COPE Seminar 2021

Driving diversity, equity, and inclusion

to shape the future of publication ethics

Thursday 30 September, 12:00 - 13:15 (BST)


James Kigera

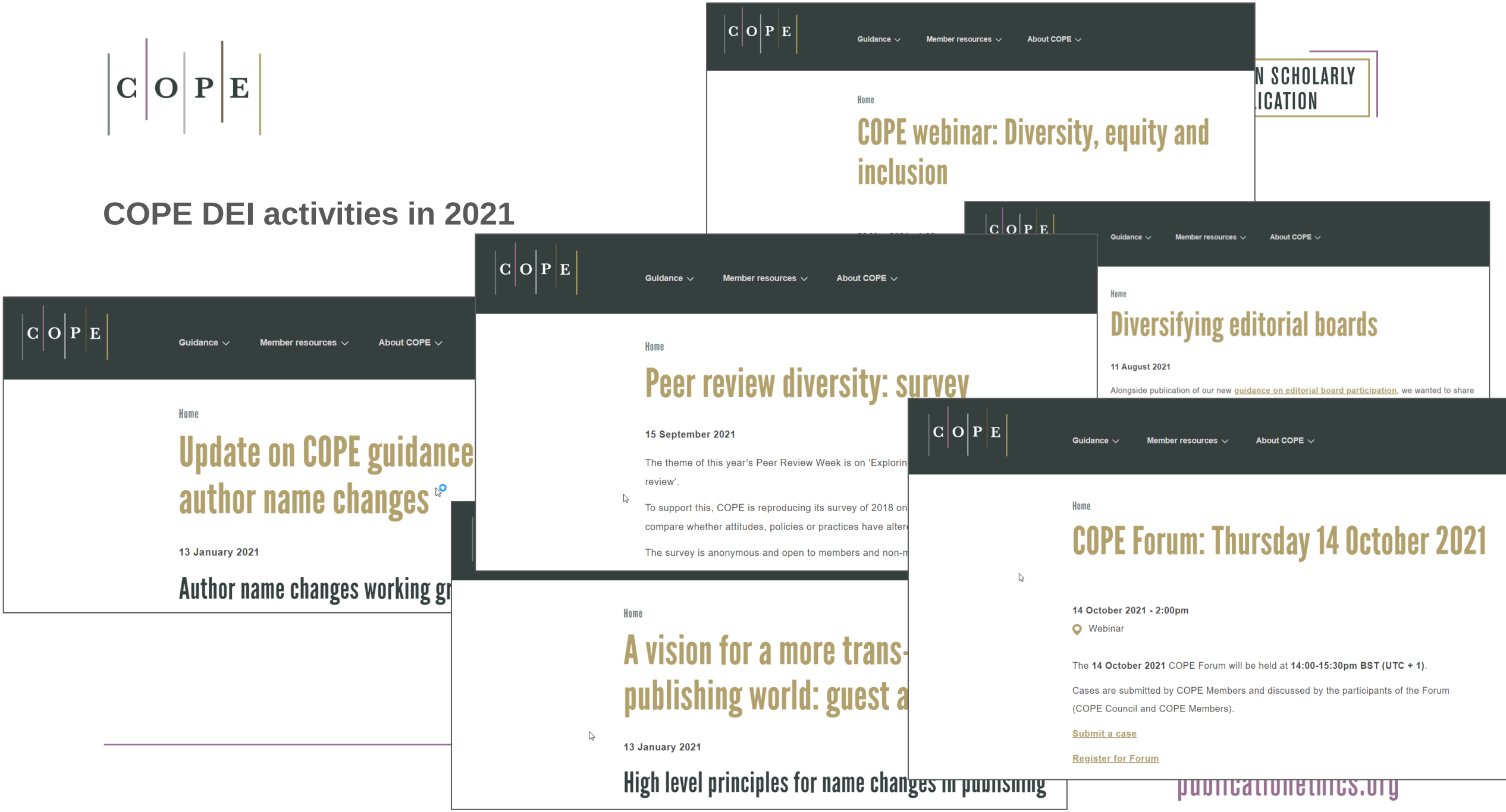

Randy Townsend


Holly J Falk-Krzesinski


Caroline Porter (Moderator)

#CØPE2021

COPE DEI activities in 2021



PROMOTING INTEGRITY IN SCHOLARLY RESEARCH AND ITS PUBLICATION

Driving diversity, equity and inclusion to shape the future of publication ethics

Holly J Falk-Krzesinski
Vice President, Research Intelligence, Elsevier

Collecting diversity data

James Kigera
Editor in Chief
Annals of African Surgery

Creating diverse and representative editorial boards

Randy Townsend
Director, Publications, American Geophysical Union

Managing allegations of discriminatory behavior

Gender and Race & Ethnicity Identity Data in Journal Editorial Management Systems

Work in Progress

Holly J. Falk-Krzesinski, PhD (she/her)
Vice President, Research Intelligence, Global Strategic Networks
Co-Chair, Gender Equity Taskforce

September 30, 2021

The importance of data – two approaches

To achieve greater diversity and improve inclusion across the research workforce across gender and race & ethnicity dimensions we must be able to measure the current state at different levels and measure the effect of interventions

