



Making incentives for openness explicit

is that all it will take?

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the RPT Project Team

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my perspectives



I am a(n)...

- software developer turned social scientist
- tenure track Assistant Professor (no tenure)
- research scholarly communications, open access, altmetrics, and incentives
- associate director of the Public Knowledge Project, whose software is used by ~10,000 open access journals around the world

I am a subject, analyst, and builder of the scholarly communication system we are discussing today.

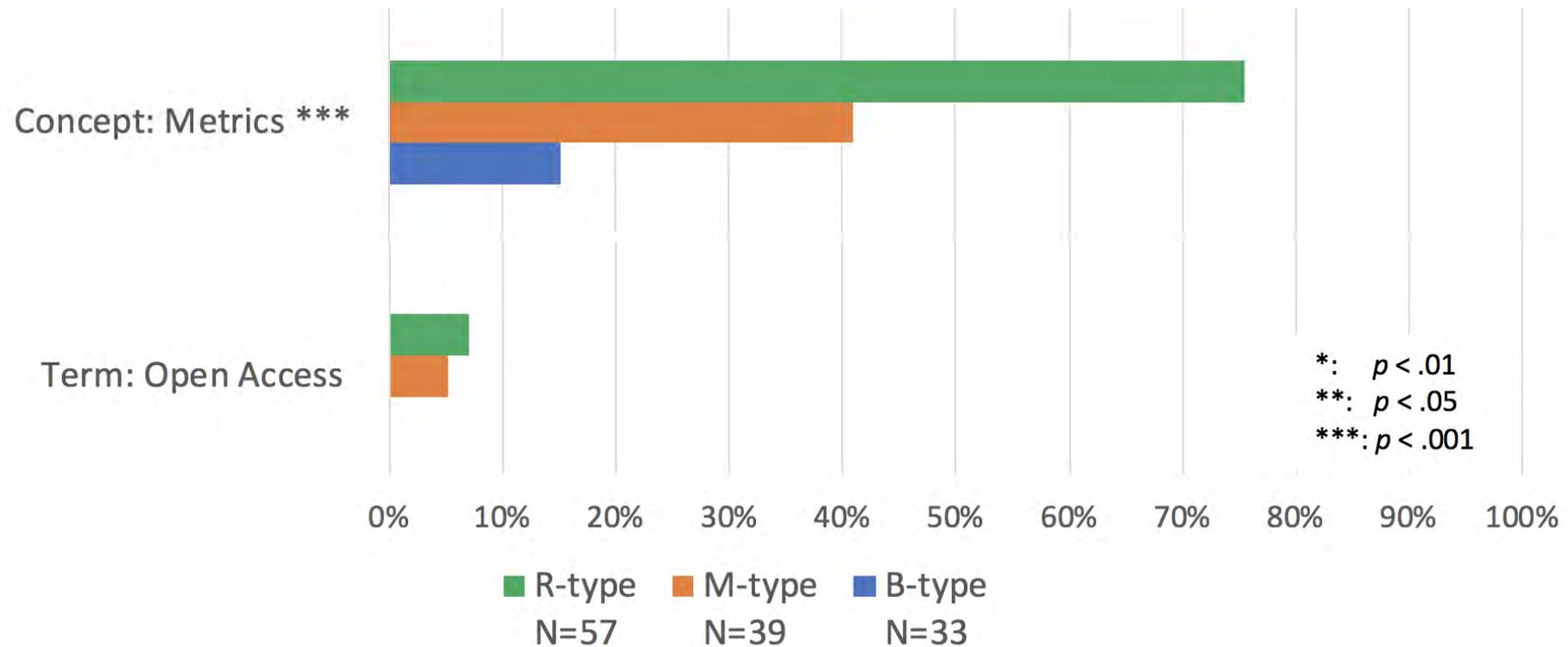
The logo consists of the letters 'S' and 'C' in a bold, white, sans-serif font. The 'S' is positioned to the left of the 'C'. A small yellow square is located at the top right corner of the 'C'.

can we address impediments to
open access and open science by
adjusting incentives?

- 864 documents from 129 universities and 381 academic units
- many documents undated, but some as far back as 2000
- document from at least one AU from 60 of the 129 universities
- of those academic units:
 - 98 (25.7%) are from Life Sciences;
 - 69 (18.1%) are from Physics, Science and Math;
 - 187 (49.1%) are from the Social Sciences and Humanities; and
 - 27 (7.1%) are from multidisciplinary units.

Results

Mentions of citation metrics vs open access





open access

institution-level: negative

“ Unfortunately, it is now possible for candidates who receive negative evaluations at lower levels (department, department chair, College Advisory Committee) to compensate (for these negative evaluations) by using online journals which feature ‘instant publishing’ of articles of questionable quality for a fee. These journals have been described as ‘predatory open-access journals.’ ”

academic unit-level: negative

- “ 1. Faculty are strongly cautioned against publishing in journals that are widely considered to be predatory open access journals. ”
- “ 2. ...self-published, inadequately refereed, open-access writing, or on-line publications will be scrutinized carefully, and may be given little or no stature as evidence of scholarly accomplishment unless the candidate provides convincing evidence of peer review and impact comparable to that of established major journals. ”

1. Department guidelines for tenure and promotion, University of Southern Mississippi – Department of Political Sciences, 2016

2. Promotion and tenure guidelines, Purdue University – Department of Anthropology, 2014

academic units: neutral

“Open-access, peer-reviewed publications are valued like all other peer-reviewed publications.”



so what is asked for instead?

