

## Transcript

### Contributing Research to ERIC through the Online Submission System

#### Slide 1

Good afternoon everyone. I am Erin Pollard and I am the Project Officer for ERIC in the U.S. Department of Education. Today we are going to discuss the Online Submission System and how to best prepare submissions for ERIC. This is a recording of a live webinar that we gave on November 18, 2014.

#### Slide 2

Today, two of us will be speaking with you. As I mentioned earlier, I am Erin Pollard and I am the Project Officer for ERIC. That means that I oversee the program from the government's perspective and set policies for the program. I am going to provide some framing of why ERIC has an online submission process and what we are looking for in online submissions. Then I will be reading some comments from my colleague Pamela Tripp-Melby, the Director of the National Library of Education. Pamela prepared these remarks for the live webinar. I will then discuss the requirements for a small subset of authors who submit work to ERIC— federal grantees (and specifically grantees from the Institute of Education Sciences, the parent organization of ERIC and the National Library).

We are then going to switch gears and Judy Beck, the ERIC processing lead, is going to talk about the specific requirements for online submission and how to ensure your submission will be accepted into ERIC.

#### Slide 3

Today's agenda is as follows. I am going to give a background of the Online Submission System, then I am going to talk about specific requirements for grantees. Then we are going to spend the bulk of this presentation on what types of materials we accept and how to increase the likelihood of your materials being accepted into ERIC.

#### Slide 4

So to begin— why are we having this webinar? And why do we have online submission? Historically, over 50 years ago, ERIC set out to share education resources with schools and districts across the country. Some education research, like journal articles, are fairly easy to find in a local or academic library. Other sources of education research, like think tank pieces or working papers are fairly easy to find if you know where to look for them (but they are not centralized). Unpublished work— like dissertations and working papers are often not in an official repository— and they are very hard to find.

ERIC strives to consolidate all education research— whether it is journal articles, published non-journal pieces, and unpublished work. We created an Online Submission System for authors to submit their unpublished work to ERIC. This helps us share their work broadly and adds to the overall field of education.

#### Slide 5

We will repeat this later, but it is worth emphasizing, that the Online Submission System is for mostly unpublished work submitted directly by the author. Getting publications from publishers who are in agreement with ERIC is how we get the bulk of the content into ERIC, and these publishers go through a separate approval and submission system. Online submission is designed to be a tool for individual authors, not publishers to get their journals in ERIC (but we will tell you how to do that as well).

We initially released the Online Submission System in late July of 2014, and the submission system has worked really well so far. We now want to reach out to the research community in order to increase the number of online submissions. Judy will go through exactly what type of content we are looking for in a few minutes, but before I turn it over to her, I want to explain briefly why we treat grantees differently.

#### Slide 6

Over the next few minutes, you will hear us talk about federal grantees as a special class with special requirements. That is because some of our grants at IES have specific language that require our grantees to submit some of their work to ERIC. Because this requirement is fairly new and we know that we have several grantees in the audience, we are going to dedicate a good amount of time today talking about the submission process for grantees.

However, the ERIC Online Submission System is open to all individuals, regardless of whether or not you are a grantee.

#### Slide 7

So now I'm going to switch gears and talk about the Department of Education's Public Access plan. The "Public Access" initiative is also referred to as the government's "open access" requirement.

The Institute of Education Sciences at the Department of Education was ahead of the curve, in a way, when at the beginning of Fiscal Year 2012, which is September 2011, it required its grantees to submit their peer-reviewed research to ERIC and then ultimately to make this available to the public.

Then the White House Office of Science and Technology Policy issued a memo requiring agencies with more than 100 million dollars of research and development money to develop specific plans to make the publication and data results of this research available to the public, after a to-be-determined embargo period.

#### Slide 8

The entire Department of Education is in the process of updating its policy to conform to all of the requirements of this new mandate that was outlined in the memo from OSTP, and its full plan should be publicized sometime this year. By this year, I mean Fiscal Year 15, which runs from October 2014 through September 2015. When the plan is published there will be more detail, and in particular, on the requirements for Data Management Plans.

However, the current requirements from IES in its Request for Applications instructions provides detailed guidance to grantees on the public access requirement. It is very similar to what has been required since Fiscal Year 2012. One element which has not changed is the requirement to submit the final peer-reviewed manuscript **upon acceptance for publication**. This conforms to the OSTP requirement that at least the metadata announcing the existence of the research has to be available immediately, even if the full text is not.

The author's final manuscript is also more carefully defined in the RFA.

#### Slide 9

The RFA requirement notes that authors need to be sure whether or not they have made a journal agreement with a publisher that would restrict the copyright or the author's ability to deposit the final peer-reviewed manuscript for eventual public access.

