

JOURNALS CHARTER

The purpose of a charter is to inform all involved in the creation of Institution of Civil Engineers serial publications of their responsibilities, obligations, and ICE's expectations of them. It is provided to all stakeholders involved in ICE journals.

Contents

Introduction to ICE

The Institution of Civil Engineers (ICE) is a registered charity that strives to promote and progress civil engineering for the benefit of society. We believe that civil engineers are "at the heart of society, delivering sustainable development through knowledge, skills and professional expertise."

ICE was founded in 1818 to exchange knowledge and ensure that its founders were all sufficiently well informed and trained to deliver civil engineering works for the benefit of society. It was granted a royal charter in 1828 where ICE stated that its aim was to "foster and promote the art and science of civil engineering". That is still ICE's aim. Today ICE represents nearly 80,000 members worldwide and provides them with a range of knowledge services.

Knowledge at the heart of ICE strategy

For nearly two centuries the exchange of knowledge has been at the core of ICE's activity and purpose. In the 2013 business plan this is expressed as 'maximising the opportunities inherent in our knowledge programme by using industry experts to give it credibility and quality, making what we have more widely available, and developing new sources of knowledge'. This recognises the crucial contribution volunteers, many of whom are ICE members, make to our knowledge services, through their expertise. ICE's obligation is to make this knowledge, and the progress of engineering science, available for the benefit of society, through all media in which innovative knowledge is disseminated.

Brief history of ICE knowledge

ICE's early members exchanged information and their knowledge at meetings in London. From 1819 they organised a library as a source of reference and as a resource from which enquiries from members could be answered. Since the 1890s local groups have also organised meetings and kept a record of their proceedings. Today, many of our library services are available on the web and lectures are recorded and broadcast via the internet.

In 1836 ICE published its first journal or 'proceedings'. This meant that it was no longer necessary to attend London meetings to share in ICE's knowledge. ICE's journal was from the first recognised as one of the world's leading journals for civil engineers, and nearly 200 years later, ICE journals have retained that position amongst the profession, with a blend of innovative case studies and academic papers on engineering science.

In 1948 Géotechnique was established as an international journal for the geotechnical community, the first ICE journal that did not simply report ICE proceedings. Since the 1990s ICE journals have regularly introduced new journal titles to meet identified knowledge needs.

The formation of Thomas Telford Ltd

CEICE distributed its journals freely to its members until 1972, by which time rising printing costs had made this financially unsustainable. At that time it was decided to introduce a new magazine, *New Civil Engineer*, for general distribution, and make the journals available on subscription at a much reduced member rate. Thomas Telford Ltd was therefore created as a wholly owned subsidiary charged with managing ICE's commercial activities to maximise the funds available for ICE to discharge its charitable duties. This business model has enabled ICE to expand its journal publishing activity to a position where it is globally recognised by civil engineers, the academic community and the international librarian community. It ensures that ICE's knowledge can be shared globally. A key investment is the ICE Virtual Library, a web platform which brings together all ICE publications, and makes them available for members, individuals and institutions.

Reputation

ICE's reputation as a Learned Society relies on its peer reviewed knowledge activity. Since the seventeenth century, with the establishment of the Royal Society of London and the Academie des Sciences in Paris, the peer reviewed journal has been recognised as the gold standard of knowledge. ICE is proud to continue its rigorous peer review process.

Reputation is at the heart of ICE Council's statement at its 2012 strategic meeting that the ICE is an organisation recognised and operating globally as an authoritative and independent voice because of its collective knowledge and emphasis on lifelong learning and education

Characteristics of a learned society peer-reviewed journal

Any peer-reviewed journal is the product of a partnership between a number of groups of experts. These are: the authors who provide the content; the reviewers who consider the content and judge it for standards of technical validity, scope, innovation, and presentation; the editors who set the scope of the journal and consider the recommendations of the reviewers, and the publisher who arranges the dissemination of approved content in a timely manner. Generally the reviewers and editors are volunteers, recruited for their expertise. Generally there is an owner such as ICE who will appropriately delegate all or many of the processes. In the case of learned societies, any society will expect the highest standards of all stakeholders involved in every journal.

