Carnegie Mellon University
University Libraries

Scholarly Communications
Digest

October 2015

In this issue

We want to hear from you

Send us your questions, suggestions for topics, and information to include in the SC Digest.

Contact
Denise Troll Covey

Next Steps from Keith & Denise

This issue continues the focus on #OpenCMU, the campaign to increase access to CMU work and to promote recognition of different types of work products. **Important next steps for researchers include:**

- Engaging with #OpenCMU,
- Sending us your publishing agreements so we can help you interpret them and choose options appropriate to your goals, and
- Taking responsibility for your publishing choices.

Mark your calendar to attend the October events promoting open and how it can enhance careers, education, progress and communication among researchers. Learn about open data & open peer review.

Open Academic Tidal Wave

According to Mark Hahnel, founder of figshare, 2015 is the year of open data mandates. His article on the topic describes what he calls the Open Academic Tidal Wave, a **six-step route to providing open access to work arising from publicly funded research**:

1. Recommended open access to articles
2. Recommended open access to all digital outputs (e.g., data)
3. Mandated open access to articles
4. Mandated open access to all digital outputs
5. Enforced mandated open access to articles
6. Enforced mandated open access to all digital outputs

"As governments and funders of research see the benefit of open content, the creation of recommendations, mandates and enforcement of mandates are coming thick and fast." Hahnel observes that many funding bodies globally have already passed the tidal wave halfway mark, and that when it comes to open data mandates, the velocity of new mandates is accelerating in North America.

What is open data? Data collected or created in machine-readable and open formats, following data and metadata standards, and made available under an open data license.

CMU Libraries provides scholarly communications and research data management services to help you comply with funder mandates.

Events Promoting Open

For brief descriptions of these events, see
[Open Access Week 2015](#).

The Open Movement in Higher Education
October 15, 10:30 am – noon
Hillman Library G-74
University of Pittsburgh
Presentation by Sheila Corrall
 Chair, Library & Information Sciences Program,
 University of Pittsburgh

In Broad Daylight: Innovation & Transparency in Peer Review
October 19, 4:30 – 6 pm
University Club Ballroom A
University of Pittsburgh
Panel discussion
 Larry Kane, Univ of Pitts, F1000 Research
 Josh Nicholson, *The Winnower*
 Brandon Stell, PubPeer
 Lenny Teytelman, @ProtocolsIO

Got Data? Building a Sustainable Ecosystem for Data Driven Research
October 21, 5 – 6 pm
Gregg Hall (Porter 100)
Presentation by Francine Berman
 U.S. lead, Research Data Alliance Distinguished
 Professor in Computer Science
 Director, Center for a Digital Society
 Rensselaer Polytechnic Institute

NFAIS Virtual Conference
The Impact of Open Access Models: Finding Stable, Sustainable and Scalable Solutions
October 23, 9 am – 4:30 pm
Hillman Library G-74, U Pittsburgh

Open Data & Research Futures
October 29, 4 – 6 pm
 4 – 4:30 pm reception & poster showcase
 4:30 – 5:45 panel & presentations
 5:45 – 6 reception & poster showcase
Mellon Institute Library
Featuring CMU and Pitt researchers who facilitate, require and use open data.

Creative Commons Film & Trivia Night
Date and time TBA
Nordy's, William Pitt Union, U Pittsburgh

Open Mandates & Compliance

Worldwide, government and private sector funding organizations are increasingly mandating public (open) access to **publications** arising from funded research and the **datasets** underlying the publications. Some mandates also require these works to be licensed under terms that enable creative re-use. Why? Because open access and open licensing increase use, citation and impact, maximizing the return on investment in research for both the researcher and the funder, and accelerating advances in the disciplines.

In the United States, government agencies are under a Directive from the White House to develop public access mandates. Many government agencies and private funders have policies or clearly articulated plans requiring open access to publications and/or data resulting from their funding. [Here](#) is a a quick slideshow of the U.S. funders requiring open access. For an updated list with links to policies and plans, go [here](#). For an overview of the current state of federal mandates, see [U.S. Public Access Mandates](#) in this issue of the SC Digest.

If you receive funding from an organization with a public access mandate, your continued funding is contingent on your compliance with the mandate. The requirement to provide public access to your funded research publications could affect your choice of publisher, so before you submit your manuscript for peer review, [check](#) the publisher or journal's policy to ensure that it allows you to comply with the mandate.

Consult your [liaison librarian](#), the Scholarly Communications Librarian, [Denise Troll Covey](#), or the Data Services Librarian, [Lisa Zilinksi](#), if you have questions about public access mandates.

Quality Open Access Market

Concerned about how to find quality open access journals in your field? The [Quality Open Access Market](#) (QOAM) can help you. The database is populated by ratings of open access journals by authenticated academics. You can see who performed the evaluations. And you can contribute to the database by completing a score card on an open access journal.