And now I'm going to turn it over to Judy to talk about the Online Submission System itself.

#### Slide 10

Thank you Erin—and hello. As Erin said, I'm Judy Beck, head of the processing team for ERIC. Our current team is responsible for acquiring the approved journal and non-journal content that Erin mentioned previously, and for creating the ERIC records. This includes also applying the ERIC Thesaurus descriptors, or subject terms, to the records to assist in retrieving content from ERIC. My own experience with ERIC covers about 17 years off and on from 1990. I've seen ERIC go from print to digital.

Let's go ahead and start talking about the Online Submission System today, and really dig into the specifics of how you can get your high-quality research into ERIC. I want to start by talking about the ERIC Selection Policy. The ERIC collection is really governed by this policy. A copy of it is located from the link on the homepage of the website (you can see it circled in red there) or any of the subsequent website pages. This is the policy that governs all the material that goes into ERIC. We're not going to cover today the specifics of that policy, but we're going to look at how it does govern the online submission selections.

#### Slide 11

If you look at the next slide, take a look on the left of the Overall Selection Criteria. This is criteria that all content going into ERIC must meet. You can read about the full details of this criteria in the Selection Policy. Now, you can also go to the Multimedia page on the ERIC website, and you can listen to a presentation there that was made at the 2014 ALA meeting, which covers details about the current Selection Policy's development and the content— and there are also slides of the presentation that you can download (you could look particularly at slide numbers 20 through 27 that detail the policy). So on the right-hand side of this slide are the specific online submission criteria that submitters must adhere to for successful submissions. Sponsorship, one of the general criteria, is the only one that does not apply to online submission—otherwise online submissions are held to the same standards as other content.

You can see highlighted that submitters must be copyright holders or have an authorized representative make the submission. All of the online submissions will be displayed full text in ERIC (hence your documents must be complete). If you do not grant the right for full-text display in ERIC we cannot accept the material. Now, the last item on that list is one that we will return to when we get into the step-by-step section of the webinar. I'm going to say this – it's important that information appearing in the record that you, a submitter creates, also appears on the actual document that's uploaded. That means the title, the author names, publication date, any conference information if it was a conference paper, journal citation information if you're submitting a journal article, and grant number information if you are a grantee. The ERIC processing team needs to be able to verify the record's information against the document. This is a best practice and it helps us to uphold the integrity of the information in ERIC.

We talked about the Selection Policy, let's talk about who may submit material to the Online Submission System.

#### Slide 12

Basically, anyone who has a direct relationship to the material may submit to ERIC. What is not acceptable is for 3<sup>rd</sup> parties to submit material that is not “theirs.” I want to say a note about journal articles—ERIC will not accept complete issues of journals that are submitted by publishers who are not under ERIC agreement. We already talked about providers or publishers who are under agreement with ERIC, however, individual authors (grantees or others) may submit their articles through online submission. If you happen to be a publisher listening in or if you know a publisher who is interested in having their journal reviewed for possible inclusion in ERIC, you can see the last item on this slide and send a request to [ERICRequests@ed.gov](mailto:ERICRequests@ed.gov) and ask for that journal to be reviewed.

#### Slide 13

What kind of material can be submitted through online submission? We talked about who can submit, now what may be submitted? The left-hand side of this slide lists some of the types of accepted materials. This includes conference papers, research reports, book chapters, dissertations, practicum papers—any type of non-journal material enumerated in the ERIC Selection Policy. As a rule, we do not accept the kinds of materials that are listed in the right-hand side of the slide. That would include book reviews, editorials, stand-alone lesson plans or subject-matter-specific content. What do I mean by subject-matter content? For example, if an author submits a paper analyzing a character from a novel, that would be deemed to be subject-matter content. However, if the paper discusses an approach to teaching about this character, that would be deemed as education-related for ERIC’s purposes. Keep that in mind. Now let’s go through the process of how to get your content into ERIC.

#### Slide 14

In this section we’re going to walk through the submission process. I’m going to be providing some guidance and tips to help you successfully submit your work to ERIC, without the need for any rework. We’re basically going to go through 6 steps, from beginning to end. Starting with number 1, which would be linking to the system, then we’re going to be reviewing background information and instructions on how to successfully upload your content, answering a few screening questions to ensure that your content is appropriate for ERIC. We’re going to really get into the meat of it with Steps 4 and 5 where we talk about the specifics of entering the submission details, and then finally the last step, actually submitting your work to ERIC.