Large scale scientometric studies

API) e.g., Global Gender Report, SDG gender study, effect of COVID-19 pandemic on women researchers

- Inferred binary gender methodology for assessing trends, change over time and comparisons between fields and subfields
- Will remain a powerful approach for meaningful context, goal is to be able to extend to gender *and* intersectionality

Analysis of self-reported user* data

with Elsevier

- Supports data-informed goal setting and decision making at the individual journal and portfolio levels, supports Editors and Publishers in aligning on goals
- Collaborative, buy-in and trust building are key for both internal and external stakeholders

*Refers to editors/editorial board members, reviewers, and authors interfacing with the editorial management system

ELSEVIER

Major considerations

Data

- New data field or revised existing data field
  - Question
  - Options
  - Single or multiple option selection

Platform

- Implementation considerations
  - Technology
  - Legal & Privacy Policy
  - Prioritization
  - Communication

Updated **Gender Identity** Data Field

Gender Identity

With which gender do you most identify? Please choose **one** option:

- Woman
- Man
- Non-binary or Gender diverse
- Prefer not to disclose

Elsevier is deeply committed to inclusion and diversity in research. Please help us in advancing gender diversity, inclusion and equity in research and informing our own processes by responding to the question below. The data will only be reported at an aggregate level. Refer to the Elsevier Privacy Policy

In discussions with Privacy team about how to handle Elsevier employees who have roles in Aries Editorial Manager

Platform

Technology

- Multiple existing/legacy systems that are not currently linked
  - Aries Editorial Manager (EM)
  - Internal editorial tracking system (ERMS)
- Interoperability and consistency between multiple systems
  - SSO development
  - Merging or de-duplication of collected data from multiple profiles
- Data standards for systems
- Ability to include open-ended options
- Appropriate access controls
- Data storage & security
- Platform development roadmap planning & timing

Legal & Privacy Policy

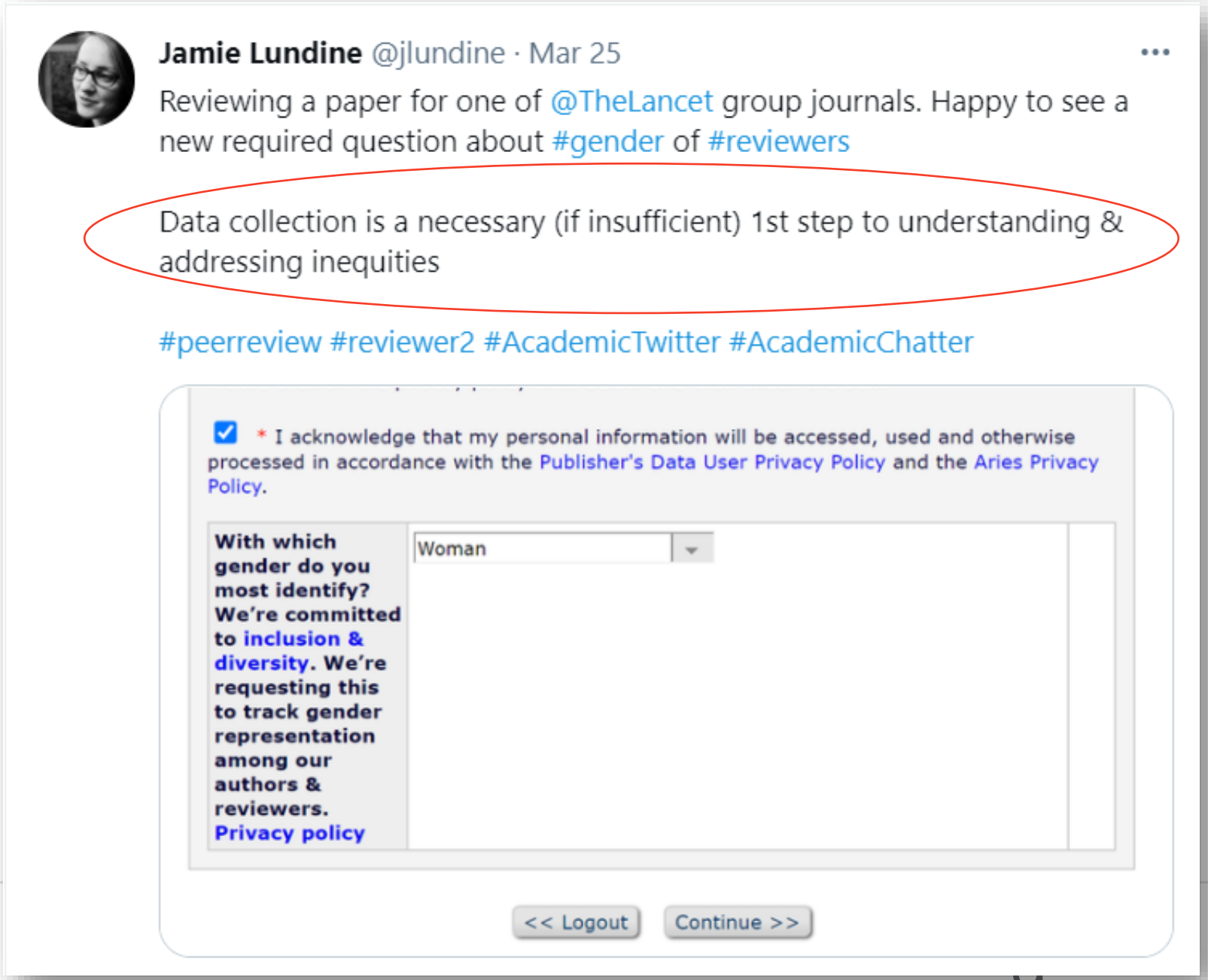
- GDPR, CCPA and other such data privacy policies
- Data retention policies
- External stakeholders vs. Elsevier employees

