



The Open Access Advocate

Open Science Compliance Checklist for Authors

Draft to Publication

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Open Science Compliance Checklist for Authors

This document is intended to provide a detailed overview of ASAP's Open Science Policies and compliance requirements. The [ASAP Open Science Policy](#) can be found on our website.

If you have additional questions, please see the [Open Science Compliance FAQs](#) or email the Open Science Team at openscience@parkinsonsroadmap.org with the subject title: "Compliance Question:...".

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Compliance Checklist for Original Research

- Share all research outputs in publicly accessible repositories:** All data (raw and cleaned), code & software, lab materials, and protocols generated in the manuscript must be deposited and/or registered in recognized [community repositories](#) so that they are publicly available **at the time of publication**. The persistent identifier ([DOI](#), [RRID](#), or [accession number](#)) should be cited for all research outputs, both new and reused. **We strongly recommend including a Data Availability Statement where all research output information is cited.** For more information, see the [Appendices](#), [Open Science Compliance FAQs](#), or the [Policy Handbook](#).
- Create a Key Resource Table (KRT) of all resources used or generated in the manuscript:** All data, code & software, lab materials, and protocols in the manuscript must be included in a [key resource table](#). Each row must have enough information to unambiguously identify the resource. **If you have not provided the requested information, include reasoning for why not in the KRT.** For more information, see the [Key Resource Table Appendix](#) or [Key Resource Table FAQ](#).
- Assign author affiliations to all ASAP Team Members:** Your home institution plus: “Aligning Science Across Parkinson’s (ASAP) Collaborative Research Network, Chevy Chase, MD 20815.” For more information, see the [Open Science Compliance FAQs](#).
- Include the [ORCID](#) for all ASAP Team Members.**
- Include Acknowledgement to ASAP and MJFF Funding:** “This research was funded in whole or in part by Aligning Science Across Parkinson’s [Grant number] through the Michael J. Fox Foundation for Parkinson’s Research (MJFF). For the purpose of open access, the author has applied a CC BY public copyright license to all Author Accepted Manuscripts arising from this submission.” For more information, see the [Open Science Compliance FAQs](#).
- Include Availability Statement:** “The data, code, protocols, and key lab materials used and generated in this study are listed in a Key Resource Table

alongside their persistent identifiers at [enter the Table number or Zenodo DOI].”
For more information, see the [Appendices](#).

- Submit preprint:** Preprint posted in an open access preprint repository (Biorxiv recommended) **no later than submission** to a journal for review. For more information, see the [Open Science Compliance FAQs](#).
- Compliance review:** Compliance reviews may occur during multiple stages of the manuscript lifecycle (i.e., draft, preprint, and publication phase). Manuscripts must be sent to the Open Science Team within 5 days of posting a preprint. Updated versions of manuscripts must be shared with the Open Science Team prior to publication. For more information, see the [Open Science Compliance FAQs](#).

Draft: A compliance review of a draft manuscript is not required. However, we strongly recommend that you submit a manuscript for compliance reporting as early in the process as possible.

Preprint: Request a compliance review within 5 days of posting a preprint.

Publication: The Open Science team will conduct a compliance review on the final publication to ensure that all required action items have been resolved.

- Submit a manuscript for compliance review.** Email openscience@parkinsonsroadmap.org a single PDF containing the manuscript and supplementary material and the KRT as a CSV file.
 - Complete all required actions requested by the ASAP Open Science Team.** Return the manuscript to ASAP Open Science Team for a final compliance review. For more information, see the [Compliance Report Appendix](#).
 - Pass compliance check no later than final manuscript publication.**
- CC-BY license:** License your preprint and published paper for unrestricted re-use rights with a **CC-BY** or **CC0**. Note, we do not accept any additional restrictions on the license, including Non-commercial (NC), No Derivatives (ND), or Share-alike (SA). For more information, see the [Open Science Compliance FAQs](#).
 - Submit paper to open access journal:** Select a journal that allows **immediate free online access upon publication with no embargo** and CC-BY or CC0

licensing. You can use the [Sherpa Romeo](#) or [DOAJ](#) checkers to verify a journal's open access status. For more information, see the [Open Science Compliance FAQs](#).