#### Slide 15

Let’s look at Step 1 – Linking to the Online Submission System. It’s pretty simple to begin, you can see on the slide there’s a red circle at the bottom around the word “Submit.” That will appear on the Home Page of the ERIC website as well as any subsequent website pages, so you can access the system anywhere from the website. You may want to note that you have to submit one document at a time. The form is not created for batch submissions or batch uploads. You don’t have to log in or do anything to submit your content, but you do have to do one thing at a time because for each document you are creating a unique record for each unique item that you want to submit. So clicking “Submit” will then bring you to the next screen and we’ll talk about Step 2.

#### Slide 16

This is where the process of submitting begins with a page of information and instructions, making it clear what kinds of material will be accepted. This is the same kind of information we’ve already talked about in the previous slides, but just make note at the top of the page, circled again in red to highlight, there is a link to the Selection Policy, and also a link to Online Submission FAQs. There’s some really good information in those FAQs. In the middle of the screen, you’ll see another red circle, and this is

where you can also link to information or guidance on writing an abstract, and we'll talk about that a bit more, but just remember that the link is here on this first screen of information and instruction. I really encourage you, before you begin the submission process, to read through the information that's on this page and to check the links. It will just make things a lot smoother and, before you hit that green "Begin" button at the bottom of the page, which is the last circle on this slide, it will really give you a good grounding and help you understand what you need to have available before you actually begin creating the records for your submission. We can go on to Step 3 now.

#### Slide 17

This is really the first page of the submission form. It acts as a screen, and the questions are designed to be a pre-check for the users so that you don't spend time submitting material that we can't accept. The questions are going to ask you about your education research, is your document relevant to education (is it education-related?), your authority to grant the display rights to ERIC, and it's going to ask whether the material is in English. A "No" response for any of the questions generates a notification and actually ends the process, as you will see in the next slide, so it's important to answer these questions.

#### Slide 18

This is the notice a submitter will see, saying the document is not eligible for ERIC, if you've answered "No" to any questions. And this page does include a link back to the Selection Policy. You may need to re-review that. But there is also (you can see it circled in red) a "Start a New Submission" link, so at this point it's possible for a submitter to begin the process anew with a different document. You don't have to log out, log back in, or anything like that.

#### Slide 19

Let's go to Step 4, because now we're going to get into the actual submission form. You'll notice that this is a combination of free-text boxes where you have to type in information, radio buttons where you'll have to click choices or make menu selections. Again, I want to repeat – information that you enter on the form also needs to appear on the document with just a few exceptions (and we'll make note of those).

So the very first thing is to enter the title of the material you want to submit exactly as it appears on the document.

The second step is to enter all of the author names. Now this form allows up to 6. If you have a work that has more than 6 authors, go ahead and enter the first 6. Just make sure that all the other names are on the document exactly as they should be. The processing team has the ability to complete entering the rest of the author names, so don't worry about that.

The third thing is, we want you to cut and paste, or copy and paste, or type into the abstract box, the abstract that you want shown on the record. The abstract needs to adequately convey what your document is about. You want to think of ERIC users who are going to be searching for the information, who are going to find your record in a search. Guidance on writing an abstract for ERIC is available again within this page (remember there was a link to it at the earlier page, too). So you can just click on the link above the text box for the abstract. Because the abstract is so important, let's take a moment to step away from the submission form and take a look at the key elements of a good abstract for ERIC.

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When you're talking about writing an ERIC abstract, you can click on that link. You will come to information that is more detailed than what we've highlighted on this slide. There are also sample abstracts that you can see from that link. But take a look at the writing style column. You want to make sure that you're concise and clear, but you also want to cover the elements that are listed on the right side of the slide – the Abstract Elements. There is no character limit for the abstract box, but remember: concise and clear. That's really the most appropriate way to tell the story of your work. Why is the abstract so important? Because it's the first representation of the full text of your work that an ERIC user will see when they're reviewing their search results. Users won't click the full-text icon to see the complete work unless they find something in the abstract that tells them this work fits their needs. Frankly, the abstract is also a very important part of the indexing process, which is (as I mentioned) the application of ERIC Thesaurus terms to each record. You'll notice under the Writing Style column, the first thing is to use specific words from the paper. You can use your own language – this helps tell the indexers what you consider to be the most important concepts, the most important terminology that you're using, and then they can apply the appropriate descriptors.

## Slide 21

Let's go back to Step 4 now, and return to the discussion about entering document details.

We left off after you put your abstract in, so the 4<sup>th</sup> step then on this page, is to indicate if the document you are submitting is – and grantees, here's where you want to pay attention – work funded by IES, work funded by another Department of Education entity, or some other federal department or agency. This is where you can ensure you are meeting the IES requirement of making your funded research available to the public. Submitters who click on either of the first 3 buttons will have the content designated as a Grantee Submission. When an ERIC search is done, your work would show as a grantee submission. If your work is IES funded and has been peer reviewed, the ERIC record will reflect that peer-review status. Peer-review status is not bestowed on any other submissions.

