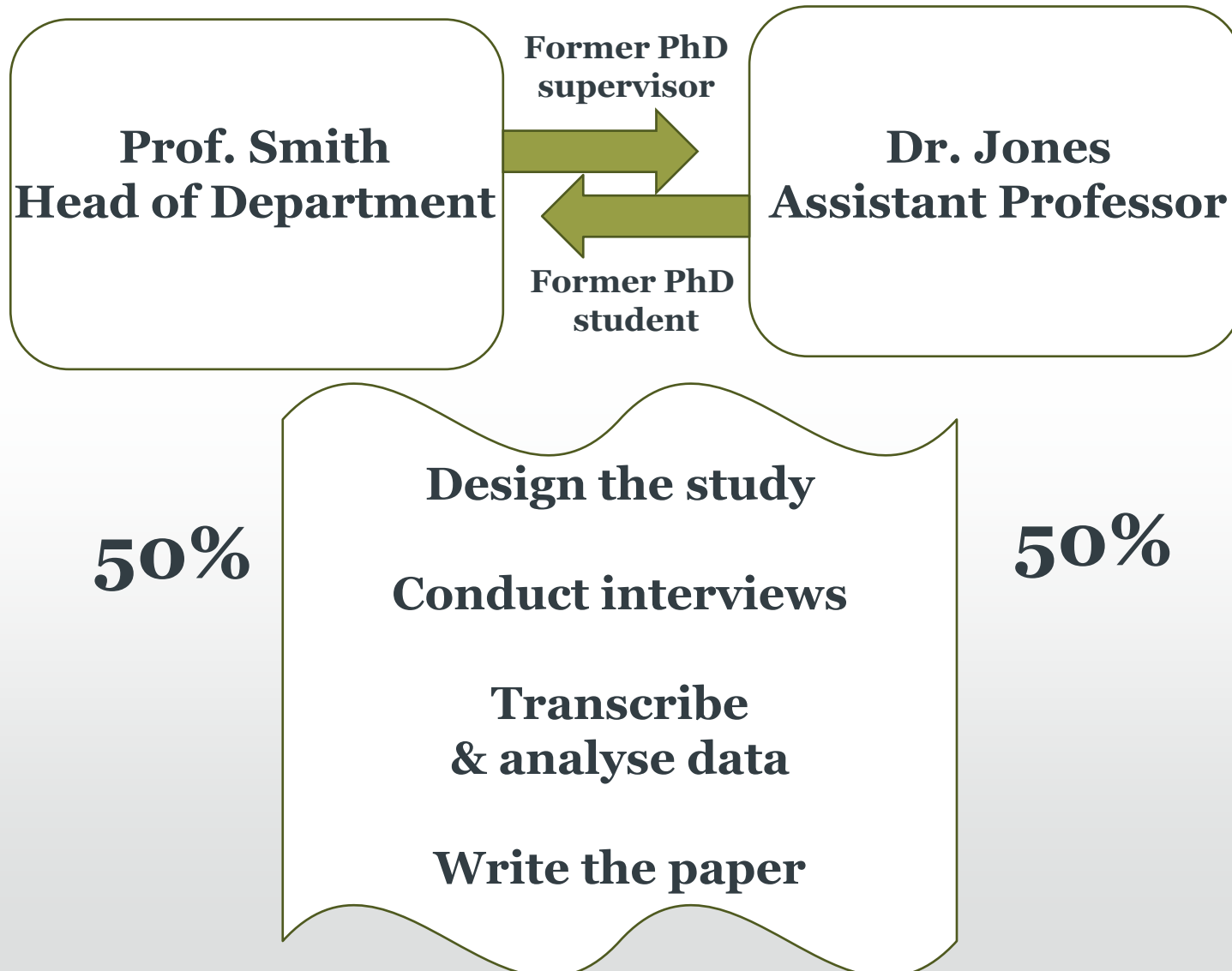
- 1) Conception and design (**78%**), or analysis and interpretation of data (**47%**)?
- 2) Drafting the article or revising it critically for intellectual content (**76%**)?
- 3) Final approval of the version to be published (**13%**)?

