

Publication Ethics and Malpractice Statement Australasian Orthodontic Journal

The publication of an article in a peer-reviewed journal constitutes a contribution to the development of knowledge. It also reflects the quality of the author's work and the institutions they represent. Peer-reviewed articles support and embody the scientific method. Therefore, there is a need to set appropriate standards of ethical behaviour for all parties involved in the process of publishing: the author, the editor, the reviewer, the publisher and the society involved in the scientific journal.

The Statement of the "Australasian Orthodontic Journal" regarding Publication Ethics and Malpractice has been issued based on the guidelines developed by the Committee on Publications Ethics (COPE) and the International Committee of Medical Journal Editors (ICMJE). It is the Journal's policy to improve the journal through publishing the highest quality original scientific articles using a fair and ethical selection and peer-review process of submitted manuscripts.

1. Editors', Authors' and Reviewers' Duties

1.1. Editors' Duties

Decision Regarding Publishing

The final decision as to whether a submitted paper will be peer-reviewed and subsequently published in the "Australasian Orthodontic Journal" lies with the Editor-in-Chief. Once the Editor-in-Chief or Associate Editors have determined that the submitted manuscript is suitable for review (in particular, that it meets the requirements provided in the 'Instructions for Authors'), a double-blind review model is applied, i.e. the identity of the reviewers is not revealed to the authors and the reviewers do not know the identity of the authors and the other reviewers.

The single most important criterion for acceptance is the originality of the work. While a decision to approve a manuscript for publication is largely based on the scientific validity of its content, other factors, such as the extent and importance of new information included in the paper compared with that in other papers being considered, the journal's need to represent a wide range of topics, and the overall suitability for the journal may also influence the editorial decision. The decision is made once all potential concerns regarding possible breach of copyright, libel or plagiarism have been managed. The decision, communicated to the author(s) without delay, involves opinions from Associate Editors, peer reviewers and, if necessary, consultation with the Journal's Editorial Team. The Editors shall be willing to publish corrections, clarifications and apologies, and to withdraw (retract) an article if its authors are in breach of copyright, have committed libel or plagiarism.

“Fair Play” Principle

Race, gender, sexual orientation, origin, academic affiliations, political or religious beliefs of authors of the papers submitted for publication shall not have any influence on their evaluation by the Editorial Team.

Confidentiality

The Editorial Team shall keep all information regarding the manuscripts provided by submitting authors confidential. Manuscript-specific information must not be discussed or revealed in any way to a third party – it will remain known only to the Editor-in-Chief, Associate Editors, Managing Editors and the reviewers selected for the review of the manuscript.

Conflict of Interest Disclosure

The Editorial Team shall remain objective and not allow personal beliefs or professional or institutional interests to influence their opinion whether a submitted manuscript is suitable for publishing. In addition, The Editorial Team must not use the information included in the submitted articles for personal research purposes without the prior expressed consent of the authors. In case of a conflict of interest arising from competition, co-operation or any other association with either of the authors or institutions related to a submitted manuscript, other members of the Journal’s Editorial Team shall assume the role of the Editor-in-Chief in deciding whether the paper will be published. The Editorial Team is obliged to disclose any conflict of interest and to publish a respective post-factum explanation if a case of conflict has been found. Other actions are also possible, in the form of publishing a correction or a retraction.

Appeals Process

If an author decides to appeal the decision to not publish their manuscript, the final decision rests with the Editor-in-Chief. Having consulted other members of the Editorial Team and the reviewers involved with the review of a submitted manuscript, the Editor-in-Chief may change the original decision to reject the manuscript for publication.

Overlapping, duplicate, redundant publication

The Editor Team of the “Australasian Orthodontic Journal” take seriously all cases of a covert redundant publication (including auto-plagiarism, and particularly so called “salami slicing” in which many papers are published based on the same research, and so called “shot-gunning” in which similar manuscripts are sent for publication to a number of journals). These will be handled as per the COPE guidelines, and the Editor Team may contact the authors’ institution on this matter.