Prioritization of Stakeholders

- All at once vs. Phased

Communication

- Robust and transparent communication


Jamie Lundine @jlundine · Mar 25
Reviewing a paper for one of @TheLancet group journals. Happy to see a new required question about #gender of #reviewers
Data collection is a necessary (if insufficient) 1st step to understanding & addressing inequities
#peerreview #reviewer2 #AcademicTwitter #AcademicChatter
* I acknowledge that my personal information will be accessed, used and otherwise processed in accordance with the Publisher's Data User Privacy Policy and the Aries Privacy Policy.
With which gender do you most identify? We're committed to inclusion & diversity. We're requesting this to track gender representation among our authors & reviewers. Privacy policy
Woman
<< Logout
Continue >>

Extending to race & ethnicity identity data

- Lack of universality for global application
- R&E schema variability in terms of race vs. ethnicity
- Nationally focused
- Multiple options vs. a preferred single option
- Legal & policy considerations
- Greater sensitivity to this demographic data compared with Gender Identity
- Increased hesitancy when asked to answer multiple personal demographic data questions

Collective action to develop a global R&E schema

- Collaboration with Joint Commitment group, led by Royal Society of Chemistry
- Draw on published literature
- Subject matter expert
  - Prof. Ann Morning, PhD, NYU
- Input from ELS I&D Advisory Board
- Additional internal and external input
- Global testing
- Iterative
- Shared with all editorial management platforms (Aries Editorial Manager, Clarivate ScholarOne, others)

Guiding principles & practicality

- The level of aggregation and number of options we offer to respondents has to parallel the scale of diversity we can practically accommodate, e.g., diversity on editorial boards, as referees, or invited speakers for conferences
- This approach ties to both survey best practice and the legitimate interest requirement of GDPR (CCPA, etc): we should not capture data that we do not intend to convert to actionable output
- Our intention is *not* to devise a single, objective or prescriptive “truth” about researchers’ race & ethnicity, rather develop a set of options that resonate with stakeholders we serve from around the globe such that they are willing to self-report their racial & ethnic identity

Two-question Race & Ethnicity schema* for survey

Elsevier is deeply committed to advancing **diversity, inclusion and equity in research**. Please help us achieve this goal and inform our own processes by responding to the questions below. As a reminder, responses are confidential, and the data will only be reported at an aggregate level. For additional information refer to the Elsevier Privacy Policy.

Which of the following best describes your **Ethnic Origin(s)**?
Please select all that apply.
Eastern Europe (e.g. Russia, Poland, Hungary)
Western Europe (e.g. United Kingdom, Germany, Greece)
North Africa (e.g. Morocco, Egypt, Sudan)
Sub-Saharan Africa (e.g. Nigeria, Kenya, South Africa)
West Asia / Middle East (e.g. Israel, Saudi Arabia, Iran)
South and Southeast Asia (e.g. India, Indonesia, Singapore)
East and Central Asia (e.g. China, Japan, Uzbekistan)
Pacific / Oceania (e.g. Australia, Papua New Guinea, Fiji)
North America (Canada, United States)
Central America and Caribbean (e.g. Mexico, Panama, Jamaica)
South America (e.g. Colombia, Brazil, Chile)
Other (please specify)_____
Prefer not to disclose

How do you identify yourself in terms of **Race**?
Please select all that apply.
Asian or Pacific Islander
Black
Hispanic or Latino/a/x
Indigenous (e.g. North American Indian Navajo, South American Indian Quechua, Australian Aborigine)
Middle Eastern or North African
White
Other (please specify)_____
Prefer not to disclose

The survey platform allowed for write-in answers (which isn't possible within Editorial Manager nor Scholar One platforms)

** This schema is based on an initial, draft Joint Commitment single-question Ethnoracial schema and recommendations from external SME Prof. Ann Morning, NYU*

Representation and comfort questions

In respect to Ethnic Origins and Race. Please indicate how much you agree or disagree with the following statements. To see the options again for Ethnic Origins and/or Race, please hover-over the corresponding words.

	Strongly agree	Agree	Neither agree nor disagree	Disagree	Strongly disagree	Don't know
I feel I am well represented…						
...in the options for **Ethnic Origins** (1)	☐	☐	☐	☐	☐	☐
...in the options for **Race** (2)	☐	☐	☐	☐	☐	☐
I am comfortable indicating my **Ethnic Origins** and **Race** when…						
…submitting an article for publication (3)	☐	☐	☐	☐	☐	☐
…serving as an Editor or Editorial board member (4)	☐	☐	☐	☐	☐	☐
...serving as a reviewer on a journal (5)	☐	☐	☐	☐	☐	☐

- If any ‘Disagree’ and ‘Strongly disagree’ responses for the above then respondent gets an additional Q, randomly* selected:
  - You indicated that you disagree with the statement. Why do you disagree? Please write your response in the box below

* The purpose of random follow up is to keep the survey length manageable, we ask only one follow-up in this section per respondent. Given the volume of responses we expect to receive we should have sufficient verbatims across the five rating statements for us to understand why people disagree. Asking 5 Open ends in a row would be far too demanding for a respondent.