The [Base Score Card](#) rates the transparency of the journal's website regarding editors, peer review, governance and process. The [Valuation Score Card](#) is a reality check based on an author, editor or peer reviewer's experience. Together, the Base and Valuation scores enable a SWOT analysis to indicate whether a journal is Strong, Weak, an Opportunity for the publisher to improve, or a Threat to authors. As of September 2015, over 2,400 journals had been scored. [PeerJ](#) and [eLife](#) scored as Strong journals. Journal Score Cards have a life cycle. They may be edited at any time and are effective for one year.

How You Benefit from ORCID

As an author: To date, 39 publishers have integrated ORCID into their workflows. They authenticate and collect your ORCID when you submit a manuscript and associate it with the published work, which means your ORCID gets indexed in publication databases. These publishers can enable you to pull data from your ORCID record to complete fields in the submission form and, with your permission, they can automatically update your ORCID record if your paper is accepted for publication. IEEE plans to require ORCID in the near future.

As a reviewer: Some publishers ask peer reviewers for their ORCID. American Geophysical Union and Faculty of 1000 are using ORCIDs to make peer reviews open and citable. Publishers can embed ORCIDs in data exports to services like [PRE](#) (Peer Review Evaluation), to enable publication and quality control of peer reviews.

Wondering whether your CMU colleagues participated in ORCID @ CMU? Check out the graphs in our [report](#).

Manifesto on Research Metrics

The 2015 [Leiden Manifesto](#) published by Diana Hicks, Paul Wouters and colleagues articulates ten principles to guide research evaluation. The principles are a response to "the pervasive misapplication of indicators to the evaluation of scientific performance," for example, basing promotion decisions on threshold h-index values and the number of articles published in so-called high impact journals

Believing "the abuse of research metrics has become too widespread to ignore," the Leiden Manifesto presents principles of best practice in metrics-based research assessment "so that researchers can hold evaluators to account, and evaluators can hold their indicators to account." The ten principles are:

1. Use quantitative evaluation to support qualitative, expert assessment.
2. Measure performance against the research mission of the institution, group or researcher.
3. Protect excellence in locally relevant research.
4. Keep data collection and analytical processes open, transparent and simple.
5. Allow those evaluated to verify data and analysis.
6. Account for variation by field in publication and citation practices.
7. Base assessment of individual researchers on a qualitative judgement of their portfolio.
8. Avoid misplaced concreteness and false precision.
9. Recognize the systemic effects of assessment and indicators.
10. Scrutinize and update indicators regularly.

The authors conclude that quantitative metrics are needed, but in combination with qualitative evidence sensitive to the aim and nature of the research being evaluated. Quantitative metrics "must not be allowed to morph from an instrument into the goal."

See also, [The Metric Tide](#). This report traces the history of metrics in research assessment, examines the applicability of metrics within different research cultures, and considers how the peer review system can be balanced with metric-based approaches.

U.S. Public Access Mandates

White House Mandate 2013

In February 2013, the White House Office of Science and Technology Policy (OSTP) issued a [Memorandum](#) on Increasing Access to the Results of Federally Funded Scientific Research. The Memorandum, a.k.a. the OSTP Directive, requires federal agencies that fund more than $100 million in research to develop policies **requiring free online public access to peer-reviewed publications and digital data arising from their funding**. The Directive requires manuscripts and underlying data to be deposited in a trusted open access repository no later than 12 months after publication. The license and format of the deposited files must encourage productive re-use of the material.

The OSTP Directive went into effect immediately. Draft policies were to be available for review by September 2013, but were signicantly delayed by Congressional budget sequestration. Agencies affected by the mandate began releasing draft policies in 2014. As a mandate issued by the executive branch of the government, theh OSTP Directive could be rescinded by a new President.

Legislative Mandates 2014-2015

The Appropriations Acts of [2014](#) and [2015](#) required each agency or bureau funded under the Act that spends more than $100 million on research to

- Require authors to submit to the agency, or a designated entity acting on behalf of the agency, a machine-readable version of final peer-reviewed manuscripts describing research funded by the agency
- Provide free online public access to the final peer-reviewed manuscripts or published versions in a trusted repository no later than 12 months after publication

Agencies affected are the Department of Labor, Department of Education, and Department of Health and Human Services (including the National Institutes of Health, Food and Drug Administration, and Centers for Disease Control and Prevention).

Legislation Pending 2015

Introduced in both the [Senate](#) and [House](#) of Representatives in March, the Fair Access to Science and Technology Research (FASTR) Act of 2015 would require each federal agency that funds more than $100 million tin research to develop a public access policy. If passed into law, FASTR would require each affected federal agency to stipulate the following. Note the key differences from the current directive and legislation.

- Authors must submit to the agency a machine-readable version of final peer-reviewed manuscripts describing research funded by the agency. The final manuscript may be replaced with the final published version of the article if the publisher allows it and the goals of functionality and interoperability are retained.
- Articles must be deposited in a digital repository maintained by the agency or another repository that provides free public access, interoperability and long-term preservation.
- Free online public access to the articles must be provided no later than 6 months after publication -- Amended in the Senate to 12 months; remains 6 months in the House.
- Articles must be made freely available in formats and under terms that enable productive reuse, including computational analysis.
- The agency must produce and maintain an online bibliography of all research papers publicly accessible under the policy, with each entry linking to the corresponding free online full text.

