

CODE OF ETHICS BEST PRACTICES GUIDELINES

FOR BOOK PUBLISHERS



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The Code of Ethics for Book Publishers is designed to provide a set of standards to which all editors are expected to adhere.

The Best Practices Guidelines aims to respond to the requests for guidance about a wide range of increasingly complex ethical issues.

It is expected that all members adhere to the Code of Ethics and Best Practices Guidelines for Book Publishers although not all publishers may be able to implement all the Best Practices recommendations.



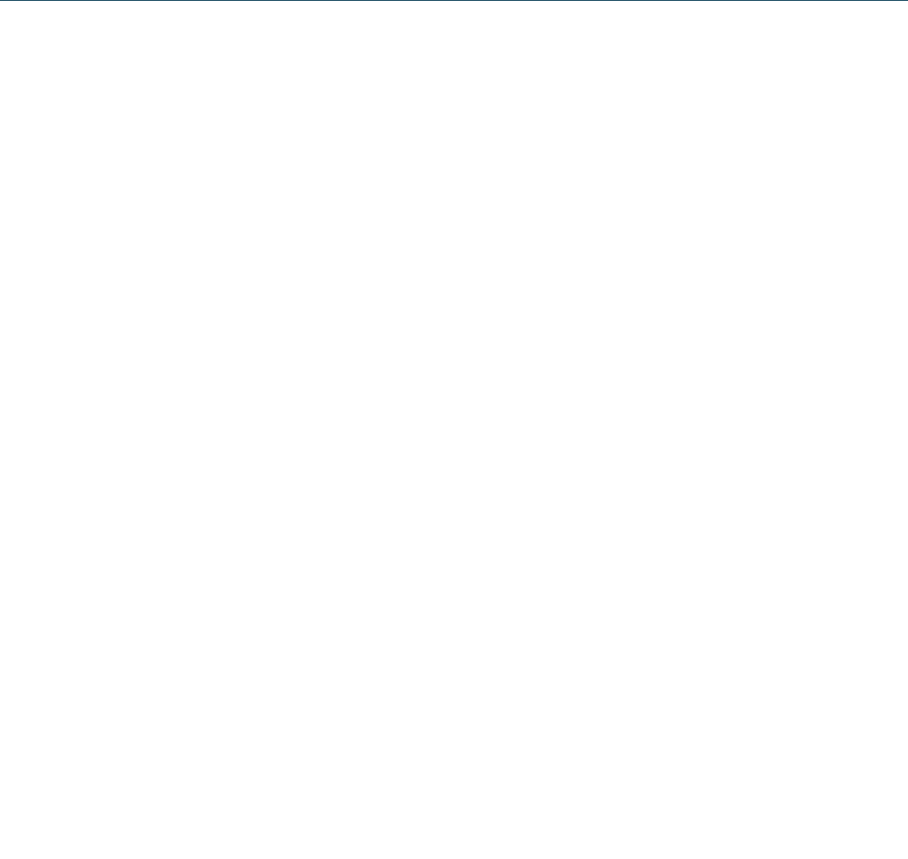
COIMBRA UNIVERSITY PRESS

The Coimbra University Press has a long and rich history which sets it apart from the majority of the other Portuguese publishing houses.

The University Press is not simply a publishing house; it is part of the very history of Portugal, an institution dating back centuries of existence and activity, which claims it the title of the oldest academic publisher of the Portuguese language.

The origins of the Coimbra University Press date back to the permit issued by King João III on the 21st of May of 1548, which authorized a contract with privileged printers of the University.

The Coimbra University Press would develop 162 years of cultural activity until its fateful shutdown in 1934, when Oliveira Salazar ordered its end. The University Press was considered a powerful political weapon since it had a large publishing production and means to print which could, eventually, elude the control and censorship of the dictatorship.



CODE OF ETHICS

FOR BOOK PUBLISHERS

1.

GENERAL DUTIES AND RESPONSIBILITIES OF PUBLISHERS



2.

RELATIONS WITH READERS

1.1. Publishers should be accountable for everything published in their publications.

This means the publishers should:

1.2. strive to meet the needs of readers and authors;

1.3. strive to constantly improve their publications;

1.4. have processes in place to assure the quality of the material they publish;

1.5. champion freedom of expression;

1.6. preclude business needs from compromising intellectual and ethical standards;

1.7. always be willing to publish corrections, clarifications, retractions and apologies when needed.

