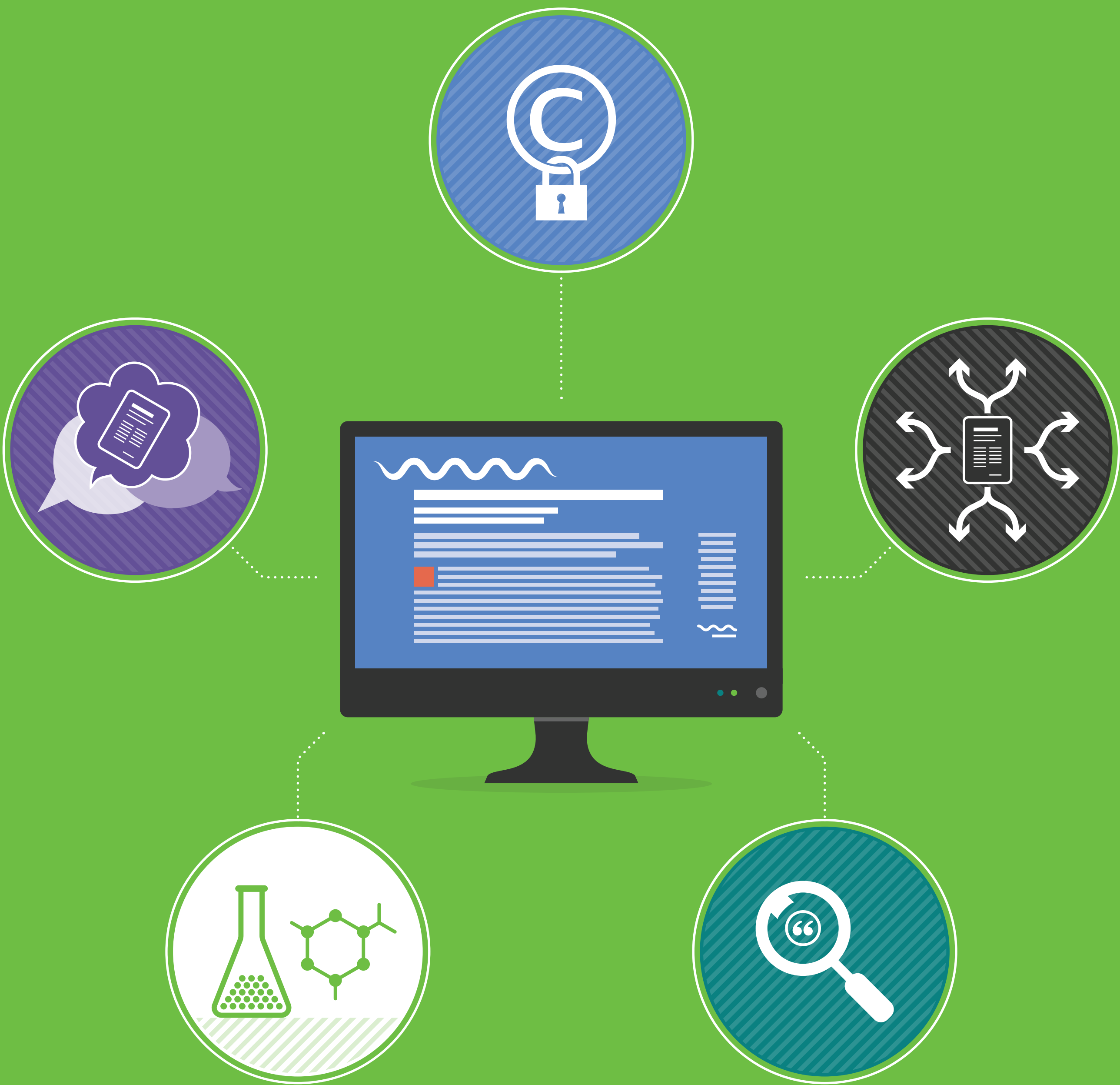

Handbook for *Journal Editors*

ABOUT INASP

Founded in 1992, INASP is an international development organization working with a global network of partners in Africa, Latin America and Asia. In line with the vision of research and knowledge at the heart of development, INASP works to support individuals and institutions to produce, share and use research and knowledge, which can transform lives.

INASP's approaches are based on the core pillars of capacity development, convening, influencing and working in partnership. INASP promotes equity by actively addressing the needs of both men and women across all our work and addressing issues of power within the research and knowledge system. INASP has projects in 28 countries, supporting all aspects of research and knowledge systems, from facilitating the provision of information to researchers to helping parliamentarians and civil servants to use research and evidence in policy making.

ABOUT THE JOURNALS ONLINE PROJECT

The Journals Online (JOL) project was established by INASP in the late 1990s to redress the challenges discussed here. The Journals Online platforms aim to provide increased visibility, accessibility and quality of peer-reviewed journals published in developing countries so that the research outputs that are produced in these countries can be found, shared and used more effectively.

The JOL project involves embedding an online journal hosting platform in existing institutions in developing countries or regions. It then provides training in publishing best practices, and various other supporting services to the participating research journals hosted on the platforms.

The project strengthens the capacity in the local hosting organization to eventually sustainably undertake this ongoing work themselves. In many cases, the JOL platform provides a first opportunity for the research in a journal to be made available online.

The first JOL platform was African Journals Online (AJOL), established as a pilot in 1998 and formally launched in 2000. Since 2005, AJOL has been managed independently by a team in South Africa and the platform now hosts over 500 journals. JOL platforms in Vietnam and the Philippines are also now managed locally. The JOLs in Bangladesh, Nepal, Sri Lanka, Central America and Mongolia are also in the process of moving to local management.

ABOUT THIS RESOURCE

This pack includes hand-outs used by INASP during workshops and adapted for a broader audience. 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.

Pippa Smart | Editor
Alastair Horne | Contributor

INASP TEAM
Sioux Cumming | INASP
Siân Harris | INASP

INASP
2/3 Cambridge Terrace,
Oxford OX1 1RR, UK

Tel:+44(0)1865 249909
Fax:+44(0)1865 251060
E-mail: info@inasp.info

www.inasp.info
twitter.com/INASPinfo
facebook.com/inasp.info

Charity No. 1106349
Company No. 04919576

UKaid from the British people

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Contents

Introduction

To maximize 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.

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

Journal Publishing Practices and Standards

One star – has met the basic requirements for at least two years

Two stars – compliant with additional publishing practice quality criteria

Three stars – consistently excellent in all the technical and editorial publishing best practices set out in the assessment criteria of the Journal Publishing Practices & Standards (JPPS) framework

New title - has been publishing for less than two years, but meets basic requirements

Inactive - has not added new content to the JOL platform in over one year

No stars – not currently meeting the basic criteria for inclusion on a JOL platform

This handbook complements the Journal Publishing Practices and Standards (JPPS), which was announced by African Journals Online and INASP in 2017.

Concerns are often raised about the perceived quality and transparency of publication processes for Southern journals. This, in turn, limits the perceived credibility of the research published within those journals.

In response to these concerns, the Journal Publishing Practices and Standards (JPPS) framework provides detailed assessment criteria for the quality of publishing practices of Southern journals and is initially being used to assess the journals hosted on JOL platforms.

Journals assessed against the JPPS criteria are given one of six levels: inactive title; new title; no stars; one star; two stars; and three stars. The assigned JPPS levels serve a dual purpose. For readers, they provide assurance that the journals meet an internationally recognized set of criteria at a particular level. For journal editors, the detailed feedback from the JPPS assessment helps them identify ways to improve their publishing practices and standards with a view to achieving a higher level at the next assessment.

More information can be found on the JPPS website www.journalquality.info.

Note: This Handbook for Journal Editors will not ensure a particular JPPS star level. However, it is a guide to the kind of things to be considered in developing a journal with robust publishing practices and reflects the approaches taken in the JPPS process. It also provides some guidance that goes beyond the requirements of JPPS accreditation (for example, with Section E, which provides advice of attracting authors and readers, as well as wider attention to the research in the journal).

How to use this handbook

The handbook has been divided into five sections:

A.	B.	C.	D.	E.
Editorial quality	*Content quality*	*Presentation quality*	*Publication quality*	*Journal promotion*

Within each section there are chapters on specific aspects of the section, asking pertinent questions that will help journal editors and publishers evaluate themselves. The questionnaire on page 8 can be used as an initial checklist and a guide to journal editors about the chapters to focus on.

Each chapter then includes a more detailed checklist to help journal editors think about their current processes and identify gaps.

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.

As well as serving as a standalone resource, this booklet will also serve as a supplementary resource for an online journal quality course that INASP is currently developing.

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 that journal editors can use as a guide. 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.

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.

		Yes	Not entirely, but acceptable	Not entirely, work required	Not satisfactory, work & help required	No – help required
A: Editorial quality						
Do you have established editorial strategy and policies?	See Chapter 1					
Do you have an appropriate editorial structure?	See Chapter 2					
Do you have an efficient, effective editorial office?	See Chapter 3					
Do you publish regularly, on time, and with minimal delays for authors?	See Chapter 4					
B: Content quality						
Do you publish sufficient articles of appropriate quality?	See Chapter 5					
Do you provide sufficient support for your authors?	See Chapter 6					
Do you operate a regulated peer review policy?	See Chapter 7					
Do you apply a quality standard on all accepted articles?	See Chapter 8					
Do you have policies on plagiarism, conflict of interest and other ethical issues?	See Chapter 9					
Do you have a comprehensive copyright policy?	See chapter 10					
C: Presentation quality						
Does your journal website meet international standards?	See Chapter 11					
Does your printed journal meet international standards?	See Chapter 12					
D: Publishing quality						
Does the journal have a written sustainability and publishing policy?	See Chapter 13					
E: Journal promotion						
Do you have methods of promoting your journal and its research?	See Chapter 14					

Section A

Editorial vision and processes

The first step with any journal, whether a new launch or a refresh of an existing title, is to be clear about what the journal is for and how to achieve this.

This means having a strategy for the journal, the right people involved and appropriate processes in place. This section provides resources for developing a journal strategy and policies as well as guidance on putting together an editorial team. All of these things relate to each other and so the process of setting up a journal is not linear. For example, journal strategy is included first here but, inevitably, there need to be some people involved from the start in order to think about the strategy.

Chapter 1. Editorial strategy and policies

Do you have established editorial strategies and policies? See how your journal compares by checking the following list:

	Yes	Could be improved	No
1. Have you thought through your journal strategy and mission statement?			
2. Do you regularly review your strategy?			

Do you have established policies (which are made public on your website) on the following:

3. Journal aims and scope?			
4. Authorship criteria?			
5. Process of decision-making for submissions (peer review, editorial decisions)?			
6. How the journal deals with appeals?			
7. How the journal deals with corrections and erratum?			
8. Ethical policies?			
9. Copyright?			
10. Advertising (if appropriate)?			
11. Distribution models?			
12. Journal funding and pricing (as appropriate)?			

Online resources and references

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

Committee on Publication Ethics (COPE) publicationethics.org (accessed January 2017).

Council of Science Editors (2012) CSE's White Paper on Promoting Integrity in Scientific Journal Publications, 2012 Update. www.councilscienceeditors.org/i4a/pages/index.cfm?pageid=3331 (accessed January 2017).

DOAJ (2015) Principles of Transparency and Best Practice in Scholarly Publishing. doaj.org/bestpractice (accessed 15 February 2017).

Eastern Mediterranean Association of Medical Editors (EMAME) (2011) *The Manual for Editors of Health Science Journals*. World Health Organization. www.emro.who.int/entity/emame/ (accessed January 2017).

European Association of Science Editors (EASE): www.ease.org.uk (accessed January 2017).

Hames, I (2007) *Peer Review and Manuscript Management in Scientific Journals: Guidelines for Good Practice.* Blackwell Publishers in association with ALPSP.

International Committee of Medical Journal Editors (ICMJE): www.icmje.org/ethical_1author.html (accessed January 2017).

Smart, P, Maisonneuve, H and Polderman, A (2013) *EASE Science Editors' Handbook*, 2nd edn. European Association of Science Editors. www.ease.co.uk

World Association of Medical Editors (WAME): www.wame.org (accessed January 2017).

Resource 1A: Developing a journal strategy

Summary: A suggested methodology for planning a journal strategy and reviewing it.

Developing a strategy for your journal

Whether you have a new journal or are taking a fresh look at an established titles you need to be clear on what the journal aims to achieve.

Some questions to think about:

- What field will the journal be in?
- What gaps are there today?
- What problem do you want to address?
- What authors and readers are you aiming the journal for?

Write a "mission statement" for your journal, a short piece of text summarising your answers to the questions above. This will form the basis for the Aims and Scope section of your website (see Section C for more on websites). Thinking through these questions will also help as you come to promoting the journal (Chapter 14).

Reviewing your strategy

1. Planning a strategy is an ongoing exercise – although the actual decision process usually takes place only once a year (and often less frequently!)
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. five 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

Problem	Cause of problem?	Benefit if resolved	Actions required	Time-span (or end date)	Respon-sibility

New developments – proposed form

New devel-opment	Rationale	Benefit to journal	Risks	Priority	Actions	Time-span (or end date)	Respon-sibility

KEY POINTS

Do not ignore strategic planning! It can bring huge benefits to a journal without a great deal of effort.

A

Resource 1B: Editorial policies

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 after submission?
- How you deal with submissions from members of the editorial team?
  - Your policy should show that all decisions are not biased by the authoring 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
  - 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: publicationethics.org. The EMAME handbook for journal editors also provides a great deal of information about policies for journals (see the resources for this section).

KEY POINTS

Journal policies serve many functions:

- They help editors to make consistent decisions
- They encourage greater transparency of processes
- They help with problem-solving
- They ensure that the journal demonstrates its integrity

Chapter 2. 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:

	Yes	Could be improved	No
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)			
2. Do you have an established editorial structure to support the EiC?			
3. Do you have the right editorial structure to support the journal?			
4. Do you have a clear list of roles and responsibilities for all members of the editorial team?			
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?			
6. Do you have a fixed term of office for all editorial board members?			
7. Are all members of the editorial team clearly identified in the journal (in print and/or online)?			
8. Does the editorial board clearly match and support the aims and objectives of the journal?			
9. Do you have a procedure for replacing/adding the editors			

Online resources and references

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

Committee on Publication Ethics (COPE) publicationethics.org (accessed August 2013).

COPE: Code of Conduct And Best Practice Guidelines For Journal Editors. publicationethics.org/resources/guidelines (accessed January 2017).

Council of Science Editors (2012) CSE's White Paper on Promoting Integrity in Scientific Journal Publications, 2012 Update. www.councilscienceeditors.org/i4a/pages/index.cfm?pageid=3331 (accessed January 2017).

Eastern Mediterranean Association of Medical Editors (EMAME) (2011) *The Manual for Editors of Health Science Journals*. World Health Organization. www.emro.who.int/entity/emame (accessed January 2017).

International Committee of Medical Journal Editors (ICMJE): www.icmje.org (accessed January 2017).

Smart, P, Maisonneuve, H and Polderman, A (2013) *EASE Science Editors' Handbook*, 2nd edn. European Association of Science Editors. www.ease.co.uk

World Association of Medical Editors (WAME): www.wame.org (accessed January 2017).

Resource 2A: Editorial responsibilities

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.

