



## Prospectus for Publishing AERI Proceedings

At AERI 2012 (UCLA) a variety of informal conversations took place among faculty and doctoral students about the advisability of assembling a volume of proceedings from the annual AERI institutes. Specifically, questions arose regarding what form such a publication would take, the extent of peer review, and whether such review should take place before or after the institute. This document is a report on an investigation by an *ad hoc* task force of appropriate models for proceedings publications. It is intended to foster discussions at AERI 2013 and beyond on AERI's publication program.

### Need and Opportunity

AERI participants generate tremendous intellectual value that takes a variety of forms, ranging from papers, posters, and presentations, and represents a spectrum of project types from completed work to sketched-out work in progress. The intellectual value of AERI contributions starts with the 300-500 word abstract that each participant submits as part of the application process, and extends to the program committee that accepts and then clusters presentations into sessions, and the chairs who coordinate the presentations and moderate the feedback. It seems that part of the ongoing process to sustain AERI into the future is to capture and build upon some of this intellectual value, to disseminate completed scholarship and work in progress more widely, and to introduce peer review and other rewards mechanisms that create incentives for quality of thought and professionalism in the presentation of ideas.

Publishing proceedings from AERI might possibly serve to sustain AERI by:

- encouraging the best efforts of AERI participants in the preparation of papers, presentations, and posters delivered at the institute;
- introducing peer review into the preparation of publishable short and long papers;
- providing the foundation for a system of awards and recognition of quality;
- creating a record of accomplishment of individual AERI participants and AERI as a whole.

AERI supports a flexible and dynamic community. It is important that any effort to disseminate AERI proceedings protects the flexibility of participants to submit intellectual products that vary in completeness and polish, while also providing incentives to create papers and posters that have benefited from the feedback that peer review provides.

AERI is also a growing and increasingly interactive community of scholars. The burden of effort required to create and sustain a publication of proceedings should be shared as widely as possible within the AERI community. Although coordination of the publication process will be essential to its success, we believe that it is unnecessary and unwise to establish a complex, hierarchical editorial process and instead rely on the dynamics and structure of the AERI annual institute to fuel the proceedings process.

A key assumption of this report is that AERI proceedings would be produced and published on the CDL *eScholarship* platform [<http://www.escholarship.org/>]. As a result, the report does not consider other publishing platforms or publication review tools. The report reviews the need and opportunity for AERI, summarizes a scan of proceedings volumes by other organizations, and presents recommendations related to peer review, formats, and the cycle of AERI institutes.

### **Environmental Scan Findings**

A three-person task force (Paul Conway, Rebecca Frank, Bob Riter) conducted an environmental scan of eleven (11) proceedings volumes published online and/or in paper formats by eleven scholarly/research organizations that hold annual conferences. A list of organizations and proceedings volumes reviewed is in Appendix 1.

The environmental scan extracted information on the formats of published products and the contents therein, the peer review and editorial processes employed to produce the proceedings, and details regarding indexing and rewards associated with the conference and its proceedings. The results of the scan were compiled into a spreadsheet and analyzed for patterns and discontinuities. Here are some findings:

#### *Publishing format*

- Online/Print. The proceedings of all 11 organizations are available online, some with restricted access. Six of 11 organizations also publish proceedings in paper format.
- All organizations reviewed are current with proceedings journals. The earliest proceedings date from 1973; two from the 1980s; one from the 1990s; eight proceedings volumes launched since 2001.
- Journal. Seven of the 11 organizations publish a formal journal in addition to conference proceedings.

#### *Content Formats*

For the purposes of the investigation, the category 'content format' includes short (4 pages) and long (8+ pages) papers, abstracts/summaries (1 to 4 pages), and 'other' (which includes posters and presentation slides).

- The proceedings of 10 of the 11 organizations include short/long papers.
- One organization publishes only extended abstracts that have the flavor of short papers.
- Eight of 11 proceedings provide for the publication of posters, either as abstracts or as reproductions of the poster itself.
- Three proceedings make no provisions for publishing poster content or abstracts.

