International Open Access Policy Landscape and Why You Should Take Action Now

Iryna Kuchma EIFL Open Access Programme Manager Presentation at the Open Access Days at AUC, April 28, 2014, Cairo, Egypt

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### All beneficiaries are required to deposit and ensure open access



## What to deposit

A machine-readable electronic copy of the published version - publisher's final version of the paper, including all modifications from the peer review process, copyediting & stylistic edits, & formatting changes (usually a PDF document) OR

A final peer-reviewed manuscript accepted for publication - final manuscript of a peer-reviewed paper accepted for journal publication, including all modifications from the peer review process, but not yet formatted by the publisher (also referred to as "post-print" version).

# Where to deposit

Researchers should deposit in a **repository for scientific publications** (online archives) **of their choice:** 

- Institutional repository of the research institution with which they are affiliated OR

- Subject-based/thematic repository OR

- Centralised repository, e.g. Zenodo repository set up by the OpenAIRE project are acceptable choices.

### When to deposit

Each beneficiary must deposit as soon as possible and at the latest on publication.

Each beneficiary must **ensure open access** to the deposited publication — via the repository — at the latest:

(i) on publication, if an electronic version is available for free via the publisher, or

(ii) within six months of publication (12 months for publications in the social sciences and humanities) in any other case.

# **OA** publishing

Researchers can publish in OA journals, or in journals that sell subscriptions and also offer the possibility of making individual articles openly accessible (hybrid journals). Where the case, the Author Processing Charges (APCs) incurred by beneficiaries are eligible for reimbursement during the duration of the action. For APCs incurred after the end of their grant agreement, a mechanism for paying some of these costs will be piloted. In the case of OA publishing OA must be granted at the latest on publication.

# Monitoring compliance

If a beneficiary breaches any of its obligations, the grant may be reduced (see Article 43). Such a breach may also lead to any of the other measures described in Chapter 6 of the Multi-beneficiary General Model Grant Agreement, Version 1.0, December 11, 2013).

# Copyright

In all cases, the Commission encourages authors to retain their copyright and grant adequate licenses to publishers.

Creative Commons offers useful licensing solutions in this regard (e.g. CC-BY).

In the context of the digital era, the notion of publication increasingly includes the data underpinning the publication and results presented, also referred to as 'underlying' data. Beneficiaries must aim to deposit at the same time the research data needed to validate the results presented in the deposited scientific publications, ideally into a data repository, and aim to make open access to this data. But there is no obligation to do so.

A novelty in Horizon 2020 is the Open Research Data Pilot which aims to improve and maximise access to and reuse of research data generated by projects. It will be monitored with a view to developing the European Commission policy on open research data in future Framework Programmes.

Projects in core areas of H2020 that are part of the Open Research Data Pilot:

**Future and Emerging Technologies** 

**Research infrastructures** – part e-Infrastructures

Leadership in enabling and industrial technologies – Information and Communication Technologies

Societal Challenge: Secure, Clean and Efficient Energy – part Smart cities and communities

Societal Challenge: Climate Action, Environment, Resource Efficiency and Raw materials – with the exception of raw materials topics

Societal Challenge: Europe in a changing world – inclusive, innovative and reflective Societies

Science with and for Society

### What to deposit

Projects participating in the Pilot are required to deposit the research data described below:

- The data, including associated metadata, needed to validate the results presented in scientific publications as soon as possible;

- Other data, including associated metadata, as specified & within the deadlines laid down in a data management plan (DMP).

## Where to deposit

Projects should deposit preferably in a **research data repository** and take measures to enable third parties to access, mine, exploit, reproduce and disseminate — free of charge for any user.

OpenAIRE project provides a Zenodo repository that could be used for depositing data.

# When to deposit

The data, including associated metadata, needed to validate the results presented in scientific publications should be deposited as soon as possible.

Other data, including associated metadata, should be deposited as specified and within the deadlines laid down in a data management plan (DMP).

### DMP

A data management plan is a document outlining how research data will be handled during a research project, and after it is completed, describing what data will be collected / generated and following what methodology and standards, whether and how this data will be shared and/or made open, and how it will be curated and preserved.



Guidance and examples

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At the same time, projects should provide information about tools and instruments at the disposal of the beneficiaries and necessary for validating the results, for instance specialised software or software code.

