

**AUTHOR
MISREPRESENTATION
OF INSTITUTIONAL
AFFILIATIONS: THE
RESULTS OF AN
EXPLORATORY CASE
STUDY**

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6th World
Conference on
Research Integrity

June 2-5, 2019
Hong Kong

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CONTEXT

Globalization =

- International ranking houses
- Accreditation processes
- Funding

Resulting in:

- Pressures to increase productivity
- The 'publish or perish' culture

Based on what?

- Self-reported author institutional affiliations in byline of published articles



Index case of author receiving
payment from private Chilean
university

Affiliation

APA: Institutional affiliation identifies the location where the authors where when the research was conducted.

APA: Dual affiliation only if 2 institutions contributed substantial support

How many affiliations are one too many?



What's in a name?

Purpose of our study

To verify the affiliation

of authors

with multiple

institutional affiliations

one of which to a Chilean university

Design

Exploratory case
study using
individual data
from Scopus-
indexed articles
during 2016

Ethics
Protocol



Author misrepresentation of institutional affiliations: protocol for an exploratory case study

Vivienne C Bachelet, Francisco A Uribe, Ruben A Díaz, Alonso F Vergara, Fabiana Bravo-Córdova, Víctor A Carrasco, Francisca J Lizana, Nicolás Meza-Ducaud, María S Navarrete

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Abstract

Introduction University ranking systems and the publish-or-perish dictum, among other factors, are driving universities and researchers around the world to increase their research productivity. Authors frequently report multiple affiliations in published articles. It is not known if the reported institutional affiliations are real affiliations, which is when the universities have contributed substantially to the research conducted and to the published manuscript. This study aims to establish whether there is an empirical basis for author affiliation misrepresentation in authors with multiple institutional affiliations.

Methods and analysis This individual secondary data exploratory analysis on Scopus-indexed articles for 2016 will search all authors who report multiple institutional affiliations in which at least one of the affiliations is to a Chilean university. We will consider that misrepresentation of an affiliation is more likely when it is not possible to verify objectively a link between the author and the mentioned institution through institutional websites. If we cannot corroborate the author affiliation, we will consider this a finding of potential misrepresentation of the affiliation. We will summarise results with descriptive statistics.

Ethics and dissemination The study protocol was approved by the institutional ethics committee of Universidad de Santiago de Chile, Resolution No. 261, and dated January 15, 2018. Results will be submitted to the World Conference on Research Integrity, among other meetings on publication ethics and research integrity, and will be published in scientific, peer-reviewed journals.



