



Appropriate Use of the IEEE Prohibited Authors List

Learn what the Prohibited Authors List is, who can use it, and how to use it effectively.

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Appropriate Use of the Prohibited Author List

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Introduction

“Plagiarism is a threat to scholarly publishing in general and to IEEE’s publication program in particular.”

From Section 8.2.2C, IEEE PSPB Operations Manual

“If a finding of misconduct relevant to an IEEE publication (data misrepresentation / fabrication, plagiarism, multiple submission, or prior publication, etc.) is made by the person responsible for the IEEE publication, then appropriate corrective and/or disciplinary actions shall be initiated.”

From Section 8.2.4.C.1, IEEE PSPB Operations Manual

In 2003, a disconcerting trend was first noticed. With so much research becoming widely available on the web, and because of the highly searchable characteristic of digital content, plagiarism was becoming both easier to commit and easier to detect. Complaints of alleged plagiarism were increasing dramatically. As a consequence, IEEE staff and volunteers felt it had become necessary to establish guidelines for investigating claims of plagiarism.

The Plagiarism Guidelines that were developed at that time subsequently became the model for another set of guidelines, this one for an additional form of author misconduct: multiple submission of the same content submitted to other publications. Both of these Guidelines 1) defined the misconduct, 2) established levels of misconduct and 3) provided corresponding corrective actions, which included prohibiting an author from submitting a manuscript to a publication for a prescribed time – one to five years, depending on the severity of the misconduct. With that came the need to track or list all of the prohibited authors, prompting the creation of the Prohibited Authors List (PAL).

The “Guidelines for Adjudicating Different Levels of Plagiarism” and the “Guidelines for Editorial Reuse of Previously Published Material, and Adjudicating Inappropriate Reuse of Previous Work

or the Failure to Inform Editors of Previous Publications or Multiple Submissions” can each be found in the Appendices of this document.

The Prohibited Authors List (PAL)

After a short time, the number of banned authors grew very quickly, and it became clear that the list of names had to be communicated to all other IEEE publications volunteers. A practical method was to distribute an up-to-date spreadsheet listing banned authors. The IPR Office staff would email the list monthly to journal Editors-in-Chief (EICs), conference Publication Chairs and Society Publication VPs. The list would consist of the following information:

- Author Name
- Affiliation(s) of author(s) at the time of the offense
- Title of the offending paper
- Length of the ban (beginning and end dates)
- An indication as to whether the ban applied to all of IEEE or only a specific Society
- A statement that the information must be used carefully and confidentially
- Advice to contact the IPR Office with any questions or for clarification of the information on the list

It is important to note that while the use of the PAL may have begun with these two sets of Guidelines, there are several other policies within the Operations Manual (see Appendices) to which the PAL has also been applied for a wide range of author misconduct, including falsifying data and bibliometric manipulation. However, use of the PAL to vet candidates should be done in strict confidence, with the document not to be circulated outside the organization.

The Prohibited Author List and Confidentiality

The first iteration of the Prohibited Authors List (PAL) contained 27 author names when it was distributed in February 2007 (it has since grown to over 950 names), and provided information on an emailed spreadsheet about authors who had been found to have violated IEEE's Publication Principles seriously enough to merit a ban from publishing with IEEE. The PAL was developed strictly as an IEEE-only document to be shared with volunteers who review manuscript submissions to IEEE.

As part of the early discussions on PAL distribution procedures, IEEE attorneys advised that the PAL should be circulated only to editors or other publication volunteers **with an absolute need to know**, i.e., with responsibility and authority to accept/reject submitted manuscripts. Specific language was added to the PAL that emphasized this need to keep the information strictly confidential:

Please be sure to confirm the accurate identification of an author before rejecting a manuscript.

Care should be taken not to disclose information contained in this Prohibited Author List to anyone, unless warranted by duties related to the Publication. Questions regarding the proper use, distribution, interpretation, etc., of this list should be directed to the IEEE Intellectual Property Rights Office at [1-732-562-3966](tel:1-732-562-3966) or at copyrights@ieee.org.

The Importance of Verifying PAL Results with IPR Staff

Because commonly occurring author surnames from various regions of the world will often match a prohibited author's name, volunteers are regularly advised to consult with IPR staff to confirm the identity of any submitting author whose name appears to match that of a prohibited author. When a volunteer reports a match, IPR staff will compare the submitting author's names, professional affiliation and email address against the same information that is maintained in the IPR Plagiarism Database, as well as review any additional publishing activity (submissions and/or publications) by the prohibited author. **To avoid acting on what might turn out to be a false positive, it is essential for a volunteer to confirm with IPR staff (via copyrights@ieee.org) any matching name before reaching a decision on what actions to take.**

While author disambiguation tools such as the Open Research and Contributor ID (ORCID) continue to get more sophisticated, and therefore more accurate, they still cannot be counted on entirely to determine one author's identity from another similarly named author. Unfortunately, failing to confirm an author's identity before rejecting that author's submission could not only create an embarrassing and stressful situation for an innocent author, but it may also subject IEEE to legal actions such as defamation and libel. Responding to false positives without a full review and confirmation might also do considerable damage to IEEE's reputation with authors, in general.