Corrections and Retraction

The online version of a paper may be corrected by the Editor Team, and the date of correction must be provided. If following publication a significant error is found in a paper or substantial portions are deemed invalid, the article should be retracted with an explanation of the reason for the retraction (fraud, error, plagiarism or so called “redundant publication”). A retraction may also be considered if the published article is found to contain confidential information

acquired by the author from a third party and unfairly used. The decision to retract a paper rests with the Editor-in-Chief after consultations with the editors (Associate Editors, the Editorial Team of the “Australasian Orthodontic Journal”) as well as the reviewers involved.

1.2. Authors’ Duties

Requirements Regarding Submission of Manuscripts

When submitting a paper to the “Australasian Orthodontic Journal,” authors should enclose a Cover Letter, which indicates that their manuscript does not breach personal copyright and that it has not been published or is being considered for publication elsewhere. Authors are also to provide information regarding the contribution of particular co-authors to the manuscript.

For previously published graphic elements submitted to the Editor Team (tables, figures), authors must provide permission to republish from the owner of the copyright.

Instructions for authors regarding the preparation and the submission of a manuscript are available in the hard copy form and on the “Australasian Orthodontic Journal” website. Submitting a manuscript for publication obliges the authors to participate actively in the review process and to comply with the expectations of the reviewers/editors that are aimed at the optimisation of the submitted content.

Note: The Australasian Orthodontic Journal does not charge any fees for submitting, processing or publication of the papers.

Originality

Only the author’s original manuscripts may be submitted for publication, otherwise being rejected or retracted (based on an unethical behavior of the authors following publishing). Any form of plagiarism is unacceptable, including claiming the work, words, data, theoretical concepts and conclusions of others or self-plagiarism – republishing portions of the author’s previous works in order to present them as new ideas. Submitting a paper for publication in more than one journal at the same time shall be deemed unethical and unacceptable.

The work and words of other authors must be properly cited. Authors should also reference all sources of reference, including the published articles that contributed to the creation of a manuscript.

However, it is possible to reprint or translate a previously published article, but such work must be properly marked and the consent of the owner of the copyright must be obtained.

Authorship of a Manuscript

Authorship

As stipulated in the recommendations of the ICMJE, a person can be deemed a manuscript author who:

☐ has made substantial contributions to the conception or design of the paper; or the acquisition, analysis, or interpretation of data required for the paper, and

☒ has drafted the article or revised it critically for intellectual content, and
☒ has approved the final version for publication, and
☒ has taken full accountability for all aspects of the work in ensuring that issues related to the accuracy and integrity of any part of the work are appropriately investigated and resolved.

Authorship implies a significant and creative intellectual contribution to the work, assistance in writing the manuscript and reviewing its final draft; yet authorship roles can vary. The decision regarding co-authorship and the participation of others in the manuscript, and the resulting sequence in which their names appear, must be taken early in the research process, to avoid disputes and misunderstandings which could delay or prevent the publication of a paper.

On submitting a manuscript for publication in the “Australasian Orthodontic Journal,” the corresponding author should provide information on the specific contributions of each author (since authors may express different views regarding the nature and magnitude of contributions, each author may be asked to describe their own). Although all authors are responsible for the quality, accuracy, and ethics of a submitted manuscript, one author must be identified who will reply if questions arise or more information is needed, and who will take responsibility for the entire paper (referred to as the corresponding author). The respective contributions of the work must be determined in a Cover Letter attached to the manuscript. If any of the authors have links to a sponsoring/funding institution or corporation, the nature of the relationship must be provided in the relevant section of the Cover Letter or in the final part of the manuscript under the following sections: Conflict of Interest, Funding/Support and role of the sponsor, Acknowledgments. Those data points will be published in the article along with the scope of contribution.

The “Australasian Orthodontic Journal” undertakes to publicise and condemn all detected cases of “ghost-writing” in which the contribution of a particular person has not been revealed, as well as “quest authorship” (“guest” or “gift” author) in which a person whose contribution to the manuscript has been close to zero or none at all, has been declared its author. As stipulated in the Code of Ethics for Scientific Research, the major responsibility for handling any revealed misconduct lies with the parties employing scientific researchers, namely universities, scientific and research institutions and state or private research centres.