High level survey results

- The percentage of respondents selecting Prefer Not to Disclose was almost double for Race (7.8%) compared with Ethnic Origins (4.1%) and Gender (4.4%).
- Over two-thirds feel they are well represented in the options for Ethnic Origins (71%) and in the options for Race (67%). One in ten feel they are not well represented in the options for Ethnic Origins (10%) and similarly, for options for Race (10%).
- Around half are comfortable indicating their Ethnic Origins and Race when submitting an article for publication (49%), serving as an Editor or Editorial board member (54%) or serving as a reviewer on a journal (53%). Just over a quarter are not comfortable indicating Ethnic Origins and Race in each of these three scenarios.

Project team

Core team

- **Jessica Alexander**, MA General Counsel, Content
- **Holly J. Falk-Krzesinski,** PhD, Co-Chair, Gender Equity Taskforce & Vice President, Research Intelligence, Global Strategic Networks
- **Bahar Mehmani**, PhD, Reviewer Experience Lead
- **Darci Friedman**, JD, Principal Product Manager, Trust & Transparency Squad
- **Keith Gutfreund**, Senior Enterprise Architect
- **Tessa Darbyshire**, PhD, Scientific Editor, Cell Press
- **Elena Porro**, PhD, Director Strategic Initiatives, Engagement Director, I&D Advisory Board

External partners and advisors

- **Ann Morning**, PhD, Professor of Sociology, New York University
- **Laura Norton**, PhD, Senior Programme Manager, Inclusion and Diversity, Royal Society of Chemistry
- **Ale Palermo**, PhD, Senior Manager, External Relations and Head of Diversity, Royal Society of Chemistry
- **Elian Carsenat**, Founder & Consultant, NamSor

Internal specialists and advisors

- **Helen Gainford**, Director, Privacy and Data Protection
- **Adrian Mulligan**, MSc, Research Director, Customer and Market Insights
- **Hans Zijlstra**, Research Metrics Product Manager
- **Tom Watkins**, BI & Data Governance, Customer Data
- **Fiona Macnab**, MA, Deputy Publishing Director, The Lancet Group
- **David Collingridge**, PhD, Editor-in-Chief, *The Lancet Oncology*
- **Andrew Plume**, PhD, Director, Research Evaluation and International Center for the Study of Research
- **Marvin Thielk**, PhD, Data Scientist & Machine Learning
- **Tom Collins**, MS, PhD, Data Scientist, Research & Data Services Engineer, Content Operations
- **Jennifer Pamphile**, MPH, Collaboration Manager, Research Collaboration Unit

Thank you

Holly Falk-Krzesinski: H.Falk-Krzesinski@Elsevier.com

THE ANNALS OF AFRICAN SURGERY

DEI in African Surgery – Our Experience

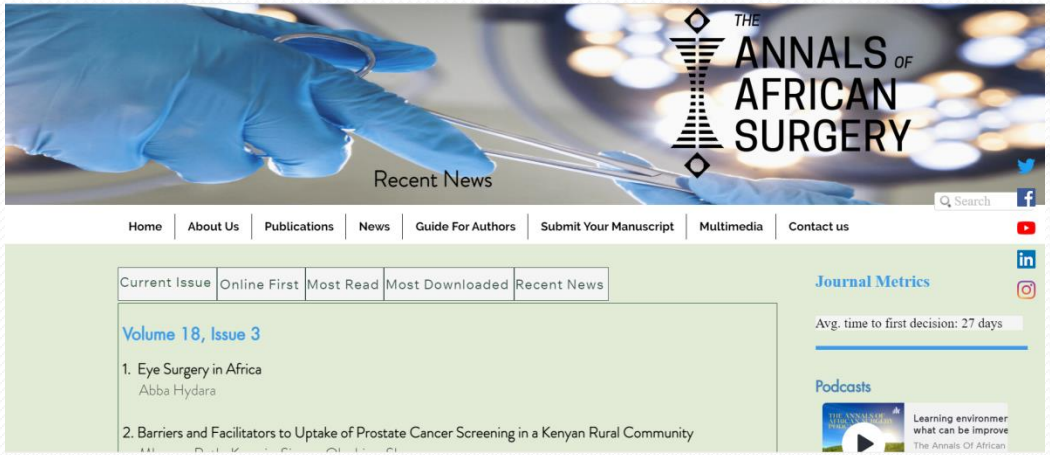
Dr James Kigera
Editor in Chief
Annals of African Surgery

SURGICAL SOCIETY OF KENYA SSK

THE ANNALS OF AFRICAN SURGERY

Annals of African Surgery

- Quarterly
- All Aspects Surgery
- Founded 2017
- Published by Surgical Society of Kenya
- Premier Surgical Read in the Continent
- Medium for Scholarly exchange
- Member of AJPP



