FACULTY PUBLICATION PRACTICES REPORT

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Overview of Project

In spring 2018, the library completed a campus survey investigating user satisfaction with library services. Survey results reflected a high level of faculty interest in services related to copyright, publishing, and open access, but limited faculty awareness of existing services or support. In order to better understand faculty publishing practices and find areas of need for library support, library staff members obtained Institutional Review Board (IRB) approval to complete a research project focused on faculty experiences with and attitudes about author agreements, open access, and the publication process.

In order to understand the perspectives of faculty members who are under the most pressure to publish, interviews were conducted with nine tenure-track faculty members who had not yet been promoted to Associate Professor. Participants represented disciplines from four of five UMD collegiate units, including the College of Education and Human Service Professions, College of Liberal Arts, Labovitz School of Business and Economics, and School of Fine Arts as well as the Medicine and Pharmacy Schools.

TIME AT UMD	# OF INTERVIEWEES	TIME SINCE RECEIVING HIGHEST DEGREE ATTAINED	NUMBER OF INTERVIEWEES
0-3 YEARS	👤👤👤👤👤	**0-3** YEARS	👤👤👤
4-6 YEARS	👤👤👤	**4-6** YEARS	👤👤
6+ YEARS	👤	**6+** YEARS	👤👤👤👤
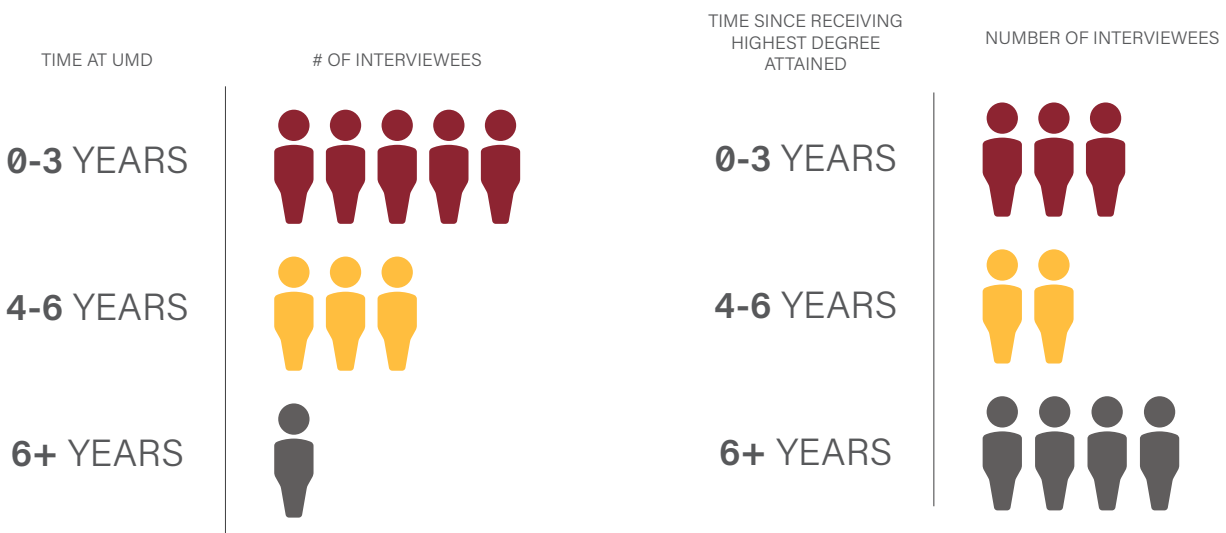
Participants answered questions about their experiences with selecting a publication outlet, managing research data, evaluating or negotiating an author rights agreement, sharing their published work, and tracking its impact (see Appendix A for interview questions). Interviews ranged from 30-45 minutes in length and were recorded and transcribed, with the exception of two interviews in which recording equipment malfunctioned. In addition to conducting interviews, library staff members reviewed participants' most recent author agreement; see Appendix B for a summary of this review.