Areas, or sub-areas of, or individual projects funded under Horizon 2020 and not covered by the scope of the Pilot may participate on a voluntary basis ('opt in'). The project consortia that decide to participate on a voluntary basis will be monitored along with and receive the same support as in-scope projects in the Pilot.

Projects may opt out of the Pilot in H2020 in a series of cases that include conflict with obligation to protect results, with confidentiality obligations, with security obligations or with rules on protection of personal data. They may also opt out should the achievement of the action's main objective be jeopardised by making specific parts of the research data openly accessible. In this case, the data management plan must contain the reasons for not giving access.

Costs relating to the implementation of the pilot will be reimbursed.

Specific technical and professional support services will also be provided.

# Monitoring compliance

If a beneficiary breaches any of its obligations, the grant may be reduced (see Article 43). Such a breach may also lead to any of the other measures described in Chapter 6 of the Multi-beneficiary General Model Grant Agreement, Version 1.0, December 11, 2013).



8,349,207 publications and 611 datasets from 423 repositories and OA journals

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#### (All) Research. Shared.

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ZENODO

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- your one stop research shop!

All research outputs from across all fields of science are welcome! ZENODO accept any file format as well as both positive and negative results. However, we do promote peer-reviewed openly accessible research, and we do curate your upload before putting it on the front-page.

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– be found!

ZENODO assigns all publicly available uploads a Digital Object Identifier (DOI) to make the upload easily and uniquely citeable. ZENODO further supports harvesting of all content via the OAI-PMH protocol.

#### Community Collections

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- create your own repository

ZENODO allows you to create your own collection and accept or reject all uploads to it. Creating a space for your next workshop or project have never been easier. Plus, everything is citeable and discoverable.

Safe

 more than just a drop box!
Your research output is stored safely for the future in same cloud infrastructure as research data from CERN's Large Hadron Collider using a CERN's battle-tested
repository software INVENIO used by some of the world's largest repositories such as INSPIRE HEP and CERN Document Server.

#### Reporting

— tell your funding agency!

ZENODO is integrated into reporting lines for research funded by the European Commission via OpenAIRE. Just upload your research on ZENODO and we will take care of the reporting for you. We plan to extend with futher funding agencies in the future so stay tuned!

#### Flexible Licensing

 not everything is under Creative Commons
ZENODO encourage you to share your research as openly as possible to maximize use and re-use of your research results. However, we also acknowledge that one size
does not fit all, and therefore allow for uploading under a multitude of different licenses and access levels\*.

\* You are responsible for respecting applicable copyright and license conditions for the files you upload.

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Máire Geoghegan-Quinn, European Commissioner for Research, Innovation & Science: "Putting research results in the public sphere makes science better & strengthens our knowledgebased economy. The European taxpayer should not have to pay twice for publicly funded research. That is why we have made OA to publications the default setting for Horizon 2020, the EU research & innovation funding programme."



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Done

2 ٢ "Policies on OA to scientific research results should apply to all research that receives public funds. Such policies are expected to improve conditions for conducting research by reducing duplication of efforts and by minimising the time spent searching for information and accessing it. This will speed up scientific progress and make it easier to cooperate across and beyond the EU. Such policies will also respond to calls within the scientific community for greater access to scientific information." http://bit.ly/Q3sDJ9

"OA is a key feature of Member States' policies for responsible research and innovation by making the results of research available to all and by facilitating societal engagement..."

"Businesses will also benefit from wider access to scientific research results. Small and medium-sized enterprises in particular will improve their capacity to innovate. Policies on access to scientific information should therefore also facilitate access to scientific information for private companies..." http://bit.ly/Q3sDJ9

"The Internet has fundamentally changed the world of science and research. For instance, research communities have been experimenting with new ways to register, certify, disseminate and preserve scientific publications. Research and funding policies need to adapt to this new environment. It should be recommended to Member States to adapt and develop their policies on OA to scientific publications." http://bit.ly/Q3sDJ9

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Par le Sieur DE HEDOVVILLE.



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Printed by T. N. for John Martyn at the Bell, a little without Temple-Bar, and Fames Alleftry in Duck-Lane, Printers to the Royal Society.