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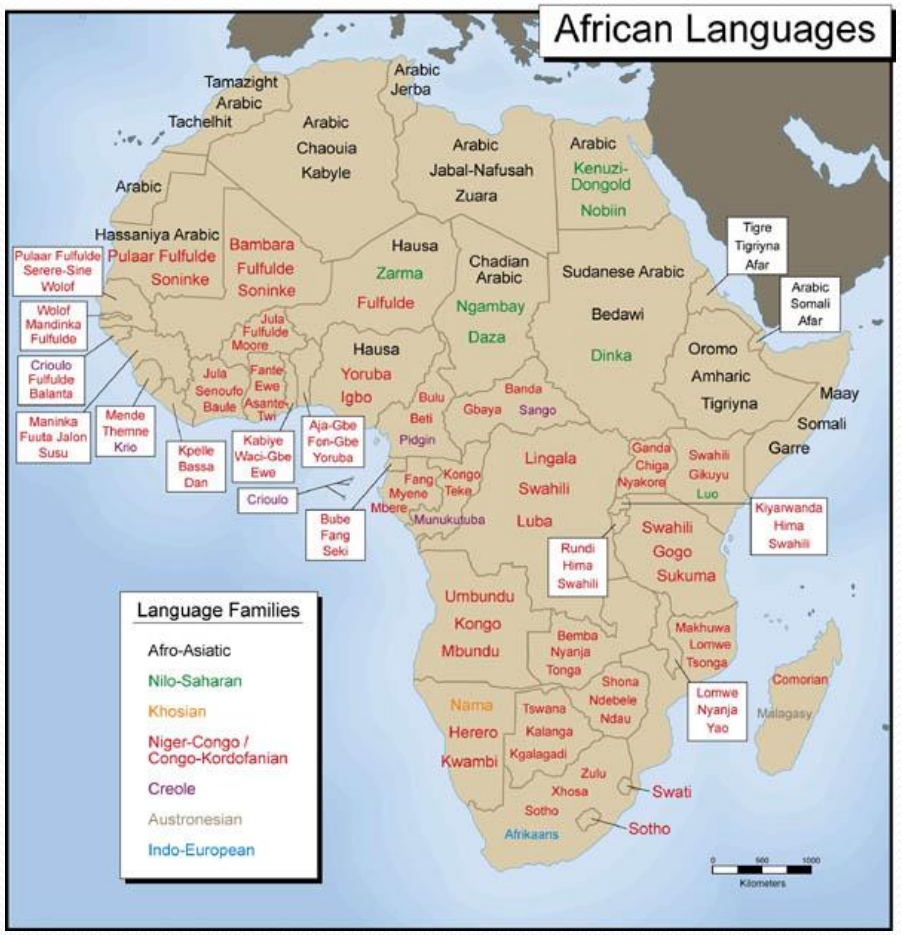
African Surgical Challenges

- Fewer Numbers
- Male Dominated (91%)
- Age
- Language



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Nairobi, Kenya

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Nairobi, Kenya

DR. NATHALIE CHRISTELLE GHOMSI
ASSISTANT EDITOR
Abidjan, Côte d'Ivoire

- 20% Female
- 13% Trainees
- 50% Within 5 yrs of Qualification
- 11 Countries

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Why Would You Want Diversity?

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- Representative of Scope, Reach
- Fairness
- Dilute Unconscious bias
- New Ideas

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What Are We Trying?

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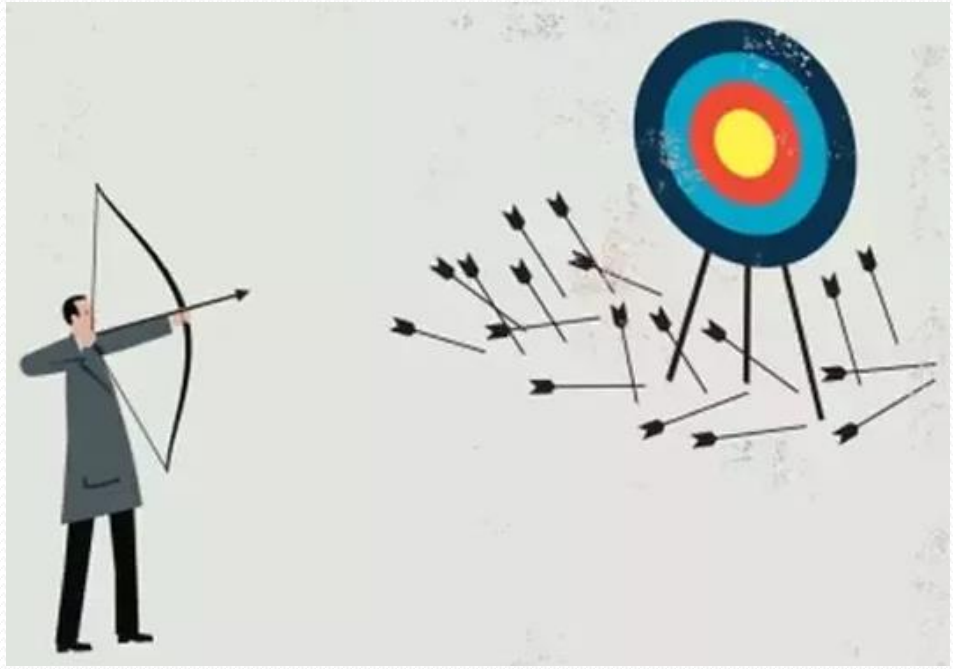
Create a Pipeline