Publication Choice

Audience was a key factor in selecting a place to publish. One participant whose work focuses on community-based research described ensuring that published work is accessible to collaborators and practitioners:

> *Almost all of my research is community based and collaborative with organizations…So for them it was really important to select a journal that would allow them to use their article in their training, and to be able to distribute that to people that they're working with in the field. So some of that work was selected very intentionally in that way, but otherwise other work that I've done I'll typically look through and kind of see what the journal fit is. But I also really like to hear from my collaborator like what journals do they, as practitioners, have access to and or will use on a regular basis according to whatever their work is.* (College of Education and Human Service Professions)

Disciplinary context also played a role in publication choice. One participant explained how prestige within a discipline influenced their decision to publish with a particular university press:

> *But also given my disciplinary background, what I teach, [publisher name] is one of the top most in the country in terms of the scholarship and books it produces. So discipline-wise it is among the top ten.* (College of Liberal Arts)

Another participant indicated that journal prestige and reaching a wide audience were significant factors in choosing a publication:

> *All those decisions in terms of journal articles always has to do with prestige and the amount of readership. So, a more prestigious journal is just read more than anything else.* (School of Fine Arts)

Several participants described factoring the selectiveness of a journal into their choice:

> *We typically have an idea where we are going to send it to, or if not one idea a handful. If it doesn't fly at this journal that's high impact factor and their acceptance rate is really low, we're going to shoot for that because why not? But then if that doesn't go then we know where we are going to send it next. And that's happened too, shoot high and then you end up low because you know it's a tough market out there.* (College of Education and Human Service Professions)

While tenure and promotion expectations played a role in participants' choices of publication outlets, three participants described tenure requirements as relatively easy to meet:

> *Though in our university we are more humanitarian in seeing the quality of the work rather than whether you are becoming a world famous person or not.* (College of Liberal Arts)

In these cases, participants indicated that career goals were more of a motivation to publish, rather than tenure requirements:

> *At UMD the tenure requirements are very well within what I'm already doing. So I'm not really nervous about it. And I could certainly publish in lower tiered journals and still get tenure. But I wanted to position myself in my discipline in a specific way.* (School of Fine Arts)

Open Access

Only one participant claimed direct experience with open access publishing, and did not provide specific details about the type of publication or access. One participant confused open access publishing with open source software. While all but one participant described some level of familiarity with open access publishing, the majority of participants demonstrated a lack of clarity and confidence about the topic:

> *Basic understanding that from what I get, you can just publish stuff and people read the stuff and there's not a lot of things attached to it. But I don't know anything beyond that.* (College of Education and Human Service Professions)

> *I don't know the range of ways to get to open access, the only thing I'm really familiar with is when the authors pay for open access. I don't know if there are other ways to do it.* (Medicine/Pharmacy)

Four of nine participants articulated benefits of open access publishing. The participant with experience publishing in an open access outlet described gradually developing awareness of the concept's value:

> *I was worried that it means that my research has no value maybe because everyone is accessing it freely. But on the other side I found that it's absolutely wrong because my root was from [university name] which was where education was free of cost for everyone. And so open access gave me a very good idea that how education/knowledge generating processes should have a free access to people. In that way, you can actually break the barrier between academic and non-academic people.* (College of Liberal Arts)

Two participants who conducted community-based research emphasized the value of open access as a way to make articles accessible to practitioners:

> *I know a lot of practitioners do as best as they can with their time but the access is the thing we keep hearing about. Like, "Oh, I don't have my credentials any more to access journals," or some of them will get it if they're like a field instructor for a program. In general, I think that [my field] is very much for that open access model but I don't know that everybody's super excited about the fee.* (College of Education and Human Service Professions)

One participant expressed the view that OA journals don't reach the same audience or have the same credibility as traditional journals:

> *It sounds like there's a real lack of consensus about what this is meant to do because in grad school my advisor said you have to go for top tier journals. You know, it's one thing to get into Journal X and another thing to get into an open access journal. I mean, it just matters again, I don't really care about being important or anything but like I said I really want to have people read my work.* (School of Fine Arts)

Four of nine participants specifically mentioned article processing charges as a barrier to publishing in open access journals. These four did not show awareness of other paths to open access publishing:

> *I have not done this, but I have heard of others who will pay for the open access to get things in print quicker. That's super offensive to me and I find it really problematic, but I understand the motivation behind it because there are system incentives that push for that, right. I just think those incentives are sort of wrong.* (Medicine/Pharmacy)

> *I do like to make my research more accessible, but at the moment getting sort of standard peer review journal publications as I progress towards tenure is definitely taking priority over that because my field doesn't recognize or work with that pretty standardly. It's not my highest priority. Also we're not super well funded, so tracking down money for open access publications is not super feasible.* (College of Liberal Arts)

