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# INASP Editor’s resource pack

## Publishing quality

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About INASP

INASP is an international development charity working with a global network of partners to improve access, production and use of research information and knowledge, so that countries are equipped to solve their development challenges.

We have been working to support such research and knowledge systems and many elements of the research communications cycle for over 20 years. In particular, we work to strengthen the availability, access and use of international research information by researchers in developing countries and the production, quality, dissemination and access of research outputs from researchers in those same countries.

By building capacity at individual, institutional, national and international levels, we have seen significant improvement in the research and knowledge sector in many of the countries with which we work.

About this resource

This pack includes hand-outs used by INASP during workshops. They are intended as guidelines on good practice, and as ideas for journals to consider.

The pack does not represent a comprehensive information resource on journal publishing, but presents some of the issues that a journal publisher and editor needs to consider and which may be helpful when developing a publication.
Introduction

To maximise the outreach and impact of research it is important for journals to ensure that they provide suitable platforms for the dissemination of research information. For journals to publish to a poor standard not only harms the reputation of the authors, but it also performs a disservice to the area of research – and potentially to the region in which the journals publish.

Journal editors and publishers therefore have a responsibility to ensure that they are providing a quality platform for the publication of research. Although there are international standards, there is no quality assurance benchmark which journals can use to judge their efficiency.

The purpose of this resource is to pose the questions that will help journals to judge their level of efficiency, sustainability and quality against internationally accepted criteria.

The resource has been divided into four sections:

A. Editorial quality
B. Content quality
C. Presentation quality, and
D. Publication quality

Within each section there are chapters on specific aspects of the section, asking pertinent questions that will help journal editors and publishers evaluate themselves.

To support each chapter, resources on key topics have been provided. Each chapter also provides a list of further resources and publications which readers can use to provide more information about the topics.

Note

In compiling this resource it is appreciated that journals differ in their method of publication, publishing model and editorial structures. The same model cannot be used across all journals. Therefore the questions may not all apply to every journal, but it is to be hoped that they provide key points against which journals can evaluate themselves. Equally the resource does not claim to be comprehensive, and further resources may be provided in the future by INASP (or others) to fill the gaps.

Pippa Smart

Editor.
# QUESTIONNAIRE

To give your journal a “health check” honestly ask yourself the following questions – to check your compliance with each question, see the relevant chapter in the handbook.

<table>
<thead>
<tr>
<th>A: Editorial quality</th>
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<tbody>
<tr>
<td>Do you have an appropriate editorial structure?</td>
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<td>See Chapter 1</td>
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<td>Do you have established editorial policies?</td>
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<td>See Chapter 2</td>
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<td>Do you have an efficient, effective editorial office?</td>
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<td>See Chapter 3</td>
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<td>Do you apply a quality standard on all accepted articles?</td>
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<td>See Chapter 4</td>
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<th>B: Content quality</th>
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<tr>
<td>Do you publish sufficient articles of appropriate quality?</td>
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<td>See Chapter 5</td>
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<td>Do you provide sufficient support for your authors?</td>
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<td>See Chapter 6</td>
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<td>Do you operate a regulated peer review policy?</td>
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<td>See Chapter 7</td>
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<td>Do you have policies on plagiarism, conflict of interest and other ethical issues?</td>
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<td>See Chapter 8</td>
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<th>C: Presentation quality</th>
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<tr>
<td>Does your journal website meet international standards?</td>
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<td>See Chapter 9</td>
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<tr>
<td>Does your printed journal meet international standards?</td>
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<td>See Chapter 10</td>
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<tr>
<th>D: Publishing quality</th>
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<tr>
<td>Do you publish regularly, on time, and with minimal delays for authors?</td>
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<tr>
<td>See Chapter 11</td>
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<tr>
<td>Does the journal have a written sustainability and publishing policy?</td>
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<td>See Chapter 12</td>
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<tr>
<td>Does the journal have a written, ongoing marketing strategy?</td>
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<td>See Chapter 13</td>
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<tr>
<td>Do you have a comprehensive copyright policy?</td>
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<td>See chapter 14</td>
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SECTION A: EDITORIAL QUALITY
# Chapter 1. Editorial structures

Do you have an appropriate editorial structure? Although many journals have different editorial positions and responsibilities, there are some core standards – check the following list to see if you comply with these:

<table>
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<th></th>
<th>Yes</th>
<th>Could be improved</th>
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<tbody>
<tr>
<td>1. Do you have an Editor-in-Chief (EiC) (or partnership of senior editors) who has ultimate responsibility for the content of the journal? (Your EiC may have a different title)</td>
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<td>2. Do you have an established editorial structure to support the EiC?</td>
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<tr>
<td>3. Do you have the right editorial structure to support the journal?</td>
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<tr>
<td>4. Do you have a clear list of roles and responsibilities for all members of the editorial team?</td>
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<tr>
<td>5. Do all the editorial team (including the EiC) have an agreement with the publisher/owner that outlines their roles, responsibilities and term of office?</td>
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<tr>
<td>6. Do you have a fixed term of office for all editorial board members?</td>
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<tr>
<td>7. Are all members of the editorial team clearly identified in the journal (in print and/or online)?</td>
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<tr>
<td>8. Does the editorial board clearly match and support the aims and objectives of the journal?</td>
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<tr>
<td>9. Do you have a procedure for replacing/adding the editors</td>
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## Online resources and references

In addition to the following resources these websites and references may be useful:

Resource 1A: Editorial responsibilities

Date: August 2013

Summary: It is important for editors and the journal owners/publishers to be aware of the editorial responsibilities and to ensure they comply with them. This resource outlines the internationally-accepted level of responsibility of editors.

Content

The editors are jointly responsible for the content of the journal. Although peer reviewers may advise them, the decision over what to publish lies with the editors. Depending on the different editorial structures the responsibility for making this decision may rest entirely with the editor-in-chief, or may be shared by a small group of deputy, or section editors.

It is an important note that the decision over what to publish should not be made entirely on the advice from the peer reviewers – they are only advisers.

However, it would be unreasonable to make editors entirely responsible for the content – e.g. fraud, plagiarism, etc. The ultimate responsibility lies with the authors but editors must show due diligence in their selection of what to publish, and be prepared to support their decisions with evidence of good practice – for example impartial peer review.

Ethics

Editors must work ethically, and be able to show that they are working ethically. This covers several areas including:

1. Making publishing decisions impartially, based on the soundness of the research and the value of the manuscript
2. Not accepting bribes to publish an author’s work
3. Avoiding conflicts of interest – for example not publishing only the work of friends or colleagues
4. Avoiding bias – ensuring that decisions are made without bias such as to the location or the gender or race of the author
5. Ensuring good practice in the processing of manuscripts – not behaving unfairly to authors (e.g. delaying decisions unnecessarily)
6. Ensuring that international standards of behaviour are complied with – for example regarding respecting the privacy of authors’ submissions prior to publication
7. Be willing to revise decisions, issue erratum, etc., when a publication has been shown to be incorrect.

An excellent guide to the responsibilities of editors is published by the Committee on Publication Ethics (COPE) - Code of conduct and best practice guidelines for journal editors. It is available free on the COPE website under Guidelines. http://publicationethics.org/resources/guidelines
Resource 1B: Working with the editorial team

Date July 2013

Summary The editorial team usually comprises a mixture of people, often in different locations: the editorial office (perhaps one person assisting the editor-in-chief or located with the owner/publisher), the editorial board, deputy editors, etc. Ensuring good working relationships with them, and ensuring that they contribute to the success of the journal is very important.

Editorial agreements

When any new member of the editorial team is recruited they should have a written agreement (although these tend to be quite informal, sometimes just a letter or even an email). The agreement should include:

Term of office
- This is useful as it allows you to replace them at the end of the term without causing offence if they do nothing for the journal!
- Perhaps an optional extension may be offered – e.g. a 3-year term with an option to extend by a further term.
- You should include an option that allows them to step down from the editorial team during their term of office with a specified notice period (perhaps 3 months).

Expectations of what they will do for the journal
- e.g. provide an editorial once during their term, serve as reviewers.
- They should be expected to help to promote the journal.
- They may be required to feedback and help develop the journal.

What “reward” they will get
- e.g. financial expenses or honorarium (rare) or free copy of the journal (usual), acknowledgement in the journal (expected).

Code of conduct
- Working within the ethical guidelines outlined by the Committee on Publication Ethics (COPE).
- Requiring them to declare any conflicts of interest – for example when asked to manage a submission from their own institution.

Meetings and communication
- Any meetings that they are required to attend, for example an annual editorial board meeting.
- Any expectation for regular or occasional communication, perhaps an annual report sent to the editorial team from the editorial office, or requesting feedback from them.

Making best use of the editorial team

In addition to reviewing articles, editorial board members are a great source for the journal, and can help with the following:
- Providing feedback on the journal discipline – what topics are “hot”, what authors should be invited to contribute, etc.
- Providing feedback on the published journal, what they do and don’t like about the way the print and online is presented, the types of articles they suggest you should publish, what your competitor journals are doing that you might consider copying, etc.
- Providing feedback on the journal processes – suggesting improvements to the manuscript handling system perhaps, or improvements to the reviewer guidelines.
• Helping to promote the journal, perhaps by taking fliers to meetings, or mentioning the journal in slideshows presented.
• They can provide editorials or commentaries on selected articles.
Resource 1C: The journal editor agreement

Date: 25 July 2013

Summary: All editors should have an agreement with the owner of the journal that clearly explains their roles and responsibilities and those of the owner. For the Editor-in-Chief (or equivalent) this may be in the form of a legal document, but it can also be an informal written agreement – the important thing is that it ensures that everyone knows what they are expected to do!

The main items that should be included within the EiC’s agreement are as follows:

The term of office (i.e. how long the editor will be in place)

- Often 5 years, sometimes with a possibility of extension – so the term can be extended if everyone is happy.
- Include a notice period if either side wants to end the agreement early, or at the end of the agreement – usually this is 6-12 months to allow for time to get a new EiC in place.
- Overlap – ideally a new editor should overlap with the existing editor by c.2 months so that knowledge can be passed on.

The editor’s duties. These will include some or all of the following

- Take responsibility for ensuring the quality of the journal content.
- Ensure the peer review process is carried out properly.
- Appoint or advise on Editorial Board members.
- Liaise with authors regarding acceptance decisions.
- Raise any problems with the journal owner as appropriate.
- Work within the COPE (Committee on Publication Ethics) guidelines.
- Demonstrate a duty of care to ensure that the journal contents are not plagiarised, or illegal (e.g. libellous, infringing copyright, etc.).
- Work within the publication schedule to ensure (as far as possible) that the appropriate amount of content is ready for each issue.
- Work with the publisher to help promote the journal.

Copyright

- It is usual for the owner to have ownership of the journal. Even when individual authors retain ownership of their own articles, the journal owner will own copyright in the collection – so the agreement should state this.

Finance

- The agreement should state what expenses will be repaid to the editor by the owner, and if an honorarium will be paid to the editor.

Meetings and communication

- If the editor is required to attend any meetings this should be included, equally if the editor is required to meet with other editorial board members on a regular basis, this should also be included.
- Many editors are required to report to the journal owners each year on the publishing statistics, commentary on what has been successful or not, and any targets. These can be a useful to ensure that everyone is happy with the way the journal is developing and with each other.

The publisher’s duties. These will include some or all of the following

- Copyediting the accepted articles (although the editor may do this).
- Typesetting, file formatting, design of the print and online versions.
• Providing suitable software and equipment for the journal (e.g. online submission software).
• Setting the annual schedule (in negotiation with the editor).
• Uploading and printing each issue as required, including despatch.
• Selling advertising and subscriptions if appropriate, and also (if appropriate) managing article publication charges (it is important that the EIC does not manage these!).
• Marketing and promotion.
• Managing the copyright and other rights.
Resource 1D: Editorial boards – composition

Date: July 2013

Summary: The makeup of an editorial team is important to not only support the EiC, but also to support the journal and to declare the remit of the journal to authors and readers.

What is the right structure of an editorial board? There is no definitive answer, but you should consider the following items.

- The editorial board should represent the interests of the journal – geographically and in subject matter – if you are a general journal you should have representatives from the subject-specialties that you hope to publish in.

- If the journal wants to be international, then the board should also be international.

- If you hope to attract authors from a particular region or country, then you should have one or more editors from that region or country to show representation in the journal.

- The board should include some well-known individuals who are willing to put their name to the journal in support – this gives credibility to the journal.

- Not every board member will work for the journal (the very senior people are often too busy). Therefore you should ensure that you have some enthusiastic people who are willing to commit time and energy for the journal.

- Remember the “next generation” and consider some more junior members for the board – they may be more enthusiastic and willing to work for the journal.

- You should also consider balance on the board in more general ways: including gender and race if appropriate.

- Above the general board you may have a smaller advisory board, or group of editors who are able to meet regularly (in person, or by Skype/phone) to discuss articles to be published and the strategy of the journal. Only small journals can rely on the EiC to do this alone.

- You may consider a deputy editor to help when the EiC is unavailable and perhaps to make first decisions.

- Consider appointing specific people to take responsibility for different sections of the journal, perhaps the book reviews, case studies, opinion articles, etc.
Chapter 2. Editorial office

Do you have an efficient, effective editorial office? The administration of a journal is a crucial part of its success and efficiency – to see how your journal compares, check the following list:

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<th></th>
<th>Yes</th>
<th>Could be improved</th>
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<tbody>
<tr>
<td>1. Is there one (or more) person tasked with overseeing the administration of submissions and peer review?</td>
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<td>2. Are regular (e.g. annual) reports of the journal’s progress provided to all members of the editorial team and the journal publisher/owner?</td>
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<td>3. Are systems in place to respond quickly to authors, reviewers and editorial board enquiries (within 3 days)?</td>
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<td>4. Is the administration of the journal run in an efficient manner?</td>
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<td>5. Are adequate records retained to inform editors about reviewers, submissions, etc.?</td>
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<td>6. Is a databases of reviewers and authors retained in such a way that searches for appropriate reviewers and previous submissions can be undertaken?</td>
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<td>7. Are all the journal administrative records backed up securely?</td>
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<td>8. Do you confirm receipt of all submissions within 5 working days?</td>
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<td>9. Do you communicate publishing decisions to authors within 1 week of the decision being made?</td>
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Online resources and references

In addition to the following resources these websites and references may be useful:

Resource 2A: Managing the editorial office

Date: July 2013

Summary: An efficient editorial office is crucial since good administration is vital to the operational success of a journal (as it is to any business).

Location and communication

The editorial office need not be in the same location as the editors, although it can make communication easier if it is. With online submission the editorial office can be in a different country so long as online communication works well. Some journals outsource their editorial office to specialist companies (e.g. PrePress in Scotland), and some publishers will provide this service from their office (e.g. BioMed Central in London).

It is vital that the editorial office provides timely, polite, accurate and informative communication. They are often the “public face” of the journal – the person that authors, reviewers and the editorial board first speak to. It is important that they give a good impression of the journal through their communication skills.

Activities

The editorial office is responsible for the following:

- Acknowledging receipt of submissions
  - Sometimes for making a first decision to reject all obviously unsuitable submissions (e.g. in the wrong discipline).

- Ensuring the submission is complete (no missing items, e.g. artwork).

- Ensuring that the editors select the reviewers quickly (sometimes they will select the reviewers themselves).

- Inviting reviewers.

- Sending articles to reviewers, or monitoring those that accept through the online system.

- Chasing reviewer reports.

- Uploading reviewer statistics in the system (e.g. if they return on time, if they provide useful comments, etc.).

- Informing reviewers of final decisions.

- Dealing with queries (from authors, reviewers, editors).

- Ensuring editors make a decision in a timely fashion.

- Communicating the decision to the author.

- Chasing up revised articles from the authors.

- Ensuring that the editor selects the articles for an issue on schedule.

- The editorial office may also overlap with production and undertake:
  - Assembling the issue
  - Sending out proofs, coordinating corrections
  - Finalising the issue ready for press and ready for upload on the website
  - Checking the printed copies are OK for despatch
  - Issuing subscriber labels for despatch
  - Checking the website updates
  - Uploading website news, alerts, etc., as required.
Reporting
An important function of the editorial office is to provide reports to the rest of the editorial team. The reason for this is to track the progress of the journal, to find out how long processes take, and where they can be improved, and if there are any problem areas – for example not receiving (or rejecting all) submissions from a particular region or institution or country. Reports often include:

- Turnaround times (submission to review, to first decision, time to review, time to revise, time to publish, etc.).
- The number of submissions, on what topics and where from.
- The number of rejections, on what topics and where from.
- The percentage rejection/acceptance and revisions.
Chapter 3. Editorial policies

Do you have established editorial policies? Ethical issues are not the only issues that editors and publishers need to consider if they are to work efficiently and consistently – see how your journal compares by checking the following list:

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<th></th>
<th>Yes</th>
<th>Could be improved</th>
<th>No</th>
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<tbody>
<tr>
<td>Do you have established policies (which are made public on your website) on the following:</td>
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<tr>
<td>1. Journal aims and scope</td>
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<td>2. Authorship criteria?</td>
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<td>3. Process of decision-making for submissions (peer review, editorial decisions)?</td>
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<td>4. How the journal deals with appeals?</td>
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<td>5. How the journal deals with corrections and erratum?</td>
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<td>6. Ethical policies?</td>
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<tr>
<td>7. Copyright?</td>
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<td>8. Advertising (if appropriate)?</td>
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<td>9. Distribution models?</td>
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<td>10. Journal funding and pricing (as appropriate)?</td>
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Online resources and references

In addition to the following resources these websites and references may be useful:

Resource 3A: Editorial policies

Date: July 2013

Summary: Journals should have clearly-defined policies on issues where decisions will be required. These often deal with problematic issues such as ethical dilemmas and are important to ensure that the journal deals with problems in a consistent manner.

Policies address problems that editors need to resolve and provide a clear explanation of how the journal operates. For full transparency, a journal should make its policies (from submission to publication and including all processes and problems that can occur) clear on its website. Ethical policies show that the journal is operating in a professional manner. Some problems occur frequently, and some happen only rarely. When problems happen rarely it is useful to know how the problem was managed previously so that a consistent response is given. Where a problem happens regularly you need a system to deal with it efficiently.

Examples of policies include the following.

- The systems for managing submission
  - What will happen to articles, information about peer reviewing, etc.?

- How you deal with submissions from members of the editorial team?
  - Your policy should show that all decisions are not biased by the editor, and that they are not involved in the decision to publish (or reject) their articles

- Authorship policies
  - What criteria do you use for determining who should be called an author?

- How you deal with authorship problems?
  - What systems do you have in place to respond to authorship problem, including ethical issues?

- How you manage appeals?
  - If an author feels that you have made an incorrect decision what can they expect if they appeal against it? Who reviews the decision?, etc.

- What is your policy regarding potential conflicts of interest?
  - What do you consider a conflict of interest in an author, reviewer or editor, and what do you do about these?

- Your policy regarding advertising in the journal, and of the journal
  - What is your policy for accepting advertising in the journal? What ethical considerations do you take when selling and accepting advertising?

- Your copyright policy
  - What systems do you have for ensuring you have the rights to publish and respect the rights of authors?

- Journal funding
  - Is it made clear where the journal funding comes from (i.e. the organisations who own/run the journal), and what is your policy for accepting funding – from whom and with what stipulations?

- Distribution models
  - Is the journal open access or subscription-based – and is a print version produced?

There will also be policies that are specific to your discipline (for example some health journals require ethical approval evidence), and to your community and location. Not all policies can be written in advance of a problem happening and you will need to build your policies as the journal develops.
Fortunately there are clear guidelines for many of these issues on the COPE website: www.publicationethics.org. The EMAME handbook for journal editors also provides a great deal of information about policies for journals.
## Chapter 4. Adding quality to accepted articles

Do you apply a quality standard on all accepted articles? Once an article has been accepted, how do you ensure that the standard of language, presentation, etc., are acceptable? Answer the following questions to check if your processes are sufficient:

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>Could be improved</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Do you copyedit articles after acceptance?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Do you ensure that the style of the references is consistent in every article?</td>
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</tr>
<tr>
<td>3. Do you have a house style for spellings, grammar, references etc.?</td>
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<td></td>
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<tr>
<td>4. Do you ensure that all author details (affiliation, contact address and email) are presented on the articles?</td>
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<tr>
<td>5. Do you have a reliable typesetting and proofing system?</td>
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<tr>
<td>6. Do you ensure that a consistent layout and design is used for all articles?</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>7. Do authors all see and approve their proofs before publication?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Do you add reference links to online articles?</td>
<td></td>
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</tr>
</tbody>
</table>

### Online resources and references

In addition to the following resources these websites and references may be useful:

Resource 4A: Copyediting – adding value

Date: Updated July 2013

Summary: A description of copyediting with notes on its importance, and an exercise on copyediting to practice the principles outlined

Copyediting ensures the text/artwork, etc. is:

- Clear
- Consistent
- Unambiguous
- Well organised
- Easy to understand

What copyediting is not:

- Re-writing entire sections
- Adding text, figures or tables
- Deleting text sections, figures or tables
- Checking references in the library to ensure that they are correct

What is copyediting

There are several levels of copyediting:

- The least: checks for spelling mistakes, checks citations against references, tables and figures, marks up headings, etc. for the typesetter.
- The most: evaluates and rewrites the article as required to improve it.

For most people copyediting falls somewhere in the middle of these extremes – and this is what is recommended and considered here.

Why you need to copyedit articles

Authors are not reliable editors, and will submit manuscripts with the following problems:

- Incomplete, inaccurate references (e.g. not including article page numbers)
- Inconsistency throughout (e.g. using co-ordinated in one place, and coordinated in another, or mixing US and UK spellings)
- Not following journal style (e.g. putting journal names in full when the style is for abbreviated titles in references)
- Missing elements (e.g. figures, tables, headings, etc.)

The problem is that authors are subject-specialists, and cannot be relied upon to also be attentive to grammatical and other non-scientific detail.

What a copyeditor does (or should do)

- Read the text - particularly checking:
  - Does the text make sense? (it is easy for a word to be missed out, or to mis-spell words – for example “out” instead of “our”)
- References cited in text against the reference list
- Compare tables and figures to text citation, ensuring they have titles (which accurately represent the table/figure), and that numbers add up, etc.
- Ensure adherence to the journal style (spellings, and levels of headings used)
- Ensure consistency (e.g. in units of measurements)
• Check the copy is complete (e.g. has a title, full author details, no obviously missing sections, etc.)

• Check the style of the references – it is very important that the style adheres to the journal house style and is consistent. Inconsistency looks careless, and also makes it difficult for automated systems to insert hypertext links for online delivery

• Finally, the copyeditor will mark up the text for the typesetter – indicating levels of headings, etc.

Copyediting – summary
Copyediting improves the content - making it more readable
• to the benefit of the reader - it makes the articles easier to read and understand
• to the benefit of the author - it makes their work more "polished" and authoritative
• to the benefit of the journal - it makes it look more professional

Online resources
• AuthorAID lists a number of editing services from which to choose http://www.authoraid.info/resource-library/
• http://www.grammarbook.com/ - some fun questions-and-answers about grammar
Resource 4B: Style

Date: August 2013
Summary: This resource provides some basic guidance about setting a house style, and establishing consistent layouts and design for the journal.

More information about Style is given in Chapter 6: Author support

Style

It is important for a journal to have a consistent house style. Whereas consistent spellings may be considered less important in some non-English languages, within the English language it is considered very important if a work is to have credibility.

As a general rule it is thought that if the author (and journal) cannot take the time to ensure there are no spelling errors, and that material is presented inconsistently, then how can the reader assume that the science/research being presented has been produced with greater care?

A journal should set up a style – including:

- Spellings (e.g. organisation or organization, UK or US spellings)
- Grammar – in general the active tense (“we did this”) is preferred to the passive tense (“the following was done by the authors”).

A very useful resource for house style (spellings, grammar, etc, can be found on the Oxford University Press site: http://www.oup.co.uk/academic/authors/AuthorGuidelinesMain/HouseStyle/

For the journal to add value to articles, it should require that authors submit in the correct style – but accept that many of them will not get it 100% correct, so the journal should be prepared to make efforts to improve the authors’ work.

Layout and design

The journal does have a responsibility to ensure that the layouts are consistent and clear for the reader. Whatever typesetting/composition system is used, it should make sure that the layout is consistent throughout the journal.

Online the journal can add value to the layouts and presentation by adding hypertext links and allowing colour (which may be barred from the print version due to cost).

Style is considered in more detail in Section C: presentation quality.
Resource 4C: Links and DOIs

Date: November 2013

Summary: This resource provides basic guidance about adding quality to articles through the addition of links – particularly permanent links provided by DOIs.

One area where a publisher can add quality to the accepted articles (usually at the copyediting stage) is by adding hypertext links in the text. These links may be to other places in the same article, or to other parts of the website or to other articles.

In-article links

These commonly provide assistance to navigation of digital articles, and include:

- Links from the author’s name to their email address
- Links from citations within the article to the reference at the end of the article
- Links from in-text citations of tables and figures to the actual table and figure being mentioned

Consider what in-article links would be useful to your readers. These are usually added on the full-text HTML articles, but can also be added into the PDF files (although this is less common).

External links

These will include:

- Links from an email address that immediately allow an email to be sent
- Links from the copyright line to the full terms and conditions
- Links to the sections of the article (e.g. Abstract, Discussion, Methods, etc.)
- Links from the reference to the article either to its URL, or to its DOI

Consider what external links would be useful to your readers. These are usually added on the full-text HTML articles, but can also be added into the PDF files (this is becoming more common as people increasingly read PDFs on the computer).

Reference linking - DOIs

The most useful links of all are those from the list of references to the articles that they reference – so the reader can click and go directly to another article. These are most commonly embedded as URLs, PubMed ID (PMID), or DOIs.

The URL is the unique web address of the article – e.g. http://nepjol.info/index.php/BJ/article/view/8542

The PubMed ID is the unique number that the index, PubMed, assigns to every article that it indexes. This only includes biomedical articles. Authors are expected to add these to their references if they wish them to be used.

DOI stands for digital object identifier, it is a unique number assigned to each article and is associated with the article URL (i.e. the web address where the article appears). It is becoming the most widely used “generic” article identifier. It is registered with an organisation called CrossRef, which is “an association of scholarly publishers that develops shared infrastructure to support more effective scholarly communications” (see www.crossref.org)

A DOI comprises two parts:

- The prefix – indicates the publisher or the online host: this is assigned by CrossRef.
- The suffix – a unique number assigned by the publisher to each article.

For example: dx.doi.org/10.3126/bj.v3i2.8542

- dx.doi.org/ indicates the number is a DOI
10.3126 is the unique number that belongs to NepJOL, the online platform for Nepalese journals

bj.v3i2.8542 is the unique number assigned to an article: in this case published by the Banking Journal (bj), volume 3 (v3) issue 2 (i2), manuscript number 8542.