(Macfarlane, 2015 unpublished data)

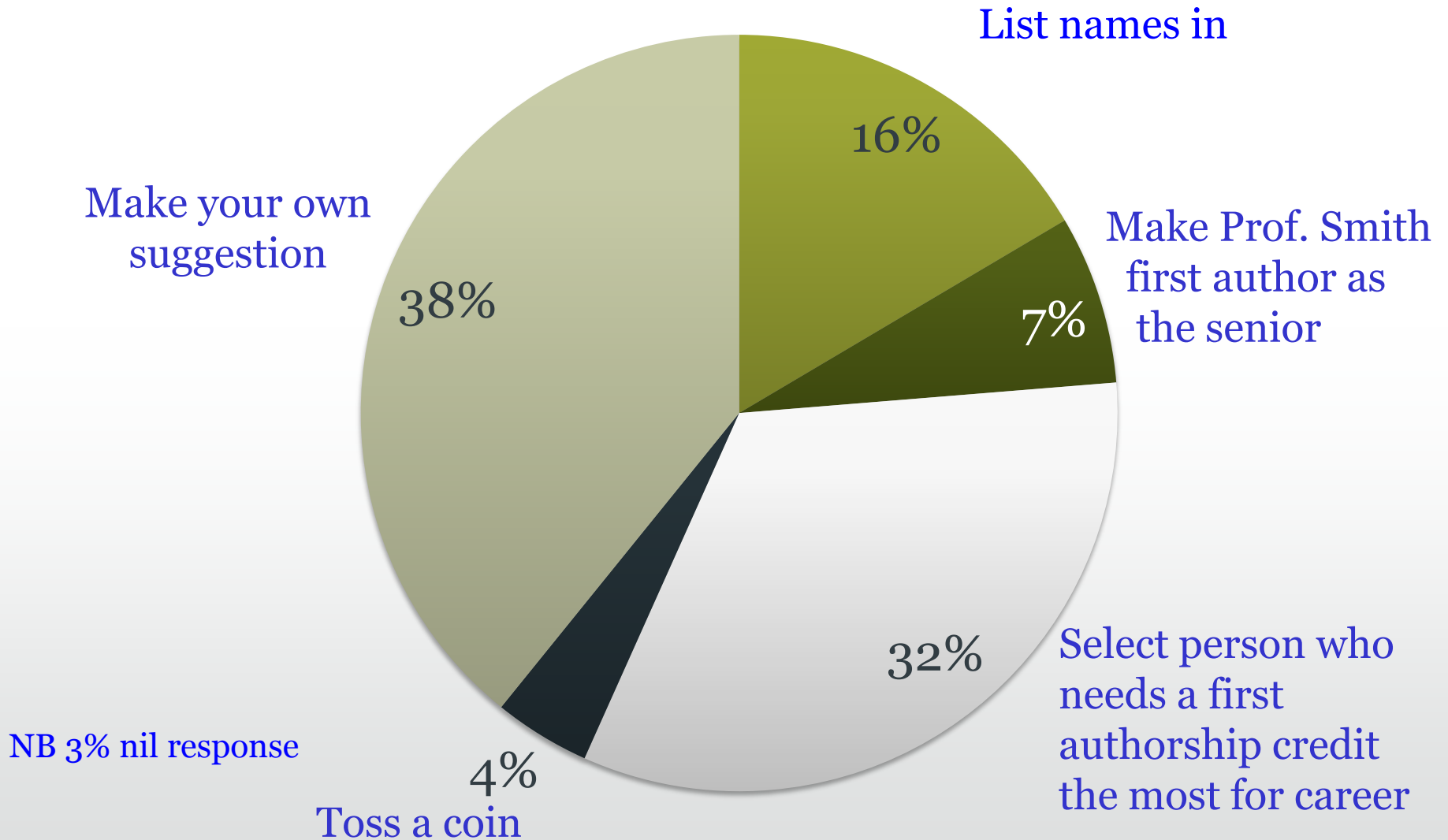
Who should ALWAYS receive an authorship credit?