Acknowledgments

All contributors to the work who cannot be considered its authors (as they do not meet the criteria for authorship) should be listed in the “Acknowledgements” section. Examples of activities that do not qualify a contributor for authorship (as they are insufficient to come under the legal definition of authorship) are: acquisition of funding, data collection, general supervision of a research group or general administrative support, and writing assistance, statistical calculation, technical editing, language editing, and proofreading (by an author’s editor or a translator). Those whose contributions do not justify authorship may be

acknowledged individually or together as a group under a single heading (e.g. “Clinical Investigators” or “Participating Investigators”). In such circumstances their contributions should be specified (e.g. “served as scientific advisors,” “critically reviewed the study proposal,” “collected data,” “provided and cared for human subjects,” “participated in writing or technical editing of the manuscript”) (ICMJE).

Changes in Authorship

In accordance with the guidelines of COPE, the Editorial Team of the “Australasian Orthodontic Journal” require that all authors provide written consent to any proposed changes in authorship of both the submitted and published articles. This applies to additions, deletions, a change of order to the authors’ names or a change to the attribution of contributions. The written consent must be sent via direct email by each of the authors. It is the corresponding author’s responsibility to ensure that all authors express their consent to the proposed changes. In case of a disagreement between authors over authorship and a satisfactory outcome cannot be reached, the authors must contact their institution(s) for a resolution. It is not the Editorial Team’s responsibility to resolve any disputes regarding authorship. A change in authorship of a published article can only be made via publication of an Erratum.

Source Citations

Authors must acknowledge sources of all provided data and reference in the article text all relevant prior work.

Scientific Fraud

Authors shall be obliged to present their results in a transparent, accurate and fair manner – submitted manuscripts must contain only the data, statistical analysis and results that are believed to be accurate. Premeditated publication of inaccurate or unverified results is considered unethical and unacceptable.

Conflict of Interest Disclosure

Authors are expected to disclose – in a Cover Letter – and in the final part of the article, any potential conflict of interest (financial or of a different nature) that might affect the results or their interpretation. Authors should also ensure that no contractual relations or proprietary considerations exist that would compromise the publication of a submitted manuscript.

Errors after Publication

If authors become aware of an error or inaccuracy after the manuscript has been published, the Editorial Team should be immediately notified so that a correction/retraction can be made.

Confidentiality

It is the Australasian Orthodontic Journal’s understanding that all submitted manuscripts and all communication with authors and peer reviewers remains confidential. Authors are also bound to approach communication with the Editorial Team of the “Australasian Orthodontic Journal” in this manner: correspondence with the editors, peer review reports and other confidential

material must not be posted on any website or otherwise publicised without prior consent from the Editorial Team, regardless of whether the submission will eventually be published.

1.3. Reviewers' Duties

Confidentiality

Reviewers shall keep all unpublished manuscripts and related materials confidential. Manuscripts can only be made available to others upon the permission of the Editorial Team or the publication staff.

Objectivity

During the review process reviewers should strive to assess the quality of the reviewed paper with objectivity and accuracy. Comments and opinions provided by reviewers that are returned to authors should be impartial, clear and concise. If a reviewer does not feel qualified to evaluate a submitted manuscript, the review may be declined.

Timely Peer-Reviewing

Reviewers of manuscripts submitted to the "Australasian Orthodontic Journal" are volunteers believed to have other employment commitments. Therefore, prior to participating in the review process, prospective reviewers should ensure that they will be able to complete the review within a specified time frame. Otherwise, they should decline to review the manuscript. Reviewers are expected, by the Journal's publication staff, to submit the review within three weeks following the day of taking up the task. If reviewers need additional time, the Editorial Team should be informed about the delay. Reviewers may decline to review a manuscript without providing a reason.