Interns
- Medical Students
- Workshop Participants

Reviewers
- Surgical Trainees/Early Career
- Specialty/Country ? Gender

Editors
- Early Career Surgeons
- Country/Gender/Specialty/Age

Train



- Recruitment
  - Advertise
  - Head hunt
- Training
- Feedback

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How We Plan To Improve…

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Seek and Ye Shall Find

- Advertise
- Ask for Nominations
- Head Hunt

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Who?

- Interested
- Similar Aspirations
- Respected
- Willing/Able

How?

- Work with All Stakeholders
- Recruit
- Train
- Support
- Workload Balance
- Measure Impact
- Improve

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Thank You

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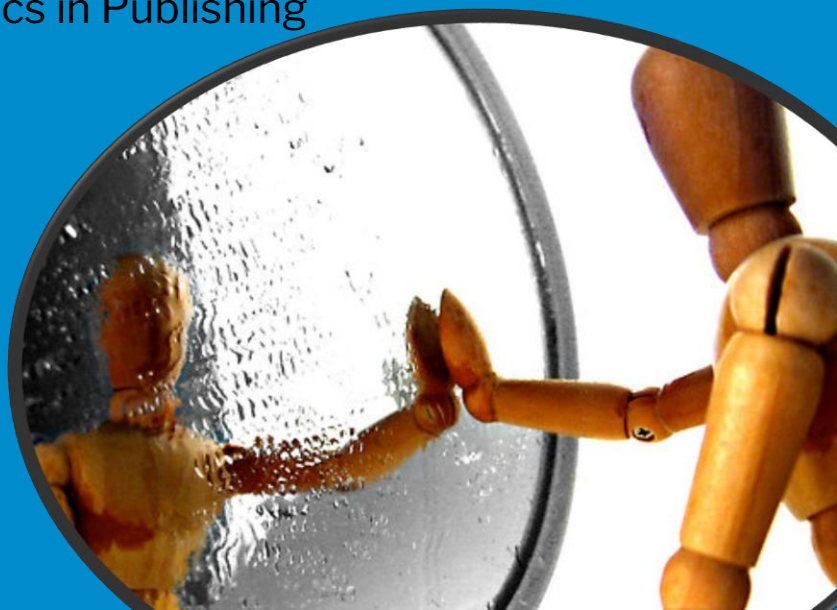
Driving diversity, equity, and inclusion to shape the future of publication ethics

Managing allegations of discriminatory behavior

Randy Townsend

Director, Publications Operations | AGU
Editor in Chief | GW Journal of Ethics in Publishing
Pronouns | He, Him, His
ORCID | 0000-0001-7001-5505



