

# Wiley Executive Seminar:

## Peer Review & Ethics—COPE Forum Cases

Part 1

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**Tokyo, Japan** | 30 July 2017

**坂本長逸**

日本医科大学名誉教授 *Digestive Endoscopy* 誌 編集顧問

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*Conflict of Interest (COI) of the Presenters: No potential COI to disclose*

*Translation by Wiley-JAPAN*

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[publicationethics.org](http://publicationethics.org)

## **Workshop overview    ワークショップ概説**

### **COPE Forum cases**

#### **COPE フォーラムのケーススタディ**

- Case on peer review of suspected “salami” publication  
サラミ出版を疑われた論文の査読のケース
- Case on peer reviewer selection policy  
査読者の選定に関するケース
- Case on peer review confidentiality  
査読の秘匿性に関わるケース

## Tasks of breakout groups 1 グループ討議での課題 1

1. Each breakout group will be guided by a Wiley Workshop Facilitator.  
各グループにはワイリー社からファシリテーター(世話人)がつきます。
2. A Chair should be appointed in each group to record and report the group's decisions.  
各グループはグループのリーダーを指名し、グループの議論を記録し報告してください。
3. For the case study assigned, the group should consider the following:  
各ケースの議論に関して次の項目を考慮してください。
  - *What is the **ethics problem** in this case?*  
このケースに関する**倫理的問題**は何ですか
  - *What **action** should be taken to deal with this case?*  
このケースを解決するためにはどのような**行動**をとるべきでしょうか
  - *What **preventive measures** could be taken to avoid similar problems in the future?* 将来似たような問題が発生するのを防ぐ**予防的手段**は、どのようなものが考えられるでしょうか

## Tasks of breakout groups 2      グループ討議の課題 2

4. Each Chair will report back their group's findings to the whole audience.

各グループのリーダーは、各々のグループの討議とその結果を聴衆全体に報告してください。

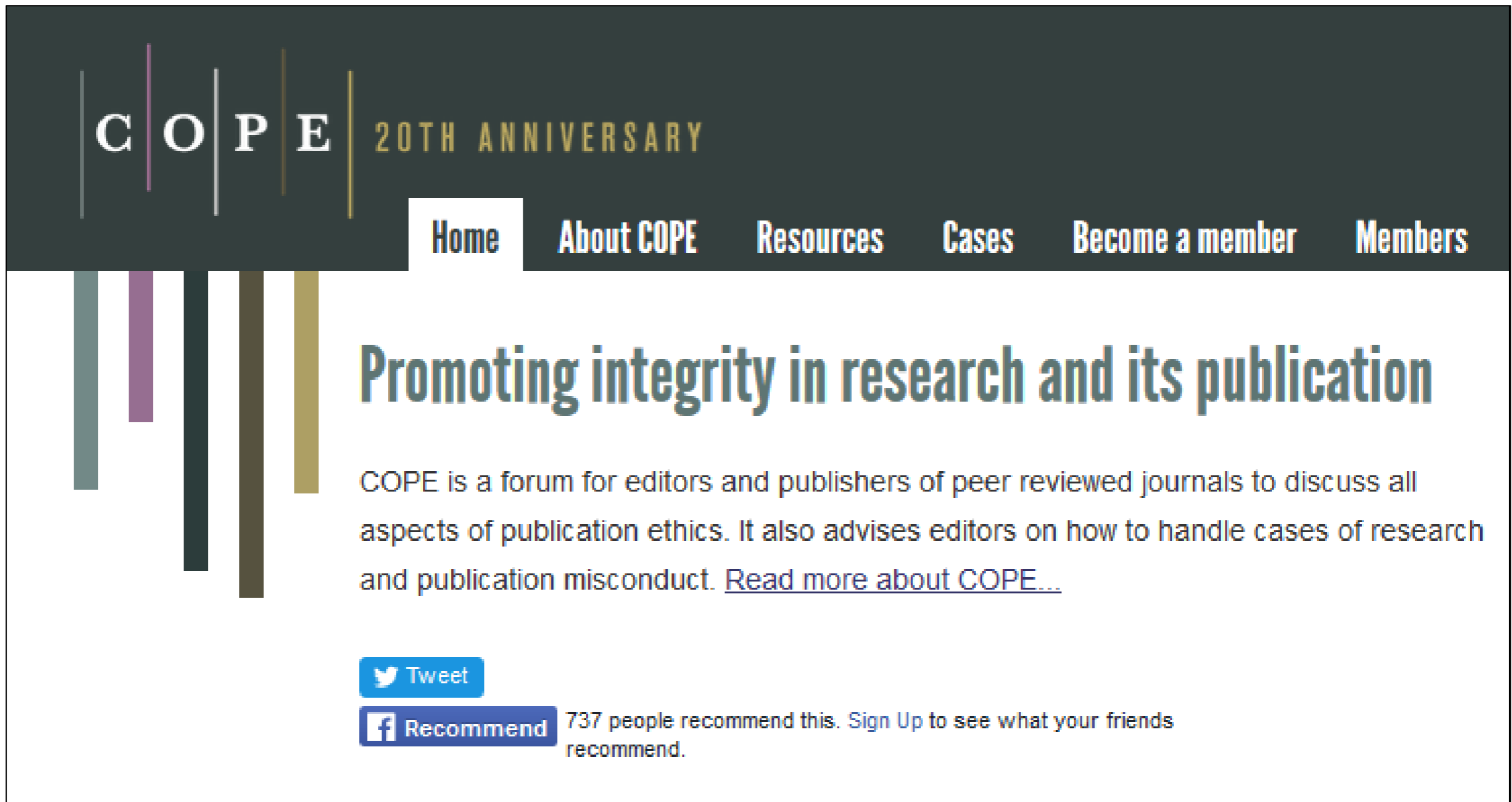
5. After each case, other groups can give comments.

