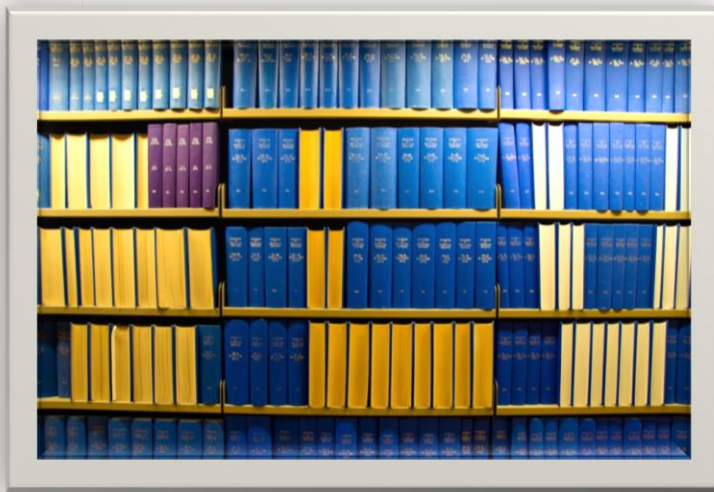


Open Access at Loughborough University: survey of researchers' and academics' attitudes



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Executive summary

In 2011, the Library and Research Office undertook a joint study to explore Loughborough University researchers' attitudes towards open access (and institutional repositories). This built upon previous work undertaken by the Library which showed that there were a high percentage of academics who perceived the University's Institutional Repository as being unimportant. The study was undertaken as part of a national project.

The national survey instrument was adapted for the Loughborough University context and made available online using Bristol Online System (BOS). The survey was completed by 161 respondents which represent 7.8% of University academics and researchers. Responses were received from most University departments with contributions from researchers across the age ranges.

Some of the key findings from the study included:

- 82% of respondents were mildly or strongly in favour of the principles of open access publishing
- 79% of respondents were mildly or strongly in favour of institutional repositories
- Concerns about open access publishing revolve around quality, the peer review process and copyright and there is variance depending upon academic discipline
- Open access journals also generated concerns about publishing costs
- A concern about using the Institutional Repository was the time taken in depositing contributions

This study has been very timely as it coincided with the introduction of the new Institutional Repository Policy, which was given impetus by the EPSRC mandate of open access publication. Nevertheless it should be remembered that the survey itself was conducted prior to both these events. The findings have resulted in the following recommendations which are intended to enhance University research:

1. Consideration should be given as to how academics' reservations about quality and intellectual ownership can be overcome.
2. Consideration should be given as to how the concern around costs in publishing on some open access journals should be overcome.
3. Actions are needed to raise awareness and promote the benefits of Loughborough University's IR.
4. Further investigation should be made as to the reasons for 14% of respondents not retaining the author final version of their research publications.
5. With the introduction of LUPIN, its role and purpose should be heavily marketed to relevant University communities
6. Administrators in Schools and Research Centres have a significant role to play as advocates and advisors on IR. Approaches should be set up to enable this to happen.
7. When the data from the national RSP/ UKCoRR study is available, a benchmarking activity should take place to see how the University performs

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Acknowledgements

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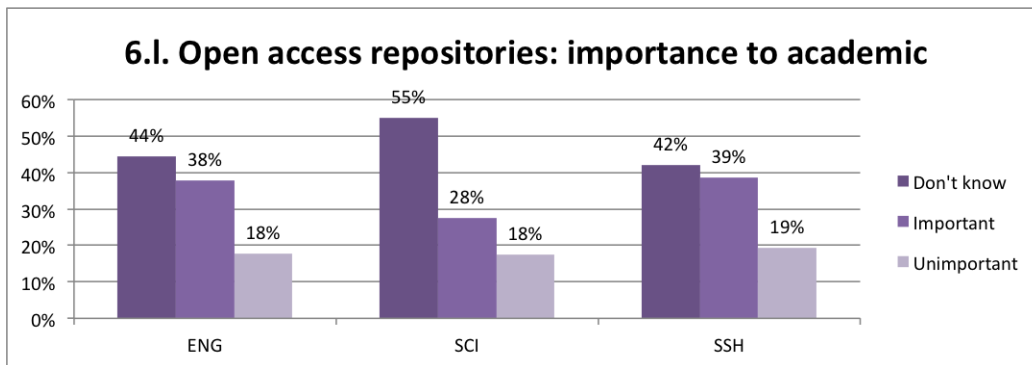
Introduction

Recent years have seen significant changes in the scholarly publishing model both in the UK and internationally. The Open Access (OA) movement is a strong driving force behind institutional repositories (IR) such as Loughborough's. It is based upon the key principle that publicly funded research should be made publicly available and as widely accessible as possible. OA material is free at point of access, without barriers of subscription or registration. Research shows that one of the key benefits of open access is increased visibility of author's research and consequently increased citations.

Despite the proliferation of institutional repositories and evidence supporting the benefits of open access, there still appears to be a lack of awareness and acceptance of the open access model amongst some academics at universities throughout the UK and beyond. Both the Research Office and the University Library need to understand how academic and research staff respond to the IR in order to best support University Research. The Library recently finished a study where some useful data emerged concerning attitudes towards the IR (Ashby et al, 2011). Data from this study revealed academic disciplinary differences in the perception of the IR (Figure 1). In addition, approximately 20% of academics perceived the IR as being unimportant or could not assess its level of importance.

This provided an impetus and focus for this more in depth investigation of attitudes towards IRs and OA in general. This study was jointly managed by the Research Office and the University Library.

Figure 1. Response from Ashby et al (2011) study on perceived importance of Institutional Repositories



Methodology

A cross Library/Research Office team consisting of the following individuals was set up to oversee and manage this study:

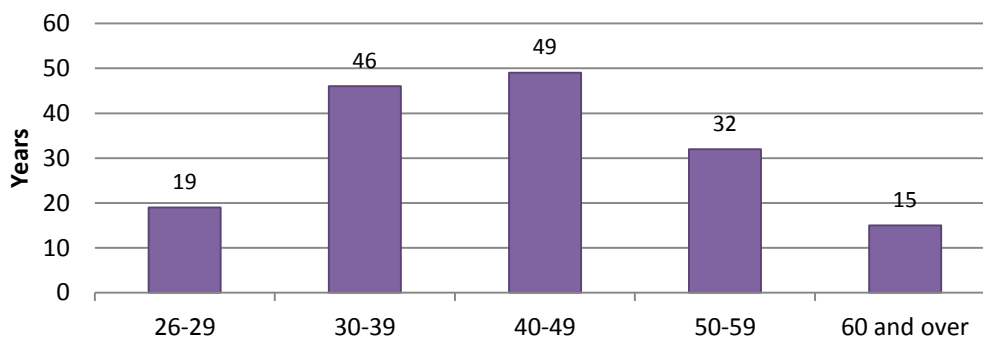
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- Martin Ashby, Research e-Learning Officer, Research Office
- Jeff Brown, Head of Collection Management, University Library
- Lesley Chikoore, Intern, University Library
- Angela Crawford, Senior Research Policy Officer Research Office
- Elizabeth Gadd, Academic Services Manager, University Library
- Zoe Stockdale, Research Policy Officer, Research Office
- Graham Walton, Head of Planning and Resources, University Library

An opportunity arose to embed this study in a national project set up by the Repositories Support Project (RSP) and the United Kingdom of Research Repositories (UKCoRR). This national work aims to complete a UK wide survey during 2011 of academic staff attitudes to OA and IRs. As a result of making the work part of a national study the online survey had to be based upon the national one. The timing of the data collection also had to coincide. The questionnaire developed by the RSP/UKCoRR survey was adapted for the Loughborough context with questions added and deleted (see Appendix 1). The advantages of this approach were that it removed the need to develop a questionnaire from basics and also enabled data benchmarking. The online questionnaire was produced using BOS, the University survey software and was made available for completion to all Loughborough University staff engaged with research. It was piloted with academic staff in the

Department of Information Science which resulted in some minor changes to the questionnaire. Two @ £50 Amazon vouchers were offered as an incentive.