Duties

Each journal should have "decision-making" editors – one or more person that decides exactly what they will publish. The duties of the editor will vary somewhat with each journal, but these senior editors (usually highly respected researchers in their own field) are responsible for the integrity of the journal's editorial processes. Duties usually include setting and agreeing the objectives of the journal (its vision, and what it aims to publish), and overseeing the receipt, quality validation and publishing decision for all articles submitted to the journal. (Note that others may deal with the administration of receiving and dealing with submitted articles but the editor – like a company Managing Director – is ultimately responsible for the processes).

Some editors are also required to take responsibility for other publishing issues (e.g. the production processes), so it is important for any newly-appointed editor to be entirely sure of what areas they are expected to control and take responsibility for.

Content responsibilities

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.

Ethical responsibilities

Editors must work ethically, and be able to show that they are working ethically if challenged. 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. publicationethics.org/resources/guidelines.

KEY POINTS

The Editor in Chief (or equivalent) is responsible for the content of their journal, so it is their responsibility to ensure that they work ethically, honestly, and show due diligence in their selection of what to publish – to support the objectives of the journal and the development of their own discipline.

Resource 2B: Working with the editorial team

Summary: The editorial team usually comprises a mixture of people, often in different locations: that share editorial, and content responsibilities. Ensuring good working relationships with them, and ensuring that they contribute to the success of the journal is very important.

Who are the editorial team?

Every journal should have more than one person involved with the editorial processes. The usual editorial teams comprise the following:

- The Editor-in-Chief
  - One, sometimes two or three, senior editors with responsibilities as outlined in Resource 1A.
- Managing or administrative editor
  - Administrative support for the processing of article submissions.
- Associate or Deputy Editors
  - A small number (perhaps three, or six) senior editors with responsibility to make decisions on the suitability of articles.
- Editorial Boards
  - A supportive board of editors, not directly involved in the processing or quality control of articles, but who often act as reviewers and external advocators for the journal.

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 three-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 three 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 (see Chapter 14).
- 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 for printed journals), 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 adopting, 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.

KEY POINTS

An editorial team must have shared objectives, vision, and quality standards to ensure the success of their journal. Shared responsibilities makes a journal more sustainable, and helps to build skills and share knowledge to the benefit of the journal.

Resource 2C: The journal editor agreement

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 five years, sometimes with a possibility of extension – so that the editor can remain in position for a further term 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 six to 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 approximately two 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 does not publish any plagiarised or illegal (e.g. libellous, infringing copyright, etc.) content.
- 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

- Respecting the editorial independence of the Editors to select the best content without undue influence from the publisher or owner.
- 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/or 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 as to do so may constitute a Conflict of Interest!).
- Marketing and promotion.
- Managing the copyright and other rights.

KEY POINTS

Every editor should be fully aware of their area and level of responsibility, and a written agreement is the best way of making sure that there is no misunderstanding.

Resource 2D: Editorial boards – composition

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-specialities 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 regarding gender and ethnicity, for example.
- 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.

KEY POINTS

The editorial structure of any journal needs careful consideration to ensure that the right structure is chosen – not every journal needs the same structure.

A

Chapter 3. 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:

	Yes	Could be improved	No
1. Is there one (or more) person tasked with overseeing the administration of submissions and peer review?			
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?			
3. Are systems in place to respond quickly to authors, reviewers and editorial board enquiries (within five days)?			
4. Is the administration of the journal run in an efficient manner?			
5. Are adequate records retained to inform editors about reviewers, submissions, etc.?			
6. Is a databases of reviewers and authors retained in such a way that searches for appropriate reviewers and previous submissions can be undertaken?			
7. Are all the journal administrative records backed up securely?			
8. Do you confirm receipt of all submissions within five working days?			
9. Do you communicate publishing decisions to authors within one week of the decision being made?			

Online resources and references

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

Committee on Publication Ethics (COPE) publicationethics.org (accessed January 2017).

Council of Science Editors (2012) CSE's White Paper on Promoting Integrity in Scientific Journal Publications, 2012 Update. www.councilscienceeditors.org/i4a/pages/index.cfm?pageid=3331 (accessed January 2017).

Eastern Mediterranean Association of Medical Editors (EMAME) (2011) *The Manual for Editors of Health Science Journals*. World Health Organization. www.emro.who.int/entity/emame/ (accessed January 2017).

Hames, I (2007) *Peer Review and Manuscript Management in Scientific Journals: Guidelines for Good Practice.* Blackwell Publishers in association with ALPSP.

International Society of Managing and Technical Editors (ISMTE): www.ismte.org (accessed January 2017).

Smart, P, Maisonneuve, H and Polderman, A (2013) *EASE Science Editors’ Handbook*, 2nd edn. European Association of Science Editors. www.ease.co.uk

Resource 3A: The operation of the editorial office

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).

What is an editorial office?

The term "editorial office" is used as a shorthand term to describe the person or place where the processing of submissions takes place – who looks at articles when they are submitted (by email or online), who manages the process of peer review (selecting and sending invitations by email), dealing with queries, and more. The actual editorial office may, in fact, be the Editor-in-Chief, or may be their secretary, or may be a person (or a team for large journals) in the publisher's office.

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, and some publishers will provide this service from their office.

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.

What is a managing editor?

A managing editor is the title frequently given to the person who supervises the day-to-day operation of the editorial office. The status of the position will change between journals, and may be quite a senior position, or a more administrative, junior position. Commonly the Managing Editors are knowledgeable about the journal subject, and can make decisions on immediate rejection if they decide that an article is out of scope, or otherwise unsuitable for the journal. Sometimes they are given the responsibility to select reviewers independently from the Editors, and to obtain reviewer reports for final decision by the Editors.

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 late reviewer reports.
- Uploading reviewer statistics in the system (e.g. if they return on time, if they provide useful comments, etc.).
- Dealing with queries (from authors, reviewers, editors).
- Ensuring editors make a decision in a timely fashion.
- Informing reviewers of final decisions.
- 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 the following:
  - 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.

KEY POINTS

The administration of article submission and progress through peer review to final decision must be handled efficiently. Efficient and reliable processing of submitted articles is an important part of the editorial process and can improve – or ruin – the reputation of a journal.

Chapter 4. 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:

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

Online resources and references

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

Campbell, R, Pentz, E, Borthwick, I (eds) (2012) *Academic and Professional Publishing*. Oxford: Chandos Publishing.

Cope, B and Phillips, A (eds) (2014) *The Future of the Academic Journal*, 2nd Edition. Elsevier.

Cox, J and Cox, L (2009) Scholarly Publishing Practice 3: Academic Journals Publishers. *Learned Publishing* 22, 75–77.

Morris, S, Barnas, E, LaFrenier, D and Reich, M (2013) *The Handbook of Journal Publishing*. Cambridge University Press.

NFAIS (2009) Best Practices for Publishing Journal Articles. www.nfais.org/best-practices (accessed February 2017).

Smart, P, Maisonneuve, H and Polderman, A (2013) *Science Editors' Handbook*, 2nd edn. European Association of Science Editors. www.ease.co.uk

Resource 4A: Scheduling for journal production

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:

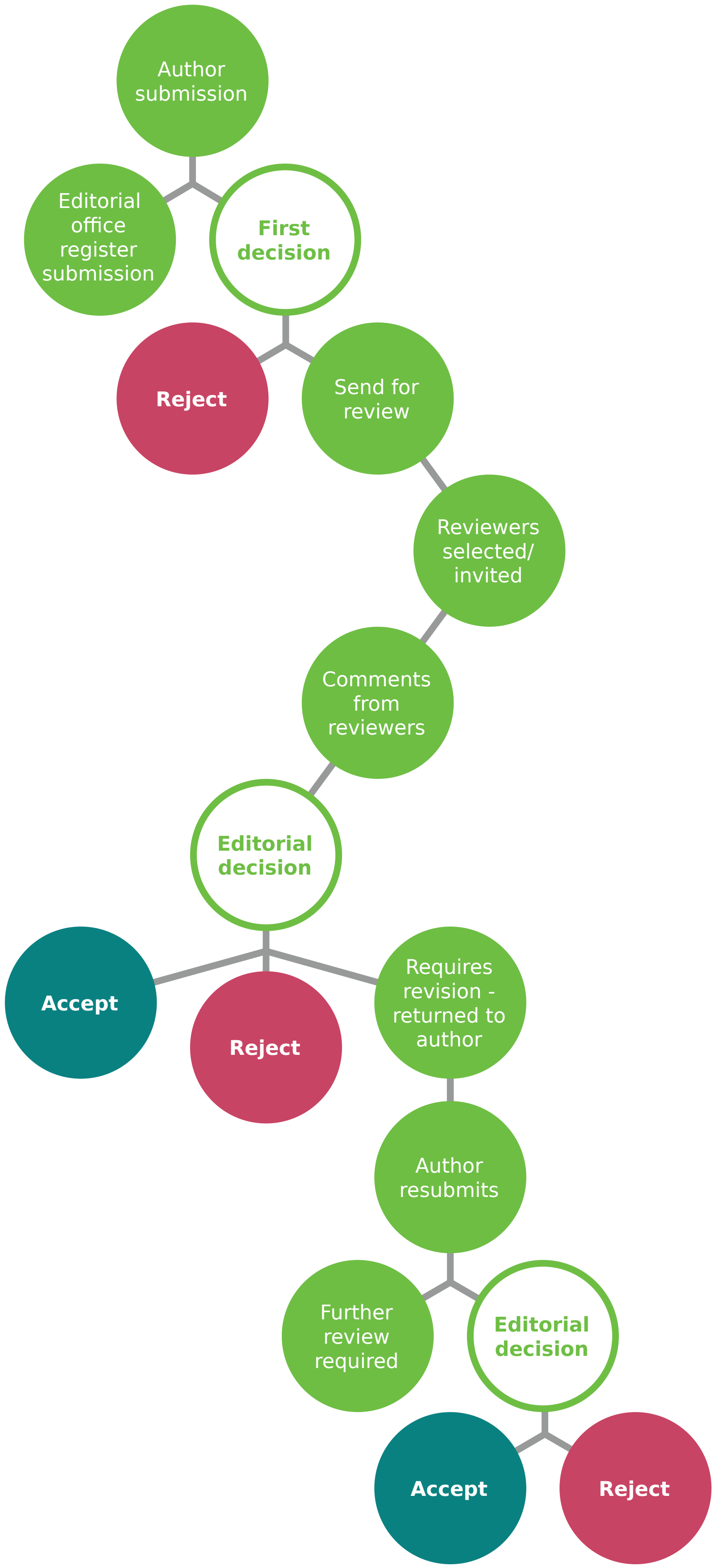
From submission to first decision	1-2 weeks
Time for reviewing to editorial decision	3-12 weeks
Time for author to correct	1 week – 6 months depending on what is required
Time for final decision	1-2 weeks (if no further review is needed)

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

EDITORIAL STAGES: BASIC FLOWCHART



Average times

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

To copyedit an article:	At a rate of approximately eight typewritten pages per hour – slower for complex, mathematical or highly referenced work, faster for simplistic, continuous text
Typesetting:	Usually allow one to two weeks for each article. (If the entire issue is sent at once you may need to allow a little extra time – but not much!)
Proofreading:	Authors are often given five working days
Proof correction (by typesetter):	Usually allow five to 10 days depending on amount of corrections (and different journals have different rules regarding what level of corrections they allow)
Issue selection	Usually allow four to five days for selecting the articles and final issue corrections (includi`ng setting up the table of contents, cover, etc.
Printing:	Usually allow three weeks
Distribution:	Frequently forgotten – but remember that postage takes time – and you need to allow for this when planning a schedule.

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.

A	B	C	D
1	Schedule start	-1	
2	Articles selected for inclusion	-5	
3	Issue proof received	-2	
4	Proof back for final corrections	-1	
5	Proof OK'd for press	-1	
6	To Press	-10	
7	Print copies received	-2	
8	Copies distributed	0	30 August

Within this table, each of these boxes is a "cell" with a grid reference (the top letters and the numbers down the side) - so for example, the box with "To Press" is cell B6

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.

KEY POINTS

Schedules are important!

Whilst the first schedule may take time to prepare, you can use it as a template for future years – so it is a good investment of time.

What happens when you publish late:

- It annoys authors
- It worries readers ("perhaps the journal is struggling")
- It annoys librarians ("where is my copy?")
- It leads to claims for missing issues (librarians will claim for printed copies not delivered – if they are late they will initiate a claim, and then get two – or more! – copies: that's expensive for the publisher)
- It looks bad on the website if it is March and the March issue is not there.

Section B

Content quality

Once the journal strategy and people are in place it is important to ensure that processes are clear, consistent and enable the journal to be published to the quality and standards that you want. The elements discussed in this chapter are key for meeting many of the requirements of the Journal Publishing Practices and Standards (JPPS) framework (www.journalquality.info).

B

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:

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

Online resources and references

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

Campbell R, Pentz E, Borthwick I (eds) (2012) *Academic and Professional Publishing*. Oxford: Chandos Publishing.

Cox, J and Cox, L (2009) Scholarly Publishing Practice 3: Academic Journals Publishers. *Learned Publishing* 22, 75–77. doi:10.1087/095315108X378839 (accessed January 2017).

Morris, S, Barnas, E, LaFrenier, D and Reich, M (2013) *The Handbook of Journal Publishing*. Cambridge University Press.

NFAIS (2009) Best Practices for Publishing Journal Articles. www.nfais.org/best-practices (accessed February 2017).

Smart, P, Maisonneuve, H and Polderman, A (2013) *Science Editors' Handbook*, 2nd edn. European Association of Science Editors. www.ease.co.uk

Resource 5A: Strategies for attracting authors

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.

Resource 1A discussed development of a journal strategy. This resource looks at how to ensure that the content in the journal reflects the aims and scope identified in Chapter 1.

Note that many of these activities are "marketing" – raising the visibility of your journal. These suggestions should be read in conjunction with Section E: Journal promotion.

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 journal information in the handouts given at suitable conferences or meetings.
- 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 more frequently than normal author communication without sounding desperate!
- Invited articles
  - You can invite individuals to write for you – commissioning content (see below).

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.

Remember to tell authors:

- 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

KEY POINTS

Journals should reach out to authors to raise the profile of the journal and ensure that the best authors will submit their best work.

Resource 5B: Strategies for dealing with uneven amounts of content

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 11 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 three publishable articles in the first three months of the year, but (for example) 100 in the next three months.

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!

KEY POINTS

Planning for fluctuations in content will help journals to avoid problems and to continue to publish sustainably.

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:

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

Online resources and references

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

Benson PJ, Silver SC (2013) *What Editors Want: An Author's Guide to Scientific Journal Publishing*. Cambridge: Cambridge University Press.

Butcher J (2006) *Copy-editing: the Cambridge handbook for editors, authors and publishers*, 4th edn. Cambridge: Cambridge University Press.

Committee on Publication Ethics (COPE) publicationethics.org (accessed January 2017).

Council of Science Editors (2012) CSE's White Paper on Promoting Integrity in Scientific Journal Publications, 2012 Update. www.councilscienceeditors.org/i4a/pages/index.cfm?pageid=3331 (accessed January 2017).

EASE Guidelines for Authors and Translators of Scientific Articles to be Published in English: www.ease.org.uk/publications/author-guidelines (accessed January 2017).

Eastern Mediterranean Association of Medical Editors (EMAME) (2011) *The Manual for Editors of Health Science Journals*. World Health Organization. www.emro.who.int/entity/emame (accessed January 2017).

International Committee of Medical Journal Editors (ICMJE): www.icmje.org (accessed January 2017).