各ケースの報告後、他のグループはそのケースに関してコメントすることができます。

6. Then, the COPE Forum advice and journal action will be presented.

その後、COPEフォーラムのアドバイスと各ジャーナルがとったアクションが示されます。

## Wiley Executive Seminar: Peer Review & Ethics—COPE Forum Cases

A banner for the COPE 20th Anniversary. The top part is a dark grey bar with the COPE logo (C, O, P, E letters separated by vertical lines) and '20TH ANNIVERSARY' in gold. Below this is a navigation bar with links: Home, About COPE, Resources, Cases, Become a member, and Members. The main content area has a large heading 'Promoting integrity in research and its publication' and a paragraph describing COPE as a forum for editors and publishers. It includes social media buttons for Twitter and Facebook, and a recommendation count of 737 people.

**COPE** 20TH ANNIVERSARY

[Home](#) [About COPE](#) [Resources](#) [Cases](#) [Become a member](#) [Members](#)

# Promoting integrity in research and its publication

COPE is a forum for editors and publishers of peer reviewed journals to discuss all aspects of publication ethics. It also advises editors on how to handle cases of research and publication misconduct. [Read more about COPE...](#)

[Tweet](#)

[Recommend](#) 737 people recommend this. [Sign Up](#) to see what your friends recommend.

<https://publicationethics.org>

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# Wiley Executive Seminar: Peer Review & Ethics—COPE Forum Cases

The screenshot shows the 'Resources' page of the COPE 20th Anniversary website. The header is dark grey with the COPE logo and '20TH ANNIVERSARY' text. A search bar is in the top right. The navigation menu includes Home, About COPE, Resources (highlighted), Cases, Become a member, Members, Events, News & Opinion, and Contact Us. The main content area has a 'Home' breadcrumb and a 'Resources' title. A paragraph states: 'From our Code of Conduct and our Guidelines to useful sample letters and flowcharts, COPE offers a range of useful tools for journal editors and writers.' Below this are four resource cards: 'Code of Conduct' (with a checkmark icon), 'Flowcharts' (with a flowchart icon), 'Guidelines' (with a list icon), and 'eLearning' (with a cursor icon). Each card includes a brief description and a 'View' button.

COPE 20TH ANNIVERSARY


What are you looking for

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Home

## Resources


From our Code of Conduct and our Guidelines to useful sample letters and flowcharts, COPE offers a range of useful tools for journal editors and writers.



### Code of Conduct

Through the Code of Conduct, COPE aims to define best practice in the ethics of scholarly publishing and to assist editors, editorial board members, owners of journals and publishers to achieve this.


[View Code](#)



### Flowcharts

Flowcharts are designed to help editors follow COPE's Code of Conduct and implement its advice when faced with cases of suspected misconduct.


[View Flowcharts](#)



### Guidelines

Access COPE's official guidance, including the Retraction Guidelines.

[View Guidelines](#)



### eLearning

COPE's eLearning course is designed to give editors a deeper understanding about publication ethics and practical guidance about how to detect, prevent and handle misconduct.