Figure 10. The ecosystem of published articles, documents, spreadsheets, data fusions, and machine-readable RDF data files resulting from our decision to apply semantic enhancements to the *PLoS NTDs* article by Reis et al. [12]. doi:10.1371/journal.pcbi.1000361.g010

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#### PUBLICATION

#### WELFARE STATE EFFECTS ON SOCIAL CAPITAL AND INFORMAL... (2005) Open access

Research		Title	Welfare state effects on social capital and informal	Data	
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European Value Studies	an Value Studies 🔷 👌	Published in	1999/2000 European Values Study	European Values Study 199 >	
			Policy and Politics: Studies of local government and its	EVS'99/2000 : Release I >	
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Author		Type	article	Publications	
Halman, Dr. L.C.J.M.	>	Publication	> http://evs.uvt.nl/id/evs-uvt-nl:oai:evs.uvt.nl:3256420	Cites	
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"OA to scientific research data enhances data quality, reduces the need for duplication of research, speeds up scientific progress and helps to combat scientific fraud. In its final report 'Riding the wave: How Europe can gain from the rising tide of scientific data'5 in October 2010, the High Level Expert Group on Scientific Data emphasised the critical importance of sharing and preserving reliable data produced during the scientific process. Policy action on access to data is therefore urgent and should be recommended to Member States." http://bit.ly/Q3sDJ9








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Overview

- Open Access at the ULg
- Webbibliography

ORBi is a project of

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#### @bernardrentier:

- University that doesn't know what papers its faculty publishes is like a factory that doesn't know what it produces

- An empty repository is useless; a partly filled repository is partly useless; there is a need for an institutional OA policy @bernardrentier:

 Don't impose, just inform researchers that only publications in the repository will be considered for evaluation

- Mandate, keep authors at the core, communicate permanently, be coherent, reduce constraints

- @ORBi\_ULg – a personal workspace, provides statistics and has a widget to generate publications lists – content in personal/faculties webpages

### European Commission



A study funded by the European Commission (EC) suggests that OA is reaching the tipping point, with around **50% of scientific papers published in 2011 now available for free**.

http://europa.eu/rapid/press-release\_IP-13-786\_en.htm?locale=en

"The tipping point for OA (more than 50% of the papers available for free) has been reached in several countries, including Brazil, Croatia, Estonia, Lithuania, Macedonia, Switzerland, the Netherlands, the US, as well as in biomedical research, biology, and mathematics and statistics."

Eric Archambault, Didier Amyot, Philippe Deschamps, Aurore Nicol, Lise Rebout & Guillaume Roberge: Proportion of Open Access Peer-Reviewed Papers at the European and World Levels—2004-2011 (August 2013)

http://www.science-metrix.com/pdf/SM\_EC\_OA\_Availability\_2004-2011.pdf

**OA policies**: the majority of 48 major science funders considered both OA publications in journals & self-archiving in OA repositories.

# More than 75% accepted embargo periods of between six to 12 months.

Eric Archambault, Didier Amyot, Philippe Deschamps, Aurore Nicol, Lise Rebout & Guillaume Roberge: Proportion of Open Access Peer-Reviewed Papers at the European and World Levels—2004-2011 (August 2013)

http://www.science-metrix.com/pdf/SM\_EC\_OA\_Availability\_2004-2011.pdf





#### PASTEUR4OA/Welcome

Welcome to the PASTEUR4OA website!

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PASTEUR4OA (Open Access Policy Alignment Strategies for European Union Research) aims to support the European Commission's Recommendation to Member States of July 2012 that they develop and implement policies to ensure Open Access to all outputs from publicly-funded research.

PASTEUR4OA will help develop and/or reinforce open access strategies and policies at the national level and facilitate their coordination among all Member States. It will build a network of centres of expertise in Member States that will develop a coordinated and collaborative programme of activities in support of policymaking at the national level under the direction of project partners.



# Latin America

# OA is now required by law in Argentina



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### and in Peru

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Congreso de la República

Comisión de Ciencia, Innovación y Tecnología

DICTAMEN RECAÍDO EN EL PROYECTO DE LEY 1188/2011-CR, LEY DEL REPOSITORIO NACIONAL DIGITAL DE CIENCIA, TECNOLOGÍA E INNOVACIÓN DE ACCESO ABIERTO.

FÓRMULA LEGAL

#### LEY QUE REGULA EL REPOSITORIO NACIONAL DIGITAL DE CIENCIA, TECNOLOGÍA E INNOVACIÓN DE ACCESO ABIERTO

Artículo 1. Objeto de la Ley.