Boundaries

Journals form part of the assets of the Institution, and as with any other body, in considering the 'common weal' of the Institution, considerations of the greater good must take priority over the interests of a narrowly defined group when determining the strategy and business plans of any journal.

The need for governance

ICE, like any charity, has a board of trustees, which in ICE's case is known as Council. Its responsibilities and liabilities are informed by guidance from the Charity Commission, and also the ICE's own Charter and byelaws. Council is ultimately responsible for ICE's strategy and the discharge of ICE's role as a learned society.

Council delegates responsibility for implementation of ICE strategy and business activity through a committee and panel structure, and through the Director General, and its permanent staff. This results in a matrix of responsibility to provide strong governance. This presumes an understanding among both staff and volunteers of their interdependent responsibilities.

Generally there is an obligation on all ICE members including panel members to ensure their CPD is up to date, and all interests are declared to avoid potential conflicts of interest.

How ICE and its panels interact

ICE provides strategic direction and delegates to its staff the responsibility to deliver the business plan. Most outputs depend for their delivery on the engineering expertise of the volunteers and the time they have available to share this knowledge. In practice, this means that successful panels are a partnership with volunteers and other stakeholders providing engineering knowledge and staff providing professional expertise in production, sales and marketing, digital delivery and other relevant skills.

Values

ICE expects its staff, members and volunteers to behave professionally and ethically at all times.

Guidance is available generally at <https://www.ice.org.uk/about-us/who-runs-ice/how-we-work/conduct-policy> and for staff at <http://iceintranet/policies/>.

Journals

Introduction

ICE has been publishing a range of journals for over 150 years. Peer-reviewed journals have an editorial panel, associated reviewers, and staff support. Their production therefore rests on the collaboration of volunteers, ICE staff, and contractors.

Each journal has specific characteristics but there are a number of common considerations and courtesies which all stakeholders should be aware of and are set out in this document.

Stakeholders

All journals have a community of stakeholders with varying characteristics and the impact on all stakeholders needs to be considered when decisions are made which affect the journal.

The primary stakeholders are:

- Authors
- Readers
- Subscribers (Libraries and individuals)
- ICE (owner)
- Panel members
- Publisher

Secondary stakeholders are:

- Research Funders
- Authors' employers
- Associated Societies
- Other institutions
- ICE Members
- Potential authors, readers and subscribers

Tertiary stakeholders are

- Printers
- Web designers
- Virtual library service suppliers

Roles

ICE will ensure that:

- The panel, publisher and the Institution (as owner) have clearly defined roles with clear accountability (expressed in appendices)
- There is an agreed process, which may include a meeting, for each editorial panel and the publisher and other key stakeholders to agree with the publisher the business plan for the journal including issues regarding paper flow
- There is a clear and transparent process for appointment and rotation of panel chairs and members
- There are appropriate controls to safeguard the legal, financial, academic and other reputational interests of the Institution
- There are appropriate controls to ensure that the Trustees of the Institution are able to fulfil their duties
- There are appropriate controls to safeguard the quality of the journals published by the Institution thereby ensuring the continued reputation and market value of the Institution's publications.
- All stakeholders treat each other with respect

ICE expects that the publisher and the editorial panel will work together to ensure that:

- The journal has a clear topic scope and strategy
- The journal publishes all papers that meet a range of objective quality criteria within the scope of the journal's editorial policy. These criteria will be agreed between the publisher and editorial panel and reviewed on an annual basis (see appendix 5)
- The journal actively seeks submissions from the widest possible range of institutions, researchers and practitioners.
- The journal serves a worldwide market of authors and readers
- Papers travel through all stages of the process (submission-publication) in line with industry standards as quickly as possible, with targets agreed annually and reported regularly, without jeopardizing quality of the review process

ICE expects that the publisher will ensure that:

- The journal is managed to deliver an optimum surplus of income over costs to the ICE without compromising on the intellectual quality and thus the reputation of ICE
- The journal is marketed effectively
- The journal is made available to ICE members at a preferential rate
- The publisher has an investment strategy that will ensure it can adopt appropriate publishing industry best practices (and technologies) to serve authors and readers better wherever feasible

ICE recognises that

- authors and panel members generally do their best to act in the interests of the journal and will recognise this by thanking volunteers, awarding the best papers prizes, and ensuring they are kept fully informed of ICE values and procedures

THE RESPONSIBILITY ASSIGNMENT MATRIX - 'RACI'

Introduction

Publishing a journal involves multiple stakeholders drawn from different organisations engaged in a wide range of roles. Some stakeholders are volunteers, of whom a proportion are ICE members, others are employees or suppliers. The responsibility assignment matrix, or 'RACI', is a tool used to improve communication between stakeholders and clarify responsibility and accountability. All accountabilities are held by virtue of delegation by the owner, ICE.

