

American Nuclear Society

Technical Journals Committee’s Proposal on

**Ethical & Responsibility Standards for the Constituencies
of the Publishing Process**

Introduction

The publication of an article in a peer-reviewed journal is an essential building block in the development of a **coherent** and **respected** network of knowledge. It is a direct reflection of the quality of the work of the authors and the institutions that support them and provides an archive of information necessary for the progress of science and engineering. Peer-reviewed articles support and embody the scientific method and must be written as completely, clearly, and ethically as possible.

Purpose

The purpose of this document is to set standards of expected ethical behavior for all parties involved in the publishing process: the author, the peer reviewer, the journal editor, and the American Nuclear Society in its capacity as publisher of the *Nuclear Science & Engineering*, *Nuclear Technology*, and *Fusion Science & Technology* journals.

Summary of Duties & Responsibilities of Constituents (adapted from an earlier Elsevier document that is not available online any longer)

The duties and responsibilities of each participant in the publication process are summarized in the table below and are detailed at column title’s [link](#).

<u>Author</u>	<u>Reviewer</u>	<u>Editor</u>	<u>Publisher</u>
<ul style="list-style-type: none">❖ Apply high reporting standards❖ Ensure data access & retention❖ Ensure originality & avoid plagiarism❖ Avoid multiple, redundant, or concurrent publication❖ Ensure proper acknowledgement of sources❖ Ensure proper authorship process❖ Address hazards & respect regulations on treatment of human or animal subjects❖ Disclose conflicts of interest❖ Correct fundamental errors in published works	<ul style="list-style-type: none">❖ Ensure quality contribution to editorial decision❖ Ensure promptness of review❖ Ensure confidentiality❖ Apply highest standards of objectivity❖ Address acknowledgement of sources❖ Disclose conflicts of interest	<ul style="list-style-type: none">❖ Assume sole responsibility for publication decision❖ Ensure fair play❖ Ensure confidentiality❖ Disclose conflict of interest❖ Ensure involvement & cooperation in investigations	<ul style="list-style-type: none">❖ Manage publication business❖ Ensure business does not impact editorial decisions❖ Conduct inter-journal/-publisher communication❖ Provide legal review/counsel

Guidelines for Duties & Responsibilities of Author

Respect for the scientific and engineering professions

- ❖ Assure that the work submitted is new and of significance.
- ❖ Accurately report methods and results so that the work can be replicated.
- ❖ Retain and provide access to data.
- ❖ Faithfully reference and attribute sources of information and factors that have influenced the work.
- ❖ Clearly distinguish between actual results of work reported in the submitted paper and author's own interpretation of these results.
- ❖ Assure that co-authors have made substantive contributions to the results being reported or its documentation.
- ❖ Assure that co-authors have had access to the manuscript and have agreed to its submission for publication.
- ❖ Ensure that the publication is complete and is not divided into a series of lowest publishable units.
- ❖ Guard against plagiarism.
- ❖ Disclose conflicts of interest and explain why the work should not be affected by such conflicts of interest.
- ❖ Correct inadvertent, essential errors that may be discovered after a paper has been submitted for publication.
- ❖ Avoid the use of the referee process to expand the manuscript's scope beyond the original submission unless explicitly directed to do so by the Editor or the referee(s).

Respect for the publication process

- ❖ Assure that the work has not been published or submitted for publication elsewhere and that if it is accepted for publication, the same or similar material shall not be submitted for publication elsewhere.
- ❖ Recognize that peer review by volunteers is undertaken to improve the work by noting omissions, alternative interpretations, and inadvertent errors, and to raise questions likely to arise among readers of the work. Avoid interpreting critiques as *ad hominem*.
- ❖ Recognize that editor decisions are made in the best interests of the journal, its contributors, and the larger technical community.
- ❖ Do not seek identities of reviewers, and even if known, do not disclose the reviewers' identities
- ❖ Make no substantive changes to a manuscript after it has been accepted for publication except to fix essential errors.

Respect for the reader

- ❖ Identify hazards associated with the work that are not readily apparent or were revealed by the work. Conform to ethical laws for experimentation with human subjects (45 CFR 46, "Basic HHS Policy for Protections of Human Research Subjects" and The Belmont Report, "Ethical Principles and Guidelines for the Protections of Human Subjects of Research", April 18, 1979, Department of Health, Education, and Welfare) and experimentation with animal subjects (CFR Title 9 Chapter1, Subchapter A, "Animal Welfare").
- ❖ Provide sufficient background to understand how the work fits within the larger technical context.
- ❖ Ensure that no classified or proprietary information not intended for public dissemination is disclosed.