- Share any research outputs generated in this manuscript on the CRN Hub:** All manuscript-generated outputs should be [shared on the Hub](#) **at the time of preprint or at the time that they are made publicly available, whichever happens first**. However, teams are also encouraged to privately share outputs with the CRN by uploading them to the Hub prior to this time point

Compliance Checklist for Reviews

- Assign author affiliations to all ASAP Team Members:** Your home institution plus: “Aligning Science Across Parkinson’s (ASAP) Collaborative Research Network, Chevy Chase, MD 20815.” For more information, see the [Open Science Compliance FAQs](#).
- Include the [ORCID](#) for all ASAP Team Members.**
- Include Acknowledgement to ASAP and MJFF Funding:** “This research was funded in whole or in part by Aligning Science Across Parkinson’s [Grant number] through the Michael J. Fox Foundation for Parkinson’s Research (MJFF). For the purpose of open access, the author has applied a CC BY public copyright license to all Author Accepted Manuscripts arising from this submission.” For more information, see the [Open Science Compliance FAQs](#).
- Compliance review:** Compliance reviews may occur during multiple stages of the manuscript lifecycle (i.e., draft, preprint, and publication phase). Manuscripts must be sent to the Open Science Team within 5 days of posting a preprint. Updated versions of manuscripts must be shared with the Open Science Team prior to publication. For more information, see the [Open Science Compliance FAQs](#) or the [Policy Handbook](#).

Draft: A compliance review of a draft manuscript is not required. However, we strongly recommend that you submit a manuscript for compliance reporting as early in the process as possible.

Preprint: Request a compliance review within 5 days of posting a preprint.

Publication: The Open Science team will conduct a compliance review on the final publication to ensure that all required action items have been resolved.

- Submit a manuscript for compliance review.** Email openscience@parkinsonsroadmap.org a single PDF containing the manuscript and supplementary material and the KRT as a CSV file.
- Complete all required actions requested by the ASAP Open Science Team.** Return the manuscript to ASAP Open Science Team for a final compliance review. For more information, see the [Compliance Report Appendix](#).

- Pass compliance check no later than final manuscript publication.**

- CC-BY license:** License your preprint and/or published paper for unrestricted re-use rights with a **CC-BY or CC0**. Note, we do not accept any additional restrictions on the license, including Non-commercial (NC), No Derivatives (ND), or Share-alike (SA). For more information, see the [Open Science Compliance FAQs](#).

- Submit paper to open access journal:** Select a journal that allows **immediate free online access upon publication with no embargo and CC-BY licensing for reviews**. You can use the [Sherpa Romeo](#) or [DOAJ](#) checkers to verify a journal's open access status. For more information, see the [Open Science Compliance FAQs](#).



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Appendix

Key Resource Tables

We require that all manuscripts submitted for a compliance review include a Key Resource Table (KRT) using our CSV [template](#). Using a KRT is the easiest way to show that your team has made all of your research outputs publicly available. Your KRT should include all new and pre-existing resources you used, including datasets, code & software, lab materials, and protocols. You should publish your KRT as a table in the Methods section of the manuscript or as a part of your Zenodo upload.

For each resource, you should include (1) the resource type, (2) the resource name, (3) the resource source, (4) the resource identifier, and (5) if the resource is new or reused. If the resource was generated in the manuscript, enter “new” in the source column. Each row must have enough information to unambiguously identify the resource. **If you have not provided the requested information in the KRT, include reasoning for why not. This includes cases in which you have deposited a new lab material but it has not yet been assigned an RRID.** For more information, see the [Guidance for Creating a Key Resource Table](#) and the [Key Resource Table FAQ](#).

Datasets

We require all datasets (raw and cleaned) generated in a manuscript to be uploaded to [Zenodo](#) or another [reputable repository](#). We do not require representative images and quality control data to be included in this upload. However, any tabular data associated with image quantification should be included. Please refer to this [flow chart](#) and the [Policy Handbook](#) for questions about what to include.

For more information on how to upload your datasets to public repositories, see the [Zenodo Workspace Guide](#) and the [Data Repository Wiki](#).

Unless you are uploading dataset to data-type-specific repositories, **we recommend that you upload all the datasets that come from a single paper to a single DOI.**

Each data deposit must include a [readme file](#) entitled “README”. Readme files must include enough information so that someone who was not part of the study team can

access the data, identify which data produce which results (e.g., figure panels), and understand the data well enough to reuse them.

We strongly recommend using the following boilerplate text in an Availability Statement (as applicable):

“The data, code, protocols, and key lab materials used and generated in this study are listed in a Key Resource Table alongside their persistent identifiers at [enter the Table number or Zenodo DOI].”

“No new primary data were collected in this study”

Note that this information should also be found in the [Key Resource Table](#).

Code & Software

We require that all code and software generated in a manuscript be uploaded to a repository that provides a permanent identifier (DOI or accession number), such as [Zenodo](#). Code must be uploaded as a native file (e.g., .py or .R) or as a .txt file. **Linking to GitHub alone is not accepted unless the page is archived.**

For more information on how to cite GitHub code through Zenodo, see [here](#).

Each code deposit must include a [readme file](#) entitled “README”. Readme files must include enough information that someone who was not part of the study team can access the code, identify which scripts execute which functions (e.g., clean data, produce figures), and understand the scripts well enough to reuse them. You can use the [CodeMeta wizard](#) to create metadata for your code and software.

