

Peer review in a changing and challenging scholarly publication world



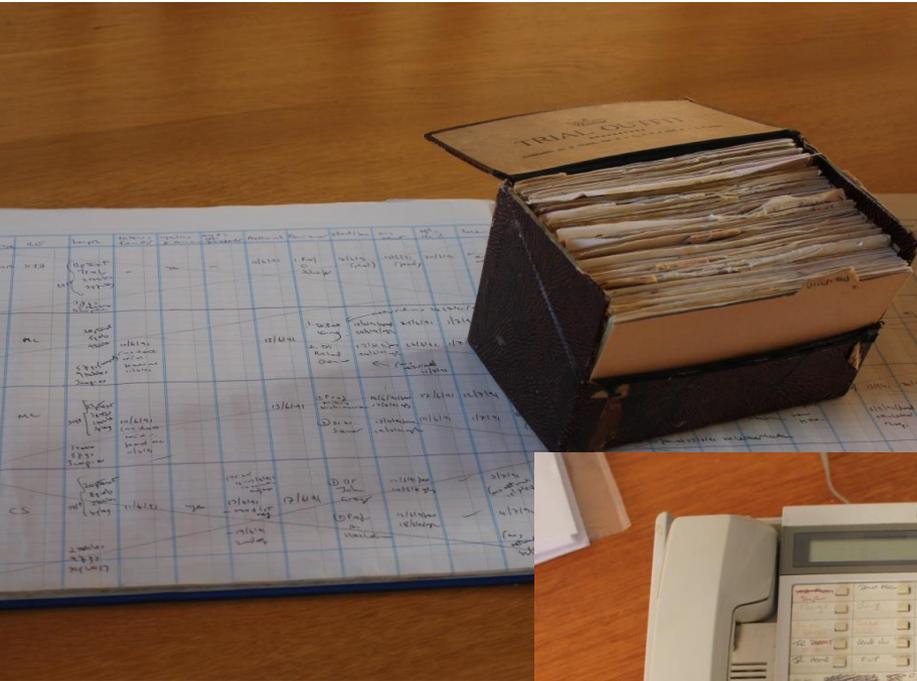
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Association of Lithuanian Serials conference, Vilnius, 25 October 2016

Not that long ago ...



What is (editorial) peer review?

Peer review in scholarly publishing is the process by which research output is subjected to scrutiny and critical assessment by individuals who are experts in those areas.

(Hames, 2012, in *Academic and Professional Publishing*, Chandos Publishing, Eds Campbell, Pentz and Borthwick, p.16)

and

...the critical assessment of manuscripts submitted to journals by experts who are not usually part of the editorial staff

(ICMJE, International Committee of Medical Journal Editors, <http://www.icmje.org/>)

*Good practice and quality in peer review are
system, access and business-model
independent*

CASE STUDY

(wileyonlinelibrary.com) doi: 10.1002/leap.1060 Received: 18 April 2016 | Accepted: 17 August 2016 | Published online in Wiley Online Library: 19 September 2016

A not-so-harmless experiment in predatory open access publishing

Alexandre Martin^{1*} and Tristan Martin²



A. Martin



T. Martin

Key points

- Publishing articles in predatory or low quality open-access journals has been proven to be easy.
- In the presented case study, the editor replaced the entire submitted manuscript with plagiarized texts, without explicitly informing the authors.
- When strongly motivated to publish, editors and publishers may fraudulently change articles to make them more publishable.
- Replacing the entire content of an article cannot be interpreted as a misguided attempt to improve article quality.
- Plagiarism should not be solely blamed on authors when editors may be the culprits.

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“Publishing in pOA journals has many obvious and well documented negative consequences, such as tarnishing the reputation of researchers or institutions; disseminating low-quality, often bogus and plagiarized, research; and decreasing the confidence of the public in the peer review process. In the case presented here, the damage could have been even greater as it would have resulted in a severe academic misconduct.”

(C) **Assessment of living habits of bats** (D)

Tristan Martin^{*}
Rosa Parks El. School, Lexington, Kentucky 40513, USA

(Dated: January 9, 2015)

This paper presents a short assessment of the living habits of bats. First their daily activity is presented, and then an overview of the Echolocation principles is presented. Finally, a brief review of the various sizes of bat is discussed.

Keywords: bats, echolocation, Myanmar, bumblebee bats, Giant Golden crowned Fruit Bat.

INTRODUCTION

Bats are really cool animals! They are the only mammals that can fly. They sleep by day and fly by night. They use Echolocation to find their way around. This is when they send an Echo (see Fig. 1) that does not make any sound and the Echo comes back to the bat and tells them where things are.