Iverson, C (ed) (2007) *AMA manual of style: a guide for authors and editors*, 10th edn. New York, NY: Oxford University Press.

Shashok, K (2008) Content and communication: How can peer review provide helpful feedback about the writing? *BMC Medical Research Methodology* 8, 3. doi:10.1186/1471-2288-8-3 (accessed January 2017).

Smart, P, Maisonneuve, H and Polderman, A (2013) *Science Editors' Handbook*, 2nd edn. European Association of Science Editors. www.ease.co.uk

University of Chicago Press (2010) *The Chicago Manual of Style*, 16th edn. Chicago: University of Chicago Press.

Wager, E, Godlee, F, Jefferson, T (2002) *How to Survive Peer Review*. London: BMJ Books.

Resource 6A: Working with authors – good practice

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 request 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 is expected
- 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
  - What do they think about the journal – are they willing to become more involved (e.g. reviewing)?
  - How was their publishing experience with you?
  - 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
  - Why did you select the author?
  - What you want them to write? (topic, number of words, style)
  - When you want them to deliver it?
  - 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
  - Themed issues (are often more highly cited than individual papers)
  - To highlight new sections in the journal
  - 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 copyediting (checking the paper for grammar, reference citations, etc. - see Chapter 7)

Responsibility to authors

- Editors have a responsibility to respect authors' rights. In particular this includes:
- Moral right to be identified as the author of a work: do not delete the author names from an article without their agreement.
- Confidentiality: do not disclose anything about the submission outside the editorial team
- Intellectual property rights: the authors have copyright and other intellectual property rights in their work, which must be respected by the journal (editors, reviewers and publishers)
- Publication: authors submit their work to a journal with certain understanding about the quality and operation of a journal. This includes issues such as timeliness of publication, quality of copyediting, the type of delivery (e.g. online or in print), etc., and the journal should ensure that it delivers what it promises to the author in these respects.

KEY POINTS

Editors must not assume that authors are experienced in publication, and should ensure that they work ethically, honestly, and transparently with them throughout the publication process. It is good for a journal to be transparent about its working methodology, and to ensure that it delivers what it promises.

Resource 6B: Author guidelines

Summary: Author guidelines are important to journals and authors, and can help to avoid publication delays and submission problems – therefore time should be spent to ensure that they are useful, up-to-date, and comprehensive.

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. Unfortunately, many do not provide the information that the author wants (or needs) - and they can 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, URL of online submission site
- 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 (i.e. do you accept translations of already-published articles)
  - What ethics approvals may be required
- 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 must 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

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

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

journaltool.asme.org/content/AuthorResources.cfm – Interesting design for author guidelines

Resource 6C: The Publisher-Author Relationship

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.

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.

See Chapter 13 for more about copyright policies.

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-assoc.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.

KEY POINTS

It it is in the interest of both the authors and the publisher to be respectful and appreciative of the other's rights and responsibilities.

Resource 6D: How to publish your research work

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?
- Ensure that you are selecting a credible journal for your work. There are some disreputable publishers and journals, and authors need to take care that they avoid submitting to them. See the guidelines provided on the website Think.Check.Submit. (thinkchecksubmit.org) which provides a useful checklist for authors to use when selecting journals.

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).
- 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 within a week. 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 one to two 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 their own selection.)
- 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

Albert Tim. Winning the publications game: How to write a scientific paper without neglecting your patients. 3rd Edition. Radcliffe Publishing, 2008.

Benson PJ, Silver SC: *What Editors Want: An Author's Guide to Scientific Journal Publishing*. Cambridge: Cambridge University Press, 2013.

Day, Robert A and Gastel, B, *How to Write & Publish a Scientific Paper*. 6th edition. Cambridge: Cambridge University Press, 2006.

International Committee of Medical Journal Editors. Uniform requirements for manuscripts submitted to biomedical journals. www.icmje.org.

AMA. *American Medical Association Manual of Style: A Guide for Authors and Editors*. 10th edition. OUP, 2007. Also online, at www.amamanualofstyle.com

Lang, TA, Secic, M. *How to Report Statistics in Medicine: Annotated Guidelines for Authors, Editors and Reviewers*. Philadelphia: American College of Physicians, 2006.

Matthews, JR and Matthews, R. *Successful Scientific Writing: A Step-by-Step Guide for the Biological and Medical Sciences*. Third edition. Cambridge; Cambridge University Press, 2007.

Useful websites

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

AuthorAID – The resources section has hundreds of presentations and guides on how to write a scientific paper. In addtion, AuthorAID runs online research writing courses and a mentoring system. www.authoraid.info

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

Authorship

This resource has been adapted from a paper published by INASP 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

KEY POINTS

Prepare before submission. Select your journal with care. Be realistic about the time to publish and that you will be required to make some revisions to your article. Be prepared for rejection and do not take it personally.

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:

	Yes	Could be clearer	No
1. Do you have an established peer review process?			
2. Do you immediately reject totally inappropriate articles without sending them out to review?			
3. Do you use at least one external peer reviewer on original research articles?			
4. Do you have a list of the types of articles that you do not peer review? (e.g. editorials)			
5. Is your peer review process suitable for your community and your discipline?			
6. Do you explain your peer review process in the journal website?			
7. Do you explain your peer review process in the author guidelines?			
8. Do you provide your peer reviewers with guidelines to explain what you are looking for?			
9. Do you adhere to the good practice guidelines for working with peer reviewers as given below in the resource?			
10. Do you provide reviewers with feedback on the final decision?			

Online resources and references

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

Benos, DJ, Bashari, E, Chaves, JM, et al. (2007) The ups and downs of peer review. *Advances in Physiological Education* 31(2), 145–152. doi:10.1152/advan.00104.2006

Callaham, M, Schriger, D and Cooper, RJ (nd) *An instructional guide for peer reviewers of biomedical manuscripts*. Annals of Emergency Medicine www3.us.elsevierhealth.com/extractor/graphics/em-acep (accessed January 2017).

Committee on Publication Ethics (COPE) publicationethics.org (accessed January 2017).

COPE: COPE Ethical Guidelines for Peer Reviewers. publicationethics.org/files/Ethical_guidelines_for_peer_reviewers_0.pdf (accessed January 2017).

DOAJ (2015) Principles of Transparency and Best Practice in Scholarly Publishing. doaj.org/bestpractice (accessed 15 February 2017).

Eastern Mediterranean Association of Medical Editors (EMAME) (2011) *The Manual for Editors of Health Science Journals*. World Health Organization. www.emro.who.int/entity/emame (accessed January 2017).

Hames, I (2007) *Peer Review and Manuscript Management in Scientific Journals: Guidelines for Good Practice*. Blackwell Publishers in association with ALPSP.

Lovejoy, TI, Revenson, TA, France, CR: (2011) Reviewing Manuscripts for Peer-Review Journals: A Primer for Novice and Seasoned Reviewers. *Annals of Behavioral Medicine* 42, 1-13.

Morris, S, Barnas, E, LaFrenier, D and Reich, M (2013) *The Handbook of Journal Publishing.* Cambridge University Press.

Sense about Science (2012) *Peer review: the nuts and bolts*, 2012. senseaboutscience.org/activities/peer-review-the-nuts-and-bolts (accessed January 2017).

Shashok, K (2008) Content and communication: How can peer review provide helpful feedback about the writing? *BMC Medical Research Methodology* 8, 3. doi:10.1186/1471-2288-8-3 (accessed January 2017).

Smart, P, Maisonneuve, H and Polderman, A (2013) *Science Editors' Handbook*, 2nd edn. European Association of Science Editors. www.ease.co.uk

Resource 7A: Different peer review methods

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 authors – 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.

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 only 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: 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: See the *BMC Public Health journal*. If you go to: bmcpublichealth.biomedcentral.com/articles/10.1186/s12889-016-3888-x, Under the article heading you will see a link to " Open Peer Review reports", if you follow this link you can see all the reviewer reports.

KEY POINTS

Consider and decide on the best method for peer review for your journal. Do not be afraid of experimenting with new methods – but ensure that your authors and reviewers are fully informed of which system you choose to use.

Resource 7B: Working with reviewers – good practice

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 two 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
- Subject specialty
- 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. Ensure that this database is maintained (including delation of old records) in line with relevant data protection laws.

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, for example:

- 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

KEY POINTS

Think carefully about how best to manage the reviewing process, and where you can improve it by reducing processing time, motivating reviewers and improving feedback for authors.

Chapter 8. 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:

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

Online resources and references

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

Benson PJ, Silver SC (2013) *What Editors Want: An Author's Guide to Scientific Journal Publishing*. Cambridge: Cambridge University Press.

Butcher J (2006) *Copy-editing: the Cambridge handbook for editors, authors and publishers*, 4th edn. Cambridge: Cambridge University Press.

Council of Science Editors (2012) CSE's White Paper on Promoting Integrity in Scientific Journal Publications, 2012 Update. www.councilscienceeditors.org/i4a/pages/index.cfm?pageid=3331 (accessed January 2017).

Eastern Mediterranean Association of Medical Editors (EMAME) (2011) *The Manual for Editors of Health Science Journals*. World Health Organization. www.emro.who.int/entity/emame (accessed January 2017).

European Association of Science Editors (EASE): www.ease.org.uk (accessed January 2017).

Iverson, C (ed) (2007) *AMA manual of style: a guide for authors and editors*, 10th edn. New York, NY: Oxford University Press.

Morris, S, Barnas, E, LaFrenier, D and Reich, M (2013) *The Handbook of Journal Publishing*. Cambridge University Press.

Smart, P, Maisonneuve, H and Polderman, A (2013) *Science Editors' Handbook*, 2nd edn. European Association of Science Editors. www.ease.co.uk

University of Chicago Press (2010) *The Chicago Manual of Style*, 16th edn. Chicago: University of Chicago Press.

Resource 8A: Style and copyediting – adding value

Summary: A description of copyediting with notes on its importance and who should undertake it.

Journal 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: 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.

What is copyediting?

From the UK Society of Freelance Editors and proofreaders (SfEP):

> *"Copy-editing takes the raw material (the 'copy': anything from a novel to a web page) and makes it ready for publication as a book, article, website, broadcast, menu, flyer, game or even a tee-shirt.*
>
> *The aim of copy-editing is to ensure that whatever appears in public is accurate, easy to follow, fit for purpose and free of error, omission, inconsistency and repetition. This process picks up embarrassing mistakes, ambiguities and anomalies, alerts the client to possible legal problems and analyses the document structure for the typesetter/designer."*
>
> www.sfep.org.uk/about/faqs/what-is-copy-editing (accessed 24 January 2017)

Copyediting ensures the text/artwork, etc. is:

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

What copyediting is not:

- Re-writing large sections

Levels of copyediting

There are several levels of copyediting:

- The least: checks for spelling mistakes, checks text 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.

Copyediting – adding value

Copyediting improves the content and adds value.

- It benefits the reader - it makes the articles easier to read and understand
- It benefits the author - it makes their work more “polished” and authoritative
- It benefits the journal - it makes it look more professional

Online resources

- AuthorAID lists a number of editing services from which to choose www.authoraid.info/resource-library
- www.grammarbook.com - some fun questions-and-answers about grammar

KEY POINTS

Excellent researchers may not have excellent language skills and it is important that the journal provides a service to ensure that the message of their articles can be clearly understood by reader – and copyediting is often required to achieve this.

Resource 8B: Copyediting – skills required and workflow

Summary: A description of who should undertake copyediting.

Skills required to be a good copyeditor

The following skills are generally accepted to be essential:

- Attention to detail and ability to remember and apply styles and conventions
- Good English (or other relevant) language skills
- Critical skills to recognise errors/problems and inconsistencies
- Ability to set priorities and meet deadlines
- Good communication skills to deal with authors when there are queries that need resolving
- Familiarisation with the discipline is a help but is not essential

Who should copyedit?

Copyediting is usually undertaken by non-subject specialists. Copyeditors are people who are skilled in reading and correcting grammar, noticing inconsistencies and ensuring completeness of an article. Often, authors are not good at ensuring that their articles are easy to read, complete and consistent throughout – they are subject-specialists, and cannot be relied upon to also be attentive to grammatical and other non-scientific detail. And these things do matter as badly presented articles give a bad impression of the science within them – the argument being "if the author could not be bothered to spell the words correctly, then how can we trust them to have undertaken the science accurately and correctly?"

The editor has experience of writing articles and knowledge of the subject area but may not have the skills or time to copyedit a paper. A more junior person, for example a postgraduate student, will not have the experience of writing articles, or the in-depth knowledge of the discipline, but may have the critical and attentive skills and time required. Hence, copyediting is often given to postgraduate students as a way of involving them in the publication of a journal. It also allows them to get exposure to the process of writing and correcting an article for publication. It is important, however, to be careful in the selection of the person to do copyediting.

Some commercial (western) publishers employ freelance editors. These are often, but not always, science graduates who have a good attention to detail. Increasingly they are asking the typesetters to provide this service, and they are only asked to edit to the minimal level – for journal style (which can often be done with search-and-replace programmes), and for general sense (raising queries for authors to be asked at proof) and markup for the typesetter (e.g. heading levels).

In some smaller journals the editor himself or herself is expected to do this work.

Copyediting workflow

The copyeditor usually edits the manuscript in the author’s submitted Word file or may use a specific copyediting package (e.g. XStyles), which is also can be used to code up the text for electronic typesetting. Some copyeditors work on paper and then transfer comments/corrections/markup to the Word file so that a “clean” file is sent to the typesetter.

The time allowed for copyediting varies and is dependent on the complexity of content (e.g. mathematical versus free-flowing text; number of references) and the level of copyediting needed (badly-written article needing total rewrite versus clearly written, little work required). It can take approximately one to two hours for 2000 words.

The copyeditor marks up the text for the typesetter (or whoever will set the text in the page style) identifying (a) levels of heading, (b) where figures/tables should be inserted, (c) what should be in bold/italic. If required, the copyeditor identifies different elements of the text (to enable interactive e-files to be produced.

The copyeditor also identifies problems and queries, which need to go to the author and makes suggestions for improvement, for example “This figure is not clear, do you have a better version?” and “This section looks out of place; should it be in XXX section?”

Summary

In summary therefore, the duties of the copyeditor are:

- Read the text - particularly checking that 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”)
- Check references cited in text against the reference list (e.g. in the text it may cite "Ugwu 2012" but in the reference list give the year as 2010 – so the author must be asked if one date is a mistake, or if the text citation is to a different reference)
- Compare tables and figures to text citation, ensuring they have titles (which accurately represent the table/figure) and appear to match the text citation
- Check tables to ensure that columns 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.

KEY POINTS

Journal Editors-in-Chief are not always the best person to copyedit an article – it takes a particular skill to notice inconsistencies in style and spellings. Consider who would be best to take on the role of copyeditor.

Resource 8C: Links and DOIs

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 web pages.

In-article links

These are usually added to aid navigation of digital articles, and include:

- Links from the author's name to their email address
- Links to the sections of the article (e.g. Abstract, Discussion, Methods, etc.)
- 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.

External links

These will include:

- Links from an email address that open a mailing dialogue window
- Links from the copyright line to the website or journal full terms and conditionsLinks from the reference to the article being referenced
- Links to external websites

Consider what external links would be useful to your readers.

Reference linking

The most useful hypertext 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. 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. An example of a PMID is: PubMed PMID: 18183754

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. An example of a DOI is: doi:10.1371/journal.pone.0170743

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.