Category of Output	R-type N = 57	M-type N = 39	B-type N = 33
Traditional	93%	95%	94%
Conventional	82%	62%	67%
Funding	86%	87%	82%
Unspecified	96%	92%	91%
Arts	82%	85%	88%
Data	16%	10%	6%
Education	91%	85%	91%
Events	91%	90%	88%
Information and Communication Technologies	67%	38%	36%
Intellectual Property	68%	38%	33%
Preprints	23%	5%	12%
Public Media	68%	49%	33%
Software	65%	38%	36%
Third Party Collaborations	44%	46%	36%
Works in Progress	60%	44%	48%

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Traditional	93%	95%	94%
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Funding	86%	87%	82%
Unspecified	96%	92%	91%

Category	Description	Examples
Arts	82%	8
Data	16%	1
Education	91%	8
Events	91%	9
Information and Communication Technologies	67%	3
Intellectual Property	68%	3
Preprints	23%	
Public Media	68%	4
Software	65%	3
Third Party Collaborations	44%	4
Works in Progress	60%	4
Traditional	Relating to the longest standing and most formal mediums of scholarly communication, verbal and written.	Books; Journal articles; Presentations
Conventional	Relating to other verbal and written work that caters to an academic audience.	Book Reviews; Editorials; Posters
Funding	Relating to the acquisition of research funding.	Grants; Funding;
Unspecified	Relating to written dissemination of knowledge to an academic audience, format not specified.	Publications; Outputs; Papers; Manuscripts

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Public Media	68%	49%	
Software	65%	38%	
Third Party Collaborations	44%	46%	
Works in Progress	60%	44%	

Category	Description	Examples
Arts	Relating to work that is in the realm of visuals, music, language, or performance.	Performances; Creator works; Exhibitions
Education	Relating to the creation of pedagogical materials or methods.	Textbooks; Syllabi; Lectures
Events	Relating to participation in a formally organized social occasion based around a topic with a specialized or academic audience.	Conferences; Workshops; Seminars

Category of Output	R-type	M-type			
	N = 57	N = 39	Category	Description	Examples
Traditional	93%	95%	Data	Relating to the creation or management of data.	Databases; Databanks; Datasets
Conventional	82%	62%	Preprints	Relating to documents typically intended for peer-review, but published ahead of that process.	Pre-print; Working Paper
Funding	86%	87%			
Unspecified	96%	92%			
Arts	82%	85%			88%
Data	16%	10%			6%
Education	91%	85%			91%
Events	91%	90%			88%
Information and Communication Technologies	67%	38%			36%
Intellectual Property	68%	38%			33%
Preprints	23%	5%			12%
Public Media	68%	49%			33%
Software	65%	38%			36%
Third Party Collaborations	44%	46%			36%
Works in Progress	60%	44%			48%

Alperin, J.P., Schimanski, L., La, M., Niles, M. & McKiernan, E. (in press). The value of data and other non-traditional scholarly outputs in academic review, promotion, and tenure. In Andrea Berez-Kroeker, Bradley McDonnell, Eve Koller, and Lauren Collister (Eds.) *Open Handbook of Linguistic Data Management*. MIT Press.

outputs by discipline

Category of Output	Social Sciences & Humanities	Physical Sciences & Mathematics	Life Sciences	Multi-disciplinary
	N=39	N=21	N=33	N=23
Traditional	95%	95%	94%	77%
Conventional	68%	70%	76%	64%
Funding	84%	90%	94%	86%
Unspecified	97%	95%	94%	82%
Arts	76%	25%	39%	50%
Data	8%	0%	15%	5%
Education	92%	95%	94%	77%
Events	89%	95%	97%	86%
Information and Communication Technologies	63%	35%	64%	32%
Intellectual Property	26%	70%	67%	36%
Preprints	11%	20%	12%	9%
Public Media	58%	35%	58%	36%
Software	50%	35%	64%	36%
Third Party Collaborations	37%	35%	45%	23%
Works in Progress	47%	35%	36%	27%

“ Promotion -- scholarship will be judged, on a Department-specific basis, according to the quality of the research program, reflected *in roughly descending order* by the following kinds of publications: refereed books, book chapters, and articles, including major refereed research monographs; textbooks, edited books, other monographs and articles in non-refereed journals, book chapters, book reviews; other forms of scholarship, e.g., conference papers, research grants, editorship of journals, conference organization, development of computer-assisted learning, data bases, software. ”

“ All research, scholarship and other creative activities shall be assessed on the merits of the work, regardless of the form in which they appear. Electronic publications – whether books, articles, journals, or databases – shall be considered equivalent to more traditional forms of publications if they are subjected to the same rigor of informed peer review or appropriate refereeing.” ”



what are we to make of all this?
combining this research with my experiences

change perceptions

- Documents recognize that faculty work is complex. Adding 'open' to the long list of things faculty already do **will not be enough**
- We are not finding much relationship between what RPT docs say and what people do, but **what people *think* matters in RPT *does* matter.**
- Keep using documents as **a place to signal what matters**
- Encourage conversations that highlight that openness is actually valued by faculty, albeit indirectly, because it helps to reach the right audience and not necessarily **for the sake of openness itself**
- Consider **incentive structures beyond RPT**, make sure they serve to **signal values**

making it easy

- Our own experience in doing open science is that **it takes a lot of extra time and work**
- Consider **funding positions to work** with faculty on posting their preprints, datasets, and code (just like we fund administrative support). These positions could provide other support for researchers/teams to embed them in work. They will help establish norm.
- Help **flip the most desirable journals open access** but PLEASE not through APCs (consider supporting models like L+F, OLH, etc.).
- Preprints may not be valued, but **relieving pressure of slow journals is valued**. Make preprinting easy, simplify submissions for journals



thank you

www.scholcomm.ca/stay-up-to-date/