

December 2006

Standards Column -- Toward a Terminology of Journal Article Versions -- An Update of the Work of the Joint NISO/ALPSP Journal Article Version Working Group

Todd Carpenter
NISO, tcarpenter@niso.org

Follow this and additional works at: <https://docs.lib.purdue.edu/atg>

Recommended Citation

Carpenter, Todd (2006) "Standards Column -- Toward a Terminology of Journal Article Versions -- An Update of the Work of the Joint NISO/ALPSP Journal Article Version Working Group," *Against the Grain*: Vol. 18: Iss. 6, Article 41.
DOI: <https://doi.org/10.7771/2380-176X.4718>

This document has been made available through Purdue e-Pubs, a service of the Purdue University Libraries. Please contact epubs@purdue.edu for additional information.

Standards Column — Toward a Terminology of Journal Article Versions

An Update of the Work of the Joint NISO/ ALPSP Journal Article Version Working Group

by **Todd Carpenter** (Managing Director, NISO)
<tcarpenter@niso.org>

Many years ago there wasn't really much public access to the early stages of process of publishing. Particularly in journal publishing, the content was infrequently distributed prior to publication. Certainly, people involved in the editorial, peer review and production processes of a paper were aware of a paper's publication and occasionally, a draft would be shared among closely associated colleagues, but wide and on-demand access to early versions of articles is a relatively new phenomenon. With the expansion of different types of repositories and personal posting sites, requirements by publishers that these postings be of one type or another, and the expanded accessibility of these files via search engines and other discovery tools, it is becoming critical to collectively define and hopefully tag various stages of an article's path through the publication process.

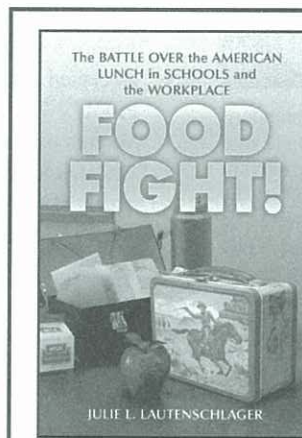
There is an absolute preference among scholars for a definitive record of the literature and multiple versions of items pose a significant challenge to this long-established understanding of "publication". Indeed, because of the availability of distribution technology and the lack of a common terminology, it may be unclear to the users what version they are viewing. This is particularly true for versions posted by the author on the Internet and is difficult to control, but even within the controlled environment of publisher's resources, misunderstandings could arise. Without a common understanding of what the terminology is, and if the article is not explicitly labeled as such, even files from a publisher's Website might vary in quality and completeness. Additionally, questions of providence and authority can come into question when multiple versions are available.

It is obvious that in many fields, scholars want access to information as quickly as possible. Broad acceptance of projects like arXiv, have shown that researchers and readers prefer prompt access to new research. Certainly, the importance of speed to publication varies by topic, but across all fields, the pressure to get research released to the community as quickly as possible has increased. While the participation rate of authors in posting pre-publication or post-publication is extremely modest at this stage, there are indications that the participation level will increase over time.

Many publishers are incorporating terms in their copyright assignments that allow for author self-archiving or hosting. According to **ROMEIO/SHERPA**, some 80% of publishers allow authors some form of repository deposit or author self-archiving (www.sherpa.ac.uk/romeio.php). While at the moment, the main impetus behind self-archiving and deposit are generally personal (either self-promotion, desire for and belief of enhanced access, or participation in local repository initiatives) there are also a number of potential policy shifts and/or mandates that may increase the amount of content in various forms available online. In addition, the growing prevalence of search technology and services such as **Google** are making the discovery of this content easier for users.



the growing prevalence of search technology and services such as **Google** are making the discovery of this content easier for users.



Food Fight!