How do you find and add DOIs?

There are several ways, but the easiest is to require authors to add them into the references. However, authors are not always good at following instructions, and because it is such a valuable addition to an article (and therefore good for the journal to include them) it is worthwhile to add the DOIs when the authors forget.

It is relatively straightforward for DOIs to be added at the copyediting stage, and while each individual article can be searched for, it is possible to search for, and add, DOIs for an entire reference at one time. To do this, follow these instructions:

- Go to Crossref Simple Text query page: 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.
    - Click on submit.
    - You will be emailed all the references, exactly as you pasted them into the query box, with all the DOIs added.
    - Copy and paste this list 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 searching and adding DOIs during copyediting is that it allows the copyeditor to spot a reference that may be wrong. For example, because 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). Therefore it alerts to a possible reference error that can be queried with the author before the article is published.

KEY POINTS

Adding hypertext links greatly helps readers, and adds value and quality to the journal – it is therefore worthwhile to decide which links to add. Reference links are particularly valuable, and it is of benefit to a journal to ensure that these are added.

Chapter 9. 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:

	Yes	Could be improved	No
1. Do you have published statements or policies on the following:			
a. Plagiarism?			
b. Fraud?			
c. Conflict of interest?			
d. Author disputes?			
e. Privacy and confidentiality?			
f. Human and animal research guidelines (if appropriate)?			
g. Reporting guidelines (if appropriate)?			
2. Do your policies include details of what is and is not acceptable?			
3. Do your policies refer to international guidelines?			
4. Do your policies indicate how you respond to breaches in your policies (from authors, editors, reviewers, etc.)?			

Online resources and references

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

Committee on Publication Ethics (COPE) publicationethics.org (accessed January 2017).

Cope, B and Phillips, A (eds) (2009) *The Future of the Academic Journal*. Chandos.

COPE: Code Of Conduct And Best Practice Guidelines For Journal Editors.publicationethics.org/resources/guidelines (accessed January 2017).

Council of Science Editors (2012) CSE's White Paper on Promoting Integrity in Scientific Journal Publications, 2012 Update. www.councilscienceeditors.org/i4a/pages/index.cfm?pageid=3331 (accessed January 2017).

DOAJ (2015) Principles of Transparency and Best Practice in Scholarly Publishing. doaj.org/bestpractice (accessed 15 February 2017).

Eastern Mediterranean Association of Medical Editors (EMAME) (2011) *The Manual for Editors of Health Science Journals*. World Health Organization. www.emro.who.int/entity/emame (accessed January 2017).

International Committee of Medical Journal Editors (ICMJE): www.icmje.org/ethical_1author.html (accessed January 2017).

Morris, S, Barnas, E, LaFrenier, D and Reich, M (2013) *The Handbook of Journal Publishing*. Cambridge University Press.

Sense about Science (2009) *Peer review survey 2009.* senseaboutscience.org/activities/peer-review-survey-2009 (accessed January 2017).

Ray, J (2002) Judging the judges: the role of journal editors. *QJM* 95, 769-774. doi: 10.1093/qjmed/95.12.769 (accessed January 2017).

Saunders, J (2010) Plagiarism and the law. *Learned Publishing* 23, 279-292. DOI: dx.doi.org/10.1087/20100402

Smart, P, Maisonneuve, H and Polderman, A (2013) *Science Editors' Handbook*, 2nd edn. European Association of Science Editors. www.ease.co.uk

World Association of Medical Editors (WAME): www.wame.org (accessed January 2017).

Resource 9A: Ethical issues – what they are, how to deal with them

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: www.icmje.org/recommendations/browse/roles-and-responsibilities/defining-the-role-of-authors-and-contributors.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.

See the COPE resource: How to handle authorship disputes: a guide for new researchers: publicationethics.org/files/u2/2003pdf12.pdf.

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.

Duplicate publication 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
- Similarity checker (previously called CrossCheck) – only available to Crossref members, and a fee is charged, but this is the best checking system
- Plagium: a low-cost service: www.plagium.com
- The Plagiarism checker: www.dustball.com/cs/plagiarism.checker

Resolution: follow the COPE flowchart, see page 68.

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 they are 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 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. 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 (this is not used very often)
- Adding a note about the erratum on the online article: this is the most widely-used system - see www.nature.com/neuro/journal/v3/n12/full/nn1200_1316.html
- 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: 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: www.sciencedirect.com/science/article/pii/S0893608012002377

COPE flowcharts

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

publicationethics.org/resources/flowcharts

KEY POINTS

"Integrity is doing the right thing, even when no one is watching" (attributed to CS Lewis)

Maintaining ethical standards and requiring authors to do the same is vital to the reputation of all journals, and it is extremely important that care is taken to behave ethically, and to ensure that authors do the same.

B

Chapter 10. 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:

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

Online resources and references

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

Armstrong, C, de Beer, J, Kawooya, D, Prabhala, A and Schonwetter, T (eds) (2010) *Access to Knowledge in Africa: The Role of Copyright*. UCT Press. www.idrc.ca/en/book/access-knowledge-africa-role-copyright (accessed February 2017).

Campbell, R, Pentz, E, Borthwick, I (eds) (2012) *Academic and Professional Publishing*. Oxford: Chandos Publishing.

Cope, B and Phillips, A (eds) (2014) *The Future of the Academic Journal*, 2nd Edition. Elsevier.

Cox, J and Cox, L (2009) Scholarly Publishing Practice 3: Academic Journals Publishers. *Learned Publishing* 22, 75–77. doi:10.1087/095315108X378839 (accessed August 2013).

DOAJ (2015) Principles of Transparency and Best Practice in Scholarly Publishing. doaj.org/bestpractice (accessed 15 February 2017).

Jones, H and Benson, C (2016) *Publishing Law*, 5th edn. UK, Routledge

Morris, S, Barnas, E, LaFrenier, D and Reich, M (2013) *The Handbook of Journal Publishing*. Cambridge University Press.

NFAIS (2009) Best Practices for Publishing Journal Articles. www.nfais.org/best-practices (accessed February 2017).

Saunders, J (2010) Plagiarism and the law. Learned Publishing 23, 279-292. DOI: dx.doi.org/10.1087/20100402

Smart, P, Maisonneuve, H and Polderman, A (2013) *Science Editors' Handbook*, 2nd edn. European Association of Science Editors. www.ease.co.uk

B

Resource 10A: 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

The full paper can be downloaded from: CiteSeerX citeseerx.ist.psu.edu/viewdoc/summary;jsessionid=09EB16F0B84AF8195AFF3BFB3E15316C?doi=10.1.1.214.7765

Copyright

1. 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).

2. 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.

3. 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.

4. 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.

5. 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.

Originality

6. 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.

7. 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.

Moral and economic rights

8. 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.

9. 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.

10. 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.

KEY POINTS

Copyright exists to protect creators (writers, artists, etc.) and to protect the integrity of intellectual content.

Resource 10B: INASP Resource: Copyright Assignment Form

Summary: An example copyright assignment form.

It is very important to obtain 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.

The European Association of Science Editors provides some useful resources. The EASE Ethics Checklist for Authors (www.ease.org.uk/wp-content/uploads/2015/12/EASE-Ethics-Checklist_2016.pdf) (to be signed by the corresponding author) is intended for use by scientific journals during or soon after manuscript submission, to detect the possible ethical problems. The checklist is part of the EASE Guidelines for Authors and Translators of Scientific Articles (www.ease.org.uk/publications/author-guidelines-authors-and-translators), freely available in more than 20 languages. It can be supplemented with the EASE Form for Authors (www.ease.org.uk/wp-content/uploads/ease_form_0.pdf).

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.

KEY POINTS

- Ensure that you have permission to publish – do not assume the authors have granted it
- Balance the needs of the journal with respect for the authors

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.

B

Resource 10C: Licence for publication instead of copyright assignment

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 February 2017: 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

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We ask the corresponding author to grant this exclusive licence (or non-exclusive for government employees) on behalf of all authors by reading our licence and inserting in the manuscript on submission the following statement:

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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).

- Posting a pdf of their own article on their own personal or institutional website, for which no charge for access is made.
- 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.

Section C

Presentation quality

This section considers how the journal is published online and in print.

Chapter 11. 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:

	Yes	Could be clearer	No
1. Journal name			
2. Current issue			
3. Archive issues			
4. Volume and issue numbers (as allocated)			
5. Online ISSN (eISSN)			
6. Editorial board (names and affiliations)			
7. Publisher’s name			
8. Publisher’s address			
9. Affiliated Association details if relevant			
10. Contact details, editorial office – via email			
11. Contact details, editorial office – physical address			
12. Contact details, publisher – via email			
13. Contact details, publisher – physical address			
14. Copyright statement			
15. Permissions and licensing agreement			
16. Journal publishing policies (frequency, subscription details – see chapters on publishing policies, Chapter 11)			

17. Journal ethical policies (see chapters on policies, Chapter 9)			
18. Aims and scope of journal			
19. Author submission guidelines			
20.Online submission			
21. HTML and/or PDF articles			
22. Freely-available tables of contents and abstracts			
23. On each article page:			
a. Citation information for the article			
b. Author names and affiliations			
c. Links to author's emails			
d. Reference links			

Online resources and references

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

Campbell, R, Pentz, E, Borthwick, I (eds) (2012) *Academic and Professional Publishing*. Oxford: Chandos Publishing.

Cope, B and Phillips, A (eds) (2014) *The Future of the Academic Journal*, 2nd Edition. Elsevier.

Cox, J and Cox, L (2009) Scholarly Publishing Practice 3: Academic Journals Publishers. *Learned Publishing* 22, 75–77. doi:10.1087/095315108X378839 (accessed January 2017).

Directory of Open Access Journals (DOAJ): www.doaj.org/ (accessed January 2017).

DOAJ (2015) Principles of Transparency and Best Practice in Scholarly Publishing. doaj.org/bestpractice (accessed 15 February 2017).

Morris, S, Barnas, E, LaFrenier, D and Reich, M (2013) *The Handbook of Journal Publishing*. Cambridge University Press.

NFAIS (2009) Best Practices for Publishing Journal Articles. www.nfais.org/best-practices (accessed February 2017).

Smart, P, Maisonneuve, H and Polderman, A (2013) *Science Editors' Handbook*, 2nd edn. European Association of Science Editors. www.ease.co.uk

C

Resource 11A: Planning online migration: Planning checklist

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). It is generally accepted that all journals will now have an online presence and that both the journal itself, and its articles can be found through searching (through Google or another Search engine). Websites serve two purposes: to promote and tell people about the journal, and to deliver the content to the reader. When launching a journal online, it is important to plan carefully.

Online planning – example questions

1. Rationale for online publishing

- What are your objectives of publishing online (e.g. to raise the journal's visibility)?
- What are the anticipated benefits (e.g. to increase readership)?
- How will the proposed online publication link with the current (and future) print publication (e.g. do you aim to stop printing)?
- Are there other "business" and development motivations for moving online (e.g. increase revenues from advertising, increase submissions)?

2. Risk management

- What are the risks of publishing online – from business, reputation, resources and other perspectives?

3. Content

- What journal content do you propose to include online (and if a phased approach is planned, what content in each phase):
  - Archival material – retro-digitisation?
  - All articles, or only journal information?
  - Article full text, or only abstracts?
  - Supplementary content (e.g. appendices)?

4. Online publishing model

- How do you propose to use the online site:
  - To upload published issues after publication?
  - To upload articles as soon as they are ready and then gather them into issues (advance publication)?
  - To publish article-by-article, and not gather into issues?
  - Do you with to use the online site for submission?

5. User functionality

- What functionality do you want to offer to your users – for example:
  - Forward links to articles citing the publication?
  - Related-article links?
  - Semantic tagging?

- Personalised search?
- Table or contents, or search alerts?

6. Access

- Will the site be open (or free) access?
- If closed (subscriber-only) access, what parts will be "open"?
- If closed, what pricing model(s) will you use – for example:
- Licence agreements, single sales, pay-per-view, etc.?

7. Licensing use

- What will you allow users to do with the online content, what licence will you use online (e.g. Creative Commons licences)?

8. E-commerce

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

9. Technology and partnership

- Do you want to use a partner for hosting/publishing, or will you build and manage the website yourself?
- If you plan to manage the site yourself, what technology do you require to operate the online journal?
- What resources will you need to manage the site?

10. Investment

- What investment (commitment) is required – human resources and financial?
- Do you have the requisite skills in-house?

11. Operational issues

- What workflow changes are required (e.g. File preparation – creating XML/HTML/PDF/other types)?
- Outsourcing options – do you need a change of suppliers?
- Are there any new work requirements – for example to obtain new content types, or to sell advertising space?

12. Budget and funding

- What will the direct-cost budget be?
- What will be the hidden cost (overhead) implications?
- How will this be funded?

Online publishing planning proposal

13. Your plan should include:

- The rationale for launching online
- The publishing model to be used
- The methods (workflow, suppliers, etc.) to be used
- The budget required
- Other resources required
- Timeline for implementation

KEY POINTS

Publishing online is relatively simple – but to make a successful (sustainable) online publication it is worth doing some planning first.

Resource 11B: Online publishing – different hosting opportunities

Summary: There are now many different options for online publishing/hosting of journals, and it can be confusing to know the differences, benefits and disadvantages of the various options. This document outlines some of the salient points about the different types of online publishing available to journals.

Journals and their articles can appear on different places: for example:

1. Independent journal websites – for example: www.jiasociety.org/index.php/jias
2. Institutional (parent) websites – for example: law.ubalt.edu/academics/publications/landdevelopment
3. Large publisher/partnership sites – for example: onlinelibrary.wiley.com/journal/10.1002/(ISSN)1741-4857
4. Shared online hosting sites – for example: www.ingentaconnect.com/content/intellect/jac
5. Shared sales sites – for example: muse.jhu.edu/journal/98
6. Repositories – for example: ir-library.ku.ac.ke/handle/123456789/15215

Note that in repositories and some shared sales sites there may not be a discrete area for the journal (to include information about the editorial board, etc.), but the articles are added individually, as part of a collection of articles.

Also note that sometimes journals may appear in both their own sites and also within shared sales sites and repositories.

Independent journal sites and institutional (parent) websites

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.
- Can select software that is suitable to meet the journal needs (e.g. submission and publishing software, etc.)

Disadvantages

- Frequently suffer from lack of maintenance.
- May be "lost" within a large organisational website, and suffer from lack of visibility.
- Staff changes may lead to a loss of skill to maintain and update the site
- Lack of knowledge regarding online publishing standards, linkages with other online publishing developments, etc.
- May not be able to obtain any useful usage statistics.
- May not provide suitable visibility to the journal if the site is hard to find, not indexed well, or hidden within an institution website.

Costs

- May be free, but may also 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 (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.

Large publisher/partnership online sites

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.
- A publishing partnership (or "contract publishing") usually offers more than hosting the journal. It will normally include provision of online submission software, access to the marketing and research department of the publisher (to ensure visibility and report on potential development of the journal), support to ensure the journal meets all good publishing and editorial standards, regular updates on publishing issues, sometimes training (either online or face-to-face) for editors, production support for typesetting and managing the editorial office, and other services as negotiated.
    - Note that publishers offer different services and types of partnership: sometimes the agreement may be limited to that of the shared hosting services described below.
- A partnership agreement may also affect ownership of the journal and the journal may (a) retain ownership of the journal and use the publisher as a contract publisher, or (b) agree to form a partnership where the publisher is granted partial ownership of the journal, or (c) cede all ownership of the journal to the publisher (but maintain affiliation and editorial control).