#### *Peer Review*

For the purposes of our review, "full review" consists of blind peer review with revision and resubmission; "some review" consists of peer review without revision and resubmission; "none" means that all who are accepted to the conference are included in the proceedings, without any peer review or opportunity to revise and resubmit.

- Nine of the 11 conference proceedings incorporate either full or some peer review. There seem to be two general options for peer review evidenced in the nine organizations.
  - Program committee reviews full papers (short and long) months in advance, offers suggestions for revisions, with final papers published either at or shortly following the conference.
  - Program committee reviews extended abstracts before the conference with revised abstracts or final papers (not reviewed) published during or following the conference.
- Seven of 10 organizations utilize a blind peer review process, where the authors are not aware of the names of reviewers but where reviewers know the names and affiliations of the authors.
- One of the 11 organizations uses a double-blind review process.
- Three organizations use an open review process with attribution of reviewers to authors.

#### *Timeline*

- Three of 11 organizations distribute proceedings (on thumb drives or paper) at the conference. The remaining 8 organizations publish proceedings after the conference, on timelines ranging from one week to one year after the conference.
- Review processes of full or short papers prior to the conference take a minimum of 4 months to complete.

#### *Editorial and Indexing*

- In all cases, the program committee exercises significant editorial control, particularly regarding peer review and the format of the proceedings.
- Generally full or short papers are reviewed by at least two and up to four reviewers.
- All proceedings show evidence of format editing and control, either through the use of templates or through active format editing. Six of 11 proceedings appear to use some variation of the ACM template.
- Two of the 11 proceedings publications show evidence of copy/content editing beyond format controls.
- Six of 11 proceedings volumes are indexed by one or more A&I services.

#### *Awards*

- Five of the 11 proceedings included in this study do not include any awards.
- Two of the 11 include awards for posters only.
- Four proceedings volumes include awards for best/outstanding papers, in various categories. It appears that best paper awards are associated with the most prestigious conferences, including ASIS&T, CHI, CSCW, and JCDL.

### **Recommendations**

Our task force has three broad recommendations for AERI:

1. Publish a proceedings volume beginning with the 2014 Institute that is led by the program committee of a given Institute but driven by format guidelines and the publishing capabilities of the *eScholarship* platform from CDL.
2. Given the inclusive nature of the Institute (all participants are expected to contribute) and the collaborative style of the program, the proceedings should provide flexible outlets for contributions that encompass peer review of full (short and long papers), reproduction of

posters, and provision of abstracts of all contributions, including workshops, plenary sessions, and all special events. Awards should be associated with peer-reviewed contributions only.

3. Provide an opportunity for participants to “upgrade” their contributions from the Institute to the proceedings, following commentary and suggestions from session chairs and program committee members.

More specifically, we recommend:

- *Blind peer review.* Full (short and long) papers submitted three months in advance of the Institute will undergo blind (not double blind) peer review by at least two members of the program committee. Reviewers should be chosen for their expertise in, or familiarity with, the topic/methodology of the paper. Comments should be provided to the authors who would have a “moral” obligation to respond to the comments either by making revisions or by counter-argument. Papers submitted after the Institute will not be peer reviewed and will be marked as such in the proceedings.
- *Paper formats.* Long papers will be between 4,000 and 6,000 words. Short papers will be between 1,500 and 4,000 words. Posters will be reproduced as PDF documents and will include an abstract. Participants who submit NEITHER a paper nor a poster for the proceedings will submit a revised abstract of their presentation, workshop, or special event.
- *Timing.* Proceedings will not be distributed at the Institute. The initial goal will be to publish contributions as they are finalized with all contributions published within 6 months following the Institute.
- *Upgrade options.* Session chairs, in coordination with the program committee, will hold the option to recommend and approve the upgrading of contribution formats from abstract-only to paper, from poster to paper, and from short paper to long paper. In other words, the format and structure of individual contributions will be finalized only after the presentations at the Institute, thus preserving maximum flexibility to the participants and preserve AERI’s current culture of presenting work in progress.
- *Editorial.* The purpose of the editorial coordination is to establish format specifications (possibly through the use of templates such as those used by ASIS&T) for the proceedings contributions, to formalize peer review procedures, and to monitor the contributions into the *eScholarship* platform. The editorial process will be limited to format issues, not copy editing of content.
- *Indexing.* Individual contributions to the proceedings must be indexed by one or more A&I services and discoverable through Google Scholar. This report assumes that the choice of the *eScholarship* platform provides for appropriate indexing services.
- *Awards.* A subset of the program committee will award one or more “best paper” awards from among the papers submitted in advance of the Institute. This approach is designed to provide incentives for the preparation of full (short or long) papers in advance of the Institute and engaging with peer review. These awards could include the current awards given at AERI for posters.