The PAL Database

By the end of 2013, the number of author names on the PAL spreadsheet had become so unwieldy as to make it nearly unusable. Because of this, senior volunteers requested that the IPR Office staff develop an online PAL database with an automated screening tool. The PAL Database was released in July 2014 to help editors quickly compare their authors' names against the most recent PAL data. The Database allows users to upload a spreadsheet of author names or input an individual author's name or email address for quick comparison against PAL metadata. Users can also browse the names alphabetically. In order to maintain an acceptable level of confidentiality, users must register to use the PAL Database, and must log in with their IEEE Web Account credentials to access the site. More information can be found in the Appendices section, below. In particular, see the "PAL Database User's Guide" and the "FAQ for the PAL Database" in the Appendices. For information on registering to access the PAL Database, please contact the IPR Office at copyrights@ieee.org or +1 732-562-3966.

Expanded Use of the Prohibited Author List

Although the PAL is considered a confidential document developed to be shared primarily with periodicals editors and conference organizers, the IPR staff soon recognized that some volunteers felt the need to share the PAL with other volunteers whose responsibilities did not include IEEE publications. Of course, it seemed logical that an author who had been prohibited

from submitting manuscripts to a publication should also **not** be considered for a decision-making role within a publication. As a result, use of the PAL gradually expanded from monitoring only authors to include vetting of volunteers with decision-making roles within a publication. The new policy (see Appendices) is intended to continue to expand the use of the PAL to evaluating nominees for important positions.

Examples of decision-making roles that are suitable for vetting through PAL would include the following:

- Publication editors-in-chief
- Associate editors
- Journal guest editors
- Conference technical program chairs
- Conference area chairs
- Society VPs of Publications or Chairs of Publication Committees

While the foregoing list generally includes higher-level appointed volunteers, it is also considered appropriate for an editor to use the PAL to vet proposed reviewers.

Example: Using the PAL to Review Candidates

Over time, the existence of the PAL has come to be known to more and more volunteers whose responsibilities are not strictly related to approving manuscripts for publication. For example, a member/volunteer on an IEEE conference committee had been an associate editor a few years earlier on one of IEEE's periodicals, where she had first become aware of and used the PAL. Now, in reviewing candidates to serve as area chairs for the conference, she recognizes a name from the PAL. Fortunately, in this scenario, a confirmed plagiarist was prevented from being named to a position of responsibility, thereby avoiding what could have been a critically

embarrassing situation for the conference and for IEEE. However, this is not just a hypothetical circumstance, but one that has been played out in reality several times.

Interest in using the PAL for activities beyond qualifying authors for publication has now grown to the point where new policy needs to be created to define the PAL and to clarify its appropriate use by all IEEE organizational units. Volunteers who do not currently receive the PAL or have access to the PAL Database can send a registration request to the IPR Office staff (see below). Staff will evaluate the request and bring it to the attention of the PSPB Chair for approval before sending the PAL to the volunteer.

Volunteers who use the PAL to vet candidates must remember that the PAL is a strictly confidential IEEE document, not to be circulated outside the organization.

For any questions, or for additional information, please contact the IEEE IPR Office.

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www.ieee.org/ipr

Appendices

- 1. Excerpts from IEEE PSPB Operations Manual**
- 2. New PAL Policy for PSPB Operations Manual**
- 3. Excerpt from PAL Database User's Guide**
- 4. FAQ for the PAL Database**
- 5. Links to the IPR Office Resource Pages**

1. Excerpts from the IEEE PSPB Operations Manual

8.2.1 Publication Principles

8.2.1.B.7. IEEE defines plagiarism as the use of someone else's prior ideas, processes, results, or words without explicitly acknowledging the original author and source. Plagiarism in any form is unacceptable and is considered a serious breach of professional conduct, with potentially severe ethical and legal consequences. Section 8.2.4.D provides detailed guidelines for a) handling allegations of plagiarism, b) applying appropriate corrective actions when findings of plagiarism have been reached, and c) referencing previously published material.

8.2.1.B.8. Fabrication or falsification of any aspect of an article is unacceptable.

8.2.1.B.9. Except as indicated in IEEE Policies, Section 6.4 (Multiple Publication of Original Technical Material in IEEE Periodicals) and Section 8.1.7 of this Manual, authors should only submit original work that has neither appeared elsewhere for publication, nor which is under review for another publication. If authors have used their own previously published work(s) as a basis for a new submission, they are required to cite the previous work(s) and very briefly indicate how the new submission offers substantive novel contributions beyond those of the previously published work(s). Section 8.2.4.F provides guidelines for handling instances of inappropriate multiple submission and prior publication.

8.2.1.D.9. An editor or associate editor shall not perform or accept any action that has the sole purpose of increasing the number of citations to influence the bibliometric independent measures of quality or impact of a periodical.

8.2.2 Review Process

8.2.2.A.2. Editors and other volunteers involved in IEEE periodicals shall not abuse access privileges to obtain confidential information, particularly about the review results of their own articles. Intentional unauthorized access to confidential information about an IEEE publication shall be considered an act of misconduct, and suspected misuse of access shall be reported to the volunteer leader of the sponsoring organizational unit and to the PSPB Chair. The PSPB Chair shall be the IEEE Officer with cognizance of the case process, will oversee any investigation, and will be responsible for adjudication.

