Workshop A Case Study for Small Group Discussions [1]

Prof. Janet Kramer of Western Ohio University received a manuscript to review for the *Journal of Engineering Science*. The author was Prof. David Davis of Midwestern State University. Although Prof. Kramer was knowledgeable in the topic of Prof. Davis' manuscript, she knew that the manuscript was closely related to research by one of her colleagues, Prof. Gary Jamison. Prof. Kramer approached Prof. Jamison and asked for his opinions about the manuscript.

Prof. Jamison was happy to oblige. He also used this as an opportunity to provide the graduate students in his research group with insights into the peer review process. So Prof. Jamison showed them the manuscript and the draft of his comments. One of Prof. Jamison's students, Barry Tipton, was conducting his thesis research in an area very similar to that reported in the manuscript and Barry asked to keep a copy of the manuscript so he could look over it in detail. A few days later, Prof. Jamison discussed the manuscript with Barry and was impressed by his student's grasp of the ideas reported. After the meeting, Prof. Jamison included some of Barry's thoughts in the report for Prof. Kramer.

At a conference a couple months later, Barry was in the middle of an interesting discussion with a friend from his undergraduate days when he described some new research (research he read about in the manuscript given to him by Prof. Jamison, although Barry hadn't told his friend where he learned about it).

Later that year, Barry's friend included in a seminar presentation some of the ideas Barry had described over lunch. By unlucky coincidence, Prof. Davis, the author of the paper Barry told his friend about over lunch, attended the seminar. Prof. Davis was startled when some of the presented material sounded like it came from his yet-to-be-published manuscript. Prof. Davis contacted the editor-in-chief of the *Journal of Engineering Science* to report a possible breach of confidentiality.

[As you discuss the questions below, note any details not described above that would influence your conclusions one way or the other.]

Q1: Was Prof. Kramer, the reviewer, correct in giving a copy of the article to her colleague, Prof. Jamison, and asking for his input?

Q2: Was Prof. Jamison correct in giving a copy of the article to the students in his research group and then discussing the review process with them?

Q3: Is it appropriate for Prof. Jamison to use his student's thoughts in the comments for Prof. Kramer?

Q4: Would it be okay for Barry Tipton to use techniques from the paper in his own research?

Q5: Was it proper for Barry to discuss the manuscript with his friend?

Q6: Was it proper for Barry's friend to include the material in his seminar?

Q7: Does Prof. Davis, author of the manuscript reviewed by Prof. Kramer, have any recourse beyond reporting the breach of confidentiality to the journal editor?

Q8: Should the journal editor take any actions? If so, what?

Q9: Should Prof. Kramer's and Jamison's department or university take any actions? If so, what?

Q10: Should Barry Tipton's department or university take any actions? If so, what?

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[1] Adapted from Peer Review Case Study, Authorship Module, Program for Education and Evaluation in Responsible Research and Scholarship, University of Michigan, http://my.research.umich.edu/peers, downloaded 5/11/2011; and Ethical Dilemmas in Research Integrity, 2004. Posted on ORI web resources, http://ori.hhs.gov/education/products/rcr_general.shtml, downloaded 5/16/2011.

Limited Submission

A **Limited Submission** is a funding opportunity in which the sponsor sets an institutional limit for the number of proposals it will accept. In order to participate, the University must organize to submit our most competitive proposal. This requires an internal competition. The process is critical extra submissions can result in the rejection by the sponsor.

Private foundations sometimes ask universities to limit their submissions to one or a few so as not to overwhelm the sponsor with 1000s of submissions. That requires the universities to create policies on how to evaluate and select the most competitive submission(s) from potential submitters. We call these internal competitions and they require faculty to review each other's ideas. Consider the following premise...

Dr. A submitted a proposal for a small grant. The funding agency required an internal competition. An anonymous faculty committee reviewed the proposal. Dr. A was selected for the limited submission, but did not win the award.

Later on, the same funding agency opened up a new limited submission for more money, ideally organized as a group funding proposal. In the timeframe between the interim competition and the final submission for the larger effort, Dr. A learned that Drs. B, C, and D had organized a team to propose work very similar to Dr. A's without including Dr. A. The team had already won the internal competition. It became clear that among Drs. B, C, and D, some of them had reviewed Dr. A's original proposal for the first internal competition and obviously learned from it.