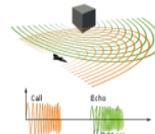


Figure 1: Illustration of the ultrasound signals emitted by a bat, and the echo generated by an object.[1]

RESULTS AND DISCUSSION

Bumblebee Bats [3] live in Myanmar and Thailand. They are mostly found in Thailand and have been recently found on Myanmar. They live in Limestone caves [4] that are close to rivers so they can find more bugs at night.

There are many different types of bats. The longest type of bat is the Giant Golden crowned Fruit Bat [5]. The smallest type of bat is the Bumblebee bat (see Fig. 2).

CONCLUSION

Bats are the only mammals that can fly. They sleep by day and fly by night and use Echolocation to find their way around. They are truly amazing.

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Review Article

ASSESSMENT OF LIVING HABITS OF BATS

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ABSTRACT

Echolocation is one of the adaptations that make bats so successful. Bats use echolocation for orientation in space, that is, for determining their position relative to the echo-producing environment. The bumble-bee bat *Craseonycteris thonglongyai* of the monospecific family *Craseonycteridae* is categorized as Endangered on the IUCN Red List. These bats roost at the back of small caves or remote caverns. Group size varies from as few as 10 individuals to as many as 500, although most caves contain around 100 bats. The bats spread out across the ceiling of the caves so that they do not come into contact with one another. At dawn and dusk they leave their caves for around 20-30 minutes to forage for food. The bats primarily use echolocation (10-10 kHz) to hunt small insects on the wing, although they may also glean small spiders and beetles from plant leaves. The normal foraging range appears to be limited to an area of around 1 km from the roost site. Little is known of the reproductive system of these bats.

Keywords
Bumblebee bats, *Craseonycteris thonglongyai*, Echolocation, Myanmar, Thailand.

INTRODUCTION

Bats are belonging to the order of Chiroptera and ecologically more diverse than any other group of mammals. Numerous morphological, physiological and behavioral adaptations of sensory and motor systems permit bats access to a wide range of habitats and resources at night. The more than 750 species of the suborder Microchiroptera occupy most terrestrial habitats and climatic zones and exploit a great variety of foods, ranging from insects and other arthropods, small vertebrates, and blood to fruit, leaves, nectar, flowers and pollen.

Bat populations are declining worldwide as a result of a growing number of factors, including habitat loss and fragmentation, disturbances to roosts, exposure to toxins, human hunting pressures and introduced predators (McCracken, 1989; Fenton, 1997; Arta & Ortega, 1998; Fenton & Raubenbach, 1998; Martiho-Filo & Szatina, 1998; Pierson, 1998; Racey, 1998; Rainey, 1998; Richards & Hall, 1998; Utzurrum, 1998; O'Donnell, 2000).

Insectivorous bats are major consumers of nocturnal insects, many of which are economically important pests. This presents both ecological and economic rationales for their protection (Grinnell, 1918; Constantine, 1970; Whittaker, 1995; Pierson, 1998). In addition, bat guano is rich in nitrogen and other nutrients. Bats may transfer significant amounts of nutrients in ecosystems as guano accumulates at roosts (e.g. tree hollows; Kunz, 1982; Rainey *et al.*, 1992; Zielinski & Gellman, 1999) and is spread across the landscape while bats forage (Pierson, 1998).

Bats are also important components of cave environments, where the accumulation of guano supports a diverse invertebrate community (Poulsen, 1972; Calver *et al.*, 2000). Some bat assemblages may be useful indicators of habitat disturbance and quality (Fenton *et al.*, 1992; Medelini *et al.*,

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FIGURE 1 Evolution of the manuscript, from submission to the galley proofs. (A) Second page of the original booklet. (B) First page of the submitted L^AT_EX manuscript. (C) First page of the accepted Microsoft Word manuscript. (D) First page of the published galley proofs of the article returned by the editors.

How has peer review been changing?

- Increasing transparency and openness
- Increasing interaction
- New models of peer review, new initiatives
- Reducing 'wastage' of reviews
- Post-publication peer review
- New third-party services