AUTHORS WITH
AFFILIATION IN
CHILEAN UNIVERSITIES

52 HAVE ARTICLES INCLUDED IN
SCOPUS IN 2016



UNIVERSITIES WERE
DIVIDED AMONG 7
REVIEWERS



Step
1

SEARCH IN SCOPUS

Step
2

FILLING THE DATA
EXTRACTION FORM

Step
3

SINGLE OR MULTIPLE
AFFILIATIONS

Step
4

ORCID INFORMATION

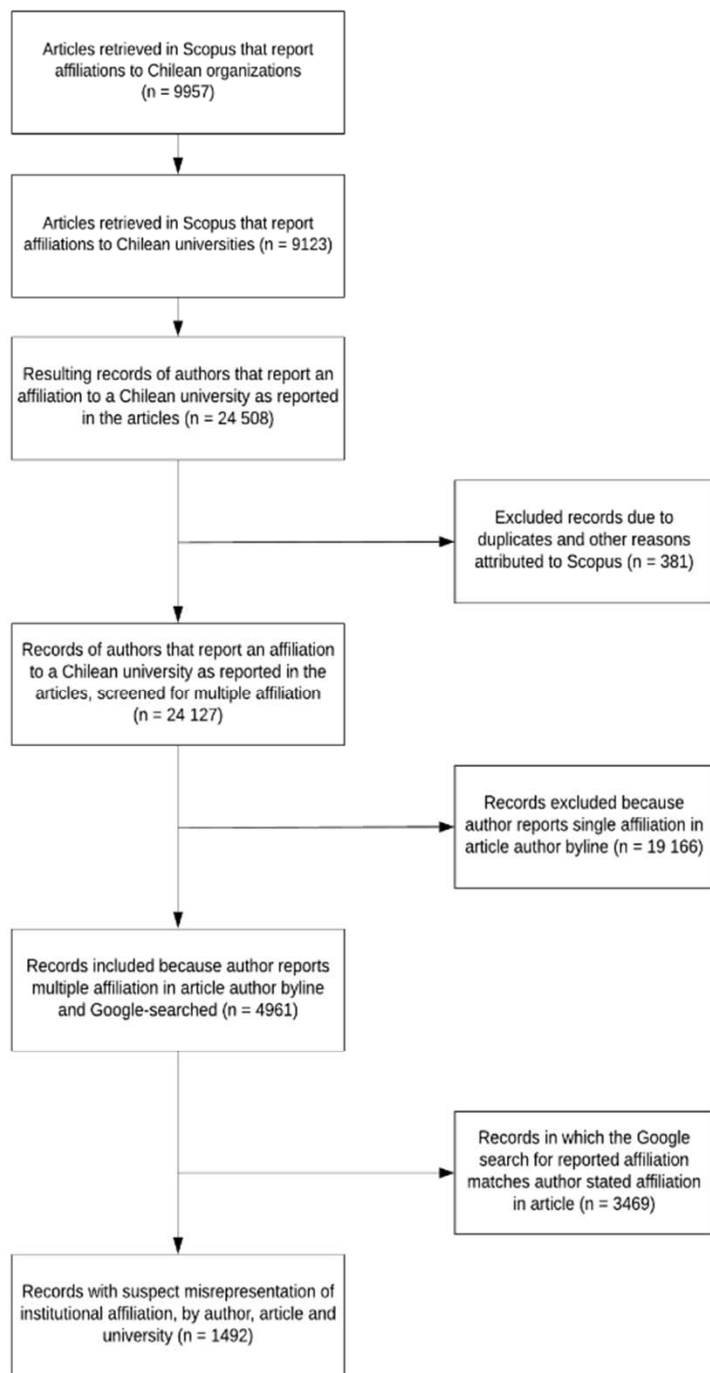
Step
5

GOOGLE SEARCH

Scopus



Google



Definition of multiple affiliation

The reporting of more than 1 affiliation to organizations involved in research (universities, laboratories, for-profit enterprises, hospitals, etc.)

Inclusion criteria for the study

Author reports in byline an affiliation to a Chilean university in an article of any subject area

PREVALENCE OF POTENTIAL MISREPRESENTATION

OF UNIQUE AUTHORS

The number of multiple-affiliated authors who have at least one article where their affiliation could not be verified



OF UNIQUE ARTICLES

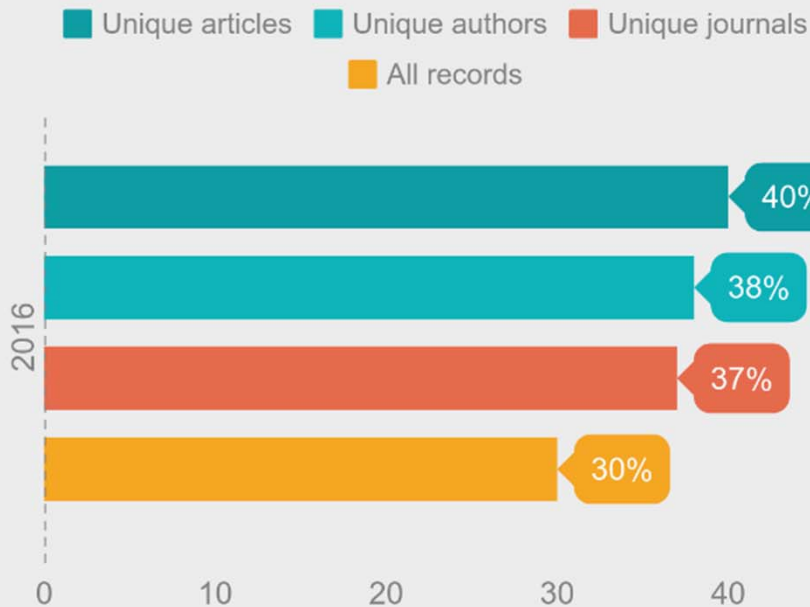
The number of article that have at least one author whose affiliation could not be verified