Definition of terms

'R' = Responsible : The role is responsible for completing the task, (they may be assisted by others). This includes the authority to make task related decisions in consensus with other responsible parties. The boundaries of responsibility are defined by the 'accountable' person.

'A' = Accountable : The role is answerable, in accordance with the 'organisational' diagram, (that supports this RACI matrix) , for the achievement and quality of the activity or process. This includes the authority to sign-off or veto work or decisions. Only one accountable person can be assigned to an action.

'C' = Consulted : Those role holders whose opinions are sought *before* a decision is taken, (two-way communication). This should follow the defined consultation process and be based upon trust and true dialogue between the parties.

'I' = Informed : Those role holders who are informed *after* a decision is taken or task completed. (one-way communication)

Example of the RACI in action

Task: "Define and document the paper selection policy".

The roles relevant to this task appear in the RACI matrix as below:

R	A	C	I
Ch	DEPI	P	JC

The following paragraphs explain how the matrix would operate in practice. Ch' = Chair, 'DEPI' = Director EPI, 'P' = Panel, 'JE' = Journal Co-ordinator

Responsible : The Chair is responsible for consulting the panel *before* defining and documenting the paper selection policy. The Chair decides upon the policy and completes the task.

Accountable : The Director EPI, 'DEPI', is accountable for ensuring that the paper selection policy aligns with ICE Group's stated objectives. It is expected that generally, DEPI will be able to accept the policy decided by the Chair. In the event of any concerns, DEPI may refer the paper back to the Chair for further refinement. In the unlikely event that a revised policy does not better align with ICE's objectives, DEPI may veto the policy and ask the Chair to seek to agree a policy that does align with ICE's objectives.

Consulted : Panel members can expect to be consulted by the Chair at a sufficiently early stage that their input can realistically be considered before the paper selection policy is finalised.

Informed: The Journal Coordinator will be informed of the paper selection policy *after* its completion by the Chair *and* review by DEPI.

Role of the Learned Society

Learned Society Committee delegates to DEPI a number of accountabilities as set out in the RACI. These include ensuring appropriate persons are appointed as Editors and panel members. DEPI discharges this responsibility by managing panel appointments and resignations and DEPI is the signatory on all correspondence covering such matters. The Learned Society holds ICEP accountable for all other aspects of the panels' work as shown in the RACI organisational diagram.

KEY

Responsibility key:

Ass	Assessor
Auth	Author
EP	ICE Expert Panel
Ch	Panel Chair
DEPI	Dir Engineering, Policy and Innovation
EDK	Executive Director Knowledge
EV	ICE Events Team
FYSC	Final year sub-committee
GM	General Manager, ICEP
JM	Journals' Manager
P	Panel
PM	Production Manager
Rev	Reviewer
JE	Journals Editor
SIPC	Symposium in print committee
SM	Sales Manager
TISC	Themed issue sub-committee
TTM	Thomas Telford Marketing
VLM	Virtual Library Manager
TTL	TTL Board
LSC	Learned Society Committee