The survey was completed by 161 respondents which represents 7.8% of University academics and researchers (Loughborough University, 2011). Figure 2 shows that there were contributions from researchers from all the age groups.

Figure 2. Ages of respondents who completed questionnaire



Responses were received from most University departments (Figure 3) but there were significant differences in response rate by individual departments. The most responses (28) were from the Design School with the least (1 each) from the Departments of Systems Engineering, PHIR, Physics and Electronic and Electrical Engineering. Figure 4 shows the breakdown from respondents depending on where they were in their research career. Over 50% had more than 5 years post doctoral experience with 17% currently studying for their PhDs.

Figure 3. Survey responses by Department

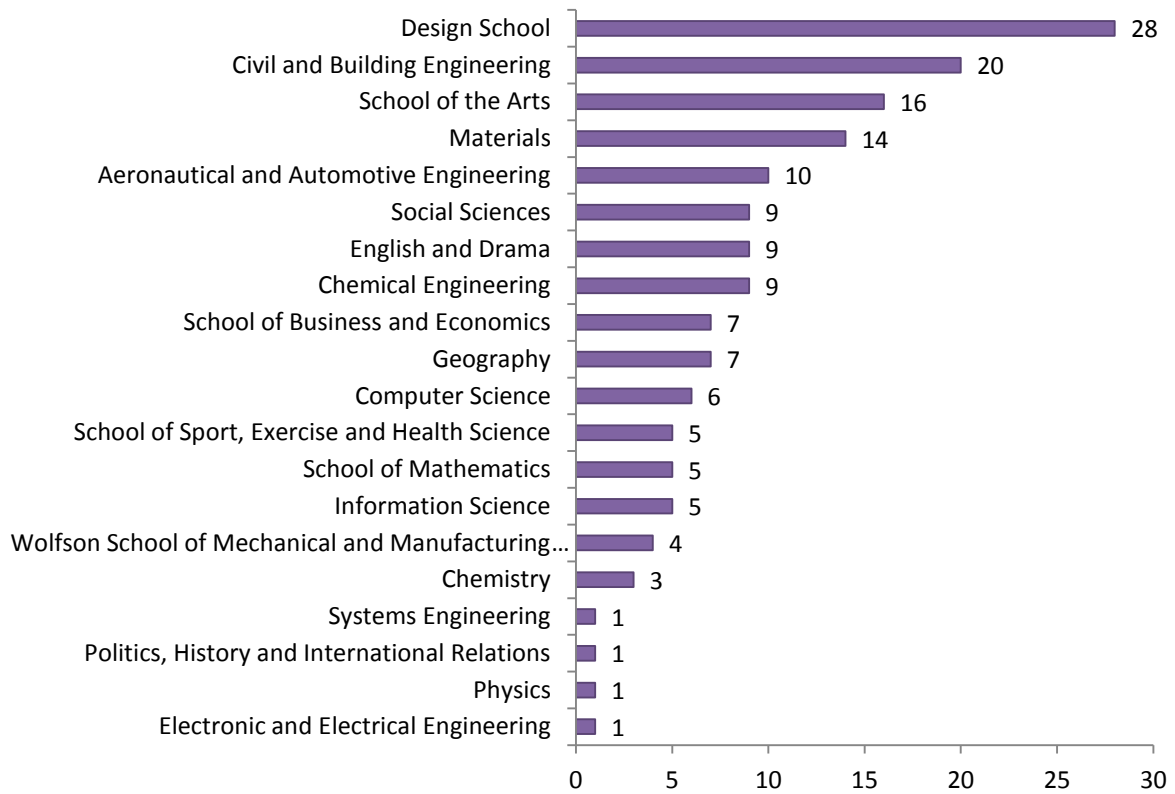
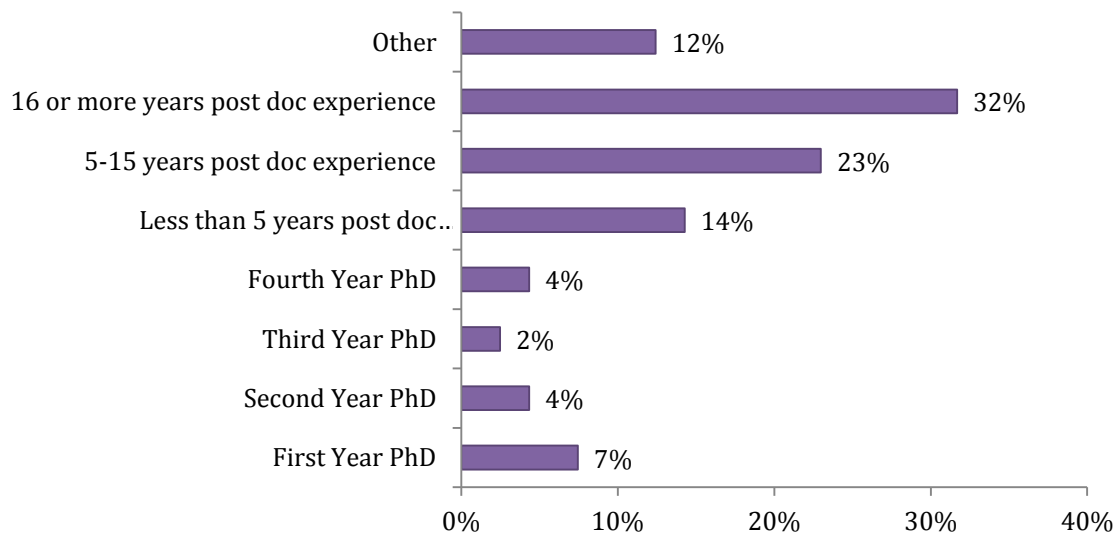


Figure 4. Where respondents are in their research career



Results

82% of respondents were mildly or strongly in favour of the principles of open access publishing (Figure 5). Concerns expressed included the threat to peer review (“(we) must protect peer review” and “peer reviewing is a necessity”. There was a higher level of antipathy towards open access in the Science Faculty (Appendix 3). A large number (80%) were mildly or strongly in favour of using open access repositories (Figure 6). Again the major concern was around peer review.

Figure 5. How do you feel about the principles of Open Access?

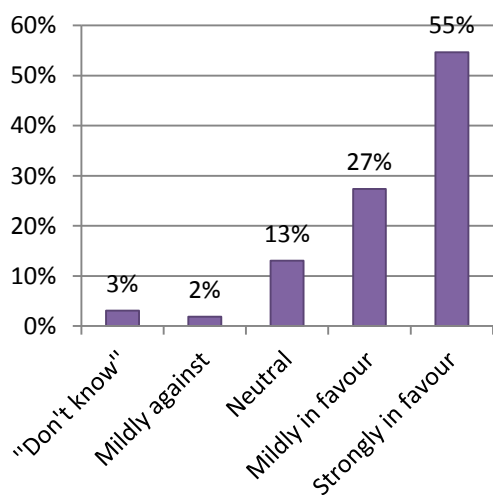
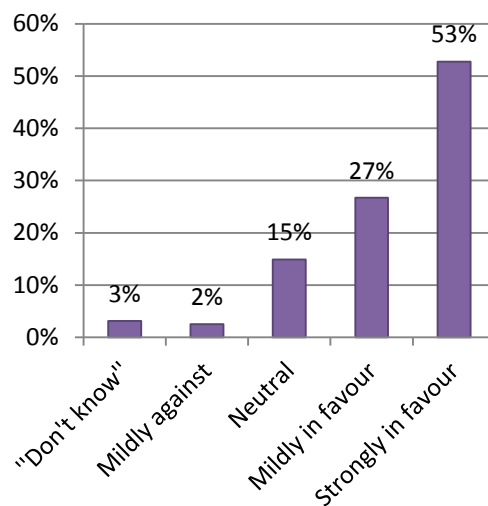
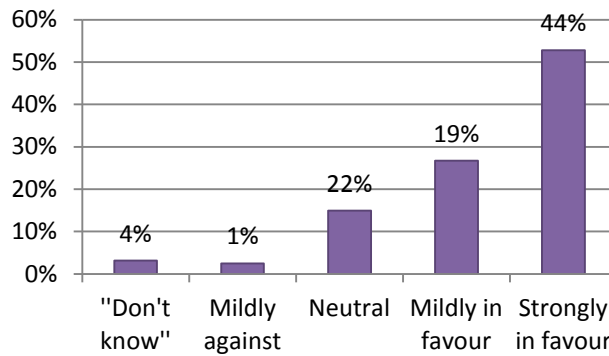


Figure 6. How do you feel about using Open Access repositories?