2.1. Readers should be informed about the affiliated institution and who has funded the research.

3.

RELATIONS WITH AUTHORS



- 3.1. Publishers decisions to accept or reject content for publication should be based on the content's importance, originality and clarity, and its validity and its relevance to the remit of the publication.
- 3.2. Publishers should not reverse decisions to accept submissions unless serious problems are identified with the submission.
- 3.3. New publishers should not overturn decisions to publish submissions made by the previous publisher unless serious problems are identified.
- 3.4. A description of peer review processes should be published, and publishers should be ready to justify any important deviation from the described processes.
- 3.5. The Publishing House should have a declared mechanism for authors to appeal against editorial decisions.
- 3.6. Publishers should publish guidelines to authors on everything that is expected of them. These guidelines should be regularly updated and refer or be linked to this code.
- 3.7. Publishers should provide guidelines about criteria for authorship and/or who should be listed as a contributor.

4.

RELATIONS WITH REVIEWERS

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RELATIONS WITH EDITORIAL BOARD MEMBERS

- 4.1. Publishers should provide guidelines to reviewers on everything that is expected of them including the need to handle submitted material in confidence. This guidance should be regularly updated and should refer or be linked to this code.
- 4.2. Publishers should require reviewers to disclose any potential competing interests before agreeing to review a submission.
- 4.3. Publishers should have systems to ensure that peer reviewers' identities are protected unless they use an open review system in which information about the reviewers is given to the authors.

- 5.1. Publishers should provide new editorial board members with guidelines on everything that is expected of them and should keep existing members updated on new policies and developments.

6.

RELATIONS WITH AUTHORS AND PUBLISHERS



- 6.1. The relationship between editors, publishers and authors is often complex but should be based firmly on the principle of editorial independence;
- 6.2. Publishers should make decision on which content to publish based on quality and suitability without interference from the author/editor/coordinator;
- 6.3. Publishers should have a written contract(s) setting out their relationship with the author;
- 6.4. The terms of this contract should be in line with the Code of Conduct for Book Publishers Code (as attached).

7.

EDITORIAL AND PEER REVIEW PROCESSES



8.

QUALITY ASSURANCE

- 7.1. Publishers should strive to ensure that peer review is fair, unbiased and timely.
- 7.2. Publishers should have systems to ensure that submitted content remains confidential while under review.



- 8.1. Publishers should take all reasonable steps to ensure the quality of the material they publish, recognizing that different series and its books will have different aims and standards.

9.

PROTECTING INDIVIDUAL DATA



9.1. Publishers must obey laws on confidentiality in their own jurisdiction. Regardless of local statutes, however, they should always protect the confidentiality of individual information obtained in the course of research or professional interactions (e.g. between doctors and patients). It is therefore almost always necessary to obtain written informed consent for publication from people who might recognise themselves or be identified by others (e.g. from case reports or photographs). It may be possible to publish individual information without explicit consent if public interest considerations outweigh possible harms, it is impossible to obtain consent and/or a reasonable individual would be unlikely to object to publication.