Case scenario 1: The co-authors



Suggested solutions (108 responses)



Performative pressures

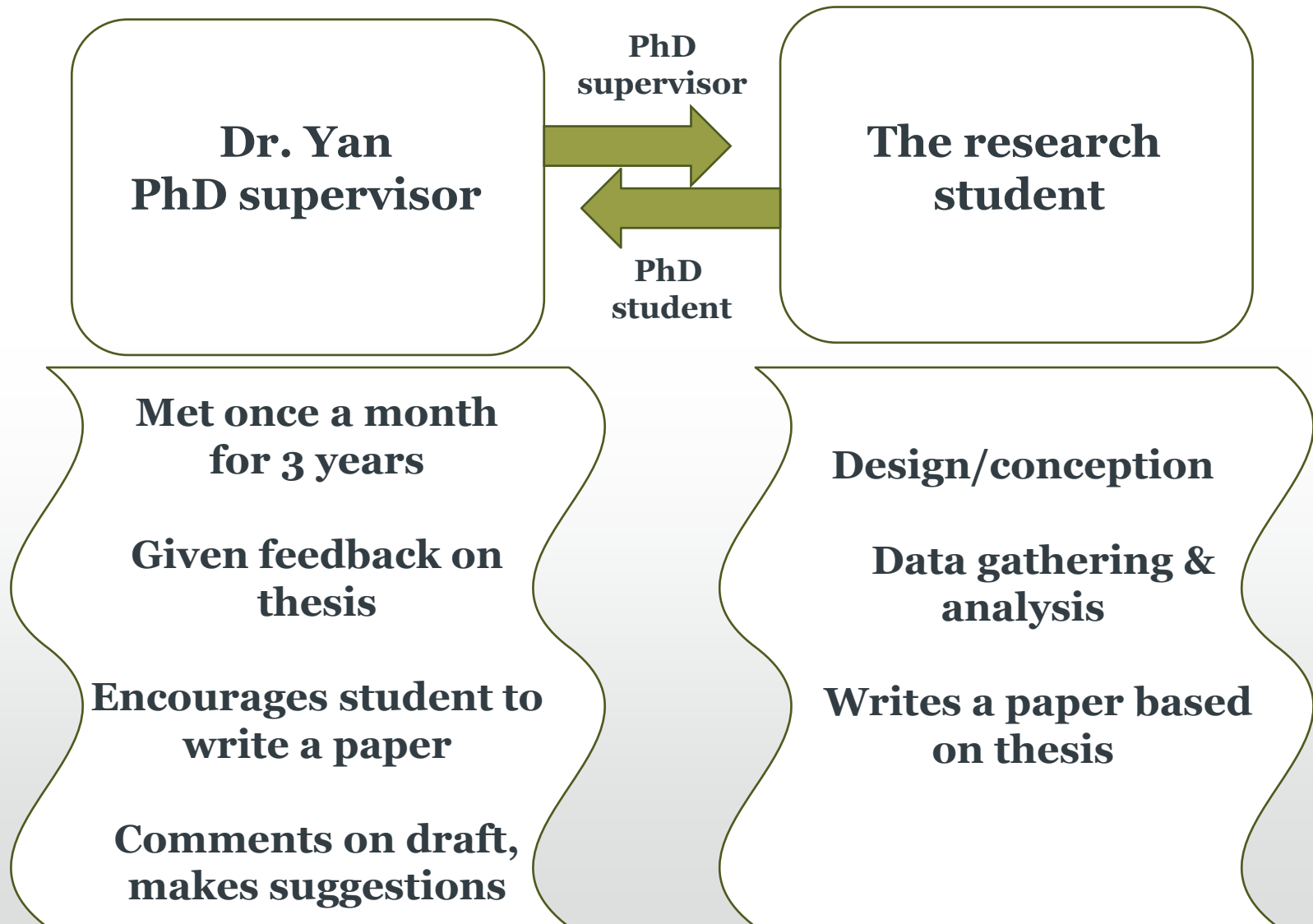
‘Dr. Jones needs first authorship more for career advancement.’ (Male, Full Prof.)