MIRROR, MIRROR

Who We Are

vs

Who We Aspire to Be

HONESTY

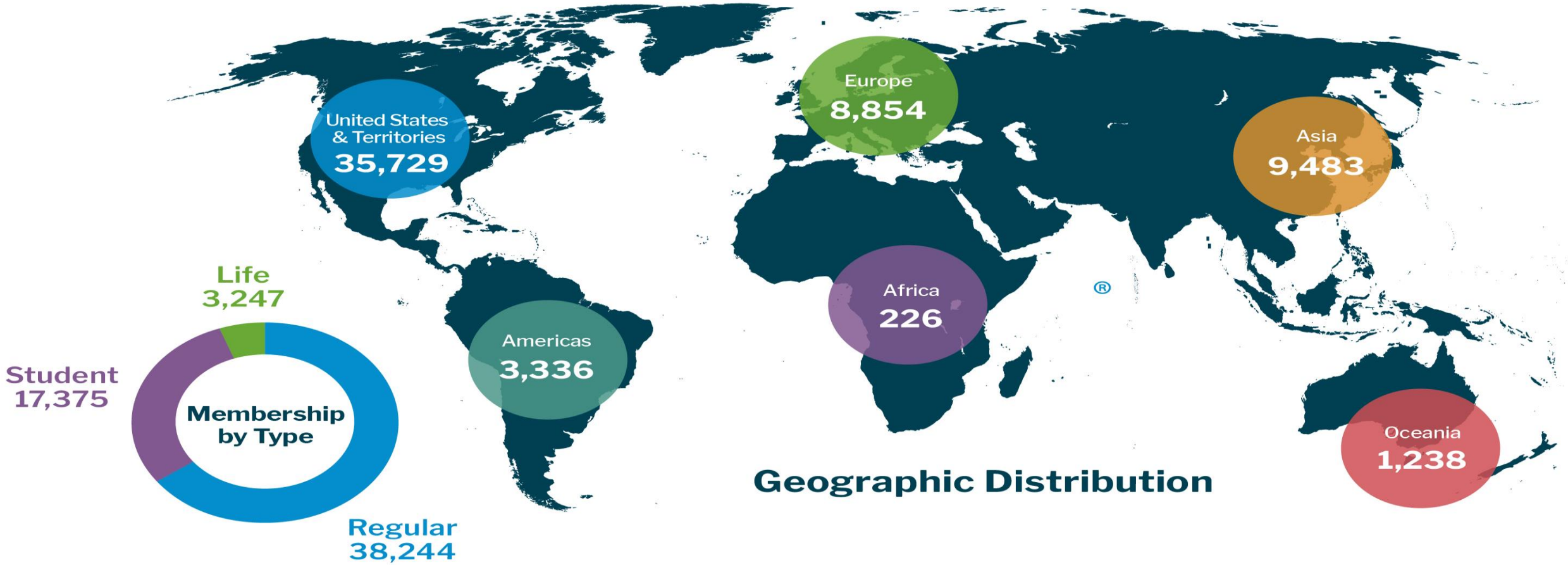
HUMILITY

AUTHENTICITY

CREDIBILITY

AGU Global Membership

AGU Members Resided in 145 Countries in 2020



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AGU By the Numbers

130,000+
worldwide experts to enthusiasts in the Earth and space sciences

277,000+
social media followers

51,000+
authors

25,400+
#AGU20 Fall Meeting attendees

712
editors and associate editors

10,000+
reviewers

20,000+
volunteers

~500
members of Union-level committees, task forces and advisory boards

75
council members

16
members of the board of directors

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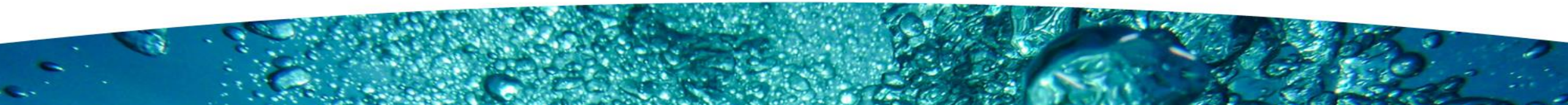
AGU GUIDELINES

AGU is committed to upholding the highest level of scientific integrity and professional ethics in all of its activities in order to preserve and enhance its position as a global authority in the scientific community. To this end, AGU has established a set of guidelines for scientific integrity and professional ethics (PDF) for the actions of the members and the governance of the union.

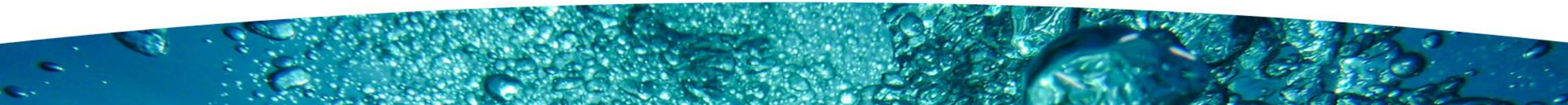
These guidelines apply to the conduct of scientific research and its submission for publication. It applies to authors, as well as reviewers and editors involved in the peer review processes. In general, AGU follows the standards of the Committee on Publication Ethics (COPE). Per these guidelines, scientific research, and the preparation of the results, must be free of any impropriety or undisclosed conflicts of interest. Intentional plagiarism, fabrication, or falsification are serious examples of scientific misconduct and as such are inappropriate actions that will discredit the union and compromise the integrity of science. If there is a concern with the peer review or publication of research in an AGU journal, authors are encouraged to follow the guidelines to file a formal appeal.



MISCONDUCT

AGU members will not engage in **discrimination**, **harassment**, **bullying**, dishonesty, fraud, misrepresentation, coercive manipulation, censorship, or other misconduct that alters the content, veracity, or meaning of research findings or that may affect the planning, conduct, reporting, or application of science. This applies to all professional, research, and learning environments.

Code of Conduct | AGU Scientific Integrity and Professional Ethics Policy, 2017



DISCRIMINATION

Discrimination means unequal or unfair treatment in professional opportunities, education, benefits, evaluation, and employment (such as hiring, termination, promotion, compensation) as well as retaliation and various types of harassment. Discriminatory practices can be explicit or implicit, intentional, or unconscious.

Code of Conduct | AGU Scientific Integrity and Professional Ethics Policy, 2017

Ethical Obligations of Editors of Scientific Journals (5 of 9)

1. Provide unbiased consideration to all manuscripts offered for publication, judging each on its merits without regard to ethnic origin, race, religion, citizenship, language, political or other opinion, gender, gender identity, sexual orientation, disability, appearance, age or economic class seniority, or institutional affiliation of the author(s).
2. Process all manuscripts promptly, with fairness, equity, and respect.
3. Take full responsibility for acceptance or rejection of a manuscript, working in the best interest of science and excellence and utilizing the recommendations of peer reviewers. Manuscripts may be rejected without review if considered inappropriate for the journal, and Editors may consult with Associate Editors or reviewers to aid in this decision.
4. Ensure the peer review process is objective, fair, and thorough. Be vigilant in avoiding conflict of interest, bias, discrimination, harassment, bullying or ad hominem attacks among reviewers and authors.
6. Respect the intellectual independence of authors. Results that are at variance with the dominant paradigm, as well as null results, should be given full and equal consideration based upon the criteria of importance, originality, clarity, and relevance.