Stakeholder groups

Editorial Panel
ICE
ICEP

#	Task	R	A	C	I ¹	Notes
Strategy and policy						
1	Define and document the scope of the journal	Ch	DEPI	P	JC	
2	Define and document the paper selection policy	Ch	DEPI	P	JC	
3	Define, document and deliver the content strategy	Ch	DEPI	P	JC	
4	Ensure that GAP comply with charitable objectives of ICE	Ch	DEPI	P		
5	Set commercial strategy and rolling 3 yr business plan	GM	TTL	P, DEPI		
6	The Panel complies with the Journal Charter	Ch	GM	JM/DEPI		
7	The Publisher complies with the Journal Charter	GM	EDK	TTL/DEPI		
8	Definition and maintenance of Journal Charter	GM	LSC	Ch, P, DEPI		
9	Definition and maintenace of escalation procedure	DEPI	DEPI	Ch, GM		
Panel membership						
10	Nominations for GAP Chair/Honorary Editor	P	P			
11	Ratification of the Panel Chair appointment	DEPI	DEPI	JM	BGA	
12	Nominations for possible new GAP members	GSC	P			
13	Invitations made to new GAP members	Ch	DEPI		BGA	
14	Ensuring compliance with ICE Code of Professional Conduct	Ch	DEPI			
Meeting governance						
15	Preparation and distribution of minutes and agenda	JC	Ch	Ch		
16	Acceptance of documents tabled in meeting	P	Ch			
Assessments						
17	Non-contentious assessment decisions	Ass	Ass		P, JC, Auth	
18	Contentious assessment decisions	Ass	P	P, JC	P, JC, Auth	
19	Pre-Assessment (quality/content issue) leading to rejection	Ass	Ch		P, JC, Auth	
20	Pre-Assessment (over-length)	Ass	Ass		Auth, P, JC	
21	Allocation of reviewers and managing review process	Ass	Ass			
22	Allocation of assessors	JC	Ch	P		
23	Communication of comments to authors (non-contentious papers)	JC	JC			
24	Communication of comments to authors (contentious papers)	JC	P	P		
Rankine / Géotechnique Lecture						
25	Invitation to Rankine Lecturer to write paper	Ch	Ch		P, JC, BGA	

Responsibility Assignment Matrix - 'RACI'
ICE Publishing

26	Review of Rankine paper	Ch	Ch		JC		
27	Nominations for Géotechnique lecturer	GSC	P		Ch		
28	Invitation to Géotechnique lecturer	Ch	Ch	GSC	JC, BGA		
Symposium in Print							
29	Selection of Symposium in Print topic	P	P		JC, BGA		
30	Organisation of Symposium in Print & one-day Symposium	SIPC	SIPC	EV	JC, BGA		
Other							
31	Book Reviews (no issue review / problem reviews)	Rev	Ch		JC		
32	Selection of themed issue	P	Ch		JC		
33	Organisation of themed issue	TISC	TISC	DEPI	JC		
34	Publish annual list of reviewers who assisted	JC	JC	P			
35	Inform authors of supplementary web data options	JC	JM				
36	Approval of supplementary web data submissions	Ass	JM	Ch			
37	Review each issue & its supplementary material	P	P		JC		
38	Prepare citations and list for ICE Journal Awards	FYSC	P		JC		
39	Maintain close relationships with ICEP	Ch	DEPI	GM, P			
40	Maintain links with other relevant ICE Panels	Ch	Ch		JC		
Editorial							
41	Determine extent, (no. of pages per issue)	JM/P	GM	P			
42	Determining issue frequency	JM/P	GM	P			
43	Agree annual target for average submission to acceptance time	P/JM	GM	P	JC		
44	Social networking	JC/P	JM		P		
45	Provide and maintain the paper submission database	JM	GM		P		
46	Liase with EPI on the Learned Society Programme	JM	JM	DEPI	P		
47	Liase with BGA with regard to potential authors & topics	JC/P	JM		P		
Production							
48	Branding	TTM/P	GM	P			
49	Cover design	TTM/P	GM	P			
50	Internal design	TTM/P	GM	P			
51	Article layout	TTM/P	GM	P			
52	House style	TTM/P	GM	P			
53	Print specifications	PM	GM	P			
54	Preparation of proofs	PM	PM				
55	Agree annual target for acceptance to AoP time	PM/P	GM	P	JC		
56	Agree annual target for AoP to print time	PM/P	GM	P	JC		

Responsibility Assignment Matrix - 'RACI'