Seven participants were unaware of UMD's institutional repository, while two remembered hearing about it, but had not deposited any work there:

> *[My research assistant] has done a little bit of research actually into how to go back and make some of the previous publications available through different university repositories and stuff. I don't know what exactly she found, but it has been something on our mind in terms of trying to get more access for people like our community partners.* (Medicine/Pharmacy)

Four participants mentioned posting their dissertations in their graduate school's institutional repository. Three of these participants indicated that they posted it because it was a standard procedure, not necessarily a step taken in order to make it more accessible:

> *I think my dissertation went up on my graduate school, I think it was Digital Commons, something along those lines. I think that was the standard option for my graduate program.* (College of Liberal Arts)

Two participants appeared to recognize posting their dissertation in an institutional repository as a form of open access while discussing it during the interview:

> *I guess I could say I have something open access which is my dissertation. (*School of Fine Arts)

> *Yeah my dissertation is out on…what is it…it's at [university name] but I forget who it is. The one we had designed, so I guess that one is open access for the next few years.* (College of Education and Human Service Professions)

One participant mentioned sharing preprints of their work when possible, but it is not clear if they understood this as a form of open access:

> *I do try, when I remember to, to archive penultimate draft preprint stuff on my website to the extent that it's permitted by author agreements.* (College of Liberal Arts)

Research Data

Seven participants had experience managing research data, while one (School of Fine Arts) did not. Three participants discussed privacy concerns related to data:

> *Mostly we keep you know deidentified data, and just trust each other to keep it safe.* (Medicine/Pharmacy)

> *I tried to start the recording after, like I tried not to say names or anything, but if it got in there I would take that out and then put in a password protected file accessible to myself and the research assistant. Consent forms were kept in a locked drawer, and actually my student didn't have access to that either.* (College of Education and Human Service Professions)

When asked about creating a research data management plan, four participants stated that they had not

previously done so. Three additional participants described steps they take to protect sensitive data or organize research materials, but did not describe the development of a formal plan:

> *So I feel like maybe I should have a research data management plan now but the truth is I don't.* (Medicine/Pharmacy)

Participants described a variety of tools and methods for managing research data, including citation management tools, analog methods for organizing paper notes, statistical tools like R and SPSS, spreadsheet software like Excel, and wearable technology that prompts them to collect data at specific intervals. Three participants specifically mentioned creating backups of data, in some cases as a result of learning from experience:

> *The other thing is my own data I try to, well I have done it in the past with my laptop and drive and everything, I lost it many times but now with the Google Drive and Dropbox and I try to keep as many back up copies as possible.* (College of Liberal Arts)

Two participants mentioned data sharing as a trend they had encountered:

> *So I think actually with this one, I don't know if it was the journal we ended up publishing in, but one of the journals along the way it was asking if we'd be willing to share - like they required data sharing, would we be willing to share it, you know and I said like we would be open to it but we need more information about it.* (Medicine/Pharmacy)

Author Agreements

A majority of participants (seven of nine) described their approach to reviewing author agreements as quick and cursory:

> *Not much, and the approach was a quick skim to make sure there weren't any obvious red flags. And to be honest I don't even know what's in that agreement. Like if you were to ask me right now, I don't know.* (Medicine/Pharmacy)

One reason for this surface-level approach is that participants trusted "well-established journals" to provide author agreements that were standard and above board:

> *I think if I had one that was controversial like if I was looking at something that I thought was a little odd, I have people I would go to that I trust. But again, I try to publish in well-established journals, but again that could still get you I suppose. But if I think it's from a valid place I think I'm less concerned, which could potentially be problematic for me. (*College of Education and Human Service Professions)

Most participants received their author agreements close to the final publication date, reinforcing the idea that completing the author agreement is a formality at the end of a time-consuming process. Time pressure was identified as one participant as a reason for not reading agreements closely:

> *By the time the author agreement hits my desk I'm generally trying to grade six different things and prep for three classes. You know it's just like, "What do I do to get the next line on my CV?"* (College of Liberal Arts)

One participant described learning from experience to take time and carefully review author agreements:

> *In my one of the edited volumes all my contributors signed their copies, then I as an editor signed it. But I realized that reading it is just not enough, there are so many meanings between the lines which I need to communicate to the contributors. So one of the contributors made a mistake of not reading her contract completely and she published a section of her article in that book into another journal. She was totally unaware of it and I was not aware that she was doing this, and when she got back to me I said, "No, this is a violation." Then she had to pay a huge amount of money. So yeah these experiences taught me to take time to do everything.* (College of Liberal Arts)

Many participants expressed that they checked their author agreements for specific uses, including their right to share work on sites like ResearchGate:

> *You know, I'd read through it and see what my sharing rights are. And actually I had to go back and look at things like "Can I actually publish my full PDF on ResearchGate or not?" because there are requirements and you've signed something says you won't do certain things. So I think in the past I was just like, "Whatever I got a publication, hooray!" Now I think I'm a little bit more aware, you know I mean I look at it a little bit more, but again I don't read it verbatim either. I should do better.* (College of Education and Human Service Professions)

Six participants had not negotiated the terms of an author agreement. Of those six, two expressed that they did not know negotiation was possible:

> *I haven't and it's because I never really thought that was a possibility.* (Medicine/Pharmacy)

Three participants had negotiated agreement terms. Specific uses that prompted negotiation were royalties, copyright permission from other works, and using your own work in multiple formats. Ownership of copyright was never identified as a reason for negotiation.

Six participants had not requested outside help with reviewing an author agreement. One participant had received help from a graduate advisor and two had received assistance from a relative. Three participants expressed interest in receiving outside help with or training for reviewing author agreements:

> *It'd be great to be able to send an author agreement somewhere and get some feedback you know. Specifically around the accessibility piece, that would be my main concern. So if there were ways, for example, to be able to negotiate that or to get language suggestions you know to be able to share. Make sure that the article is shared or whatever, that would be great.* (Medicine/Pharmacy)

> *Only one participant discussed working with coauthors to finalize an author agreement:*
> *Thankfully until now my coauthors are very generous and it was really an eye opening experience, it was a mutually learning process.* (College of Liberal Arts)

> *All other participants described this as a final step that did not require discussion among co-authors:*
> *I think it's been pretty minimal. Again I think kind of like we're at that point where we've done our revisions, been accepted, looking at proofs, and just kind of like this feels like an extra step of just like, "Okay, let's just all get this signed and uploaded."* (College of Education and Human Service Professions)

For more information on the terms contained within participants' most recent agreement, see Appendix B.

Copyright

Copyright was infrequently mentioned by participants. One participant described the process of getting copyright permissions for photographs in an article:

> *I just submitted an article which consisted of I think twelve photographs, pictures, classical pictures, and it took me more than two years to take permission of those copyrights…Some researchers, even I tell this to my students, what is fair use - that needs to be conveyed very carefully. Some people are not aware, they think, "Okay, this is a 50 year-old movie so it means you know you can do whatever you want," which is not. You need to reach out to the correct person, if the producer is dead you need to reach out to the next generation and stuff like that.* (College of Liberal Arts)

Another participant described a sense of uncertainty about copyright as it relates to sharing recordings of other composers' work:

> *For example when I've done stuff for [television] you know, they're like, "We want to record you but it can only be stuff in the public domain." So I've only more recently found out when I did some work for [radio] for their classical station we wanted to record some contemporary pieces by living composers and they instructed us to get permission from that composer to make a recording available and record something. So I haven't made anything available on YouTube only because I'm sort of scared of who's going to come after me to be perfectly honest. But after that experience with [radio] I've become a bit more aware of , "Oh, maybe I can just contact the composer, and maybe that's the way around that or you know to make that possible." But I still am not sure.* (School of Fine Arts

Sharing Work

All participants identified multiple methods they used for sharing and publicizing their work, including social media, conference presentations, subscription sharing sites like Scribd, and online repositories. Sharing work at conferences and via social media were the most common method of promoting work mentioned by participants:

> *For our instrument specific areas we usually, a lot of what we do is sort of performing at conferences that select works to be performed and things like that. So there can be instrument specific sort of conferences, national, international, regional conferences for our instruments. Then there are, we have the college music society is also like other venues conferences. Those are other venues that we use to sort of promote the works that we're playing or performing or collaborations that we're doing.* (School of Fine Arts)