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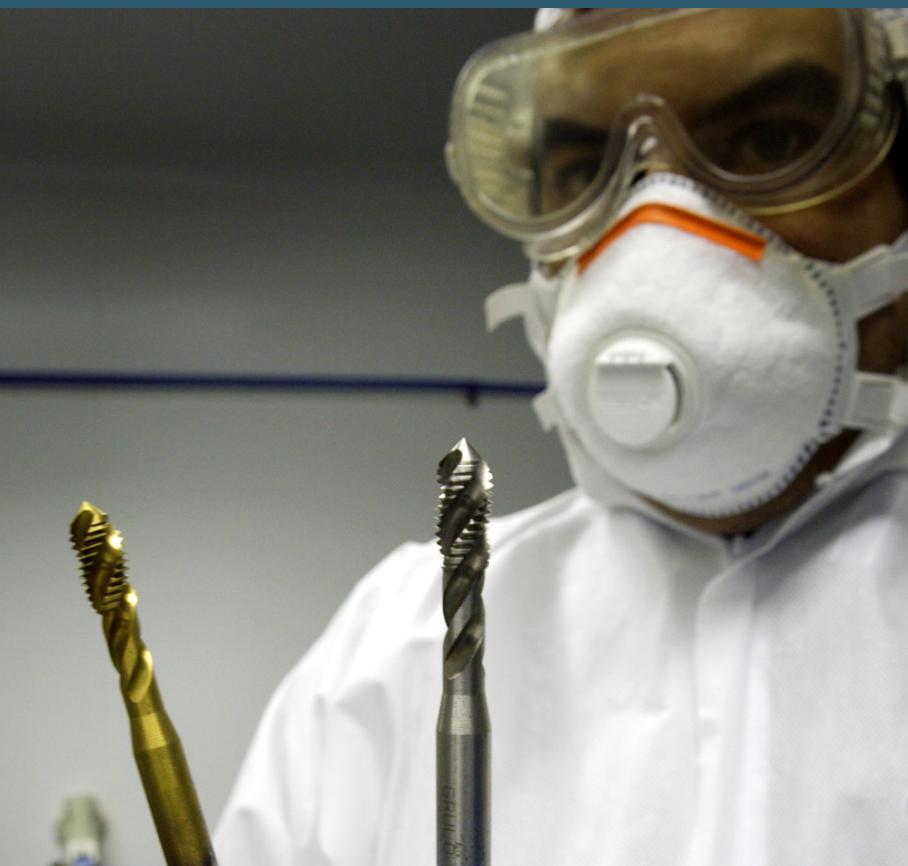
ENCOURAGING ETHICAL RESEARCH
(E.G. RESEARCH INVOLVING HUMANS
OR ANIMALS)



- 10.1. Publishers should endeavour to ensure that the research they publish was carried out according to the relevant internationally accepted guidelines (e.g. the Declaration of Helsinki for clinical research, the AERA and BERA guidelines for educational research).
- 10.2. Publishers should seek assurances that all research has been approved by an appropriate body (e.g. research ethics committee, institutional review board) where one exists. However, publishers should recognize that such approval does not guarantee that the research is ethical.

II.

DEALING WITH POSSIBLE MISCONDUCT



- 11.1. Publishers have a duty to act if they suspect misconduct or if an allegation of misconduct is brought to them. This duty extends to both published and unpublished content.
- 11.2. Publishers should not simply reject content that raise concerns about possible misconduct. They are ethically obliged to pursue alleged cases.
- 11.3. Publishers should follow the COPE flowcharts where applicable.
- 11.4. Publishers should make all reasonable efforts to ensure that a proper investigation into alleged misconduct is conducted; if this does not happen, publishers should make all reasonable attempts to persist in obtaining a resolution to the problem
- 11.5. Publishers should follow the COPE guidelines on retractions.

12.

INTELLECTUAL PROPERTY



12.1. Authors should be alert to intellectual property issues and work with their publisher to handle potential breaches of intellectual property laws and conventions.

13.

ENCOURAGING DEBATE



- 13.1. Publishers and authors should encourage and be willing to consider cogent criticisms to published content.
- 13.2. Authors of criticised material should be given the opportunity to respond.
- 13.3. Studies reporting negative results should not be excluded.

14.