Benefits

- Professional journal publishers are highly skilled at ensuring that journals are successful. They can both ensure high visibility of their publications through close links with academic institutions and (if operating commercially) 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 and plagiarism-checking tools.

Disadvantages

- A commercial publisher will only take on your journal if they feel that either they can make money from it, or if 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.
- The agreement may be very restrictive (e.g. not allowing you to post your content on any other site), and you will be contractually tied in to the publisher for the full term (often five years).

Costs

- If the publisher feels they can make money from the journal, then there will be little or no cost to you – but this is less likely in the current financial climate, and you should expect to pay for the publisher's services.
- Contract publishing can be expensive – often the agreement is that the journal pays an annual fee, and then there is a profit-share of any income.
    - If the agreement is partial ownership, then the financial terms are likely to be more favourable to you, but their part-ownership will restrict your decisions on the journal, and may prevent you moving the journal to another publisher is you are not happy with the agreement.
    - If you cede ownership (but perhaps retain editorial management) then they may pay you a small honorarium or profit share and not charge you for publication – but beware that you will have lost ownership of the journal.

Skills

- No online publishing skills are required from the journal.
- Other skills required will depend on the agreement and the services that they provide.

Cautions

- These agreements are usually for a minimum of three years (and now it is more common for it to be a five-year term, with one-year's notice required). 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. Be prepared for the publishers to refuse your enquiry if they feel that there is insufficient benefit to them.
    - Alternatively a publisher may approach the journal.
- The information you need to provide to a publisher should include the following:
    - About the journal (aims and scope, brief history, indexing), and its owner
    - Copyflow and publication statistics (how many articles you publish, how many you reject, types of articles, etc.)
    - Finances – income from subscriptions or author-payments
    - Publication information: number of print copies distributed, online usage, promotion activities, advertising,
    - Reason for approaching the publisher – what you expect from them
- The timing of an agreement is important: publishers traditionally inform librarians of the next year prices and publication lists in June-July each year, therefore an agreement should be reached by this date.
    - And note that asking the publisher to submit a proposal, and to negotiate this can take time: you should allow several months from first enquiry to agreement.
- 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.

Shared online hosting sites

What are they?

- Companies or other organisations that specialise in providing a service to many journals. They take the journal files provided by the journal and host them on their own specialised website alongside other journals. They undertake all the technical development, hosting, and maintenance issues.
- Examples include:
    - Commercial companies: Ingenta (www.ingentaconnect.com)
    - Non-commercial organisations: INASP JOLs (Journal OnLine) initiatives, e.g. NepJOL (www.nepjol.info for journals published in Nepal).
- Note that some publishers offer a service that is identical to these sites – see the section above.

Benefits

- High technical competence, up-to-date with standards, high level of maintenance.
- May also provide additional services (e.g. file conversion).
- May provide advice regarding online publishing developments (although this is usually limited).
- Will often supply files to external indexes (e.g. PubMed) on agreement with the journal, and so can save the journal work and costs.
- They usually provide detailed usage statistics and feedback.
- The commercial companies will often support subscription management and ensure that access is protected to subscribers if the journal requires this.

Disadvantages

- Lack of control over design and branding (note that a few – e.g. HighWire – can support a unique journal web-area but such branding costs extra).
- The host will develop their service to meet their own 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.
- They often do not include submission software or support, so the journal needs to manage this separately.

Costs

- Such commercial sites often offer a cost-effective way to publish online, and some may be funded and be free for the participating journals.

Skills required

- No requirement for any online publishing skills
- Some publishing knowledge is still required to ensure that you undertake all the journal publishing functions except the actual hosting.

Cautions

- Commercial hosts require a contract to be signed with an agreed length of hosting – often one year or longer – and moving to another host can be problematic.
- Frequently the contract will be on a six-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.
- Ensure that you investigate the company or institution thoroughly to ensure that they are reputable, reliable and sustainable.

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.
- The information you need to provide to a host should include the following:
  - Publication statistics (how many articles you publish, whether they are grouped in issues or article-by-article)
  - Publishing model – open access or subscription-restricted (and if subscription-restricted, how many subscribers and how you currently manage access)
  - How the files will be provided (XML, PDF, etc.)
  - Advertising online if you wish them to obtain this
  - Reason for approaching the host – what you expect from them

- 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 – 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.

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.
- These sites are not usually suitable for open access journals – although some are keen to obtain these to add to their collections.

Costs

- They do not usually charge for inclusion.
- 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 (but you must check, as some are requiring XML files).

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.
- The information you need to provide to a sales site should include the following:
  - Publication statistics (how many articles you publish, whether they are grouped in issues or article-by-article)
  - Publishing model – open access or subscription-restricted (and if subscription-restricted, how many subscribers and how you currently manage access)
  - How the files will be provided (XML, PDF, etc.)
  - Reason for approaching the sales site – what you expect from them
- 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.

Repositories – institutional or subject-based

What are they?

- Repositories are online sites which contain either article abstracts or (more usually) full text.
- There are different types of repositories:
  - They may be commercial databases (i.e. sold to researchers/librarians, for example EMBASE, www.elsevier.com/solutions/embase-biomedical-research) or free (e.g. RePEc, repec.org).
  - They may be run by a university (e.g. Kenyatta University Repository) or an independent institution (e.g. the US National Institutes of Health, PubMed Central)
  - They often contain a mix of content – journal articles, book chapters, theses, dissertations, etc. (for example arXiv.org contains working papers and pre-submission articles (before submission to a journal)).
  - They may be open to content from any researcher (e.g. PubMed Central which includes content from journals that they have decided to include), or only from faculty of the parent institution (e.g. university repositories).

    - The journal may have little control over the inclusion of their content in the repository (e.g. many universities require their researchers to post their submitted article in the university repository), or absolute control (the journal has submitted for inclusion in a repository such as PubMed Central).

- The non-university repositories usually have quality criteria – i.e. strict guidelines regarding editorial quality of the journals/articles that they contain (see those for CAB Abstracts: www.cabi.org/uploads/CABI/publishing/fulltext-products/Journal%20Selection.pdf).

Benefits

- Non-university repositories 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.
- (Be wary of any website that charges you 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

- 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.

KEY POINTS

There are multiple options for online "publishing" – and sometimes multiple venues can be a good idea – but be aware of the work and cost involved in the different options to ensure you are making good use of your skills and resources.

C

Resource 11C: Journal websites – essential elements

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.
- Subscription information (if relevant) – how to subscribe, how much, etc. 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: 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*: www.nature.com/authors/policies/peer_review.html.
- Archiving and permanency policies – see for example the policy on the BioMed Central website: www.biomedcentral.com/getpublished/indexing-archiving-and-access-to-data/journal-archiving.
- Author-archiving and repository policies – for example, the Oxford University Press page: www.oxfordjournals.org/access_purchase/self-archiving_policyb.html
- Data policies (if appropriate); see for example journals.plos.org/plosone/s/data-availability.
- Abstracting and indexing information (where the journal is indexed, if it has an Impact Factor).
- 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 onlinelibrary.wiley.com/journal/10.1002/(ISSN)1741-4857/earlyview
- 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
- Article copyright
- Article licence (e.g. Creative Commons Licence)
- ORCIDs for each author (if available)
- How to cite each article
- Social links and bookmarking

KEY POINTS

Look at other journal sites – what information do they include, and how do they present it?

C

Resource 11D: Open-access journals – it's not all about free

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.

This article has been reprinted from the following:

Smart P. Open access journals – it's not all about free. In: Smart, P, Maisonneuve H and Polderman A (eds) (2013) *Science Editors' Handbook* 2nd edn. European Association of Science Editors.

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 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 (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 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: 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. 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: 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 (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: 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. 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: 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.

KEY POINTS

Free access may not mean the same as open access, and there are frequent misunderstandings about the exact definition of open access! Take care when reading, or writing anything on the subject to ensure that there is no confusion.

Chapter 12. 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:

	Yes	Could be clearer	No
1. 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)			
2. The journal should be safely bound, with no loose sheets			
3. The printing should be consistent – e.g. solid black ink throughout			
4. The journal design should be consistent within one volume			
5. The page layouts within each section should be consistent throughout – e.g. all research articles should have the same layouts			
6. Advertising should be clearly identifiable as advertising, and not be confused with journal content			
7. Instructions for authors should be provided at least once per calendar year – although these may be a summarised version of those available online			
8. On the front cover of the journal the following should appear clearly			
a. Journal title			
b. Print ISSN			
c. Volume and issue number, and part number (or supplement title) if appropriate			
d. 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)			
9. Masthead: Inside the journal (usually on the inside front page or one of the first pages of the journal) the following should appear			
a. The name of the editor-in-chief and the editorial board (with affiliation and country if possible)			
b. Journal title, aims and scope			
c. The correspondence address and email for the editorial office			
d. The name and address of the publisher			
e. The name of the organisation that sponsors or endorses the publication (if any)			
f. If the journal is available online, this should be stated and the URL of the online version should be given			

g. The journal's print-ISSN (and electronic-ISSN if online)			
h. The frequency of publication (monthly, bi-monthly, quarterly, etc.)			
i. Information on subscription and single-issue prices, method of payment, etc.			
j. Copyright notice			
k. Licence information (e.g. Creative Commons Licence)			
l. Abstracting and indexing information			
10. The first page of an article should include the following:			
a. Catchline (citation information including journal title, volume, issue, year, article pages, article DOI or URL)			
b. The copyright notice and/or name of publisher			
c. Article title			
d. Authors + institutional affiliation and/or contact details			
e. Clearly identified corresponding author, and contact details			
f. Abstract (where appropriate)			
g. Article key dates - usually submission and acceptance dates			
h. Licence information (e.g. Creative Commons Licence)			
i. DOI for the article			
j. ORCIDs for authors (if available)			

Online resources and references

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

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

Anon (2006) Dictionary of Printing and Publishing, 3rd edition. A & C Black.

Campbell, R, Pentz, E, Borthwick, I (eds) (2012) Academic and Professional Publishing. Oxford: Chandos Publishing.

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Smart, P, Maisonneuve, H and Polderman, A (2013) Science Editors' Handbook, 2nd edn. European Association of Science Editors. www.ease.co.uk.

Resource 12A: Text type design: resource guide

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.

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C

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**.

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

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***

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

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).

Typesize (examples)

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

This size of text (12pt Times) is easy to read

This size (6pt Times) is not easy to read – but is still readable

This size of text (12pt Garamond) is easy to read

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, two-line above and one line below

   Heading 2: 12pt italic or 10pt bold italic, two 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 one or two 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 three 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 minimised – 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 four to six 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.

5. When preparing a line chart, ensure that it is easy to identify the separate tick marks (ie the data lines being presented).

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: Range 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 two 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 two-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 [a]

	Wheat species [b]			
First heading [d]	**Species A**	**Species B**	**Other grains**	**SD**
First line of data	0.235	123.56	235.50	None
Second line of data	234 [c]	20.55	25.36	None
Third line of data	555.66	666.55	235.66	Much
Fourth line of data	23.55	222.33	NA	Some

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

KEY POINTS

- Design should achieve the following objectives
- Help navigation
- Clarify what is more and less important on the page
- Improve comprehension – not prevent it!

Resource 12B: Journal design – guidelines

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.

C

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 cou4ntries 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
    - DOI of the article (recommended display: http://doi.org/10.3329/bjar.v42i3.34505)
- The copyright notice and/or name of publisher
- Article title
- Authors + institutional affiliation and/or contact details (especially for corresponding author)
- Abstract (where appropriate)
- Keywords (where appropriate)
- Article key dates - usually submission and acceptance dates
- The URL of the online article (if the journal is online), or the DOI (Digital Object Identifier) – the DOI is preferable if the journal is registered with Crossref (See www.crossref.org)

Abstract

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 Journal Title* 55, 1-10.

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.)

KEY POINTS

It is easy to miss out important information – don't fall into this trap!

Section D

Journal sustainability

This section considers what is needed to ensure that your strategy is appropriate and that your journal has the finances and other resources to continue publishing and developing.

Chapter 13. 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 (Chapter 1) and are they working?

Check the following list:

	Yes	Could be clearer	No
1. Are the human resources adequate for running of the journal?			
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 two years?			
3. Are the finances adequate for continuance of the journal?			
4. Do you have a clear understanding of the journal income and expenditures?			
5. Do you have a publishing or editorial strategy plan?			
6. Have you reviewed the editorial or publishing journal strategy within the last two years?			
7. Have you undertaken an evaluation of the journal strengths and weaknesses within the past three years?			
8. Have you undertaken an evaluation of the journal publishing model (e.g. print, online, subscription based, open access, etc.) within the past three years?			
9. If you publish behind a subscription barrier, have you considered open access?			
10. Do you have a policy of how to manage articles submitted with open access mandates?			

Online resources and references

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

Armstrong, C, de Beer, J, Kawooya, D, Prabhala, A and Schonwetter, T (eds) (2010) *Access to Knowledge in Africa: The Role of Copyright*. UCT Press. www.idrc.ca/en/book/access-knowledge-africa-role-copyright (accessed February 2017).

Campbell, R, Pentz, E, Borthwick, I (eds) (2012) *Academic and Professional Publishing*. Oxford: Chandos Publishing.

Cope, B and Phillips, A (eds) (2014) *The Future of the Academic Journal*, 2nd Edition. Elsevier.

Cox, J and Cox, L (2009) Scholarly Publishing Practice 3: Academic Journals Publishers. *Learned Publishing* 22, 75–77.

Directory of Open Access Journals (DOAJ): www.doaj.org (accessed August 2013).

Eastern Mediterranean Association of Medical Editors (EMAME) (2011) *The Manual for Editors of Health Science Journals*. World Health Organization. www.emro.who.int/entity/emame (accessed August 2013).

Morris, S, Barnas, E, LaFrenier, D and Reich, M (2013) *The Handbook of Journal Publishing*. Cambridge University Press.

Scholarly Kitchen blog: scholarlykitchen.sspnet.org (accessed August 2013).

Smart, P, Maisonneuve, H and Polderman, A (2013) *Science Editors' Handbook*, 2nd edn. European Association of Science Editors. www.ease.co.uk

Resource 13A: Journal finances and business management

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 issues, and some revenue can be made from these.

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

Author fees (although these may be paid by the author's institution, not the author themselves) - 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 but before publication.

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 2018 and receive all 2017 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
    - Approach companies with identified articles
    - Article placement (inviting companies to submit articles)
- Special issues with sponsorship
    - 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
    - Special issues, sometimes with just the conference abstracts - paid for by the conference organiser or other identified companies or organisations
- Themed issues
    - These frequently attract more advertisers, or bulk sales, and may also be sponsored by an external company
- Subscription price – is this optimised?
    - Minimum subscription price calculation:

      = *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
    - Do you send renewals letters?
    - Even to non-paying recipients?
    - When do you invoice? (is it sufficiently early?)
    - Do you chase non-payment of invoices?
    - Do you cancel upon non-payment of invoices?
- Do you offer credit?
    - For non-publication of issues?
    - For late publication?