Online manuscript management systems, like OJS, automatically assign a DOI to each article. The DOI is then associated with a URL (for the above example, the URL is http://nepjol.info/index.php/BJ/article/view/8542)

The publisher submits regular reports to CrossRef to register each article:
- The article DOI
- The article URL
- The article description (metadata) – including title, authors, journal, etc.
- And if the URL changes, then the publisher automatically re-submits the data and the CrossRef data files are updated with the new information.

Therefore if you type the DOI into your browser (dx.doi.org/10.3126/bj.v3i2.8542) it will automatically open the right article page.

Why DOI and not URLs?

The problem with URLs is that they change – when a journal moves website, or changes its domain, or even, sometimes, its website provider. If someone had embedded a link to the URL within an article, then this will go to a “dead” page when the journal moves to a new URL. But, if someone had embedded the DOI in the article, then this will automatically re-route to the right page (that the publisher has registered with CrossRef).

How do you embed DOIs?

There are several ways, but one of the easiest is as follows. This should be done during copyediting:
- Go to CrossRef Simple Text query page: http://www.crossref.org/SimpleTextQuery
  - You need to have a registered email address – there is a link on the page to allow you to register (there is no charge for this)
- Then follow the instructions:
  - Type your registered email address
  - Copy and paste in the references. You can add the full reference list for a single article.
  - Click on submit.
  - You will be emailed all the references, as you pasted them into the query box, with all the DOIs added.
  - Copy and paste these back into the article.

Not every journal article has a DOI, and not many book chapters or other types of publication have them. However, an additional benefit of adding DOIs during copyediting is that it allows the copyeditor to spot a reference that may be wrong. For example, since most of the large journals are assigning a DOI, if a reference to an article in one of them is returned from CrossRef without a DOI it means that the author may have made a mistake in the reference (perhaps the wrong year, or the wrong authors). So you can query this and correct it before the article is published.
SECTION B: CONTENT QUALITY
Chapter 5. Publishing quantity/quality

Do you publish sufficient articles of appropriate quality for your readers? If you do not publish enough articles you should question whether the journal is worthwhile continuing. To determine if you are publishing sufficient articles, please answer the following questions:

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>Usually</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Do you publish at least 6 articles per year?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Do you publish at least two issues per year?</td>
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</tr>
<tr>
<td>3. Do you have a target number of articles (or pages) to be published each year or issue?</td>
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<td></td>
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</tr>
<tr>
<td>4. Do you announce the target number of articles (or pages) planned to be published each year or issue?</td>
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<tr>
<td>5. Do you have an established system or a plan for finding new content and new authors?</td>
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<td></td>
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</tr>
<tr>
<td>6. Do you have strategies for dealing with fluctuating quantities of submission?</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>7. Do you have methods for attracting submissions from authors, on topics that you want?</td>
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</tbody>
</table>

Online resources and references

In addition to the following resources these websites and references may be useful:


Resource 5A: Strategies for attracting authors

Date: July 2013

Summary: Editors and publishers should have strategies for attracting the type of content that they want to publish – not only the types of articles, but also the topics, authorship, location of authors, etc. This resource guide presents some suggestions for how to attract and invite the type of articles that a journal wishes to publish.

Generally increasing submissions

For new journals, or those which cannot rely on regular submissions of sufficient quality it is important to ensure that you reach out to authors – instead of relying on them coming to you. There are various methods of doing this.

- Advertising – advertising your journal on relevant websites, journals and newsletters can be a useful way of raising awareness of your journal – and if the message is right, it can attract authors. Methods may include:
  - Reciprocal advertising – you exchange adverts with another journal in your area (placing adverts for each other’s journals in your own print version, and perhaps a small advert on your websites).
  - Placing an advert in an Association webpage or newsletter (there may be relevant associations whose members would be suitable authors).
  - Conference advertising – including information about your journal in the conference or meeting materials.

- Giving talks about the journal
  - At meetings, at conferences. Think about meetings where relevant authors will be.
  - Consider offering to speak on topics of interest for authors – for example “How to get your research published”.

- Writing about the journal
  - Write and submit editorials or other items to other journals, newsletters, websites, etc., which include mention of your journal. These should not be “advertising” but may cover issues such as writing, reviewing, publishing, etc.
  - Consider contributing to blogs, etc.

- Supporting authors
  - Consider running workshops for authors “how to get your research published”, etc.
  - Produce helpful guidelines and hints-and-tips for authors which can be placed on appropriate websites or printed items.

- Sending out mailshots – “call for authors”
  - Emails or printed, to members of associations, conference delegates, etc.
  - Note – be careful of sending out too many “calls for authors”, it can make the journal sound desperate.

- Thematic issues
  - Themed issues (on a particular topic) can be attractive to authors – and encourage them to submit.
  - Sending out a “calls for authors” for thematic issues can be done as often as you wish without sounding desperate!

- Invited articles
  - You can invite individuals to write for you – commissioning content.
Note that many of these activities are “marketing” – raising the visibility of your journal – see the section on promoting your journal for more discussion on this topic.

Commissioning content

Why: if you want a particular person to write something for you, or want to include a particular article/topic, you can invite someone to write for you. These are not usually original research articles, but are more commonly review articles, opinion pieces, editorials, case studies, etc. It can be a good way to get a well-respected person to publish something in your journal, even when they would not give you their original research.

How: Identify the person you want to write for you and what you want them to write (you may need to consult your editorial team). Don’t forget that you can contact the potential author by writing to them, emailing or even telephoning. Asking people who have given a talk at a conference (to write something based on their talk) is a good way to invite them to submit.

What you need to remember: Remember to tell them:

- What you want them to write about,
- How many words,
- If the item will be peer reviewed (and if it may possibly be rejected),
- When you want it and when it will be published.
Resource 5B: Strategies for dealing with uneven amounts of content

Date: July 2013

Summary: This resource suggests some strategies for dealing with too little (or too much) content so that the journal continues to publish regularly and provides enough content for its readership.

Many journals struggle to get a regular number of articles for each issues. Here are some suggested strategies for dealing with this.

Publish often, print infrequently
- This is discussed in more detail in Chapter 12 on publishing strategies.
- Essentially, it proposes that you publish each article online as soon as it is ready, but only collect and print the issues once or twice during the year.
- The benefit of this is that it does not matter if you only have 3 publishable articles in the first three months of the year, but (for example) 100 in the next 3 months. However this can cause a great problem when you are trying to publish quarterly (or monthly) issues.

Have a plan
- Try to stack up some materials to fill the issue – these can be informal conference reports, forthcoming events, opinion pieces, news, etc. Although it is not acceptable to only provide this type of content it can be useful if you encounter a problem with copyflow.
- Be prepared to “fast-track” some articles to ensure that they are ready in time for the issue.
- You can combine issues (e.g. Issue 2/3) if neither issue is going to have sufficient content – but this is not acceptable if you do it regularly.
- Do NOT delay the issue more than a couple of weeks – this gives a very bad impression of the journal.
- Use the editorial board. Require them to contribute (at short notice) editorials, opinion pieces, etc. if there is a copyflow problem.

Anticipate
- Try to anticipate copyflow problems so that you can do something about them before the issue needs selection!

Big issues/small issues
- It is sometimes acceptable to publish one very small issue followed by one large issue – so long as the readers feel that by the end of the year they have received a reasonable number of articles from the journal.
- But do not make a habit of this!
# Chapter 6. Author support

Do you provide sufficiently detailed author guidelines? It is a waste of your time and that of the authors if they submit inappropriate articles formatted incorrectly. To check if you supply enough information, answer the following questions:

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>Could be clearer</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Do you always deal with authors courteously and promptly?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Do you use your authors to provide feedback to the journal?</td>
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<tr>
<td>3.</td>
<td>Do you communicate decisions within 1 week of making the decision?</td>
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<tr>
<td>4.</td>
<td>Do you respond to author queries within 2 days of receipt?</td>
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<tr>
<td>5.</td>
<td>Are you always fair and flexible in your dealings with authors?</td>
<td></td>
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<tr>
<td>6.</td>
<td>Do you have guidelines for authors?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a.</td>
<td>Do you publish the guidelines (or a summary of them) in the printed journal (if you have a print edition)?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b.</td>
<td>Do you publish the full guidelines on your website?</td>
<td></td>
<td></td>
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<tr>
<td>c.</td>
<td>Have you reviewed and updated (if needed) your guidelines in the past year?</td>
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<tr>
<td>7.</td>
<td>Do your author guidelines include the following:</td>
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</tr>
<tr>
<td>a.</td>
<td>The journal aims and scope?</td>
<td></td>
<td></td>
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<tr>
<td>b.</td>
<td>The types of articles invited?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c.</td>
<td>Information on how to submit?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>d.</td>
<td>How articles should be structured?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>e.</td>
<td>The type of evaluation or peer review which the article will be subjected to?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>f.</td>
<td>Copyright details?</td>
<td></td>
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</tr>
<tr>
<td>g.</td>
<td>Levels of language acceptability?</td>
<td></td>
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</tbody>
</table>
Online resources and references

In addition to the following resources these websites and references may be useful:


EASE Guidelines for Authors and Translators of Scientific Articles to be Published in English: http://www.ease.org.uk/publications/author-guidelines (accessed August 2013).


Resource 6A: Working with authors – good practice

Date: July 2013

Summary: Every journal needs to ensure that they serve this community - not only by publishing their papers, but also by providing them with good service. Equally, this community can provide the journal with opportunities for growth and development. The list below provides some ideas of ways in which the journal should work with authors.

Before submission
- Clear journal aims and scope
- Useful, succinct author guidelines (perhaps extended guidelines available online)
- Accept pre-submission enquiries (“is my research suitable…?”)

On submission
- Easy submission for authors
  - Online submission by email or specialised submission system
- Confirmation that the submission has been received (by email?)
- Clearly requests required information (e.g. ethics approval, etc.)

Feedback
- Clear reviewing feedback
- Constructive, polite, helpful
- State when revisions are required from the author (and be prepared to chase them)

Communicating rejection
- Clear reasons for rejection
- Be polite
- Short! (do not write too much)
- Close the door firmly, but kindly
- Suggest alternative journals

Communicating acceptance
- Tell all authors of acceptance
- Send accepted version of article to all authors (if more than one) – so they all know what version has been accepted
- Polite
- Short
- What happens now – what the author can expect, and what publication date
- Ensure all paperwork is received (authorship affirmation, ethics approvals, copyright assignment, etc. as appropriate)

Post-publication
- Tell authors of publication
- If possible, send “birthday” email with download statistics (e.g. “One year after publication, X people have downloaded your article”)


• Offprints of published papers (print and/or electronic)
• Free copy of issue in which paper is published
• Prize for best paper or recognition in “Editors' picks”
• Highlight the most-accessed paper (online) – a reward for authors (and useful for readers)

Development and opportunities
• Author questionnaires/surveys
  o What do they think about the journal – are they willing to become more involved (e.g. reviewing)?
  o How was their publishing experience with you?
  o What other journals do they read? (i.e. what is your competition?)
• Workshops – train the authors / reviewers / editors on what is expected of them
• Commissioning articles
  o Why did you select the author?
  o What you want them to write? (topic, number of words, style)
  o When you want them to deliver it?
  o Will it be reviewed? (Might it be rejected?)
• Invited papers / editorials from highly respected authors – or on selected topics – raises the journal profile
• Call for authors
  o Themed issues (are often more highly cited than individual papers)
  o To highlight new sections in the journal
  o Be cautious about sending out too many (it looks like spamming, or as if the journal is in trouble)

Good service for authors
• Good communication – fast responses to submission/queries, etc.
• Easy communication: Email, post, fax or telephone
• Fast production/processing (perhaps online pre-publication of articles after acceptance?)
• Quality sub-editing (checking the paper for grammar, reference citations, etc.)
Resource 6B: Author guidelines

Date: July 2013

Summary: It is worthwhile for a journal to regularly review the author guidelines that they provide to ensure that they are up-to-date. It is also important to ensure that they are not too long and too wordy or authors will not read them. Also, many do not provide the information that the author wants (or needs) - and also make it hard for the author to find the information they want. Below is a list of components of author guidelines that (ideally) should always be included. Consider publishing a short guide within the print journal (with only the most important information), and use the online website to provide more detailed notes (with helpful navigation - e.g. a hypertext linked table of contents, or perhaps in a question-and-answer format).

- Aims and scope of the journal
  - Clear description of what the journal aims to publish, and for what audience
- Types of articles accepted
  - E.g. Original research, reviews, letters to the editor, etc.
  - Length of articles – number of words
- How to submit articles
  - Format – Word, LaTex, etc.
  - Where – address, Email
- Structure of articles, e.g.
  - Titles
  - Authors
  - Affiliation
  - Corresponding author
  - Key words
  - Abstract (structured?)
  - Structure of article
  - Acknowledgements
  - Appendices
  - References / further reading
- Citations and references – style
  - Books / book chapters / proceedings
  - Journal articles
  - Websites
  - Blogs
  - Personal communication
- Style
  - Spellings
  - Nomenclature
  - Measurements (units)
- Artwork
  - Formats, resolution
When to use – where appropriate
- Style
- Colour – when allowed

- Tables
  - Style
  - File format

- Article checklist – if the journal provides one

- Responsibility of the author:
  - Permission to use material from elsewhere
  - Warranties (original, not already published, not plagiarised etc.)
  - Policy on translated articles

- Submission letter – if required, what to include

- Contact information – editorial office contact

- Procedures – what will happen to the paper after submission

- Peer review policies
  - Type of peer review
  - Anticipated time to review
  - Feedback expectations

- Proofing – what is expected of the author

- Offprints, copy of journal – will any be supplied, and when
  - In print or electronically
  - Online access rights

- Copyright information
  - What the author has to sign / supply
  - Where the author will find any copyright form

- Guidance on ethics / conflict of interest if required

- Page charges
  - What charges are made (for article, for artwork, for colour, etc.)
  - When money is required to be sent, and how

- Information about the online journal
  - Early/advance publication opportunities
  - Submission of data sets, additional material, etc. specifically for online-only

References and further tips

http://www.nature.com/nature/submit/get_published
useful site for their authors, with good information on processes, decisions and timing

http://www.bmj.com/about-bmj/resources-authors
Extensive information for BMJ authors, see the side navigation for different sections

http://journaltool.asme.org/content/AuthorResources.cfm
Interesting design for author guidelines
Resource 6C: The Publisher-Author Relationship

**Date:** 1999 (Reviewed for the ALPSP Guidelines, 2013)

**Summary:** These guidelines have been prepared by the Publishers Licensing Society, UK in 1999, but still contain valuable advice on the relationship between publishers/journals and authors.


**Author** Publishers Licensing Society

These guidelines may be quoted without seeking prior permission provided the source is acknowledged.

**Introduction**

At the heart of all scholarly publishing is the author and his or her work. Academic authors rely on learned journals for peer review, formal recording, dissemination and preservation of their academic work. With the advent of new technologies, authors now have a wider choice as to how they communicate their work.

A learned journal is dependent on the articles submitted by authors. Publishers want to ensure that their journals remain the preferred vehicle for publication of academic research. To achieve this, publishers must:

- understand and address the needs of their author community
- understand and communicate the value that they add to the process of scholarly communication

These guidelines are designed to describe good practices through which publishers can provide an effective service to the academic community.

What do publishers bring to the process?

Publishers make products out of authors’ ideas. They finance, edit, authenticate, market and deliver scholarship and research to the appropriate audience throughout the world. They provide the administrative and organisational structure for the dissemination of academic work. They also put resources into the academic community through editorial fees and expenses and, in many cases, through royalties to universities and learned societies on sales revenue.

The journal publishing process is a mutually beneficial relationship between publishers and authors. Publishers bring many elements into the equation. They:

- Research, invest in and create the journals the market wants
- Facilitate the vital processes of peer review and selection
- Produce material to a high typographical and illustrative standard
- Edit articles to make them clearer
- Promote and disseminate journals as widely as possible to the relevant international readership, in all appropriate media
- Provide structure and navigational aids such as abstracts, cross-references, section headings, tables of contents and indexes
- Enhance accessibility and consistency between articles and across issues and volumes
- Provide the ‘brand’ of a respected journal, which carries a whole complex of important messages about the quality, subject coverage, editorial style and intended readership of the articles it contains.
**The author-publisher relationship**

Publishers depend on authors, the original creators of everything they publish. Academic authors want to validate, present and disseminate their findings to an interested world-wide audience. Publishers respect this need and do everything they can to satisfy it within the framework of quality control. This is particularly true in the unique economy of learned journal articles, where authors publish for reasons other than money. In general, authors receive no direct financial reward and, in some instances, are prepared to pay for publication.

**Copyright policy**

Publishers should have a consistent and clear copyright policy and ensure that it is applied by their editorial staff and communicated to authors.

**Agreements with authors**

Publishers must have explicit signed agreements with authors; it is not adequate simply to assume that submission to a journal indicates permission to publish. These agreements should be as clear and as unambiguous as possible. Publishers must be aware that some authors do not own the copyright in their works; a valid agreement with the actual copyright owner is essential.

**Scope of rights**

It is reasonable for authors to expect maximum exposure of their work. Publishers should not insist on acquiring rights which they do not intend to exercise. By the same token, they should never exercise any rights which they do not hold. It is therefore essential that publishers keep complete and accurate records of the rights which they have obtained. As more and more journals are published electronically as well as in print form, it is essential for publishers to acquire electronic as well as print rights at the outset.

**Copyright transfer or licensing?**

Publishers need to obtain rights in order to undertake the process of communicating academic research accurately. There are many models of the kind of copyright transfer or licence agreement that a publisher might use. See, for example, *Journal Publishing* by Gillian Page, Robert Campbell and Jack Meadows, Cambridge University Press, 1997; Copyright assignment - some practical considerations by Rhonda Oliver in Learned Publishing, Vol. 11, No 1, pp4-7.

It is not always essential that the author transfers copyright to the learned society or other publisher; an exclusive grant of the necessary publication and sublicensing rights may be adequate. Where the author’s employer is the copyright owner, an exclusive licence may be all that is possible.

Publishers must satisfy themselves that the author’s work is original, has not been published elsewhere and is not in breach of anyone else’s rights.

**Authors’ rights**

Authors should be able to use their own work with the minimum of restriction. Even in circumstances where copyright is transferred, publishers should grant back to authors a broad range of rights which enable them freely to do the things which are important to them:

- Use of their own works, whether adapted or otherwise, in conference presentations and in other publications
- Use in classroom teaching

Increasing numbers of authors want to mount articles on an Intranet or even on a web page. Publishers should establish their own policy and communicate it to authors. In all instances, permission will only be granted for non-commercial usage and full reference must be made to the original publication.
Reuse of rights
It may not always be practicable to consult authors about every subsequent use, particularly when granting rights for complete journals or indeed groups of journals. This should be made clear to authors at the outset. Publishers may wish to consider distributing a share of the income from substantial subsidiary uses, such as bulk sales of reprints, whether there is any contractual provision for this or not.

Peer review
Peer review is a fundamental element of the learned journal. A high standard of quality control via the review process will strengthen the reputation of a journal among its readers and contributors; it is incumbent on publishers to work with their editors to ensure that peer review is carried out properly and speedily. The review process should be clear, objective, fair and courteous. No vested interests must be allowed to interfere. For further details see The ethics of scientific publication by Povl Riis, in Science Editor’s Handbook, published by the European Association of Science Editors.

Referees
There should always be more than one referee; a standard response form can help to ensure that the referees address the appropriate questions. Referees are under an obligation to keep information confidential until publication, and not to exploit their prior knowledge in any way. Electronic communications can speed up the administrative part of the process. Referees are normally anonymous, although it is courteous to give them credit in some way. For further guidance see A difficult balance: editorial peer review in medicine by Stephen Lock (London: Nuffield Provincial Hospitals Trust, 1995).

The publication process
Speed is generally important to authors; so too is knowing what is happening. The publisher should keep the author informed about the progress of his or her paper. Online systems, which authors can consult for themselves, are one way of achieving this. It is not always possible to publish accepted articles immediately, whether for editorial or budgetary reasons, but it is only fair that the author knows approximately how long he or she will have to wait.

Date of acceptance
One of the main reasons why speed is so important to authors is the question of priority. It is therefore good practice to include, in the published version, the date of acceptance (some publishers also include the date of submission). This also helps authors to estimate in advance the likely interval between acceptance and publication.

Editing of articles
Editing of the author’s article is invaluable in clarifying expression, standardising nomenclature and units, and checking references. Authors are, however, understandably uneasy about editing which changes their work substantially. It is always good practice to check anything other than minor copy-editing changes with the author unless the speed of publication makes this absolutely impossible.

Dissemination
Authors and, indeed, publishers want their work to be available to, and read by, the maximum number of people. This is achieved not only by traditional marketing, but also by making sure the journal is listed in all the secondary sources which the appropriate readership uses, such as abstracting and indexing databases. Publishers can further aid retrieval by ensuring that titles and abstracts (and, in future, all other types of metadata) are as helpful as possible. In the electronic environment publishers should ensure that links between secondary sources, the primary literature, libraries and their readers operate in a seamless and effective manner.
**Preservation**

It is important that all published works are properly archived. In the print environment libraries have historically fulfilled this role. In the electronic environment publishers should cooperate with the library community to ensure that a comprehensive and permanent archive is maintained.

**Rights management**

The treatment of ‘upstream’ rights (between the author, or other copyright owner, and the publisher) has been dealt with above. This section is concerned with ‘downstream’ rights management between the publisher and customers of various kinds.

**Rights policy**

An increasingly important aspect of the publisher’s responsibility is to arrange licences with groups of user institutions, often based on the nation, state or province, or on a consortium of member institutions. Publishers deploy their skills in negotiation, rights management and marketing to facilitate access across a wide range of academic and research user interests.

Publishers need to have a clear and consistent policy for dealing with rights downstream. Authors want their work to be as widely and freely available as possible. Publishers can help by taking a generous approach to educational and research reuse by others. Participation in centrally agreed licences, for example with regard to photocopying or digitisation, can also simplify reuse by the academic and other communities. In addition, publishers can help each other by following the STM guidelines (www.stm-assc.org) for a quid pro quo approach to the granting of permissions, rather than making many small payments to each other.

**Protection of authors’ works**

Publishers have a moral responsibility to protect their authors’ work from misappropriation or distortion by others and to act against any infringements irrespective of copyright ownership. Both misappropriation and distortion can be made easier by electronic delivery, and publishers need to be clear in their licences about what is and is not permitted, and vigilant in detecting and ending any abuse. Technical protection, such as encryption or digital watermarks, may sometimes be appropriate.

**Conclusion**

The relationship between author and publisher is a partnership. Authors gain profile, reputation and dissemination of their work. Publishers enhance academic communication and seek to make a return on their investment in the process. They also serve libraries and readers. Rights acquisition should be clear, reasonable and well documented; the process of review and publication should be speedy and authors should be kept informed throughout. Once published, the journal should be made as accessible as possible both through sales (or licences) and through rights and permissions transactions. Everyone stands to benefit from the creative value which publishers add to authors’ work.

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These guidelines may be quoted without seeking prior permission provided the source is acknowledge
Resource 6D: How to publish your research work

Date: 20 July 2004, Revised 26 August 2004 and July 2013.

Summary: This resource has been created as a brief guide for authors, and as a document that journal editors may use and send to their authors. It is not intended as an authoritative guide to science writing. For more information on the subject of writing a scientific paper, see the Further Reading suggestions at the end of the document.

Before submission – preparing your article

Before submitting a paper for publication, you should ensure that it is the best work that you can provide:

- Is the title accurate, informative and concise?
- Does it have an abstract that correctly summarises the actual information in the article – is it easy to read, comprehensive, yet short enough (approx. 250 words is usual)?
- Are your study objectives or hypotheses clearly stated?
- Does your article say something new – does it add to the body of information in your subject area? (If it is a review article, is it sufficiently inclusive to represent all the arguments and give a fair and comprehensive review of the topic?)
- Is your article well organised? Have you used appropriate subheadings to separate the different sections of the paper for clear understanding?
- Does the methodology correctly and clearly explain how you carried out the research? Can it be replicated by another researcher elsewhere?
- Is the prose clearly written, is the standard of English (or other publication language) good enough to make the article clear and easy to read?
- Are the results correctly and clearly presented? Can they be understood easily without misinterpretation?
- Have you included enough necessary details to make readers understand your write-up?
- Is the discussion clear, and does it include sufficient acknowledgement of different perspectives and interpretations?
- Does your reference list correctly match the citations given in the text?
- Have you used the referencing style specified by the journal you want to submit to?
- Are the references complete and accurate? Do they include the authors’ names, article title, publication information including dates and page numbers?
- If there are any figures and tables, are they understandable without reference to the text? Are they required – do they add to the understanding? (Do not illustrate unless something cannot be easily explained in the text.) Are they clearly, completely and correctly labelled?
- Does your article contain information on principal action to be taken and recommendation for further research by other researchers?
- Have you asked colleagues to read and comment on the text? Seek opinions from friends and peers before you submit your article for publication, as they will give you suggestions for improvement.
- Have you acknowledged individuals and organisations that made substantial financial and technical contributions towards the publication of the article?

Selecting a journal for publication

Ideally you should know which journal you want to submit to before you write your article, but this may not always be the case.

- Select a journal that already publishes in the same subject area as your article.
• Select a journal that publishes material similar to yours.
• Be realistic about your choice of journal: match the quality of your research to the quality of content that the journal publishes – aim high, but do not be unrealistic.
• Publication enhances your career – but only if you choose suitable outlets – check the policy of your organisation.
• Select a journal that provides the best readership for your article - do you want the article to be published free online (to maximise use)? Is the journal subscription price so high that it will exclude may regions / organisations who you want to read your article? Is the journal read by your peers?

**Submitting your article**

You should submit your article to only one journal at a time – submit to another journal only if your article has been rejected. Once you have selected a journal:

• Read the journal’s guidelines for authors and make sure your article conforms to its requirements. (If it is not available, contact the journal for advice or refer to the guidelines provided by the International Committee of Medical Journal Editors or other guidelines relevant to your subject area.)
• Ensure that the focus of your article complies with the aims and scope of the journal – otherwise the editors will not be interested in it.
• Submit your article only through the recommended means specified by the journal (by Email, post, etc.). Make sure the format you use for the article is acceptable to the journal (for instance, if you submit an electronic file, make sure it is in a format that can be easily opened and edited – e.g., Microsoft Word for Windows).
• Send a short polite letter to the editor to accompany your article, including any relevant information that you think the editor should be aware of – for example if you have previously submitted your article elsewhere, or if you will be away from the office for any period of time.
• Make sure you provide full contact details for correspondence – your name, affiliation, address, country, telephone number(s), Email, etc.
• Make sure you send all necessary materials required to publish the article (do not forget the illustrations, etc.).
• Keep copies of all material you send (paper and electronic files), as the journal will probably not return anything to you.