Population characteristics of records with authors declaring more than one affiliation

Universities	N = 48
Public (State-owned)	17
Private (traditional not-for-profit)	9
Private (recently founded)	22
Unique journals	N = 1466 (of a total of 3330)
Multidisciplinary	253
Health sciences	358
Life sciences	283
Physical sciences	436
Social sciences	136
Journal metrics	
Impact factor, median	2.43
Impact factor, range (min; max)	72.39 (0.014; 72.41)
Journals w/o impact factor	249 (17%)

OUR FINDINGS

Potentially affected by misrepresentation



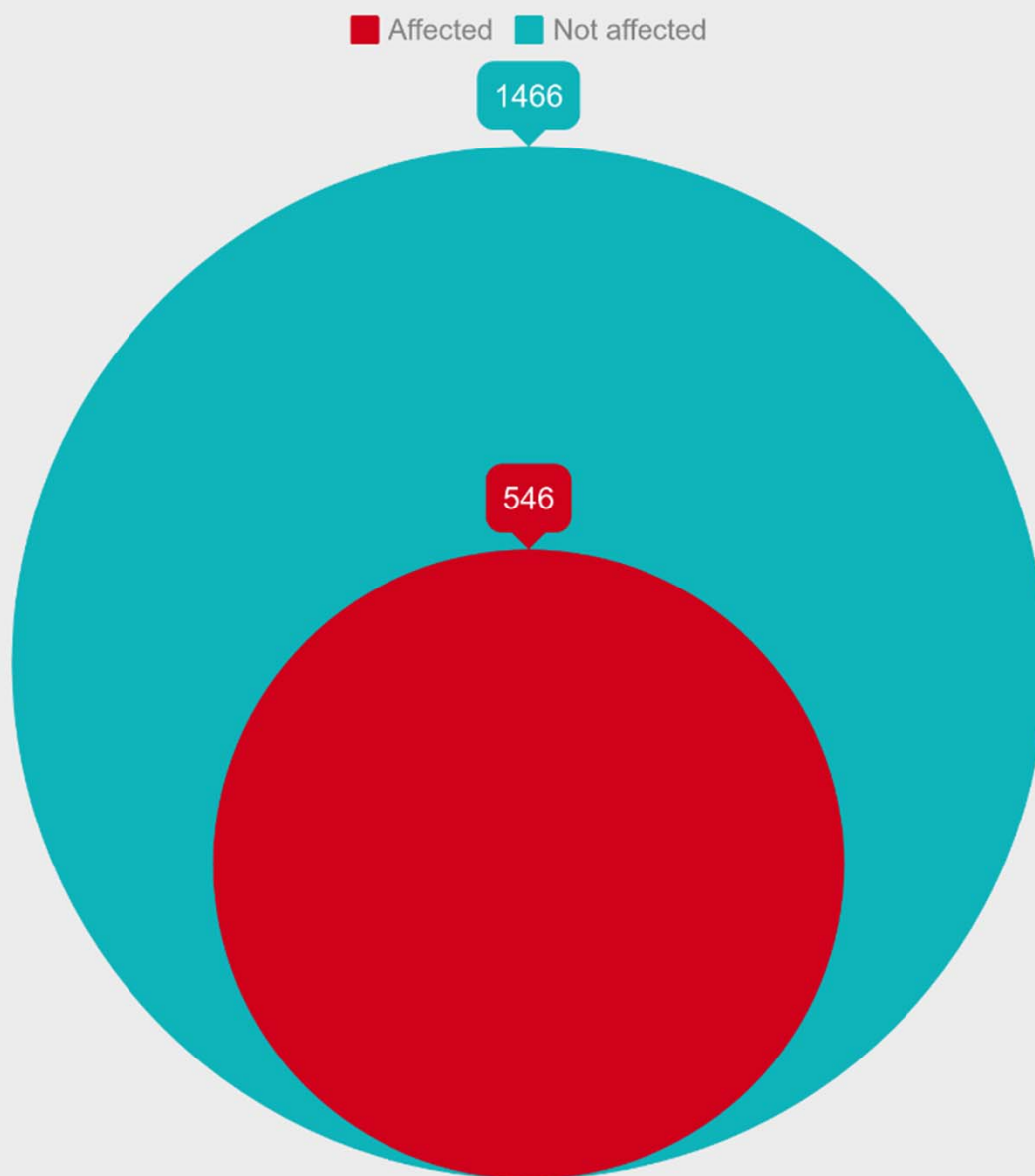
AUTHORS

Of all authors with multiple affiliations reporting at least one affiliation to a Chilean university, in 38% of them we could not verify their affiliation in institutional website.