There was a similar positive response when considering publishing in OA journals with 63% being mildly or strongly in favour (Figure 7). When asked to comment on open access journals, deterrents included costs, quality and status (“Who’s going to pay?”, “As long as it’s peer-reviewed”, “Not sure that the esteem of (open access) publications would be as good”).

Figure 7. How do you feel about publishing in Open Access journals



When considering including provision for charges for publication in funding for grants, 48% indicated this was only possible sometimes (Figure 8). This may not be a true reflection as the survey was part of a national study and had to use given questions. There was no 'don't know' option for this question which respondents could have chosen. This lack of awareness came through very strongly in the comments in this section.

Figure 8. Awareness of making provision for publications charges within funding for grant from a funding body

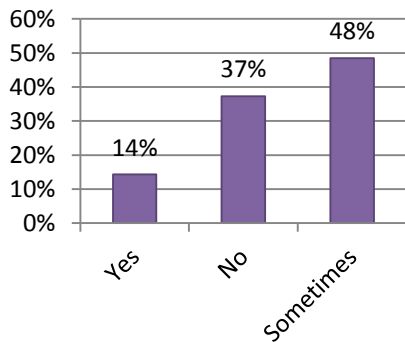
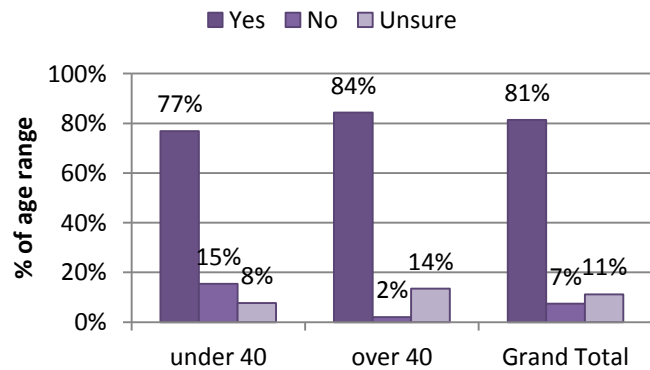
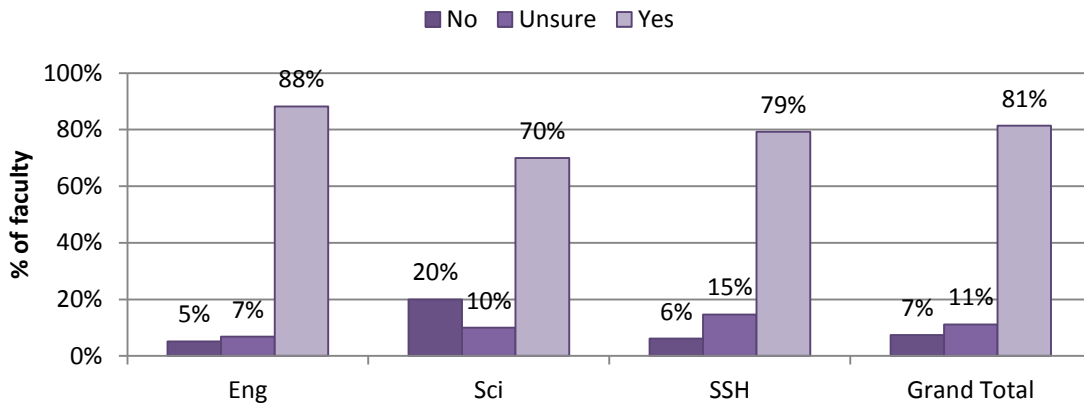


Figure 9. Knowledge of the Loughborough University Institutional Repository? (by age group)



A high percentage of people who responded (81%) were aware of the University's Institutional Repository (Figure 9). There was a slightly higher level of awareness in staff over 40. Faculty of Science staff were least aware with 30% being unsure or unaware (Figure 10).

Figure 10. Do you know about the Loughborough University Institutional Repository? (by Faculty)



69% of respondents were currently making publications available via the Repository (Figure 11).

There was a difference between Faculties’ responses to their use of the Repository, varying from 93% of Science staff down to 62% of Social Sciences and Humanities staff using the Repository (Figure 12).

Figure 11. Currently making publications available in the Repository?

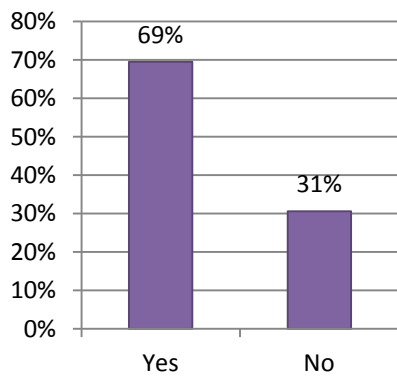
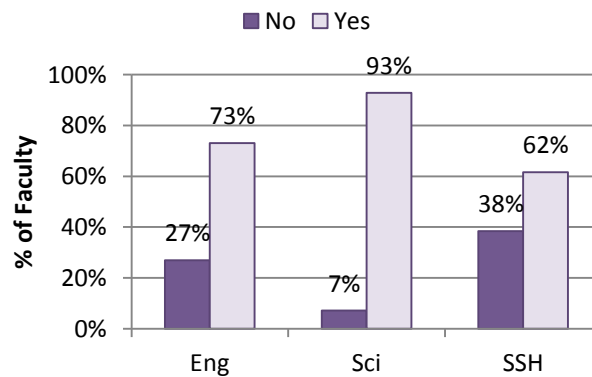


Figure 12. If so, do you currently make any of your publications available in the Repository? (by Faculty)



There were some differences by age with 74% respondents over 40 making publications available compared to 62% under 40 (Figure 13). When asked why people had not made material available, the main reason was that they did not have anything to deposit.

Figure 13. If so, do you currently make any of your publications available in the Repository?

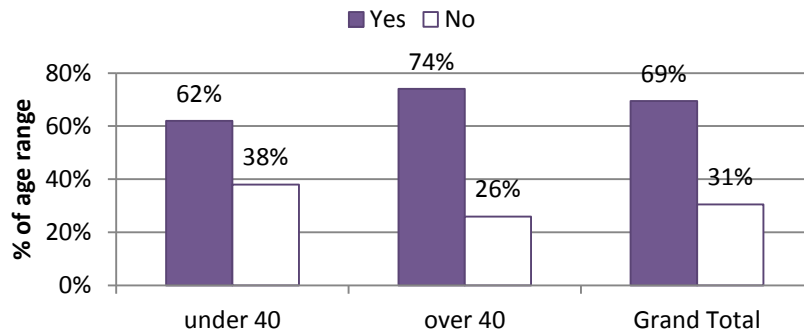


Figure 14 shows that the whole range of publication types were made available in the Repository. As expected, there were differences between Faculties in the balance between the different types, reflecting the different disciplines' research output. 52% of the Science Faculty make journal articles available compared to 29% of SSH respondents. The widest range of types of publication made available are from the SSH Faculty (Figures 15a, 15b and 15c for Eng, Sci and SSH Faculties respectively).