- Partnership
  - Sell in bundles with offerings from another publisher (i.e. preferential rates if a subscriber purchases a group of publications)
  - Use a commercial publisher to sell/distribute with their list
  - Use commercial salesman (payment to them based on a percentage of their sales value)
  - Use international agents and sales forces

Journal costs

Costs which are allocated to a journal operation frequently include the following:

- Typesetting (including page design and both print and online file production)
- Printing
- Copyediting
- Editorial office costs
- Editorial honorariums
- Editorial meeting costs
- Promotional costs
- Web hosting
- Membership of publishing organizations, e.g. Crossref (for DOI)
- 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 (and people) 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, or a more economical paper to print on)
- Design and format
  - Ensure the design and format do not increase the production costs (e.g. perhaps 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, check that it is economical (speak to the supplier) - sometimes it may be 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).

KEY POINTS

- Journals need some money to survive – but management of this is crucial to sustainability
- Do not take hidden, funded or parent-organisation support for granted
- Speak to external suppliers for their advice about cost-efficiencies
- Think carefully about how all resources are used – human and financial.

Resource 13B: Evaluating your journal (key questions and indicators)

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?

We do not know how many journals there are – estimates range from 28,500 (see the 2015 STM report: www.stm-assoc.org/2015_02_20_STM_Report_2015.pdf) to over 100,000 (as registered with the ISSN Agency). There has been large global growth in research – and research publications – during the last 30 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
  - Reviewing 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 (or compliments) 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

KEY POINTS

Publishing is a serious business, and evaluating the journal's success is an important part of effective development strategy.

Resource 13C: Journal development – ideas

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

Content

- CPD (Continuing Professional Development) materials
- Online supplemental information
- Print supplemental information

Collaboration and development

- New "sister" or "daughter" journal
- Partnerships with other journals, or associations
- Merge with another journal

Visibility

- Changed marketing operation
- Workshops, events, press releases, social media

Close down your journal

KEY POINTS

Development requires creativity, good ideas, and good follow-through.

D

Resource 13D: Models for full-text journal online publishing

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).

1. Continue your current publishing model, but publish the full text online behind an access control (***Closed access***).
2. Follow model 1, but publish the previous year's issues/articles full text online Open Access (OA) (***Delayed open access***).
3. Follow model 1, but publish some selected text articles online, OA (***Selected, or hybrid OA***).
4. Continue your current publishing model, but publish all the full text online Open Access (***OA publishing***).
5. Publish each issue in full text, OA – on schedule – online. Print each issue only when funds allow (***Publish often, print infrequently***).
6. Publish each article online OA as soon as it is ready for publication – do not hold for an issue (***Publish article-by-article – flow publishing***).
7. Follow model 1 or model 4, but also put accepted articles online in a pre-publication area, awaiting selection and publishing in an issue (***Pre-publication articles***).
8. Cancel the print publication, and only publish online - using models 1, 4, 6 or 7 above (***Online only***).

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 paying for 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 possible 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: onlinelibrary.wiley.com/journal/10.1111/(ISSN)1365-3156

Model

First you need to ensure that your internet host can 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 - www.biomedcentral.com

Model

To follow the existing production schedule, but at the "ready for printing" stage, publish the issue online, plus sending print copies to fulfil any print subscriptions (it is usual for a fee to still be required for the print copies).

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 – not that the fee for accepted articles is commonly referred to the Article Publication Charge, or APC).
    - Some journals invite institutions to pay an annual fee for which all authors from that institution may publish without paying the APC. This is usually based on the number of articles expected from the institution. Some other models waive the APC for authors from institutions that 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 (or unable) 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 or plan for a scheduled (perhaps twice-yearly) printing.

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 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

Journal of the International AIDS Society: www.jiasociety.org/index.php/jias

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 DOIs[1], 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.

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

Missing page numbers sometimes causes a problem with citation.

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 are the final version (just missing page numbers).

Model

When an article has been typeset, proofed and corrected and is "held for press it will be uploaded onto a pre-publication area of the site. After this point they cannot be corrected as they have been effectively published and will have a DOI for citation. See for example onlinelibrary.wiley.com/journal/10.1002/(ISSN)1741-4857/earlyview.

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 and will appear within the issue page.

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

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.

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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

Model 8: Online only

Rationale

Increasingly it is becoming acceptable for journals to be published online only. This may be because the journal no longer has the funds to support print publication, or it may be because the use of online resources is such that a print journal is no longer felt to be required.

Example journal

African Journal of Biotechnology www.academicjournals.org/AJB

First Monday 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

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 still want printed copies.

KEY POINTS

- There is now the opportunity to use different publishing models for online publishing – to ensure best use of finances, and best use of the Internet for visibility.
- Open access is becoming a normal model for online publications.
- Printed journals are becoming rarer as researchers increasingly look online to find information.
- It is becoming acceptable to experiment with different models without harming the journal reputation.

Section E

Journal promotion

The word ‘publish’ means to make public, and for journals this involves not only finding high-quality research and making it available online or in print – it also means finding an audience for that research. Research without readers has no effect on the world. Promoting your journal, and the research it publishes, is therefore a vital part of the work you do in running a journal.

The resources in this section are designed to be used by journals where resources and time can be tight. They’ll help you create a promotional strategy, build up a mailing-list, and get people talking about the research that you publish.

Chapter 14. Promotional 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:

	Yes	Could be clearer	No
1. Do you have a written marketing plan for the journal?			
2. Do you require the editors to undertake some promotion of the journal for you?			
3. Do you have a budget allocated (either finances or human resources) to promote the journal?			
4. Do you have clear objectives for the journal promotion?			
5. Have you reviewed your marketing strategy in the past two years?			
6. Do you report on marketing or promotional activities, or receive reports of marketing/promotional activities?			
7. Have you ensured that the journal is indexed appropriately?			
8. Do you have social media accounts for your journal? Do you monitor how successful they are – how many followers they have, and how much engagement they get?			

Online resources and references

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

Campbell, R, Pentz, E, Borthwick, I (eds) (2012) *Academic and Professional Publishing*. Oxford: Chandos Publishing.

Cope, B and Phillips, A (eds) (2014) *The Future of the Academic Journal*, 2nd Edition. Elsevier.

Cox, J and Cox, L (2009) Scholarly Publishing Practice 3: Academic Journals Publishers. *Learned Publishing* 22, 75–77.

DOAJ (2015) Principles of Transparency and Best Practice in Scholarly Publishing. doaj.org/bestpractice (accessed 15 February 2017).

Morris, S, Barnas, E, LaFrenier, D and Reich, M (2013) *The Handbook of Journal Publishing*. Cambridge University Press.

NFAIS (2009) Best Practices for Publishing Journal Articles. www.nfais.org/best-practices (accessed February 2017).

Smart, P, Maisonneuve, H and Polderman, A (2013) *Science Editors' Handbook*, 2nd edn. European Association of Science Editors. www.ease.co.uk

Note also that Resource 12E, the journal strategy planning form, offers advice that will also be very useful in planning your journal promotional strategy.

Resource 14A: Increasing visibility: promotional tactics

Summary: Promoting your journal is a vital part of your task as a publisher – you cannot rely on your target community discovering it through word of mouth. You have an obligation to make your contributing authors' content visible to as wide an audience as possible. This document outlines some basic promotional activities which journal publishers should consider.

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 integral to the entire publishing operation – if people do not know about your journal, they will not submit papers or subscribe.

A well-promoted journal will have happy authors, because more people are reading their research, increasing its chance of making a real difference to the world. A well-promoted journal will have happy editors too, because more authors will want to publish their research there, and so they will receive more high-quality submissions. A well-promoted journal will also have happy readers, because they will be able to find excellent research inside it. And it will have happy staff, because they will know that they are making a positive difference to the world.

Promoting a journal successfully doesn't necessarily require a big marketing budget and a large team of marketing professionals. What it does need, though, is some planning and organisation; some hard work, and some careful thought.

To promote your journal effectively, you'll need to create a promotional strategy, to make sure that you get the most from the resources available to you. And you'll need to work as a team, making sure that you all – authors, editors, and the whole publishing team – contribute to promoting your journal. Everyone benefits when a journal is well promoted, so everybody needs to work together to make this happen. There are easy ways in which your editors and authors can contribute by helping to promote the journal on their own networks – even something as simple as an email signature can have a positive effect.

At the heart of your promotional strategy should be a sense of what your journal is, why it's important, and what it contributes to the world. Ask yourself why your journal is unique – what its aims are, and how it achieves them. Reflect on your journal strategy (Chapter 1). Think about who your audience is, and the sort of audience you want to attract – which particular disciplines, for instance. This will of course tie in with your overall strategy for the journal, so you'll need to make sure that you all have a clear idea of that strategy before beginning work on your promotional plan.

Your overall journal strategy will help tell you where you want to take your journal, but before you can set out on that journey you also need to know where you are right now. Find out as much as you can about who's reading your journal already, and how many of them there are; find out how many submissions you receive for each issue, and check how many of those you publish. If you have social media accounts already, find out how many followers they have, and how much engagement they get; check how many people are on your mailing-list, if you have one, and how many visitors your website gets on average. All this information will help provide you with a baseline from which to measure the success of your promotional strategy, and it can also help you find out whether there are any problems that your strategy will need to help solve.

You'll need to update and revise your promotional strategy at regular intervals – maybe every six months or so, though that will depend on your situation. But if you're regularly monitoring the success of your promotional activity, and acting to fix anything that isn't working, then you shouldn't have to make many sudden or major changes to your strategy.

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 and mailshots: see **Resource 14C Email marketing**
- 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.
- Using editorial board – promotion tools for them, making sure they know their role and that they can act as ambassadors for the journal

Formal promotion

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

Leaflets

Leaflets are a valuable tool for informing people about the journal and can take many forms. 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 strategy – being part of programme, conference committee, partnering, running workshops or seminars

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 (see Resource 13D for more information)
- 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) (see Resource 13G for more information)
- Advertising in other publications
- Linking with events
- Linking with associations
- Linking with universities and research institutions

KEY POINTS

- Promotion is important.
- Promotion can be formal and expensive, or informal and cheap – both can work equally well.
- Concentrate on the most important message you want to convey.

E

Resource 14B: General guidance for writing and presenting promotional copy

Summary: How you write about your journal makes a difference to how much people understand and are attracted to your journal.

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 can be 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, and 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 USPs (unique selling points), and either imply or state directly – where appropriate and accurate – 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-ttention I-nterest D-esire A-ction

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 off 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. Beware of geographical differences here. For example, in North America, every word of a headline is capitalised but in the UK the capital letter only applies to the first word.

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.

Proof read

Proof read everything you write - and, even better, ask somebody else to look at it too. It is easy to miss mistakes if you are checking your own writing. See Chapter 8 for advice about copyediting.

KEY POINTS

How you present the journal is important. It is worth taking the time to check that what you write is clear, error-free and says what you mean it to say.

E

Resource 14C: Email marketing

Summary: Email marketing offers a cheap and reliable way of keeping your community informed about your journal. The combination of an up-to-date database of contacts and interesting and well-written emails can be very effective. This document outlines some ways of using email to promote your journal.

Why use email?

Email remains an important part of any journal marketing strategy because it is a reliable way to speak to your community. Unlike many social media channels, it does not depend on algorithms or payment for you to reach your intended audience. It is therefore important to make the most of this route to your community, and to build up a database of contacts that you can reach in this way.

Using email signatures for informal promotion

- You want your community to be reminded about your journal regularly. One way to do this subtly is with email signatures. Your editorial board will be in regular email contact with other members of the community as part of their own research.
- Ask all your editors to put the title of your journal (and the web address) as part of their email signature.
- To help them do this, you may want to provide model text for them, and instructions on how to add it to their signature using familiar email programmes.

  e.g. 'For Gmail, click on the six-pointed icon in the top right corner of the page, and choose 'Settings' in the drop-down menu. On the Settings page, scroll down to the Signature section and paste the suggested text into the white box, i.e.:

    Journal name

    Journal URL

  Make sure that the button to the top left of the box is now ticked. Then scroll to the bottom of the page and click 'Save Changes'. You may want to send a test email to make sure that the signature appears as you intend.'

Email alerts

- Occasional emails can be a good way to remind your network – colleagues, editorial board, reviewers, authors, and anybody who has signed up to be on your mailing list – about your journal, and to update them on any news.
- This can include news about the journal, the most recent Table of Contents, and perhaps a summary of an interesting article. Make sure to include links: you can also use these to see how many people are interested enough to click on them. (For more information on this, see 13F: Measurement.)
- Remember to ask people to forward your email to anyone they think might be interested. This will extend the reach of your news.
- Remember that many people will read your email on mobile devices or on poor internet connections. Don't use large images, and check how your email will look on a mobile device before sending it. (You can do this by sending a copy to yourself and then reading it on your phone.)
- Make sure to proof-read your emails before sending them! Ideally, send a draft copy to a colleague and get them to check the email – it's easy to miss your own mistakes when reading through.
- Include instructions on how to unsubscribe in your email, and make sure to act on any requests you receive to unsubscribe by removing the contact from your mailing list.

- To cut the number of people unsubscribing:
    - Be clear about what you are sending, particularly in the email subject line (but make sure that you don't use the same subject line for every email).
    - Do not send emails too often – once a month is probably the absolute maximum; one alert for every new issue of your journal is a good baseline figure.
    - Ensure that your email does not look like spam.
- Though there are plenty of mailshot services that will help automate, simplify, personalise, and speed up sending out email alerts – MailChimp and Campaign Monitor are two of the best-known examples. However, they can be expensive, though some offer free versions with limited features, which may be enough for your needs. You should be able to achieve the results you need without them, though.
- If you are sending your email alerts out manually, make sure to put everyone's email addresses in the 'bcc' field, NOT 'cc'. Your contacts will not want you to share their addresses with everyone else on your mailing list!
- You may sometimes have news that will be of major interest to certain parts of your community, and will not interest others. Targeted emails will enable you to contact only those who are likely to be interested, and avoid boring your other contacts. See 'Building a database' for more information on this.
- Creating a visual template for your emails will save time in the long run – since you can just paste your new content into the old template – and will make them look more appealing and more consistent. Many mailshot services offer free templates that you can use in return for your email address.

Building a database of contacts

- The simplest way to keep a database of contacts is via a spreadsheet. Keep columns for key information – name, institution, email address, postal address – and also for other types of information that will enable you to 'segment' your contacts: to divide them up by their areas of interest.
- The more information that you can gather on your contacts' interests, the better. This will enable you to target your emails more effectively. You can then make sure to send emails only to people who are likely to be interested, and avoid boring others.
- Make sure that your database conforms to the relevant data protection laws in your area.
- Make sure to get people's permission before adding them to your database and mailing list.
- Encourage people to sign up to your mailing list by mentioning it in emails – since your contacts may have forwarded these on to people who are not on your list. You may even want to include it in your email signature. If you can offer people something in return for signing up – something that your community will find useful, such as advance information or a small discount on an APC.
- Use your social media accounts to encourage people to sign up to your mailing list: with social media, you are reliant on third parties – Twitter, Facebook etc. – to reach your audience, but email is more direct.
- Make sure to act promptly on any requests you receive to unsubscribe by removing the contact from your mailing list. Check for unsubscribe requests particularly before sending out a new email to the list.
- After you've sent out the email, keep a record of any notifications you get that say that it's been impossible to deliver the email. If you get two or more of these in a row, you'll want to remove the email address from your database as it no longer works.

KEY POINTS

Email offers a reliable way to reach your community. Build a database of contacts and send out occasional emails to let them know about new issues of your journal and important news.

E

Resource 14D: Social media promotion

Summary: Social media are increasingly popular around the world – you, your readers, your authors and editors probably all use them. They offer real opportunities to promote your journal and its research globally. This resource explains how to begin using social media for your journal.