ARTICLES

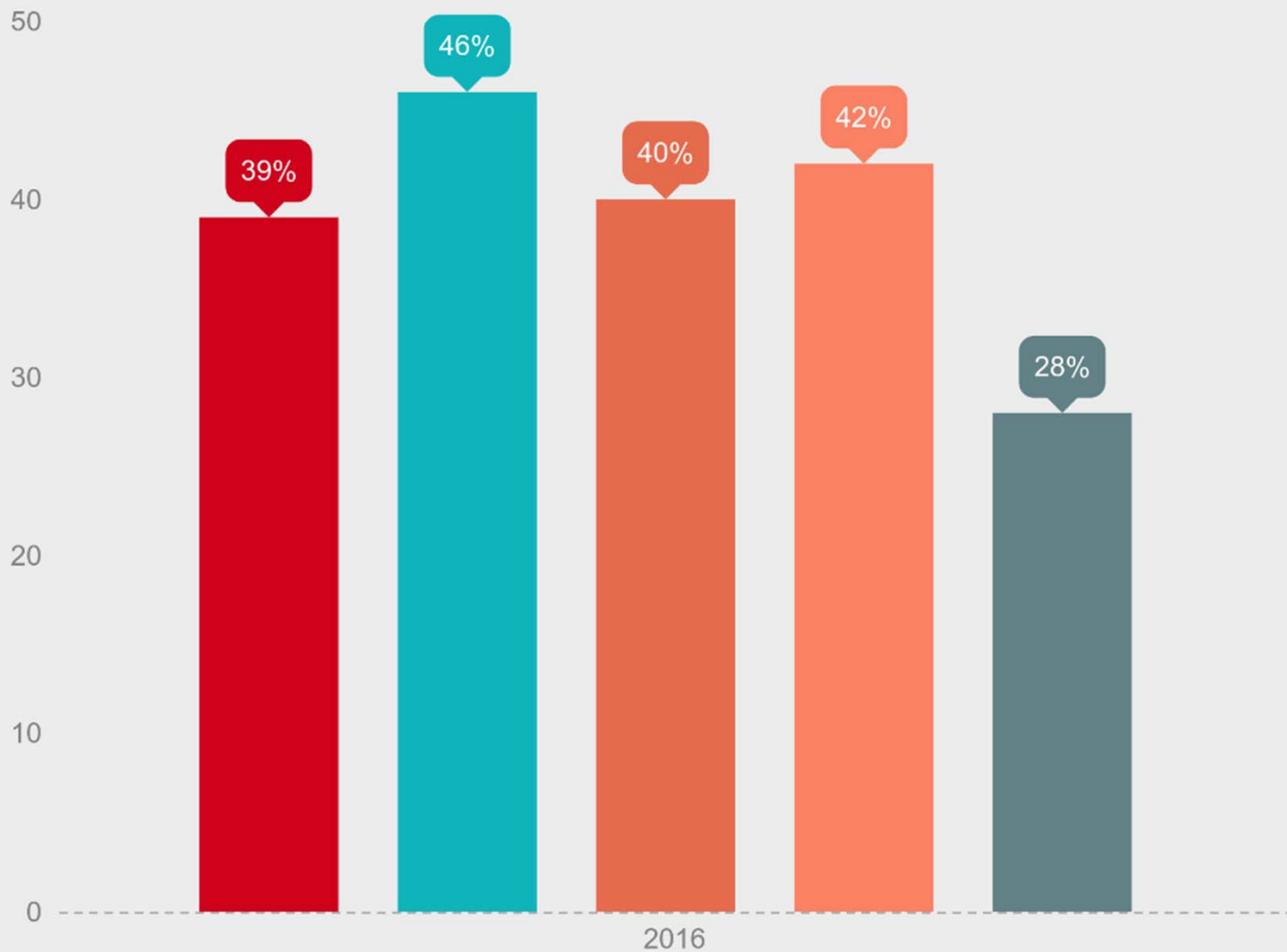
40% of all articles include at least one author with multiple affiliations having at least one affiliation to a Chilean university that could not be corroborated.