8.2.4 Allegations of Misconduct

8.2.4.A.4.d. If the complaint is against an editor or associate editor for violation of the principle regarding the publication's bibliometric independent measures as specified in Section 8.2.1.D.9, then the complaint should be made directly to the PSPB Chair who shall then investigate the allegation.

In this case, upon completion of the investigation, the PSPB Chair's findings shall be sent to the editor as well as the responsible person(s) for the sponsoring IEEE organizational unit(s). The decision of the PSPB Chair shall be final and not subject to appeal.

8.2.4.B.1. If the person responsible for an IEEE publication learns that an author may have acted improperly, which may include but is not limited to misrepresenting data, plagiarizing text, or not informing the editor that an article had been published, accepted for publication, or concurrently under review by another publication, then the responsible person shall investigate the alleged misconduct. All inquiries shall be handled promptly and fairly. To the extent possible, all parties relevant to the allegation shall be contacted at the start of the investigation and given the opportunity to respond.

8.2.4.C.1. If a finding of misconduct relevant to an IEEE publication (data misrepresentation/fabrication, plagiarism, multiple submission, or prior publication, etc.) is made by the person responsible for the IEEE publication, then appropriate corrective and/or disciplinary actions shall be initiated.

8.2.4.D. GUIDELINES FOR ADJUDICATING DIFFERENT LEVELS OF PLAGIARISM.

The following guidelines require or recommend appropriate corrective actions to be taken by editors of IEEE publications for each of five defined levels (or degrees) of plagiarism. Plagiarism includes, but is not limited to, (a) uncredited copying of someone else's work, (b) using someone else's material without clear delineation or citation, and (c) uncited reuse of an author's previously published work that also involves other authors. Guidelines for referencing of other peoples' work are covered in Section 8.2.10. It should be noted that plagiarism is a type of copyright infringement, and as such may also subject the author(s) to legal liability. These Guidelines apply to all articles at any point in the publication process, from initial submission to final publication.

The following corrective actions must be taken, absent special circumstances that provide good cause for varying some or all of the specified measures. Such special circumstances must be identified in writing to, and the variation approved by, the PSPB Chair.

Proposed corrective actions related to level 1 or 2 of the following shall be approved by the PSPB Chair. Furthermore, a number of the corrective actions below either require or allow notice of the offense to be placed in the IEEE electronic database and/or in the relevant publication.

1. Uncredited Verbatim Copying of a Full Article. [The most extreme case of plagiarism is when a full article is copied and any name of the original author list is replaced with another person.], or

Uncredited Verbatim Copying of a Major Portion (more than 50%) within a Single Article. [An instance is where a large section of the original article is copied without quotation marks, credit notice, reference, and bibliography. This case also includes

instances where different portions of an article are copied without attribution from a number of articles by other authors, and the sum of plagiarized material is more 50%.], or

Uncredited Verbatim Copying within More than a Single Article by the Same Author(s). [This case includes instances where more than one article by the offending author(s) has been found to contain plagiarized content, and all the percentages of plagiarized material in each of the discovered articles sum to greater than 50%.]

a. Corrective actions to be taken for level-1 violations involving only one article are:

(1) Publication of a notice of violation of Publication Principles, as specified in Section 8.2.4.E, in the IEEE electronic database as part of the article's bibliographic record

(2) Publication of a notice of violation of Publication Principles, as specified in Section 8.2.4.E, in the appropriate IEEE publication where the author(s) and the specific article have been found to be in violation of IEEE Principles against plagiarism

(3) Prohibition of publication in all IEEE-copyrighted publications by the offending individual(s) for three to five years as determined by PSPB Chair

(4) Rejection and return of all articles by the author(s) that are currently in review or in any IEEE publication queue (articles may be re-submitted after prohibition term has expired).

b. Recommended corrective actions for level-1 violations involving only one article may also include the following:

(1) Offending individual(s) prepare and submit an apology to the plagiarized author(s) and publication editor(s).

(2) Publication of the offending author's apology.

c. If the action recommended by Section 8.2.4.D.1.b.(1) is taken, and the offending individual(s) fail to apologize in writing, the following corrective action shall be taken:

(1) The duration of the prohibition of publication in all IEEE-copyrighted publications specified by Section 8.2.4.D.1.a.(3) shall be increased by one or two years as determined by PSPB Chair.

d. Corrective actions for level-1 uncredited verbatim copying within more than one article by the offending author(s) shall include the following.

(1) For instances where all the percentages of plagiarized material in each of the discovered articles sum to greater than 50%, corrective actions shall follow the guidelines in Sections 8.2.4.1.a through 8.2.4.1.c, noting that different authors and multiple editors might be involved.

(2) For instances where percentages of plagiarized material in one or more of the discovered articles is greater than 50%, corrective actions shall be assigned to each offense following the guidelines in Sections 8.2.4.1.a through 8.2.4.1.c, and the PSPB Chair has the discretion of applying any combination of the assigned corrective actions that the Chair considers appropriate.

e. A repetitive level-1 misconduct by authors previously found guilty of level-1 offense shall result in an increase by one or two years of the duration of suspension of publication privileges specified by Section 8.2.4.D.1.a.(3) as determined by PSPB Chair. For multiple repetitive level-1 misconducts, the PSPB Chair can administer up to and including a lifetime prohibition of publication in all IEEE-copyrighted publications.