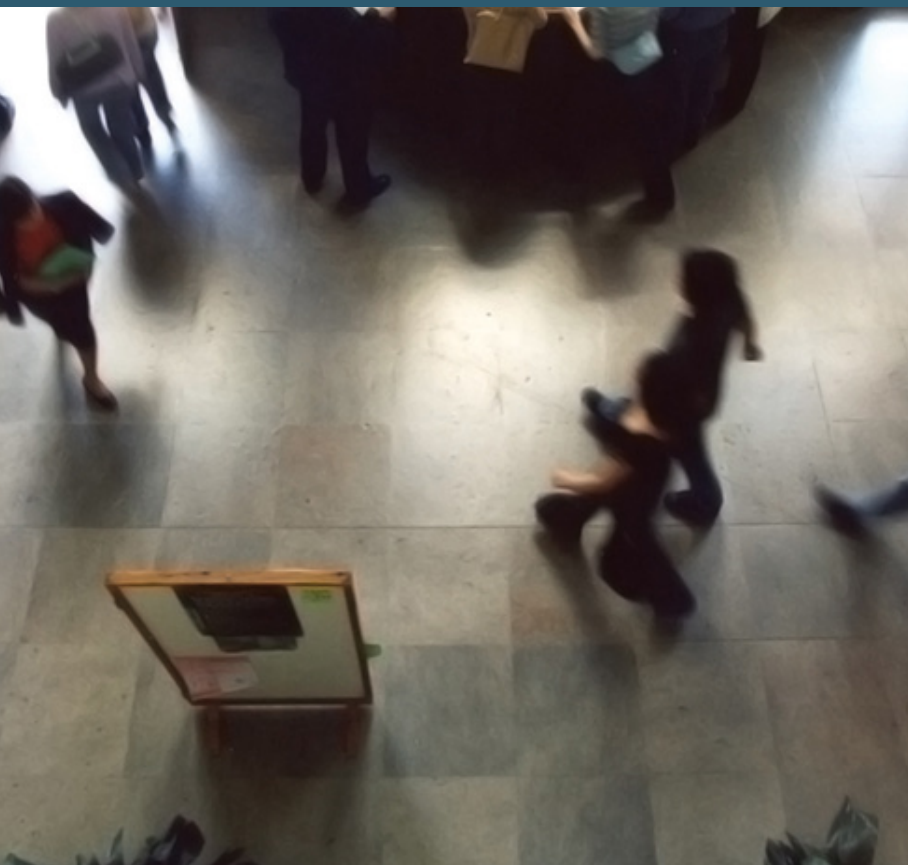
COMMERCIAL CONSIDERATIONS



- 14.1. Publications should have policies and systems in place to ensure that commercial considerations do not affect editorial decisions (e.g. advertising departments should operate independently from editorial departments).
- 14.2. Publishers should have declared policies on advertising in relation to the content of the publication and on processes for publishing sponsored supplements.
- 14.3. Reprints should be published as they appear in the original publication unless a correction needs to be included in which case it should be clearly identified.

15.

CONFLICTS OF INTEREST



- 15.1. Publishers should have systems for managing their own conflicts of interest as well as those of their staff, authors, reviewers and editorial board members.
- 15.2. Publishers should have a clear process for handling submissions from the editors, employees or members of the editorial board to ensure unbiased review.

APPENDIX

1. Publishers who are Committee on Publication Ethics members and who support COPE membership should:

- 1.1. Use and encourage the use of this code as well as follow the Code of Conduct for Book Publishers;
- 1.2. Provide reasonable practical support to editors so that they can follow the Code of Conduct and Best Practices for Book Publishers.

2. Publishers should:

- 2.1. Define the relationship between publisher, editor and other parties in a contract.
- 2.2. Respect privacy (for research participants, for authors, for peer reviewers).
- 2.3. Protect intellectual property and copyright.
- 2.4. Foster editorial independence.
- 2.5. Set publishing policies appropriately and aim to meet those policies, particularly with respect to:
 - Publishing independence;
 - Research ethics, including confidentiality, consent, and the special requirements for human and animal research;
 - Authorship;
 - Transparency and integrity (for example, conflicts of interest, research funding, reporting standards;

- Peer review and the role of the editorial team beyond that of the publisher;
 - Appeals and complaints.
- 2.6. Communicate publishing policies (for example, to authors, readers, peer reviewers)
 - 2.7. Review policies periodically, particularly with respect to new recommendations from the COPE
 - 2.8. Code of Conduct for Book Publishers and the COPE Best Practice Guidelines
 - 2.9. Maintain the integrity of the academic record
 - 2.10. Publish corrections, clarifications, and retractions
 - 2.11. Publish content on a timely basis

BEST PRACTICES GUIDELINES

FOR BOOK PUBLISHERS

I.

GENERAL DUTIES AND RESPONSIBILITIES OF PUBLISHERS



- 1.1. Actively seeking the views of authors, readers, reviewers and editorial board members about ways of improving their publications.
- 1.2. Encouraging and being aware of research into peer review and publishing and reassessing their processes in the light of new findings.
- 1.3. Provide their Publishing House with appropriate resources, guidance from experts (e.g. designers, lawyers).
- 1.4. Supporting initiatives designed to reduce research and publication misconduct.
- 1.5. Supporting initiatives to educate editors and researchers about publication ethics.
- 1.6. Assessing the effects of their policies on author and reviewer behaviour and revising policies, as required, to encourage responsible behaviour and discourage misconduct.
- 1.7. Ensuring that any press releases issued about their content reflect the message of the reported content and put it into context.