Journals affected by potential misrepresentation

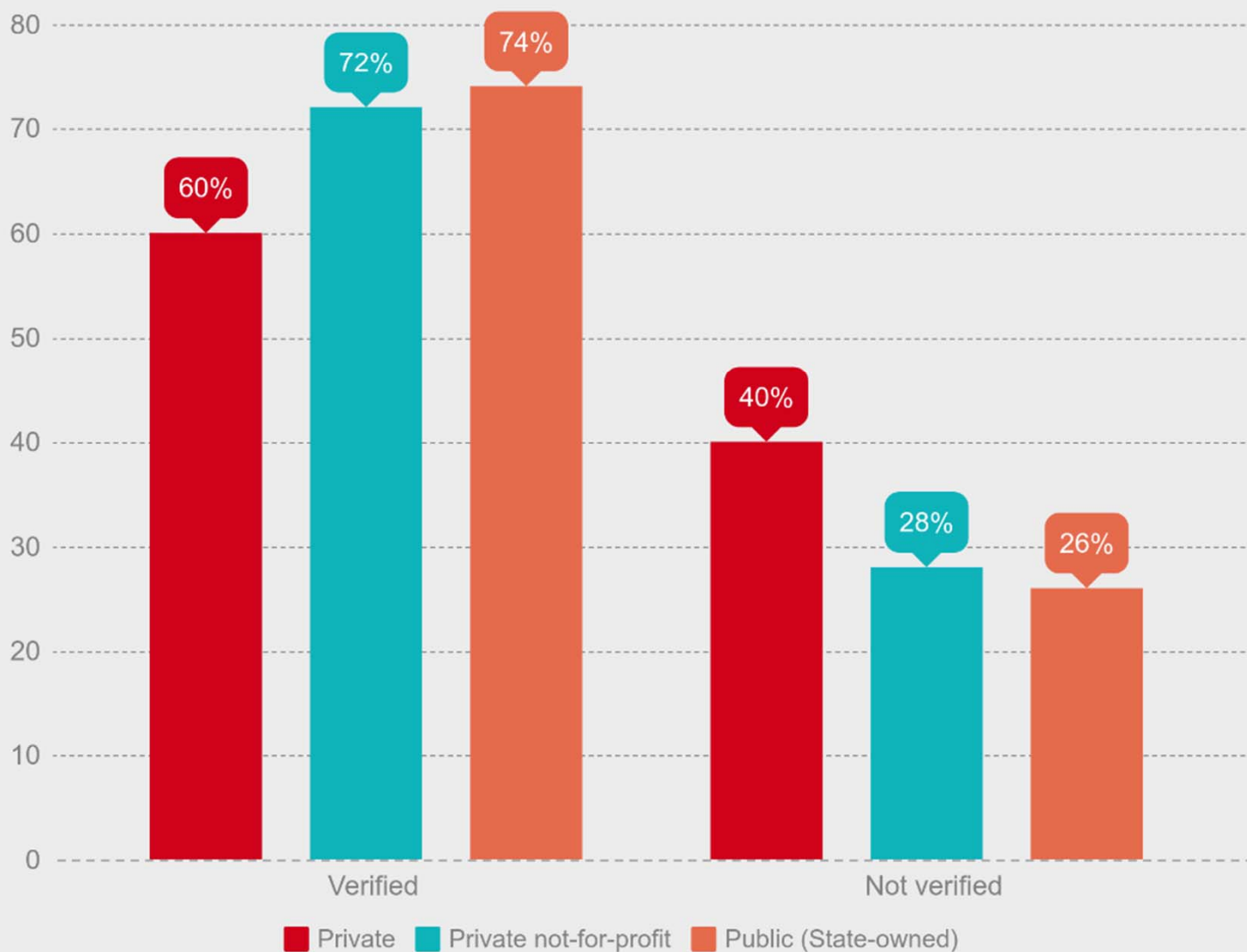


Potential misrepresentation by journal area for articles

■ Multidisciplinary ■ Health sciences ■ Life sciences ■ Physical sciences ■ Social sciences