'Eight reasons I rejected your article'

Peter Thrower, PhD; Elsevier Direct, 2012

I'm from a rival institution

I'm a woman

1. It fails the technical screening.
2. It does not fall within the **Aims and Scope**.
3. It's incomplete.
4. The procedures and/or analysis of the data is seen to be defective.
5. The conclusions cannot be justified on the basis of the rest of the paper.
6. It's simply a small extension of a different paper, often from the same authors.
7. It's incomprehensible.
8. It's **boring**.

English is my second language

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AGU's New Appeal Process

- Funnel Communications
- Validate Concerns
- Offer Transparency

- Everybody gets emailed
- Feelings of being dismissed instead of heard
- Clarifying due process

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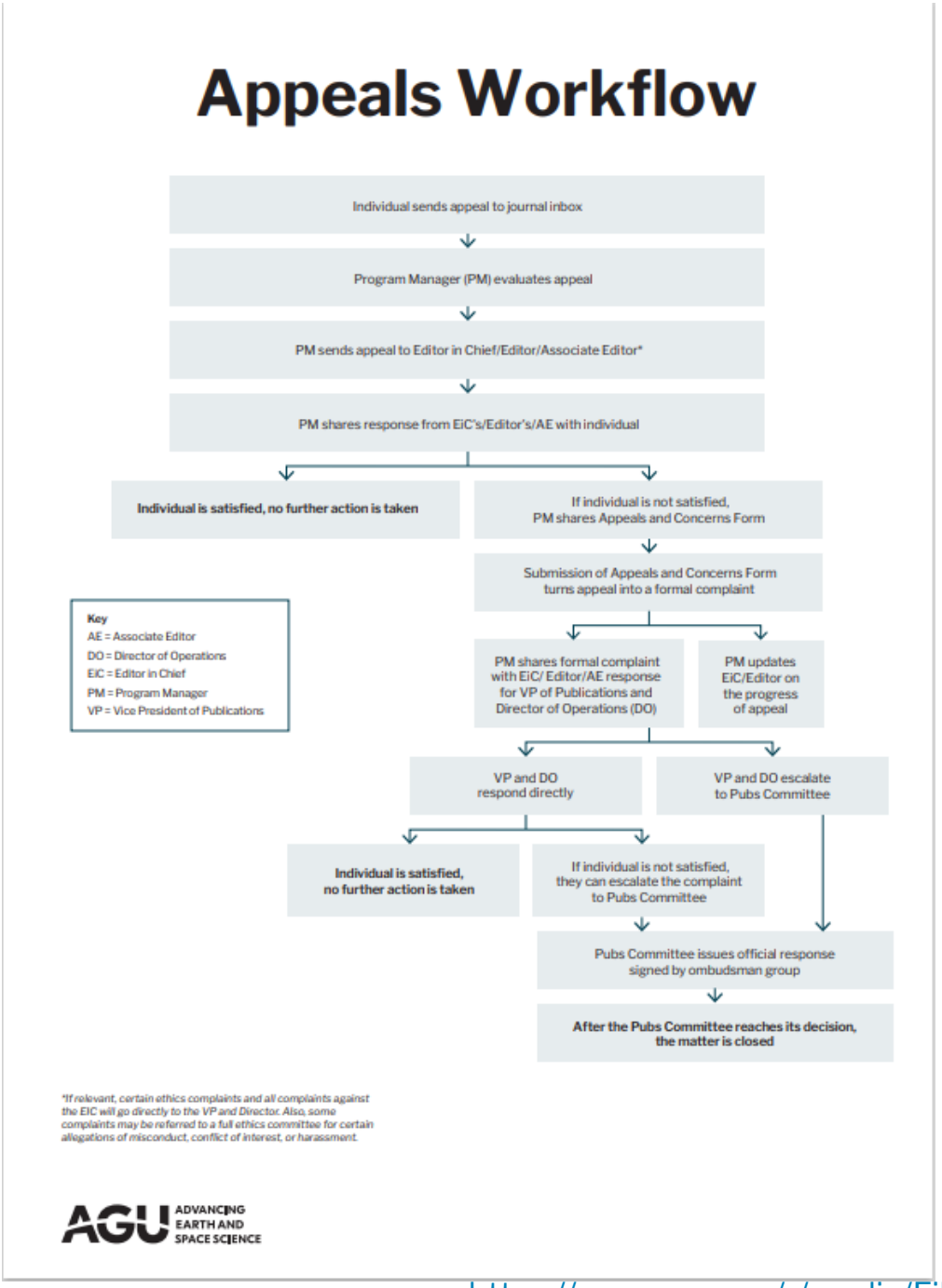

Workflow Snapshot

- Approved in 2021
- AGU Publications Committee
- Publications Subcommittee
- Journal EIC's

Process involves:

- Appeals and Concerns Form
- Associate Editor
- EIC; Editors
- VP of Publications
- Director of Publishing
- Program Manager

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https://www.agu.org/-/media/Files/Publications/Pubs_Appeals_Flow_Chart.pdf

AUTHENTICITY

1. Authors outnumber Reviewers
2. Imbalance of Representation
3. We all have Blind Spots

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Randy Townsend
rtownsend@agu.org
Twitter: @rantowns
ORCID: 0000-0001-7001-5505

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