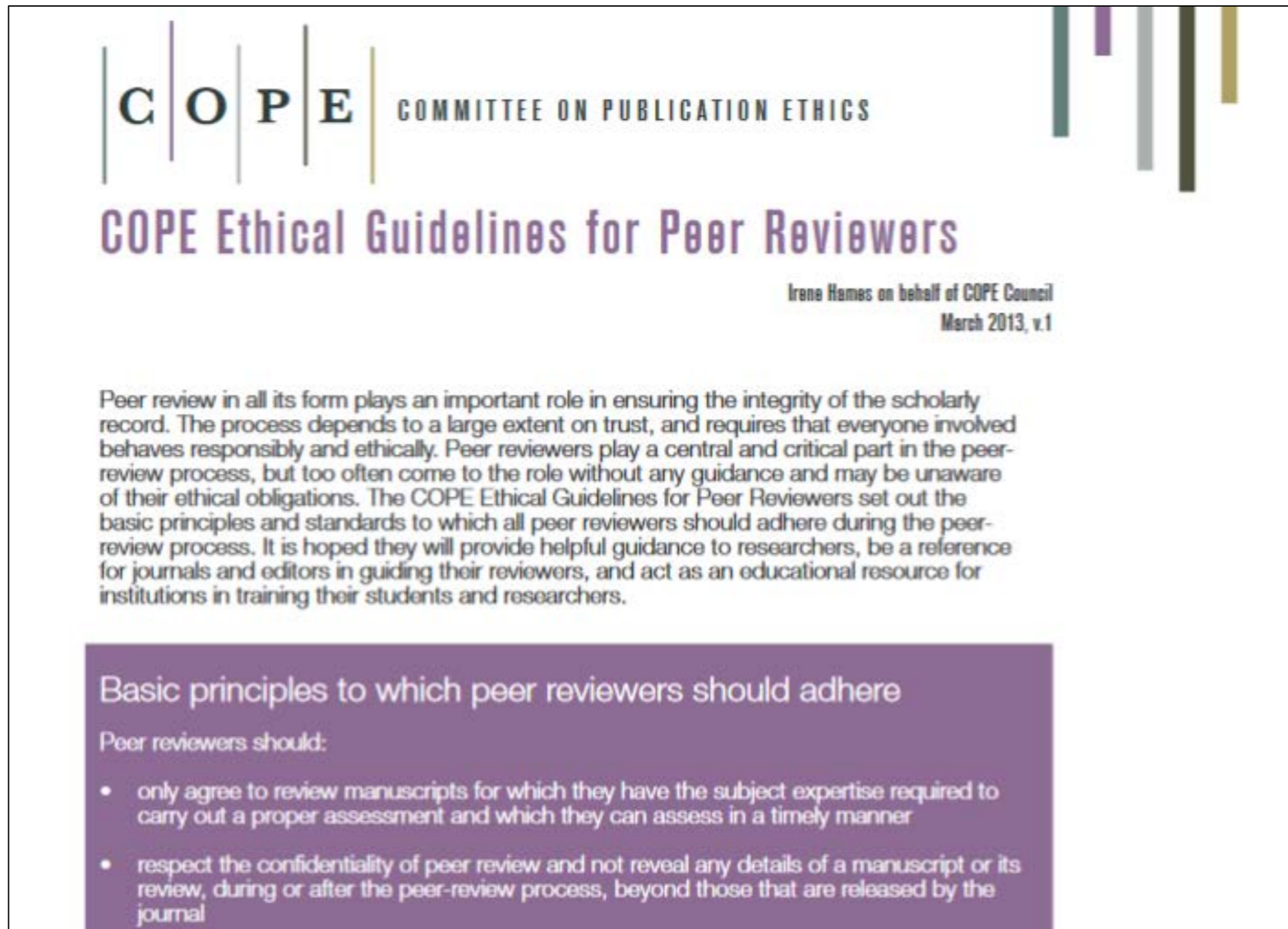
[View eLearning](#)

<https://publicationethics.org/resources>

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# Wiley Executive Seminar: Peer Review & Ethics—COPE Forum Cases

## Peer review guidelines 査読のガイドライン



[https://publicationethics.org/files/Peer%20review%20guidelines\\_0.pdf](https://publicationethics.org/files/Peer%20review%20guidelines_0.pdf)

## Statement on peer review manipulation 査読の裏工作について



The screenshot shows the COPE website with a dark header. The header includes the COPE logo with "20TH ANNIVERSARY" text, a search bar, and navigation links: Home, About COPE, Resources, Cases, Become a member, Members, Events, News & Opinion, and Contact Us. A "Sign in" button is in the top right. The main content area has a "Home" breadcrumb and a large heading "COPE statement on inappropriate manipulation of peer review processes" next to a circular graphic. The text below the heading states that COPE has become aware of systematic attempts to manipulate peer review processes and issues a statement on behalf of COPE after consultation with publishers. It mentions that some agencies offer services like authorship of pre-written manuscripts or fabricated contact details for peer reviewers. A sidebar on the right titled "Monthly archive" lists dates from April 2017 back to November 2015 with the number of articles per month.