The people involved in peer review

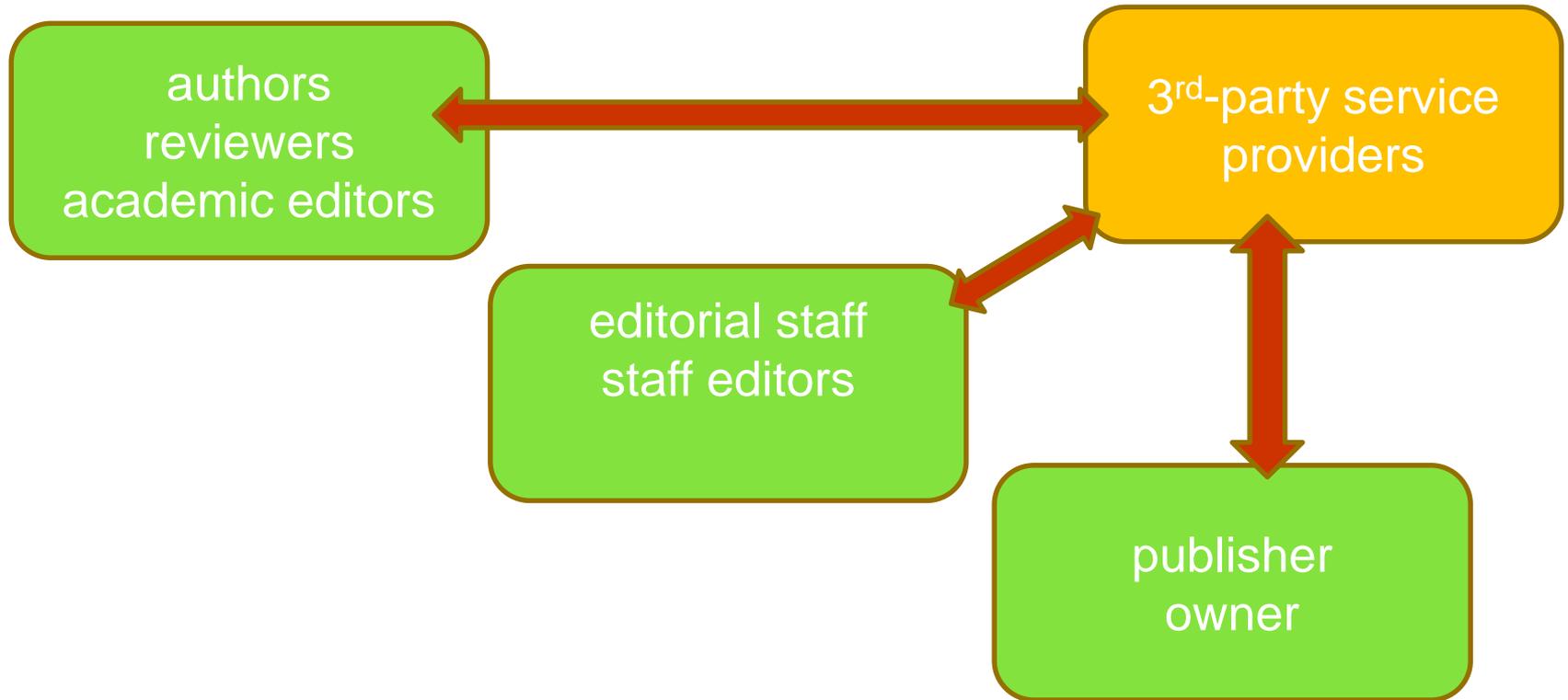
authors
reviewers
academic editors

editorial staff
staff editors

publisher
owner

- Everyone involved should always act according to the highest ethical standards
- Submission and peer review information shouldn't be used for personal gain or to disadvantage/discredit others

The people involved in peer review



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Third-party services

Wide range, quality, legitimacy – some shocking practices

Codes of conduct?

Ethical guidelines for users?

Responsibilities remain the same

- To the authors
- To the reviewers
- To the readers
- To the community and scholarly literature

Challenges

- Lack of knowledge
- Lack of awareness
- Expectations and norms changing
- Increasing editorial workloads
- All competing for the same pool of reviewers (& authors, editors)
- Researchers under increasing pressure

*“Any system with so much at stake is bound to strain ethical principles.” Souter (2011) *Learned Publishing*, 24, p55*

“... and underlying these worries was yet another: that scientific articles have been hijacked away from their primary role of communicating scientific discovery to one of demonstrating academic activity.”

Stephen Lock, *'A Difficult Balance. Editorial peer review in medicine'*, Introduction to third impression, *BMJ*, 1991, p.xi.