‘Select Dr. Jones because he needs the credit most for the attainment of tenure.’ (Female, Assistant Prof.)

‘Based on my experiences and interactions with my mentors, they would give the first authorship to the junior one, especially under the pressure of tenure and promotion.’ (Female, Assistant Prof.)

‘Hopefully Prof. Smith would realize that s/he probably doesn’t need 1st authorship as much as Dr. Jones.’ (Male, Assistant Prof.)

Case scenario 2: The research student



The research student

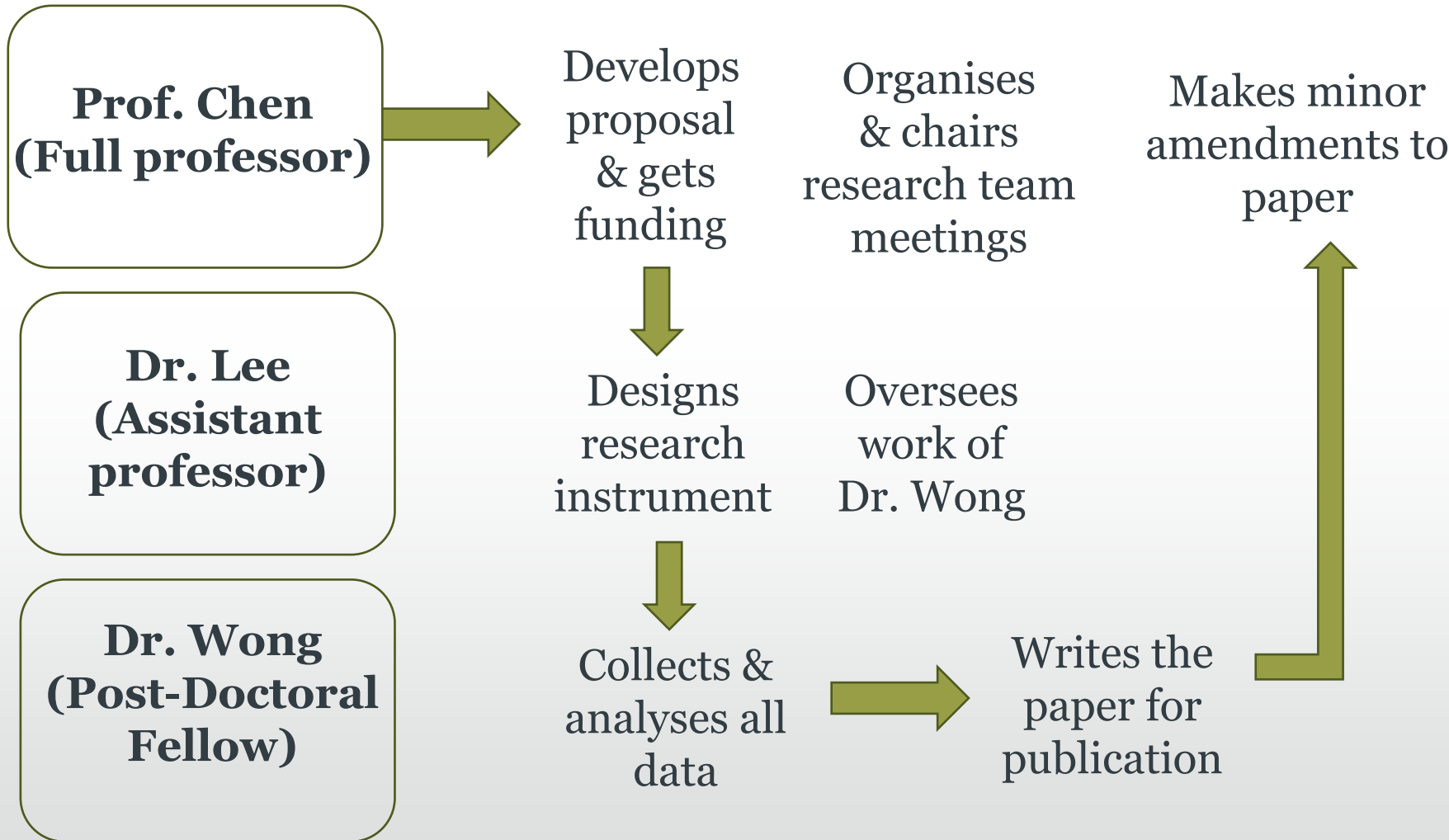
1) *The research student should be the sole author (23%)*