The last choice in this section is "No," meaning that your work was not funded by any federal entity, and if that's the choice, then your work is designated as an Online Submission. So if you have work that was funded by a foundation, a state agency, or some other non-federal source it is not considered to be a Grantee Submission for ERIC's purposes, and anyone with that kind of work should select the "No" button for this question.

The last thing on this page is using a drop-down menu to indicate what format your submission is in – is it a conference paper, a journal article, a report, etc.

So selecting a "Yes" for grant funded and/or selecting Conference Paper or Journal Article as the type of document that you're submitting will cause additional boxes to appear on the next page of the form for collection of that specific information.

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Now we're on to Step 5, where we want to complete submitting all of the information.

First, everyone does need to enter a publication date of the document—not the date you're submitting it to ERIC, but the date that it was either completed or presented at a conference or published as a journal article. There must be a date on the document. We also ask that you provide the page count of the document and the number of references in your document. Now, if you are submitting a conference

proceeding, a collection of a number of conference papers, or a similar item that's got multiple articles and chapters that each include references, you may skip entering a number in this box and the ERIC processing team will simply add a statement to the abstract indicating that references appear at the end of each paper or chapter. So that's one exception there.

If you selected Journal Article as the document type, the form will ask for the journal citation information. You can see the circled parts of this slide showing the boxes that do appear. This information – journal citation information – needs to also appear on the document itself. The next slide, when we get to that, will show you the set of boxes that will show up if you selected the format of Conference Paper.

Following the Journal Citation or Conference Paper boxes (or no additional information if you're submitting something else), you will be asked to upload the submission (the actual document). All submissions must be in PDF format. ERIC cannot convert documents to other formats, or from other formats to PDFs, and actually the system itself will not let you upload a submission unless it is in a PDF format.

The fourth section of this page is critical for IES grantees, and it's important for anyone else whose work is funded by a federal agency. You must enter the grant or contract number—not the name of the program, the actual number. If the funding was from IES, the next box uses a drop-down menu where you can select which IES center was the funding agency. We'll see that on the next slide, but I wanted to mention it here. And the last question of this section asks if the work was peer reviewed. Remember, as we said earlier, only IES-funded work that has been peer reviewed will indicate a peer-review status of "Yes" on the final ERIC record.

And the very last thing on this page is to put your contact information. We ask for an e-mail address so we can be in touch with you.

#### Slide 23

The next slide shows the drop-down menu as I mentioned before, the federal funding centers for IES. We have the alphabet soup of choices: "NCEE", "NCER", "NCSE", "NCES" (they are spelled out, so you don't have to remember the acronyms); the "Department of Education" for other entities within the Department other than IES-funding; and then "Other" for other federal agencies. So those will be the funding entity choices.

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On the next slide we're seeing basically the same webpage of the form that we have seen before, only instead of looking at the journal article citation boxes and the funding boxes, we made an assumption that this person is submitting a conference paper and it's not funded by IES or any other federal source so there's no funding boxes open, but you can see that you would need to enter the information about the conference where the paper was presented, and again, just as with journal articles, the conference information also needs to be directly on the document. So this particular submission we're looking at it from this slide would be designated as an Online Submission and not a Grantee Submission.

#### Slide 25

So to be as duplicative, redundant, and repetitive as I can possibly be, I can't stress enough that journal citation, conference paper, or funding information needs to appear not only in the form (the record that's created), but also on the document itself. This slide just gives you some examples of Grantee and

Online Submissions that do include such information. Why am I harping on this so much? There are really a couple of reasons: 1) again, think about the ERIC user. If they separate the ERIC record from the downloaded PDF of the full text, the citation, conference or funding information will still be available to them for building accurate reference lists, and 2), the processing team can verify the record against the document. So the next slide is going to show how this information is actually displayed in the ERIC record.

#### Slide 26

On this ERIC record, you can see the circled journal citation information and the IES grant or contract number. Let's look at two other things about this record in the orange box. First, you will note that the status of Peer Reviewed is present—remember we said that only IES-funded documents indicating peer review would have this status. Second, even though this document is actually a journal article, the ERIC accession number carries the prefix ED for ERIC Document and it has the Record Type of Non-journal. Every online submission – grantee submission record – is indexed as a non-journal record because only journals that are under signed agreement with ERIC are given the EJ (or ERIC Journal) prefix for the accession number.