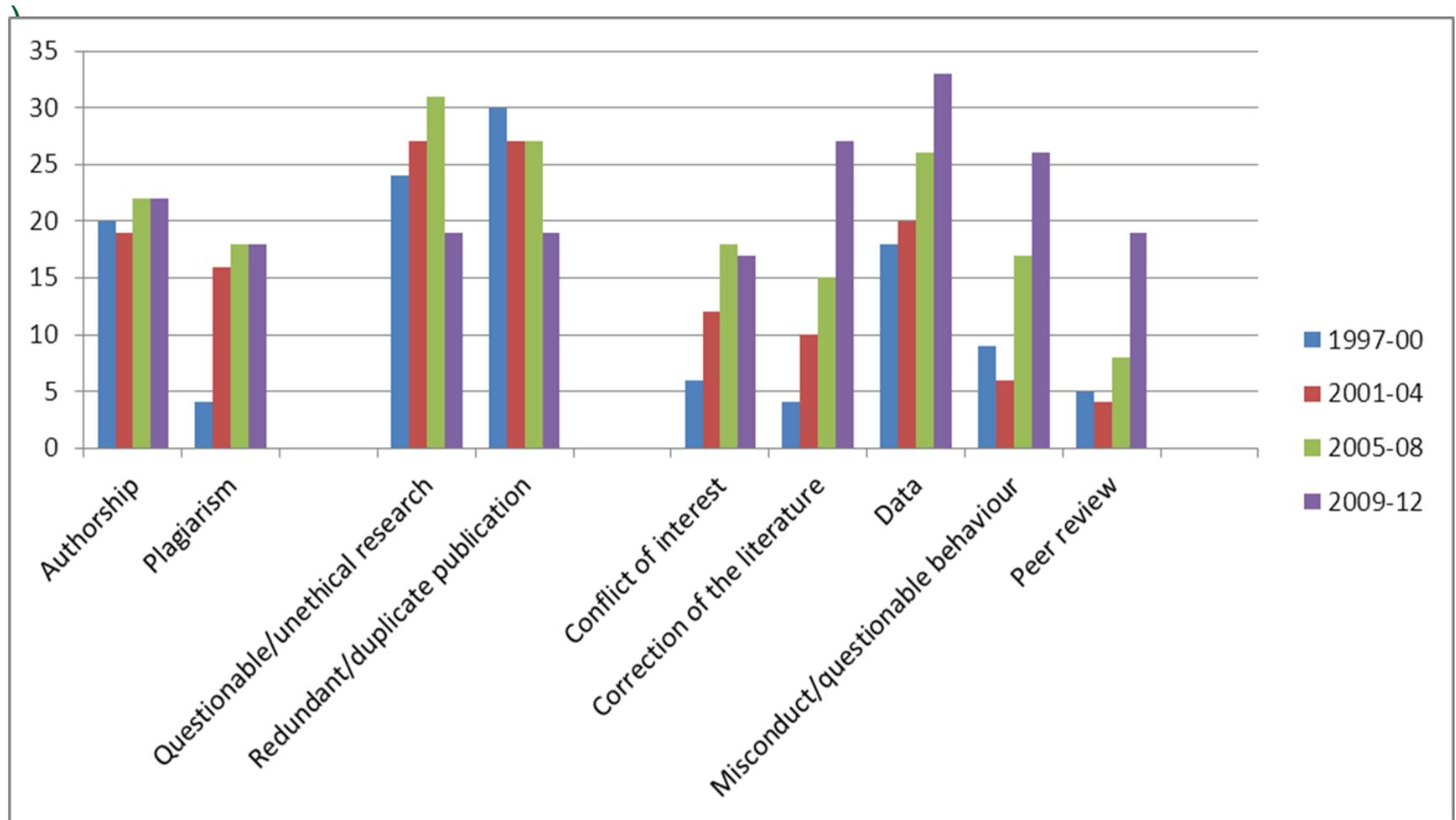
Nuffield Council on Bioethics, 2014

Science researchers in the UK

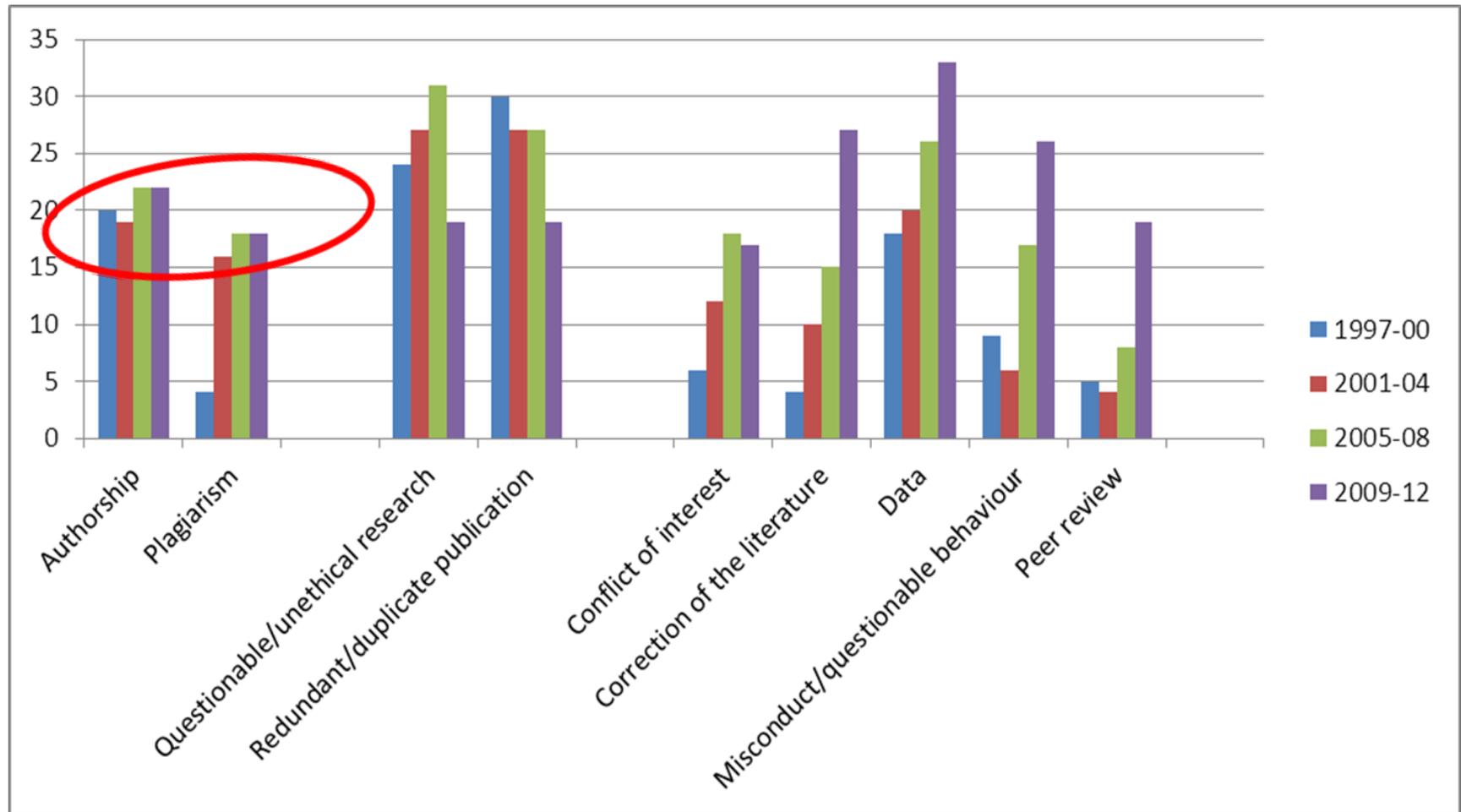
- Tempted or under pressure to compromise on research integrity and standards: 26%
- Aware of others feeling like this: 58%
- *“A higher proportion of respondents aged under 35 years (33 per cent) stated they had felt tempted or under pressure in comparison with those aged above 35 years (21 per cent).”*



COPE cases, 1997-2012, number per Classification <http://publicationethics.org/cope-case-taxonomy>