2. Uncredited Verbatim Copying of a Large Portion (greater than 20% and up to 50%) within a Article. [An instance is where a section of the original article is copied from another article without quotation marks, credit notice, reference, and bibliography. This case also includes instances where different portions of an article are copied without attribution from a number of articles by other authors, and the sum of copying results in a large portion of plagiarized material (up to 50%) in the article.], or

Uncredited Verbatim Copying within More than One Article by the Same Author(s). [This case includes instances where the sum of plagiarized material from the different articles would constitute the equivalent of a large portion (greater than 20% and up to 50%) of the discovered article with the fewest words.]

a. In this case corrective actions that must be taken are:

(1) Publication of a notice of violation of Publication Principles, as specified in Section 8.2.4.E, in the IEEE electronic database as part of the article's bibliographic record

(2) Publication of a notice of violation of Publication Principles, as specified in Section 8.2.4.E, in the appropriate IEEE publication where the author(s) and the specific article have been found to be in violation of IEEE Principles against plagiarism

(3) Prohibition of publication in all IEEE-copyrighted publications by the offending individual(s) for one to three years as determined by the organizational unit's publications officer

(4) Rejection and return of all articles by the author(s) that are currently in review or in any IEEE publication queue (articles may be re-submitted after prohibition term has expired).

b. Recommended corrective actions for uncredited verbatim copying of large portions of articles may also include the following:

(1) Offending individual(s) prepare and submit an apology to the plagiarized author(s) and publication editor

(2) Publication of the offending author's apology.

c. If the corrective action recommended by Section 8.2.4.D.2.b.(1) is taken, and the offending individual(s) fail to apologize in writing, the following corrective action shall be taken:

(1) The duration of the prohibition of publication in all IEEE-copyrighted publications specified by Section 8.2.4.D.2.a.(3) shall be increased by one or two years as determined by the organizational unit's publications officer.

d. Level-2 uncredited verbatim copying within more than single article by the offending author(s) is equivalent to a level-1 offense, and corrective actions shall follow the guidelines in Sections 8.2.4.1.a through 8.2.4.1.c, noting that different authors and multiple editors might be involved.

e. A repetitive level-2 misconduct by authors previously found guilty of level-1 or level-2 offense shall result in an increase by one or two years of the duration of suspension of publication privileges specified by Section 8.2.4.D.2.a.(3) as determined by PSPB Chair. Sequential instances of level-2 plagiarism will be determined using the same definition specified in Section 8.2.4.D.1.d.(2). For multiple repetitive level-2 misconducts, the PSPB Chair can administer up to and including a lifetime prohibition of publication in all IEEE-copyrighted publications.

3. Uncredited Verbatim Copying of Individual Elements (Paragraph(s), Sentence(s), Illustration(s), etc.) Resulting in a Significant Portion (up to 20%) within a Article. [An instance could be where portions of original article are used in another article without quotation marks, credit notice, reference, and bibliography.]

a. In this case corrective actions that shall be taken are:

(1) Offending individual(s) prepare and submit an apology to the plagiarized author(s) and to the editor of the publication where the plagiarized work was submitted.

(2) Publication of a notice of violation of Publication Principles, as specified in Section 8.2.4.E, in the IEEE electronic database as part of the article's bibliographic record.

b. If the offending individual(s) fail to apologize in writing, the following corrective actions shall be taken:

(1) Prohibition of publication in the IEEE publication where the offense took place by the offending individual(s) for the next one or two years of the publication or, if appropriate, the next one or two volumes of the conference proceedings, as determined by the editor

(2) Rejection and return of all articles for that publication by the author(s) that are currently in review or the queue for that publication (articles may be re-submitted after prohibition term has expired).

c. The following action may also be taken:

(1) Publication of the offending author's apology.

d. Repeated offenses for uncredited verbatim copying of individual elements of articles shall result in suspension of publication privileges in any IEEE Publications for one year and suspension of all articles by the author(s) that are currently in review or in any IEEE publication's queue.

4. Uncredited Improper Paraphrasing of Pages or Paragraphs. [Instances of improper paraphrasing occur when only a few words and phrases have been changed or when the original sentence order has been rearranged; no credit notice or reference appears with the text.]

a. In this case corrective actions that shall be taken are:

(1) Offending individual(s) prepare and submit an apology to the plagiarized author(s) and publication editor.

(2) Publication of a notice of violation of Publication Principles, as specified in Section 8.2.4.E, in the IEEE electronic database as part of the article's bibliographic record.

b. If the offending individual(s) fail to carry out the above actions, the following corrective actions shall be taken:

(1) Prohibition of publication in the IEEE publication where the offense took place by the offending individual(s) for one year of the publication or, if appropriate, the next volume of the conference proceedings.

c. The following action may also be taken:

(1) Publication of the offending author's apology.

d. Repeated offenses for uncredited improper paraphrasing shall result in suspension of publication privileges in all IEEE Publications for one year and rejection and return of all articles by the author(s) that are currently in review or in any IEEE publication's queue (articles may be re-submitted after prohibition term has expired).