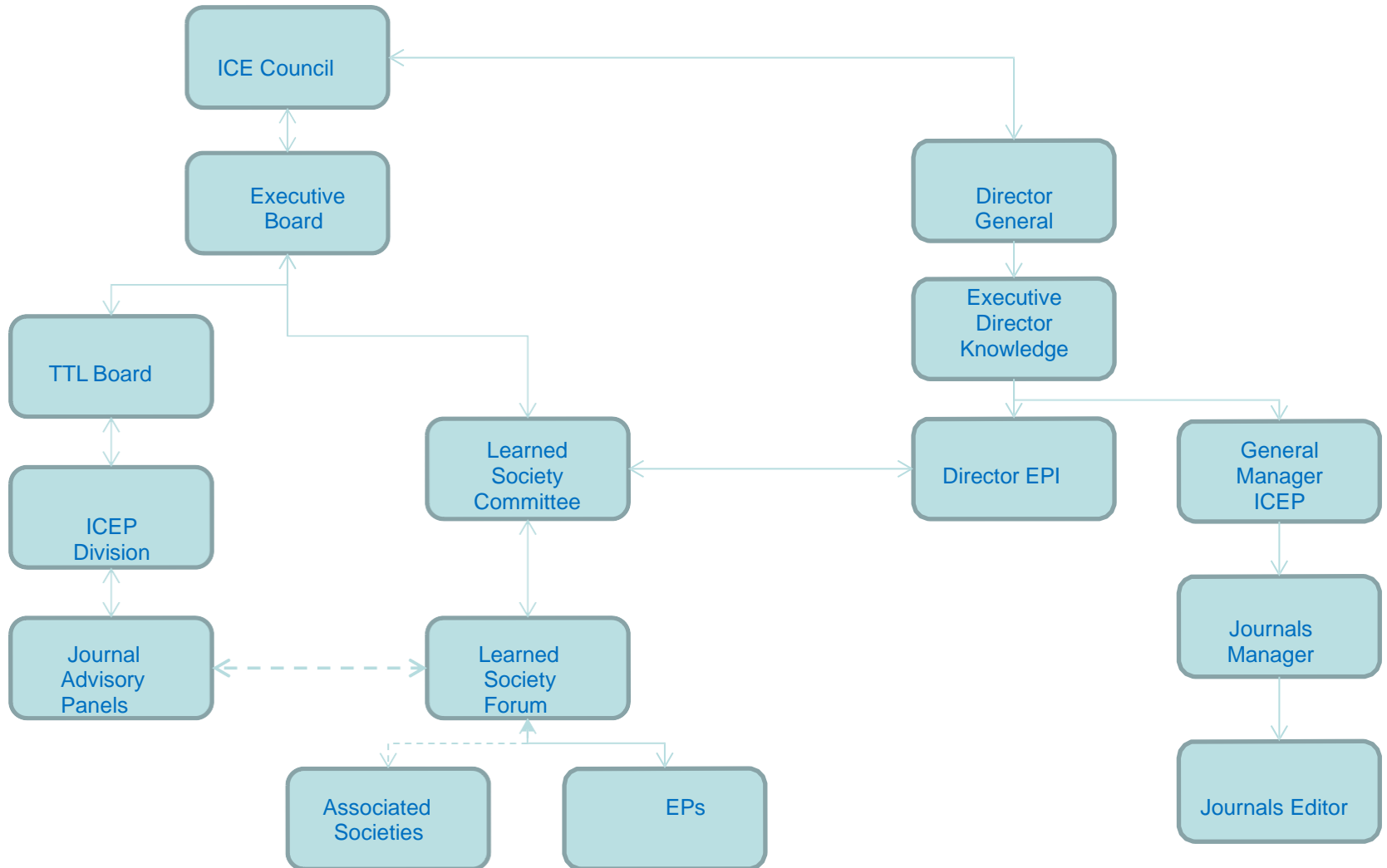
ICE Publishing

57	Print fulfilment	PM	PM				
Virtual library							
58	Content availability	VLM	GM		P		Inform when changes or problems
59	Access management	VLM	GM		P		Inform when changes or problems
60	Discoverability	VLM	GM		P		Inform when changes or problems
61	Table of Contents alerts	VLM/P	GM		P		A robot process that sends metadata to subscribers
62	Roadmap development	VLM	GM	P			
63	Journal homepage <i>content</i>	JM/P	JM	P	P		Template common to all journals on platform
64	Problem resolution	VLM	GM				
Commercial							
65	Pricing	SM	GM	P			
66	Copyright	JM	GM		P		
Reporting							
67	Of production metrics	PM	GM		P		
68	Of impact factor	JM	GM		P		
69	Download and usage metrics	VLM	GM		P		
Promotion							
70	Online and printed collateral	SM	GM	P			If specifically relevant to Géotechnique
71	Promoting Géotechnique within the community	P	Ch	BGA			
Notes							
¹ 'Inform': much of the 'I' activity is achieved automatically through Editorial Manager							