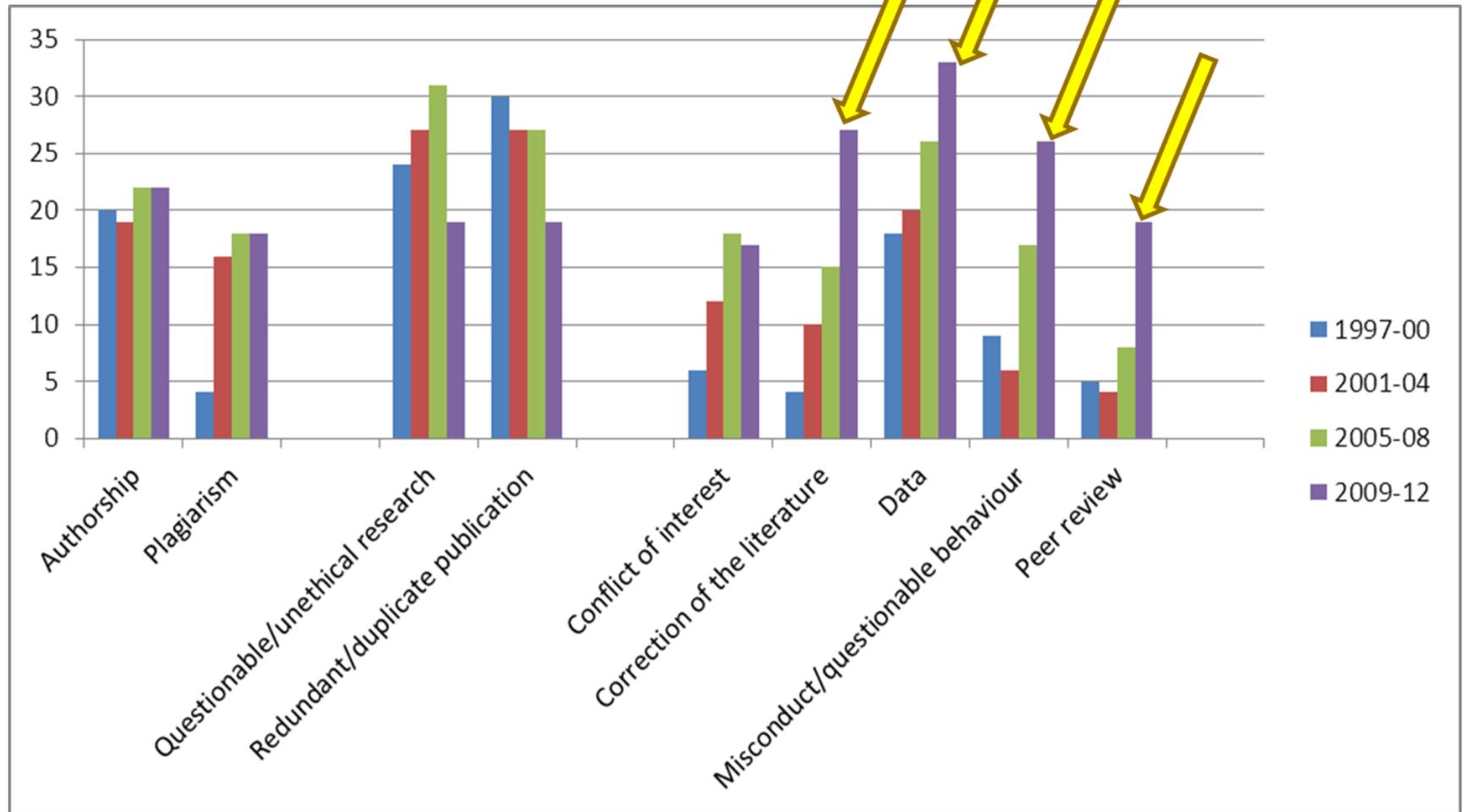


COPE cases, 1997-2012, number per Classification <http://publicationethics.org/cope-case-taxonomy>



COPE cases, 1997-2012, number per Classification

(<http://publicationethics.org/cope-case-taxonomy>)





COPE Ethical Guidelines for Peer Reviewers

Irene Hames on behalf of COPE Council
March 2013, v.1

Peer review in all its form plays an important role in ensuring the integrity of the scholarly record. The process depends to a large extent on trust, and requires that everyone involved behaves responsibly and ethically. Peer reviewers play a central and critical part in the peer-review process, but too often come to the role without any guidance and may be unaware of their ethical obligations. The COPE Ethical Guidelines for Peer Reviewers set out the basic principles and standards to which all peer reviewers should adhere during the peer-review process. It is hoped they will provide helpful guidance to researchers, be a reference for journals and editors in guiding their reviewers, and act as an educational resource for institutions in training their students and researchers.

Basic principles to which peer reviewers should adhere

Peer reviewers should:

- only agree to review manuscripts for which they have the subject expertise required to carry out a proper assessment and which they can assess in a timely manner

‘COPE’s new Ethical Guidelines for Peer Reviewers: background, issues, and evolution’,
ISMTE, *EON* May 2013, Vol6, issue4,
http://c.ymcdn.com/sites/www.ismte.org/resource/resmgr/files/hames_article.pdf

'Fake reviewer' cases

Retraction Watch

Tracking retractions

Retraction count grows to 35 for scientist who faked emails to do his own peer review

with 9 comments

[Hyung-In Moon](#), the South Korean plant compound researcher who [made up email addresses so he could do his own peer review](#), is now up to 35 retractions.

The four new retractions are of the papers in the *Journal of Enzyme Inhibition and Medicinal Chemistry* that initially led to suspicions when all the reviews came back within 24 hours. Here's the [notice](#), which includes the same language as Moon's 24 other retractions of studies published in Informa Healthcare journals:

“

The corresponding author and publisher hereby retract the following articles from publication in *Journal of Enzyme Inhibition and Medicinal Chemistry*.

Effect of betaine on the hepatic damage from orotic acid-induced fatty liver development in rats

Jae-Young Cha, Hyeong-Soo Kim, Hyung-In Moon, and Young-Su Cho



Hyung-In Moon

'For his part, Moon acknowledged suggesting his friends and colleagues as reviewers, telling Retraction Watch that the results "can be mistaken for fake reviews." But he said it wasn't only his mistake: The editors, Moon said, invited those reviews without confirming the identity of the reviewers.'

Since 2012 ...

- More cases of authors submitting fake reviews
- Third-party services suggesting fake reviewers
- Editors creating fake reviewer accounts (to submit favourable reports)
- Imposter editors
- September 2016, *Retraction Watch* has 319 retractions due to fake ('compromised') peer review (1/10th of *RW* retractions since 2012)

Editorial checking and verification

- WAME policy statement/guidance April 2015: *Avoiding selection of fraudulent peer reviewers*
 - Avoid using only author-recommended peer reviewers
 - Independent validation of contact information of author-recommended reviewers
 - ORCID as possible mechanism to validate reviewer identity/contact information
 - Be alert to possible peer review manipulation

“While these recommendations are intended to help prevent the problem of fraudulent peer review, other methods to subvert peer review undoubtedly will be developed.”