Implementing a social media strategy for your journal

Social media can provide a valuable way to extend your journal's reach to new readers, and to encourage discussion and debate, but they can be time-consuming. You will need someone on the editorial team to ensure that your social media outlets are being used well – so that there are regular blog entries and Tweets, for example.

Implementing a strategy therefore takes the following planning:

1. Identify the media used by the journal community.
2. Identify an editorial or publishing individual that is responsible for each channel chosen.
3. Set targets for how often items will be posted.
4. Review on a regular basis to ensure that the effort is worthwhile – for example:
   i. The number of followers/likes/retweets/mentions on Twitter;
   ii. The number of "friends"/shares/comments/likes on Facebook.
   (See Resource 13F on Measurement for more detail on this subject.)

Finding the best social media platform for you

The best social media platforms for you to use to promote your journal are the ones that your community is already using. Different communities use different platforms, and these may vary around the world – certain platforms are banned in certain countries, and other countries have their own specific platforms. Weibo, for instance, is the most popular social media channel in China, where Facebook, Twitter, and YouTube are all blocked. Ask your editors and colleagues which platforms they use, and explore them for yourself to confirm their suggestions.

The list on the following page gives examples of the main types of social media platform and their strengths and weaknesses for promoting journals. However, there are some important things to remember…

Finding the best person to run your accounts

The best person to run your social media accounts will not necessarily be the person responsible for your marketing. Find out whether any of your colleagues are active on social media, and see if they might be willing to take responsibility for your accounts. You'll need to find somebody you trust to represent your journal publicly, but if you have somebody already on the team who is familiar with social media and enthusiastic about using them, that will make life much easier. You'll need to plan out with them some targets both for how often they'll post, and what sort of engagement you expect from your community. On Facebook, posting any time between daily and weekly should be fine; on Twitter, between once and three times daily is sensible, but you can repeat older posts as part of this. (For more detailed advice on individual platforms, see below.)

Setting up an account

- Make sure to use as high-resolution an image as the platform permits when uploading your profile and background images, or these may look pixelated and unprofessional.
- Make sure also to fill out the fields in your profile, particularly the one for your website. Your social media account should be a good source of traffic to your website, and you should make it as easy as possible for your followers to find it.

Some challenges

- Although social media platforms like Facebook and Twitter are mostly free to use, using them takes time, and posts have a short shelf life – most platforms prioritise the most recent posts, so that post that you spent an hour writing can quickly disappear off your community's timelines.
- They are also businesses whose aim is to make money. One way they do this is by starting to charge companies – including journals – to reach an audience. Facebook is the furthest down this route, but other platforms are also starting to charge, and to make it more difficult for companies to reach their audience if they aren't willing or able to pay.
- Social media platforms are controlled by third parties who have no obligation to help you. They can decide to close your account, or to change the rules about posting, without consulting you. It is best not to become too dependent upon them, and not to spend too much time creating posts for specific platforms. Using social media to promote what you're doing on your own platforms – your website and blog, for instance, is often the best approach. It can also be sensible to use social media to obtain more direct and reliable ways of contacting people, particularly email addresses.
- Used well, posts on social media generate conversations, and these can sometimes lead to arguments. It's important to keep an eye on your social media accounts. Make sure to use the notification options they offer – particularly on mobile devices – so that you know when someone has commented on one of your posts, or replied to it, and can check that the conversation has not become hostile. If the discussion does become aggressive, you may need to step in and calm things down; you may need to delete any offensive remarks, and even as a last resort delete the original post. Take care always to be open, honest, and polite about what you're doing, though.

Social media platforms

Facebook

- Facebook is the most popular social media platform worldwide, and many groups and organisations are active on it, including journals (www.facebook.com/jclininvest), associations (www.facebook.com/EurSciEd), social communities (www.facebook.com/TheSocialScientists) and research groups (www.facebook.com/researchdigest).
- However, Facebook presents challenges to anyone attempting to build up a presence from nothing. An average post on Facebook will be seen only by 1% of the people who follow the page, unless you are willing to pay to increase that number. Though the costs per post can be small, they can also mount up if you post regularly. If your community is very active on Facebook, then setting up your own page may be a necessity, however.
- You can use Facebook to start discussions about articles from your journal (and posts on your blog, if you have one). Post a link to the article or blogpost, and write a short – one or two sentences – summary, or ask a question.
- Posting the same content on Facebook more than once is not generally popular, so try to avoid repeating yourself. You should also avoid posting more than once a day unless you have a very good reason – urgent and important news, for instance.

Twitter

- Twitter is very popular in many academic communities, and has the advantage of not yet charging companies for access. (It is possible to pay to promote tweets, but this can be expensive and is not really necessary at the moment for you to reach your audience.)
- To be effective on Twitter, you need to be concise. Each post must be a maximum or 140 characters, and if you include a link, this will count as 23 of those characters. (Images don't count towards this limit, though, and can be a very effective way of drawing attention to your tweet.)
- One of the best ways to reach an audience on Twitter is to use a hashtag – the # symbol followed by a word or phrase; for instance, #scicomm, #STEM, #scienceoutreach. People use hashtags to find posts on particular subjects, and by using a hashtag, you'll make your tweets more visible to those people, even if they don't follow you. Make sure that the hashtags that you use are appropriate, though, and that you're not 'spamming' them – some hashtags are used at certain times for conversations on particular topics, and the

people following and contributing to that conversation won't be happy if it's interrupted by a tweet promoting your latest journal article! You can also check what other people are posting using those hashtags to keep up with news and hot topics in the subject area, and find out what other people are talking about.

- You may wish to schedule tweets so that you can post them at times when you're not online. This can be particularly useful in reaching a global audience. The social media management tool Hootsuite has a free option that allows you to do this.
- Posting the same content more than once is much more acceptable on Twitter than it is on Facebook. It is therefore definitely worth repeating tweets at different times of day to reach different audiences around the world. You can also
- You can choose to 'pin' a tweet to the top of your account, ensuring that it'll be the first tweet people see when they visit the home page for your account. Use this to highlight something important.
- When you've set up your account, find out who the important tweeters in your subject area are – your editors and authors should be able to help with this – and make sure to follow their accounts.
- When you're using a tweet to promote a journal article or blogpost, make sure to include the twitter account of the author, if they have one.
- If you find something on Twitter that you think will be useful to your audience, share it using the 'quote tweet' option, and add your own comment. Other people will often do the same with your tweets, and it helps to bring your tweets to a wider audience.

LinkedIn

- LinkedIn is the most popular professional social network. Your best and simplest approach here is probably to encourage your authors to post links to their articles and blogposts from their own accounts, if they have them.

Instagram

- Instagram is a platform for sharing photographs that may be of interest if your journal has very striking visual content that you can share.

YouTube

- If you have any video content – for instance, one of your authors talking about their research at a conference – you may wish to set up a YouTube account to host this video.

Other platforms

- As mentioned, Weibo is the most popular social media platform in China; it is perhaps most like Twitter. VKontakte (known as VK) is most popular in Russia.

Resources

- Harris, S (2015) 'Making research connections with social media: advice for researchers', AuthorAID: www.authoraid.info/en/resources/details/1240 (Accessed August 2017)

KEY POINTS

- Find the social network that your community already uses, and focus on that one.
- Use social media to direct people to the articles and blogposts that you publish.
- Set up notifications on your accounts so that you know when people are responding to your posts.
- Use relevant hashtags to reach a wider audience.
- Make sure that your editors and authors use their accounts to help promote the journal too.

Resource 14E: Indexing services

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 have reduced in importance in the past decade because researchers are increasingly making use of general search engines when looking for content. There are still large advantages to being included in some services, but it is now increasingly important for journals to be selective.

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, but sometimes include full text, or 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
- Are used to research particular topics of information across many journals, and to investigate individual journals
- Now predominantly online, but previously in print (regularly updated)
- Frequently now one organisation/company operates a range of different databases (on different subjects)
- Still an important source 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, biotechnology).
- 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 these.
- 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

- Publicity, visibility, credibility
- No financial return

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.

- DOAJ now has good quality criteria for inclusion – highly recommended for all journals to follow, see doaj.org/bestpractice.

CAB Abstracts

www.cabi.org

The most comprehensive database of its kind, CAB Abstracts gives researchers instant access to over 8.6 million records* from 1973 onwards, with over 380,000 abstracts added each year. Its coverage of the applied life sciences includes agriculture, environment, veterinary sciences, applied economics, food science and nutrition. We process all relevant publications, including less well-known and non-English journals and those published by independent and learned publishers. With publications from over 120 countries in 50 languages, including English abstracts for most articles, researchers get the fullest global picture for any subject.

Medline, PubMed and PubMed Central

Medline

www.nlm.nih.gov/bsd/pmresources.html

MEDLINE is the U.S. National Library of Medicine® (NLM) premier bibliographic database that contains more than 24 million references to journal articles in life sciences with a concentration on biomedicine. MEDLINE includes literature published from 1966 to present, and selected coverage of literature prior to that period.

Source: Currently, citations from more than 5,600 worldwide journals in about 40 languages; about 60 languages for older journals.

The subject scope of MEDLINE is biomedicine and health, broadly defined to encompass those areas of the life sciences, behavioral sciences, chemical sciences, and bioengineering needed by health professionals and others engaged in basic research and clinical care, public health, health policy development, or related educational activities.

E

PubMed

www.ncbi.nlm.nih.gov/PubMed

PubMed comprises over 26 million citations for biomedical literature from MEDLINE, life science journals, and online books. PubMed citations and abstracts include the fields of biomedicine and health, covering portions of the life sciences, behavioral sciences, chemical sciences, and bioengineering. PubMed also provides access to additional relevant web sites and links to the other NCBI molecular biology resources.

PubMed is a free resource that is developed and maintained by the National Center for Biotechnology Information (NCBI), at the U.S. National Library of Medicine (NLM), located at the National Institutes of Health (NIH).

Publishers of journals can submit their citations to NCBI and then provide access to the full-text of articles at journal web sites using LinkOut.

PubMedCentral

www.ncbi.nlm.nih.gov/pmc

PubMed Central® (PMC) is a free archive of biomedical and life sciences journal literature at the U.S. National Institutes of Health's National Library of Medicine (NIH/NLM). Free access to all of its journal literature is a core principle of PMC.PMC is a repository for journal literature deposited by participating journals, as well as for author manuscripts that have been submitted in compliance with the public access policies of participating research funding agencies. PMC offers publishers a number of ways in which to participate and deposit journal content in the archive. Journals that would like to participate in PMC must meet PMC's minimum requirements, submit a formal application, and undergo a review of the scientific and editorial quality of the content of the journal as well as a review of the technical quality of their digital files. More information on requirements for PMC participation and the review steps is available at Add a Journal to PMC and in the FAQ.

Ulrich's

www.proquest.com/products-services/Ulrichsweb.html

Ulrich's knowledgebase is the most comprehensive source of print and electronic serials data available and features in-depth coverage for more than 300,000 serials from 90,000 publishers covering 950 subject areas and 200 languages.

Web of Knowledge, Journal Citation Reports, etc.

clarivate.com

- Note that at the end of 2016 part of Thomson Reuters was sold and is now trading under the name "Clarivate Analytics".
- These databases inform the Journal Citation Reports (JCS) which produces the annual Impact Factor assessment.
- To be selected by Clarivate, read the essay about the selection process: clarivate.com/essays/journal-selection-process.

Scopus

www.elsevier.com/solutions/scopus

Scopus is the world's largest abstract and citation database of peer-reviewed research literature. With over 22,000 titles from more than 5,000 international publishers

- Although it does not produce an Impact Factor Score, Scopus does undertake citation analysis (for example, see SciMago, a service which uses Scopus data to provide journal information: www.scimagojr.com).

Fraudulent and time-wasting indexes

Be aware that there has been a recent growth in fraudulent and time-wasting indexes. These can be identified if they make a charge to the journal for inclusion, or promise to provide an "impact factor". All journals should remember that:

1. You should not pay for indexing
2. Only journals included in the Clarivate indexes, Science Citation Index Expanded (SCIE) and Social Sciences Citation Index (SSCI) (see mjl.clarivate.com/) have an Impact Factor which is used by academia to rank journals – any other metrics may be interesting, but do not provide the same stamp of approval.
3. Balance the effort to provide data to the index against the value to you – you should only be indexed by a service that increases your visibility and does not take too much effort on your part.

KEY POINTS

- Indexing systems may be a valuable means of approving the journal quality and raising visibility
- Identify the key indexes where you should be included (check competitor journals)
- Balance the return to your journal against your effort to supply files to the indexer
- Remember that it is difficult to be included in the highest-quality indexes for a reason!

Resource 14F: Blogs

Summary: A blog can help publicise your journal and the articles it contains. This document explains how to set up and maintain a blog simply and quickly.

Why set up a blog?

A good blog can help promote your journal and its articles to a wider audience, giving your community a reason to visit your website more often, and making your journal more prominent in their minds. Blogposts that explain research in an easy-to-understand way can be shared widely on social media and even picked up on by the media, or prominent blogs like Science Alert. A blog also gives you another route to your audience that isn't controlled by third-parties such as social networks. A popular blog can also boost the search rankings for your main website, increasing your visitors even more!

How to set up a blog

- There is plenty of free, easy-to-use software available for running a blog. The best-known blogging software is WordPress, which is estimated to be used by more than 75 million blogs worldwide, though there are plenty of other alternatives. It comes in several different versions: some of these are paid-for, but others are free. (However, the free versions add adverts to your site, which can be a serious problem, since you can't easily control what sorts of adverts are shown – some may be inappropriate for your community.)
- Blogs can be hosted by the company providing the blogging software, or on your own site. Though hosting it yourself can be complicated, it does give you more flexibility and independence. If you choose to have it hosted by someone else, you will have to choose a URL for it on the host's site. This will usually take the form of a name that you have chosen followed by the name of the host: make sure to choose a URL that will make it clear that the blog is linked to your journal, such as **nameofyourjournal.wordpress.com**.
- Whether your blog is hosted by the blogging service or is part of your main site, ensure that the blog looks like it belongs to your main site by using the same colour scheme and as similar a design as possible.
- Make sure to link from your blog to your website and from your website to your blog prominently. If people visit your blog often, they are more likely to take a look at your journal as a result – make it easy for them to do so.

What content should go on the blog?

- Your best resource for content on your blog is your authors and editors. Get your editors to ask their authors to write short summaries of their articles – perhaps between 400 and 600 words – for a mainstream audience. Explain that this is a good way to get attention for their research from a wider audience, and increase the number of people reading their work. Alternatively, your editors may be willing to write these posts themselves.
- You can make your authors' job easier by giving them some sample questions to answer in simple terms – for instance:
    - What does your research show?
    - Why is it important?
    - What implications does it have? or How will it change things?
    - What do you plan to do next?
- If your authors are reluctant to write posts, you could consider interviewing them by phone or email, and then writing up their answers into a post.
- Make sure to include a link to the original article as part of the post.

- You can also write about important journal news on the blog, and it can be very effective to promote the latest issue with a short blogpost introducing some of the issue's highlights.
- Where possible, use a photograph to illustrate each blog post – your authors should be able to provide these. Images make posts look more striking, particularly when they are shared on social media, when the image will often be displayed prominently alongside only a couple of lines of text from the post.