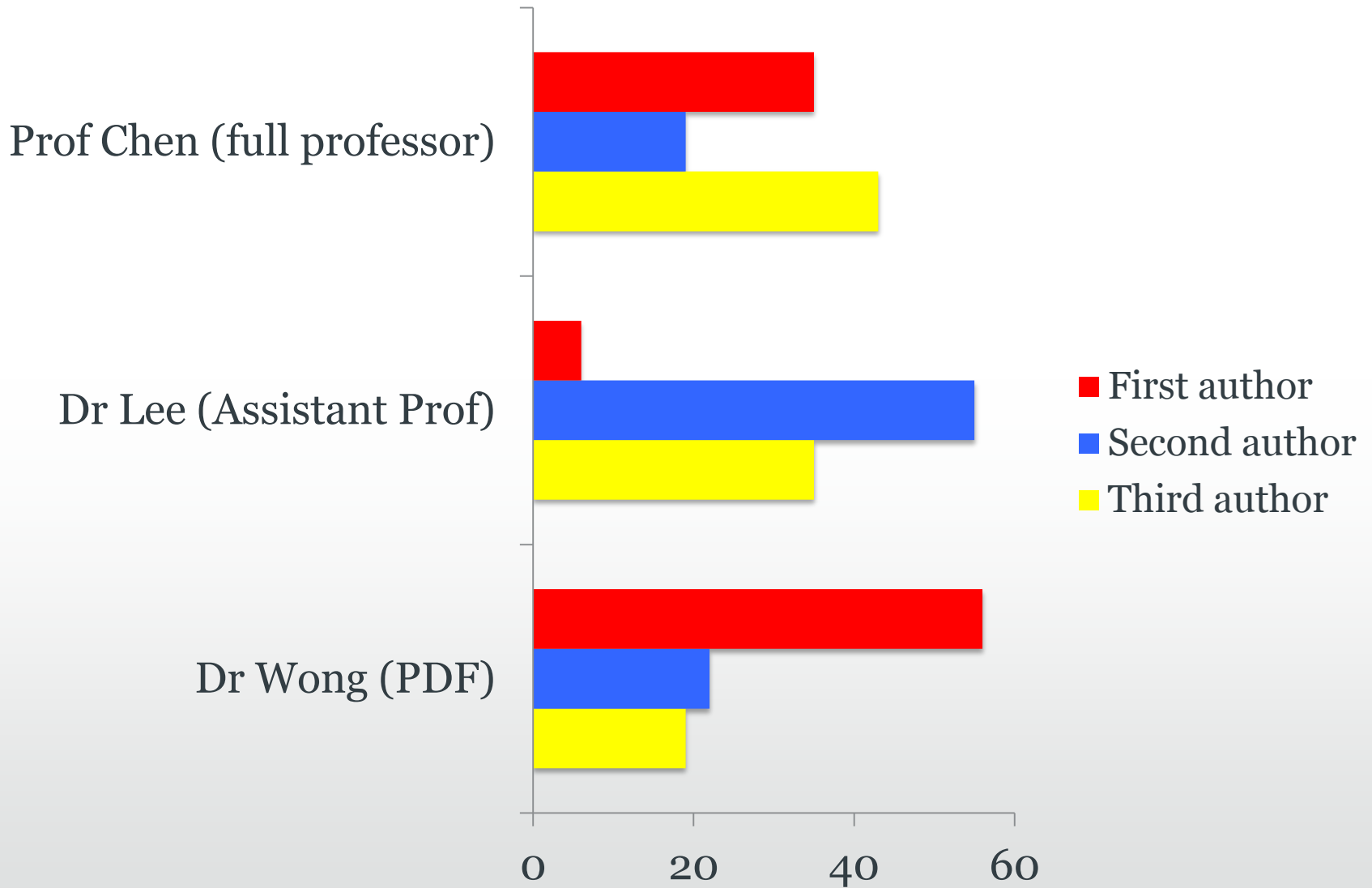
‘I think only commenting on the paper does not entitle an authorship.’ (Female, PDF)