*The Battle Over
the American Lunch
in Schools and
the Workplace*

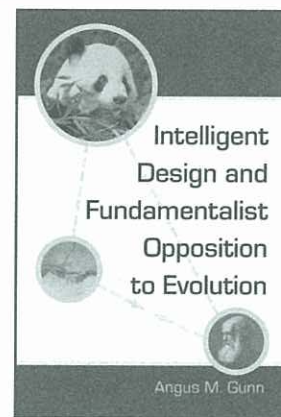
Julie L. Lautenschlager

\$35 softcover 2006
ISBN 0-7864-2670-5
ISBN-13 978-0-7864-2670-6



McFarland

Box 611 • Jefferson NC 28640 • Orders 800-253-2187
FAX 336-246-4403 • www.mcfarlandpub.com



Intelligent Design and Fundamentalist Opposition to Evolution

Angus M. Gunn

\$29.95 softcover 2006
ISBN 0-7864-2743-4
ISBN-13 978-0-7864-2743-7

The development of Open Access initiatives and changing requirements from funding organizations may also rapidly increase the participation rate of authors in repositories and self-archiving projects. Similarly, the acquisition by **Thomson Scientific** of **ScholarOne** earlier this year indicates that there is considerable interest in access to content earlier and earlier in the production lifecycle of articles.

Publishers have discussed this issue in broad terms since 1999. An **AAAS/STM** working group published a forward-looking article in 2000, entitled "Defining and Certifying Electronic Publication in Science", published in *Learned Publishing*. (*Learned Publishing*, Volume 13, Number 4, 1 October 2000, pp. 251-258(8)) This article took the approach that the only version of any meaningful value was the "Definitive Publication" and that work in this area should focus primarily on support of that one version to the near exclusion of other ideas.

The work of **CrossRef Search**, in partnership with **Google** is hoping to ensure that, when both published and self-archived copies of the same article are found by a **Google Scholar** search, the published version appears at the top of the list. Despite the efforts of the publishing industry to manage traffic to these alternate versions, however, their distribution and thereby their impact is likely to increase.

At the suggestion of **Sally Morris**, Chief Executive of the **Association of Learned and Scholarly Publishing**, a **NISO/ALPSP Working Group** was formed in September of 2005 to explore issues surrounding journal article versions and to work toward a standard terminology to describe stages in the journal publishing process. Chaired by **Cliff Morgan** of **John Wiley & Sons**, the Working Group consisted of ten members representing publisher, library and library-service-provider perspectives. A broader Review Group of another twenty-five community members is also engaged in trying to find consensus on this issue.

A Simplified Approach

Among the thousands of publishers and tens of thousands of scholarly journals, there is a great deal of variation in the publication and editorial

continued on page 80

processes and policies. Establishing a standard that encompasses, in detail, every stage and every variant of an article along with relevant identifiers seemed from the perspective of the Working Group to be unnecessarily broad and unlikely to achieve the desired result. The committee set about its work focusing on the key stages of the publication process, which would cover the vast majority of publishers' workflows.

The process of producing a published article is an iterative, developmental process, in which value is added through each passing stage. And yet, within this iterative development, there are important variations in key attributes that may not affect the content so much as its presentation. Articulated by **Evan Owens**, Chief Technology Officer at **Portico**, there exists a vertical versus horizontal set of relationships in variations of an article. While some stages can be seen from a developmental perspective, with significant variation from "generation" to "generation", there are also horizontal variations in versions where presentation issues such as format, location, print/electronic produce "sibling" versions.

The direction of the Working Group has been predicated on some basic assumptions. Among these is that an article passes through many steps toward publication and that each of these important steps adds value to the end product of the article. While a step could be repeated on several occasions, one step is completed before the article moves onto the next step. Rather than summarizing each variant of each possible step, the goal was to lay forward a summary of the process that detailed the key stages in most of the community. Rather than pursuing a solution that would fit every detail of every stage for every publisher, the committee sought to find a solution that addressed the most common cases in hopes of simplifying the current discussion. Adding a common terminology will help draw out key distinctions and improve understanding among researchers and students about the version a user might be viewing.