Home

### COPE statement on inappropriate manipulation of peer review processes

The Committee on Publication Ethics (COPE) has become aware of systematic, inappropriate attempts to manipulate the peer review processes of several journals across different publishers. These manipulations appear to have been orchestrated by a number of third party agencies offering services to authors. This statement is issued on behalf of COPE after consultation with a variety of publishers to underscore the seriousness with which we take these issues and our determination to address them.

While there are a number of well-established reputable agencies offering manuscript-preparation services to authors, investigations at several journals suggests that some agencies are selling services, ranging from authorship of pre-written manuscripts to providing fabricated contact details for peer reviewers during the submission process and then supplying reviews from these fabricated addresses. Some of these peer reviewer accounts have the names of seemingly real researchers but with email addresses that differ from those from their institutions or associated with their previous publications, others appear to be completely fictitious

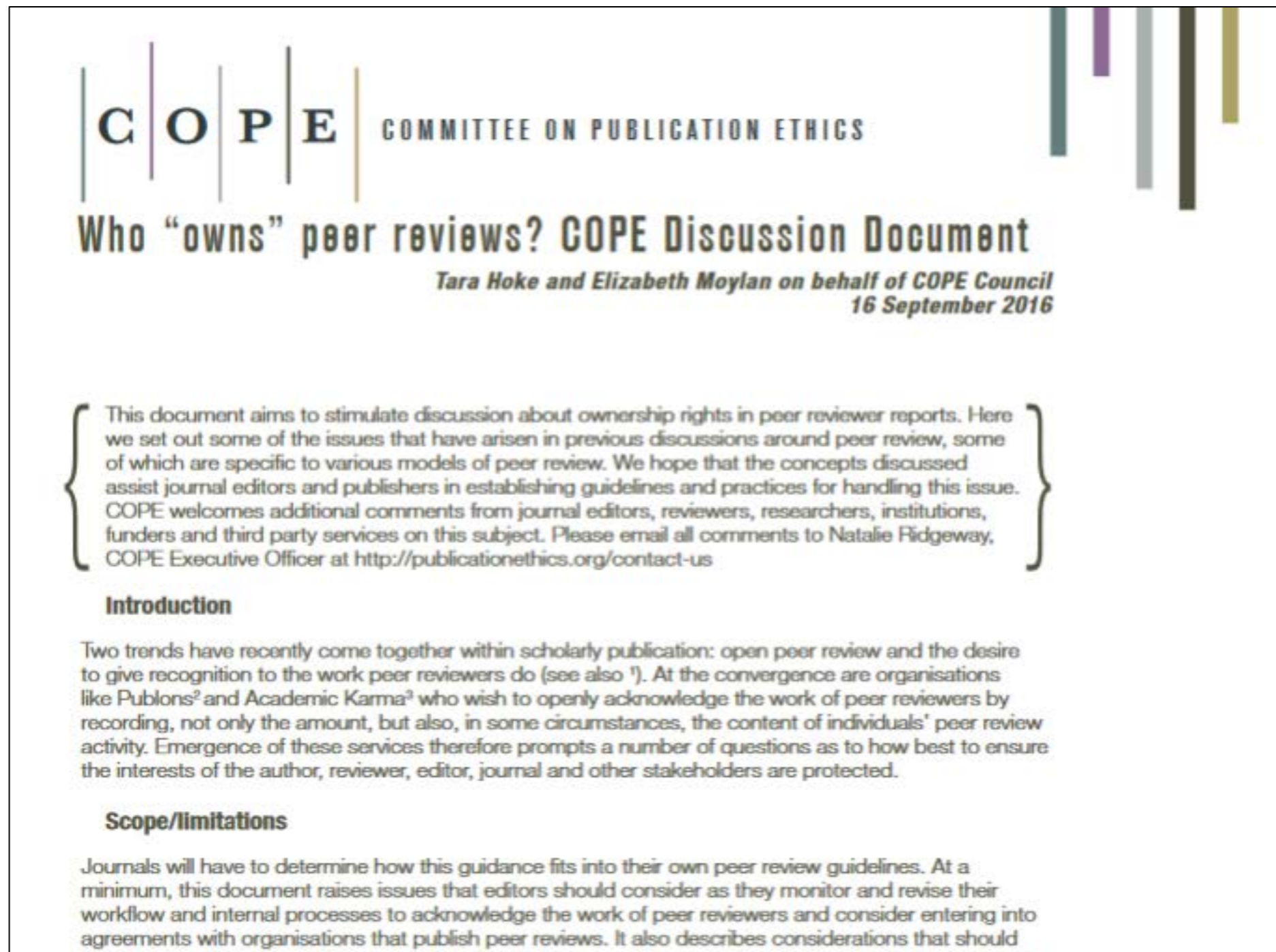
We are unclear how far authors of the submitted manuscripts are aware that the reviewer names and email