5. Credited Verbatim Copying of a Major Portion of an Article without Clear Delineation. [Instances could include sections of an original article copied from another article; credit notice is used but absence of quotation marks or offset text does not clearly reference or identify the specific, copied material.]

a. In this case corrective actions that shall be taken are:

(1) Offending individual(s) prepare and submit an apology to the original author(s) and publication editor

(2) Offending individual(s) prepare correction or retraction and submit this document to the editor for publication.

b. If the offending individual(s) fail to carry out the above actions, the following corrective actions shall be taken:

(1) Prohibition of publication in the IEEE publication where the offense took place by the offending individual(s) for one year of the publication or, if appropriate, the next volume of the conference proceedings.

c. The following action may also be taken:

(1) Publication of a notice of violation of Publication Principles, as specified in Section 8.2.4.E, in the IEEE electronic database as part of the article's bibliographic record.

d. Repeated offenses for improper credited verbatim use shall result in suspension of publication privileges in all IEEE Publications for one year and rejection and return of all articles by the author(s) that are currently in review or in any IEEE publication's queue (articles may be re-submitted after prohibition term has expired).

(See also IEEE Policies, Section 7.11 – Procedures for Member Conduct Complaints.)

F. GUIDELINES FOR EDITORIAL REUSE OF PREVIOUSLY PUBLISHED MATERIAL, AND ADJUDICATING INAPPROPRIATE REUSE OF PREVIOUS WORK OR THE FAILURE TO INFORM EDITORS OF PREVIOUS PUBLICATIONS OR MULTIPLE SUBMISSIONS.

The following procedures are presented in light of support of the evolutionary publication paradigm presented in Section 8.1.7.E.

1. Editorial Reuse of Previously Published Material. The Editor of a publication may choose in a limited number of cases and following Section 8.1.7.A to republish existing material for a variety of reasons including serving readers by aggregating special material in a single publication. When such a republication occurs, the articles must be annotated as being republished, and their original publication venue provided as a special note in the front page of the article. As necessary, appropriate permission shall be obtained.

2. Author Obligations to Cite Previous Work. If author(s), within the evolutionary publishing paradigm, have used their own previously published or submitted material as a basis for a new submission, Section 8.2.1.B.9 requires that the author(s) cite the previous work(s) and very clearly indicate how the new submission differs from the previously published work(s). Guidelines for referencing of author's previous work are covered in Section 8.2.10. Authors who do not properly cite their previous work and who are found not to be in compliance with the requirements of Section 8.2.1.B.9 are also subject to corrective actions.

a. In these cases corrective actions that shall be taken are:

(1) Offending individual(s) will be reminded that the practice is considered inappropriate scholarly practice, referred to Sections 8.2.1.B.9 and 8.2.10, and notified that repeated offenses could result in correction actions as specified in Section 8.2.4.F.3.b.

b. In cases of a second offense, corrective actions that shall be taken are:

(1) A formal warning to offending individuals stating that, if additional offenses are discovered, action 2c shall occur

c. An additional offense following action 2b shall result in suspension of publication privileges in all IEEE Publications for one year and rejection and return of all articles by the author(s) that are currently in review or in any IEEE publication's queue (articles may be re-submitted after suspension term has expired).

Proposed corrective actions related to level-2c violations of Section 8.2.4.F.2 shall be approved by the PSPB Chair.

3. Author Obligations to Inform Editors of Previous Work. As described in Section 8.2.1.B.9, authors should only submit original work that has neither appeared elsewhere

for publication, nor which is under review for another refereed publication. Multiple submission is defined as a given article being concurrently under active consideration by two or more publications. It is at the discretion of each IEEE Organization Unit whether or not to allow multiple submissions. Authors shall inform editors of multiple submissions of articles. Authors in violation of these multiple-submission guidelines are subject to corrective actions.

a. At the time of article submission, or during the review of an article, the editor was not informed that the article had been published.

(1) In this case, corrective actions that shall be taken are:

(i) A formal warning to offending individual(s)

(2) In this case, corrective actions that may also be taken are:

(i) Offending individual(s) prepare and submit an apology to the publication editor

(ii) Publication of the offending author's apology.

(3) Discovery of a second offense shall result in:

(i) Another formal warning to offending individuals stating that, if additional offenses are discovered, action a(4) shall occur

(ii) Suspension of publication in the IEEE publication where the offense took place by the offending individual(s) for one year of the publication or, if appropriate, the next volume of the conference proceedings.

(4) An additional offense following action a(3) of Section 8.2.4.F.3 shall result in suspension of publication privileges in all IEEE Publications from three to five years as determined by the PSPB Chair and rejection and return of all articles by the author(s) that are currently in review or in any IEEE publication's queue (articles may be re-submitted after suspension term has expired).

b. Lack of disclosure to the editor by the author(s) that the article is under active consideration by another publication. Individual publications can choose to either accept or reject outright concurrent consideration of articles. Authors should be made aware of the publication's policy on this matter.

(1) In case authors fail to inform the editor of other consideration of the article, corrective actions that shall be taken are:

(i) Offending individual(s) will be reminded that the practice is considered inappropriate scholarly practice, referred to Sections

8.2.1.B.9 and 8.2.7, and notified that repeated offenses could result in correction actions as specified in 8.2.4.F.2.b.