**Online submission**

• Many journals now encourage authors to submit their articles online (some will only accept online submission). Most of the above items are still relevant.
• To submit your article, you must visit the journal website, log on as an author, type in the article information (e.g. title, authors, affiliation, etc. – all usually prompted by checkboxes but make sure that you include the information for ALL the authors), and finally to "upload" your article electronically.
• You will need to have all your content (text and artwork) available in electronic form. The author guidelines and the submission website should provide you with instructions on what file types they will accept (most likely, Word for the text, and gif or tif files for the artwork).
• In some cases you may not have everything available electronically (e.g. some artwork) - in this case you must contact the journal to alert them to this fact (so long as it is something like a piece of artwork, this should not prevent the journal from accepting your submission).
• You will also require a reliable Email address which the journal will use to communicate with you – and some journals require an email for every listed author – so make sure you have these.
Many online submission websites provide a service for you to track the progress of your article within the editorial office: you need to visit the website, and to log on as above. The website should then provide you with a status report on your submission (e.g. with reviewers).

If a journal uses online submission, then during the publishing processes described below all communication will be by Email, and any re-submission will need to be done online.

The publishing process – what you should expect after submission

- When you have submitted an article, you should expect an acknowledgement – but this may take several weeks – if you do not hear from the journal, contact the editor or the editorial office to make sure your article has been received by the journal. (If you have submitted online, you should receive an Email within 1-2 days as the responses are automatic.)
- If the journal feels that your article is totally unsuitable, the editors will immediately reject it.
- If not immediately rejected, your article will be sent out to reviewers – these are subject specialists in your area who will read the article and return comments to the journal about the article’s acceptability. (In your letter you may suggest suitable reviewers but most journals prefer to use anonymous reviewers.)
- Different journals use different reviewing methodologies. Check these before you submit – in some, the reviewers will not be told your name (double-blind reviewing) and you will not be told who has reviewed your article. However in others the reviewer will be told of your name, but you will not know the reviewer. In some everyone is informed of each other’s names.
- Once the article has been reviewed the journal will reply to you, providing feedback from the reviewers – this may take several months. If you do not hear from the journal for a very long time after the acknowledgement (say, six months), you should write to enquire on the status of your article.

Revisions

- It is unusual for any article to be accepted by a journal without some revisions being requested.
- Revisions may be minor (e.g., change references order), or major (e.g., “methodology unclear”).
- Seriously consider all revisions requested by the editor and make changes as requested – however if there are any of the recommended revisions that you disagree with, contact the editor to discuss or make a clear argument for your decision when you resubmit the article.
- The revised article needs to be returned to the journal (many will ask you to re-submit using the online submission system, others will ask you to email it). Do not delay in doing this.
- If the revisions were substantial (major revision), the journal may send the article out for a second review.
- It is not uncommon for some journals to undertake several revisions of an article.
- It is possible that after revision the article is rejected – although it is unlikely unless you failed to revise the article satisfactorily.

Rejection

- Do not be disheartened to receive a rejection letter. There are many reasons for this, for example it may not be due to the quality of the article, but because the subject is inappropriate for the journal.
- If the journal gives you reasons for rejecting the article, consider their comments seriously – other journals may have similar concerns about your article.
- If your article is rejected, you can submit it elsewhere – but remember there are reasons for rejection and you should review your article before submitting it elsewhere (and remember to conform to the author guidelines of your newly selected journal).
Acceptance

- When your article is accepted you will receive confirmation from the journal (by Email or post).
- Ask when you should expect publication.
- Check to see if the journal will provide you with printed copies of your article (offprints), or a copy of the issue in which it appears, or an electronic file of the final article (usually in PDF format). You may also be offered the opportunity to purchase additional printed offprints.
- Ensure you are aware of your rights regarding the article (see copyright below) – discuss with the journal if you are unsure.

The publishing process – what you should expect after acceptance

- The journal will usually publish your article in the next possible issue of the journal.
- After editing and typesetting your article (setting it in the journal style), the editor will usually send it to you for proofreading before finally publishing it.
- At this stage you need to read carefully through the article and correct technical, spelling and grammatical errors. Make sure your main points have not been lost to editing.
- This is the last opportunity you have to make minor corrections on your article; therefore you must check the tables, illustrations, units of measurements, etc. to make sure they are correctly presented. You should also check that you have provided accurate data.
- Note that major revisions to your original article are not acceptable at this stage
- Make your corrections on the article and return it to your editor promptly to meet the journal’s publication deadline – if you are late you may need to wait for the next issue.

Citation

- Until your article is accepted by a journal you should simply cite it as "in preparation".
- Once your article has been accepted and you have confirmation from the editor of the journal, you should cite it as "in press" with the name of the journal.
- Do not give full citation (volume/issue/year/pages, etc.) until the article has been published and you have the citation information.

Copyright

- The majority of journals take ownership of the article upon publication (i.e., they own copyright on the article) – you need to check with the journal. If this is the case, you will be required to sign a form that assigns copyright to the journal – they should send you a form to sign.
- Some journals allow you to retain copyright ownership, but require you to assign them an exclusive licence – this means that you cannot publish the article elsewhere (unless you discuss it with the original publisher first).
- Whether you have assigned copyright or granted a licence there will be terms and conditions on your reuse of the article – for example you may not be allowed to use parts of it in future publications. Check the terms and conditions of any licence or assignment of copyright that you sign. A good publisher/journal will allow you to reuse your article for non-commercial reasons (e.g. teaching).

After publication

- Once your article has been published you can draw attention to it by citing it in your subsequent related works. You can also order copies of the article (offprints or reprints) and send to relevant organisations and individuals who will make use of it.
If your publication is a result of funded research you should ensure that the funders receive a copy of the article.

If possible, deposit the electronic version of the final article in an online repository – either within your institution, or a more general archive – this will give your article more prominence (remember to include its publication citation). But you must check your copyright restrictions to ensure the journal is willing to let you do this.

- Note that your institution, or any grant funding that you have received, may actually mandate (=require) you to post your accepted article in a repository – check to see with your institution or the funder (if you are in receipt of funds).

References and further reading


Useful websites

APA reference style – this website gives examples of references in APA style – very useful.
http://www.cws.illinois.edu/workshop/writers/

AuthorAID Website – the resources section has hundreds of presentations and guides on how to write a scientific paper.
http://www.authoraid.info/resource-library

Canberra: Notes on the Structure of a Scientific Paper: These guidelines were prepared with the aid of Robert Day's entertaining book "How to Write and Publish a Scientific Paper"

Citations: useful guide on how to cite internet (online) publications.
http://www.apastyle.org/learn/index.aspx

George Mason University – guide to writing a scientific paper.
http://classweb.gmu.edu/biologyresources/writingguide/ScientificPaper.htm

Authorship

This resource was originally co-authored by Pippa Smart, PSP Consulting, and James Falaiye, Managing Editor of African Journal of Reproductive Health, Benin City, Nigeria: jamesfal@hotmail.com
Chapter 7. Peer review policies

Do you operate a regulated peer review policy? For quality control, peer review is still considered the only effective method and it is imperative that you have an effective, reliable, consistent system. Answer the following questions to find out if you do:

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<th>Yes</th>
<th>Could be clearer</th>
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<td>1.</td>
<td>Do you have an established peer review process?</td>
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<td>2.</td>
<td>Do you immediately reject totally inappropriate articles without sending them out to review?</td>
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<td>3.</td>
<td>Do you use at least one external peer reviewer on original research articles?</td>
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<td>4.</td>
<td>Do you have a list of the types of articles that you do not peer review? (e.g. editorials)</td>
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<td>5.</td>
<td>Is your peer review process suitable for your community and your discipline?</td>
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<td>6.</td>
<td>Do you explain your peer review process in the journal website?</td>
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<td>7.</td>
<td>Do you explain your peer review process in the author guidelines?</td>
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<td>8.</td>
<td>Do you provide your peer reviewers with guidelines to explain what you are looking for?</td>
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<td>9.</td>
<td>Do you adhere to the good practice guidelines for working with peer reviewers as given below in the resource?</td>
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<td>10.</td>
<td>Do you provide reviewers with feedback on the final decision?</td>
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Online resources and references

In addition to the following resources these websites and references may be useful:

Resource 7A: Different peer review methods

Date: July 2013

Summary: There are an increasing number of different peer review models, and journals can choose the methods that suit them and their community best. This resource gives details on the most common systems.

Double-blind peer review

Description: Neither the reviewer nor the author(s) know the identity of each other.

Advantages: It should ensure a lack of bias from the reviewer if they do not know the identity, or the institution or country of the author. It also makes it easier for the reviewer to be objective if they are not in awe of the author (or have a personal grudge).

Disadvantages: In small communities it is often still possible for the reviewer to determine who the authors are. Some feel that the quality of review is reduced if reviewers feel able to say what they want anonymously.

Note: Some journals operate “triple-blind” review – where the identity of the author is also obscured from the editors – this may be important in small communities where the authors are likely to accuse the editors of bias.

Single-blind peer review

Description: The reviewers know the identity of the authors, but the authors do not know who reviewed their article.

Advantages: It can give the reviewer more information on which to base the review. In small communities the reviewer is already likely to know the identity of the author.

Disadvantages: A reviewer can be biased by knowing the identity of the author – either finding it difficult to criticise a senior person, or being overly-critical of someone they dislike.

Open peer review

Description: The reviewers know the identity of the authors, and authors are told who reviewed their article.

Advantages: Full transparency is argued to produce more constructive reviews, and allow authors and reviewers to discuss items raised during review.

Disadvantages: It can bias reviews – making it difficult to criticise a senior person.

Example: see the Wikipedia entry: http://en.wikipedia.org/wiki/Open_peer_review

Public peer review

Description: Articles are placed in an open site and readers invited to comment on them publicly (they may choose to do so anonymously).

Advantages: This is a fully open, transparent system where any specialist can comment.

Disadvantages: Only a few people will comment, and some may make inappropriate comments, also authors may be unhappy to make the work public in its “raw” state.

Example. No journals at the moment seem to be operating fully-public peer review, but several are experimenting with combined public/private review – see for example: www.atmospheric-chemistry-and-physics.net/review/review_process_and_interactive_public_discussion.html

Cascading peer review

Description: Using this system, if a journal rejects an article (for reasons of interest, novelty, etc.), and the author then submits to a partner journal, the reviewer reports may be sent to a partner journal. This requires the authors and reviewers to agree.
Advantages: It can reduce the burden on reviewers if they are not being asked to re-review articles when they are submitted to other journals following rejection.

Disadvantages: If the article has been revised after rejection then the reviewer reports may not be relevant.

Example: See this website for an explanation of how some journals are managing this:
http://blogs.biomedcentral.com/bmcblog/2013/05/24/peer-review-elife-goes-portable/

Public disclosure

Description: Some journals feel that the reviewer comments, manuscript updates and revisions are an important part of the scholarly communication system, and so make the original manuscripts with the reviewer comments and author responses available alongside the final published article.

Advantages: This may be important for full transparency of the reviewing process. It may also improve the quality of the reviewer reports if the reviewers know that their comments will be made public.

Disadvantages: The reviewers may not give permission, and to collate the reports, etc., is extra work for the editorial office.

Example: Go to: http://www.nature.com/emboj/journal/v32/n1/full/emboj2012326a.html
In the right column navigation you will see a link to a PDF “Review Process File” – this provides the full history of the article.
Resource 7B: Working with reviewers – good practice

Date: July 2013

Summary: This resource gives an overview of best practice in working with reviewers.

Policies

Decide which system of peer review is most appropriate for the journal

- What type of peer review you will operate, and how it will be managed?
- Not every article type need be reviewed (e.g. editorials).

Not every article need undergo the same type of peer review (e.g. some may be double-blind, some single-blind) – but be consistent and have a policy on what type of review is used in which circumstances.

Decide how your reviewers will be selected and by whom

- Authors may suggest (although it is recommended not to only use author-recommendations).
- Who will be tasked with identifying reviewers – one of the editors, or the editorial office?
- Decide how many external reviewers you want to check each article
- Three is considered ideal, but a minimum of one “external” (i.e. not a member of the editorial team) is usually considered the minimum acceptable.

Decide how long you will give reviewers

- In some areas this is as short at 48 hours(!) but more usual is 2 weeks.

Decide who makes the final decision – the editor-in-chief or an assigned editor. (Note that the reviewers only recommend, it is the journal editorial team who should make the decision.)

Management

Maintain a database of reviewer names including

- Name.
- Affiliation.
- Contact telephone.
- Contact email.
- Articles reviewed for you - date sent and date received.
- General score of effectiveness (e.g. delivers on time, helpful comments, etc.).

Keep the details of the database private – do not share outside the editorial group.

Always look to increase the number of people on your database of reviewers

- Invite authors to submit names of suitable reviewers (you may not use these, but they may be useful additions to your database).
- Obtain suitable names from conferences, meetings, etc.
- Search for reviewers on indexing systems (e.g. PubMed) to see who is actively publishing in the area.

Invite reviewers before sending an article to them

Remember to remind reviewers to return their review!

Do not overload the good reviewers

Provide guidelines to explain

- What you are looking for.
• What the journal wants to publish.
• How to report concerns (e.g. conflict of interest, dubious research reports, etc.).
• How to review ethically – keeping the review confidential, declaring any conflict of interest that may bias (or invalidate) the review.

Help reviewers to provide you with useful reports:
• Provide a checklist of the items you particularly want reviewers to report on.
• Provide space for comments for the editor (not to be shared with the authors).
• Provide space for comments for the author.
• Ask reviewers if they are willing to be put in contact with the authors to discuss the review.

Inform reviewers of your decision
• If you went against their recommendation it is good to tell them why – then they won’t feel offended.

Consider what “rewards” you can offer reviewers
• Annual list of reviewers with thanks in the journal.
• Free copies of the journal or access to the online site.
• Reduced fees for meetings, membership, etc.
• Vouchers for thanks (e.g. Amazon vouchers).
• Payment is relatively uncommon (because it is very expensive to pay and to administrate), but may be needed in some circumstances.
**Chapter 8. Ethical policies**

Do you have policies on plagiarism, conflict of interest and other ethical issues? To check that you have sufficient policies that anticipate and help you to deal with problems, check the following list:

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<th>Yes</th>
<th>Could be improved</th>
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<tr>
<td>1.</td>
<td>Do you have published statements or policies on the following:</td>
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<td>a. Plagiarism?</td>
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<td>b. Fraud?</td>
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<td>c. Conflict of interest?</td>
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<td>d. Author disputes?</td>
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<td>e. Privacy and confidentiality?</td>
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<td>f. Human and animal research guidelines (if appropriate)?</td>
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<td>g. Reporting guidelines (if appropriate)?</td>
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<td>2.</td>
<td>Do your policies include details of what is and is not acceptable?</td>
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<td>3.</td>
<td>Do your policies refer to international guidelines?</td>
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<td>4.</td>
<td>Do your policies indicate how you respond to breaches in your policies (from authors, editors, reviewers, etc.)?</td>
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**Online resources and references**

In addition to the following resources these websites and references may be useful:


COPE: Code Of Conduct And Best Practice Guidelines For Journal Editors.


Resource 8A: Ethical issues – what they are, how to deal with them

Date: August 2013

Summary: It is important for all journals to work ethically, and to require their authors, reviewers, etc., to also work ethically. There is a great deal published on this topic (see the resources for this chapter). This resource outlines the ethical issues that editors and publishers need to be aware of, and how to manage them – but note that other resources should also be consulted, in particular the COPE Guidelines.

Authorship disputes

These are the most common problem most editors encounter. They include:

Authors omitted. These may be “ghost” authors – professional writers employed to write up the research, or may be because there has been a dispute between the authors, or one was considered “too junior” to be included. Each journal should have clear authorship criteria (see the ICMJE website with definitions of authorship and contributorship: http://www.icmje.org/ethical_1author.html)

Non-authors added. Guest authors. This happens commonly when a head of department insists that their name is included on all department articles that are published. The journal should refer to its authorship criteria.

Order of authors wrong: Sometimes an author feels that they should be higher up the hierarchy than has been submitted to you.

Resolution: So long as the journal has shown due diligence in the way that it handles manuscripts all disputes should be resolved by the authors themselves without interference from the editors/journal. If a dispute arises prior to publication the article should be frozen and not published until it is resolved. If it happens after publication the journal should be prepared to issue an erratum once the situation has been resolved.

Ideally the journal should have the authorship form signed by all named authors, and each author should be emailed a copy of the accepted manuscript and required to confirm that (1) they should be included as an author, (2) that the order of authors is as they wish it, and (3) that they are happy with the final version of the article to be published.


Plagiarism and copyright infringement

Plagiarism is when an author reproduces the idea of another person, and pretends it is their own. Copyright infringement is when something is copied without permission. Most cases of plagiarism are also copyright infringement (because the author has copied the original). Copyright infringement is illegal, whereas plagiarism is unethical – and is considered a severe misconduct in academia/research.

Self-plagiarism is where an author re-publishes his or her work – sometimes making small changes, sometimes only changing the title, sometimes not changing anything. This is considered unethical (but not as serious as copying someone else’s work).

Ideally all reviewers and editors should be on the lookout for plagiarised work – but it is not easy to spot. Some journals run a regular check on all submissions, others check papers where something is suspected.

Checking systems include:

- Google – you can paste in up to c.110 words
- CrossCheck – only available to CrossRef members, and a fee is charged, but this is the best checking system
- eTBLAST (a freely available web-based checking system) http://etest.vbi.vt.edu/etblast3/
- Plagium: http://www.plagium.com/
- The Plagiarism checker: http://www.dustball.com/cs/plagiarism.checker
To test these out, paste the following text into them (taken from the resource guide above “How to publish your research”)

“Before submitting a paper for publication, you should ensure that it is the best work that you can provide: Is the title accurate, informative and concise? Does it have an abstract that correctly summarises the actual information in the article – is it easy to read, comprehensive, yet short enough (approx. 250 words is usual)? Are your study objectives or hypotheses clearly stated? Does your article say something new – does it add to the body of information in your subject area? (If it is a review article, is it sufficiently inclusive to represent all the arguments and give a fair and comprehensive review of the topic?)”

You should find that this article has indeed been plagiarised in a journal article published 2 years after the INASP resource was first published.

Resolution: follow the COPE flowchart, see below.

Conflict of interest

Conflicts of interest are where the author, reviewer, editor or editorial office has a potential bias that may affect their decision, and may lead to misleading information being published. This might be because the author is working for the pharmaceutical company who produce the drug he is describing; it may be because the reviewer previously worked with the authors and has an objection to them (personal or business); or it may be because the author is an editor on the journal, or the editor is related to the submitting author. Such conflicts of interest each need to be treated on a case-by-case basis – for example:

- Where a reviewer is working for a competing company to the author, they should not review the article.
- Where the author is an editor, they should not be in any way involved in the manuscript reviewing or decision-making process.
- Where the author is an editor, or has commercial interests that may bias the article, this should be disclosed at the end of the article – so that the reader and reviewer and editor can all make informed judgements on the content of the article.

Resolution: You should have policies on managing conflicts of interest that can arise. You should require all authors, editors and reviewers to disclose any conflict of interest (even if you then decide that it is unimportant). You should follow the COPE flowcharts – see below.

Research or reporting fraud

Sometimes authors will “clean up” images to more clearly show the results they want to present, sometimes they will exaggerate their findings, and sometimes they will maliciously invent or fabricate data. It is not always easy to spot, but a general rule is that if the research sounds too good to be true – then it probably is!

Resolution: Whilst you have to believe that authors are inherently honest with their submissions, you also need to be prepared to ask for more information or backing data to prove results which you or the reviewers believe to be suspicious. You should follow the COPE flowcharts – see below.

Libel and privacy

Some journals must be careful about libel and privacy. Libel is bringing a person (or a company) into disrepute; privacy is invading someone’s right to anonymity. It is possible to libel a person or a company even when you do not name them. If it is possible to identify them from what has been written, and if what has been written cannot be proved to be true, then the journal and authors are guilty of libel. Privacy is where the identity of a person can be determined from a photograph or description, and so the journal can be accused of invading their privacy. This is most common in medical journals where patients must either be fully anonymised, or have given written permission (which the journal should see).

Resolution: The journal should require all authors to sign a warranty (or affirm online) that their article is not libellous, or contains anything illegal. The journal should also show that during its reviewing/editing/production it has shown due diligence and care to identify any possible
I

NASP Editor’s resource pack

Publishing quality

infringements. If you suspect that the article may be problematic you should discuss with the author, and if needed, check with a lawyer. For privacy it is not sufficient to simply blank out a person’s eyes in photographs.

Managing errors, erratum, retractions, etc.

Erratum and corrigendum

Where a problem is discovered after publication, you need to act on this. First you must be sure of your facts, and then you must be able to inform readers. Where an erratum is required, in print this should be inserted in the next issue. However online it should be associated with the article – but the article should not be changed without some indication made. Examples of online errata include:

- Updating the article, but with a clear notice explaining what has been changed and when.
- Adding the erratum to the original article, as a pop-up or an extra file – see this erratum: http://tobaccocontrol.bmj.com/content/19/1/87.long
- Adding a note about the erratum: see http://www.nature.com/neuro/journal/v3/n12/full/nn1200_1316.html
- Adding the errata as comments (this is not very clear) – see http://www.biomedcentral.com/1471-2458/11/724
- CrossMark – this indicates the article version and if an erratum has been added. It is available only for members of CrossRef (and for a fee), see the explanation: http://www.crossref.org/crossmark/

Retractions

Where an article is retracted it is advised that the full text should remain, but clearly indicated as being retracted – perhaps a watermark over the PDF or the HTML page.

Where this is not possible or desired, the article can be removed – but there must remain something about it on the website (because people will already have read, and possibly cited the article. In this case it is preferable to indicate in the table of contents “Retracted” after the title, and on the Abstract page to place a statement explaining the reasons for the retraction.

See this example: http://www.sciencedirect.com/science/article/pii/S0893608012002377

COPE flowcharts

COPE issue (freely-available) flow charts with easy-to-follow steps for resolving ethical issues. It is highly recommended that all journals follow them:

http://publicationethics.org/resources/flowcharts
SECTION C: PRESENTATION QUALITY
# Chapter 9. Website requirements

Does your journal website meet international standards? The basics of these are presented below. Go through the list and confirm if you currently clearly present the following information:

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<thead>
<tr>
<th></th>
<th>Yes</th>
<th>Could be clearer</th>
<th>No</th>
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<tbody>
<tr>
<td>1.</td>
<td>Journal name</td>
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<td>2.</td>
<td>Current issue</td>
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<td>3.</td>
<td>Archive issues</td>
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<td>4.</td>
<td>Volume and issue numbers (as allocated)</td>
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<td>5.</td>
<td>Online ISSN (eISSN)</td>
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<td>6.</td>
<td>Editorial board (names and affiliations)</td>
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<td>7.</td>
<td>Publisher’s name</td>
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<td>8.</td>
<td>Publisher’s address</td>
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<td>9.</td>
<td>Affiliated Association details if relevant</td>
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<td>10.</td>
<td>Contact details, editorial office – via email</td>
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<td>11.</td>
<td>Contact details, editorial office – physical address</td>
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<td>12.</td>
<td>Contact details, publisher – via email</td>
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<td>13.</td>
<td>Contact details, publisher – physical address</td>
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<td>14.</td>
<td>Copyright statement</td>
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<td>15.</td>
<td>Journal publishing policies (frequency, subscription details – see chapters on publishing policies, Chapter 12)</td>
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<td>16.</td>
<td>Journal ethical policies (see chapters on policies, Chapter 8)</td>
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<td>17.</td>
<td>Aims and scope of journal</td>
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<td>18.</td>
<td>Author submission guidelines</td>
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<td>19.</td>
<td>Online submission</td>
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<td>20.</td>
<td>HTML and/or PDF articles</td>
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<td>21.</td>
<td>Freely-available tables or contents and abstracts</td>
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<td>22.</td>
<td>On each article page:</td>
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<td>a.</td>
<td>Citation information for the article</td>
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<td>b.</td>
<td>Author names and affiliations</td>
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<td>c.</td>
<td>Links to author’s emails</td>
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<tr>
<td>d.</td>
<td>Reference links</td>
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Online resources and references

In addition to the following resources these websites and references may be useful:

Resource 9A: Planning online migration: Planning checklist

Date: January 2005 – revised July 2013

Summary: The objective of this document is to lead journal managers through some of the decisions needed to implement an online publishing strategy (or review an existing strategy). This checklist is not intended to be an exhaustive list of items that need consideration, but to be thought-provoking.

Online planning – example questions

1. Rationale for online publishing
   - What are your objectives of publishing online
   - What are the anticipated benefits
   - What are the anticipated disadvantages to the journal (and your organisation)
   - What are the implications for the journal if you do not publish online
   - What cost benefits are there to strengthen (or weaken) the argument for online publication
   - How will the proposed online publication interface with the current (and future) print publication
   - Other "business" and development considerations that should be taken into account

2. Risk management
   - What is your proposed migration (or launch) plan
   - What are the risks of taking each step

3. Content
   - What journal content do you propose to include (and if a phased approach is planned, what content in each phase
   - Archival material – retro-digitisation?
   - What other content do you propose to add to the website

4. Extent of online publishing
   - Published issues only, advance publication, online submission, etc.

5. User functionality
   - What functionality do you want to offer to your users
   - What level of sophistication of search, personalisation, etc.

6. Access
   - Will the site be open (or free) access
   - If closed access, what parts will be "open"

7. Licensing use
   - What do you allow users to do with the online content (e.g. print, distribute, etc.)

8. Pricing model (if applicable)
   - What is the optimum pricing model(s) (you may require several)
   - Licence agreements for purchasers (e.g. allowing inter-library loan, multiple use, etc.)

9. E-commerce
   - Do you plan to introduce any E-commerce onto the website

10. Technology and partnership
• Do you want to use a partner for hosting/publishing
• If not, what technology do you require to operate the online journal
• How will the arrangement benefit you

11. Investment
• What investment (commitment) is required – human resources and financial

12. Operational issues
• Workflow changes (e.g. File preparation – creating HTML/PDF/other types)
• Outsourcing options
• Human resources and skilling
• Requirements for additional work – to obtain new content, for example, to sell advertising space, etc.
• Managing copyright and licensing agreements
• Promotion

13. Multiple hosting
• Where else should the journal appear online?
• How will this be achieved

14. Budget and funding
• What will the direct-cost budget be
• What will be the hidden cost (overhead) implications
• How will this be funded

15. Project plan
• Provisional proposal
• Agreement of proposal by journal management/owners
  o Revision of proposal
• Identification and discussion with third party organisations
  o Revision of proposal
• Budget finalisation
• Agreement and commitment
• Implementation

Online publishing planning proposal
• The argument for: Why do you want to publish online (benefits to journal, etc.)