For a list of affected agencies, see the [September](#) 2015 issue of the Scholarly Communications Digest. FASTR is up for a full Senate vote, but is stll in committee in the House. Should the bill become law, it would require an act of Congress to rescind.

Actions for Researchers

Three quick tasks

Busy as you are, you have time for these:

- If haven't already, read the *Piper* article about the launch of #OpenCMU. (3-4 minutes)

- If you haven't used the ORCID @ CMU web app, go to https://orcid.library.cmu.edu and follow the brief instructions. An ORCID will ensure you get credit for all your work. The app will enable CMU to use your ORCID to communicate with your research sponsors. See the FAQ to learn more. (1-2 minutes)

- Be open to new technologies. From data gathering and analysis to reference management and publication, the tools you use in your research affect your efficiency and effectiveness. Take the Utrecht University tools survey at http://tinyurl.com/SCtoolSurvey to see how your workflow compares with your peers. (8-10 minutes)

Take responsibility

Open access and traditional subscription publishers can be predators by prioritizing revenue over quality. Have you been a victim or enablor of a predator? Have you submited a manuscript in response to an email from an unknown journal or publisher without checking its credentials? Have you submitted work to a fake journal published by a presumably reputable publisher only to discover that the journal has a corporate sponsor? Have you agreed to serve on the editorial board of a journal simply because it looks good on your CV?

To avoid becoming a victim or enabler of a predator, take responsibility. As Richard Poynder observes, predators exist because researchers choose to publish with them and to serve on their editorial boards. Learn how to identify quality journals and apply what you learn. Don't rely solely on Journal Impact Factors or brand when choosing where to publish. Don't submit your work or agree to serve on their editorial board of a journal you know nothing about. Refer to the Principles of Transparency and Best Practices in Publishing to help you assess journal quality.

Send us your publishing agreements

In response to our flier Open Access Do's and Don'ts, CMU researchers asked us for more practical advice. They want help interpreting publishing agreements and recommendations regarding the options. We're happy to help.

Please send your signed or pending agreements to Denise Troll Covey, Scholarly Communications Librarian, troll@andrew.cmu.edu. Denise will answer your questions, inform and advise you. Of course, the decision about where you publish and what option you choose isup to you.

Engage with #OpenCMU

The #OpenCMU website has a growing list of short slideshows (3-6 slides) to help you learn how to increase access to your work and the impact of your work. Here's the current list of slideshows organized by topic:

Open
- The Value of Open
- CMU's Position on Open

ORCID
- ORCID @ CMU: What's in it for you?
- Publishers & Funders Using ORCID

Open Access
- Open Access: Why do it?
- Open Access: How to do it
- Publisher Open Access Policies
- Elsevier's Sharing Policy

Open Access Publishing & Repositories
- Open Access Double Dipping
- CMU Fund for Open Access Publishing
- Discounts on Open Access Publishing Fees
- PeerJ: Lifetime Memberships & Open Peer Review Options
- How to Identify Quality Journals
- Publishing Your Dissertation
- Research Showcase @ CMU
- Innovations in Peer Review

Public (Open) Access Mandates
- Public Access Mandates

Follow #OpenCMU on Twitter and Facebook.

Actions for Librarians

Promote #OpenCMU

Open access and open data are high priorities for Carnegie Mellon. #OpenCMU is an important university-wide campaign to increase access to CMU work. Please promote #OpenCMU on your LibGuides and in your interactions with faculty and graduate students. Follow #OpenCMU on Twitter and Facebook. Retweet our tweets and share our Facebook posts to spread the word.

And let us know what you're doing to promote #OpenCMU. Thank you Teresa MacGregor and Alicia Salaz for your promotional efforts, and congratulations on your success.

Promote ORCID @ CMU

Wondering whether your constituents participated in ORCID @ CMU? Check out the graphs in the report.

Encourage your tenure- and research-track faculty, doctoral students, and master's degree students enrolled in research-oriented programs to get an ORCID. If you don't have an ORCID, get one. If you do, include it in the signature file on your email.

Plan to attend

In addition to the public events promoting open listed on page 2 of this SC Digest, an event is scheduled during Open Access Week just for CMU and Pitt library faculty and staff:

Research Data Alliance:
Building Community and Infrastructure
for Data Sharing Worldwide
Francine Berman
Thursday, October 22, 11am – noon
Mellon Institute Conference Room (MI 348)
Come learn about the opportunities and challenges of sharing research data and the global efforts of the Research Data Alliance to build an organization, a community, and an infrastructure to solve problems.

Mark you calendar to attend as many of these events as possible.

Promote the Tools Survey

Please encourage your constituents to take the Utrecht University tools survey at http://tinyurl.com/SCtoolSurvey. They'll get a graphic comparing their workflow with that of their peers in the U.S. and worldwide.

Ways to promote the survey:

- Compose a brief message about the survey and ask project leaders to forward the message to their group.
- Congratulate researchers on recent publications and ask them to share their workflow through the survey.
- Mention the survey when you meet with researchers.
- Put a message and link to the survey on your LibGuides.