#### Monthly archive

- April 2017 (2)
- March 2017 (1)
- January 2017 (4)
- November 2016 (1)
- June 2016 (1)
- May 2016 (1)
- February 2016 (3)
- January 2016 (3)
- December 2015 (2)
- November 2015 (4)

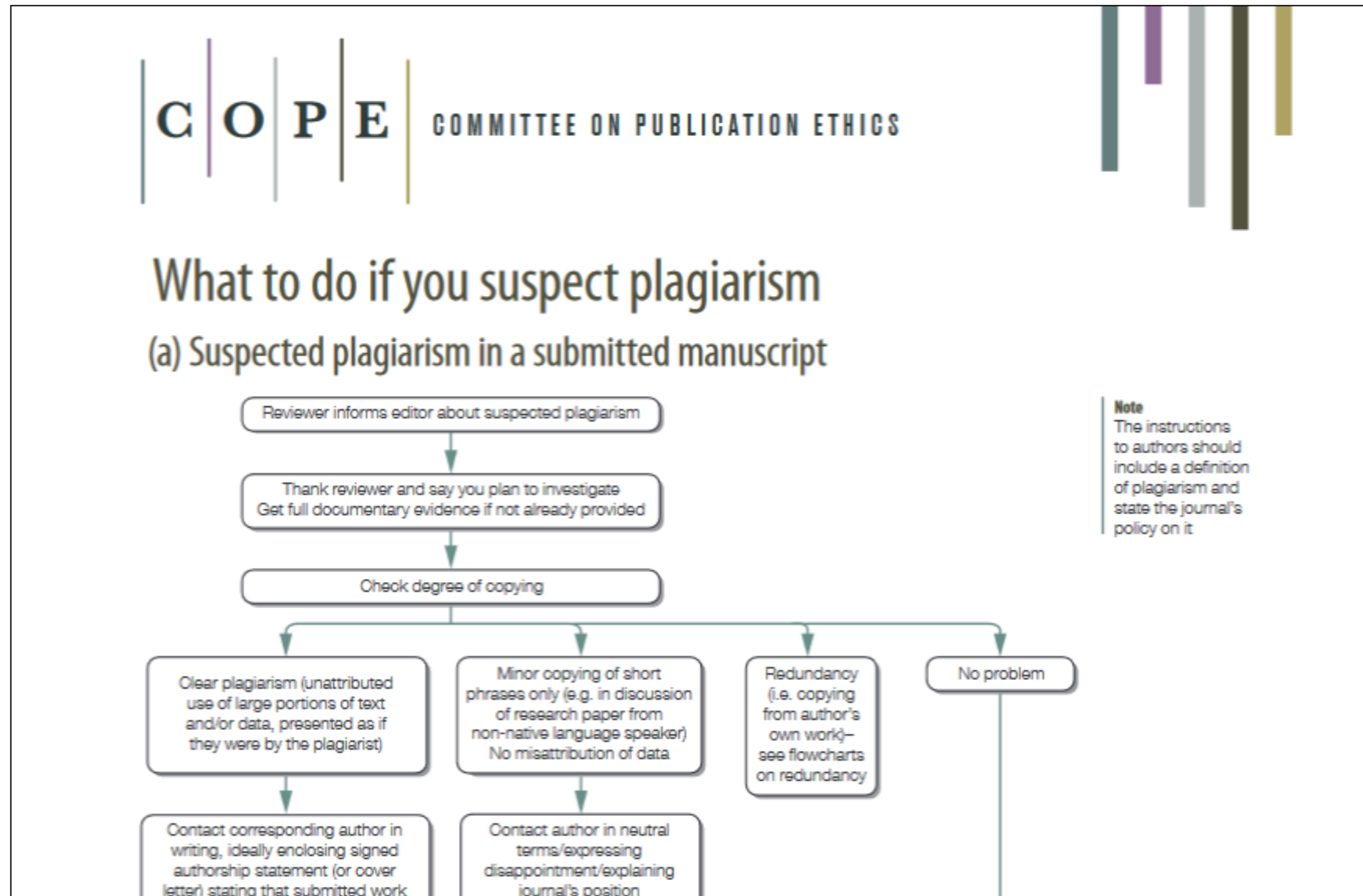
<https://publicationethics.org/news/cope-statement-inappropriate-manipulation-peer-review-processes>