The proposal:
  o What do you intend to publish online (facsimile of print journal, etc.)
  o What access restrictions (if any) are you going to impose on your content (open or closed access, free to subscribers, etc.
  o Where do you intend to publish your online content (which online host, or own website)

• Timing: The work plan
• Financing: Resource implications (costs, staff, skills)
Resource 9B: Online publishing – different hosting opportunities

Date: August 2006 – revised July 2013

Summary: The decision of where to publish online can materially assist or harm a journal. This document outlines some of the salient points about the different types of online publishing available to journals.

Own/organisation site

Benefits
- Complete control and ownership of design and branding.
- Can add functionality as required – for example adding online editorial management.
- May be able to obtain detailed usage statistics – depending on the sophistication of the website.

Disadvantages
- Frequently suffer from lack of maintenance.
- May be "lost" within a large organisational website, and suffer from lack of visibility.
- Lack of knowledge regarding online publishing standards, linkages with other online publishing developments, etc.
- May not be able to obtain any useful usage statistics.

Costs
- May be free, but may have high staff costs.

Skills
- Will require web hosting and file preparation skills, in addition to online publishing knowledge.

Cautions
- The journal website must be stable enough to provide reliable hosting of the journal – without changes of URL, and with 24/7 reliability.
- It is important to retain an awareness of developments with online publishing (and the web in general) to ensure that the site does not get out of date.
- It is important to ensure that the journal is sufficiently visible to other services – i.e. that the website is well indexed and registered with different search engines.
- The journal must make sure that the online publication is being archived adequately, so that in the event that the organisation website goes down, the server is stolen, etc., the files are not lost.
- Note that it can be extremely difficult to explain some of the journal-specific needs to general website developers (for example XML, DOIs, etc.) so be careful in choosing to develop in-house (using institution staff or external website developers).

Process for using this route
- Agree with internal departments regarding development, loading, etc.
- Consider using publishing management software, such as the open source Open Journal Systems (http://pkp.sfu.ca/ojs). Review the available documentation, download the software, and install on your server.
- Develop, design and structure the site. (Note that developing the specification for the site is a large job and must not be undertaken lightly.)
- Agree on the format of e-files required, and set up a system for supplying e-files as required with a pre-agreed schedule.
• Ensure that website maintenance, activation, etc., are all undertaken as promised by the relevant in-house department.

• Set in place a process for checking the journal is loaded onto the site within the timeframe agreed, and that there are no errors introduced when they load the materials online.

• Promote the online journal to ensure readers, authors, librarians, etc. are aware of the online publication and visit the site.

**Specialised journal online host**

**What are they?**

• Companies who specialise in providing a service to journals. They take the journal files, and host them on their own website, and undertake all the technical development, hosting, amalgamation with other information, and maintenance issues. They usually provide additional services to journal subscribers, librarians, etc., to provide a high quality online publishing product.

• Examples include: Ingenta (http://www.ingentaconnect.com), Metapress (http://www.metapress.com), HighWire (http://highwire.stanford.edu/).

• They are sometimes linked to Subscription agencies (e.g. Metapress - see below).

• Note that some online hosts call themselves publishers – for example Dove Press, MedKnow, Bentham. Although they may offer some additional services, they operate very similarly to the commercial sites (e.g. Metapress). Equally, some of the commercial publishers (e.g. Elsevier) will negotiate an agreement in which they only provide online hosting services to the journal (even though they will publicly state that they are the “publisher”).

**Benefits**

• High technical competence, up-to-date with standards, high level of maintenance.

• Can provide additional services (e.g. file conversion).

• Can provide advice regarding online publishing developments.

• Frequently supply files to external databases, etc., on agreement with the journal, so can save the journal work and costs.

• They can provide sophisticated usage statistics and feedback.

**Disadvantages**

• Lack of control over design and branding (not in all services, as some can support a unique journal web-area – e.g. HighWire – but such branding costs extra).

• The commercial host will develop their service to fulfil their own commercial priorities, and these may not be the same as those of the journal – i.e. they may not be able to provide some of the functionality that the journal wants.

**Costs**

• May be expensive to use, but may save staff time and require less investment in skill-building.

**Skills**

• No requirement for any online publishing skills

• Little file preparation skills required as these are managed by the host.

**Cautions**

• Commercial hosts require a contract to be signed with an agreed length of hosting – often 1 year or longer – and moving to another host can be problematic.

• Frequently the contract will be on a 6-month notice, so this needs to be taken into account if thinking of moving to another host.
• Ensure that the agreement is non-exclusive – so that the journal has the opportunity to publish online elsewhere if an opportunity presents itself.

• When the host has prepared and produced the files for online publishing based on what was supplied by the journal they may retain ownership of these files – the journal should ensure that they retain rights to make use of these files (for example to allow another organisation to re-use the files on their own website).

• Question where the responsibility for archiving lies - with the journal or with the host, and what recompense the journal would have if files were to be lost.

Process for using this route

• Identify suitable hosting sites through web searches, questioning colleagues, and sending enquiring emails to sites that look appropriate.

• When a suitable hosting site has been identified, enter into negotiation to establish cost, requirements, etc.

• Enter into a contractual agreement.

• Agree on the format of e-files required, and set up a system for supplying e-files as required to schedule.

• If the journal is only available to subscribers, provide a list of subscribers to the host in the format they require (some hosts may have different methods of granting access to subscribers and not require this) – you will also need to set up a method of updating this on regular basis to ensure that all subscribers can gain access.

• Once online, the journal needs to promote the availability to existing subscribers, and to potential new subscribers.

• Set in place a process for checking the journal is loaded onto the site within the timeframe agreed with the host, and that there are no errors introduced when they load the materials online.

• The journal needs to maintain a watching eye on the online journal, to ensure that the commercial host is undertaking the services that they are contracted to do, and within the time-limits agreed.

• Follow-up on sales reports and financial payments to ensure these are delivered to the journal as promised.

Subscription agency

• What are they?

• Agencies who provide a liaison service between publishers and subscribers (usually libraries) to collate orders and money. They collect subscription requirements from libraries, collate them, and help to manage the process. They work with both print and online journals.

• Some also now offer to host the full text journal – however the journal is only made available to subscribers who buy their subscription through the subscription agency.

• Examples include EBSCO (http://www.ebscohost.com/for-publishers/for-publishers), and SWETS (http://www.swets.com/publishers).

• Note that these are only hosting/selling organisations, so the journal still remains the exclusive property of you, the publisher.

Benefits

• High technical competence, up-to-date with standards and usually have a high level of maintenance.

• They will bring in some revenue to the journal through sales.

• Close association with libraries may assist with visibility.
- Will provide reports of sales and usage.
- It is likely that the subscription agency will ensure adequate archiving, so that they do not lose their saleable goods.

Disadvantages
- Lack of control over branding.
- The sites are only open to subscribers who pay through the subscription agent, so they do not provide any visibility outside this group.
- Existing subscribers will not be able to access the journal unless they subscribe through the subscription agent.

Costs
- No cost, and they will often perform file conversion on behalf of the journal (e.g. from print copies to e-files, or from PDF of the full text to the e-files they require).
- NB: they will not usually increase revenue to the journal very much. However they sometimes promise this! (Example payments to journals are c.20-30% of the sales revenue received by the agent.)

Skills
- No online publishing skills and little file preparation skills are required (in some cases no e-file preparation skills are required).

Cautions
- Subscription agencies will require a contract to be signed, and this should only be for 1 year, so if the relationship is not successful the journal can move.
- Ensure that the agreement is non-exclusive – to ensure the journal has the opportunity to publish online elsewhere if an opportunity presents itself (some agencies will try to insist on an exclusive deal).
- The subscription agent will retain a percentage of revenue from any sale they make of the journal through their site. This is normal, and reasonable, however be cautious about the amount retained, and what revenue they promise back to the journal.
- When the subscription agent has prepared and produced the files for online publishing based on what was supplied by the journal they will usually retain ownership of these files – if possible the journal should negotiate to ensure they have some rights to make use of these files (for example to allow another organisation to re-use the files on their own website).
- Set in place a process for checking the journal is loaded onto the site within the timeframe agreed with the host, and that there are no errors introduced when they load the materials online.
- By relying on such a service the journal may be missing opportunities for online publishing and sales and visibility elsewhere – it is recommended that this type of online hosting is only considered to be one method of going online.
- Remember that these organisations are established to sell subscriptions – therefore they really only work if the journal is sold to subscribers – where the journal is open access these organisations will be less suitable, and will require the publisher to pay for hosting.

Process for using this route
- Identify suitable subscription agency sites through web searches, questioning colleagues, and sending enquiring emails to sites that look appropriate.
- When a suitable subscription agency site has been identified, enter into negotiation with them to see if they will accept the journal (they will only accept it if they feel there are potential sales they can make). Alternatively they may approach the journal.
- Enter into a contractual agreement.
• Agree on the format of e-files required, and set up a system for supplying e-files as required to schedule.
• Follow-up on sales reports and financial payments to ensure these are delivered to the journal as promised.
• Set in place a process for checking the journal is loaded onto the site within the timeframe agreed with the host, and that there are no errors introduced when they load the materials online.
• Do not expect the subscription agency to provide adequate promotion of the journal — the journal still needs to have some promotional programme itself.

**Bundled collection sales sites**

**What are they?**
• Companies who bundle journals together on a site to sell them as a group.
• Examples include Sabinet (www.sabinet.co.za/), Project MUSE (www.muse.jhu.edu/).

**Benefits**
• This type of online publishing brings in some guaranteed revenue to the journal.
• They are usually technically competent, and take over sales responsibility, helping to promote the journals within their bundle.
• Will provide reports of sales and usage.
• It is likely that they will ensure adequate archiving, so that they do not lose their saleable goods.

**Disadvantages**
• Lack of control over sales through the site, lack of branding.
• Their model may be too "closed" to bring the participating journals any additional visibility outside the customers who are purchasing the bundle of journals.

**Costs**
• They do not usually charge for inclusion (some do charge).
• They will retain a percentage of the sales revenue as payment for their hosting and sales.

**Skills**
• No online publishing skills are required from the journal.
• Little file preparation skills are required, they will usually simply require PDF files of each article.

**Cautions**
• They sometimes demand an exclusive agreement – i.e. the journal may not publish or sell their journal online through any other service – this is a very restrictive practice, and journals should not agree to this.
• When the Sales site has prepared and produced the files for online publishing based on what was supplied by the journal they will retain ownership of these files – if possible the journal should negotiate to ensure they have some rights to make use of these files (for example to allow another organisation to re-use the files on their own website).
• Set in place a process for checking the journal is loaded onto the site within the timeframe agreed with the host, and that there are no errors introduced when they load the materials online.
• By relying on such a service the journal may be missing opportunities for online publishing and sales and visibility elsewhere – it is recommended that this type of online hosting is only considered to be one method of going online.
Process for using this route

- Identify suitable sales sites through web searches, questioning colleagues, and sending enquiring emails to sites that look appropriate.
- When a suitable sales site has been identified, enter into negotiation with them to see if they will accept the journal (they will only accept it if they feel that it adds value to their collection, and that there are potential sales). Alternatively they may approach the journal.
- Enter into a contractual agreement.
- Agree on the format of e-files required, and set up a system for supplying e-files as required to schedule.
- Set in place a process for checking the journal is loaded onto the site within the timeframe agreed with the host, and that there are no errors introduced when they load the materials online.
- Follow-up on sales reports and financial payments to ensure these are delivered to the journal as promised.

Cooperative journal websites

What are they?

- Development initiatives that support the hosting and publication of online journals.
- Examples include the INASP JOLs (Journal Online programme), e.g. BanglaJOL (www.banglajol.info – for journals published in Bangladesh), SLJOL (www.sljol.info for journals published in Sri Lanka) and NepJOL (www.nepjol.info for journals published in Nepal).

Benefits

- They are usually technically competent – but not as advanced as the commercial sites.
- They usually provide community support to the journals to assist with development of skills and knowledge about publishing.
- May be able to provide reports of sales and usage – depending on the sophistication of the website.
- They may offer submission systems if required by the journal.

Disadvantages

- Lack of control over the site, lack of branding.
- The models are usually "Open Access" so do not bring revenue to the journal.

Costs

- They do not usually charge for inclusion.

Skills

- No online publishing skills are required from the journal.
- Little file preparation skills are required, they will usually simply require PDF files of each article – or accept the paper version of the journal.
- However one of the rationales for these sites is to provide skill-building, so support in developing skills in online publishing is often provided.

Cautions

- They may not be as visible within the western publishing environment as the commercial services above.
- By relying on such a service the journal may be missing opportunities for online publishing and sales and visibility elsewhere.
• They usually do not bring in any revenue for the journal.
• Question where the responsibility for archiving lies - with the journal or with the host, and what recompense the journal would have if files were to be lost.

Process for using this route
• Identify suitable cooperative site through web searches, questioning colleagues, and sending enquiring emails to sites that look appropriate
• When a suitable cooperative site has been identified, you need to enter into negotiation with them to see if they will accept the journal (they will only accept it if they feel that it fits their collection acceptance criteria). Alternatively they may approach the journal.
• Enter into a contractual agreement (this is likely to be in the form of a Memorandum of Agreement and less binding than those of the commercial organisations).
• Agree on the format of e-files required, and set up a system for supplying e-files as required to schedule: may need to provide print copies of the journal as well as the e-files.
• Set in place a process for checking the journal is loaded onto the site within the timeframe agreed with the host, and that there are no errors introduced when they load the materials online.
• Follow-up on reports to ensure these are delivered to the journal as promised.

Commercial publishers
What are they?
• Commercial publishers, for example Taylor & Francis, may be willing to enter a partnership agreement in which the journal will be published on their website.
• In the agreement you either (a) retain ownership of the journal and use the publisher as a contract publisher, or (b) agree to form a partnership where they have partial ownership of the journal, or (c) cede all ownership of the journal to the publisher.
• Note that there are several publishers that operate more like a commercial online host (as described above). For example Dove Press, MedKnow, Bentham Press. This is an additional confusion to be negotiated by any journal!

Benefits
• Commercial publishers are highly skilled at ensuring that journals are successful. They can also obtain better sales revenues than smaller, less commercial publishers.
• They can provide invaluable advice about increasing the visibility of a journal, and will also have effective marketing operations already in operation.
• They can often obtain cheaper prices for typesetting, printing, etc., than smaller publishers, and so can reduce the cost of producing the journal.
• They will have existing systems that the journal can make good use of – for example submission systems.

Disadvantages
• A commercial publisher will only take on your journal if they feel that either they can make money from it, or it complements their existing portfolio – they are not interested in journals that they feel are peripheral to their interests.
• The agreement may not be in your favour, and must be negotiated carefully. Remember the saying that “there is no such thing as a free lunch”.
• You may lose control over the branding and other publishing details, depending on the agreement.
• Some agreements are close to those of hosting agencies, and offer no additional benefits.
Costs

- If the publisher feels they can make money from the journal, then there will be little or no cost to you.
- If the agreement is for contract publishing you will need to negotiate a financial agreement – if they think they will make sufficient sales revenue from your journal they may not charge you, but retain some income to cover their costs (and profit) and repay you a percentage of profit.
- If the agreement is partial ownership, then you will also need to negotiate a financial agreement. The terms are likely to be more favourable to you (as they have some ownership), but by granting them partial ownership they must agree any changes to the journal publishing plan, and not allow you to move to another publisher, host, or supplier.
- If you cede ownership (but perhaps retain editorial management) then they may pay you a small honorarium or profit share – but beware that you will have lost ownership of the journal.

Skills

- No online publishing skills are required from the journal.
- Little file preparation skills are required, they will usually support you in the whole process from submission to publication.

Cautions

- These agreements are usually for a minimum of 3 years. This is to give the publisher sufficient time to repay their initial investment.
- They often will usually require an exclusive agreement to publish the journal (to protect their investment), think carefully about the implications of this.
- Check the ownership of your content – you want to be sure that if the agreement terminates you will be able to recover all your content to move elsewhere.

Process for using this route

- Identify suitable publisher through web searches, questioning colleagues, and sending enquiring emails to publishers that look appropriate.
- When a suitable publisher has been identified, enter into negotiation with them to see if they will accept the journal (they will only accept it if they feel that it adds value to their collection, and that there are potential sales). Alternatively they may approach the journal.
- Enter into a contractual agreement.
- Agree on the service that they will be providing, and the roles and responsibilities of each party.
- Follow-up on sales reports and financial payments to ensure these are delivered to the journal as promised.

Subject-based indexing repositories

What are they?

- Subject-based repositories which contain article abstracts and sometimes contain full text.
- They may be commercial databases (i.e. sold to researchers/librarians) or free (e.g. PubMed Central, RePEc).
- Examples include CABI (www.cabi.org) which only contains abstracts and PubMed Central (http://www.ncbi.nlm.nih.gov/pmc/) which includes full text.
- They usually have quality criteria – i.e. strict guidelines regarding editorial quality of the journals/articles that they contain.
Benefits

- They provide high visibility and credibility because acceptance into these databases implies a high level of quality-control by the participating journals.

Disadvantages

- They do not bring any sales revenue to the journals (even when they are sold as commercial packages).
- They will not provide any usage statistics for the journal.
- There is no journal homepage, as the sites only include the articles – not the editorial board, instructions for authors, etc.

Costs

- They do not charge for inclusion.

Skills

- No online publishing skills are required from the journal.
- Many of these services now have quite strict formatting requirements. For example PubMed Central requires full-text XML files for each article. However some of them will accept the article PDF only.

Cautions

- Inclusion in these repositories should not be considered as "real" online publishing – by relying on such a service the journal may be missing opportunities for online publishing and sales and visibility elsewhere.
- It can take a long time to become accepted by one of these databases, and they can also cancel inclusion if they feel the content has changed (lower quality or changed subject coverage).
- Many databases will only accept journals if the journals can provide e-files in the right format - and the requirements can be extremely demanding.

Process for using this route

- Read the resource in this pack regarding indexing services – many of the repositories are also indexing services (e.g. PubMed Central), whilst others are independent repositories (e.g. RePEc).
- Identify suitable repositories through web searches, questioning colleagues, and sending enquiring emails to sites that look appropriate.
- When a suitable repository has been identified, you need to enter into negotiation with them to see if they will accept the journal (they will only accept it if they feel that it fits their collection acceptance criteria). Alternatively they may approach the journal.
- Agree on the format of e-files required, and set up a system for supplying e-files as required to schedule.
- Enter into a contractual agreement.
- If required, arrange to supply print copies of the journal as well as the e-files.
- There is rarely any feedback – including accessing the database to ensure the quality of their work in loading the content.
Resource 9C: Journal websites – essential elements

Date: November 2013

Summary: This document provides a checklist for the types of information which should appear on a journal website – regardless of where it is hosted.

It is sometimes easy to forget the most obvious parts of a journal website, and the checklist below itemises all the elements that should appear on your journal website.

General journal information

- Journal title (and if the journal had a previous title, this should be stated on the website)
- ISSN for digital version (note that the print and digital versions should have separate ISSNs)
- Aims and scope of journal (a clear statement of the mission and objective of the journal)
- Editor and Editorial Board (and Advisory Board, etc.) members – preferably with affiliation: it is important to provide these names, and at least the country in which each of them work – this demonstrates the range of the journal and shows if it is entirely national, regional, institutional or global.
- Editorial office contact details (and location) – it is important to provide an email, and good practice to state where the editorial office is located (institution, city, country)
- Name and location of publisher – this shows where the journal originates from, which gives credibility to the journal.
- Name and location of affiliated Association(s) if relevant: the link with a learned Association confers credibility on a journal, and is a good way to raise the profile of the Association as well.
- If there is a printed copy of the journal available details of its distribution and how to order this.
- If advertising in the journal is available, how to place adverts in the journal, who to contact, what type of adverts, and perhaps prices.
- Editorial policies, including (as appropriate), ethics, authorship, trial registration, misconduct and plagiarism, competing interests, ethical approval, statistical validity, privacy policies, etc. – see for example the editorial policies of BioMed Central: http://www.biomedcentral.com/about/editorialpolicies
- Peer review process (if it is blind, open, etc.) – this demonstrates the quality control of the journal, and also informs readers and authors of how the quality control and evaluation of articles is managed. See for example the peer review policy of Nature: http://www.nature.com/authors/policies/peer_review.html
- Archiving and permanency policies – see for example the policy on the BioMed Central website; http://www.biomedcentral.com/about/permanency
- Author-archiving and repository policies (for an example, see the Oxford University Press page: http://www.oxfordjournals.org/access_purchase/self-archiving_policyb.html)
- Data policies (if appropriate) see for example http://www.biomedcentral.com/about/supportingdata
- Copyright, libel and other legal issues, including the licence under which the content is published (see the resource “Open access journals – it’s not all about free”)
  - Permissions: how to request permission to reuse the content (if required)
- Submission guidelines
  - Types of articles published
  - Author guidelines (see the separate resource in this pack)
If there are publication or submission fees these should be clearly indicated

- How to submit (online, etc.)
- How to appeal a decision

- Table of contents alert (how to register for emails alerting readers when a new issue is published)
- Details of social networking – e.g. the journal Twitter account

**Journal content**

- Current issue, and archive issues
- Volume, date and issue number for each issue
- Advance content if applicable: these are articles loaded onto the website before being selected for issue – see for example http://ageing.oxfordjournals.org/content/early/recent
- Table of contents for each issue (with links to the abstract and full text)
- Title, authors and abstract of each article should be free to view
- Identification of the lead author and contact detail (email)
- Full text may be as PDF or HTML, or both – either free to view, or requiring a password to access
- DOI for articles
- How to cite each article
- Social links and bookmarking
Resource 9D: Open access journals – it’s not all about free

Date: July 2013

Summary: This document provides a basic introduction to Open Access publishing, and poses some questions of how – and if – it may be of value as a publishing model for journals from developing countries.

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Since journals started to be delivered over the Internet there have been extensive discussions about the principle of charging for access. During the past few years the discussions have reached new levels, with support from governments and funding institutions for making research articles free to view. The debates have become increasingly complicated by two questions:

- Where should the research article be free to view – on the journal website, or in an online repository?
- What can the user do with the research article (other than simply read and cite it)?

This chapter will provide a brief background to the current debates and also pose the questions that editors need to answer if they are to ensure that their journals comply with international strictures and expectations.

The original definitions of open access

The principle of open access (OA) was defined by three agreements back in the early 2000s. The Bethesda, Budapest and Berlin agreements all stated the principle of free access, but also raised the importance of ensuring that materials would be securely archived, and made available for reuse without barriers.

Today these debates have been redefined to emphasise that articles should be available on three conditions:

- No payment for readers – free access;
- Ability to reuse the content to create and build on research information to develop new knowledge;
- Availability of a permanent archival copy.

The rationale for these criteria is that the ability to read articles without being able to reuse the content is considered insufficient for the continued development of knowledge. In particular, there are calls to allow unrestricted data mining and the use of content in the creation of new works (with the caveat that all reuse is fully credited to the original authors and the original publication).

There are many journals around the world that publish freely – i.e. without a payment required for accessing the content. The Directory of Open Access Journals (DOAJ) presents an index of OA journals and criteria for inclusion within their listings, see http://www.doaj.org/.

Open access journals and business models

Many journals make their content freely available, and are funded either through their parent institution, or through Article Publication Charges (APCs). For example, the PLOS Journals were launched as fully OA journals, and are financially sustainable because of publication fees. This fee is payable for any article that has been accepted for publication (and not by those that submit and are then rejected). The level of the fee has been set at what is required to manage the journal, and this fee can vary greatly. For example, the BioMed Central list of charges shows, for each of their journals, APCs between US$620 and US$2285 (http://www.biomedcentral.com/about/apcfaq/howmuch). Note that it is assumed that the author will rarely have to pay the APC personally, and will be supported by
his or her institution. Also, several publishers who require APCs may make an agreement with a particular institution whereby the institution pays an annual fee in return for which any author from that institution is either not charged, or charged a reduced-rate APC.

The majority of (ethical) journals that charge APCs will waive them for authors who cannot pay – either because they have no available grant funding or because they come from a developing country where funds are not available from their institutions. This means, of course, that a journal using this business model cannot survive if the majority of its APCs are waived. One important consideration for editors is the potential of bias towards authors and institutions that are able to pay the publication fees. Most ethical journals will manage the payment system separately from the editorial office, so that editors cannot be accused of preference for fee-paying articles.

There is also some concern that implementation of APCs can lead to ‘predatory’ publishers – taking advantage of an author’s need to publish by providing poor services and limited quality control, but publishing where an author is able to pay (also called vanity publishing). The number of such publishers has apparently proliferated during the past few years; one librarian retains a blog (Beall’s list) in which he names those publishers that are believed to operate such unethical publishing practices (see http://scholarlyoa.com/publishers/). However, there is equal concern that ethical publishers are included in this list due to naivety in the way they operate or present their publications.

In another model, some journals that were subscription-only now offer individual articles the option to be published OA, with an APC. These journals are called ‘Hybrid’ because some (or most) of the articles must be purchased by the subscriber, while others are free for anyone to view. See, for example, the Wiley ‘Online Open’ explanation: http://olabout.wiley.com/WileyCDA/Section/id-406241.html

Take-up of the OA option in these journals varies according to the discipline and the availability of funding to pay the APC being charged by the journal. In principle, the publisher will reduce the subscription price according to the amount of OA material being published; however, in some journals the take-up is so low that it has made little difference to the price being charged for subscription. The theory is that as more authors take up the option for OA, the journals will undergo transition from a subscription sales model to an APC publishing model.

One other aspect to consider with regard to managing an OA versus a closed-access journal is the cost of running the journal. There are no definitive statistics that say whether it is cheaper or more expensive to be closed or open; this is because the business costs vary so much between different journals. For example, one journal may employ several staff, whereas another relies entirely on volunteers, and yet another may use university staff whose time is charged to other departments. One clear saving is in the cost of managing sales staff who manage subscriptions; however, this may be replaced by staff managing APCs. There may be some savings in managing website access in an OA journal, but the management of the website in its entirety should not differ. A report estimated that if Elsevier changed to full OA it would save 12-14% on costs, but Elsevier is hardly representative of most publishers! (Aspesi, C, Rosso, A and Wielechowski R (2012) Reed Elsevier: Transitioning to Open Access - Are the Cost Savings Sufficient to Protect Margins? Bernstein Research. http://www.richardpoynder.co.uk/OAcosts.pdf accessed 10 August 2013.)

Repositories

Academic and research institutions invest heavily in research – employing academics and researchers, and funding projects, experiments and development programmes. There has been increasing concern that the outputs from their investment would then be unavailable to the funder without requiring additional payment. Not only does this appear grossly unreasonable, but many (if not most) of the institutions and funders believe that the outputs from their support should be made freely available worldwide as part of their organization’s mission.