#### Slide 27

Alright, Step 6. Once you get to this point, you are nearly finished! The Online Submission System will generate a summary screen of the information that you've entered. You have the option to edit any fields that may contain typos or other ERIC errors. So please make sure your name is spelled right, your title matches what's on the document, and make any corrections that you need to. Once you have reviewed the data, you are ready to click that Submit button, which is down at the bottom and circled in red on this slide. Once the Submit button is clicked, the record and the attached document are uploaded to ERIC and will be retrieved for review and processing. Clicking that Submit button also generates a confirmation screen with a confirmation number indicating that the submission was successfully uploaded. And an email will be sent to the address that was put in under the Contact Information section. Both of these communications contain the information that was entered into the record by the submitter.

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What happens next?

Once you've done all the work of entering the document information, the matched record and document are saved and then retrieved by the ERIC team for review and processing. Submissions that meet the criteria of the ERIC Selection Policy are processed and appear in the collection as an ERIC record with available full text. If the ERIC reviewers find that "fixable" issues are present in the document or record, the submitter will receive an email indicating that the document contains errors or omissions, and may be resubmitted with corrections or additions. Frankly, the most common issue is the lack of a publication date appearing on the document itself, even though it may have been typed into the form. You need to know that if you have something returned or you make the correction that's been asked for, you still have to resubmit the document and go through the form again. So you want to make sure you get this right. However, for those submissions that don't meet the Selection Policy, for example – they may not be in English, or they're not really research-based, or they're not education-related— these are not processed, and the submitters are asked not to resubmit that specific document. Any questions that you may have about the disposition of a particular submission may be submitted through the Contact Us page of the ERIC website, which includes Online Submission as a choice in the email subject line.

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Let's do a recap. Even though we've talked about these points, I'd like to summarize most common reasons a submission may be returned for correction or additional information—which as I said, actually entails resubmission, where you have to fill in the form again and upload the corrected version of the PDF.

Make sure the funding, conference, and journal information entered in the Online Submission Form are also included on the actual document. So many good submissions have come to us without a publication date. Be sure you have assembled a complete PDF. When we're reviewing, we do check the Table of Contents to see if anything is missing. So for example if your Table of Contents indicates there are appendices in your document, please make sure the appendices are there too. And if you are converting a Word document to PDF, please check your settings. Have the document in final form with no mark-up showing from Track Changes. If we see Track Changes, we have to consider the document is not in final form and is incomplete. Do your submission justice and provide a good solid abstract. The last thing I'll say is – remember, you are a Grantee only if the funding was from a federal source. Always include the federal contract or grant number in your form—but never a social security number!

Thanks for following along. We look forward to accepting and processing your work. Now I'll turn the presentation back to Erin for a wrap-up and any questions you may have.

#### Slide 30

Thanks, Judy. So to conclude, we hope that this webinar was helpful in answering your questions on how to use the Online Submission System and will encourage you to submit your work to ERIC. We also hope that by going over the requirements, we can reduce the number of submissions that we have to return to fix any errors or omissions.

We hope that you will spread the word about the Online Submission System broadly. If you know of authors who are producing work that would be a good fit for ERIC, please encourage them to submit it!

#### Slide 31

Now we are going to answer some questions that were asked in the live webinar.

#### Questions

The first question is: "If a grantee fails to submit the final manuscript (is this the published version?) to ERIC, will this affect the grantee's ability to receive a future IES grant?"

The short answer to your question is yes. But first to clarify the first part of your question, the final peer-reviewed manuscript is different from the published version of the article. The published version of the journal article goes through formatting, has different branding, different graphics at times, and is copyedited differently. What we are talking about is a final peer-reviewed manuscript which is a separate document. It's one version earlier. That final peer-reviewed manuscript is what all grantees are required to submit.

It is important to think about the differences between these two versions. Final peer-reviewed manuscripts get an ED number. This is the manuscript version. This is what grantees are required to submit to ERIC. But it has to be the final peer-reviewed manuscript. The final journal article may also be indexed in ERIC and it will get an EJ number.

But to get to the heart of the question, because this is now a requirement of the grant process, it is like any other requirement in that if the grantee doesn't meet the conditions of their grant, then for future grant applications they would be considered a grantee that has not met all of their obligations of a previous grant, which means yes, it will be taken into consideration.

The second question: "Is there any way to easily convey which peer-reviewed publications comply with the 12 month requirement from IES?"

The answer to this is no. We at ERIC know which journals are in agreement to only display the final, peer-reviewed manuscript, and which allow us to show the journal article after 12 month embargo, or immediately. Some publishers have said they are fine with opening up their version of the article after the 12 month period, either in ERIC or on their website, but we have no control over if they will actually submit it to us. That is why we want to have the final peer-reviewed manuscript which will be available after this administrative embargo is finished (which most likely will be 12 months). And then that will be available after the embargo period is over. If any publisher chooses to make their version of the article available, that is fine. There will be two versions out there.