Social media was identified not just as a method for sharing work, but also as a way to connect with potential collaborators:

> *I use Twitter all the time, not all the time that's an overstatement. But often. If something comes out that my colleagues and I worked on, we share it. If I see something I see that my colleagues put out that I find interesting then I share it and vice versa. A lot of collaborative work has come from that, just like people like "ohh, you do this, so do I, let's work on stuff!"* (College of Education and Human Service Professions)

Another participant described an online repository created specifically to facilitate the sharing of community-based research:

> *A group of community based participatory researchers got together and realized there was this problem of all these community research products being developed but not valued for tenure and promotion. So they*

> *created an online peer reviewed repository or system where people could publish their community based research product and share.* (Medicine/Pharmacy)

One participant described a competitive nature as a source of motivation for sharing work:

> *It's kind of motivating too like, "oh I want people to read my stuff more than my colleagues" even though I like my colleagues. It's like a badge on some kind of app, it's not that I want to beat this person because I don't like them, but I want to win.* (College of Education and Human Service Professions)

Prestige, or the desire to connect with an audience, was also identified as a reason for sharing work broadly:

> *That's what prestige is about, you don't want to just be stuck in your office with nobody caring you know?* (School of Fine Arts)

Another participant described a sense of discomfort with the self-promotional aspect of sharing work, and expressed an interest in a workshop focused on the topic:

> *Yeah, as you can probably tell I'm not great about self promotion stuff. It makes me uncomfortable even though it's important…Do you already have workshops about that? That would be really helpful, I just don't… Even at conferences I have a hard time like being super promotional.* (College of Education and Human Service Professions)

Impact

All but one participant specifically mentioned that they were aware of impact factors and kept track of citation counts on Google Scholar. Two participants also mentioned using ResearchGate as a way to track their impact, and one mentioned having an ORCID ID. While nearly all participants used Google Scholar to track citation counts, multiple participants expressed skepticism about citation counts and impact factors as an indicator of value:

> *As for metrics, the most I'll do is peek at Google Scholar and see how many citations I've got. Unsurprisingly, again see [researchers in this field] don't cite each other very much, my most cited pieces are the ones picked up by [other discipline] because they do cite each other. So I don't particularly take it to be an indicator of quality of work so much as just what turns out to be useful for different kinds of research projects.* (College of Liberal Arts)

> *The push is constantly for high impact journals for whatever name brand type of journals is what I would call it. I think it's kind of ridiculous because I think the impact factor is also ridiculous. There's a lot of problems around that, but that's kind of a big push in [our department].* (Medicine/Pharmacy)

In addition to tracking impact in the traditional sense, one participant emphasized a preference for viewing impact in terms of practitioners' use within the field. This participant cited an example of research influencing legal decisions:

> *So there's one specific study, and I'd mentioned this one before, but this is one of the first evaluations that I had done with this organization…and it's been cited by a lot of different people who are in that field and I still keep in touch with a lot of the directors, and the training director and then the director of that organization*

and just say that they get a lot of inquiries about that work. They interface with county attorneys, with law enforcement. It's actually that research has helped kind of uphold this type of interview protocol like in court cases. (College of Education and Human Service Professions)

Training, Resources, and Support

All participants articulated the desire for some form of training or support for their research, writing, and publication. Only one participant mentioned previously receiving formal training related to navigating the publication process:

We had a specific course about being professionals, obtaining jobs, and overall how to be a professor and that [tracking your published work] was one of them. (College of Education and Human Service Professions)

Another participant noted the lack of formal training related to publishing:

It might vary by faculty, but in my case I started publishing in graduate school. There was not a lot of infrastructure designed to help inform graduate students of what they were doing, just pressure to publish. (College of Liberal Arts)

Several participants identified mentors as existing or potential sources of help. Three participants had asked a mentor for help with the publication process, while another had not asked for help, but would reach out to a mentor if needed. One participant had received advice from a mentor about managing research notes and suggestions from an advisor about making a dissertation open access. Another participant mentioned the difficulty of finding mentorship support within their department, because a majority of their colleagues were also relatively new and still in the process of seeking tenure. In addition to working with mentors, one participant had worked with a lawyer to resolve a copyright issue.