To further their own access to content that they have supported, many institutions have established digital repositories to capture the intellectual output of the organization. In the early days, these predominantly included grey literature such as working papers, theses, dissertations and the like. More recently, however, the institutions have been more concerned about capturing the publications that their employees and grantees generate. To this end, many institutions have mandated (or established a requirement) that all employees and grantees deposit their published works in the institutional repository.
In addition to these institutional repositories, there are some disciplinary ones that are centrally managed and encourage authors from anywhere in the world to deposit their materials in them. In the physics environment, ArXiv.org has been in operation for over 15 years, and in the life sciences, PubMed Central, which is run by the US National Institutes of Health was launched in 2000. Each of these larger repositories has their own rules regarding acceptable content. For example, ArXiv.org encourages anyone to upload their content and leaves it to the community to comment and evaluate. However, PubMed Central (or PMC as it is now to be known) will only accept content that it deems to be of sufficient quality – either through evaluation of the journals that wish to deposit their content on PMC, or because the article is a research output that has been supported by one of the identified grant funders (see below).

The position of major funders

Most of the major funders have, in the past few years, introduced requirements whereby the funded researchers are required to make their work public – free to access and free to read. Most of the funders that make this requirement ask that copies of articles are either made freely available on the journal website, or in a repository.

For example, the Wellcome Trust policy states that it:

- requires electronic copies of any research papers that have been accepted for publication in a peer-reviewed journal, and are supported in whole or in part by Wellcome Trust funding, to be made available through PubMed Central (PMC) and Europe PubMed Central (Europe PMC) as soon as possible and in any event within six months of the journal publisher's official date of final publication;
- will provide grantholders with additional funding, through their institutions, to cover open access charges, where appropriate, in order to meet the Trust's requirements;
- encourages - and where it pays an open access fee, requires - authors and publishers to license research papers so they may be freely copied and re-used (for example, for text- and data-mining purposes), provided that such uses are fully attributed.

For the full text of Wellcome Trust’s policy, see the website: http://www.wellcome.ac.uk/About-us/Policy/Policy-and-position-statements/WTD002766.htm

Individual universities also often have similar requirements – stipulating that their academics and funded researchers make their output available in the institutional repository.

For example, the policy of Trinity College, Dublin states that:

- to assist the university in providing Open Access to all scholarly papers published by its members of staff and research students, each staff member and research student will provide, immediately upon acceptance for publication, an electronic copy of the final peer-reviewed draft of each article at no charge to the appropriate representative of the Provost's Office in an appropriate format (such as PDF).

At the time of writing there were almost 270 mandates recorded on the Registry of Open Access Repositories Mandatory Archiving Policies (http://roarmap.eprints.org/).

The variable items of note within these mandates include:

- when the article must be made available;
- where the article must be made available;
- what version of the article must be made available (see below).

Most of the mandates allow for an ‘embargo period’. This is an amount of time between the publication of the article within a journal and when it is made freely available in a repository. The reason for this is to allow the publisher of the journal to make sales of the initial publication before it becomes freely available. The embargo periods were originally set at about two years, but have gradually been reduced and now stand commonly at six months.

Most of the mandates also stipulate where the article must be made available. For institutional mandates, this is usually the institutional repository. For the larger funder mandates, it is usually one
of the large discipline-specific repositories, such as PubMed Central, or RePEc (Research Papers in Economics).

Some of the funder mandates will pay for OA journal publishing – providing funds to pay for the article publication fees. For example, any Wellcome Trust funded researcher who publishes in *PLOS Medicine*, will have the APC (US$2900) paid directly by Wellcome Trust. Several university libraries are now developing publication funds to pay for their researchers to publish in journals that charge APCs.

It is worth mentioning here the UK Finch report that was produced in 2012. This was a government investigation into OA, with a mandate to investigate how to improve access to research, especially publicly-funded research (see: http://www.researchinfonet.org/publish/finch/). The full recommendations can be accessed online, but, in general, the investigation supports the publication of journals. It also acknowledges that they require funding to exist and that this should be provided if we are to move to a more OA environment. One outcome from this report was a decision by the UK research councils (RCUK) to mandate for OA and to agree to fund the publication charges associated with it. However, the report has not been willingly accepted in all areas and at the time of writing led to further government investigations. In particular, there has been considerable concern from researchers in the humanities and social sciences, who feel that the report and ensuing mandates do not recognize the economic differences between the life science publishing environment and theirs.

Moving aside from the politics surrounding some of the funding mandates, another issue to consider is which version is to be made publicly available. Many of the mandates only require the ‘accepted article’ to be placed in a repository: this is the version after peer review, but before copyediting and design. Although this version should be fairly close to the final version of record, that is, what is published in the journal, there can sometimes be important changes – including a change of title, authorship, and correction of major errors in the article that were missed during peer review. Some other mandates require a copy of the published article to be deposited in a repository as well as being available on the publisher website within the journal. One outcome of this is that a reader may find multiple versions of an article available; furthermore, it is not always clear how close the available version is to the version of record.

At issue for editors here is (1) their willingness to allow a version of the published article to be made available on a repository, (2) whether they are willing to accept a submission where an early draft can be found already-available on a repository, and (3) which version of the article they will allow for posting in a repository after publication.

The effect on citation

There are some arguments that open access articles will be more highly cited. It is certainly true that OA articles are – on average – accessed and downloaded more than closed access articles. Therefore it seems intuitive to think that they will be more highly cited. However, this has not been proven, and probably never can be. A large number of downloads will not necessarily lead to a high citation rate. It is the value of the article to the reader that determines whether it will be cited, and OA availability cannot change this. (Moed H (2012) Does open access publishing increase citation or download rates? *Research Trends* May; 28. http://www.researchtrends.com/issue28-may-2012/does-open-access-publishing-increase-citation-or-download-rates/ accessed 10 August 2013).

The deposit of the accepted version of the article, and the proliferation of versions that this causes can also dilute the citations. For example, if a reader accesses a repository version and wishes to cite it, the journal will lose the credit. Equally problematic is when the accepted version on a repository is accessed and read, even though the citation to the published version is considered the ‘authoritative version’. However, if there is no difference between them, there is no problem.

The rights of users: the licence

As mentioned at the start of this chapter, merely making the research articles available for free is no longer considered fully Open Access. Increasingly, advocates insist that for full OA compliance, the contents of the article should be made available for reuse without requiring specific permission from the author or the copyright holder. Conventionally, if someone wanted to reprint an article (for more than personal use), or re-publish a graph from another article, for example, they need to request permission to do this from the copyright holder. The copyright holder is the author in the first instance, but on publication, copyright is usually transferred to the journal publisher.
The process of requesting permission can be arduous, and then, it may not be granted or a charge may be levied for the use of the content. The need to ask permission is considered alien to the principle of OA, which states that research must be free to be reused to further the progress of knowledge. Therefore for an article to be ‘truly OA’, it is generally accepted that it must be published with a licence that allows readers to reuse the content without requiring permission.

The most widely used terms and conditions are those of the Creative Commons (www.creativecommons.org). This is a non-profit initiative that was established to create international licences that can be used by all publishers (as well as other areas of the creative industries). They provide free licences that can be downloaded and integrated into a journal website. The benefit of these licences is that they are intuitive and easy for readers to recognize and comply with. The disadvantage is that they are fairly generic and do not allow for optional permissions restrictions or allowances the publisher may wish to introduce.

To select one of their licences, the publisher makes selections from the options menu from which a licence is generated. The three main questions that need to be answered:

- What is the country of publication (for the legal parts)?
- Is the work available for commercial use (or only for non-commercial use)?
- Can the work be used to create derivative products?

From this, the following licences are generated:

- CC ND – only non-derivative uses can be made of the article (but commercial works are allowed);
- CC NC – only non-commercial uses can be made of the article (but derivative works are allowed);
- CC ND NC – neither commercial nor derivative uses can be made of the article;
- CC BY – any use of the article can be made, including commercial or derivative works.

One important point is that all of these licences stipulate that full attribution must be made to the original article, ensuring that the original work will not be plagiarised when it is reused.

For the advocates of OA only the CC BY licence is considered an acceptable licence. There are also pragmatic reasons for selecting this licence. For example, if a figure is reused within another article, this constitutes a derivative work; however, within the context of OA this would be considered completely acceptable. Likewise, to use an article (or parts of it) in a training course would almost certainly constitute a commercial use if the students had paid to attend the course, or if the tutor was being paid.

The ‘HowOpenIsIt’ guide, developed by PLOS, SPARC and OASPA, can provide useful guidance on the different ‘flavours’ of OA. It is available in English, Spanish and Chinese (see: http://www.plos.org/about/open-access/howopenisit/).

Gold, green and libre OA

Since these three terms are used extensively, it is important to know what they mean. All three terms refer to either journals or mandates.

- When they refer to journals:
  - gold means that the journal makes its articles available OA under a CC BY licence;
  - green means that the journal allows authors to deposit their article(s) within a repository (but ‘green’ does not stipulate any licence terms as they are understood by ‘gold’);
  - libre means that the journal makes its articles available free of charge, but under a licence that is more restrictive than CC BY.

These terms can be used in combination: for example, a journal can be both gold and green. But it cannot be libre and gold.

When they refer to mandates:
• gold means that the funder endorses publishing in gold journals;
• green means that the authors may publish in a closed-access journal, but must make their article(s) available within a repository (and again the licence terms may be negotiable);
• (libre is not used in this context.)

Summary
This article has only skimmed the surface of the ongoing debates about open access, but open access is gaining support throughout the research and funding environment – including governments (see the UK Research Councils mandate) and cross-regional settings (see the EU announcement). It is important that editors remain aware of the debates, and consider the best publishing model for their journal – whether open, closed or hybrid – and what licence they should be using for their content.
## Chapter 10. Print journal requirements

Does your printed journal meet international standards? The basics of these are presented below. Go through the list and confirm if you currently clearly present the following information:

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>Could be better</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>The journal should be printed on suitable paper to match the content requirements (e.g. partially glossy if it has a high number of photographs)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>The journal should be safely bound, with no loose sheets</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>The printing should be consistent – e.g. solid black ink throughout</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>The journal design should be consistent within one volume</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>The page layouts within each section should be consistent throughout – e.g. all research articles should have the same layouts</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>Advertising should be clearly identifiable as advertising, and not be confused with journal content</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td>Instructions for authors should be provided at least once per calendar year – although these may be a summarised version of those available online</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>On the front cover of the journal the following should appear clearly</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a.</td>
<td>Journal title</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b.</td>
<td>Print ISSN</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c.</td>
<td>Volume and issue number, and part number (or supplement title) if appropriate</td>
<td></td>
<td></td>
</tr>
<tr>
<td>d.</td>
<td>Year of publication (plus the month of publication if the journal is a monthly, or the exact date of publication if the journal is a weekly)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>Masthead: Inside the journal (usually on the inside front page or one of the first pages of the journal) the following should appear</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a.</td>
<td>The name of the editor-in-chief and the editorial board (with affiliation and country if possible)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b.</td>
<td>Journal title, aims and scope</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c.</td>
<td>The correspondence address and email for the editorial office</td>
<td></td>
<td></td>
</tr>
<tr>
<td>d.</td>
<td>The name and address of the publisher</td>
<td></td>
<td></td>
</tr>
<tr>
<td>e.</td>
<td>The name of the organisation that sponsors or endorses the publication (if any)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>f.</td>
<td>If the journal is available online, this should be stated and the URL of the online version should be given</td>
<td></td>
<td></td>
</tr>
<tr>
<td>g.</td>
<td>The journal’s print-ISSN (and electronic-ISSN if online)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>h.</td>
<td>The frequency of publication (monthly, bi-monthly, quarterly, etc.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>---</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>i.</td>
<td>Information on subscription and single-issue prices, method of payment, etc.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>j.</td>
<td>Copyright notice</td>
<td></td>
<td></td>
</tr>
<tr>
<td>k.</td>
<td>Abstracting and indexing information</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Each opening article page should include the following</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a.</td>
<td>Catchline (citation information including journal title, volume, issue, year, article pages, article DOI or URL)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b.</td>
<td>The copyright notice and/or name of publisher</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c.</td>
<td>Article title</td>
<td></td>
<td></td>
</tr>
<tr>
<td>d.</td>
<td>Authors + institutional affiliation and/or contact details</td>
<td></td>
<td></td>
</tr>
<tr>
<td>e.</td>
<td>Clearly identified corresponding author, and contact details</td>
<td></td>
<td></td>
</tr>
<tr>
<td>f.</td>
<td>Abstract (where appropriate)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>g.</td>
<td>Article key dates - usually submission and acceptance dates</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Online resources and references**

In addition to the following resources these websites and references may be useful:

Resource 10A: Text type design: resource guide

Date: January 2004 – checked/revised 2013

Summary: Much of type design is personal preference. However there are some items that should be taken into consideration. This guide is not a complete guideline to text design, but a list of items to consider.

Letter spacing (examples)

Too close together and it is hard to easily identify the word shapes

too far apart and it is hard to read with a flow (i.e. easily!)

Word spacing (examples)

Again, the same problem arises if the words are too close together - they appear to run into one another and it becomes harder to read easily

But excessively wide spacing seems to open up rivers of white down the page, across the path of the reader’s eye

Line spacing (examples)

Too tight

Several factors influence the choice of leading (inter-line spacing). Before leads were used for composition, type was set solid, and as a rule the roman letters had extenders long enough to hold open an adequate channel of white between the lines.

All right

Several factors influence the choice of leading (inter-line spacing). Before leads were used for composition, type was set solid, and as a rule the roman letters had extenders long enough to hold open an adequate channel of white between the lines.

Too loose

Several factors influence the choice of leading (inter-line spacing). Before leads were used for composition, type was set solid, and as a rule the roman letters had extenders long enough to hold open an adequate channel of white between the lines.

Too many / too few words per line (examples)

The choice of type chosen must be such that there will not be too many characters in the line for the reader’s convenience. Here again, there can be no standard number of ens that can properly be set in the line and the typographer must decide for himself. The choice of font chosen must be such that there will not be too many characters in the line for the reader’s convenience. Here again, there can be no standard number of ens that can properly be set in the line and the typographer must decide for himself.

The choice of font chosen must be such that there will not be too many characters in the line for the reader’s convenience. Here again, there can be no standard number of ens that can properly be set in the line and
the typographer must decide for himself.

**Justified or ranged left: guide**

- Ranged left text can look very ragged, and can be difficult to read. The reason for this is that the eye cannot easily track from the end of one line to the start of another. This is, of course affected by the line length, and the extent of the difference between the line lengths.
- However, justifying text can look ugly on some systems. This is because crude “typesetting” systems (including word processing software such as Word) will crudely vary the spaces between the words to force the line to make the same length and lead to unevenly-spaced texts.
- Table and figure legends, and chapter/paper titles/authors/addresses/headings (i.e. everything other than the text and references!) should be ranged left (this is because they tend to be short, and will add wide spaces between words when justified).

**Emphasis (examples)**

Emphasis in text may be achieved by CAPITALS, italic or bold.

And don’t mix-and-match different types of emphasis - it looks messy:

**Typesize (examples)**

The perceived size of type (rather than the actual size) can make type easy or difficult to read:

This is an area to be careful of since over-use of any form of emphasis effectively de-emphasises the text, with the result that it becomes hard, if not impossible to tell where the stress on the words is required, and thus to lose any impact that the writer intended.

This is an area to be CAREFUL of since OVER-USE of any form of EMPHASIS effectively DE-EMPHASISES the text, with the RESULT that it becomes HARD, if not IMPOSSIBLE to tell where the STRESS on the WORDS is REQUIRED, and thus to lose any IMPACT that the WRITER INTENDED.

This is an area to be CAREFUL of since OVER-USE of any form of emphasis effectively DE-EMPHASISES the text, with the result that it becomes hard, if not impossible to tell where the stress on the words is required, and thus to lose any impact that the writer intended.

Underlining: Usually, underlining looks unprofessional - it frequently clashes with descenders (e.g. “g”). Therefore, avoid it where possible.

- **Bold** gives a word more emphasis than **bold-italic**
- **Bold-Italic** has more impact than italic
- **Italic** has more impact than “Roman” (or upright).
This size (6pt Garamond) is not easy to read (too tiny)

This size of text (12pt Arial) is easy to read (but looks slightly clumsy and big)

This size (6pt Arial) is still easy to read and appears larger than 6pt Times

1. If you change to a sans serif typeface (e.g. Arial) it will appear to be larger than their equivalent serif typeface, so reduce it one or two point sizes (for example "10pt Arial" "12pt Times")

2. Some standard sizes:
   - **Body type:** 10pt serif type (e.g. Times) for the text with 12pt leading (i.e. base-to-base)
   - **Text headings:**
     - **Heading 1:** 12pt bold, 2-line above and 1 line below
     - **Heading 2:** 12pt italic or 10pt bold italic, 2 line space above, one below
     - **Heading 3:** 10pt italic, one line space above and no extra space below
   - **Abstracts and key words:** 9pt (i.e. one point size smaller than the text)
   - **Tables:** 9pt (including the table heading, and table contents) – one size smaller than the text. (And a sans serif (e.g. Arial) is often clearer for tables).
   - **Figure captions:** 9pt (i.e. one point size smaller than the text)
   - **References:** 9pt (i.e. one point size smaller than the text)
   - **Running headline:** 9pt, with either 1 or 2 lines’ space between it and the first line of text.

**Weight of type (examples)**

The blackness or lightness of the type can make it hard for the eye to follow from one word to the next, because the contrast of the paper under the type has an impact on how well the words stand out from the background

Consider reading this, and *then this* and *then this*

**Hyphenation**

1. You should ensure that no more than 3 consecutive lines end with a hyphen
2. End-of-line hyphens in general terms should break words either between two consonants (e.g. desk/top, and glos/sary) or where the word naturally breaks (e.g. typo/graphic, ele/phant).
3. If a line is badly spaced you can artificially add a hyphen, but if you do and the text re-wraps the hyphen will stay and needs to be manually removed
4. Importing text from an electronic file may also bring in hard-hyphens with it - this needs to be watched for.

**Spaces**

1. You should **never** have double-spaces in the text (typists tend to put them in after full stops) - this should be a first-check in the word file before typesetting. (This is because it makes the word spacing uneven.)
2. Word spacing options should be minimized – i.e. where possible set your typesetting package to avoid spacing under 85% or over 125%
3. Letterspacing should not be adjusted - assume that the type designer got it right!
4. Kerning: although the default programs are usually very good, you may need to tweak larger lettering - look particularly at AW and V when they come together in a larger face.
5. Line spacing (leading): as a general rule, use an extra 1pt for sizes under 10pt, then 2pts up to 30pt type, then use 4pts extra space for larger sizes. (i.e. 8/9, 9/10, 10/12, 16/18, 24/26, 30/34) – but remember that this is very crude way of calculating and different typefaces may require more or less - use your judgement.
6. Badly spaced text will show as rivers or pools (i.e. lines of white or areas of white space on the page) - to see how the text is arranged on the page, turn it upside down and squint, this way you
will stop reading the text and see the pattern of grey, and also see any unsightly rivers or blobs of white space.

7. Paragraph indents should be around 4-6 characters’ wide - which on 10pt type roughly equates to 10mm
8. For uniformity, indented text should also be indented the same amount throughout the document (e.g. paragraph indents, reference indents, etc.)
9. Accepted practice does not indent the first paragraph under a text heading, even if all the others are indented. However this is personal preference.

**Page area**

1. The classic "Penguin" book design set the ratio of margins to be 1:1.5:2:3 (spine:head:foredge:foot) – however for academic books and journals it is common to make the inner and outer margins the same width (a rule of thumb: keep them the width of a thumb!)
2. The head margin must be smaller than the foot – otherwise the text will look as though it is "slipping" down the page – usually the foot is twice the width of the head (and in this instance the head margin is from the top of the page to the top of the running headline, or other top-most line of text)
3. A very general rule is that the depth of type in the a page should be in the region of 80% of the page – ie margins top and bottom should equal about 1/5 the page height – although you may wish to make them smaller in academic journals, where optimum use of space is required
4. The inner margin must be set wide enough to enable easy reading, and also copying – it is bad design if the text disappears into the spine
5. Generally only two margins should be specified - the head and the spine – this ensures that everything hangs from these two points
6. Remember the binding margin (spine margin) needs to be large enough to allow the binder to bind your book/journal without the text disappearing down the middle.

**Working practices**

1. Work in Word as much as possible (to make editorial changes, etc.) before importing into the typesetting package - Word processor software is much more efficient for editing
2. Be prepared to re-key material – you need to make quick judgements about the usability of electronic files.
3. Be prepared to re-draw simple graphics - again you need to make quick judgements on efficiency

**Positioning the page**

1. Figures and tables should go at the head or foot of the page, not in the middle
2. It is neater to put graphics at the head of a page as first choice
3. Opening pages (e.g. the first page of an article): these vary enormously, but the location of the first line of text, the position of the article title, etc. need to be kept as consistent as possible: set the amount of space under each element and keep to this throughout (i.e. instead of starting the text 25 cm down the page regardless of how many lines of title/authors/addresses there are, start the text 30mm under the last line of the addresses).
4. The position of article headings should align throughout the journal

**Orphans and widows**

1. An orphan is a short line at the end of a page, and widow is a short line at the start of a page. Many programmes prevent this happening, and it is generally considered bad practice.
2. If a heading appears at the foot of a page, it should have a minimum of two lines of text before the end of the page. Any less than this and it should be moved onto the next page

**Consistency of text position**

The position of elements should be consistent throughout. As a general rule, do not mix "ranged left" headings and "centred" headings.
Figures
1. Figures should be sized so they are neither so large that they look unsightly on the page, nor too small to read the lettering clearly. Ideally they should be no larger than one-third the page size – but this is very dependent on the illustration, and some may need to fill an entire page.
2. Ensure symbols in the figures can be clearly seen – but don’t make the figure HUGE to ensure that the symbols can be seen easily, consider having the figure re-lettered.
3. Avoid over-use of grid lines in charts and graphs – they distract from the information being presented.
4. Also avoid grey shading either within bars, or as a background. The background to charts and graphs should be white, and shading of bars, etc. should be in a clear pattern – see below.
5. When preparing a line chart, ensure that it is easy to identify the separate tick marks (i.e. the data lines being presented)

Examples of artwork – rights and wrongs.

Tables
1. Ideally, tables should only have horizontal rules at the head and the foot and under the column headings – no vertical rules, and no rules in the middle of the table (to indicate separations use either half-line spaces or full-line spaces)
2. Run-on text within a column can be ranged left or indented - both are OK, but be consistent
3. Column headings and columns should be aligned in a consistent manner: for example as follows
   - Heading and text in 1st column: Ranged left
   - Headings over other columns: Centred
   - Text in other columns: Ranged left (text), ranged on decimal point (numbers)
4. There may be several levels of column headings, and in which case spanner (i.e. short) rules should be used to indicate that there are headings of headings – i.e.
5. Table headings should appear above tables in the same type as the tables.
6. If a table does not fit the text width (too many columns etc.) the point size can be reduced by up to 2 points - however the table heading should not be reduced.
7. Table footnotes: these should appear immediately under the table, in either the same point size, or a size smaller.
8. Tables may be set in a different typeface than the main body of text, if so, ensure that a consistent typeface is used throughout.

9. Tables should have about 2-line space between them and the body text.

10. If a table needs to run onto a second page, the column headings need to be repeated - and on the first page, the bottom rule should be omitted (to show that it continues over the page).

11. On landscape tables it is not usual to repeat the column headings on the odd (recto) pages (as they appear to run straight on from the even (verso) pages)

**Table 5** The title of the table

<table>
<thead>
<tr>
<th>First heading</th>
<th>Wheat species</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Species A</td>
</tr>
<tr>
<td>First line of data</td>
<td>000.235</td>
</tr>
<tr>
<td>Second line of data</td>
<td>234 c</td>
</tr>
<tr>
<td>Third line of data including ..</td>
<td>555.66</td>
</tr>
<tr>
<td>Fourth line of data</td>
<td>23.55</td>
</tr>
</tbody>
</table>

a The title of the table should appear above the table. Use superscript letters, or symbols (e.g. * ¶ ¥)

b This is a straddle heading – i.e. a top level heading
c Aligned on the decimal point
d First column headings are frequently omitted if not considered necessary
Resource 10B: Journal design – guidelines

Date: June 2005 – updated July 2013

Summary: Apart from the design of the pages, there are standard items of information and presentation which most journals conform to, as listed here.

The cover

Front

- Title (and subtitle if there is one)
  - Former title (for the first year after a journal changes its name) prefixed with " Formerly ..."
- Volume number
- Issue number and month
- Year
- ISSN (Top right corner is considered to be international standard)
- Publisher’s name (not required if the publisher is part of the journal title - e.g. Journal of the National Science Foundation of Sri Lanka)

Some journals include the Table of Contents on the front cover: this can be helpful to the reader, but if it is too long to fit, then it is better to either place it on the back cover (where there is usually more room), or inside the journal (otherwise it needs to run on to another page of the journal, which is not always easy to locate).

Note that ideally the design of the front cover should not change during one volume – if it is to be redesigned then it is better do launch the new design with the first issue of the next year.

Spine

- Title
- Volume number
- Issue number
- Month
- Year
- Pages (optional, but may be useful)

NB: when a journal is shelved in a holder, the lower part of the spine is obscured by the holder, so it is best if the title/volume/issue number are ranged at the head of the spine, so they can be seen when on the shelf.

Back cover

There are no standards for what should be included on the back cover of a journal. This is a prime place for advertisements, so frequently they are placed here.

If you do not have advertising on the back cover, instead of leaving it blank consider using it for:

- The issue Table of Contents
- The list of editors and aims and scope of the journal
- Information about the journals’ organisation, or society, or – as an “advertisement” for the Association
- A Call for papers for future issues
- Information for journal subscribers, or authors
- Advertisement for the journal website.
The masthead

The *masthead* is usually defined as the listing of information about a journal’s staff, operation, and circulation - in the context of a scholarly journal this means information about the editorial board, its aims and scope, and the publication information. This information needs to be easy to locate, and usually presented in one place – commonly the inside front cover, or one of the first pages of the issue. Much of the information is important, but not crucial for everyone, so is often typeset in very small type so that all the information can be squeezed onto one page.