(2) Discovery of a second offense shall result in:

(i) Another formal warning to offending individuals stating that, if additional offenses are discovered, action a(3) of Section 8.2.4.F.3 shall occur

(3) An additional offense following action b(2) of Section 8.2.4.F.3 shall result in suspension of publication privileges in all IEEE Publications for one year and rejection and return of all articles by the author(s) that are currently in review or in any IEEE publication's queue (articles may be re-submitted after suspension term has expired).

Proposed corrective actions related to level a(4) or b(3) of Section 8.2.4.F.3 shall be approved by the PSPB Chair.

(See also Section 8.1.7 – Multiple Publication of Original Technical Material in IEEE Periodicals and Section 8.2.1.B – Responsibilities of Article Authors.)

2. New PAL Policy for PSPB Operations Manual

The following is a new section approved by the Publication Products & Services Board at its November 2015 meeting.

8.2.4.E PROHIBITED AUTHORS LIST

The Prohibited Authors List (PAL) provides information about authors who have been found to have plagiarized the works of other authors and have been banned from publishing with IEEE. The PAL includes the names of offending authors, their article titles, email addresses, professional affiliations at the time the misconduct was discovered, and the lengths of their bans. The PAL is shared primarily with volunteers who are directly involved with the review process for manuscripts submitted to IEEE. Volunteers are encouraged to consult with the IEEE Intellectual Property Rights Office staff to confirm the identity of any author whose name appears to match a previously prohibited author. Volunteers are required to treat the contents of the PAL as strictly confidential and, therefore, shall not share the PAL with anyone not directly related to IEEE publishing activities or not responsible for appointing volunteers to key publishing positions.

To ensure corrective actions are effectively enforced pursuant to Section 8.2.4.D, IEEE shall

1. Maintain a list of authors who have been prohibited from submitting new manuscripts to IEEE publications, and
2. Make this list available to IEEE volunteers as deemed appropriate by Vice President, IEEE Publication Services and Products.

Although the PAL is used primarily to enforce corrective actions related to publishing misconduct, representatives of IEEE Organizational Units may request use of the PAL when reviewing nominations of individuals to positions of leadership or decision-making roles involving IEEE publications. Requests for access should be sent to the IEEE Intellectual Property Rights. Received requests will be presented to the IEEE Vice President, IEEE Publication Services and Products for approval.

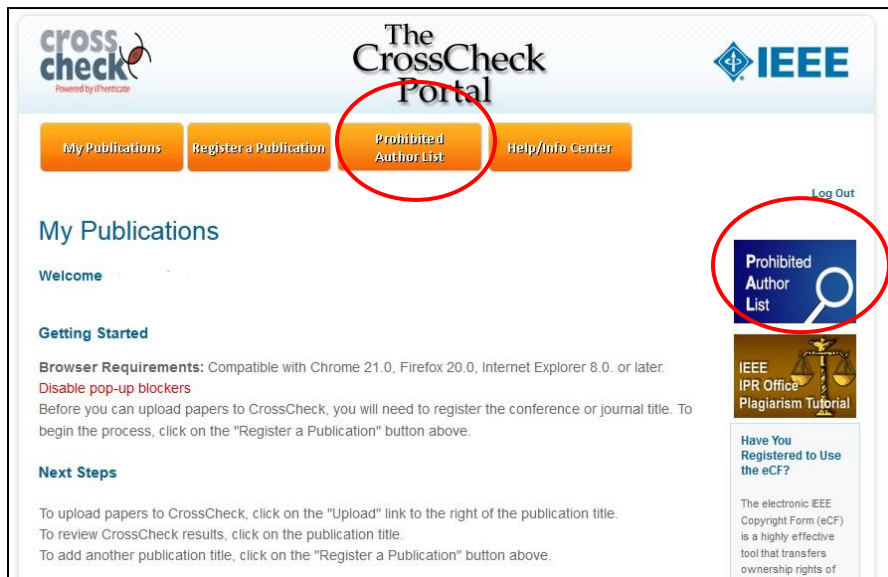
3. CrossCheck Portal and PAL Database User's Guide (excerpt)