If you generated new software in your manuscript, you should license the software tool with a permissive license. Permissive code licenses accepted by ASAP include: MIT license, Apache 2.0, BSD 2-Clause “Simplified,” and BAS 3-Clause “New/Revised.”

If your manuscript contains code or software generated with ASAP funds, cite the persistent identifier (DOI or accession number), URL, and RRID in the manuscript text. We strongly recommend including a Code Availability Statement where this information is cited. *Example: “All original code used for analysis of [datatype A] and [datatype B] is available at GitHub [URL] and has been deposited in Zenodo [DOI, URL].” OR Include this information in your KRT.*

If your manuscript contains reused code or software, cite the URL, version number, and RRID (if available) in the manuscript text. *Example: “Data was acquired using [software, version #] [Vendor, URL, RRID].” OR Include this information in your KRT.*

Lab Materials

We require all lab materials generated in a manuscript to be deposited and/or registered with a public repository. This includes cell lines, transgenic models, plasmids/clones, antibodies, and other reagents. *Yeast, c.elegans, and monkeys are exempt from this process as no registering body exists.*

For more information on how to register/deposit materials for your publication, see the [Preclinical Tool Registration Guide](#). You can also reach out to the [MJFF Sponsored Tools Program](#) for more information.

If your manuscript contains lab materials generated with ASAP funds, cite the persistent identifier (RRID) in the manuscript text. Please note in the KRT if you have deposited a lab material in a repository but have not yet received a persistent identifier. If identifiers are not received from repositories prior to final publication then we ask that you update the article with an addendum once the identifiers are known. We will allow for a 90-day from publication grace period to update this information. *Example: “Plasmids constructed for and used in this manuscript will be available at Addgene upon final publication. These include [plasmid A] [Addgene, catalog #, RRID], [plasmid B] [Addgene, catalog #, RRID], and [plasmid C] [Addgene, catalog #, RRID].” OR “We established clonal cell lines carrying disease-causing PD-associated mutations ([cell line A, repository, RRID], [cell line B, repository, RRID], and [cell line C, repository, RRID].” OR Include this information in your KRT.*

If your manuscript contains reused lab materials, cite the persistent identifier (RRID), source, and catalog number in the manuscript text. Check [SciCrunch](#) and [DataCite Commons](#) for pre-existing identifiers associated with research outputs generated by another group. *Examples: “[virus name] [vendor, catalog #, RRID] was injected bilaterally...” OR “Slices were incubated in secondary antibodies overnight [antibody name, vendor, catalog #, RRID].” OR Include this information in your KRT.*

Protocols

We require all protocols used in a manuscript to be uploaded and publicly-shared on protocols.io. Each section in the Methods should have its own protocol associated with it. *In silico protocols are exempt from this process because they would be associated with code deposition.* All ASAP members have the ability to join the private

ASAP workspace on protocols.io to privately draft protocols and share them with their team members prior to publishing. Protocols are required to be published with a DOI at time of manuscript publication acceptance (*preprint preferred but not required*).

For more information about how to write a recipe-style protocol, see this [guide](#). For more information about how to create a protocol, see the [Protocols.io Tutorial](#).

If your manuscript contains protocols generated by your lab, cite the persistent identifier (DOI) and URL in the manuscript text. We recommend that you cite the protocol DOI and URL in the Data Availability Statement and cite the URL to each specific protocol in the appropriate Methods section. *Examples: In each Methods section; “For more details, see online protocol URL.” or “Details of the accelerating rotarod and open field tests can be found at DOI XXXXX, URL.” OR Include this information in your KRT.*

If your manuscript contains reused protocols, cite a Methods paper in the text (Name et al, Date) or the Manufacturer’s Instructions. *Examples: “Neural induction and differentiation were performed using a published protocol (Shi et al, 2012).” OR “Libraries for sequencing were prepared using the polyA KAPA mRNA HyperPrep kit (Catalog #, Manufacturer) as per the manufacturer’s instructions.” OR Include this information in your KRT.*

Compliance Report

If you have questions about interpreting the compliance report you received, see the [Looking at an Open Science Compliance Report video](#). If you have further questions, please email the Open Science team at openscience@parkinsonsroadmap.org.

Availability Statement

We *recommend* the following text to be included in an availability statement, depending on which outputs have been generated for the paper , as applicable:

“The data, code, protocols, and key lab materials used and generated in this study are listed in a Key Resource Table alongside their persistent identifiers at [enter the Table number or Zenodo DOI].”

“No code was generated for this study; all data cleaning, preprocessing, analysis, and visualization was performed using [insert program name(s)]”

“No new primary data were collected in this study”

“An earlier version of this manuscript was posted to [preprint server] on [date] at [DOI].”