2.

RELATIONS WITH READERS



- 2.1. Ensuring that all published reports and reviews of research have been reviewed by suitably qualified reviewers (including statistical review where appropriate).
- 2.2. Ensuring that non-peer-reviewed sections content is clearly identified;
- 2.3. Adopting processes that encourage accuracy, completeness and clarity of research reporting including technical editing and the use of appropriate guidelines and checklists (e.g. MIAME, I CONSORT2);
- 2.4. Considering developing a transparency policy to encourage maximum disclosure about the provenance of non-research content;
- 2.5. Adopting authorship or contributorship systems that promote good practice (i.e. so that listings accurately reflect who did the work) and discourage misconduct (e.g. ghost and guest authors);
- 2.6. Informing readers about steps taken to ensure that submissions from members of the staff or editorial board receive an objective and unbiased evaluation.

3.

RELATIONS WITH AUTHORS



- 3.1. Reviewing author instructions regularly and providing links to relevant guidelines;
- 3.2. Ensuring that appropriate reviewers are selected for submissions (i.e. individuals who are able to judge the work and are free from disqualifying competing interests);
- 3.3. Respecting requests from authors that an specific individual should not review their submission, if these are well-reasoned and practicable;
- 3.4. Publishing details of how they handle cases of suspected misconduct (e.g. with links to the COPE).
- 3.5. Publishing submission and acceptance dates for articles.

4.

RELATIONS WITH REVIEWERS



- 4.1. Encouraging reviewers to comment on ethical questions and possible research and publication misconduct raised by submissions (e.g. unethical research design, insufficient detail on patient consent or protection of research subjects (including animals), inappropriate data manipulation and presentation).
- 4.2. Encouraging reviewers to comment on the originality of submissions and to be alert to redundant publication and plagiarism.
- 4.3. Provide reviewers with tools to detect related publications (e.g. links to cited references and bibliographic searches).
- 4.4. Sending reviewers' comments to authors in their entirety unless they contain offensive or libelous remarks.
- 4.5. Seeking to acknowledge the contribution of reviewers.



- 4.6. Encouraging academic institutions to recognise peer review activities as part of the scholarly process.
- 4.7. Monitoring the performance of peer reviewers and taking steps to ensure a standard.
- 4.8. Developing and maintaining a database of suitable reviewers and updating this on the basis of reviewer performance.
- 4.9. Ceasing to use reviewers who consistently produce discourteous, poor quality or late reviews.
- 4.10. Ensuring that the reviewer database reflects the community for their journal and adding new reviewers as needed.
- 4.11. Using a wide range of sources (not just personal contacts) to identify potential new reviewers (e.g. author suggestions, bibliographic databases).
- 4.12. Following the COPE flowchart in cases of suspected reviewer misconduct.

5.

RELATIONS WITH EDITORIAL BOARD MEMBERS



- 5.1. Having policies in place for handling submissions from editorial board members to ensure unbiased review;
- 5.2. Identifying suitably qualified editorial board members who can actively contribute to the development and good management of the journal;
- 5.3. Regularly reviewing the composition of the publication board;
- 5.4. Providing clear guidance to editorial board members about their expected functions and duties which might include:
 - acting as ambassadors for the publication;
 - supporting and promoting the publication;
 - seeking out the best authors and best work (e.g. from meeting abstracts) and actively encouraging submissions;
 - reviewing submissions;
 - accepting commissions to write editorials, reviews and commentaries on content in their specialist area;
 - attending and contributing to editorial board meetings;
- 5.5. Consulting editorial board members periodically (e.g. once a year) to review publishing policies and identify future challenges.

6.

RELATIONS WITH AUTHORS AND PUBLISHERS

7.

EDITORIAL AND PEER REVIEW PROCESSES



6.1. Establishing mechanisms to handle disagreements between authors and publisher and maintain regular communication.

7.1. Ensuring that people involved with the editorial process (including themselves) receive adequate training and keep abreast of the latest guidelines, recommendations and evidence about peer review and publishing management.