Figure 14. Types of publications made available in the University Repository (all Faculties)

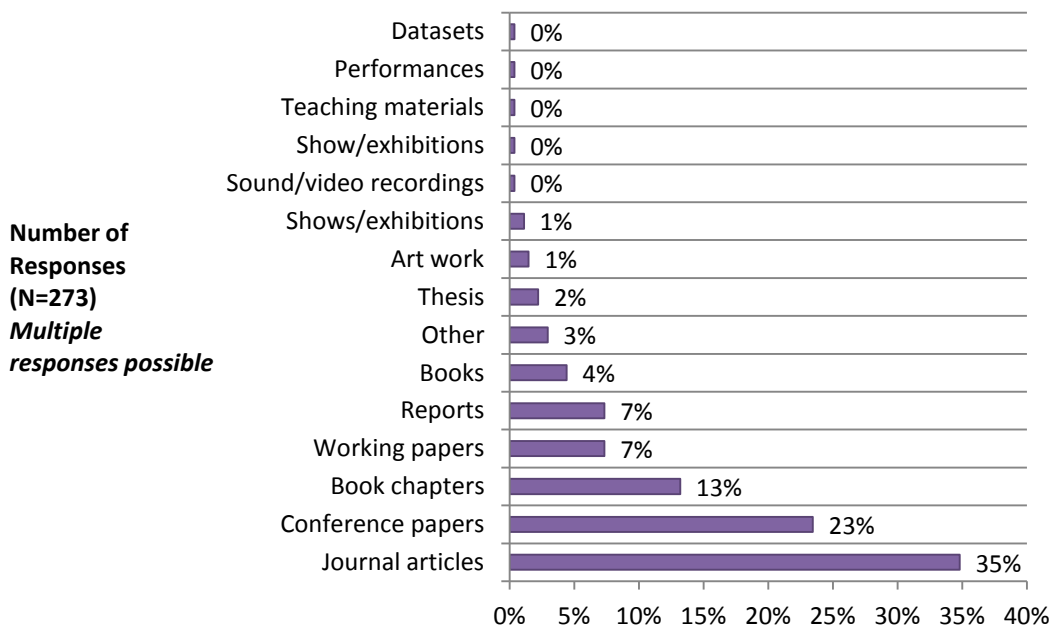


Figure 15a. Types of publications made available in the University Repository : (ENG Faculty)

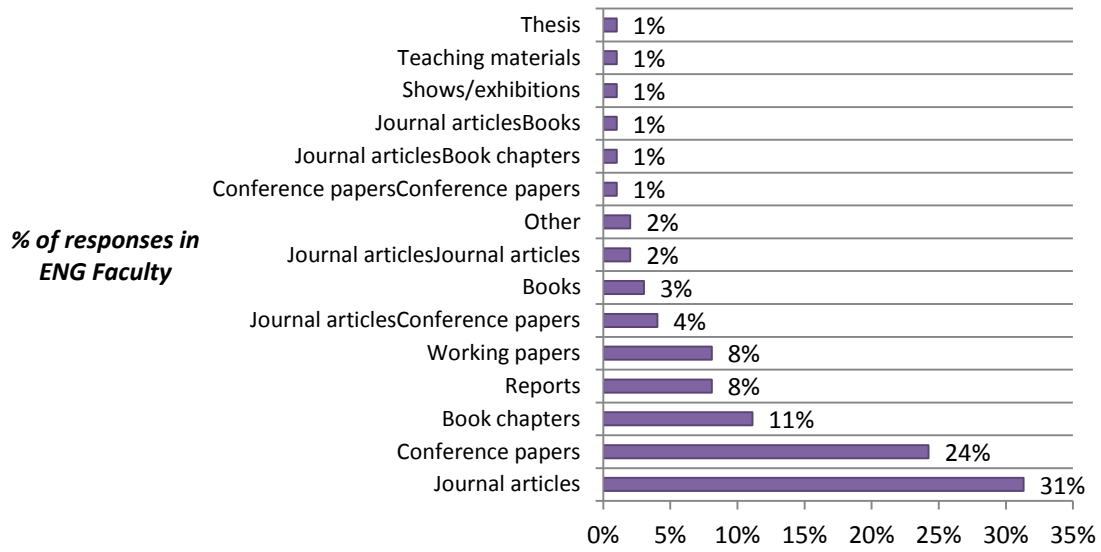


Figure 15b. Types of publications made available in the University Repository : (SCI Faculty)

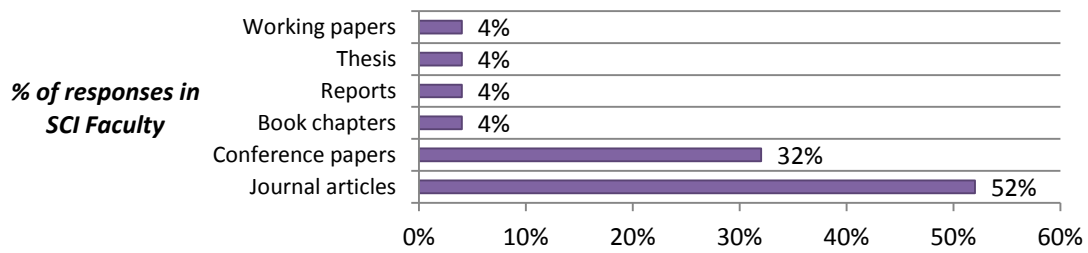
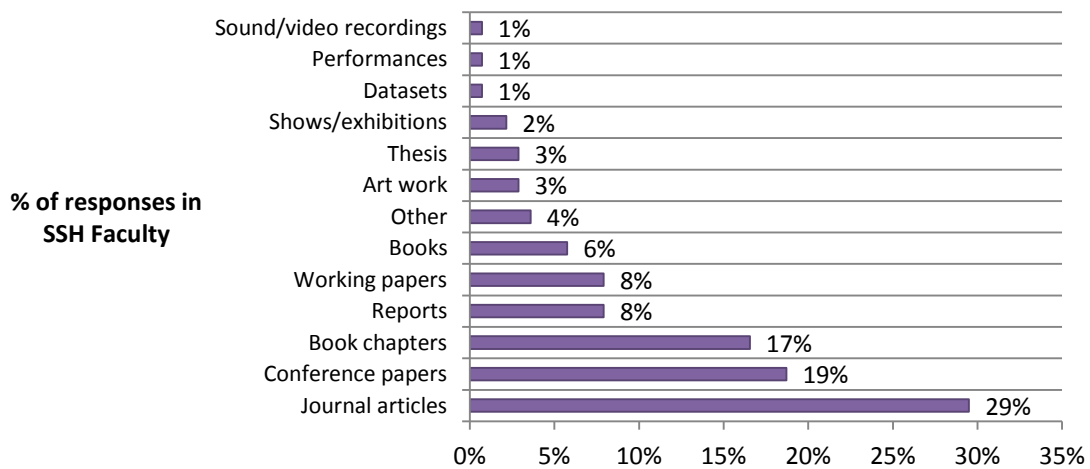


Figure 15c. Types of publications made available in the University Repository : (SSH Faculty)



The survey also explored whether academics made their publications available in other ways apart from via the Repository. 22% respondents did make them available via other avenues (Figure 16) but only 17% did instead of the Repository (Figure 17).

Figure 16. Whether publications are made available in a different way

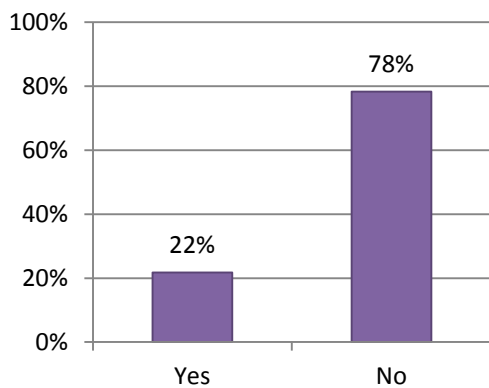
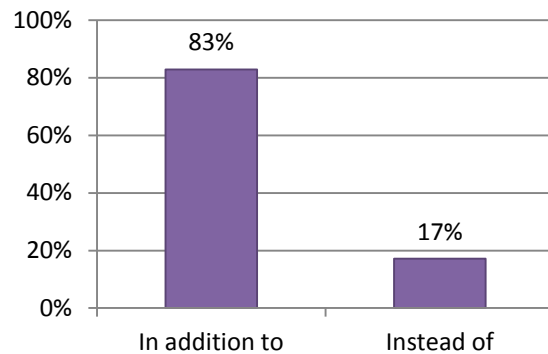
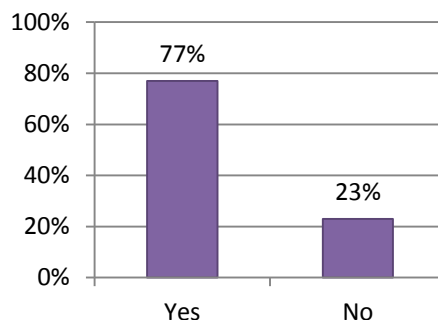


Figure 17. Whether publications made available in a different way are done so in addition or instead of the Repository



The assignment of copyright is a major issue and the questionnaire examined people's approaches to this responsibility. It was reassuring that 77% stated that they read the copyright transfer policy before submitting an article (Figure 18). This high percentage was surprising, as informal observations indicate that this is not generally the case.