Part 3. Overview of the IEEE Prohibited Authors List Database

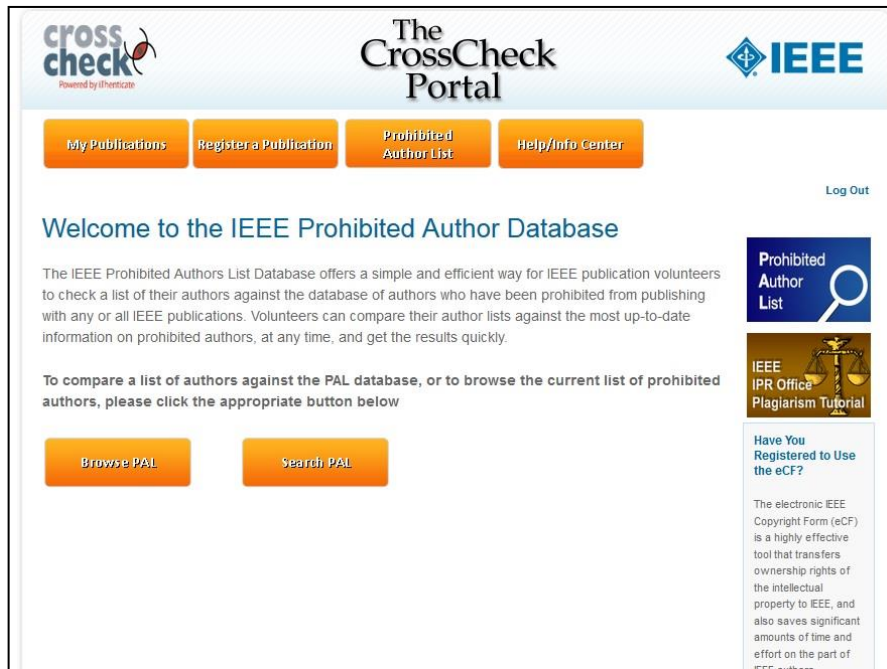
An important tool in ensuring the high quality of IEEE's publications is the Prohibited Authors List (PAL). This list contains the names of authors who have been banned from publishing in IEEE's journals and conferences because they were found to have violated IEEE's publishing conduct guidelines – usually because of significant plagiarism. To make this tool easier to use, the Intellectual Property Rights Office introduced the online database version of the PAL.

The PAL Database includes an automated tool that compares a spreadsheet of author names and email addresses against the database of prohibited authors, and presents the results on screen (or in a downloadable file). The Database also allows users to input an individual author's name or email address for quick comparison against PAL metadata, or to browse the names alphabetically.

Finding the PAL Database in the CrossCheck Portal



There are two links to the PAL Database tool from the main page of the CrossCheck Portal. Either the second tab at the top of the page, or the blue graphic on the right side of the page can be clicked to bring us to the PAL Database landing page.



From the landing page, users will have two options.



Browse PAL: Allows users to view all prohibited authors alphabetically, either by first name, last name, or email address.

Search PAL: Provides an automated tool to compare a spreadsheet of author names and email addresses against the database of prohibited authors. Results are presented on screen or in a downloadable file. Also allows users to input an individual author's name or email address for quick comparison against PAL metadata.

Browse PAL Page


From this page, users can click on the "Sort Authors by" choice of either First Name, Last Name, or Email Address. Once selected, the user can click on the desired letter of the alphabet to see all prohibited authors that are listed under that letter.

Search PAL

From this page, users can input the data of their author(s) and have the PAL Database Tool compare this data against the database of prohibited authors, and any matching authors will be displayed on a results page. Users have two options for searching. For a small number of authors (or just a single author), users may find the Single Name Input Tool to be the easiest option. For a large number of authors, users will likely want to use the spreadsheet upload feature.


Single Name Input Tool: Users can simply add the first name, last name, and email address of any author and then click “Search” to have the PAL Database compare the name instantly to all prohibited authors. The results will be displayed online, along with all relevant details of the prohibited author.

Spreadsheet Upload Tool: Users will need to first download the blank spreadsheet from the site. The link to the spreadsheet is highlighted in the directions on the page. Once the data has been added to the spreadsheet, the user can click on the Excel File Upload link to launch the upload tool. After uploading the spreadsheet, the user will be brought to a results page to see any matching author names.



Powered by iThenticate

The CrossCheck Portal



My Publications

Register a Publication

Prohibited Author List

Help/Info Center

[Log Out](#)
[Admin Tool](#)

Prohibited Authors List Database--Search Tool

Getting started: There are two ways to use the PAL Database Search Tool. You can either check an individual author by using the Single Name Input Tool, or you can check a larger collection of authors by using the Spreadsheet Upload Tool. Both Tools compare your author details against the PAL database, and will show matching names (if any) on a Results page.

How to use the Single Name Input Tool

Input author information in the fields below. You must fill in at least one of the field in order to search the database. After entering the name, please click the Enter button.

Please complete at-least one fields

First Name:

Last Name:

Email:


[SEARCH](#)

How to use the Spreadsheet Upload Tool

- To begin, please download the [PAL Spreadsheet\(Excel\)](#).
- Next, input the following information for each author into the appropriate columns on the spreadsheet.
Author First Name Author Last Name Author Email Address
- Once the spreadsheet is completed, upload the spreadsheet (only once) using the utility below:

[Excel File Upload](#)

Prohibited Author List


IEEE IPR Office Plagiarism Tutorial

Have You Registered to Use the eCF?

The electronic IEEE Copyright Form (eCF) is a highly effective tool that transfers ownership rights of the intellectual property to IEEE, and also saves significant amounts of time and effort on the part of IEEE authors, volunteers and staff.

All interested volunteers not currently using the eCF are invited to go to the [registration web page](#) to take advantage of this important tool.