How to attract visitors to the blog

- Make sure to promote your blogposts using your social media accounts, with a new post on Twitter and/or Facebook announcing each new blogpost. Encourage the authors of the posts to share them with their own social networks too. Remember also that you can and should share links to older posts on Twitter too – nobody will mind!
- Make sure to mention the blog – and the most interesting posts from it – in your latest email alert to your mailing list.
- People will be more likely to return to your blog if they see that it is updated regularly. If you can, post once a week, or at least once a fortnight. Don't post three times one day and then not again for a month! Try to make sure you have two or three blogposts ready to post at any point, so that you are always a few weeks away from running out of material – once you miss a week, it is very easy to slip out of the habit and become less regular with your posting.

KEY POINTS

- Get your authors to write accessible summaries of their articles.
- Post regularly – once a fortnight is fine if you don't have many posts.
- Make sure to promote your posts on social media.

Resource 14G: Measurement

Summary: Measurement and analytics are a vital part of promoting your journal – without them, you won't know if what you're doing is working! This document suggests some ways of measuring the success of your activities.

If you're spending time promoting your journal, you'll want to know how effectively that time has been spent – what's worked, and what hasn't. Before you begin any new strategy or particular tactic, you'll need to measure the results you're already getting and use these as a baseline to measure your progress against. You can use this baseline to help you decide upon achievable targets too.

Web analytics enable you to track the results of your activity so you can assess whether you're spending your time productively, and change things if you're not getting the results you hoped.

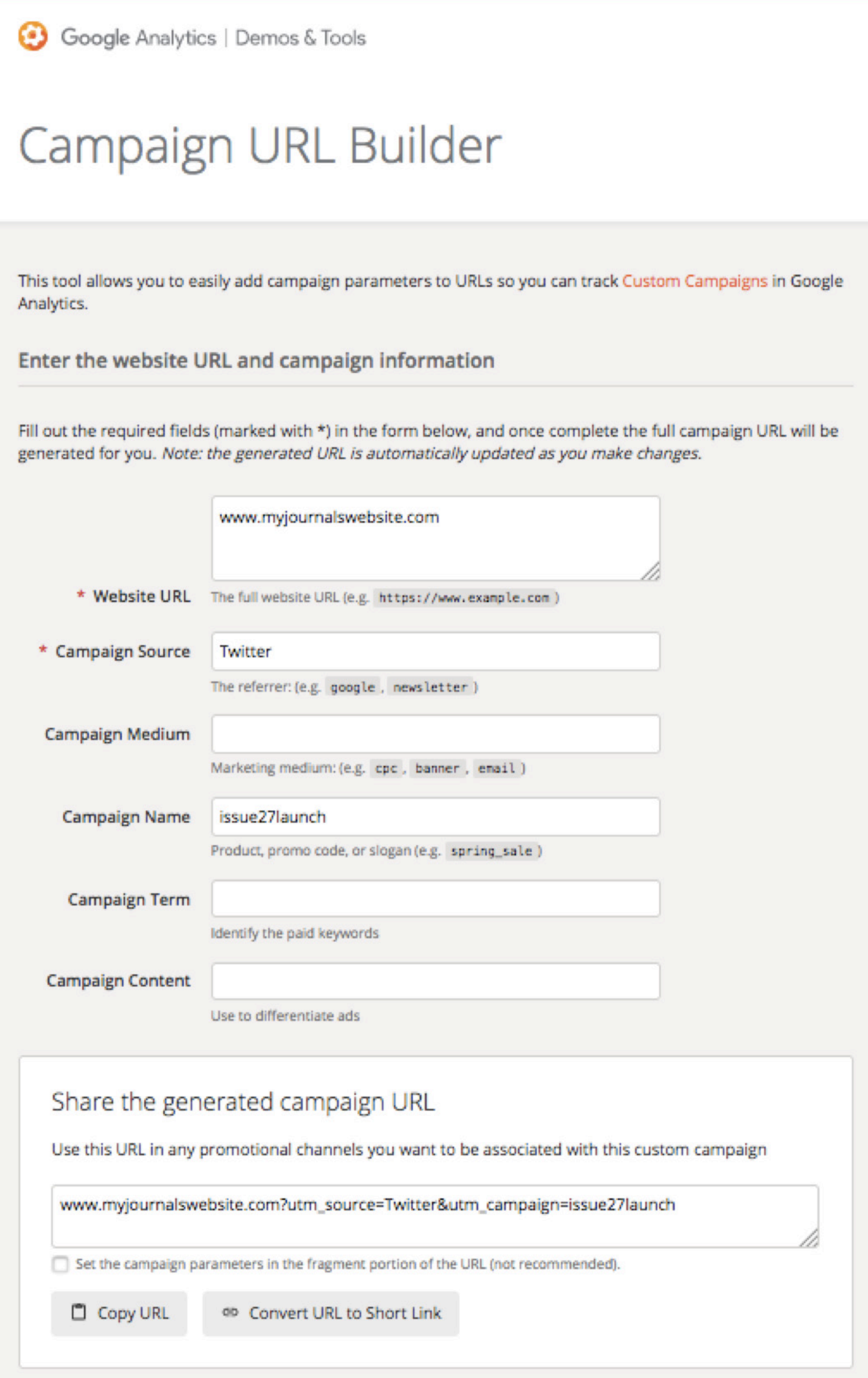
Google Analytics

One effective way to measure the effectiveness of your online activity is through tracking URLs, which enable you to find out how people have reached your website. Google Analytics is Google's free tool for tracking website traffic. It enables you to see how much traffic your website receives, and how popular your pages are individually. If it has already been set up for your site, then it's relatively easy to track which parts of your online activity have driven the most traffic there. If you don't have Google Analytics set up for your site, you can sign up here and get instructions which you can pass on to the person responsible for your site, though it's not a trivial task, and may take time and expertise to implement.

Google also has a resource called a URL builder that allows you to create a unique URL to use for each individual tweet, email, or Facebook post, so that you can see how much traffic each activity has driven to your site. You paste the URL into one field, and then fill out some others according to which method you're using – e.g. email or Facebook – and create a name for this 'campaign' – e.g. 'issue21launch' – and the tool produces a long URL containing that information. (See next page for a picture showing how it works.)

The site also has a tool for creating a shorter and more shareable URL. Alternatively, you could use a free tool like Bit.ly, which has its own analytics for measuring how many people click on the links that you've created using its tool. If you don't have Google Analytics on your site, then once you've created your unique URL, you can paste it into Bit.ly and then use its analytics instead. Whichever method you use, make sure to stick to it so that you can compare the results of different activities consistently. Tools like bit.ly also allow you to personalise your short URL, so that you can choose something memorable.

It's important to remember that web analytics can also be used for printed resources, if those resources include URLs. You can create a special individual URL for a print campaign, and have that printed on your promotional materials; you'll then be able to use these resources to check how many times people have typed in that URL to get to your site. (A memorable URL is particularly important with print materials, since somebody is far more likely to type in the URL **bit.ly/journaloffer** correctly than they are **bit.ly/fhlsdidaj!**)



Google Analytics | Demos & Tools

Campaign URL Builder

This tool allows you to easily add campaign parameters to URLs so you can track Custom Campaigns in Google Analytics.

Enter the website URL and campaign information

Fill out the required fields (marked with *) in the form below, and once complete the full campaign URL will be generated for you. *Note: the generated URL is automatically updated as you make changes.*

www.myjournalswebsite.com

* Website URL — The full website URL (e.g. `https://www.example.com`)

* Campaign Source — Twitter

The referrer: (e.g. `google` , `newsletter`)

Campaign Medium

Marketing medium: (e.g. `cpc` , `banner` , `email`)

Campaign Name — issue27launch

Product, promo code, or slogan (e.g. `spring_sale`)

Campaign Term

Identify the paid keywords

Campaign Content

Use to differentiate ads

Share the generated campaign URL

Use this URL in any promotional channels you want to be associated with this custom campaign

www.myjournalswebsite.com?utm_source=Twitter&utm_campaign=issue27launch

Set the campaign parameters in the fragment portion of the URL (not recommended).

Copy URL | Convert URL to Short Link

Social media analytics

Social media sites also offer their own ways of measuring activity. Both Twitter and Facebook offer large amounts of data enabling you to measure the reach and impact of your tweets and posts. Each allows you to export the data in spreadsheet formats so you can more easily analyse the results. On Facebook, you can find this information in the Insights tab at the top of your page. It initially gives you a summary of activity on your page over the previous seven days, but you can use the tabs on the left of the page to look at other types of activity too. Unless you have a lot of time to spend analysing the results, the overview page will probably provide you with enough information. You can export this data into a spreadsheet using the 'Export Data' button at the top right of the page – this will produce a spreadsheet with enormous amounts of data, but it's fairly easy to sort this into the elements that are most important to you: you'll most likely be most interested in the number of people who saw, liked, commented on, and shared each post, along with how many more people liked your page.

Twitter now also has detailed analytics, which you can find here. The front page gives you a dashboard with the most important top-level statistics – how many people have seen your tweets, how many times people have visited your profile page, how many times your account has been mentioned, and how many followers you have – plus some highlights from the past month. The Tweets tab – reachable by clicking on the Tweets button at the top of the page – tells you more about how your individual tweets have performed, and you can change the period shown and export this information into spreadsheet form using the buttons at the top right of the page.

KEY POINTS

- Before beginning a new strategy or tactic, make sure to record your current results so that you can measure the success of your new approach.
- Several online tools allow you to create special, individual URLs so that you can tell what drove someone to your website.
- Social media platforms have their own analytics which can tell you how much engagement your activity is getting. They track all sorts of activity, but you'll only need to check a small amount of this.
- You can use web analytics to track the success of offline promotion as well as online tactics.

Resource 14H: Press Releases

Summary: Press releases can help you build an international, non-specialist audience for your journal's research. This resource explains how to write a press release.

Press releases are an important part of your journal promotional strategy. If the media take an interest in a piece of research that you've published, it can increase the audience for the research enormously, potentially taking it to international and non-specialist readers who had no idea that your journal even existed. And if a journalist uses you once for a story, they're more likely to look to you for other stories in future – make sure that you keep their details and send them future press releases that might be of interest to them!

What makes a good news story?

Writing press releases can be time-consuming, and it's not something you'll have time to do for every article. You need to work out which scientific papers are most likely to be 'newsworthy': that is, which might be of interest to the media and public.

Journalists are under tight deadlines to find newsworthy stories, and will make quick decisions. The two most important things that they'll be looking for are whether a story will be interesting to their readers, and whether it's new. Ask yourself whether this research will make a direct difference to people's everyday lives, and if it announces a new discovery, or at the very least, provides conclusive proof of an existing theory.

The journalist will also consider the following points:

- **Impact** – Bigger is better: how many people will this story affect?
- **Development** – If your story isn't a new discovery, perhaps it's building on a story that already has public interest. Do you have a new slant on a popular story?
- **Controversy** – Does your paper challenge a well-established theory or an idea thought to be common knowledge?
- **Negativity** – Sadly, big news stories are often bad news stories. Does your paper alert people to a danger, or provide context to bad news?
- **Human Interest** – Human interest puts the reader at the centre of the story, either through making them consider their own lives ('it could happen to me'), or by answering a question they've always wondered about ("why do people fall in love"). Can you give your story an element of human interest?

Journalists will also consider how easy the story is for them to use. Have you included all the key points in your press release so that the journalist could use the story as it is or do they need to do a bit more work to find the story?

Writing the press release

You'll then need to summarise the research in simple language that newspapers and websites can use. The editor or author responsible for the paper should be able to help with this by producing a simple summary of the article that you can then check to make sure that it's simple enough to be understandable by a non-specialist. If your author has already written a blogpost on the subject (see Resource 13E – Blogs for more information) then this will be an excellent starting point. Also see Resource 14B for writing advice.

The press release should summarise the main findings of the research in simple language with quotes from the author to add further interest. Photographs should be included if possible. These will make your story more appealing to journalists and help it to stand out more when it is published.

It should also include information about your journal, and your contact details so that interested journalists can contact you to find out more and perhaps set up an interview with the paper's author. (You'll need to make sure beforehand that the author is willing to speak to journalists.)

Making the press release available to journalists

If you have contact details for local journalists, you can send them the press release directly. There are also some widely-used press release distribution services such as AlphaGalileo (www.alphagalileo.org) and EurekAlert! (www.eurekalert.org).

Resources

The University of Leicester External Relations Division, ‘How to write a press release’, www2.le.ac.uk/offices/external/news/publicising/how-to-write-a-press-release (Accessed 30 August 2017)

(This includes tips, a template, and examples of effective press releases.)

KEY POINTS

- Writing press releases takes time – focus on the papers that you think are most likely to be of interest to the public
- Think about why your story will be of interest to journalists – and readers! Emphasise its impact on people’s everyday lives.
- Make sure to use simple language that’s accessible to a non-specialist audience

Resource 14H: Scholarly research networks

Summary: Scholarly research networks offer alternative ways of publicising research, but they also present challenges for publishers. This section introduces some of the most popular networks and explains how your researchers can use them.

Scholarly research networks are essentially social networks for academics. They allow academics to build up their own professional networks by creating their own profile pages and posting their research (or links to it). Though the files shared on such networks include pre-print versions of material that is later published formally, often posted with the publisher's approval, they also include large amounts of academic content that has been shared without the permission of the publisher. It's important to remember too that these are not institutional repositories but are often privately-owned websites that are ultimately aiming to make a profit.

These networks are increasingly popular globally, and are used by researchers both to publicise and discover research. This means that they offer opportunities for the researchers published in your journals to increase public awareness of their research – and, ultimately, of your journal too.

Two of the best-known sites are ResearchGate and Academia.edu. Here's a sample profile from the former: www.researchgate.net/profile/David_Nicholas5

If your authors create accounts on these sites, you may perhaps be happy for them to post pre-print versions of their research there, crediting your journal; however, there is a significant risk that this will cut the number of people who read the research on your own site. You may therefore be happier for them just to post links to their research instead. You'll need to decide your policy on this and make it clear to your authors and editors.

Other types of collaborative site

Kudos is a platform for researchers to explain their research in plain language for the benefit of a wider audience. It's free for researchers – after creating an account, they can share a summary of their research along with a link to the full published version on your site (and to any post that they may have written for your blog). They're encouraged to share links to this summary by email, on their website, and through social media channels, and can then use Kudos's tools to see the impact that writing and sharing this summary has had on the audience for their work.

See: www.growkudos.com/about/researchers

Publons is a site where researchers can post reviews of published articles. These are given a DOI and can be cited as a small publication. Also, journals can partner with the site so that reviewers for the journal are given credit for their work. It can be a useful social site for a journal to promote itself and to give recognition to its reviewers.

See www.publons.com/journal/4275/learned-publishing

PubPeer is another initiative to encourage post-publication peer review. It can be a valuable means of obtaining comments on publications, and can be something for journal editors to investigate to see if there are opportunities to encourage discussion of their articles.

See www.pubpeer.com/journals/African-Journal-of-Biotechnology

KEY POINTS

- Scholarly research networks are increasingly popular ways for academics to share research, but they can also have an impact on the number of people reading research on your site.
- Decide on a policy on SRNs for your journal and make sure that your authors know about it.

INASP
2/3 Cambridge Terrace,
Oxford OX1 1RR, UK
Tel:+44(0)1865 249909
Fax:+44(0)1865 251060
E-mail: info@inasp.info
www.inasp.info
twitter.com/INASPinfo
facebook.com/inasp.info
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