## Peer review discussion document 査読に関する議論の記録



[https://publicationethics.org/files/u7141/Notes%20from%20FORUM%20discussion%20topic\\_Who%20owns%20peer%20review\\_final.pdf](https://publicationethics.org/files/u7141/Notes%20from%20FORUM%20discussion%20topic_Who%20owns%20peer%20review_final.pdf)

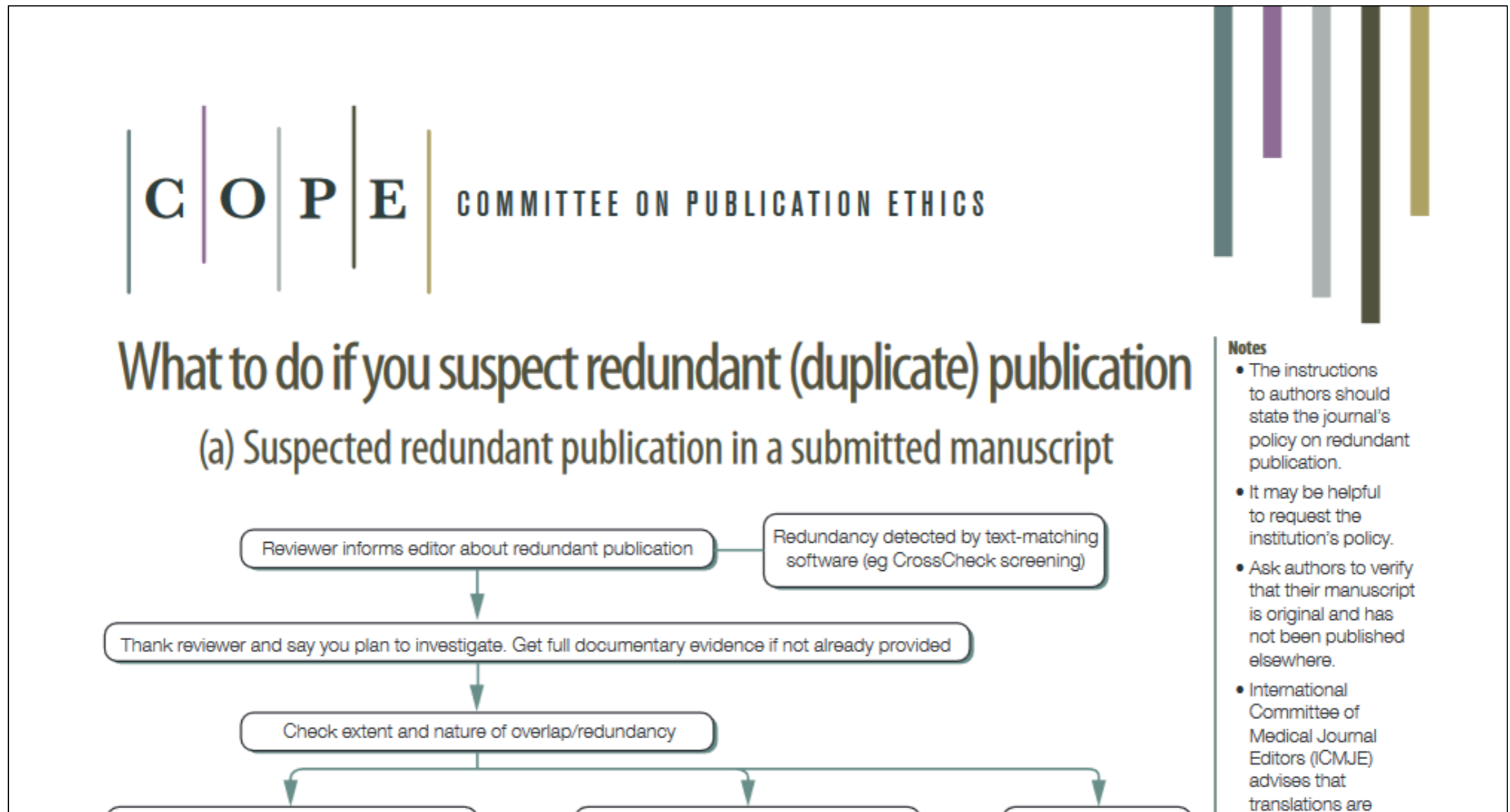
## Suspected plagiarism flowcharts 剽窃に関するフローチャート