2) *The paper should have two authors and the supervisor should be the second author (77%)*

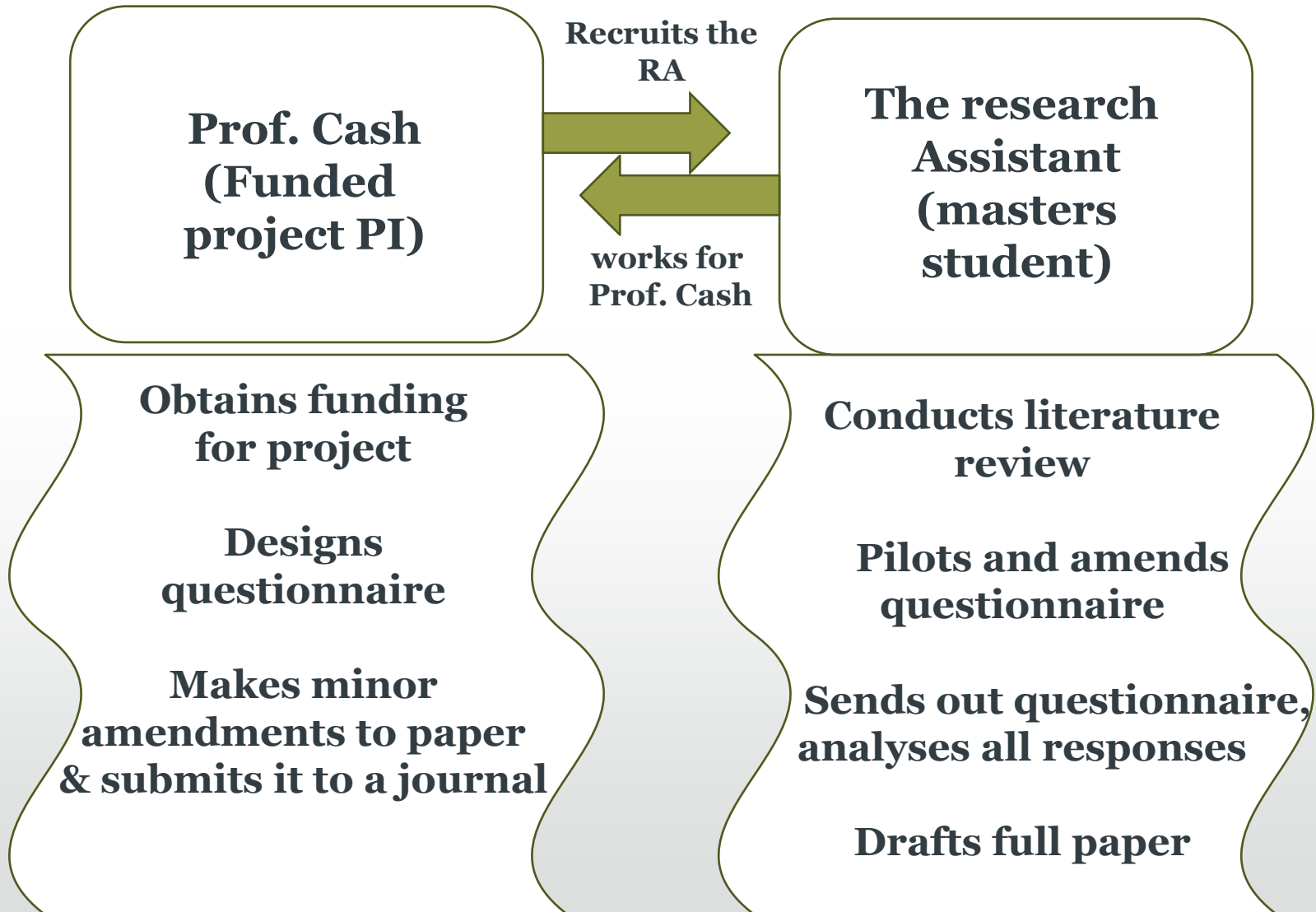
‘I think that Dr. Yan should be the second author given that he/she is the supervisor, and have provided feedback on the work (even if the feedback is only small and may not be very constructive.)’ (Female, Associate Prof.)