Conflict of Interest Disclosure

The author of a manuscript and its reviewer should not maintain any close associations, either personal (family ties) or professional (hierarchy). If a reviewer finds that evaluating a submitted manuscript is in conflict with their interest, their obligation is to decline to review. The conflict of interest can be of a competitive, financial, or collaborative nature or in a personal, company, or institutional area. The reviewers must not use the information included in the manuscript for personal gain. Any interaction or association between author and reviewer that could be construed as a conflict of interest should be disclosed in writing to the Editorial Team along with the refusal to review.

Originality

If during the reading of a manuscript the reviewer realises that another author's intellectual property has been infringed, the Editorial Team should be notified. The Editor-in-Chief, either himself/herself or through his/her designee, shall make the final decision regarding the publication of the paper.

Source Citations

Reviewers should identify and show the authors all sources and published works they consider crucial that have not been mentioned and cited in the paper.

Comments to Authors

Reviewers shall at all times provide comments to authors and the publication staff keeping in mind that their common effort enhances the quality of the reviewed manuscript. It is the reviewer's responsibility to provide authors, through the publication staff, with clear, constructive and detailed comments regarding the reviewed work. This principle also applies to manuscripts the reviewers find not suitable for publication. Providing authors only with the information regarding conclusions drawn from the review and, in particular, the failure to provide information about essential flaws, even if the paper has been positively assessed, is unacceptable.

2. Procedures for Dealing with Unethical Behaviour

2.1. Identification of Unethical Behaviour

Misconduct and unethical behaviour with respect to a submitted manuscript may be identified and brought to the attention of the Editorial Team and publisher by anyone, at any time. Misconduct and unethical behaviour may include, but not be limited to, examples as outlined above. Whoever informs the Editorial Team or publisher of such conduct should provide sufficient information and evidence in order for an investigation to be initiated. Upon the presentation of unethical allegations concerning a submitted or published manuscript, the Editorial Team shall initiate the relevant procedures (based on the flowcharts of COPE). All allegations shall be taken seriously and investigated with the utmost diligence, until a successful decision or conclusion is reached.

2.2. Investigation

An initial decision should be taken by the Editorial Team, which should consult with or seek advice from, the publisher, if appropriate. Evidence should be gathered and treated as confidential, while avoiding spreading any allegations beyond those who need to know. The Editor-in-Chief shall be informed about the course of the procedure on an ongoing basis.

Minor misconduct might be dealt with without the need to consult more widely. In any event, the author should be given the opportunity to respond to any allegations. Having considered the explanations, the Editorial Team may make a decision independently, without the need for further consultation. Serious misconduct might require that the employers of the accused be notified. The Editor-in-Chief, in consultation with the publisher (of which the "Australasian Orthodontic Journal" is an official publication) should make a decision whether or not to present the allegations to the employers or the person responsible for supervising research at the author's institution, or to conduct further consultations with a limited number of experts.

Having considered the case, the Editorial Team may apply any or all of the following sanctions:

informing or educating the author or reviewer where there appears to be a misunderstanding or misapplication of acceptable standards

- ☒ the publication of a formal notice detailing the misconduct
- ☒ a formal letter to the supervisor of the author or reviewer
- ☒ a formal retraction or withdrawal of a publication from the journal, in conjunction with informing the institution of the author or reviewer
- ☒ the imposition of a formal embargo on contributions from an author or reviewer for a defined period

The sanctions shall be imposed at the discretion of the Editor-in-Chief.

3. Copyrights/Intellectual Property Rights

All articles published in the “Australasian Orthodontic Journal” are made available to Readers free of charge.

The Editorial Team acknowledges the benefits resulting from making editorial content available to readers. An instant and effective presentation of the results of scientific work internationally, their visibility and a broad availability require the application of an open access model. In an understanding of global challenges, it has been decided to open the archives of journals under the license [Creative Commons Attribution](#).

Upon submitting manuscripts for publication in the “Australasian Orthodontic Journal,” authors give their consent for their work to be made available in accordance with the rules and declare that their articles are not in breach of any third party rights.

The Editorial Team supports PubMed Central and other online resources and promotes archiving by the authors, allowing for an immediate publication of the official final version of the published manuscript (PDF file) in other online resources or repositories.