Two participants identified the library as a current or potential source of support in the research process:

Well, I mean now that I know about [scholarly communication librarian's] role I think that was, that's definitely something I'm going to take advantage of, and I think would be very helpful. (College of Education and Human Service Professions)

I did reach out to [subject librarian] more. So I met with him and he helped me do a little bit of just looking into what are some…Because I felt like I'm using the University's [grant] money, what sort of obligation do I have to the University to cite them in the document or liner notes? (School of Fine Arts)

Three participants expressed interest in support for and feedback on writing, including editing, assistance with incorporating reviewer feedback, and navigating different style guidelines:

The big thing for me is editing. Like I never publish alone, it's rare, really rare. You know, you work on something for so long you don't see any errors anymore and then you hit submit and you're like "oh, there's an error in the first sentence" or something, you know what I mean. No matter how many times you look at it, or your coauthors look at it, or your spouse, or partner looks at it for you, like there's still something. (College of Education and Human Service Professions)

Because I publish across different countries, sometimes the writing style is different - the spelling and everything. Some people prefer British, some people prefer Australian. So if we have some guidelines or

manuals available in our library, something some resources like that, that becomes very helpful. That's basically the second area. (College of Liberal Arts)

Four participants identified citation or other document formatting as a source of frustration or an area where they would value support:

Somebody formatting my citations to meet the requirements of the journal. Like for real, that is so annoying to have to do every time. (School of Fine Arts)

Three participants addressed the availability of library resources to support their research:

I know, I've heard from a lot of folks in different universities that their resources at the libraries aren't that great. I have yet to find a problem finding stuff here. I've heard from some people that they're had trouble, but like for some reason I find the stuff we need. (College of Education and Human Service Professions)

I know our library doesn't have much in the library itself but it is fantastically connected to the rest of the libraries and the UW/University of Minnesota system. So that's really you know a very good thing, like I have a deadline and a book is coming in 3/4 days. It's like a child getting a gift and you're getting excited. (College of Liberal Arts)

Appendix A: Interview Questions

- Where's the last place you published or shared your research? Why did you choose that place?
- Do tenure and promotion requirements affect how you choose to share your work? If so, how?
- How do you keep track of the impact of your published work? What tools and resources do you use?
- How do you manage and organize your research data?
- How do you approach creating a research data management plan?
- Are you aware of any open research requirements for your research? If yes, what do you do to fulfill your open research requirements?
- How did you approach reviewing your most recent author agreement? How much time did you spend?
- Follow-up: At what point in the process did your publisher send you an author agreement?
- Did you ask anyone else for help reviewing the agreement? Who did you ask, and why?
- Have you ever encountered terms in your author agreement related to ownership of your research data? If so, how have you handled this?
- Have you negotiated the terms within an author agreement? Why or why not? If yes, tell us about the negotiation process.
- If you co-author research publications, how do you collaborate when reviewing the author agreement?
- Are you familiar with open-access publishing? How did you learn about it?
- Have you ever published or stored your research in an open-access publication or repository? Why or why not?
- Have you ever placed your work in an institutional repository like University Digital Conservancy, DRUM, dCommons, or a subject repository in your field? Why or why not?
- Follow-up: Is there anywhere else you regularly share or post your work? (conference proceedings, personal website/blog, ArXiv, etc.)
- When submitting your work for publication, what would make the process easier for you? At what stage in the process would you most need assistance?

Appendix B: Author Agreement Infographic

9 TOTAL NUMBER OF PARTICIPANTS INTERVIEWED.

6

5 OF 9 INTERVIEWEES PROVIDED THEIR MOST RECENT AGREEMENT/S; 1 INTERVIEWEE PROVIDED 2 AGREEMENTS

OF THE 5 INTERVIEWEES WHO PROVIDED AGREEMENTS:

1 AUTHOR RETAINED THEIR COPYRIGHT
4 AUTHORS SIGNED AWAY THEIR COPYRIGHT

3 **THE NUMBER OF** AGREEMENTS THAT HAD AN ARCHIVING POLICY.

OF THE PROVIDED AGREEMENTS
0 ALLOWED SHARING
ON AN INSTITUTIONAL REPOSITORY
WITHOUT AN EMBARGO

OF THE PROVIDED AGREEMENTS
3 ALLOWED PRE/POST PRINT
ON AN INSTITUTIONAL REPOSITORY
WITH AN EMBARGO