This is obviously an internal mess. Let's agree that it was bad form for Drs. B, C, and D to co-opt Dr. A's original ideas without including Dr. A. This type of grievance is not something that one forgets. The feeble defense by Drs. B, C, and D was that Dr. A hadn't won the earlier competition, so there had been no conflict of interest.

Discuss amongst tables the following:

1. How could Dr. A have navigated both competitions differently?

2. What might be the role of Drs. B, C, and D in solving this long-term dilemma?

3. How could the University official linked with these competitions be more equitable now and in the future?

4. Is there a shelf life for good ideas like a patent? At what point can someone else also propose something similar?

Workshop A Case Study for Small Group Discussions   (Option C)

There is a seismic shift in how research results are compiled, stored, shared, and more widely published. It affects us as both authors and as consumers of research articles, presentations, and other scholarship. There was a time not that long ago that some researchers thought that if they collected results, in a way, they actually owned the results and they do with them what they saw fit.

Researchers supported through both NIH and NSF are required to construct data management plans to explain how the results of federally supported research are generally available for further evaluation by others. The wide variety of data repositories and cloud-based storage will make it substantially easier to archive data. The capacity to do retrospective and time resolved data analysis of continuous data collection and be able to publish up to date telemetry is just one such example.

Figure 1. Temperatures in the Contiguous 48 States, 1901-2015
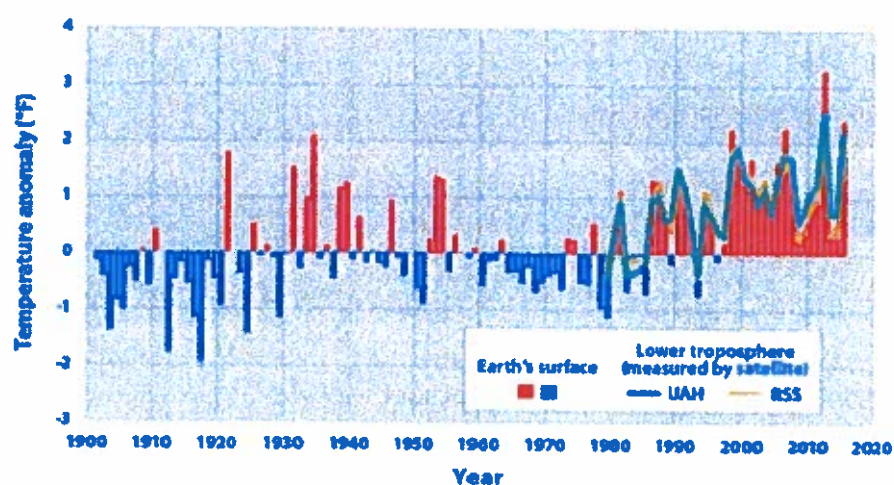
This figure shows how annual average temperatures in the contiguous 48 states have changed since 1901. Surface data come from land-based weather stations. Satellite measurements cover the lower troposphere, which is the lowest level of the Earth's atmosphere. "UAH" and "RSS" represent two different methods of analyzing the original satellite measurements. This graph uses the 1901-2000 average as a baseline for depicting change. Choosing a different baseline period would not change the shape of the data over time.

Data source: NOAA, 2016[1]
Web update: August 2016

Q1: Do any of you create or follow a data management plan?

Q2: Has anyone collected large amounts of data to produce a literature review prior to the requirement for data management plans? If yes, how did you handle it?

Q3: Could someone say, "No, you can't have it", or, "It's not in a format that you can use?"   Why or why not?

Q4: Is it a nuisance to be bothered by some pesky research who wants your data for some reason?   Why or why not?

Q5: What is the impact of technology's progression on what is archivable – given that knowledge is both value and power?

Workshop A Case Study for Small Group Discussions   (Option D)

Prof. Professor Erdos Paul is on sabbatical at a laboratory in Antarctica. English is not the first language among the group. They collaborate on some experimental work and use a tool that the Antarctican group has published prior work on. They collectively decide to publish the work that they did together. In scoping out the paper, Professor Paul receives an early draft of the experimental section that appears to be a direct lift from a prior paper produced by the Antarctican team. It is clear that the Antarctican team has used this experimental protocol in more than one prior paper with only minor editing changes between papers.