- Whose responsibility is checking and verification at your journal/organisation?

Peer review in a changing and challenging scholarly publication world



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Association of Lithuanian Serials conference, Vilnius, 25 October 2016

Some unethical editorial peer-review practices

Editors acting as reviewers for manuscripts they're handling

- Shouldn't do this via an anonymous review
- Should be done transparently – in a named review or in the editorial correspondence

Why?

- Who oversees an editor's review and comments?
- What if there are no other reviewers?
- It's misleading the authors, it's a deception, it's unethical



Journal editors' anonymous reviews criticised by Cope

Publication ethics committee issues new guidelines for peer review

April 4 2013



Peer reviewers should

“ ... if they are the editor handling a manuscript and decide themselves to provide a review of that manuscript, do this transparently and not under the guise of an anonymous review if the journal operates blind review; providing a review for a manuscript being handled by another editor at the journal can be treated as any other review.”

COPE Ethical Guidelines for Peer Reviewers

Selective editing of reviews



PROFESSIONAL JOBS RANKINGS STUDENT ^{NEW}

Journal cut positive comments, author claims

Essex scholar raises fears over peer review integrity

May 2 2013



- Shouldn't be done to justify a specific decision
- Decision-making should be transparent - reasons for decisions should be outlined

When is editing of reviews permissible?

- To remove derogatory or libellous comments
 - Comments contrary to journal policy included
- ... or clarification in editorial correspondence
- Unfortunate use of language that might cause offence or imply something clearly not intended
 - Colloquial or confusing language

Unethical citation pressure

‘Coercive citation’ – journal editors coercing authors into citing more articles from their own journals

Phil Davis, *The Scholarly Kitchen*, 2 February 2012: ‘When journal editors coerce authors to self-cite’

Editors submitting to their own journals – is it acceptable?

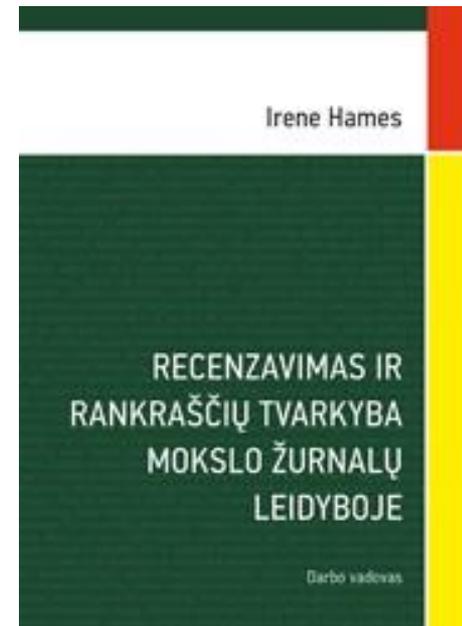
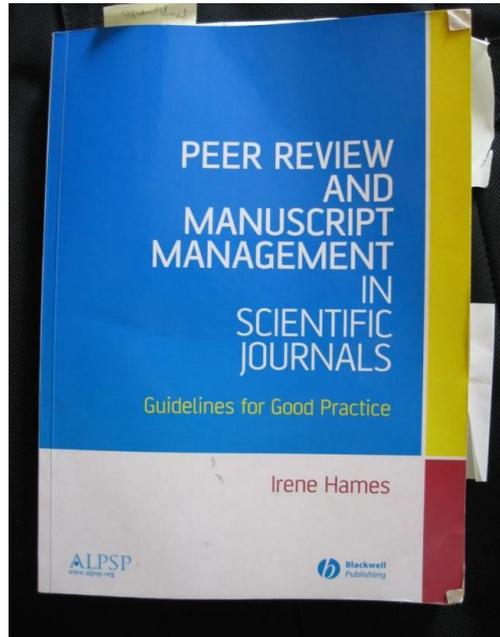
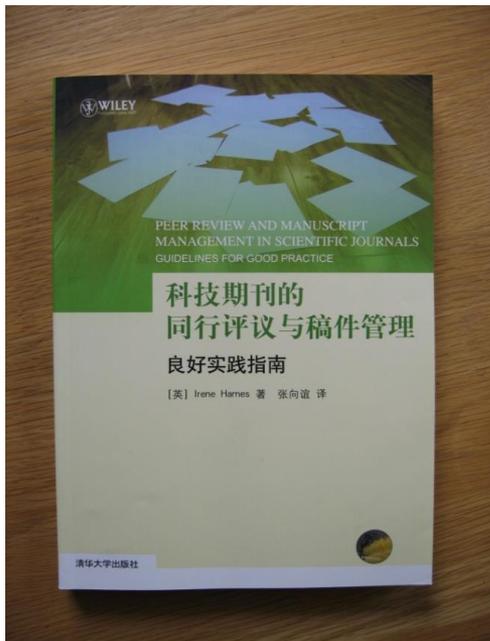
- Have been some great abuses – editors using journals as personal publication platforms
- But is totally acceptable ... with appropriate policies, manuscript handling and transparency
- *COPE Code of Conduct for Journal Editors* (sections 2, 5, &17)
- Up to each journal to decide its own policy on this

What next for scholarly publishing and peer review?