Figure 18. Whether respondents read the copyright transfer policy they signed before submitting an article to a journal



87% of the people who had read the transfer policy had requested to retain copyright (Figure 19). It is also significant that in 69% of the occasions when there was a request to retain copyright, it was agreed by the publisher (Figure 20).

Figure 19. If you read the transfer policy, did you request to the retain the copyright of an article?

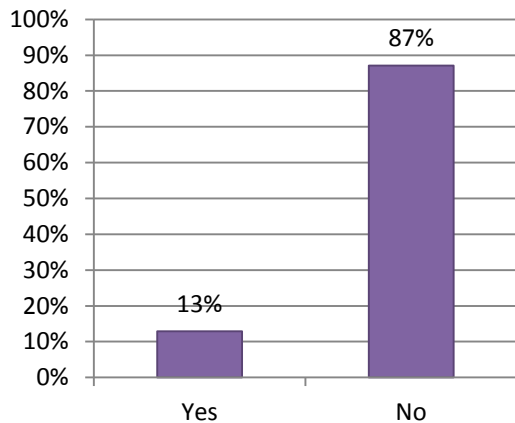
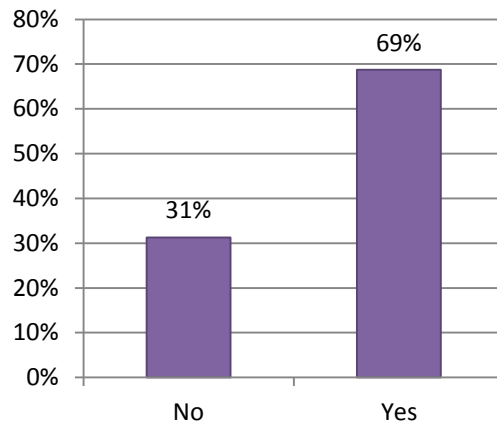


Figure 20. If you requested to retain copyright, whether publisher agreed or not



In terms of ownership of copyright (Figure 21), 66% of respondents felt it should be the actual author. It is interesting to note that 14% of people did not have an opinion on who should own copyright. 86% of authors when producing a journal article for publication retain a copy that is the same in all respects as the published version (Figure 22). While this is encouraging, it does still mean that a significant number (14%) do not retain a copy.

Figure 21. Who people thought should own the copyright of research publications?

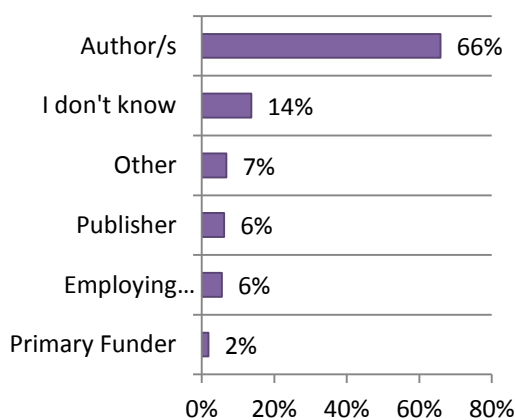
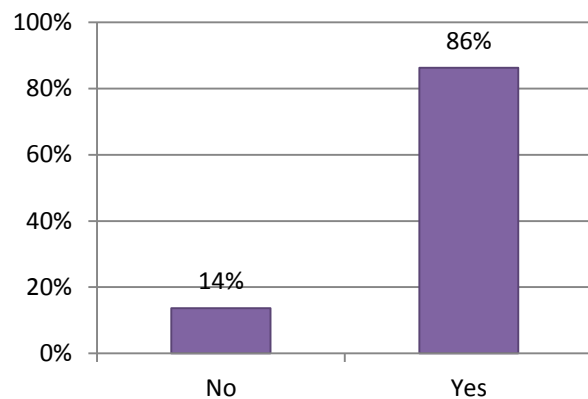


Figure 22. When producing a journal article for publication do you keep your own copy of the manuscript that is the same in all respects as the published version?



Discussion

The study has generated significant findings that can be used to inform future University practice around open access publishing. This is apposite in light of the EPSRC's mandate on open access publication which came into force on 1st September 2011 and the University's Institutional Repository policy requiring research output produced after the 1st September to be deposited in the IR. It is recognised that a complementary qualitative data collection would have benefited the survey results. However this was not feasible as extra resources were not available for such an investigation in the timescale and the work was completed within existing workloads. A higher response rate than 7.8% would also have been welcome but following a low initial response the time period to complete the questionnaire was extended and the survey was marketed more extensively to increase the response figure to 161.

When considering the findings, they broadly cover two distinct areas: Open Access (OA) Journals and Institutional Repositories (IR).

Open Access Journals

Though the majority of respondents had positive views on OA journals, they were less positive regarding this than other aspects of open access (60.9% strongly or mildly in favour, as opposed to 79.5% when asked about repositories, and 82% in general). The main reasons for this seemed to stem from concerns over the quality of open access journals, and the costs involved in them.

'Mainly because in my field these are not the top journals. This is not against open access it has only to do with the currently much lower impact factor and reputation of these journals.'

The lack of peer review within open access journals (OAJ) seemed to be the main concern, coupled with the fact that OAJ's were not considered to be rated sufficiently highly (impact factor), they were untested and did not have the prestige of more traditional journals. It was recognised however that this might change over time.

Recommendation 1 - Consideration should be given as to how academics' reservations about quality and intellectual ownership can be overcome.

Another concern, and barrier to OA publishing, raised by a number of respondents, was the cost of the "author-pays" model adopted by most Open Access journals. *'But can be prohibitively expensive'* Most respondents knew that there were often costs, quite high costs in some cases, but not all were aware that they could include these costs in some research funding bids (in answer to question 5, the predominant comment was 'don't know'). Additionally not all OAJs charged for publishing.

Recommendation 2 Consideration should be given as to how the concern around costs in publishing on some open access journals should be overcome.

Other minor concerns that were raised highlighted some possible misconceptions regarding copyright and potential plagiarism. These issues would apply to both traditional and open access journals. Additional or focused information regarding this within professional development activities might help to improve understanding in this area. Further information regarding building in costs within grant applications and dispelling misconceptions regarding peer review, and hence some of the concerns about quality, would also be helpful.

Despite some concerns, survey participants, in general, would be interested in publishing in an OAJ if concerns raised could be resolved, which fitted with the overall positive tone of the survey.

Additional focused advice and support might be needed, through professional development and Library and Research Office guidance, to encourage researchers to fully utilise the OAJ opportunities available. A list of peer reviewed OAJs was available at:

http://ucblibraries.colorado.edu/dean/peer_reviewed.htm

Institutional Repository

The vast majority (79.5%) of respondents were in favour of institutional repositories and were making publications available in Loughborough's IR (69.5%). Some respondents also had some useful

views on how to promote the IR and open access in general. However it was surprising that 7.5% of respondents were unaware of the IR with a further 11.2% unsure. This indicates that up to a fifth of respondents remain unaware of the IR and its benefits.

Recommendation 3 – Actions are needed to raise awareness and promote the benefits of Loughborough University’s IR.

There were some unusual variations in the faculty breakdown. Although SSH had the highest percentage of respondents in favour of using open access repositories (85%) and Science the lowest (70%), the situation was reversed in terms of respondents making their own publications available in the IR: SSH (62%), Science (93%). The Engineering faculty respondents were more consistent (75% and 73% respectively). There was a similar discrepancy when broken down by age where 88% of respondents under 40 were in favour of the principles of open access but only 62% had material in the IR. Whereas 78% of the over 40 respondents were in favour of open access with 74% having material in the IR. These discrepancies might be explained by the fact that a number of respondents had not yet had material published which would tend to suggest that they would be in the under 40 bracket. This may also explain to some extent the faculty discrepancy where SSH had the highest proportion of respondents under 40 (43%).