'Organisational diagram to clarify RACI'

Organisation structure

Staff structure



Consultation process

Introduction

This document seeks to improve dialogue and trust between all stakeholders by providing a better understanding of why, how and when they can expect to be consulted about key decisions relating to a journal that they have an interest in. The process outlined supports the 'C', (consultation), step referred to in the RACI matrix that documents responsibilities and accountability for key processes and decisions relating to a journal.

Why consult?

Each journal has many stakeholders, for example, the panel, authors, reviewers, individual subscribers, institutional subscribers, ICE and ICE Publishing. These stakeholders have many interests in common, but also, inevitably, they will have some points of difference. For example, improvements to the virtual library may be of high importance to online users but important to print users. We hope that by defining and sharing our consultation process, we are able to make our decision making process more transparent to our stakeholders.

When will we consult stakeholders?

The RACI defines the typical steps that stakeholders can expect to be consulted upon. From time to time, changes or decisions may be proposed that are not covered by the RACI, in such circumstances ICEP will act in good faith to initiate an appropriate consultation with the stakeholders as soon as is reasonably practicable.

Panels typically meet four times a year, and where possible, we will initiate consultations at one meeting and explain the consultation results and decision at the next. The period between the meetings will allow for further data and opinions to be gathered as necessary. This timetable will typically be followed for items covered by the RACI, such as publication schedules, that can be planned some time in advance. Where matters arise that require more urgent decisions, for example because of rapid change in the publishing market, the consultation timing will be adapted accordingly.

ICEP aims to ensure that stakeholders receive sufficient advance notice of proposed changes, and an opportunity to express their opinions, before the final decision is made. We will endeavour to ensure that stakeholders' opinions are sought in an appropriate and timely manner.

What is the consultation process?

The process followed depends upon the significance of the item to be consulted upon. The formality and extent of the consultation process increases in proportion to the importance of the change. The table below briefly summarises our approach. The table is not intended to be an exhaustive list and other appropriate tools may be deployed.

Nature of change	Examples	Consultation tools
Minor	Agree annual meeting schedule. Approval of draft minutes.	Discussions and email record.
Moderate	Upgrades to VL and related content. Changes to ICEP annual production targets.	Presentation or documents provided to stakeholder/panel meeting. Discussion recorded in minutes.

Major	Changes to extent/issues. Branding changes	Agenda item. Formal consultation paper. Stakeholder surveys.
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When appropriate, ICEP will provide a consultation briefing paper which may typically include:

- the reasons why a consultation is being initiated
- the options under consideration
- the steps in the consultation process
- the timetable for decision(s)
- a brief statement of the decision making criteria
- the name(s) of the decision maker(s).

A generic example of a consultation paper is attached as Appendix A.

Who will be consulted?

An initial step in planning each consultation is to identify the relevant stakeholders. At an early stage in each consultation, ICEP will also enquire of identified stakeholders if there are any further stakeholder groups who should be considered. Typical stakeholders are listed in the 'Why Consult' section of this process document.

How is the decision made?

Once the opinions of relevant stakeholders have been obtained, these will be reviewed by the responsible person, as defined in the RACI or consultation paper. Having taken all views into account the responsible person and the defined decision maker(s) will reach a conclusion. If appropriate, further information may be sought from stakeholders within the decision making process. In the case of the major consultation category, the consultation paper will be updated to provide a written summary of the views obtained and the reasons behind the final decision.

Escalation process

In the event that a group of stakeholders believe that the consultation *process* has not been properly followed, the complaint process may be invoked.