Establecer el marco normativo del Repositorio Nacional Digital de Ciencia, Tecnología e Innovación de Acceso Abierto.

Artículo 2. Definición de Repositorio Nacional Digital de Acceso Abierto

### and in Mexico



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#### **Discussed in Congress in Brazil**

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#### **PROJETO DE LEI DO SENADO N°**, **DE 2011**

Dispõe sobre o processo de registro e disseminação da produção técnico-científica pelas instituições de educação superior, bem como as unidades de pesquisa no Brasil e dá outras providências.

#### O CONGRESSO NACIONAL decreta:

**Art. 1º** As instituições de educação superior de caráter público, bem como as unidades de pesquisa, ficam obrigadas a construir repositórios institucionais de acesso livre, nos quais deverá ser depositado,



Discussions & Recommendations Ten years on from the Budapest OA Initiative: Setting the default to open

BOAI

### **On policy**

Every institution of higher education should have a **policy assuring that peer-reviewed versions of all future scholarly articles by faculty members are deposited in the institution's designated repository** 

# On policy (2)

University policies should respect faculty freedom to submit new work to the journals of their choice.

University policies should encourage but not require publication in OA journals, and should help faculty understand the difference between depositing in an OA repository and publishing in an OA journal.

# On policy (3)

Every institution of higher education offering advanced degrees should have a **policy** assuring that future theses and dissertations are deposited upon acceptance in the institution's OA repository. At the request of students who want to publish their work, or seek a patent on a patentable discovery, policies should grant reasonable delays rather than permanent exemptions.

# On policy (4)

Every research funding agency, public or private, should have a policy assuring that peer-reviewed versions of all future scholarly articles reporting funded research are deposited in a suitable repository and made OA as soon as practicable.

# On policy (5)

Universities with institutional repositories should require deposit in the repository for all research articles to be considered for promotion, tenure, or other forms of internal assessment and review.

## On policy (6)

Insofar as universities, funding agencies, and research assessment programs need to measure the impact of individual articles, they should use article-level metrics, not journal-level metrics

# On policy (7)

Similarly, governments performing research assessment should require deposit in OA repositories for all research articles to be reviewed for national assessment purposes.

# Legal basis: Two options

1. Seek permission from publishers, and only distribute OA copies when succeed in obtaining it.

2. Ask faculty to retain the right to provide OA on the university's terms (and grant the university non-exclusive permission to provide that OA), even if faculty transfer all their other rights to publishers.

### Plagiarism

If articles are easily available, then plagiarism will be made easier?

On the contrary. OA might make plagiarism easier to commit, for people trolling for text to cut and paste. But for the same reason, OA makes plagiarism more hazardous to commit. Insofar as OA makes plagiarism easier, it's only for plagiarism from OA sources. But plagiarism from OA sources is the easiest kind to detect. (From OA and quality by Peter Suber, SPARC OA Newsletter, issue #102: http://bit.ly/qZUQo7)

### Plagiarism (2)

In fact, plagiarism is diminished as a problem.

It is far easier to detect if the original, datestamped material is freely accessible to all, rather than being hidden in an obscure journal.

(From the OA Frequently Asked Questions, DRIVER — Digital Repository Infrastructure Vision for European Research http://www.driver-support.eu/faq/oafaq.html)





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It has become more important where to publish than what to publish The Journal Impact Factor (IF) is frequently used as the primary parameter with which to compare the scientific output of individuals and institutions.

The IF, as calculated by Thomson Reuters, was originally created as a tool to help librarians identify journals to purchase, not as a measure of the scientific quality of research in an article.

The IF has a number of well-documented deficiencies as a tool for research assessment.

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#### RA San Francisco Declaration on Research Assessment

#### SIGN THE DECLARATION EMAIL YOUR THOUGHTS ON DORA

The San Francisco Declaration on Research Assessment (DORA), initiated by the American Society for Cell Biology (ASCB) together with a group of editors and publishers of scholarly journals, recognizes the need to improve the ways in which the outputs of scientific research are evaluated. The group met in December 2012 during the ASCB Annual Meeting in San Francisco and subsequently circulated a draft declaration among various stakeholders. DORA as it now stands has benefited from input by many of the original signers listed below. It is a worldwide initiative covering all scholarly disciplines. We encourage individuals and organizations who are concerned about the appropriate assessment of scientific research to sign DORA.