<https://publicationethics.org/files/plagiarism%20A.pdf>

<https://publicationethics.org/files/plagiarism%20B.pdf>

## Suspected redundancy flowcharts 多重出版のフローチャート



[https://publicationethics.org/files/redundant%20publication%20A\\_0.pdf](https://publicationethics.org/files/redundant%20publication%20A_0.pdf)

<https://publicationethics.org/files/redundant%20publication%20B.pdf>

## Retraction guidelines 論文撤回に関するガイドライン



### RETRACTION GUIDELINES

#### Summary

Journal editors should consider retracting a publication if:

- they have clear evidence that the findings are unreliable, either as a result of misconduct (e.g. data fabrication) or honest error (e.g. miscalculation or experimental error)
- the findings have previously been published elsewhere without proper crossreferencing, permission or justification (i.e. cases of redundant publication)
- it constitutes plagiarism
- it reports unethical research

[https://publicationethics.org/files/retraction%20guidelines\\_0.pdf](https://publicationethics.org/files/retraction%20guidelines_0.pdf)

publicationethics.org

# Wiley Executive Seminar: Peer Review & Ethics—COPE Forum Cases

The screenshot shows the 'Cases' page of the COPE 20th Anniversary website. The header is dark with the COPE logo and '20TH ANNIVERSARY' text. A search bar is in the top right. The navigation menu includes Home, About COPE, Resources, Cases (highlighted), Become a member, Members, Events, News & Opinion, and Contact Us. The main content area has a 'Cases' heading with a graphic of overlapping squares. Below this, it states 'Showing 1–25 of 563 results.' and 'Order by: Date'. A paragraph explains the database's purpose. Another paragraph describes search options. A third paragraph encourages members to check the database before submitting a case. On the right, there is a 'Submit a case' button, a search form with fields for 'Case name (optional)' and 'Any year', a 'Search' button, and a section titled 'Search by classification' with a link to 'Questionable/unethical research (173)'.

Home

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Sign in

What are you looking for

Home

Cases

Showing 1–25 of **563** results. Order by: Date

All of the cases COPE has discussed since its inception in 1997 have been entered into a searchable database. This database now contains over 500 cases together with the advice given by COPE. For more recent cases, we also include follow-up information and outcome. We hope this database will provide a valuable resource for editors and those researching publication ethics.

You can search by classification or keyword using either the search field (top left) or by filtering your inquiry using the years and classifications/keywords listed below. A more detailed explanation of the classifications and keywords can be found on the [COPE Case Taxonomy page](#).

We encourage members to look at the database before submitting a case to the Forum to see if similar cases have already been discussed and to see the format used for presenting cases. However, please note that advice from the COPE Forum meetings is specific to the particular case under consideration and may not necessarily be applicable to similar cases either past or future.

**Submit a case**

Case name (optional)

Any year

**Search**

**Search by classification**

Questionable/unethical research (173)

<https://publicationethics.org/cases>

publicationethics.org

# **Case 1: Salami publication** **ケース1：サラミ出版**

Case Number 05-07

<https://publicationethics.org/case/salami-publication>

## Case 1: Salami publication ケース1：サラミ出版

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- **Peer reviewer noticed some data in a submitted paper had been described before, and methods were unclear**  
**査読者が、投稿された論文に以前使用されたいくつかのデータがあるのに気づいた他、手法に関する記述がはっきりしなかった。**
  - Authors said another journal told them to divide their large study into 4 papers; all were cross-referenced

著者達は（以前に投稿した）他のジャーナルで著者達の大規模研究を4つの論文に分けるようアドバイスされ、すべての論文がお互いに引用していると主張

- This paper had a different hypothesis and method; authors tried to clarify in a revision