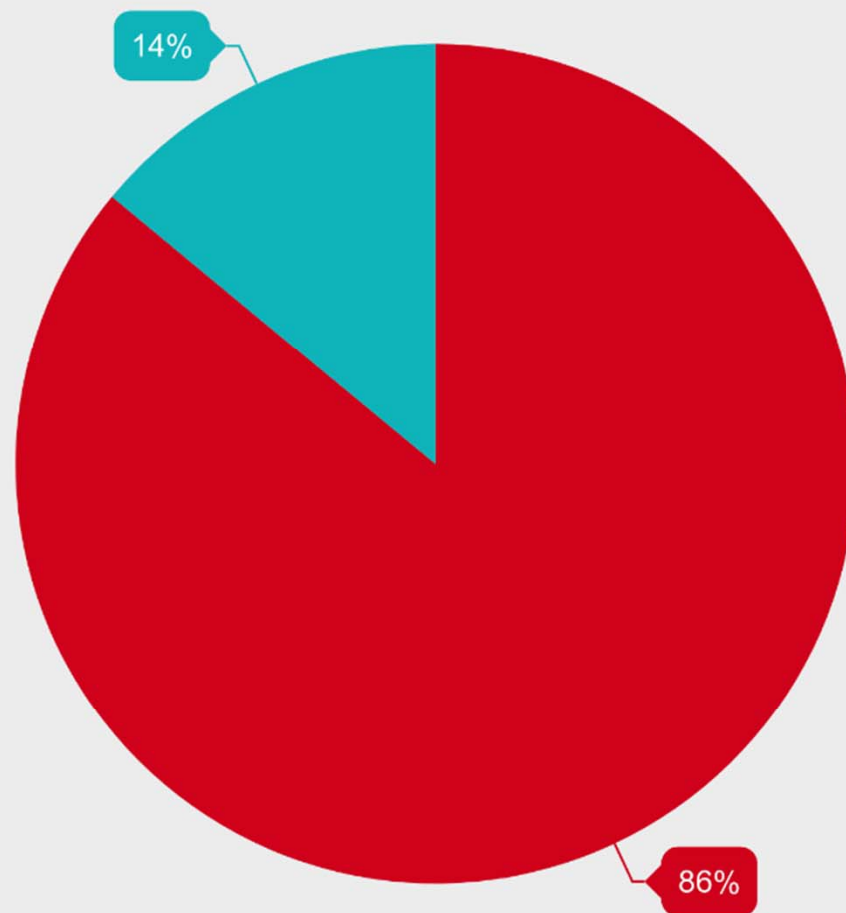


Records with affiliations that could not be verified, by type of university (%).



ORCID reporting in Scopus database

■ No ORCID available (86%) ■ ORCID available (14%)



LIMITATIONS & STRENGTHS

GOOGLE

Names of authors may be common.

Institutions may not update their webpages.

SCOPUS

Manual extraction of records from Scopus, versus automated more precise extraction.

Scopus errors in author profile and record reporting.

CENSUS APPROACH

Increases reliability of results as the whole populations for a year is covered by the study.

GENERALIZABILITY

While Chile is a small, excentric country, its higher education system abides by international standards and incentives, and is market-based.

IMPLICATIONS

RANKING HOUSES

Institutions are ranked by productivity, among other indicators, which may be spuriously pumped up.

Accreditation schemes are also affected by incorrect attribution of productivity.

INSTITUTIONAL FUNDING

Institutions not actually supporting research may be getting State funds attached to published papers reporting research conducted elsewhere.

FREE-RIDING INSTITUTIONS

Institutions with huge cash flow may be tempted to "buy" productivity without actually investing in doing in-house research, and are profiting from the efforts of others.

GUIDELINES NEEDED

Journals and funders need to set clear standards on what they will consider a properly reported affiliation.

Organizations with a neutral voice like COPE and ICMJE should provide guidance.

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