The main concerns for respondents not in favour of institutional repositories can be grouped in three main areas:

1. Peer review, version control & quality control

A number of comments asserted that IRs were only worthwhile if they contained peer review material. This would suggest a misunderstanding of the versions placed in the IR which should be the version after the peer review process, if the journal itself is peer reviewed. Although it is accepted that there might be some changes made between the author final version and the published version,

the author final version should still be a version incorporating changes made arising from the peer review process.

In contrast to these concerns, it is encouraging that 86.3% of respondents retained their own copy of an article that is the same in all respects as the published version. This suggests that many academics and researchers already hold suitable versions of articles that could be posted in the IR and that it may not be quite as big a barrier to submission as suspected.

Recommendation 4 – Further investigation should be made as to the reasons for 14% of respondents not retaining the author final version of their research publications.

In addition, a couple of respondents felt that as the material in the IR is not in its published form they could not contribute to the IR, as the publisher pdf is the only version that other researchers would be interested in.

‘Totally against if the version in the open access repository is a draft, not final, version of the publication, as is the case at Loughborough’

2. Copyright

There remains much confusion about the copyright position of authors vis-à-vis publishers.

‘I am not sure the repository is not violating the copyright of publishers.’

This confusion, quite naturally, makes academics reluctant to contribute to the IR especially as they fear it may harm their chances of getting published. Certainly a number of respondents would like further copyright training and assistance with retention of copyright. Only 16 respondents had requested to retain their copyright but it was encouraging that 11 of these had been successful in their negotiations with publishers.

3. Time consuming process

A number of academics, while not being against the IR, felt that they did not have time to contribute.

'Process was confusing/time consuming and I gave up.'

The Library has tried to simplify the process as far as possible, but evidently there are still concerns about the time taken to provide material to the IR and the process itself. The process will inevitably change with the introduction of LUPIN which will hopefully address some of the concerns.

Recommendation 5 – With the introduction of LUPIN, its role and purpose should be heavily marketed to relevant University communities.

Recommendation 6 – Administrators in Schools and Research Centres have a significant role to play as advocates and advisors on IR. Approaches should be set up to enable this to happen.

Conclusion

This study coincided with the University's decision requiring research output to be deposited in the University's IR. It therefore provided an opportunity for the University to develop a better understanding of how OA and the IR are perceived within the institution. The Research Office and the Library are two of the University stakeholders with interests and responsibilities around how OA and the IR are taken forward. It is also important that Loughborough University develops an understanding about how it compares with its competitors around areas of OA and IR.

Recommendation 7 - When the data from the national RSP/ UKCoRR study is available, a benchmarking activity should take place to see how the University performs

This joint work has shown that these trends are generally viewed positively by academics and researchers. Despite this positive perception there also appears to be a lack of awareness and some misunderstanding by academics around OA and IR issues. These issues include copyright, quality and

the inter-relationship with peer review, costs, lack of impact factor and the time taken to submit to the IR.

It is hoped that the findings from this study will be used to inform and develop the University's research activities and outputs. The following recommendations are made:

Recommendation 1 - Consideration should be given as to how academics' reservations about quality and intellectual ownership can be overcome.

Recommendation 2 - Consideration should be given as to how the concern around costs in publishing on some open access journals should be overcome.

Recommendation 3 – Actions are needed to raise awareness and promote the benefits of Loughborough University's IR.

Recommendation 4 – Further investigation should be made as to the reasons for 14% of respondents not retaining the author final version of their research publications.

Recommendation 5 -With the introduction of LUPIN, its role and purpose should be heavily marketed to relevant University communities

Recommendation 6 – Administrators in Schools and Research Centres have a significant role to play as advocates and advisors on IR. Approaches should be set up to enable this to happen.

Recommendation 7 - When the data from the national RSP/ UKCoRR study is available, a benchmarking activity should take place to see how the University performs

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Appendix 1. Unlocking attitudes to Open Access web survey

1. Your age group

26-29 30-39 40-49 50-59 60 and over

2. Where are you in your research career?

First Year PhD Second Year PhD Third Year PhD Fourth Year PhD
 Less than 5 years post doc experience 5-15 years post doc experience
 16 or more years post doc experience Other (*please specify*):

3. What department are you in?

4. Open Access publishing allows access to scholarly publications via the Internet in such a way that the material is free for all to read, and to use (or reuse) to various extents.

	Choose one response from the scale below						Comments?
	Strongly in favour	Mildly in favour	Neutral	Mildly against	Strongly against	<i>Don't know</i>	
a. How do you feel about the principles of Open Access?							
b. How do you feel about using Open Access repositories?							
c. How do you feel about publishing in Open Access journals?							

5. If you are applying for a grant from a funding body (e.g. EPSRC/NERC/Wellcome Trust) can you make provision for publication charges within the funding?

Yes/ No/ Sometimes Any comments on question 5: (*Optional*)

6. If the funding body allowed you to include provision for publication charges, would you consider doing this to cover Open Access Journal publication charges?

7. Do you know about the Loughborough University Institutional Repository?

Yes/ No/ Unsure If your answer was No or Unsure, please skip the rest of the page and instead hit the 'Continue' button, bottom right on the page. If your answer was Yes to Question 7, please answer the following questions...

If so, do you currently make any of your publications available in the Repository?
 Yes/ No

i. Please answer this if your answer was No:

If you are not currently making material available in it, why not?

8. Please indicate what type of publications you make available in the University Repository:
(Optional) (select all that apply)

Journal articles Book chapters Books Working papers, reports Conference papers
Shows/exhibitions Performances Art work Sound/video recordings Datasets
Other (please specify):

9. Do you make your publications available in a different way, for example in a subject-based repository. E.g. the Physics arXiv repository, personal website, other free text?

Yes/ No If so, do you do this instead of depositing in the University Repository?
Instead of/ In addition to

10. Do you read the copyright transfer policy you sign before submitting an article to a journal?

Yes/ No
If Yes, have you ever requested to the retain the copyright of an article?
Yes/ No

i. If you requested to retain copyright, did the publisher agree to the request?
Yes/ No

ii. Any comments on the publisher's reaction? (Optional)

11. Who do you think *should* own the copyright of research publications?

Author/s
Employing institution
Primary Funder (e.g. Research Council)
Publisher
I don't know
Other (please specify):

12. In the process of producing a journal article for publication do you keep your own copy of the manuscript that is the same in all respects as the published version?

Yes / No If not, why is this?
(Optional)

13. Do you have any further views on open access and how the University can assist with making your research open access? (Optional)

Appendix 2. Qualitative comments from questionnaire

4.a.i. How do you feel about the principles of Open Access?

Acknowledgment of Source
As long as responsibly used with due acknowledgement
assuming use/reuse is cited properly
Some mechanism for access and citation counts are essential to make use explicit
Accuracy and Quality of Source
accuracy in information is maintained
It depends whether or not the material has been peer-reviewed.
peer reviewing is a necessity
must protect peer review
Finance concerns
depends on whether it would result in good publications ceasing to be able to afford to exist
how do royalties for authors of books work?
who will pay for electronic copyright
Knowledge Sharing
Great concept - knowledge sharing for the greater good.
knowledge for all
Other
It is a double-edged sword!

4.b.i. How do you feel about using Open Access repositories?

Acknowledgment of Source
assuming use/reuse is cited properly
Copyright Issues
concerned about copyright release from publishers.
Format/Version Concerns
Not prepared to place use 'final drafts' prior to final edited versions
No point unless the material is in the final published format.
totally against if the version in the open access repository is a draft, not final, version of the publication, as is the case at Loughborough
Peer review
Lack of peer review
Only if the article is peer reviewed to a high standard
Other
Science for all

4.c.i. How do you feel about publishing in Open Access journals?