What actions should Professor Paul consider?

Q1:   What is the dilemma?

Q2:   What is the intent and motivation of the Anarctican team?

Q3:   What options does Professor Paul have?

  1.   Don't do anything, bury the chance to publish anything.

  2.   Publish and forget about it.

  3.   Ask questions of the team.

  4.   Confront the team.

  5.   Report this potential issue.

  6.   Other options?

Q4:   How many different ways can one write up an experimental protocol, tool, etc?

Q5:   Are there any learning lessons?

An Approach to "Digital Literature Management"
Originally compiled by John Hart and updated on January 5, 2019

Goals
- Understanding connectivity among journals, databases, and reference management software
- Aggregating journal and database feeds within your topics of interest, e.g., ToC alerts and saved searches, using a RSS stream
- Saving references into your personal library, and importing them into documents

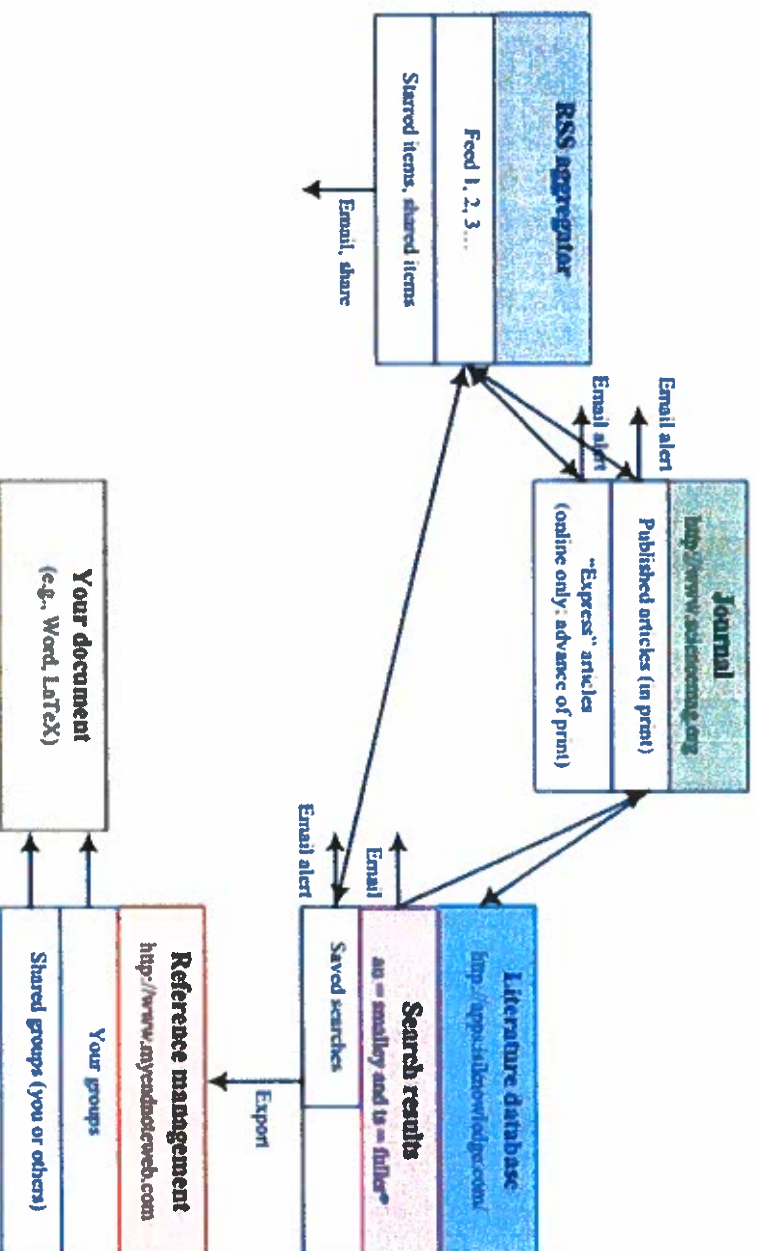## Digital Literature Management
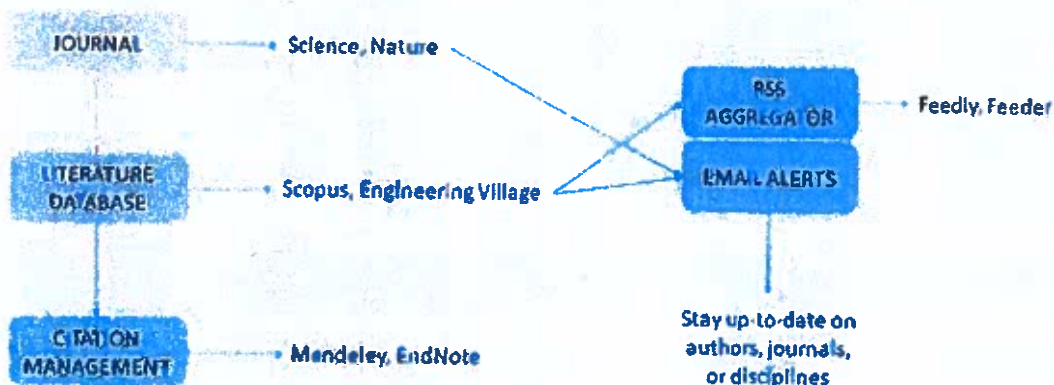
<u>Basic setup guide for the services in the diagram above</u>
- Get an account on ISI Web of Science (sign up from campus network www.lib.umich.edu/database/link/9187)
    - Set up a reference management system:
    - Endnote web (ENW) account, www.myendnoteweb.com (free on CAEN computer only)
    - Mendeley www.lib.umich.edu/database/link/39111 (free to students)
- Set up a RSS reader account
    - Some options: http://gizmodo.com/10-google-reader-alternatives-that-will-ease-your-rss-p-5990540
- Install the ENW "Cite While You Write" plugin
    - ENW homepage → at bottom "Download Installers"
    - You only need this one to import references into Word – ignore the Firefox plugin at right
- Use the proxy server for off-campus access to library resources
    - http://www.lib.umich.edu/mlibrary-labs/proxy-server-bookmarklet
        - this will take your current URL (e.g., at nature.com) and convert it to a proxy URL (e.g., nature.com.proxy.lib.umich.edu) so it's like you're on campus or VPN (use Cisco client software)
- **A Complete List of Library Resources** http://guides.lib.umich.edu/rcrs