Guidelines for Duties & Responsibilities of Reviewer

General Guidance

- ❖ Respond in a timely manner to the editor's invitation to perform the review after pondering on adequacy of technical expertise, lack of conflict of interest, and ability to abide by the confidentiality guidelines listed below.
- ❖ Take steps to facilitate the review process, being careful to not put the review to the side to complete work for a similar or competing publication.
- ❖ Perform the review within the time period requested by the editor. If this is not possible, notify the editor promptly.
- ❖ Review the manuscript based only on the technical review guidance provided by the editor, making editorial changes only if necessary for clarity.
- ❖ Provide comments in a professional and objective manner, and that are respectful of the author/s and based on the technical review of the manuscript
- ❖ Employ no personal biases to influence the review.
- ❖ Restrict asking for citations of reviewer's work unless justifiable and necessary.
- ❖ Comment on a manuscript in a way only that is well grounded, as complete as possible, as detailed as possible, and respectful to the author/s.
- ❖ Be concise and to the point for the benefit of both the author/s and the editor.

Technical Expertise

- ❖ Keep from performing the review if lacking the appropriate technical expertise. Notify the editor immediately.
- ❖ Keep from passing on the manuscript to others who may have the appropriate technical expertise for review without written permission by the editor.

Conflict of Interest

- ❖ Disclose and discuss all actual or apparent conflicts of interest to the editor before performing the review. Potential areas representing a conflict of interest include:
 - Affiliation with the author/s on past publications.
 - Affiliation with the organization of the author/s.
 - Professional, social, business, or financial connections with the author/s.
- ❖ Notify the editor immediately if for any reason an objective review cannot be performed.

Confidentiality

- ❖ Consider the manuscript as privileged information that is provided only for review purposes.
- ❖ Keep from discussing with or providing the manuscript to others for any reason.
- ❖ Keep from citing or using the information contained in the manuscript as part of the reviewer's technical work before actual publication.
- ❖ Be aware that all communications with the author/s should be carried out by the editor. Do not discuss the manuscript with the author/s or with any other person, except the editor, either during or after the review process, until it is published.
- ❖ Indicate clearly any remarks that are intended only for the editor, or include the remarks in the appropriate location on the review form.

Guidelines for Duties & Responsibilities of Editor

Respect for the author

- ❖ Ensure prompt consideration and timely review of all manuscripts submitted for publication.
- ❖ Ensure unbiased consideration of all manuscripts submitted for publication, judging each on its importance, originality, clarity, and relevance to the journal, without regard to race, gender, sexual orientation, religious belief, ethnic origin, citizenship, seniority, professional association, institutional affiliation, or political philosophy of the author/s.
- ❖ Respect the intellectual independence of the author/s.
- ❖ Keep from disclosing any information about a manuscript under consideration to anyone other than the author/s and reviewer/s.
- ❖ Keep from using in own research any unpublished information, arguments, or interpretations described in a submitted manuscript, except with consent of the author and with an appropriate acknowledgment.
- ❖ Be open to a request by the author to not use certain reviewer/s in consideration of a manuscript. However, the editor may decide to use one or more of these reviewers if the editor feels that their opinions are important in the fair consideration of a manuscript.
- ❖ Deal fairly with an appeal by author/s following the rejection of a submitted manuscript.

Respect for the reviewer

- ❖ Choose reviewers based solely on their technical expertise and good judgment.
- ❖ Ensure the confidentiality of names and other details of reviewers.

Respect for the reader and scientific/engineering community

- ❖ Have sole responsibility for acceptance or rejection of a manuscript. Manuscripts may be rejected without review if considered inappropriate for the journal.
- ❖ Avoid situations that may lead to real or perceived conflicts of interest including:
 - Will not serve simultaneously as Editor of multiple technical journals. Upon first appointment a newly selected Editor Designate must commit to, and actually resign all other editorial appointments within six months from the date of the appointment letter or upon taking full editorial responsibility for the journal, whichever comes first. If offered an editorship while already serving in ANS must decline new appointment(s) or resign as Editor of ANS journal.
 - Delegate editorial responsibility and authority to some other qualified person—such as the associate editor or a member of the Editorial Board with expertise on the specific topic —any manuscript authored by an editor and submitted to the editor's journal.
 - Arrange for some other qualified person to take editorial responsibility and authority for a manuscript that is so closely related to the research of an editor as to create a conflict of interest.

- ❖ Be alert to and respond to possible cases of plagiarism, duplication of previously published work, falsified data, misappropriation of intellectual property, duplicate submission of papers, inappropriate attribution, or incorrect co-author listings.
- ❖ Promote, if presented with convincing evidence that the substance or conclusions of a published paper are erroneous, the publication of a correction or a retraction.
- ❖ Understand adequately the comments of reviewer/s and seek clarification if needed.

Guidelines for Duties & Responsibilities of Publisher (from an earlier Elsevier document that is not available online any longer)

- ❖ Manage the publication business and market the journals.
- ❖ Ensure that financial and commercial issues have no impact on editorial decisions.
- ❖ Communicate with other publishers on inter-journal issues, e.g. duplicate submission.
- ❖ Provide specialized legal review/counsel to editors if necessary.