7.2. Keeping informed about research into peer review and technological advances.

7.3. Adopting peer review methods best suited for their content and the research community it serves.

7.4. Reviewing peer review practices periodically to see if improvement is possible.

7.5. Referring troubling cases to COPE, especially when questions arise that are not addressed by the COPE flowcharts, or new types of publication misconduct are suspected.

7.6. Considering the appointment of an ombudsperson to adjudicate in complaints that cannot be resolved internally.

8.

QUALITY ASSURANCE



9.

PROTECTING INDIVIDUAL DATA

- 8.1. Having systems in place to detect falsified data (e.g. inappropriately manipulated photographic images or plagiarized text) either for routine use or when suspicions are raised.
- 8.2. Basing decisions about the publication house style on relevant evidence of factors that raise the quality of reporting rather than simply on aesthetic grounds or personal preference.



- 9.1. Publishing their policy on publishing individual data.
- 9.2. Note that consent to take part in research or undergo treatment is not the same as consent to publish personal details, images or quotations.

10.

ENCOURAGING ETHICAL RESEARCH (E.G.
RESEARCH INVOLVING HUMANS OR ANIMALS)



11.

BEST PRACTICES FOR BOOK PUBLISHERS

- 10.1. Being prepared to request evidence of ethical research approval and to question authors about ethical aspects (such as how research participant consent was obtained or what methods were employed to minimize animal suffering) if concerns are raised or clarifications are needed.
- 10.2. Ensuring that reports of clinical trials cite compliance with the Declaration of Helsinki and other relevant guidelines to safeguard participants.
- 10.3. Appointing an ethics advisor or panel to advise on specific cases and review publishing policies periodically.

- 11.1. Taking steps to reduce covert redundant publication.
- 11.2. Ensuring that published material is securely archived (e.g. via online permanent repositories).

12.

INTELLECTUAL PROPERTY



13.

ENCOURAGING DEBATE

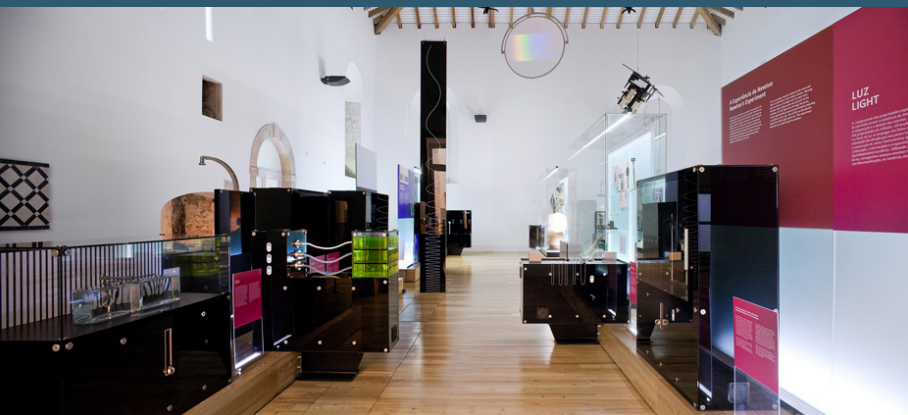
- 12.1. Adopting systems for detecting plagiarism (e.g. software, searching for similar titles) in submitted items (either routinely or when suspicions are raised).
- 12.2. Supporting authors whose copyright has been breached or who have been the victims of plagiarism.
- 12.3. Being prepared to publication defend authors' rights and pursue offenders (e.g. by requesting retractions or removal of material from websites) irrespective of whether their journal holds the copyright.



- 13.1. Being open to research that challenges previous work published in the journal.

14.

COMMERCIAL CONSIDERATIONS



15.

CONFLICTS OF INTEREST

- 14.1. Publishing a general description of their publication's income sources (e.g. the proportions received from display advertising, reprint sales, sponsored supplements, page charges, etc.).
- 14.2. Ensuring that the peer review process for sponsored supplements is the same as that used for the main publication.
- 14.3. Ensuring that items in sponsored supplements are accepted solely on the basis of academic merit and interest to readers and decisions about such supplements are not influenced by commercial considerations.

- 15.1. Publishing lists of relevant interests (financial, academic and other kinds) of all editorial staff and members of editorial boards (which should be updated at least annually).

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