.Financial Concerns
but can be prohibitively expensive!
But cannot afford their page charges!
but the economic models has to be sorted out - who pays?
Cost of doing so is barrier,
like the principle, don't like having to pay so much
Only if it doesn't cost me to publish!
These journals are not well established yet, and they request payment for publication.
who's going to pay?
Impact Factor / Quality of Journal

but this not the main criterion in choosing an academic journal to publish. Quality and reputation are far more important.
concerned about the status of many
as is impact factor (unknown for some as too recent)
Current open access journals in my field are perceived as low impact factor. This will probably change in future, though
depends on their quality
Except that at the moment this would not carry the same prestige as certain high quality research journals that are not open access
I do not know of any "Open Access" journals - so their quality is untested. Wouldn't want to waste my work
mainly because in my field these are not the top journals. This is not against open access it has only to do with the currently much lower impact factor and reputation of those journals
many have yet to demonstrate quality
not great reputations yet
Not sure that the esteem of the publications would be as good - so better to publish in established journals
Open access journals in my area do not have enough recognition yet; nice that changes I will consider publishing there
so far I think that low quality papers that cannot get published elsewhere go for this option
they do not have the same standing
Usually perceived to be of lower quality
Peer Review and Citation
As long as it is peer reviewed
assuming use/reuse is cited properly
Question over peer review
the key is double-blind peer-review by experts
Other
technology for all
depends on whether it counts for promotion at Loughborough
often IF low

5. Applying for a grant....can you make provision for publication charges within the funding?

Yes
Always try too
Some provision can be made but perhaps only 1/3 planned publications
possibly in pathways to impact
Don't Know / No Idea
Don't know
Don't know
Don't know
don't know - poorly worded
Don't know was not an answer category and I do not know the answer to this but was forced to select an answer so chose 'No'
don't know, I guess so.
Don't know.
Don't know.
don't know; question does not allow this answer
I do not know
I don't understand what is meant by 'publication charges' and hence have never looked at doing this
I don't know...
I have no idea... Your selection does not allow me an "I do not know" option
I wouldn't know
I'm afraid I don't know
I'm not sure, to be honest. I haven't considered it, but it's a good idea.
No don't know option
No idea

No idea
not sure
not sure
not sure
Not sure - never tried it
Open Access journals are relatively new and their reputation is not well established. I am not sure
Don't know, never even considered it
What charges?
The true answer is I don't know but it is rare that I have to pay any publication fees
Grant Awarding Trust Issues
Although I am not 100% certain about this, my feeling is 'no' for EPSRC anyway
Generally not for NERC; maybe for Leverhulme (am not sure)
Not sure of current policy from EPSRC
I am not that the provision of publication charges for such journals will be considered favourably by EPSRC
Not every funding body support expensive charges for open access publications
Some funders expect and fund this but social science funders don't which leaves them in a bad position.
Most funding is from "industry"
Not that I am aware of. Photographs in published journals often have to be self funded
Never Applied for a Grant
haven't applied for a grant
I answered no because the survey would not let me continue without answering. However I have not applied for such funding, so the question is not applicable
i don't make any grants but there wasn't an option box for this
I have not done any grant applications
Not Applicable
n/a
n/a
This does not apply to me
Other
But certainly welcome this move and in fact useful to make this mandatory - the investigators should be made accountable for publishing
If this were more widely available I would be more positive about open access.

6. If the funding body allowed you to include provision for publication charges, would you consider doing this to cover Open Access Journal publication charges?

-

	Total	Additional Comments
Yes	92	Yes, but I would hate for only those with grants being able to publish in such outlets
		Yes, but I would use an open access journal anyway
		Yes, but it would need to be an estimated value.
		Yes, but not at the expense of other items (if the funding were capped at a certain level)
		Yes, but not sure if I will use this route of publication
		yes, but the case would need to be made to the funding body to support this
		yes, depending on the exact cost
		Yes- already do to a certain extent.
		.already do
		If my budget covered it, and I thought the paper was important enough, yes.
		In principle
		I guess - but why bother. In my field, journals that charge for publishing

		in it are viewed as third rate - they are 0* in REF terms
		It would really depend on the nature of the research project, but in principle, yes.
No	20	Not at the moment as I can publish without cost in better quality journals
		not for journals
		no - we publish on our website directly so funds come via dissemination budget
		I'd prefer not to. Fundamentally, I don't believe that I should have to pay to publish my work.
		I'm not sure I'm prepared to pay for publication.
		Probably not; the more prestigious journals are not Open Access
		There are no decent open access journals in my field.
		It will add to the cost of the proposal at a time when it is increasingly difficult to gain funding e.g. British Academy
Maybe	26	depending on copyright issues of each journal
		Depending on the quality/standing of journals
		Depends on international prestige value and REF considerations
		it would depend on the application and the funding body
		if I thought it was the best journal in which to disseminate findings.
		only if it wouldn't affect the grant application as a whole - so it would depend on the status of the open access journal
		it would depend on the nature of the publication
		depending on the nature of the research
		Would consider it, but most application budgets are squeezed down and this wouldn't be the last part to cut
		Would consider using it to make peer-reviewed articles Open Access e.g. you can pay extra for AGU
		Would depend on nature of bid
		depends on the publishing fees. money could be used for other things than publishing
Don't Know	7	
Not Applicable	6	
Other	3	Isn't the existence of a charge contradictory notion to 'open access'?
		The publication choice rests on the quality of the reviewers and the editorial service combined with the prestige of the journal
		journals to make the paper OA.

7.a.i. Please answer this if your answer was No: If you are not currently making material available in it, why not?

Version Concerns	
	Because the material would not be 'final' and I would not want this shared.
	Material is not in final published form.
	Colleagues publications ended up posted in very embarrassing format, nothing even close to other universities
Not Applicable / Not Published	
	Don't have any yet!
	Have not done so yet
	haven't published anything yet
	I have not got any yet

Not yet - I'm still new to the university. Once a publication is ready I'll make it available.
not been here longer enough to investigate do this but would be happy to do so
No material to make available.....just yet
I have not made any publication yet, but can I just put my MSc thesis on there?
I have not published anything to this day
Not currently published
Not yet published
Not yet published a paper.
Not yet published any papers
I have not submitted anything yet
Copyright
I am willing to but do not own copyright on papers.
Not sure of the mechanism and whether if papers are published elsewhere I would be in breach of their copyright
Very bureaucratic with poor understanding of copyright issues.
Time
don't really think about it, not a priority.
haven't had time to do it but some co-authors have
I have not completely understood the implications of copyright for journal publications that retain Copyright
I haven't got round to doing it but I think it's a great idea.
I haven't published anything from my work yet
no time
Not had the time to check out IP issues between current publishers and IR
Process was confusing/time consuming and I gave up.
Too much else to do
Unclear about process, what can/can't be included and short of time
Procedure to add Material to IR
Not sure of the mechanism
Unclear about process, what can/can't be included
not sure how to do it
Publisher problems and concerns
to avoid trouble with publisher
There is currently too complex a relationship between academia and publishing
publications are not in a discipline in which the University has an academic presence
My Publish directly on our website - better engagement with our target audience
Redundant material for my work since most of it is not peer reviewed and not searchable through Scopus or web of science
Other
For the concerns expressed in section 4
hoping to do so once approved by supervisors
I think I have been too lazy to get round to doing this thus far. I have relied on my co-authors to do it for me!
It is something that people can "copy" easily like an image then no, I would not want to use this Facility
The majority of my papers were published when I worked at a different institution

8. Please indicate what type of publications you make available in the University Repository:

Journal articles: n/a 95

Book chapters: n/a 36

Books: n/a 12

Working papers, reports: n/a 20

Conference papers: n/a 64

Shows/exhibitions: n/a 3

Performances: n/a 1

Art work: n/a 3

Sound/video recordings: n/a 1

Datasets: n/a 1

Thesis 6

Other (please specify): n/a 13

- None, since I believe it is redundant in modern times. Research papers are published in top Journals not in repository that are not searchable through Scopus or web of science.
- Provisional: I intend to do this, have not done it yet
- teaching materials
- will make others available when published if allowed by publisher
- useful to make even the published patents available
- Would be happy for any of my papers, reports to be included provided other authors and funders gave permission.
- Would be journal article, conference papers, art work, show/exhibitions

10.a.ii. Any comments on the publisher's reaction?