Respectfully submitted,

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### Appendix 1

Name of Organization	Name of Conference	Title of Proceedings	Years of Publication	Type of Papers	Delivery Method	Review/Editing
ACM: Association for Computing Machinery	The ACM Conference on CSCW (Computer Supported Cooperative Work)	Proceedings of the ACM 2012 conference on Computer Supported Cooperative Work	1986-present	Final Papers: Short, Final Papers: Long	Paper, Online	Peer Review
ACM: Association for Computing Machinery	CHI: Conference on Human Factors in Computing Systems	Proceedings of the SIGCHI Conference on Human Factors in Computing Systems	1981-present	Final Papers: Short, Final Papers: Long	Paper, Online	Peer Review, Revision
American Society for Information Science and Technology	ASIS&T Annual Meeting	Proceedings of the American Society for Information Science and Technology	2002-2012	Final Papers: Long, Posters, powerpoint presentations	Paper, Online	Peer Review, Copy Editing
Association for Literary and Linguistic Computing	Digital Humanities 2012	Digital Humanities 2102 Conference Abstracts	2008-present	Extended Abstracts, podcasts of presentations	Online	Format Editing, Peer Review, Copy Editing, Revision
Canadian Association for Information Science	[Conference Number] Annual Conference of the Canadian Association for Information Science.	Proceedings of the [Conference Number] Annual Conference of the Canadian Association for Information Science.	1973-present	Final Papers: Short, Working Papers: Short, Posters, Abstracts, Extended Abstracts	Paper, Online	Format Editing, Peer Review, Revision
IEEE/ACM	Joint Conference on Digital Libraries	Proceedings of the 12th ACM/IEEE-CS joint conference on Digital Libraries	2001-present	Final Papers: Short, Final Papers: Long, Abstracts	Online	Peer Review, Revision

**Appendix 1**

International Association of Scientific and Technological University Libraries	The [Conference Number] Annual IATUL Conference.	[Year] IATUL Conference Proceedings	1996-present	Short and Long Final and Working Papers, Posters, Abstracts, presentation materials, and video of the Plenary and Keynote sessions.	Online	Proceedings produced is not an edited work.
LOEX (Library Orientation Exchange)	LOEX National Conference	LOEX Conference Proceedings / Library Orientation Series	2006-2009	Final Papers: Short	Online	Format Editing, Copy Editing
SAA Research Forum (An initiative developed by the Society of American Archivists.)	[Meeting #] Annual Research Forum (This is a one day conference held during the annual SAA conference.)	Proceedings of the [Meeting #] SAA Annual Research Forum.	2008-present	Final Papers: Short , Long, Working Papers: Short, Long, Posters, Abstracts	Online	Format Editing, Peer Review, Editorial Review, Revision
Society for Imaging Science and Technology	Archiving 2013	Archiving 2013: Final Program and Proceedings	2004-present	Final Papers: Short, Final Papers: Long	Paper, Online	Peer Review
Carious: host site is lead	International Conference on Preservation of Digital Objects	Procceedings of the International Conference on Preservation of Digital Objects	2004-present	Final Papers: Short, Final Papers: Long, Abstracts of tutorials	Paper, Online	Format Editing