この論文には（他の論文とは違う）仮説と方法があり、それを改訂によってよりはっきりさせようとしたと主張

## Case 1: Salami publication ケース1：サラミ出版

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- **Original peer reviewer checked revision**  
**元の論文の査読者が改訂論文を査読**
  - Found ~2/3 of data had been described before, unclear number of participants; recommended rejection  
  
約3分の2のデータがすでに報告されたもので、  
研究の対象参加者の数もあいまい。投稿受付を拒否することを推奨
  - Editors suspected salami publication  
  
編集委員はサラミ出版を疑った

**What should the editors do?      編集委員は何をすべきか**

# Case 2: Peer reviewer selection policy

## ケース2：査読者の選定方針について

Case Number 16-08

<https://publicationethics.org/case/author-requests-certain-experts-not-be-included-editorial-process>

**Case 2: Peer reviewer selection policy**  
**ケース2：査読者の選定方針について**

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- **Journal received submission with request about reviewers**  
**ジャーナルに論文が、査読者に対するリクエストとともに投稿された**

- Paper disagreed with a published guideline paper

投稿された論文はすでに出版されているガイドラインとは見解が異なっていた。

- Author requested that (unnamed) experts who wrote the guidelines not be invited as reviewers, including some of the editorial board

著者は具体名は挙げなかったが、何人かの編集委員を含む、ガイドラインを執筆した専門家を査読者として招待しないようリクエストした。

- He would complain if the peer review seemed biased

もし査読にバイアスがみられるようであったら苦情を申し立てる、と言った。

**Case 2: Peer reviewer selection policy**  
**ケース2：査読者の選定方針について**

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- **Journal policy is to ask all reviewers and editorial board members to declare Conflicts of Interest when reviewing a paper**  
**ジャーナルの方針としては論文を査読するときに、すべての査読者と編集委員に利益相反を開示するように求めている**

- Conflicts of Interest considered with reviews

査読に関しては利益相反は考慮されている

- Reviewers and editors can ask to be excused if they feel they cannot be impartial

査読者や編集委員は自分が中立にはなりえないと感じた場合は査読から外してもらうように求めることは可能

**What should the editors do?      編集委員は何をすべきか**

# Case 3: Peer review confidentiality

## ケース3：査読の秘匿性

Case Number 16-12

<https://publicationethics.org/case/author-rejected-paper-publicly-names-and-criticises-peer-reviewer>

## Case 3: Peer review confidentiality ケース3：査読の秘匿性

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- **A journal using “open” peer review rejected a paper, which was published in another journal**  
「オープン」査読（査読者名が著者に開示される）を採用しているジャーナルで、ある論文を採択せず、その論文は他のジャーナルで出版された。
  - In a media interview and in Twitter, an author named a peer reviewer from the first journal, implying he did not reveal Conflicts of Interest and had recommended rejection  
あるメディアとのインタビュー、さらにtwitterで著者がある査読者の名前を挙げて、査読者が利益相反を開示せず、論文を不採択と判断したと示唆した。
  - Peer reviewer was criticized in Twitter and email  
査読者はTwitterとメールで批判を受けた
  - Journal told author it was disappointed she did not complain to the journal instead; she apologized  
ジャーナルは著者に対して直接ジャーナルに不服申し立てをなったことに対する失望を表明し、著者はそのことに対する謝罪をした。

### Case 3: Peer review confidentiality ケース3：査読の秘匿性

- Peer reviewer wanted public to see his report was positive; reviewers and authors agreed to break peer review confidentiality in journal blog  
査読者は公衆に自分の査読はポジティブなものであったことを知ってもらいたいと要望し、著者と査読者全員が査読の秘匿性を破ってジャーナルのブログで査読に関して公開することに同意
- Journal revised its instructions for authors and rejection letters:  
ジャーナルは投稿規定と不採択のレターを変更した
  - For rejected papers, keep reviewer names/reports confidential  
不採択となった論文に関しては査読者の名前と査読レポートは秘匿されなければならない
  - Confidentially share reports, not names, with other journals  
査読レポート（査読者名ではなく）は秘匿性を保ったまま他のジャーナルと共有することができる
  - Contact handling editor if complaints  
不満がある場合は担当の編集者に申し立てること

**What else should the editors do? 他に編集委員は何をすべきか**

# Wiley Executive Seminar:

## Peer Review & Ethics—COPE Forum Cases

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Part 1

*Any questions?*

**坂本長逸**

日本医科大学名誉教授 Digestive Endoscopy 誌 編集顧問

**Dr Trevor Lane**, COPE Council Member

Education Director & Senior Publishing Consultant, Edanz Group Japan

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