The next question: "Would a grant request be rejected if the grant proposal failed to include a data management plan? "

This is a trickier area. The requirements for data management plans have not been issued yet. In the RFP if you go back and look at the request for application requirements, right now the data management plans are not detailed there. IES and the Department of Education, as well as many other federal agencies actually, are working on what needs to be included in the data management plan and what obligations the principal investigator will take on in terms of how they will manage their data. Not all of this has been worked out, quite frankly. Which is why the requirement is not there now. I cannot really speak to what the requirement will be because the plan is not finalized yet. But it will be an important part of the requirements once that is finalized, which we expect to happen sometime this year.

The next question is: "There seems to be a conflict regarding the IES mandate to PI's to submit journal articles to ERIC with the requirement that authors typically sign copyright over to the journal. Should PI's bother submitting the published journal articles to ERIC if they already know they've signed over their copyright to the journal?"

This is a great question. It goes to the heart of the distinction between the final peer-reviewed manuscript and the published journal version of the article. What the new requirements say is that authors who have received federal funding may not sign away all of their rights to the final peer-reviewed manuscript. The publisher has a right and may have the copyright to the published version of the article. But the final peer-reviewed manuscript has to be submitted free and clear to ERIC in order to comply with the requirements of the grant, and ERIC must be able to make that article available at the end of the embargo period. We cannot require the journals or the publishers to make that article available, and that is why we need to have a version that we can make available after the embargo period is finished. That is why we collect the final peer-reviewed manuscript.

It is important to note that, just because I'm aware that this question has come up many times, and I know that we have many current grantees on the phone who are in years four or five of their grant and they're getting ready to submit publications. This IES requirement is for fiscal year 2012 and on. So if

you have a grant number that includes - 12, 13, 14, or 15 - then these requirements apply to you. If your grant was awarded on or before September 2011, then we would like your final, peer-reviewed manuscript, but it is not a requirement of your grant.

Next we have a question about the word limits for an abstract. "What is the maximum length of an abstract?"

As Judy mentioned earlier, there are no word limits for abstracts, although we recommend 500 words as the maximum range. A good abstract generally has at least 150 words, but no more than 500. We encourage you to use as many words as you need to write a good abstract. Keep in mind that long abstracts may turn users off to your publications, but abstracts that are too short will not give sufficient detail.

Now we're back to online submissions. I think we touched on this earlier. "Doesn't the journal own the copyright to the published article? Therefore, how are we able to submit published work?"

It is not actually the published work that you are submitting. What you are submitting is a slightly earlier version of that, which is the manuscript which has been peer reviewed and accepted for publication. The publisher has the version of what they're actually going to publish. What you are submitting to ERIC is the version before, the one that was accepted for publication, but not the one published by the publisher.

With this question we're going to get to the publication itself. It's a really tricky question. The question is: "For example, if you're submitting a journal article that is accepted for publication, but the print date is not assigned yet, should you put the date of acceptance on the paper?"

We would say yes. And that should be the date that goes on the final peer-reviewed manuscript, where you can say accepted on May 15, 2012 or whatever the date is. So you will submit it upon acceptance and then we will publish it one year after it is accepted for publication, which is different from one year from publication.

"The second part of this is likewise for a conference presentation, should we put the date of acceptance, or a future date when the conference may occur?"

This is Judy, I'll answer that one.

We do run into a situation where someone has had a paper accepted but the conference hasn't yet been held. Frankly, we'd like to have the publication dates go out in the future no more than 30 days because otherwise someone might have a paper accepted but they end up not presenting at the conference. So we don't want to have a false piece of information ERIC. I would say if the conference is within the 30 days, go ahead and if you expect to be there, put the presentation date in, but either one would really be acceptable.

Okay, so we're getting a lot of questions about the whole distinction between ED and EJ.

Yes. We have journals that we currently index under agreement where we are allowed to index the articles, but not provide the full text. So we're only allowed to index the citations and the abstracts by the publisher. Let's use an example of a made up journal, the "Journal of Education." This journal is indexed in ERIC as "citation-only." ERIC does not have permission include the full text for this journal but

you, a grantee, have written a paper that you are submitting to the journal. The paper gets accepted! Then you submit the final peer-reviewed manuscript to ERIC. What will happen is the final peer-reviewed manuscript will get an ED number. In that ED description, it will include that it is the final peer-reviewed manuscript of an article that appeared in the "Journal of Education." We will also have a citation of the journal version.

ERIC will still index the journal version as EJ as well because we are under agreement with that publisher. So as a result, there will be two entries into ERIC. One is a journal version with all of the publisher's information. One is the non-journal version, the ED grantee submission version, so two entries in ERIC.