Masthead items

The following list is an indication of the type of information a masthead should contain:

- Full journal title + subtitle
- p-ISSN and e-ISSN (note that the print and electronic versions of the journal should have separate ISSNs)
- Journal aims and scope
- Name/address of publisher, and the owning (or parent) organisation
- Name and contact details of Editor-in-Chief
- Contact details for the journal - e.g. the editorial office, and if used, the book reviews editor, advertising manager, etc.
- List of editors / editorial board / editorial panel (with countries to show international or national coverage)
- Frequency of publication (e.g. “Published three times a year, in March, July and November)
- Subscription price
- Ordering (and claiming) information - contact address, etc.
- How subscribers can notify a change of address
- Copyright statement – stating who owns copyright in the entire journal (even if individual authors regain copyright in their own articles)
- All bibliographical indexes and databases where the journal is included should be listed (do not include basic library catalogues and general indexes such as Ulrich’s – this list not only helps librarians to find the journal, but (perhaps more importantly) indicates which indexes have approved the quality of the journal as being suitable for inclusion within their index)
- Advertising information (who to contact, perhaps also the advertising rates)

The article title page

The article title page should include sufficient information so that the reader can quickly identify:

- The subject and content of the paper
- The authors
- The affiliation of the authors
- How to cite the article correctly

The title page is the page most likely to be photocopied, so should provide sufficient information that it can “stand alone”.

Title page items

- Catchline (citation information)
  - Journal title (in full and/or the standard abbreviation)
  - Volume, issue number, year of publication
  - Inclusive pagination of the article
Abstracts are usually restricted to c.250 words. They are sometimes part of the body of text, and sometimes sit above the text (single-column instead of the text double-column layout). Sometimes they are structured (introduction, methods, results, etc.), and sometimes a single paragraph of text. They are frequently set in a smaller typeface than the main body of the article, and sometimes in a different typeface.

References

These are usually considered less important than the text, and typeset in a smaller typesize. It is very important that the style of references is consistent - at least within an article - so do not mix styles - e.g.


Smart P (2005) **The Article Title.** The Jnl Titl. 55:1-10

Not only does this look careless, but can also make it hard for readers to quickly identify the information and also makes it difficult to automatically insert links in the online article. (Note that the style is not a formatting issue, but should be checked and corrected at the editing stage.)
Chapter 11. Publishing regularity

Do you publish regularly, on time, and with minimal delays for authors? Although a seemingly simple question, there are different criteria which need to be checked – see how you do against the following list:

<table>
<thead>
<tr>
<th>Yes</th>
<th>Could be improved</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Do you publish the print journal issues (if you have a printed journal) either on or before the scheduled month (or week)?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Do you publish the online journal issues (if you have an online journal) either on or before the scheduled month (or week)?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Do you despatch the printed journal (if you have a printed journal) either on or before the scheduled month (or week)?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Do you create an annual schedule for the journal?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Is your publication schedule clearly stated on your website (if you have one)?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Is your publication schedule clearly stated in your printed journal (if you have one)?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Online resources and references

In addition to the following resources these websites and references may be useful:

Resource 11A: Scheduling for journal production

Date: August 2013

Summary: A basic guide on setting up a schedule for journal (and book) publishing

It is very important that journals have a production schedule. This serves several purposes:

- It ensures that you are in the office at critical times!
- It plans around public holidays
- It plans around busy times of year
- It allows the journal to see how it is progressing – before it is too late to do anything about it!

Journal scheduling

Conceptually, journals have two distinct stages:

- Editorial submission and peer review
- Production after article acceptance

It is not usual to have schedules for stage 1 – because the date for submission and the time for review/revisions cannot be easily anticipated.

However it is vital that it has a schedule for stage 2 – the production of the issues.

Editorial stages

The stages that occur during the editorial process are outlined in the flow chart below. Because of the frequent need for revision, it is impossible to place exact dates on these stages, but generally-accepted times are as follows:

- From submission to first decision: 1-2 weeks
- Time for reviewing to editorial decision: 3-12 weeks
- Time for author to correct: 1 week – 6 months depending on what is required
- Time for final decision: c.1-2 weeks (if no further review is needed)

Production stages

Production of journals can be scheduled to run in one of two ways:

1. Wait until all articles for an issue have been accepted. Once all the articles for one issue have been accepted, they are sent for copyediting, then typesetting, etc. In this methodology the entire issue moves as one item. (This is often compared to book scheduling.)

2. Alternatively, deal with each article as it is accepted: allow each article to undergo its own sequence of actions (and on its own schedule) until it has reached the "held for press" stage (i.e. typeset, proof-checked and corrected, but not paginated). Once it has reached this point and been selected for inclusion within the issue, it will join the issue schedule, to ensure publication at the planned date.
Average times

It is very hard to approximate how long any activity should take: the following are general estimations from the UK industry.

<table>
<thead>
<tr>
<th>To copyedit an article:</th>
<th>at a rate of approximately 8 typewritten pages per hour – slower for complex, mathematical or highly referenced work, faster for simplistic, continuous text</th>
</tr>
</thead>
<tbody>
<tr>
<td>Typesetting:</td>
<td>Usually allow 1-2 weeks for each article. (If the entire issue is sent at once you may need to allow a little extra time – but not much!)</td>
</tr>
<tr>
<td>Proofreading:</td>
<td>Authors are often given 5 working days</td>
</tr>
<tr>
<td>--------------</td>
<td>--------------------------------------</td>
</tr>
<tr>
<td>Proof correction (by typesetter):</td>
<td>Usually allow 5-10 days depending on amount of corrections (and different journals have different rules regarding what level of corrections they allow)</td>
</tr>
<tr>
<td>Issue selection</td>
<td>Usually allow 4-5 days for selecting the articles and final issue corrections (including setting up the table of contents, cover, etc.)</td>
</tr>
<tr>
<td>Printing:</td>
<td>Usually allow 3 weeks</td>
</tr>
<tr>
<td>Distribution:</td>
<td>Frequently forgotten – but remember that postage takes time – and you need to allow for this when planning a schedule.</td>
</tr>
</tbody>
</table>

**Providing schedule information**

Most people do not need to know the detailed schedule, but only the parts that relate to them

For example editors only need to know:

- The final date that articles must be accepted and given to the copyeditor to ensure inclusion in an issue
- When they will be required to select articles for the issue (if they do this)
- When the issue will be published

Your printers only need to know when to expect files/copy for printing

*Tip: Do not give people too much information, as the more they receive, the less attention they are likely to pay to it.*

**Simultaneous schedules**

In a standard schedule each article goes through its own stages. Then the articles for an issue come together to go through the final stages together. Simultaneous with this will be the need to ensure that the cover is set up and produced on time. That indexes are compiled on time to merge with the issue, and that any advertising or other materials are also planned so that they do not delay the issue production.

In the online environment, remember that to upload an issue may take some time, so if this needs to be published in advance of the print issue, this also needs to be planned. Sometimes the files for online issue are produced after the print-ready files, and the online issue can be delayed.

**Setting the annual schedule**

Setting up schedules should be done each year – and sufficiently in advance to ensure no delays at the start of the year.

Because the “start” date of the schedule is the publication date (e.g. March, June, September, December) the schedule needs to be worked backwards from this – for instance:

- Arrival of issue with subscribers: March 15
- Postage of issue: March 1
- Printed copies ready: February 27
- Issue to press: February 8
- Cover to press: February 8
- Issue proofs approved: February 7
- Cover proof approved: February 7
Issue proofs received  February 5  
Cover proof received  February 5  
Issue selection  January 28  

Working from the end-date backwards is counter-intuitive, and can lead to errors. Therefore, where possible, the use of Excel is recommended. Excel can calculate a schedule once it has been given a "start" date and the number of days for each action; i.e.

<table>
<thead>
<tr>
<th></th>
<th>Schedule start</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Articles selected for inclusion</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Issue proof received</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Proof back for final corrections</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Proof OK'd for press</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>To Press</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Print copies received</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Copies distributed</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td></td>
<td></td>
<td></td>
<td>30 August</td>
</tr>
</tbody>
</table>

In Cell D7, insert the calculation "=D8+C7" - this will give you the date of 28 August in cell D7.

However, this takes no account of weekends and is of limited use. Fortunately, Excel is able to calculate around weekends (it is called "WORKDAY" in Excel), to provide a more useful schedule.
Chapter 12. Sustainability and publishing policies

Does the journal have a written sustainability and publishing policy? It is easy to launch a journal, but harder to maintain a consistently high standard publication – do you have clearly outlined policies and strategies? Check the following list:

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>Could be improved</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Are the human resources adequate for running of the journal?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Do you have a succession plan for any editorial or production staff or volunteers who are likely to retire or step down within the next 2 years?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Are the finances adequate for continuance of the journal?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Do you have a clear understanding of the journal income and expenditures?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Do you have a publishing or editorial strategy plan?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Have you reviewed the editorial or publishing journal strategy within the last 2 years?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Have you undertaken an evaluation of the journal strengths and weaknesses within the past 3 years?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Have you undertaken an evaluation of the journal publishing model (e.g. print, online, subscription based, open access, etc.) within the past 3 years?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. If you publish behind a subscription barrier, have you considered open access?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Do you have a policy of how to manage articles submitted with open access mandates?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Online resources and references

In addition to the following resources these websites and references may be useful:

Resource 12A: Journal finances and business management

Date: November 2005 – revised July 2013

Summary: Although the financial control of a journal (or group of journals) may not be managed by the controlling editor, they can still affect the situation of a journal – and this is to their benefit since a journal is of no value if it has no finances to continue its existence.

Journal revenue

Income to a journal can come from different sources - and at different times during the year:

Advertising - paid when the advert is placed - this is affected by the journal circulation (advertisers place adverts dependent on how many people will see it, and who those people are), and by the journal reputation (a high quality journal will attract more advertising than a poor quality one).

Subscriptions - paid in advance of receiving the journal. Ideally they are paid in September/October of the preceding year, however many delay payment until the calendar year. They are affected by library budgets, but it is worth noting that it is easier to retain subscriptions than to obtain new ones.

Back issue sales - paid when ordered - this is a decreasing line of income for most journals.

Issue sales - some journals sell individual journals, and some revenue can be made from these.

Sponsorship, grants, etc. - these can be made at any time during the year.

Author fees - if the journal charges authors either submission fees, acceptance fees, or fees for some types of content (e.g. colour) these will generally be made after the paper has been accepted.

Bank charges may also be included within the revenue lines, although it will be a negative amount!

Journal revenue is the area with greatest potential for innovative ideas to increase the profitability of the journal.

Influencing revenue

Can you identify new ways of obtaining funding? - e.g.

- Sponsored issues
- Sponsored papers
- Sponsored distribution
- For one issue, for many issues?

Are you able to obtain funding "in-kind" - e.g.

- Use of departmental secretary
- Use of occasional staff to post out, type up, etc.
- Use of institutional mailing (to cover postal costs)
- Use of institutional website – to host online journal
- Use of institutional technical staff and equipment

Ideas for increasing revenues

- Special offers
  - “Subscribe to 2014 and receive all 2013 issues free”
  - Bundling with other publications – e.g. “buy X journal and Y book for a combined price of Z”
- Approaching new markets
  - Targeted marketing
  - Changing the journal content
• Linking with other associations to get their membership to subscribe
• Commercial sponsorship offers
• “Place one advert, get one free”
• Article sales
  o Approach companies with identified articles
  o Article placement (inviting companies to submit articles)
• Special issues with sponsorship
  o additional issues produced during the year - usually based on conferences or themes - paid for by the conference organiser or other identified companies or organisations
• Conference proceedings
  o Special issues, sometimes with just the conference abstracts - paid for by the conference organiser or other identified companies or organisations
• Themed issues
  o These frequently attract more advertisers, or bulk sales, and may also be sponsored by an external company
• Subscription price – is this optimised?
  o Minimum subscription price calculation:
    \[ \text{Total cost of producing the journal Minus any funding Divided the number of copies you think you can sell (NOT the number you print)} \]

NB: you need to also remember that funding may be withdrawn, and this will affect the minimum you can charge.

• Ensuring subscription lists are administered correctly and revenues are collected
  o Do you send renewals letters?
  o Even to non-paying recipients?
  o When do you invoice? (is it sufficiently early?)
  o Do you chase non-payment of invoices?
  o Do you cancel upon non-payment of invoices?
• Do you offer credit?
  o For non-publication of issues?
  o For late publication?
• Partnership
  o Sell in bundles with offerings from another publisher (i.e. preferential rates if a subscriber purchases a group of publications)
  o Use a commercial publisher to sell/distribute with their list
  o Use commercial salesman (payment to them based on a percentage of their sales value)
  o Use international agents and sales forces

Journal costs

Costs which are allocated to a journal operation frequently include the following:
• Printing (including page design and online file production)
• Copyediting
· Editorial office costs
· Editorial honorariums
· Editorial meeting costs
· Promotional costs
· Web hosting
· Distribution and sales costs

Controlling costs is vital to the profitability of a journal.

**Influencing costs**

- Communications costs
  - Reduce postage costs (use Email? Fax?)
- Administrative costs
  - Streamline workflow - reduce time required
  - Minimize reporting - ensure that all work undertaken on the journal is required and put to good use
- Direct costs
  - Ensure value from suppliers - regularly investigate alternative suppliers
  - Ensure good payment control - check invoices are correct, do not pay too early
- Workflow and what is required from suppliers
  - Ensure that suppliers are not required to undertake expensive work when something simpler would be adequate
  - Ensure that the demands made on the supplier are reasonable, and do not incur additional costs
  - Talk to the supplier to see if savings can be made (e.g. a format change that would be more economical to print)
- Design and format
  - Ensure the design and format do not increase the production costs (e.g. the page design is time-consuming to set up)
- Quantities, frequency, extents
  - Consider changes to the quantity printed to avoid paying for copies that are not required
  - Consider changes to the frequency to save distribution costs
  - Investigate the page extent of the issues, is it economical (speak to the supplier) - sometimes it may be much cheaper to print 112pp than 108pp
- Partnership
  - Consider linkage with other publications/journals
    - Share suppliers (strength in negotiating)
    - Share distribution
    - Share administrative support
  - Consider linkage with other journals
    - Merge titles?
Hidden and parent-organisation costs

Beware of hidden costs – such as funding "in-kind" – at some point it may be taken away, so you should remain aware and conscious of how much you rely on the "goodwill" of your organisation/institution. For example:

- Staff / time
- Office space
- Overheads

Also you need to be aware that your organisation may be making some charges to you by deducting fees from payments made to the journal (for example by retaining 25% of all incoming payments made to the journal, to cover their own overheads).
Resource 12B: Evaluating your journal (key questions and indicators)

Date: January 2005 – updated July 2013

Summary: One important responsibility of a journal editor/manager is to periodically evaluate how successful their journal is and whether something needs to be done to avoid catastrophe or simply to make it stronger and more successful. This document has been written to assist this process, by posing some difficult questions, and listing some indicators that can be used to evaluate whether a journal is becoming more or less successful.

How strong is your journal – how sustainable is it in its current form?

Are you honestly able to look into the future and see both in the short and the mid-term that there are sufficient funds and support for the journal to survive? Does your current business model bring in sufficient funds to allow for continuation of the journal, or is funding insecure? If you are not secure in the short to mid-term, then you need to change something – it is unlikely that your situation will improve unless you actively do something to change it – you cannot rely on a hand-to-mouth existence – this is not fair to you, to the editorial board, to your authors or to your readers.

How good is your journal at attracting high quality submissions?

How many submissions do you get that are of good enough quality? Where do they come from? How many articles do you reject – and how many would you reject if you received higher quality articles? If authors do not know about you, then they will not submit their articles. If they do know about you, but think that you take a long time to process articles, that you do not reach enough people, and that their work will not be in a high profile journal, then they will not give you their best work.

If you want better submissions then you need to act to improve the service that you give to authors – for example (1) better distribution of their work, (2) faster publication, (3) better reputation for your journal (e.g. quality, frequency), and (4) better guidelines.

Do you publish poor quality articles?

Are you taking tough decisions, and rejecting papers that are not good enough, or are you persuaded to publish material that you know is poor quality? Do you get sufficiently good advice on the quality of papers from your reviewers or your editorial board – do they show good or poor judgement? Are you scared of rejecting papers?

How easy is it for potential readers to locate and read your journal?

Can a reader in another country find articles in your journal? Do you have visibility worldwide? It is quite possible that only those who receive the print copies of your journal are aware of your existence. Increasing numbers of researchers use the Internet to find content, and if you do not have a presence in the places where they search (online search engines, international and library indexes), then they will not discover you.

How regularly does your journal publish – do you keep to a published schedule?

Do you publish on time? What is your definition of on time – is it within the year of the cover, or within a few weeks of the cover month? From a western perspective, if a journal with a cover date of June is received any time after 30 June – then it is late. It cannot be stressed strongly enough that western researchers and libraries consider timely publication of huge importance. Many journals do not meet a publication schedule, and this affects their credibility in the eyes of the potential subscribers – people do not want to pay for something that they cannot trust to publish to a schedule – and many librarians will claim for their money back if you do not publish on time.

What is the true value of your current subscriptions?

It is important to be realistic as to the value of current subscriptions: although they bring in revenue, you have to pay for someone to raise invoices, chase non-payment, administer receipt of money, deal with queries. This is in addition to any bank charges. Whilst income of USD1000 may appear a great deal of money – if it has cost the journal more than USD1000 to produce and administrate the journal then the journal is making a loss for every subscription that they receive. It is quite possible that the
value of your subscriptions does not outweigh your actual costs – especially if some of your costs are paid by your parent organisation.

**How good are your revenue-collecting systems?**

Do your current administrative systems collect money efficiently? Are you only sending copies of the journal to people who have paid? Or are you relying on good will, that people will pay when they receive the journal? It is not true to say you have 200 subscribers if only 100 of these have paid you – in this case you have only 100 subscribers, and are giving free copies to another 100!

If you do not have good revenue-collecting systems, then you need to question if improving them would improve the position of the journal, or if you would be investing more money into a revenue source that still does not meet the financial requirements of the journal.

**Is it likely that your subscriptions can be increased?**

It is estimated that there are over 40,000 journals worldwide – and this takes no account of journals that are not included in *Ulrich’s* journal database. There has been large global growth in research – and research publications – during the last 20 years while the library budgets have in many cases been cut (both in the West and in developing countries). Therefore it has become impossible for libraries to purchase the required published research – and so it has become harder for any journal to increase subscriptions.

To compound this, LDC journals have a reputation for publishing late, being poor quality, and frequently ceasing publication – all contributing to a lack of trust in them, and an unwillingness to pay. Libraries in developing countries are often recipients of free or hugely discounted online access to western journals (through INASP, Research4Life and other initiatives), and so there is less need for them to spend money on unreliable local publications if they can provide their users with other resources.

If it is unlikely that you can grow your subscriptions to make yourself more sustainable, then you need to either change the journal so that it will find more subscriptions, or you need to change your economic model.

**What other questions must you ask yourself if you are to honestly evaluate your journal?**

**Journal health**

The “health” of a journal is a measure of how successful the journal is compared to how successful it has been in the past. As such, it is not possible to evaluate this by taking a "snapshot" of the journal – for example how many subscribers it has – a comparison must be made, how many subscribers it has now compared to 3 years ago. Changes in the health of your journal can be identified from a large number of factors – including the ones below:

- **Submissions**
  - Increasing/decreasing
  - Geographical spread
  - Quality changes
  - Subject changes
- **Subscription levels**
  - Increases or decreases
  - Geographical spread
  - Late or non-payments
- **Editorial office performance**
  - Referee turnaround,
• Acceptance/rejection rate
• Timely reporting

• Influence
  • Awareness of journal (subjective)
  • Ranking in indexes (if indexed)
  • Citation levels
  • Communication with readers and authors

• Publication performance
  • Timely publication
  • Errata (and non-errata errors)
  • Quality changes (editorial and physical)
  • Complaints from subscribers

• Readership statistics (most easy from online publication)
  • Website downloads
  • Email alerts signed up for
  • Most popular articles
  • Formal readership survey

• Competitor analysis
  • Number of journals publishing in your subject area
  • Success/failure of similar journals

• Financial performance
  • Changing loss/profit
  • Increasing / decreasing costs
  • Increasing / decreasing revenue
**Resource 12C: Journal development – ideas**

**Date:** January 2005 – updated 2013

**Summary:** There are many ideas for changes that a journal can follow to develop its current practice, and the following lists suggest some ideas.

Be creative, be radical - don’t be restricted by current practices

**Editorial**

- Change the editor
- Change the editorial structure
- Change the management and operation of the editorial office
- Introduce new refereeing systems
- Content development / diversification?
- Special issues
- Themed issues
- New subject sections
- Call for papers
- Second language translations

**Succession management**

- Employ students and young researchers
- Use postgraduates as third reviewers
- Involve reviewers in editorial decisions – invite onto the board

**Production**

- Look for efficiencies
- Change the management of production
- New workflows
- Style and design
- Increased/decrease pages
- Introduce or reduce colour in print

**Finance**

- Cost-savings
- New revenue streams
- Outsourcing work

**Methods of supply**

- Print - are there alternative technologies/printers that can be used
- Produce annual CD
- Go Online
- Produce Archive issues
- Go online only (cancel print)

**Author support**

- Guidelines
- Workshops
  CPD (continuing Professional Development) materials
  Online supplemental information
  Print supplemental information
  New "sister" journal
  Partnerships with other journals, or associations
  Changed marketing operation
  Merge with another journal
  Close down your journal
Resource 12D: Models for full text journal online publishing

Date: November 2005 – revised July 2013

Summary: An introduction to the different publishing models that can be implemented in the online environment, and which may provide a solution to problems experienced by publishers (e.g. funding to print, lack of submissions, etc.

This document has been written on the assumption that before considering which online publishing model is most appropriate for your specific journal, and that you have

- Evaluated your current publishing "business"
- Familiarised yourself with online publishing, and
- Understood the Open Access principle. (Note that in this chapter "Open Access" is used in its most liberal definition, simply meaning free to access.)

The following models are proposed as suggestions for changes to the established publishing model. Note that they are combinations of Open/Closed access models, and that they all assume that you continue to print the journal (with the exception of the last model).

- Continue your current publishing model, but publish the full text online behind an access control ("closed access").
- Follow model 1, but publish the previous year’s issues/articles full text online Open Access (OA)
- Follow model 1, but publish some selected text articles online, OA.
- Continue your current publishing model, but publish the full text online Open Access.
- Publish each issue in full text, OA – on schedule – online. Print each issue only when funds allow.
- Publish each article online OA as soon as it is ready for publication – do not hold for an issue.
- Follow model 1 or model 4, but also put accepted articles online in a pre-publication area, awaiting selection and publishing in an issue.
- Cancel the print publication, and only publish online - using models 1, 4, 6 or 7 above.

These are suggestions only, and one model may be combined with other models, and can be changed at any time in the future when the journal decides it is no longer suitable for its own publication.

Model 1: Closed access

Rationale
To provide your journal with an online presence, but to protect your subscriptions by ensuring that the content is safely contained within a website where access cannot be gained without payment.

Model
On publication of each issue ensure that the journal is also published online, within a secure site that only allows access to authorised users (subscribers, plus a list of other accredited users, e.g. the editorial board) plus those able to pay-per-view for individual articles online using credit cards.

Funding
After original setup (which will need funding from existing journal resources), access to the online content is "sold" – by (i) charging existing print subscribers additional amounts to pay for the online access, by (ii) selling the online access separately to the print journal, and by (iii) charging for article sales, by providing a "pay-per-view". (However, the financial model will need to be carefully thought out, since the potential sales may be smaller than anticipated.)

Disadvantages of this model
Your current subscribers may not be interested in accessing the journal online, and non-subscribers may be unwilling to pay for the content.
Model 2: Delayed Open Access

Rationale
To allow all readers to view archive articles that you have already published to give them greatest visibility without jeopardising existing subscription.

Model
Decide on the time delay before issues become Open Access (1 year? 2 years?). Follow model 1, but ensure that a system is in place to make all agreed archive issues Open Access.

Funding
As Proposal 1: however there is no revenue from the free issues, so any potential loss here needs to taken into consideration (and balanced against any gain from permitting access to the free articles).

Disadvantages of the model
You may lose sales of back issues.

Model 3: Selected Open Access – or Hybrid journals

Rationale
To enable access to specific papers for example (i) articles of particular interest (e.g. seminal papers), (ii) to articles providing generic information about the journal (e.g. editorials), or (iii) to papers where authors (or their granting bodies) wish the article to be published online OA on publication and are willing to pay the journal for this functionality.

Example Journals
Most titles from Wiley, see for example Tropical Medicine & International Health: http://onlinelibrary.wiley.com/journal/10.1111/(ISSN)1365-3156

Model
First you need to ensure that your internet host is able to implement access controls on selected articles. Follow model 1, but with one (or both) of the following introductions:

- Option 1 decide what type of articles (e.g. editorials) will be made OA on publication, and ensure a system is in place to facilitate this.

- Option 2 offer authors the opportunity to have their articles published OA immediately on publication for a fee (to be set by the journal – examples in Western journals are USD500-2500, some African journals are USD50). Ensure you have a system to manage the author payments in place.

Funding
Funding will still be obtained from subscribers, plus from authors if Option 2 is selected. Note that the subscription prices need to reflect the amount of open content – if approximately 50% of the journal becomes open, for example, it will be unfair not to reduce the subscription price.

Disadvantages of the model
It is possible that some subscribers may cancel their subscription if they feel they can obtain all they want from the free articles: a disadvantage of Option 2 is that some authors may be reluctant to pay for their article to be OA on publication, and take them to another journal that provides this service to them for free (or less money).

Model 4: Open Access publishing

Rationale
To encourage greater readership and citation, the journal will make all its content Open Access from the moment of publication. This may be particularly attractive to authors (potentially wide readership) and readers (no barrier to access).

Examples
All titles published by BioMed Central - http://www.biomedcentral.com/
Model
To follow the existing production schedule, but at the “ready for printing” stage, publish the issue online, and also print copies to fulfill any print subscriptions.

Funding
- **Option 1**: The journal will need to fund the online publishing itself, either from funds from print subscribers, or from a subsidy from a funding body (the owning association, or a separate grant).
- **Option 2**: The journal can charge a publication fee to its authors (either an acceptance fee, or perhaps a small submission fee, plus a fee for accepted articles), and this can be combined with charging institutions a fee (for which all author fees from that institution will be waived), or perhaps only making a charge to authors from institutions that do not subscribe to the print journal. Pricing is often set as for Model 3.

Disadvantages
The funding model may be unsustainable if authors or their institutions are unwilling to pay a publication fee, or the journal’s parent organisation is unwilling to fund the journal.

**Model 5: Publish often print infrequently**

Rationale
This enables a journal to publish on schedule (and therefore improve its credibility to both authors and readers), even when there are insufficient articles to publish in a print issue, or insufficient funds to print/distribute the journal.

Model
To follow the existing production schedule, but at the “ready for printing” stage, publish the issue online, and retain the files for printing when money allows. The printing/distribution of the issue can follow when funding allows – either as single issues, or combined issues.

Funding
The journal will need to fund the online publishing itself, if the articles are published open (or free) access. However, the articles can be published online behind controlled access, and then the funding is the same as model 1. Alternatively, funding could be sought to specifically support this online publication (from international or national funders, or from authors using the author-pays model).

