

## **ETHICAL PROCEDURES AND POLICIES FOR ASLO PUBLICATIONS**

ASLO publications include *Limnology and Oceanography*, *Limnology and Oceanography: Methods*, *Limnology and Oceanography Bulletin*, *Limnology and Oceanography e-Lectures* and the ASLO website.

1. **The Editor and Associate Editors of ASLO scientific journals and electronic publications have an obligation to:**
  - 1.1. Ensure objective and critical evaluation of each manuscript;
  - 1.2. Ensure a timely review of each manuscript consistent with the publication's established standards;
  - 1.3. Maintain confidentiality of the peer review process;
  - 1.4. Evaluate potential conflicts of interest of reviewers and editors;
  - 1.5. Respond to questions of authors and referees; and
  - 1.6. Take responsibility for the final decision.
  
2. **In addition, the Editor is responsible for:**
  - 2.1. Referring allegations of misconduct to the ASLO Professional Ethics Committee for adjudication; and
  - 2.2. Addressing complaints about Associate Editors.
  
3. **Authors should be aware of the following policies concerning submissions to ASLO publications:**
  - 3.1. The falsification and/or fabrication of data and/or results, plagiarism, and duplication of published articles and materials without proper citation will not be tolerated and may be subject to action as per item 4. However, the Journal encourages publication of any analysis of data and results from archival reports and theses as long as these documents are cited appropriately.
  - 3.2. Only individuals who have made substantial contributions to the research and scholarly submissions should be included as co-authors and individuals that have not contributed should not be listed as co-authors. "Honorary" or "courtesy" authorship assigned on the basis of some leadership position (e.g., such as being head of the department where the research is carried out) must also be avoided. All contributors who do not meet the criteria for authorship should be listed in an acknowledgments section.

A person claiming authorship or co-authorship of a scholarly publication must have met the following criteria: • Substantial participation in conception and design of the study, in analysis and interpretation of data or in meta-analysis and synthesis of research findings; • Substantial participation in the drafting or substantive editing of the manuscript or scholarly submission; • Final approval of the version of the manuscript to be published; • Ability to explain and defend the study in public or scholarly settings.

    - 3.2.1. ASLO publications will hold all co-authors accountable with the lead author for all aspects of the paper in their area of expertise. Co-authors have an opportunity to withdraw from a paper at any time prior to publication.
    - 3.2.2. Each co-author is responsible for confirming to the lead author her or his willingness to be named as an author prior to initial submission and again when the paper is resubmitted following revision.
  - 3.3. ASLO publications expect sufficient reporting of research results and procedures to permit critical evaluation and replication. Authors should retain all primary data,

research records, analysis and results for at least 5 years after publication and make them available to qualified scientists on request.

- 3.4. ASLO publications require written acknowledgement at the time of submission of financial support and other contributions to the research being reported. Acknowledgments of financial and material support, which should specify the nature of the support and relationships that may pose a conflict of interest, should be included in the acknowledgments section of the manuscript.
  - 3.4.1. Authors also must disclose to the editors if they have financial and managerial relationships with commercial entities whose products or processes figure prominently in the research. Relationships to be disclosed include: employment or consulting arrangements; stock ownership, service on the board of directors or on an advisory committee; receipt of honoraria, research support, patent royalties or licensing fees; or a close familial relationship with someone who has a disclosable relationship of the kind just described.
- 3.5. ASLO publications require that all editors and reviewers disclose potential conflicts of interest, including close associations with an author.
- 3.6. ASLO publications will not knowingly publish research that involves violations by the authors of applicable laws, ethical norms, professional guidelines or industry standards. Examples of such misconduct include but are not limited to: plagiarism, publishing previously-published results, data fabrication, mistreatment of animals, unauthorized release of genetically engineered organisms, or unauthorized major perturbations to the environment (i.e. introduction of exotic species).
  - 3.6.1. Editors, peer reviewers, and journal and electronic publication staff must not disclose any information from a manuscript, except to individuals involved in editorial review, and must not use information contained in unpublished manuscripts to further their own research or financial interests.

4. **Responding to possible research misconduct, particularly "falsification, fabrication, and plagiarism" in submissions to ASLO publications.**

Allegations or suggestions of research misconduct may arise during the review process or after publication. Such allegations may involve falsification, fabrication, plagiarism, or violation of any other aspects of ASLO policy. To assure that the scientific and educational values of ASLO publications remain intact and to protect the integrity of the scientific literature, ASLO's editors will follow the guidelines set forth by the Council of Science Editors (<http://www.councilscienceeditors.org/resource-library/editorial-policies/white-paper-on-publication-ethics/>), which may require informing funding agencies or institutions of an unproven accusation. If an accusation is verified, actions taken to resolve the problem may include rejection of an unpublished manuscript, a formal retraction or correction of a published article, and withdrawal of an author's privileges to act as reviewer or author for ASLO journals. The final decision and response will be at the Editor's discretion, but the Editor may seek the advice of the Professional Ethics Committee

- 4.1. If the allegations are not proven, the President of ASLO will provide letters confirming this finding to editorial staff, outside reviewers, and others who were aware of the allegations.
- 4.2. If there is a finding of misconduct, the submitted manuscript will be rejected or, if the paper has been published, a retraction or correction of the article, with explanation, will be published in the journal or electronic publication.
- 4.3. If there is a finding of misconduct, the author(s) responsible may be suspended from consideration for publication and excluded from service as a reviewer for a

period of time, or indefinitely, at the discretion of the Professional Ethics Committee. Reinstatement following indefinite exclusion requires the approval of the Professional Ethics Committee and the President of ASLO.

- 4.4. The author(s) accused of misconduct may appeal the findings of the Professional Ethics Committee to the ASLO board of directors.

Questions about the application of these policies to particular circumstances should be addressed to the ASLO Professional Ethics Committee.