Things are changing very quickly ...
prepare for a new and heterogeneous world

Will peer review survive?

In 2007: *Peer review ... at its best a very powerful and sophisticated tool ... since so much hinges on it, it is essential that it is carried out well and professionally, and that it is viewed with confidence and respect.*



In 2016 ...

Critical role of the 'editor'

... but editors have to act as editors

Being an editor is:

- not just moving manuscripts automatically through the peer-review process
- not just 'counting votes'
- not passing on editor responsibilities to reviewers
- making critical judgements ('reviewers advise, editors decide'), acting fairly and ethically

Reducing the problems at publication stage – what can journals & publishers do?

- Guidance – clear and concise information/instructions
- Policies – general and discipline-specific
- Reporting guidelines – effective implementation
- Keeping up-to-date – on new issues, on evolving areas
- Filtering information, top-down and bottom-up, translating into policies and actions
- *Don't assume even the most basic knowledge about research integrity and publication ethics issues*

Building a culture of research integrity

The pyramid of research integrity



Responsible and Ethical Practice in Research and Publication

An online video-based training course designed to promote researcher awareness and engagement with research integrity issues

The concordat to support research integrity

“ SEEKS TO PROVIDE A COMPREHENSIVE NATIONAL FRAMEWORK FOR GOOD RESEARCH CONDUCT AND ITS GOVERNANCE ”

INTRODUCTION TO RESEARCH INTEGRITY & RESPONSIBLE & ETHICAL CONDUCT OF RESEARCH

ETHICAL APPROVAL AND PRACTICE

PLAGIARISM & RECYCLING OF TEXT & RESEARCH OUTPUTS

AUTHORSHIP

COLLABORATIVE RESEARCH & DATA MANAGEMENT & INTEGRITY

PEER REVIEW & PUBLICATIONS ETHICS

6 VIDEOS

Q. A. ASSOCIATED QUIZZES & RESOURCES

BOOKLETS

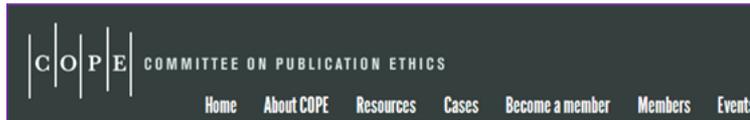
CASE STUDIES

UNIVERSITY OF DUNDEE

Find out more at www.dundee.ac.uk

RESEARCH INTEGRITY TRAINING

What can be done with peer reviews?



Who "owns" peer reviews? COPE Discussion Document

Tara Hoke and Elizabeth Moylan on behalf of COPE Council
16 September 2016

FORUM DISCUSSION TOPIC: comments please

Who "owns" peer reviews?

Two trends have recently come together within scholarly publication, open review, and the desire to give credit to review convergence are organizations like Publons and Academic Karma who wish to openly acknowledge the work of peer-review amount, but also, in some circumstances, the content of individuals' peer-review activity.

Academics may view services like this as a way to regain control over their reviews and so may be keen to sign-up and ; other hand, often conduct confidential review processes and wish to restrict the sharing of comments exchanged during

Emergence of these services therefore prompts a number of concerns and questions as to how best ensure author, editor, reviewer and jo are protected.

Questions

- Does it violate confidential/blind peer-review to reveal reviewer comments even after publication?
- What can journals do to make sure reviewer comments remain confidential?
- How can reviewers ensure they are able to share and get credit for their work?

This document aims to stimulate discussion about ownership rights in peer reviewer reports. Here we set out some of the issues that have arisen in previous discussions around peer review, some of which are specific to various models of peer review. We hope that the concepts discussed assist journal editors and publishers in establishing guidelines and practices for handling this issue. COPE welcomes additional comments from journal editors, reviewers, researchers, institutions, funders and third party services on this subject. Please email all comments to Natalie Ridgeway, COPE Executive Officer at <http://publicationethics.org/contact-us>

Introduction

Two trends have recently come together within scholarly publication: open peer review and the desire to give recognition to the work peer reviewers do (see also). At the convergence are organisations



Thank you!

Ačiū!

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