Disadvantages
Some authors and institutional bodies may be unhappy with the irregularity of the print edition.

**Model 6: Publish article-by-article**

Rationale
In some areas of research speed of publication is vital for the authors, and this model provides a means of publishing online as soon as articles are ready for publication – without the delay of waiting for issue compilation (a particular problem if the journal publishes infrequently).

Example journal

Model
The production methodology needs to be changed, so that each paper follows its own schedule, up to page make up, and at this point it is posted online (either open or closed access). For citation, the journal either needs to use DOIs¹, or to paginate on a sequential basis (i.e. each article published is numbered sequentially, allowing for no grouping of articles). Allocation to a specified volume/issue can be done on a date basis - e.g. every article published between January and June is allocated to Issue 1, and every article published between July and December is allocated to issue 2.

¹ DOI=Digital Object identifier a unique number given to each article which enables linking directly to the online article from another website - see www.doi.org, and www.crossref.org
For printing, the issue or volume can be printed when funds allow, any time after the "closing" date of the respective issue/volume.

**Funding**
Depending on whether the access to the full text is "open" or "closed" the funding will either come from subscribers (as Model 1), or from funders/authors/supporters - as for the Open Access model (4).

**Disadvantages**
Some authors and institutional bodies may not recognise an article without a volume and issue number.

**Model 7: Pre-publication articles**

**Rationale**
Many journals only publish one or two issues a year, which means that authors may have to wait a long time to see their article published after acceptance. To provide authors with the additional service of pre-publishing their articles, a specific area of the journal website can be set up to host articles that are waiting for publication. Usually these are articles that have gone through production, and are "held for press" (i.e. awaiting selection and pagination), but they can be articles that have been accepted, but not yet copyedited, typeset, etc.

**Model**
- **Option 1** to put accepted articles on a pre-publication area of the site: the production process needs to be changed, so that once articles have been accepted, they are added to the website (usually as a PDF file), and once they have been selected and published in an issue, they are removed from this area of the website.
- **Option 2** to put "held for press" articles on a pre-publication area of the site: the production processes need to be changed so that once articles have been edited, typeset, and corrected, they are added to the website (usually as a PDF file), and once they have been selected and published in an issue, they are removed from this area of the website.

**Funding**
Articles within this pre-publication area may be either Open Access or Access controlled. Therefore the funding model will be the same as that proposed for models 1 and 4 above. As another option, authors could be asked to make a payment if they wish their articles to be placed in such an area of the website – and therefore see their research made public in advance of publication in the journal.

**Disadvantages**
Pre-publication is usually only highly valued by authors, and not by readers (except in some fast-moving disciplines), therefore use of a pre-publication site can be disappointing, and be an additional cost to the journal with little reward. Some authors do not want their articles to appear in a pre-publication site, for instance if they have patents pending, or if they are concerned about their article appearing before it has been associated with a volume/issue.

**Model 8: Online only**

**Rationale**
Where a journal no longer has the funds to support print publication, it may need to consider online-only for survival: equally, in some communities, the use of online resources is such that a print journal is no longer felt to be required.

**Example journal**
- *First Monday* [http://firstmonday.org/index](http://firstmonday.org/index)
Model
To publish an online-only journal still requires the same editorial processes as a print journal (to ensure selection of articles, editorial quality, etc.), however the production processes will need revision. There are – again – two options here:

- **Option 1** to design, typeset, etc. the articles as if they were for a print journal - but simply not to print them, but to post them online - so the online journal appears to be a facsimile of a printed journal (see *African Journal of Biotechnology* above)

- **Option 2** to simply edit each accepted article, and then convert into HTML (see *First Monday* above) for online hosting

Funding
The online-only journals may be Open Access or Access controlled (both examples are Open Access). Therefore the funding model will be the same as that proposed for models 1 and 4 above.

Disadvantages
Some authors and institutional bodies may still want printed copies.
Resource 12E: Journal strategy planning form

Date: June 2004 – updated July 2013

Summary: A suggested methodology for planning a journal strategy

Planning a strategy for your journal – process

1. Planning a strategy is an ongoing exercise – although the actual decision process usually takes place only once a year
2. Strategy involves two issues
   a. Problem-solving
   b. New developments

Problem-solving

1. What are the problems that you want to resolve?
2. Take a second look at the problems you have identified – have you got to the root of the problem? (sometimes the problem that you have written down is actually a feature of a problem – not the problem in itself) – you need to make sure that you correctly identify a problem before you can resolve it.
   For example:
   Problem: too many taxonomic papers submitted
   Response: reject them all
   Problem: too few submissions
   So the real problem was that the journal was perceived as a good vehicle for taxonomic papers, but not for other types of research. Therefore a different solution may be required – not simply rejecting the papers – perhaps it is an opportunity to develop the journal into a taxonomic-specialist journal, or to section the journal to clearly indicate that taxonomy is only one part of its subject coverage.
3. It is important to identify why you want the problem resolved – what is the benefit to the journal (this helps you to identify the importance of resolving any problem).
4. It is also important to prioritise the problems – you may not be able to tackle them all, so select the most important. (And you may have some that are simple to resolve, in which case, even if they are not important include them as well – it is good for morale to have some problems solved quickly!)
5. You need to identify actions that will resolve the problem – frequently several actions over a period of time are required.
6. And finally you need to identify the individual who is responsible for taking the actions

New developments

1. External factors may open opportunities for the journal, and exploring these should form part of a strategic plan.
2. New developments may also include a "wish-list" of where you want the journal to be in the future (e.g. 5 years’ time).
3. It is important to be realistic, but also to be creative – a balanced approach is the best!
4. Risk assessment is more important here than in problem-solving – as you need to balance the cost of new developments against the benefit to the journal (or perhaps to its owning association).
5. New developments should only be undertaken if they benefit the journal, and it is important to identify what benefits they will bring – to help prioritise what should be done, and when.
6. Whereas problem-solving frequently identifies a relatively simple action plan, new developments often require more complex planning, thought and analysis.

Process and monitoring

There is no ideal or correct way of managing the strategy process.
A suggested methodology could involve one or more of the following:
1. Identify the problems and opportunities that you want to address
   - This may be done at a meeting of the editors and owners/publishers, or may be decided by the editor alone
2. Produce a list of the problems/opportunities stating clearly why the strategic plans should address them
   - This may comprise a written paper submitted to the journal owners, including investment requirements (e.g. staffing levels), so that a business plan is then created and underwritten by the owners.
   - Alternatively it may simply require an informal document used for internal purposes – but do not forget to list what, why, who, when.
3. On agreement of the objectives you need to establish a plan of action:
   - This should clearly state who is responsible for the actions, when they will be done, etc.
   - They may also comprise informal actions taken ad hoc within current resources.

Monitoring may require formal board or business meetings, or simply informal evaluation by the editors/owners, or by specific journal staff (e.g. the person responsible for marketing, or editing or production)

**Problem-solving – suggested form**

<table>
<thead>
<tr>
<th>Problem</th>
<th>Cause of problem?</th>
<th>Benefit if resolved</th>
<th>Actions required</th>
<th>Time-span (or end date)</th>
<th>Responsibility</th>
</tr>
</thead>
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</tbody>
</table>

**New developments – proposed form**

<table>
<thead>
<tr>
<th>New development</th>
<th>Rationale</th>
<th>Benefit to journal</th>
<th>Risks</th>
<th>Priority</th>
<th>Actions</th>
<th>Time-span (or end date)</th>
<th>Responsibility</th>
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</table>
Chapter 13. Marketing strategies

Does the journal have a written, ongoing marketing strategy? Ensuring the visibility of the journal is vital to its success – check the following list to see if you have the right strategy in place:

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>Could be improved</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Do you have a written marketing plan for the journal?</td>
<td></td>
<td></td>
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<tr>
<td>2. Do you require the editors to undertake some promotion of the journal for you?</td>
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<tr>
<td>3. Do you have a budget allocated (either finances or human resources) to promote the journal?</td>
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<td></td>
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<tr>
<td>4. Do you have clear objectives for the journal promotion?</td>
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<tr>
<td>5. Have you reviewed your marketing strategy in the past 2 years?</td>
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<td></td>
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<tr>
<td>6. Do you report on marketing or promotional activities, or receive reports of marketing/promotional activities?</td>
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<td></td>
<td></td>
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<tr>
<td>7. Have you ensured that the journal is indexed appropriately?</td>
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</tbody>
</table>

Online resources and references

In addition to the following resources these websites and references may be useful:

Resource 13A: Increasing visibility: promoting the journal

Date: November 2005 – updated July 2013

Summary: Many journals omit to promote their journal, believing that it will be discovered by their target community through word of mouth. Unfortunately this is not the case, and this document outlines some basic promotional activities which journal publishers should consider to ensure that they are performing their obligation to promote and make their contributing authors' content visible.

Why promote your publication?

Long-term issues

- Awareness-raising: Is the journal as visible and well known as it could be?
- Credibility: Does the journal have the reputation that it deserves?

Immediate issues

- Attracting more/better papers
- Attracting more readers/subscribers...etc....

Promoting your publication should always be be integral to the entire publishing operation - if people do not know about your journal, they will not submit or subscribe.

Informal promotion

Informal promotion uses the principle of “39 points of contact”. The number is unimportant, but the principle is to raise awareness by ensuring that people see the journal title, and hear about the journal frequently - so that their awareness is continually raised. This can be done several ways, and some suggestions are listed below:

- Email signatures: ask all the editors to put the title of your journal (and the web address) as part of their Email signature, then every Email sent will remind people about the journal
- Email "mailshots": send infrequent Email "alerts" about the journal to the journal network (colleagues, editorial board, reviewers, authors, etc.), with news about the journal, the most recent Table of Contents, perhaps a summary of an interesting article, etc. – and ask this network to forward it on to any of their colleagues who may be interested
- Use the journal network – in particular to distribute any promotional materials you have (leaflets, posters, etc.) – for example provide some leaflets to the reviewers and editorial board, asking them to hand them out at meetings, in their workplace, institutional libraries, etc.

Formal promotion

Larger publishers (particularly commercial, trade publishers) invest considerable time and money on promotional activities. The most common of these (with scholarly publishing) are:

Leaflets

Leaflets are a valuable tool for informing people about the journal. Frequently they are glossy and expensive to produce, but they are just as valuable if they are a simple A4 sheet with information about the journal presented in an interesting way (see the section on writing promotional copy below).

Promotional items

Some publishers provide promotional items, such as pens, mousemats, cups, etc. with the journal name and logo. If you undertake this, bear in mind that the cost of producing them includes the design, production and also the distribution (making heavy items very costly!).

Conference stands

Many of the large publishers present themselves at conferences in the exhibition hall, with examples of their products, etc. This can be very expensive, but perhaps combined stands, including the
Journals of many different publishers may be a cost-effective solution—since conferences can be ideal opportunities to meet subject-specialists who are interested in your journal.

**Focus groups, and sponsored meetings**

Some publishers will sponsor specific events (frequently at conferences), which is an ideal opportunity to meet potential subscribers, readers and authors.

**Other opportunities for promoting the journal**

- Directories – library catalogues
- Indexes – citation indexes and others
- Website links
- Brochures, leaflets and printed material
- Loose and bound inserts – in other journals and publications
- Leaflet mailshots to members of associations, organisations, etc.
- Posters sites (libraries, exhibitions)
- Open days and exhibitions
- Word of mouth
- Websites, CD ROMs, Email broadcasting
- Press and Public Relations (PR)
- Advertising in other publications

**General guidance for writing and presenting promotional copy**

**Offer an impressive benefit, quickly and simply**

David Lewis, an eminent consumer psychologist, says, "Copy is getting shorter, and a major factor behind this is that people these days suffer from acute shortages of both time and attention." Think about the vocabulary and language you use; know your target audience: a simple test is to avoid any words or grammar that would not be found in the newspaper that the target group would read.

**Make the material easy to read**

Do not distract the reader from the text by overlaying images or using fancy fonts. Use simple language, avoid complicated words, and keep enough space around the text to attract attention to it. Use simple traditional typestyles: serif fonts are up to 100% more readable than sans serif. Use ten, eleven or twelve point-size for the main text; smaller or larger are actually more difficult to read and therefore less likely to be read.

For the same reason avoid italics, shadows, light colours reversed out of dark, unusual colours. None of these improve readability, they all reduce it. Use simple black (or dark coloured) text on a white (or light coloured) background, for maximum readability.

**Get the reader involved**

Refer to the reader as ‘you’ and use the second person (‘you’, ‘your’ and ‘yours’ etc.) in your descriptions to get them visualising their own personal involvement. Describe what your publication is providing in a way that shows what they will gain from it.

**Try to incorporate something new**

People respond better and are more easily attracted to a concept that is new or original. If they’ve heard or seen it all before it is likely that they will take no notice at all. People must believe there’s something in it for them right from the start.

**Stress what is unique**

You must try to emphasise what makes your publication special. You should put as much emphasis as you can behind your USP’s (unique selling points), and either imply or state directly that you are the only publication to offer these things.
Must be believable
You must not lie, and any claims must seem perfectly credible. This is usually best accomplished by explaining ‘why’ and ‘how’ you are able to do the things you are offering, in support of your claims.

AIDA - A-attention I-interest D-esire A-action
The Attention part is the banner or headline that catches the readers’ attention. Interest is built by presenting the information in an interesting way. If you seek a response (e.g. subscription, or submission of a paper) you must create Desire, which relates the benefits you offer to the reader so that they will want them. Finally you must prompt an Action, which may be to call a telephone number or to complete and send of a reply coupon. If your material does not follow this step by step format it will not be so effective.

Your main message must be the most prominent
Do not be tempted to devote 50% of the space to a pretty picture or a quotation. The biggest part of the advert must be your main benefit statement. This is the part that entices the reader to read on.

Use lower case type - word-shapes are lost when capitals are used
People read by recognising word-shapes not individual letters, do don’t use upper case (capital letters) for text, and ideally not for headlines either, as it takes longer to read and reduces impact.

Headline should be three-quarters up the page or advert space
Do not put headlines at the top of the space. The eye is naturally drawn to between two-thirds and three-quarters up the page or space, which is where the main benefit statement needs to be.
Resource 13B: Indexing services

Date: August 2004 – updated July 2013

Summary: Indexing services are extensively used by librarians to locate publications, and citation services (closely related) allow a quality value to be put against each item included in their service. These two services give journals high visibility for a low investment of time and money. This document provides a short description of the different services, how journals can become added to them, and what benefits they bring. It is not an exhaustive document, since the number of indexing services is huge.

Indexing Services – what they are

- “Tertiary” publishing – tables of contents and abstracts from primary journals, compiled into a searchable database
- Usually subject-specific
- Usually tables of contents and abstracts only – sometimes include full text
- Online indexes sometimes include links to full text on the original publisher’s site
- Usually sold to libraries and institutions – not to individuals
- Usually free to submit your journal (but you receive no financial return)
- Usually provide comprehensive searching across their content
- Used to research particular topics of information across many journals, and to investigate individual journals
- Now predominantly online, but previously in print (regularly updated) – and frequently now one organisation/company operates a range of different databases (on different subjects)
- One of the main sources of visibility, publicity and credibility for journals

Being included in an indexing service

How to submit your journal for inclusion

- Identify the correct indexing service (see where your competitor journals are indexed as a first guide)
- Ensure their subject coverage correctly matches yours (e.g. primary education)
- Ensure their coverage matches yours (many specialise on different types – e.g. conference proceedings, research journals)
- Check their inclusion criteria (see below for example), and ensure that your journal fulfils this
- Contact the “Editor” or “Publisher” (as instructed in their information - different systems have different contacts) to ask if your journal can be included
- The editor will ask for details about the journal (editorial policy, aims and scope, etc.) to judge if it is suitable for inclusion. They will probably also ask for sample copies
- Most now have websites that offer information about their selection criteria and contact details.

What they will require from you

- Some require formatted electronic files (for example Medline requires XML-tagged data) – but many will make exceptions if they want to include the journal
- They will require the journal to be published and sent to them regularly
What they will return to you

- No financial return
- Publicity, visibility, credibility

Why should you wish your journal to be included?

- They give your journal visibility in a global market
- They give your journal credibility – most have editorial quality standards (e.g. CAB Abstracts or Medline), so inclusion shows authors and readers that your journal meets their quality criteria.

If your journal is indexed

- Ensure that you put a note about its inclusion in your journal, and on the journal website – it is good promotion for the journal.

Some examples of indexing services

(Text taken from their websites)

Directory of Open Access Journals
www.doaj.org

The aim of the DOAJ is to increase the visibility and ease of use of open access scientific and scholarly journals, thereby promoting their increased usage and impact. The DOAJ aims to be comprehensive and cover all open access scientific and scholarly journals that use a quality control system to guarantee the content. In short, the DOAJ aims to be THE one stop shop for users of open access journals.

CAB Abstracts
www.cabi.org

CAB ABSTRACTS® is a bibliographic database compiled by CABI Publishing. It covers the significant research and development literature in the fields of agriculture, forestry, aspects of human health, human nutrition, animal health and the management and conservation of natural resources. Over four million records have been added to the database since its computerization in 1973. These records are made available through a wide range of products and services both printed and electronic.

CAB ABSTRACTS® Editorial Policy

The main objective of CAB INTERNATIONAL’s Information Services is to provide high-quality bibliographic databases covering research and development literature on agriculture, aspects of human health and allied disciplines. Designed for research scientists, development planners, educationalists and other interested professionals these databases may be accessed through a wide range of products, both printed and electronic, all carefully planned and created to answer the majority of users’ needs. A constant watch is kept on the ever changing trends both in research and in information technology to ensure the supply of the right information in the right form.

The policy is to:

- Scan all relevant literature.
- Record comprehensively the most relevant and scientifically significant material.
- Record all bibliographic details accurately.
- Prepare informative, fact-filled abstracts for all items reporting new findings or reviewing original research.
- Write the abstracts in clear, concise, unambiguous English with consistent usage of terms and abbreviations.
- Index all important concepts within each record with the most appropriate terms selected from the CAB Thesaurus, CABI’s controlled vocabulary.
The Document Management Team is responsible for acquiring the documents to be abstracted. The address to which material is to be sent is: Document Management, CAB International, PO Box 100, Wallingford, Oxon, OX10 8DF, UK. Email: Accessions@cabi.org

Medline, PubMed and PubMed Central

**Medline**

MEDLINE is the National Library of Medicine’s premier bibliographic database covering the fields of medicine, nursing, dentistry, veterinary medicine, the health care system, and the preclinical sciences. MEDLINE contains bibliographic citations and author abstracts from more than 4,600 biomedical journals published in the United States and 70 other countries. The file contains over 11 million citations dating back to the mid-1960’s. Coverage is worldwide, but most records are from English-language sources or have English abstracts. Citations prior to the mid-1960s can be found in NLM’s OLD MEDLINE database.

If a journal is included in MEDLINE, not every article may be indexed (they make a selection based on their editorial criteria).

**Index Medicus** is the database: the online counterpart is MEDLINE.


- PubMed is the online portal that provides access to bibliographic information which includes MEDLINE as well as the out-of-scope citations (e.g., articles on plate tectonics or astrophysics) from certain MEDLINE journals, primarily general science and chemistry journals, for which the life sciences articles are indexed for MEDLINE.
- Citations that precede the date that a journal was selected for MEDLINE indexing.
- Some additional life science journals that submit full text to PubMedCentral (see below)
- PubMed can also provide links to full text on the publishers’ own websites

**PubMedCentral** (http://www.ncbi.nlm.nih.gov/pmc/)

The US National Library of Medicine’s digital archive of life sciences journal literature. Access to the full text articles is free and unrestricted. If a journal is accepted onto PubMedCentral, it automatically will be included in PubMed. Note that PubMed operates as a subject archive – and requires that all journals included on it deposit their full text on PubMed – which will then be Open Access.

**Ulrich’s**

http://www.serialssolutions.com/assets/resources/Brochure-Ulrichs-Publisher-Outreach.pdf

Ulrich’s web is a bibliographic database providing detailed, comprehensive, and authoritative information on serials published throughout the world. It covers all subjects, and includes publications that are published regularly or irregularly and are circulated free of charge or by paid subscription. Ulrich’s was first published in 1932. It was known initially as “Periodicals Directory: A Classified Guide to a Selected List of Current Periodicals Foreign and Domestic.” The “Publisher Outreach” PDF (link above) provides information about how to be indexed. Note that there is no charge for a listing.

**Web of Knowledge, Web of Science, Science Citation Index, etc.**

http://wokinfo.com/publisher_relations/journals/

From the website: “Thomson Reuters (the owners of these databases) is committed to providing comprehensive coverage of the world’s most important and influential journals to meet its subscribers’ current awareness and retrospective information retrieval needs. Today Web of Science® covers over 12,000 top tier international and regional journals in every area of the natural sciences, social sciences, and arts and humanities.

Many factors are taken into account when evaluating journals for coverage in Web of Science, ranging from the qualitative to the quantitative. The Thomson Reuters editors who perform journal evaluations have educational backgrounds relevant to their areas of responsibility. Because they monitor virtually every new scholarly journal published, they are also experts in the literature of their fields.
These databases inform the Journal Citation Reports (JCS) which produces the annual Impact Factor assessment.

To be selected by Thomson Reuters,
Read the essay about the selection process (see below)
http://wokinfo.com/essays/journal-selection-process/

Scopus
http://www.info.sciverse.com/scopus/scopus-in-detail/content-selection

Published by Elsevier, Scopus is the largest abstract and citation database of peer-reviewed research literature with more than 20,500 titles from more than 5,000 international publishers. Although it does not produce an Impact Factor Score, it does undertake citation analysis (for example, see SciMago, a service which uses Scopus data to provide journal information: http://www.scimagojr.com/).

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**Essays on selection processes of Web of Knowledge, Medline and Scopus**

**The ISI® Database: The Journal Selection Process**

James Testa
Director, Editorial Development, ISI


*Note: This essay was updated in Feb 2012. -The Editor*

Thomson Reuters is committed to providing comprehensive coverage of the world’s most important and influential journals to meet its subscribers’ current awareness and retrospective information retrieval needs. Today Web of Science℠ covers over 12,000 top tier international and regional journals in every area of the natural sciences, social sciences, and arts and humanities.

But comprehensive does not necessarily mean all-inclusive.¹

**Why Be Selective?**

It would appear that to be comprehensive, an index of the scholarly journal literature might be expected to cover all journals published. It has been demonstrated, however, that a relatively small number of journals publish the majority of significant scholarly results. This principle is often referred to as Bradford’s Law.²

In the mid-1930’s, British mathematician and librarian S.C. Bradford realized that the core literature for any given scientific discipline was composed of fewer than 1,000 journals. Of these 1,000 journals, there are relatively few with a very strong relevance to the given topic, whereas there are many with a weaker relevance to it. Those with a weak relevance to the given discipline or topic, however, typically have a strong relevance to some other discipline. Thus, the core scientific literature can form itself around various topics, with individual journals becoming more or less relevant depending on the topic. Bradford understood that an essential core of journals forms the literature basis for all disciplines and that most of the important papers are published in relatively few journals.³⁴

More recently Thomson Reuters analyzed the 7,621 journals covered in the 2008 Journal Citations Report®. The analysis found that 50% of all citations generated by this collection came from only 300 of the journals. In addition, these 300 top journals produced 30% of all articles published by the total collection. Furthermore, this core is not static. Its basic composition changes constantly, reflecting the evolution of scholarly topics. Our mission is to update journal coverage in Web of Science by identifying and evaluating promising new journals and, whenever necessary, deleting journals that have become less useful.

**The Evaluation Process**⁵

Many factors are taken into account when evaluating journals for coverage in Web of Science, ranging from the qualitative to the quantitative. The journal’s basic publishing standards, its editorial content, the international diversity of its authorship, and the citation data associated with it are all considered. No one factor is considered in isolation, but by combination and interrelation of data, the Thomson Reuters editor is able to determine the journal’s overall strengths and weaknesses.

The Thomson Reuters editors who perform journal evaluations have educational backgrounds relevant to their areas of responsibility. Because they monitor virtually every new scholarly journal published, they are also experts in the literature of their fields. The evaluation of a journal for coverage in Web of Science begins with the submission of current issues. The publisher must deliver three consecutive current issues, one at a time as they...
are published, to Thomson Reuters. Issues may be submitted in print, online, or both. Publishers may send print issues to the following address: Publication Processing, Thomson Reuters, 1500 Spring Garden Street, Fourth Floor, Philadelphia, PA 19130. For submission of an online journal, the publisher must provide access information at http://science.thomsonreuters.com/info/journalssubmission/. This form is also appropriate for all types of online journals, including those that publish articles one at a time rather than collected in periodic issues.

Once timeliness has been established, Thomson Reuters has the option to proceed with the other aspects of the evaluation process. This process rarely begins immediately, however, due to the high volume of journal submissions and the editorial priorities set by Thomson Reuters for Web of Science coverage. When the evaluation has begun, all issues received will be considered. It is important, therefore, that all issues be received in a timely manner. Publishers or editors should continue sending timely issues until the evaluation process has been concluded. If at any time the journal publisher or editor seeks an update on the status of the evaluation for a specific journal, an inquiry may be sent via the form at http://ipscience.thomsonreuters.com/info/jrneval-status/.

Journal evaluation is ongoing at Thomson Reuters with journals added to and deleted from Web of Science throughout the year. Each year, the Thomson Reuters editorial staff reviews over 2,000 journal titles for inclusion in Web of Science. Around 10-12% of the journals evaluated are accepted for coverage. Moreover, existing journal coverage in Thomson Reuters products is continually under review. Journals now covered are monitored to ensure that they are maintaining high standards and a clear relevance to the products in which they are covered. The journal selection process described here is applied to all journals in Web of Science, whether covered in Science Citation Index Expanded™, Social Sciences Citation Index®, or Arts & Humanities Citation Index®. The application of citation analysis is specific to the subject area or category of the journal’s editorial content. For example, citation metrics generated for fast-moving biomedical topics would never be applied to a journal dealing with Social Sciences topics nor to an Arts & Humanities title, where citation analysis plays a very different role. These special considerations are noted below.

Basic Publishing Standards

Timeliness

Timeliness of publication is a basic criterion in the evaluation process. As noted above, it is of primary and fundamental importance. A journal must be publishing according to its stated frequency to be considered for inclusion in Web of Science. The ability to publish on time implies a healthy backlog of manuscripts essential for ongoing viability. It is not acceptable for a journal to appear chronically late, weeks or months after its cover date. To measure timeliness we need to see three consecutive current issues, one after another, as soon as they are published.

Timeliness is also essential for electronic journals, or e-journals. If the e-journal is publishing distinct issues at a stated frequency, these issues should appear online in a timely manner.

However, as noted above, when an e-journal publishes articles one at a time rather than collecting articles for release as an ‘issue’, Thomson Reuters takes a different approach. In these cases, the editor looks for a steady flow of articles over a nine-month period. The appropriate number of articles for the journal will be determined by the norms for its particular Web of Science category.