So let's say down the road – if a grantee submits a final peer-reviewed manuscript of an article and the publisher also gives us permission to display the full text of the publisher's version, there will be two versions of that paper in ERIC. That is okay! Probably everyone's recommendation is that you should use the published version of the article, and that is fine. But if the publisher chooses not to open up the article at the end of the embargo period or use a different embargo period, then we will at least have one version – the ED version – that will be available to the public. And that is the reason for the distinction and why we're indexing two versions of the paper.

Along the same lines, we had the question: "There is no list of journals for EJ? There is a list of approved journals for ERIC. So to be clear, they are on the ERIC website. The confusion here is-- how does an author know whether to submit?"

If you are funded by an IES grant and you publish an article in a peer-reviewed journal, you are required to submit your final peer-reviewed manuscript to ERIC. Regardless of any other journal policies, and any other agreement that the publishers have with ERIC, you the grantee, are required to submit that final peer-reviewed manuscript to ERIC.

We have a list of which journals are approved in ERIC. But just because we have a relationship with them does not mean that you, a grantee, are exempt from submitting your final peer-reviewed manuscript to ERIC. You should always do this.

The reason for this is it's also a question of keeping track of the results of the research. Part of this submission process is to fill out the grant number. Because historically this is one of the difficulties; not all grantees acknowledge their funders in the journal article. It has traditionally been optional so that makes it difficult to trace the results of grantee-funded research and for IES and other federal agencies to show the impact of their investments. We are able to tell how much research has come out of the grant. So the idea of having this submission process and requiring that the grantee enter their grant number is so that the results of the grant can be tracked over time. Everyone, including the Department of Education, will know which research resulted from a particular grant. And they will be able to look at what we've produced, which is going to be great because up until now it has been very problematic to know which grants produced the most research. So this is trying to create a systemized ability to track the research results from our grants.

Next we have a slightly different topic. "Can you update submissions? For example, if you submit an early working paper and then a newer version - do those have to be multiple submissions? And can the former submissions be deleted?"

To answer the last part first: once something is submitted to ERIC, the full text it must be allowed to stay in ERIC for perpetuity. We will not remove an online submission for most reasons. The only times we'll consider it will be serious allegations of plagiarism, or the like. So we will not remove an online submission from ERIC if you have a newer version available. We also will not remove a version from ERIC if you sign away your copyright to a publisher. Once an article is submitted to ERIC, it stays in ERIC. That way if someone is using your article and citing the article, it will be available to users down the road.

So what happens with a working paper? If you have a working paper that you write one version of and then six months or a year later you have a different version of that paper, you can submit both to ERIC. This is of course if it is a "polished working paper" that meets the criteria laid out in the Selection Policy. In your abstract, a best practice, that is not required but is strongly encouraged, would be to say – for the second paper – this is an updated draft of ED456789, and that way users will be able to link back to the older working paper. Again, that is a best practice. We encourage it, but it's not required.

Next question: "When we submit an article for publication in a journal, we have to state that it has not been previously published elsewhere. Doesn't a submission to ERIC count as a previous publication, making it difficult or impossible to publish the article in a journal?"

No. ERIC is not a publisher. ERIC is not a journal, and it's not a publisher. So for the most part I would say, perhaps not universally, but for the most part publishers are aware of this requirement. If an author explains that they are going to submit, not publish, but submit the final peer-reviewed manuscript of their article to ERIC in order to comply with grant requirements for public access to federally-funded research, I am fairly certain that the publisher will either understand, or in the case that they don't understand you can refer them to me, or someone in the Department of Education, to explain to the publisher what's going on – that this is not a publishing agreement, we are not publishers, and what the requirements are and why they exist. In a larger sense, this is a learning process for everyone. For the publishers, for us, and for the grantees. Part of the conversation that we're having today is part of that learning process, and we will be happy to have that conversation with publishers down the road – that having your records appear in ERIC is not a publication. It is simply a submission to the funding agency.

Next we have a question: "Is there a list of journals that you have an agreement with somewhere?"

Yes. If you go on the bottom of any ERIC page you will see the list of approved journals and non-journals. These are the sources that are approved to be in ERIC. This does not mean that if a journal is included on the list that you do not have to submit your work to ERIC as a condition of your grant requirement. These are sources under agreement to be in ERIC that go through our normal publisher's system and have their EJ or ED results appear in ERIC.

The next question: "When you say conference paper, are you talking about the abstract of your presentation that you are going to present at a conference?"

It can be, but what we traditionally think of is a paper that talks about what you're going to present. Every conference is different. We want whatever you submit to be substantial and useful to the field. If it is just an abstract of 500 words, it may not be useful. Traditionally what I think of is a five-or-so-page paper that describes what you will talk about, a study you are working on, or the like.

"Are we required to submit all papers published from an IES grant?"