[Support](#) | [Contact IEEE](#) | [IEEE Xplore Resources](#) | [Nondiscrimination Policy](#)

Results Page

Once users have submitted their author data to the PAL Database for comparison, they will be brought to a results page. From here, users can see how closely their authors matched any prohibited authors.

cross check
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The CrossCheck Portal

IEEE

My Publications Register a Publication Prohibited Author List Help/Info Center

Log Out
Admin Tool

Results Page

How to Review Your Screening Results

If you see no results below, then your authors' names and email addresses did not match any of the Prohibited Authors in our database. If there are results listed below, these are the steps you should take:

1. Compare the names to verify there is similarity between the name you have entered and the matching PAL author. You can click the PAL author name to reveal more details of the prohibited author, including affiliation, email address, and prohibition start and end dates.
2. Contact the IEEE IPR Office with the details so they can confirm the match is correct.
3. The IPR Office will give you information regarding the author's ban and appropriate actions to take
4. If warranted, contact the matching author to inform him/her that their submission will be rejected and returned.

[Mohamed Mostafa](#)

Name : Mohamed Mostafa

Email: mohamedmostafa2014@gmail.com

Affiliation: N/A

Prohibited From : All IEEE publications

Start Date: 2014-09-11

End Date: 2019-09-11

Prohibited Author List

IEEE IPR Office Plagiarism Tutorial

Have You Registered to Use the eCF?

The electronic IEEE Copyright Form (eCF) is a highly effective tool that transfers ownership rights of the intellectual property to IEEE, and also saves significant amounts of time and effort on the part of IEEE authors, volunteers and staff.

All interested volunteers not currently using the eCF are invited to go to the registration web page to take advantage of this

It is important that publication volunteers **contact the IPR Office if there are any strong matches** to the PAL Database. IPR Office staff can review the records of the prohibited author against the data users have to confirm any match **before any decision is reached** on what actions to take.

4. FAQ for the PAL Database

IEEE Prohibited Authors List Database Frequently Asked Questions

1. What is the Prohibited Authors List?

The Prohibited Authors List (PAL) Database contains the names of authors who have been banned from submitting manuscripts to some or all IEEE publications due to a finding of publishing misconduct following a careful and considered review of a complaint by an ad hoc committee of subject expert volunteers,. The Database provides information about the length of the author's ban, and the affiliation of the banned author.

2. Who maintains this Database?

The PAL Database is maintained by the IEEE IPR Office staff based on Society rulings on cases of author misconduct. Questions or concerns related to the content of the PAL should be directed to the IPR Office at copyrights@ieee.org or +1732-562-3966.

3. How should IEEE editors use the PAL Database?

Editors should compare the names of authors who have submitted manuscripts to the publication with the PAL Database in order to determine if any authors have been prohibited.

4. Who can use the PAL Database?

The PAL Database can be used by any IEEE volunteer or staff member responsible for an IEEE publication (book, journal, magazine, conference proceedings, etc.). Use of the PAL by volunteers outside of publications will be considered on a case-by-case basis.

5. Can publication volunteers be given access to the PAL Database?

Yes. To add a volunteer or staff member, please contact the IPR Office.

6. What should be done when a paper is received from an author on the PAL?

The IPR Office should be contacted first to verify the identity of the author. Once the identity has been confirmed, the author should be informed that his/her paper has been rejected because he/she has been banned for publication misconduct. The paper may be resubmitted after the ban has expired. If the author has any questions about the PAL, please have him/her contact the IPR Office.

7. Is it OK to publish a paper by a prohibited author if it is already in review?

No. The ban requires the rejection and return of papers in review for a publication. The author may resubmit the paper after the ban has expired.

8. What should be done if a prohibited author is subsequently found on a coauthored paper?

The paper must be rejected and returned. The prohibited author, as well as the coauthors, should be informed of the reason for the paper's rejection.

9. If an author has been prohibited from publishing in only one Society's publications, is it OK for an editor of a different Society's publication to accept the author's paper?

If the prohibition is specific to one Society's publications, then it is optional for an editor of a different Society's publication to reject the paper. Additional information about the author's prohibition can be provided by the IPR Office to help the editor make his/her determination.

For any other questions, or for additional information, please contact the IEEE IPR Office.

IEEE IPR Office
445 Hoes Lane
Piscataway, NJ 08854
732-562-3966
copyrights@ieee.org
www.ieee.org/ipr

5. Links to the IPR Office Resource Pages

- **IEEE Intellectual Property Rights Office Home Page:** A central location for authors, editors and volunteers who need information regarding IEEE policies related to copyright, plagiarism, and reuse of IEEE material.

<http://www.ieee.org/ipr>

- **Plagiarism Information Center for IEEE Publication Volunteers:** This page provides important information to editors and their ad hoc committee members during the review of plagiarism complaints.

http://www.ieee.org/publications_standards/publications/rights/plagiarism/index.html

- **Identifying Plagiarism:** This page provides editors and authors with a general overview of what plagiarism is, and how IEEE addresses it.

http://www.ieee.org/publications_standards/publications/rights/ID_Plagiarism.html

- **CrossCheck Information Page:** This page provides a variety of information to volunteers who want to adopt CrossCheck for their periodical or conference proceedings.

http://www.ieee.org/publications_standards/publications/rights/crosscheckmain.html

- **CrossCheck Portal and PAL Database Tool:** A secure site with two screening tools for editors. One tool, CrossCheck, is used to screen manuscripts for plagiarized content. The other tool, the PAL Database, is used to quickly check author names against the most up-to-date information on prohibited authors.

<https://crosscheck.ieee.org/crosscheck/>

- **The PSPB Operations Manual:**

<http://www.ieee.org/documents/opsmanual.pdf>