Download the Declaration (PDF)

Download the DORA Logo (ZIP)

Download the DORA Poster (PDF)

HOME

#### San Francisco Declaration on Research Assessment

Putting science into the assessment of research

There is a pressing need to improve the ways in which the output of scientific research is evaluated by funding agencies, academic institutions, and other parties.

To address this issue, a group of editors and publishers of scholarly journals met during the Annual Meeting of The American Society for Cell Biology (ASCB) in San Francisco, CA, on December 16, 2012. The group developed a set of recommendations, referred to as the *San Francisco Declaration on Research Assessment*. We invite interested parties across all scientific disciplines to indicate their support by adding their names to this Declaration.

The outputs from scientific research are many and varied, including: research articles reporting new knowledge, data, reagents, and software; intellectual property; and highly trained young scientists. Funding agencies, institutions that employ scientists, and scientists themselves, all have a desire, and need, to assess the quality and impact of scientific outputs. It is thus imperative that scientific output is measured accurately and evaluated wisely.

The Journal Impact Factor is frequently used as the primary parameter with which to compare the scientific output of individuals and institutions. The Journal Impact Factor, as calculated by Thomson Reuters, was originally created as a tool to help librarians identify journals to purchase, not as a measure of the scientific quality of research in an article. With that in mind, it is critical to understand that the Journal Impact Factor has a number of well-documented deficiencies as a tool for research assessment. These limitations include:

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#### News About DORA

- Academic Assessment: Nature vs. Nurture -<u>click for article</u>
- Why we are not ready for radical changes in science publishing - <u>click for article</u>
- Nobel Laureate Schekman Offers NIH His First
  Post-Prize Talk <u>click for article</u>
- Editorial "Dear DORA" click for article
- Science publishing: The golden club Engli article US ki

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DORA has been translated into Japan
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1. Do not use journal-based metrics, such as Journal Impact Factors, as a surrogate measure of the quality of individual research articles, to assess an individual scientist's contributions, or in hiring, promotion, or funding decisions.

The San Francisco Declaration on Research Assessment (DORA)

http://am.ascb.org/dora/
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### Comment is free

### How journals like Nature, Cell and Science are damaging science

The incentives offered by top journals distort science, just as big bonuses distort banking



#### Randy Schekman

The Guardian, Monday 9 December 2013 19.30 GMT

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Article history

#### Science

Peer review and scientific publishing · Nobel prizes · Open access scientific publishing

More from Comment is free on

Science Peer review and scientific

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Funders and universities, too, have a role to play. They must tell the committees that decide on grants and positions not to judge papers by where they are published. It is the quality of the science, not the journal's brand, that matters.

(How journals like Nature, Cell and Science are damaging science by Randy Schekman:

http://www.theguardian.com/commentisfree/2013/dec/09/how-journals-nature-science-cell-damage-science)

"My personal belief is that we should be focusing on developing effective and diverse measures of the re-use of research outputs. By measuring use rather than merely prestige we can go much of the way of delivering on the so-called impact agenda, optimizing our use of public funds to generate outcomes but while retaining some say over the types of outcomes that are important and what timeframes they are measured over."

Cameron Neylon: Warning: Misusing the journal impact factor can damage your science! http://bit.ly/cbK2DK

re-use in industry re-use in public health re-use in education re-use in policy development & enactment re-use in research Cameron Neylon: (S)low impact research and the importance of open in maximising re-use: http://bit.ly/ntbzQ6

# How OA benefits your work and career

**Distribution and usage** 

Immediate access to your research output for everyone upon official publication

More visibility & usage

Immediate impact of your work

Intensification of research through fast dissemination and use of research;

Possibly a citation advantage as well

# How OA benefits your work and career (2)

### **Plus:**

Monitoring of your research output

Preservation of your research output by your library

Keep your rights instead of signing them away

## Some slides have been borrowed from How to fix a broken system: Article-Level Metrics at the Public Library of Science by Martin Fenner:

https://speakerdeck.com/mfenner/how-to-fix-a-broken-system-article-level-metrics-at-the-public-library-of-science

# Thank you! Questions? iryna.kuchma@eifl.net

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