Connectivity among literature databases

See Box "An Approach to Digital Literature Management."

RSS aggregator

Feed 1, 2, 3...

Starred items, shared items

Email, share

Journal
http://www.dataserv.org

Published articles (in print)

"Express" article
(online only; advance of print)

Email alert

Email alert

Your document
(e.g., Word, LaTeX)

Reference management
http://www.myrademseweb.com

Your groups

Shared groups (you or others)

Export

Literature database
http://appa.iknowledge.com

Search results
as == smiley and u == fuller

Saved searches

Email

Email alert

1

An incomplete list of online and library resources

Literature databases

    Library access (off-campus access through UM library website or VPN)
- ISI web of knowledge and web of science (journals and conference proceedings), http://www.lib.umich.edu/database/link/9187
- SCOPUS journal articles and conference proceedings http://www.lib.umich.edu/database/link/10049
- Engineering village covers Compendex and INSPEC databases with journal articles and conference proceedings http://www.lib.umich.edu/database/link/8551
- ScienceDirect (Elsevier journals), http://www.lib.umich.edu/database/link/9239
- ASME Digital Library, http://www.lib.umich.edu/database/link/10155
- IEEE explore (IEEE journals/conferences), http://www.lib.umich.edu/database/link/9195
- **If UM doesn't have access to a journal/publication, they will get it for you by 7-FAST** Saving references into your personal library, and importing them into documents

Public access
- Google Scholar http://www.lib.umich.edu/database/link/9825
- Google Books (full text of out-of-copyright books), http://www.lib.umich.edu/database/link/9869
- Can also "see inside" books on amazon.com –sometimes you can see a lot of pages!