Case scenario 3: The project team





Case scenario 4: The research assistant



Who should be the first author?

Prof. Cash should be the first author (62%)

‘The one who writes the proposal and gets funding always deserves to have the first authorship (unless he/she gets someone else to write for it). Supervisor is supervisor’ (Female, Associate Prof.)

The research student should be the first author (37%)

‘...the Professor does not write the paper or a substantial part of it. Why should he deserve authorship?’ (Female, Assistant Prof.)

‘Under normal circumstances the PI will be the first author, however, sometimes is good to help junior people to succeed in the future.’ (Male, Associate Prof.)

The gift economy

- *Gift authorship*: authorship credit is gifted on the basis of indebtedness, gratitude or pressure from others
- *Power ordering*: author order is determined on the basis of academic hierarchy
- *Gift ordering*: author order is determined on the basis of career and/or performative needs

Gift authorship: pressure & indebtedness

‘Meeting once a month for 3 years is substantial contributions and deserves co-authorship.’ (Female, Assistant Prof.)

‘I was repeatedly asked by my department head to put his name on my articles despite the fact he had never been involved in building the conceptual framework, the subsequent data collection and the writing up of the manuscript.’ (Female, Associate Prof.)

‘I have seen students that feel indebted towards his/her supervisor, and s/he wants to add the supervisor as a second author (not under any pressure but rather sense of gratitude).’ (Male, Assistant Prof.)

Gift ordering: who needs to be the 1st author the most?

‘I think both scholars should sit down and talk about the issue of authorship of a publication, as it has great impact on promotion, application for tenure and so forth.’ (Male, Assistant Prof.)

‘Select Dr. Jones because he needs the credit most for the attainment of tenure.’ (Female, Assistant Prof.)

‘Based on my experiences and interactions with my mentors, they would give the first authorship to the junior one, especially under the pressure of tenure and promotion.’ (Female, Assistant Prof.)

Power ordering: the ‘boss’ comes first

‘[in determining first authorship]...the main point is who gains funding for research.’ (Male, PDF)

‘... under normal circumstance, the PI of the project would be the first author.’ (Male, Associate Prof.)

‘I think that Prof. Chen should be the first author given that he brought in the funding, and likely that he hired Dr. Wong as the post-doctoral fellow.’ (Female, Associate Prof.)

‘I both gave a “gift” authorship to my supervisor who didn't write the paper.....I was forced to include a name of a person who obtained research funding but did not write a word of the paper...’ (Female, Assistant Prof.)

The white bull effect

‘I believe only those who contributed to the article should be considered as authors. Free riding is a disgraceful behavior in academia and for the advance of science particularly when it is done by senior faculty or people with power to do it, which do it because they feel entitled to.’

(Male, Assistant Prof.)



Does it matter? Yes, it does

- If the wrong person gets authorship credit this is a misrepresentation of the truth (same as data fraud)
- Over-crediting an individual academic can result in them falsely being seen as an expert (when they are not)
- Exaggeration and concealment of authorship can damage academic careers, particularly those of early career researchers
- Universities are institutions *trusted* by the public to have a *commitment to the truth*. If universities turn a blind eye to authorship fraud, why should they be trusted?

The visible and invisible academic economy of authorship



Concluding thoughts

- Academic integrity is central to the credibility of universities and the academic profession
- Many ethical issues in academic practice are ‘fine grained’ or invisible
- Multiple authorship is a fine grained issue where the hierarchical power, cronyism and performative pressures combine to produce abuses
- Quality assurance and university authorities need to address fine grained issues in enhancing their role as the guardians of public trust in higher education

Gosei-chou
Arigato gozai mashita!

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