APPENDIX A – CONSULTATION PAPER TEMPLATE

Introduction

The purpose of this briefing paper is to define the reasons for and process to be followed in consulting stakeholder on

Background

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Options under consideration

The options identified are listed in prioritised order below, with fuller explanations provided in the following paragraphs.

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Stakeholders

The key stakeholders to be consulted are:

1. Group A
2. Group B

Steps in the consultation process

#	Description	Responsible	Deadline
1.	<i>Lorem ipsum dolor sit amet, consectetur adipiscing elit</i>	Name	Date
2.	<i>Lorem ipsum dolor sit amet, consectetur adipiscing elit</i>	Name	Date

The decision making process

Decision making criteria

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Decision makers

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Decision timetable

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PART 2 – Decision summary

Option evaluation

Issue description	Evaluation of options considered			
	Option 1	Option 2	Option 3	Option 4
Lorem ipsum dolor	F	F	F	A
Lorem ipsum dolor	F	P	F	A

Key: 'A' = issued addressed; 'F' = fails to address issue; 'P' = partially addresses issue.

Option 1 – evaluation summary

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Option 2 – evaluation summary

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Risk evaluation

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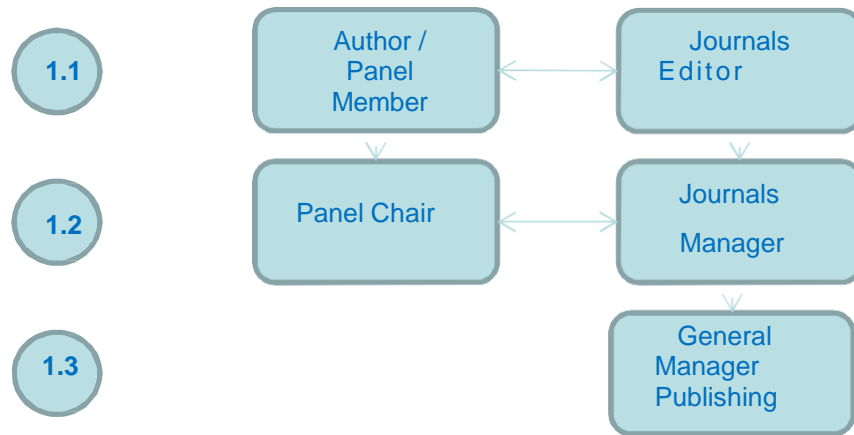
Risk description	Impact	Likelihood	Combined	Mitigation
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Lorem ipsum	L	L	L	Lorem ipsum

Decision

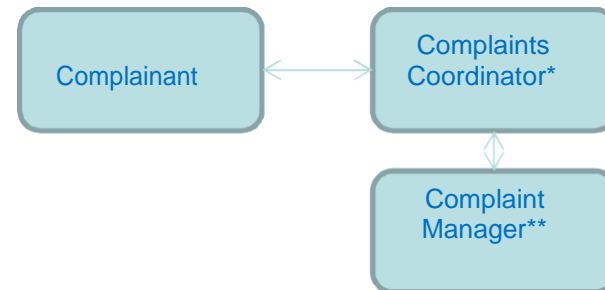
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Complaint escalation process

Stage 1: resolution at point of service



Stage 2: formal complaint



Stage 3: escalation



* Director, Membership
** Allocated Senior Manager

ICE Publishing forecast model

	2013	2014	2015
Backlog of papers brought forward 1 Jan each year	X	=C15	=E15
Issues required (excluding 2 themed issues)	X	X	X
General papers required per issue	X	X	X
	=-B5*B6	=-D5*D6	=-F5*F6
Papers required to publish in 2013	X	=B10	=D10
Prior year general paper submissions	X	X	X
Passive growth	=ROUND(B8*B9,0)	=ROUND(D8*D9,0)	=ROUND(F8*F9,0)
Expected submissions	X	X	X
	=B10*B11	=D10*D11	=F10*F11
Acceptance rate			
Accepted papers	=SUM(C4:C14)	=SUM(E4:E14)	=SUM(G4:G14)

Backlog of papers carried forward 31 December

Issues to match paper flow (no buffer i.e. no queue) =(C15/B6)+B5 =(E15/D6)+D5 =(G15/F6)+F5