Patents
- Google Patents, US granted and some applications with .pdf, http://www.google.com/patents
- USPTO, full text of US patents and applications but no pdf download, [USPTO now has pdf's] http://www.uspto.gov/patft/index.html
  - Note that *Applications published 18 months after filing date*
- Worldwide search with .pdf download, http://ep.espacenet.com/?locale=en_EP
- International (WIPO/PCT) applications, http://www.wipo.int/pctdb/en/

Reference management and networking
- Endnote (purchase), http://www.endnote.com/; Endnote Web (free via UM site license), http://www.endnoteweb.com/
  - Integrated with ISI databases
  - Easy to link to Word and LaTeX documents ("cite while you write")
  - Can share Endnote Web libraries with others, though it's tricky to transfer between Endnote software and Endnote Web
- Mendeley, http://www.mendeley.com
  - Import references and build database of papers; share with others …this software is getting very popular
- Zotero, http://www.zotero.org/, looks like Mendeley but I'm not familiar with it
- Papers (for Mac), http://www.mekentosj.com/papers/
- Researchgate, http://www.researchgate.com, "social research networking"?

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2) Read the Rackham dissertation handbook: www.rackham.umich.edu/downloads/oard-dissertation-handbook.pdf

3) If you include any of your previously published work in your thesis, it must be properly cited.

4) If you want to include a fair amount of previously published work, *talk it over with your advisor and any co-authors*. Make sure that they do not feel that you would be taking credit for work that is not yours or recycling old material without new insights.

5) If you plan to use any of your previously published material that has been copyrighted or you have any questions, make an appointment with the UM Copyright Office: http://www.lib.umich.edu/copyright/

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2) If you had article co-authors, as a courtesy you should check with them as well.

Compilation of suggestions from the University of Michigan Library Copyright Office and Rackham Graduate School.
http://www.lib.umich.edu/copyright-office-michigan-publishing

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Author's Addendum

University of Michigan Author's Addenda

In many cases, authors are asked to sign publishing agreements that limit or undermine their ability to use their works in the future. Authors can use the addenda below to retain rights to use works they have authored. These addenda are designed to be consistent with University of Michigan copyright policy (http://guides.lib.umich.edu/copyrightbasics/who-holds-copyright#s-lg-box-wrapper-14909241) and with the expectations of many authors in our academic community.

There are two addenda:

- University of Michigan Author's Addendum for Articles (Word doc) (https://www.lib.umich.edu/sites/default/files/services/copyright/u-m_authors_addendum_for_articles_05042017.docx)

- University of Michigan Author's Addendum for Books (Word doc) (https://www.lib.umich.edu/sites/default/files/services/copyright/u-m_authors_addendum_for_books_05042017.docx)

The addenda are different; if you are not sure which is most appropriate for your project, take a moment to read through both.

When using the addenda, here are some things to think about:

These addenda must be signed by the publisher in order to be effective. It's best to keep a signed copy of your publishing agreement and a signed copy of the addendum for your records.

If there are things that you want to be able to do with your work that are not already permitted (http://guides.lib.umich.edu/copyrightbasics/rights-of-users) by US law or the addendum, or that are prohibited in the publishing agreement, then you should consider adding them to the addendum you are working with. However, it's also important to be careful when making changes to the addenda, to avoid unintended consequences. Some provisions of the addenda are relatively easy to modify, such as the 12-month embargo in the addendum for books ("After a period of twelve (12) months from the date of publication..."). If you negotiate an embargo of a different length, simply replace "twelve (12)" with the new number.

In general, some publishers will not be willing to negotiate and some will be much more flexible. Consider talking to colleagues who have previously worked with your publisher to get a better sense of what it may be willing to do. If your publisher is not willing to negotiate, you may want to consider working with a different publisher who would be more receptive to your concerns.

If you have questions about the addenda or about negotiating your publishing agreement, you can contact the Library Copyright Office at copyright@umich.edu (mailto:copyright@umich.edu). You may also want to check for upcoming copyright workshops (https://www.lib.umich.edu/copyright/presentations) about negotiating publishing contracts.

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Last modified: 07/23/2018

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WORLD
We have a global perspective in all we do. We conduct research, teaching, service and leadership at scale.

PREEMINENT
We strive to be the best we can be at everything we do. We employ a "Great to Best" mindset as we seek to improve. We focus on excellence and impact.

COLLEGE OF ENGINEERING
We will place a focus on our engineering disciplines. We will emphasize innovation and technological progress.

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We are embracing our public charter and ethos, with a commitment to serve all. We are closing the gaps in the State of Michigan and beyond.

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- **Collegiality and collaboration**
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