It's a tricky question. The policy only applies to peer-reviewed manuscripts that are published in a peer-reviewed journal. The policy does not apply to non-peer-reviewed work. If you write a newsletter then you are not required to submit that to ERIC, but depending on the content, you are heavily encouraged to.

Similarly, if you are an IES R&D Center, then you probably have already gotten an email from me requesting permission to index your work from that Center as an approved source through our traditional process. We would like to index all the work that you produce under that grant. However, you're not required to allow us to index that work. You are only required to submit the final peer-reviewed manuscript articles that you are submitting to a peer-reviewed journal to ERIC. So if it's not peer reviewed, and not a journal article, it does not need to go into ERIC.

The next question says: "If you receive funds from a different federal agency, is this submission required or just recommended?"

There are two ways to look at this question. There are grantees that receive funding from more than one agency for research. So, if the question is "if I have received funding from IES and from NIH to do research on a particular area, do I have to submit my work to both PubMed Central, which is NIH's repository, and ERIC"? The unfortunate answer to that question is that both NIH and ERIC require you to submit the publication to their respective agencies. In other words, IES requires you to submit your paper to ERIC, and NIH requires you to submit it to PubMed Central.

If you are just funded by NIH, then you are only subject to their requirements, which are very similar to IES's requirements. But you need to follow their system and deposit the article into PubMed. We recognize for grantees who receive funding from more than one agency, this is an additional step that you have to take to submit it to both agencies. But because the databases don't interact together, yet, I would say that for now that is a requirement.

So to recap, if you are only funded by NIH, not IES, you are only required to submit your material to PubMed. You are still allowed to submit your work to ERIC—and we encourage you to if it's on education—but this requirement is only for IES's grantees.

Another question: "I was wondering to what extent journal publishers are aware of the open access issues. Are there a lot of journals that are aware of it?"

The short answer is that they are very aware. I have emailed all of the publishers who have journals which are approved to be in ERIC about this at least twice. I would also say that The Association of American Publishers is heavily involved in discussions with federal agencies about this policy and about how it is going to be implemented and what will work and won't work from their perspective on these issues.

Whether every individual who works at every different publishing house, if they're aware of this, perhaps not. I think it has been widely discussed in the information literature and among publishers. I think in fairness, if a grantee is going to submit work to a publisher who is unaware or uncertain or pushes back about how this operates, it is perfectly fair for that grantee to contact ERIC, explain the situation and try to get some additional advice or guidance. And ERIC will use some of the wording in the grant requirements to have these conversations. Grantees will need to explain to their publisher if there

are issues, and just because a publisher does not like this requirement does not mean that the requirement will go away.

From a broader sense, this is not just IES's policy for ERIC. This is also the law. It is part of the budget authority that was passed after the government shutdown, and this is required in our budget authority for Health and Human Services, the Department of Labor, and the Department of Education. This is also coming from the White House policy that predated the budget authority. So this is happening all across the government.

The next question: "Does the 12 month embargo period apply to the final peer-reviewed manuscript, or only to the final print journal articles?"

We haven't published the plan yet, and the final wording will be in the published plan, but as I understand the intention is that the embargo would end 12 months after the peer-reviewed manuscript is accepted for publication. The publisher may choose to make their version open later than the 12 months, and it is their prerogative to do so for the article. However, the peer-reviewed manuscript must be available in ERIC 12 months after the date it is accepted for publication.

How this will be set up operationally is that we have a timestamp in our system and we will release the record 12 months after that date that you provided. So that will be what is available in ERIC.

The next question: "When you are referring to submitting a PDF, I assume that means a PDF that meets the compliance requirements of Section 508 of the Rehabilitation Act of 1973. Is that correct?"

Yes. That is actually on the submission screen. And this is actually something that is also fairly easy to do. We have guidance and resources about how to do it that are in the guidance and FAQs. But in reality, if you have a Word document, it only takes 10 minutes more or less to make a compliant PDF. And the reason why we ask you to do this is because 1) it's required by federal law, and 2) because it helps users with disabilities be able to see and read the documents with a screen reader. It also really helps make PDFs searchable and so when you as a user search for something, if PDFs are compliant with Section 508, you'll actually be able to make it a searchable PDF.

And the last question: "When submitting the manuscript that's accepted, but not yet published, do you want the author's version that is formatted as proof?"

No. All we need is the final peer-reviewed manuscript.

And that concludes our questions. Thank you so much. If you have any additional questions please feel free to email us at [ERICRequests@ED.gov](mailto:ERICRequests@ED.gov). If there are questions that pop up in the next day or so that we really think will be helpful for everyone to hear the answers to, we will include them in the final transcript and the video that we send out. Other than that, we want to thank you so much for attending. We look forward to sending you the video when it becomes available.

Thank you.