International Editorial Conventions

Thomson Reuters also determines if the journal follows international editorial conventions, which are intended to optimize retrievability of source articles. These conventions include informative journal titles, fully descriptive article titles and author abstracts, complete bibliographic information for all cited references, and full address information for every author.

Full Text English

English is the universal language of science. For this reason Thomson Reuters focuses on journals that publish full text in English, or at very least, bibliographic information in English. There are many journals covered in Web of Science that publish articles with bibliographic information in English and full text in another language. However, going forward, it is clear that the journals most important to the international research community will publish full text in English. This is especially true in the natural sciences. There are notable exceptions to this rule in the Arts & Humanities and in Social Sciences topics. This is discussed further below. Nonetheless, full text English is highly desirable, especially if the journal intends to serve an international community of researchers. In addition, all journals must have cited references in the Roman alphabet.

Peer Review

Application of the peer-review process is another indication of journal standards and signifies overall quality of the research presented and the completeness of cited references.6 Inclusion of Funding Acknowledgements is also strongly recommended. Not only do they help create a greater context for the journal, these acknowledgements also function as a confirmation of the importance of the research presented.
Editorial Content
As mentioned above, an essential core of scientific literature forms the basis for all scholarly disciplines. However, this core is not static - scientific research continues to give rise to specialized fields of studies, and new journals emerge as published research on new topics achieves critical mass. Thomson Reuters editors determine if the content of a journal under evaluation will enrich the database or if the topic is already adequately addressed in existing coverage.

With an enormous amount of citation data readily available to them, combined with their daily observation of virtually every new scholarly journal published, Thomson Reuters editors are uniquely well positioned to spot emerging topics and active fields in the literature.

International Diversity
Thomson Reuters editors look for international diversity among the journal’s contributing authors, editors, and editorial advisory board members. This is particularly important in journals targeting an international audience. Today’s scientific research takes place in a global context, and an internationally diverse journal is more likely to have importance in the international community of researchers.

Regional Journals
Thomson Reuters is also interested in excellent regional journals and is able to include a relatively small proportion of these each year. Regional journals often target a local rather than an international audience, requiring less emphasis on extensive international diversity. Citation analyses may also play a different role in the evaluation of regional journals whose citation impact is usually modest. Otherwise, the selection criteria for regional journals are the same as for international journals. The importance of the regional journal would be measured more in terms of the specificity of its content. Will it enrich our coverage of a particular subject or provide studies with a specific regional perspective? All regional journals selected must be publishing on time, have English-language bibliographic information (title, abstract, keywords), and be peer reviewed. Cited references must be in the Roman alphabet. For more information on the Thomson Reuters approach to Regional Coverage in recent years read the essay at go.thomsonreuters.com/regional.

Citation Analysis
The Thomson Reuters Journal Selection Process is unique in that Thomson Reuters editors have a wealth of citation data available to them. Because Web of Science is a true citation index, all cited references from every item in every journal covered in Web of Science are indexed whether or not the cited work is also covered as a source publication. Through these data it is possible to measure the citation impact of journals under evaluation.

The importance of interpreting and understanding these data correctly cannot be emphasized too strongly. Using quantitative citation data to measure impact is meaningful only in the context of journals in the same general discipline. For example, smaller fields like Agricultural Engineering do not generate as many articles or citations as larger fields like Biotechnology or Genetics. In some areas, particularly in the Arts & Humanities, it may take a relatively long time for an article to attract a meaningful number of citations. But in other areas, such as the life sciences, it is not unusual for citations to accrue rapidly and peak after two or three years. These facts must be taken into consideration if citation data are to be used correctly.

Citation analysis takes place on at least two levels. Thomson Reuters looks for citations to the journal itself, as expressed by impact factor and/ or total citations received. For new journals that do not yet have a citation history at the publication level, analysts examine the citation record of the contributing authors and editorial board members. This allows them to see if the journal is able to attract contributions from scholars whose prior work has been useful to the research community.

Likewise, established journals that are not covered are often re-evaluated. These journals can experience new growth in citation impact resulting from changes such as translation into English, change in editorial focus, change in publisher, publishing medium, etc.

As noted above, because Thomson Reuters captures all cited references from each of the over 12,000 journals covered, citation information is available on journals not covered as well as those that are covered.

Self-citation rates are also taken into consideration. The self-cited rate relates a journal’s self-citations to the number of times it is cited by all journals, including itself. For example, journal X was cited 15,000 times by all journals, including the 2,000 times it cited itself. Its self-cited rate is 2/15 or 13%.

It is entirely normal for authors to reference the prior work that is most relevant to their current results, regardless of the source journal in which the work was published. However, there are journals in which the observed rate of self-citation is a dominant influence in the total level of citation. For these journals, self-citation has the potential to distort the true role of the title in the context of the literature of its subject.

Among all journals listed in the 2010 JCR Science Edition, for example, 85% have self-citation rates of less than 15%. This shows that self-citation is quite normal for most journals. Significant deviation from this normal rate, however, prompts an examination by Thomson Reuters to determine if excessive self-citations are being used to artificially inflate the impact factor. If we determine that self-citations are being used improperly, the journal’s
impact factor will be suppressed for at least two years and the journal may be considered for deselection from Web of Science.

Social Sciences
All social science journals undergo the same thorough evaluation as journals in the natural sciences. Publishing standards, editorial content, international diversity, and citation data are all considered. Standard citation metrics, at both journal and author levels, are analyzed while keeping in mind that overall citation rates in the social sciences are generally lower than those in the natural sciences.

Regional studies have special importance in the social sciences, as topics of local rather than global interest are often the subject of scholarly research.

Arts & Humanities
Publishing standards, including timeliness, are important in the evaluation of arts and humanities journals. Citations patterns in the arts and humanities, however, do not necessarily follow the same predictable pattern as citations to social sciences and natural sciences articles. In addition, arts and humanities journal articles frequently reference non-journal sources (e.g., books, musical compositions, works of art, and literature). English-language text is not a requirement in some areas of arts and humanities scholarship where the national focus of the study precludes the need for it. An example of this is studies in regional or national literatures.

Electronic Journals
As stated earlier, the basic mission of Thomson Reuters is to provide access to the world's most important and influential journals regardless of the media in which they are published.

Publishing standards, editorial content, international diversity, and citation analysis are all considered when evaluating a purely electronic journal.

Evaluating the timeliness of publication of an e-journal may require a somewhat different approach. If the e-journal is publishing distinct issues, the Thomson Reuters editor looks for the appearance of these in a timely manner. However, when an e-journal publishes articles one at a time rather than collecting articles for release as an issue, the editor simply looks for a steady flow of articles over several months.

The format of electronic journals is extremely important to Thomson Reuters. Following is a set of guidelines for electronic journal formats. Following these guidelines helps ensure correct citation of articles and reduces the possibility of ambiguity in citation of articles.

Publishers should insure that it is easy to identify the following elements:

- Journal Title
- Year of publication
- Volume and/or Issue Number (if applicable)
- Article Title
- Page Number or Article Number (one or the other is required; article number should not be the DOI) If your journal has page numbers and article numbers, list them separately and not merged together (for example: Art. #23, pp. 6-10 and not 23.6-23.10).
- Authors names and addresses
- Label all article identifiers such as DOIs, PII's and Article Numbers
- A complete table of contents for each issue that includes the page/article number for each article (unless journal is being published as single articles)

Labeling these identifiers in both source articles and in citations helps insure their proper use by those referencing the article and correct labeling by abstracting and indexing firms such as Thomson Reuters.

- Each article must be assigned a unique page number or article number (whichever numbering scheme is being used) within any one given issue. Additionally, article numbers must be unique within an entire volume number. If the same article numbers are repeated in each issue within a volume, ambiguities will result when citing the original article. A citation to V 20, art. 1, May 2002, (even when adding the author’s name), would be difficult to find if V 20, art. 1 June 2002 also exists. Avoid duplication of article numbers.
- Consider references to your journal — instruct authors to include the following information when citing your e-journal:
How to Submit a Journal for Evaluation
http://science.thomsonreuters.com/mjl/selection/

Credits and Footnotes
Special thanks to Editorial Development staff members Katherine Junkins, Maureen Handel, Mariana Boletta, Anne-Marie Hinds, Kathleen Michael, Rodney Chonka, Chang Liu, and Luisa Rojo for their critical reading and comments

3. Ibid.
6. Ibid.
7. Ibid.

Fact Sheet Journal Selection for Index Medicus/MEDLINE

MEDLINE, the principal online bibliographic citation database of NLM’s MEDLARS® system, is used internationally to provide access to the world’s biomedical journal literature. The decision whether or not to index a journal for this service is an important one and is made by the Director of the National Library of Medicine, based on considerations of both scientific policy and scientific quality. The Board of Regents of the Library sets policy for the Library. The Literature Selection Technical Review Committee (LSTRC) has been established to review journal titles and assess the quality of their contents.

There is a rough analogy to the National Institutes of Health’s (NIH) decision-making process, with respect to research grant awards. Namely, the relative scientific merit of individual grant applications is determined by Study Sections in the same way journals are evaluated by LSTRC, while the mixture of types of research grants or types of journals is determined independently by Council or Board according to considerations of program relevance. Consonant with this principle, the LSTRC frequently incorporates the review and advice of outside experts in the subject area. As a result of these reviews, currently indexed titles may be dropped and new titles added.

About 5,000 titles are indexed and included in the MEDLINE database. The LSTRC meets three times a year and considers approximately 140 titles at each meeting. Additional titles are considered in reviews of specialty coverage.

The world-wide users of the MEDLARS indexes are researchers, health care practitioners, educators, administrators, and students whose needs vary considerably. All are important, and the goal of the indexes will not be met by concentrating on one set of users at the expense of another. The content, format, and accepted structure of the journals, designed to meet the needs of these users, also vary greatly. NLM still seeks a practical system to guide our selection of journals that will reflect these different needs and desires. In the meantime, the selection is highly dependent on the judgment of Committee members and the Director. The following critical elements are intended as a general guide so that a consistent set of issues will be considered as the Committee members examine journals in their search for the best and the most appropriate coverage of the biomedical literature.

Critical Elements

Scope and coverage: The journals brought to the Committee for review will contain articles predominantly on core biomedical subjects. Journals whose content is predominantly a subject peripheral or related to biomedicine are occasionally brought to the Committee when they have some biomedical content. In these cases, the
Committee's advice is sought not only on the quality of the content but also on the contribution it makes to the coverage of the subjects in question. Generally, such journals will not be indexed if their biomedical content is already adequately covered.

**Quality of content**: Scientific merit of a journal's content is the primary consideration in selecting journals for indexing. The validity, importance, originality, and contribution to the coverage of the field of the overall contents of each title are the key factors considered in recommending a title for indexing, whatever the intended purpose and audience.

**Quality of editorial work**: The journal should demonstrate features that contribute to the objectivity, credibility, and quality of its contents. These features may include information about the methods of selecting articles, evidence that authors have disclosed financial conflicts of interest; timely correction of errata; explicit responsible rejections as appropriate; and opportunity for comments and dissenting opinion. Neither the advertising content nor commercial sponsorship should raise questions about the objectivity of the published material. Sponsorship by national or international professional societies may be considered. Additional factors that are considered include the publisher and/or sponsoring organization’s history and corporate structure, longevity, and record of performance regarding such issues as: quality of publications; experience in scholarly publishing; involvement with the scientific community; disclosure of and adherence to print and online publication standards and business practices (e.g., advertising standards, ethical guidelines, and conflict of interest disclosures); and promotion of editorial integrity and independence.

**Production quality**: Quality of the layout, printing, graphics, and illustrations are all considered in assessing a journal. Though not a requirement for selection, journals of archival importance should be printed on acid-free paper. For detailed information concerning the use of acid-free paper please refer to the Acid-Free Paper for Biomedical Literature Fact Sheet.

**Audience**: MEDLINE is intended primarily for those in the health professions: researchers, practitioners, educators, administrators, and students. The phrase health professionals includes physicians, nurses, dentists, veterinarians, and the many types of allied health professionals in the research and health care delivery systems.

**Types of content**: Journals whose contents consist of one or more of the following types of information will be considered for indexing:

1. Reports of original research
2. Original clinical observations accompanied by analysis and discussion
3. Analysis of philosophical, ethical, or social aspects of the health professions or biomedical sciences
4. Critical reviews
5. Statistical compilations
6. Descriptions of evaluation of methods or procedures
7. Case reports with discussions

All of these forms of information should be included in MEDLINE in order to fulfill the needs of users. However, coverage of a field tends to create a priority approximately parallel to the order in which the types are listed. For example, journals reporting original research are more likely to contain unique contributions to the coverage of a field and therefore are selected more often than those that contain only case reports.

Publications that consist primarily of reprinted articles, reports of association activities, abstracts of the literature, news items or book reviews, will not usually be indexed.

**Foreign language journals**: Criteria for selection are the same as for those written in English. In order to extend the accessibility of the journal’s content to a wider potential readership, the majority of published articles in the review issues must contain an English-language abstract before the title will be considered for possible indexing.

**Geographic coverage**: The highest quality and most useful journals are selected without regard for place of publication. In order to provide broad international coverage, special attention is given to research, public health, epidemiology, standards of health care, and indigenous diseases. Journals will generally not be selected for indexing if the contents are subjects already well represented in MEDLINE or that are being published for a local audience.

Interpretation of these criteria will be influenced by the stated purpose of the journal. For purposes of illustration, four broad categories of journals are suggested.

1. Research journals are predominantly devoted to reporting original investigations in the biomedical and health sciences, including research in the basic sciences; clinical trials of therapeutic agents; effectiveness of diagnostic or therapeutic techniques; or studies relating to the behavioral, epidemiological, or educational aspects of medicine.
2. Clinical or practice journals have as their dominant purpose documenting the state of current practice, providing background for those in training, or the continuing education of practitioners. This is done through the publication of case reports, discussions and illustrations of new techniques, evaluations of current practices, and commentaries.
3. Review journals contain the current state of knowledge or practice, integrating recent advances with accepted principles and practice, or summarizing and analyzing the consensus view of controversial issues in knowledge or practice. Review journals provide background information for practitioners and researchers, students and house officers, and others who wish an overview on the current status of a field.

4. General or all-purpose journals contain elements of all the foregoing and frequently contain commentary and analysis of important social, political, and economic issues. They are usually designed for a broad audience and not limited to a specialty.

The International Committee of Medical Journal Editors (ICMJE) has produced and updated the "Uniform Requirements for Manuscripts (URM) Submitted to Biomedical Journals". Publishers who would like to incorporate the URM into their review and publication process are encouraged to link to [www.icmje.org](http://www.icmje.org) and mention this in their Instructions to Authors section.

The Council of Science Editors (CSE) has produced "Editorial Policy Statements" that cover the responsibilities and rights of editors of peer-reviewed journals. Publishers who would like to incorporate these Statements into their review and publication process are encouraged to link to:


**Application Process:** Any editors or publishers who would like to have their journal reviewed for possible indexing in MEDLINE should access the new "MEDLINE Review Application Form" at [http://wwwcf.nlm.nih.gov/lstrc/lstrcform/med/index.html](http://wwwcf.nlm.nih.gov/lstrc/lstrcform/med/index.html). This form is required for all journals initially reviewed by the LSTRC for inclusion in MEDLINE.

Publishers and editors of journals that are included in MEDLINE should be aware of subscription and licensing requirements by the National Library of Medicine in order for their journals to be efficiently indexed in MEDLINE/PubMed. Please see the FAQ: [Journal Selection for MEDLINE® Indexing at NLM](http://www.nlm.nih.gov/medlineplus/journal_selection.html) for details concerning these requirements. In addition, publishers and editors of electronic-only journals should review the [MEDLINE Policy on Indexing Electronic Journals](http://www.nlm.nih.gov/medlineplus/electronic_journals_indexing.html) and the supporting FAQ: [MEDLINE Indexing Requirements for Electronic Journals](http://www.nlm.nih.gov/medlineplus/electronic_journals_indexing.html) for issues regarding electronic-only publication.
Chapter 14. Copyright policies

Do you have a comprehensive copyright policy? Protecting the intellectual property rights of authors and the journal are very important but often ignored by journals. See how you rate by checking the following list:

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<thead>
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<th>Yes</th>
<th>Could be improved</th>
<th>No</th>
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<td>1.</td>
<td>Do you clearly state on the journal website who owns copyright in each article?</td>
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<td>2.</td>
<td>Do you clearly state on the journal website who owns copyright in the journal?</td>
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<td>3.</td>
<td>Do you clearly state on the printed journal who owns copyright in each article?</td>
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<td>4.</td>
<td>Do you clearly state on the printed journal who owns copyright in the journal?</td>
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<td>5.</td>
<td>Do you require the author to sign or to clearly affirm that they assign you copyright or licence to publish?</td>
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<tr>
<td>6.</td>
<td>Have you reviewed your copyright assignment form (or online statement) that authors are required to sign (or tick) within the past 2 years?</td>
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Online resources and references

In addition to the following resources these websites and references may be useful:

Resource 14A: JISC Copyright resource

Summary: A description of copyright extracted, with permission, from a paper published on the JISC website, 2004. **Copyright** Jisclegal 2004 (not updated, but still relevant and useful)

**Intellectual Property and Electronic Theses** written by Dr. Theo Andrew

2. Copyright

5. In order to protect intellectual creation a number of intellectual property rights (IPR) have been created. Several different types of IPR exist, including copyright, trademark law, designs and models and patent law. Literary, artistic, dramatic and musical works are mainly protected by copyright. Within the meaning of the Copyright, Designs and Patents Act (CDPA), 1988, (s.175) , a British thesis is an unpublished work, and is protected under the act as such. The Act prohibits re-publication of any significant part of a thesis by a third party without the copyright owner's consent. Furthermore, copies of a thesis cannot be issued to the public without the copyright owner's consent (s.16).

6. There is a common misconception that any material made available via the internet is in the public domain and not subject to any restrictions on use. However any work published on the internet is subject to the same copyright protection that works distributed by other media enjoy.

7. Through copyright, the author of an intellectual creation gains rights which enable them to control the use of their work. Primarily, authors hold the exclusive right to control how their work is used. Copyright will be infringed by anyone who reproduces, adapts or distributes the work without the prior consent of the author.

8. A number of exceptions are permitted by law under the 'Fair Dealing' defence. Although there is no precise definition of 'Fair Dealing' and interpretation is ultimately decided by the courts, it essentially allows limited copying without permission provided it is fair and the commercial interests of the rights holder are not damaged. The principal purposes for which the 'Fair Dealing' defence may be used are 'Research and Private Study' (excluding sound recordings and films in both cases), 'Criticism/ Review and News Reporting'. It is a condition of the Fair Dealing defence that the source of the work is acknowledged in all cases.

9. No formal registration is required to enjoy copyright protection. In the UK, as long as the work is original (paragraph 10 below) and is expressed in a particular form (paragraph 11 below), copyright protection is granted as soon as work is recorded in a permanent manner. Furthermore, the author is also not required to indicate their ownership through the adoption of the copyright symbol; however, this may be useful in determining priority if disputed.

10. A work is defined to be original if it has been marked by the personality of its creator in some way. In other words, it must be apparent that the creator has played an integral role in the production of the form of the work. There are no precise criteria to assess originality, however, since it is accepted that the work in a doctoral thesis presented for examination must make a significant contribution to knowledge in or understanding of the field of study and contains material worthy of publication, doctoral theses are therefore likely to be considered original for the purposes of copyright law.

11. To promote innovation and creation, copyright does not protect specific ideas per se, but rather their expression in a particular form. For example, the original story of "Little-Snow White" was first written in 1812 by Jacob and Wilhelm Grimm derived from traditional folk stories. However, the art, animation and musical score from the 1937 Disney film "Snow White and the Seven Dwarfs", although derived from the original production, are protected by separate copyright as it is a new expression of ideas in a different form to the original.

12. Moral and economic rights

a. Copyright grants the author a negative right, rather than a privilege. The copyright owner may authorise or prevent certain restricted acts (e.g. use, copying, and distribution). In addition the author is recognised as the owner of the economic and the moral rights to the work. The possession of economic rights enables the author to take revenue from the exploitation of his/her work through the exclusive rights to reproduce and communicate his/her work to the public, with
or without any material embodiment. A third party attempting to do so requires prior consent from the author.

12. b. The moral rights grant the author the paternal right to be recognised as the creator in perpetuity, the right for the work not to be subjected to derogatory treatment, and the right not to be identified as author of something they didn't create. The right of paternity must be asserted by the author, whilst the other two are automatic. After death, any moral rights are retained by the heir/s.

13. In common use, the economic and moral rights differ in their practical application. Currently, for works created in the UK after 1 January 1996, economic rights expire 70 years after the death of the author. These economic rights may be transferred to another legal entity if the creator wishes to transfer all or part of his/her rights. This is common practice when academic authors publish in peer-reviewed journals. Only the economic rights can be transferred in this fashion. The creator always retains the paternal right to his/her work if s/he has asserted that right.
Resource 14B: INASP Resource: Copyright Assignment Form

Date: Updated July 2013

Summary: An example copyright assignment form.

It is very important to obtaining publishing permission (=rights) from the copyright owner. In journals the copyright owner is usually the author(s).

Many publishers require the authors to assign copyright to the publisher or journal owner. Usually this requires authors to sign an assignment form – not simply tick an online agreement box, or assume by fact of submission.

To make best use of this affirmation from authors, many publishers incorporate a warranty into the form – so that as authors assign copyright, they also affirm that the article is original, has not been plagiarised, is not being considered by another journal, and contains nothing libellous or otherwise illegal.

Some journals require every named author to sign this form. This is good practice, but not always practical. Therefore it is reasonable to ask one author to sign on behalf of the other authors so long as the other authors are contacted and required to confirm that they agree to the terms.

Below is a sample form that any journal may use. There is no need to credit INASP if the form is re-used. However note that INASP cannot be held liable for any legal or other actions arising from use of this form: use of the form is done at the journal’s own risk.
Copyright assignment form

To enable THE PUBLISHER to publish your Article/Chapter, the ownership of copyright must be established. Please read and complete the form below (Section 1 plus Section 2 or 3) Please return one copy to THE PUBLISHER and retain one copy for your records.

1. To be completed in all cases

Name: ........................................................................................................................................

Address: ....................................................................................................................................

Journal (or Book) title: ..............................................................................................................

Article (or Chapter) title: .......................................................................................................... In consideration of the publication of my contribution in the above journal, I hereby warrant:

a) that this article contains no violation of any existing copyright or other third party right or any material of an obscene, libelous or otherwise unlawful nature, and that I will indemnify and keep indemnified the Editor and THE PUBLISHER against all claims and expenses (including legal costs and expenses) arising from any breach of this warranty and the other warranties on my behalf in this agreement;

b) that I have obtained permission for and acknowledged the source of any illustrations, diagrams or other material included in the article of which I am not the copyright owner.

c) that all co-authors of this Article/Chapter are aware of, and in agreement with, the terms of this agreement and that the submitted manuscript has been approved by these authors.

2. Copyright assignment

I hereby assign to THE PUBLISHER copyright in the above Article/Chapter for the full period of copyright throughout the world in any form and in any language (including all media, both now known or later developed). THE PUBLISHER may assign its rights under this Agreement. In respect of my moral rights as the author, I retain the rights detailed below.

Signed: .......................................................... Date: .................................................

(to be signed by corresponding or senior author on behalf of all authors)

3. To be filled in if the copyright cannot be transferred to THE PUBLISHER

It is the author’s responsibility to provide the correct information of the copyright holder.

Name and address of copyright holder (if not the author) : ................................................................

The copyright holder grants THE PUBLISHER non-exclusive rights to publish the article within the above-named publication

Signed: .......................................................................................................................... Date: .................

4. Your rights

a) The author(s) retains his or her moral rights in the article including the right to be identified as the author whenever and wherever the article is published. While THE PUBLISHER is allowed to make necessary editorial changes, no substantial alteration will be made to the Article/Chapter without consulting the author(s).

b) In assigning copyright to THE PUBLISHER, the author(s) are not forfeiting their rights to use the contribution elsewhere. The author(s) may use the article for teaching and other non-commercial research purposes without approval from THE PUBLISHER, provided that the journal (or book) is acknowledged as the original source.

c) When assigning your copyright, the author(s) retain all proprietary rights other than copyright (such as patent rights) and rights to any process or procedure described in their Article or Chapter

d) All requests to reprint the contribution (or a substantial part of it including figures and tables) in another publication will be subject to the author(s) approval (which is assumed given if no response is received within 30 days of approval being sought).

5. Note

In addition to publication within the print and/or electronic journal, the article/chapter may be stored electronically and then printed out or sent in digital form to meet individual requests. Completion of this form signifies agreement to THE PUBLISHER making arrangements to include the article/chapter in such document delivery services and electronic journal databases as deemed suitable by THE PUBLISHER
Resource 14C: Licence for publication instead of copyright assignment

Date: Updated July 2013

Summary: An example licence to publish form.

It is very important to obtaining publishing permission (=rights) from the copyright owner. In journals the copyright owner is usually the author(s). Instead of requiring copyright assignment, increasing numbers of journals only require the author to grant them an exclusive licence to publish. One practical reason for this is that in several jurisdictions there is no requirement for a formal signature, and granting licence can be done by ticking a box during online submission.

A licence to publish form sometimes appears very similar to a copyright assignment form, as they often include similar warranties from the authors. In some forms and online systems the warranty is separated out from the licence to publish form.

Example – BMJ copyright information, downloaded August 2013: http://www.bmj.com/about-bmj/resources-authors/forms-policies-and-checklists/copyright-open-access-and-permission-reuse

Copyright, open access, and permission to reuse

Copyright for authors

Since January 2000, *BMJ* has not asked authors of journal articles to assign us their copyright. Authors (or their employers) retain their copyright in the article. All we require from authors is an exclusive licence (or, from government employees who cannot grant this, a non-exclusive licence) that allows us to publish the article in *The BMJ* (including any derivative products) and any other BMJ products (such as the Student BMJ or overseas editions), and allows us to sub-licence such rights and exploit all subsidiary rights.

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Permissions for authors

Thus authors may use their own articles for the following non-commercial purposes without asking our permission (and subject only to acknowledging first publication in *The BMJ* and giving a full reference or web link, as appropriate).

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- Making a reasonable number of copies for personal or non commercial professional use. This includes the contributor’s own teaching purposes.
- Republishing part or all of the article in a book or other publication edited by the author (except for multiple contributions in the same book or publication, for which permission needs to be sought)
- Using individual figures or tables or extracts of text (up to 250 words) in other publications published by a third party.
- Using the article in a course pack or compilation (whether paper or electronic) in the authors’ institution. This does not apply if a commercial charge is made for the compilation or training programme.