The committee has worked diligently to review a number of use studies of various publication processes. Having reached consensus internally, the group sent out the draft to the Review Committee and is in the process of compiling and responding to the various comments that were received. The brief description that follows is a summary of the current draft of the proposed terminology. It may yet be revised again prior to public comment or before final adoption by the NISO community.

For complete background, details and definitions, please review the work of the committee at the **NISO Website**. The direct link to the **JAV Working Group's** documentation is at: http://www.niso.org/committees/Journal_versioning/JournalVer_comm.html. In its present draft form, the Working Group has proposed a streamline terminology of the five key steps in the publication process. It includes

the following stages:

- "Author's Original"
- "Accepted Manuscript"
- "Proof"
- "Version of Record"
- "Updated Version of Record"

Quoting from the draft report: "Each term identifies a significant value-added "state change" in the progress of a journal article from origination to publication. Three of the versions (Author's Original; Proof; Updated Version of Record) may have a number of iterative stages. [The Working Group has] not attempted to identify these stages, although date stamps, version numbers and metadata records may be used to differentiate them. Two of the versions (Accepted Manuscript; Version of Record) represent fixed stages. An Author's Original that is accepted for publication becomes an Accepted Manuscript at the point of acceptance. A Proof that is corrected and published becomes a Version of Record."

The first step covers the author's submission for publication. An Author's Original is the version of a journal article that is considered by the author(s) to be of sufficient quality to be submitted for review by a second party. The author accepts full responsibility for the article, setting both content and format.

Once the article is accepted for publication, the journal enters the first fixed state in the process, the Accepted Manuscript version. At this stage, the publisher takes responsibility for the article, although the content and layout remain as submitted by the author.

During production at the publisher, the article is defined as being in the "Proof" stage. Again, this may encompass a number of versions as the article is revised via both substantive and copy editing, typesetting files (i.e., galley proofs), page proofs and revised proofs. While the author may be involved in the revision of the Proof, primary responsibility

for the changes made during this stage lies with the publisher. Although Proof stage versions are generally regarded as "internal process" stage documents, it is acknowledged that some of the iterative versions prior to the Version of Record may be distributed in some format, either accidentally or by design.

Once the article is declared "fit for publication" and released to the public by an organization acting as a publisher, the article becomes the "Version of Record", the second fixed state in the process. This stage may include articles published as "early release" articles, so long as they are formally identified as "published". This is the formally recognized, authorized and definitive version of the article. After publication any subsequent amendment to the article would be considered an "Updated Version of Record".

The Working Group released a version of the terminology in April 2006 to the Review Committee for comment and review. While there is broad consensus about the approach, some of the details that remain are associated with the terminology, such as "adds value" as well as the concepts of "functionality" and "location." These issues are under review by the Working Group and will be considered for inclusion in the final version proposed for adoption. The goal of the Group is to have a final draft available for public review in early 2007.

Additional documentation and complete details of the committees work are available at: www.niso.org.



Technology Left Behind — GIS and the Library: Part 1

Column Editor: **Cris Ferguson** (Electronic Resources/Serials Librarian, James B. Duke Library, Furman University, 3300 Poinsett Highway, Greenville, SC 29613; Phone: 864-294-2713) <cris.ferguson@furman.edu>

*Column Editor's Note: This column will be the first installment in a two part discussion of **Geographic Information Systems (GIS)** services. In this first part, **GIS** services are defined and the ways in which libraries can provide **GIS** services to patrons are discussed, briefly touching on issues of software and data sources. The second part of the discussion, which will appear in the February 2007 issue of **ATG** will highlight some of the innovative ways that libraries are using **GIS** to enhance their own services. —CF*

Definition and Examples of GIS

Geographic Information Systems allow users to layer and integrate varying types of data together with the graphic features of a map.¹ "This layering capability provides users the opportunity to view data graphically or spatially rather than in tabular form."²

A **GIS** computer system is typically made up of hardware, software, and data, working together in the layering process.³ In terms of hardware, it is helpful to have a computer

continued on page 81