Copyright
use Creative Commons licences
I was not aware that I can request to retain copyright
Career Stage
Transfer or don't publish - they still have the upper hand for early career researchers
Early stage in career - focus is on getting published, not being seen as "difficult" at this stage.
Version submitted to IR
Elevier was the publisher and basically would not agree to it as they had a "liberal attitude" (quote) to authors' rights; I wanted to put a pdf of the published version in the repository, but this is not possible (an author final version was allowed but this is not so user friendly, and some final changes were made during copy editing which my version did not have).
Other
I have not submitted anything yet
I publish everything I can legal do so on my blog
Negotiated open access for 3 years
Perfectly understandable
They did not give any reaction but agreed to the request

11. Who do you think should own the copyright of research publications?

Author/s: 65.8% 106

Employing institution: 5.6% 9

Primary Funder (e.g. Research Council): 1.9% 3

Publisher: 6.2% 10

I don't know: 14.3% 23

Other (please specify): 6.2% 10

- creative commons license
- Depends on circumstances. Happy for employer to own c/right if work conducted in their time, using their resources etc
- Depends on type of output
- I really think it depends on the type of publication. I don't really have a problem with the status quo here.
- I think the rights should be shared in most cases
- It should be co-owned by author and publisher. I can though see a logic for the institution to claim co-ownership.
- no-one (as long as authors are properly acknowledged)!
- Public funded research -> so the public
- shared between author, institution and publisher
- should vary according to circumstances

12.a. In the process of producing a journal article for publication do you keep your own copy...If not, why is this?

. Time
Because there are always copy editing alterations that change it; it would be too fiddly & time consuming
final edits etc typically made in response to a pdf - would be too time-consuming to produce exact copy
Not published anything
I have not submitted anything yet
Not yet published any papers
Differences in between published / unpublished versions
Because they do some editing after you send it and it is unlikely we get the final version changes on final PDF not possible to keep
I keep the proofs and last version of manuscript before editing/proofreading. The proofs usually require some final corrections, so they are not identical to the published version
Published version most likely edited due to constraints, so "original" also kept
The content is the same but the format maybe different.
There are always typographical changes at the galley proof stage
They are edited during the review process
Copy editing is of the galley proof and not my version
Keep a copy but not always Final versions
to check my own "final" version against this each time and make changes to my document.
I keep my pre-print version
Usually keep original submitted to Journal but not one with small changes in it as made by the publishers themselves (e.g. to text (often Americanised) or references)
Other
difficult to keep track of the very last version, especially for collaborative works
The copyright of this usually belongs to the author. The publisher keeps the copyright of the printed version
save space both in computer and in office
sometimes -

13. Do you have any further views on open access and how the University can assist with making your research open access?

Financial Support
The University could provide funds to enable authors to make their work open access by paying the publisher's fees.
Offering to offset/cover the cost of open access publication for perhaps quality-approved Open Access

journals or on a case-by-case basis (there are clearly some OA journals which are not good quality; but some that have good impact factors and publish quality research). This might be part of a scheme whereby successful grants, where costs could not be applied for to cover OA publication, could have a top-up specifically and only for OA publication?
If the university could negotiate reduced publication fees in reputable open access journal I may consider it.
At the moment we are in a 'hybrid' situation. Open access through journals can mean that we have to pay to publish our own work. On the other hand, we also have to pay to read other people's work. We are caught both ways. It should be one or other.
Fund electronic copyright?
High quality open access journals, such as the BioMed Central or PLoS journals, often ask for a fee to be paid by the author. The library could investigate getting an institutional subscription to these, to encourage open access publication.
Copyright
Worry about the copyright issues involved.
Provide a copyright agreement form that does not require copyright to be transferred to the publisher but give them the right to publish.
More provision for copyright advice and training
My problem is remembering to put things in the repository and in some cases the copyright policies of journals has meant a lot of going back and forth to find out what can go in the repository so it can get time consuming (although the library staff do an excellent job in supporting this to make it as pain free as possible).
Advise academic staff on the possibility of retaining copyright
I would appreciate some support with negotiating copyright with the publisher. It would be useful if someone could have a look at publishing agreement(s) and suggest what exactly to ask for in order to retain copyrights and/or ability to make a pre-print version (or, if possible final version) freely available on-line as soon as possible. With all the other work I have, I cannot find time to do this myself, so I usually just sign whatever agreement I get.
I am not sure the repository is not violating the copyright of publishers
All publications should be copyright of the publisher, but with the author allowed to distribute a copy at his/ her discretion on a limited basis.
Give advice on copyright in relation to work made available elsewhere
Copyright guidance more widely available
I am concerned about copyright issues and that Universities do not support authors with regard to copyright choices when publishing.
Advice and support to encourage additions to Repository
You could educate people about what they can place in the institutional repository
Statistics demonstrating benefits, even average views and downloads per paper per dept in Library news might help. I was surprised how many people had looked at my submissions
schedule 1:1 sessions to implement this
Publicising it better
More provision for copyright advice and training
I would very much like to make all my work available on the Institutional Repository but i have over 50 publications and I simply don't have the time to find or recreate versions of the papers and seek copyright permissions. if there could be some assistance with this it would be much appreciated.
Quality of Repository
The university repository is crap, I don't think I will use it further, as nobody wants to read printed manuscripts, the want the real thing i.e. the pdf of the article.
Shut down the institutional repository and use the funds saved for the above purpose as it will make our research far more visible and trusted.
Cease the practice of putting non-final versions into the repository
Institutional repository is probably sufficient.
Active Promotion of OA
The University needs to raise the profile of OA, by means of a marketing campaign that 'sells' the benefits
1. Publicise Library support for making your work OA; leading to ... 2. Policy of mandatory deposit in the IR
Focus of training people how to use open content more widely, i.e. within teaching too, e.g Open Education Resources c.f Engineering Subject Centre Projects.
Please take open-access journals seriously because they are the most accessible and attract a huge number of citations.

Automatic upload to Repository
this process should be the default such that work published wherever possible becomes entered into the repository and linked to the publication database to minimise workload.
It would be nice if the open access process could become more automated i.e. connected to the university's publication database that as something is entered in there the library requests the submitted version of the manuscript and that goes into the institutional repository unless the authors say no to it.
2. Policy of mandatory deposit in the IR
Publishers
Open access is important and has numerous benefits to the individual author and to the community. However, publication routes have to survive so there should be a lag (6 months, 12 months?) between the publication becoming available in say a journal, and then in something like the institutional repository.
Negotiate with publishers so that all journal publications can be uploaded to the Repository
My wish is to see greater use of the institutional repository. it would appear possible to do this with the consent of the journal publishers who attend to matters of peer review and quality of the published article. this seems to me to be the best of both worlds.
I find it important to support the publishing industry and not to undermine it in this way. They deliver valuable services like editing. With this new way to publish ALL aspects of work fall back on the author. Also publishers pay in some cases!
I have to date published one paper in a well regarded open access journal which is 'free' for authors. I was very impressed with all aspects of the process (and I write as an editor of a conventional journal). Very professional and transparent.
Book publishing is far worse than journal papers - the publishers do very little for high reward on books. I ended up publishing my own book (after 2 with VCH-Wiley - never again).
Monitor Access to O/A Repository
the open access should be only for people that sign in, and should restrain a record/history of their research (access to open access material). Author should be able to publish or unpublish their material at anytime, although quality should be assure by their peers
I think its a good idea but hard to control who is copying work if it is all 'free'
As above. Ensure that there is a mechanism acceptable for REF that shows no of times the materials is accessed and the numbers of times the material is cited, by whom (eg UK, International)
Quality control of Open Access
I am not at all sure open access is a good idea. Who funds it, who controls the quality, who controls how it is distributed, who will do peer review? Will it mean our work ends up as a version of wikipedia?
I would also be concerned that the status of open access may be lower than standard journals, and that they may end up taking lower quality articles as a result.
I think open access currently feels like it would have less impact. I would be more likely to cite an article in a non-open access journal as I feel that it carries more respect
Search engines
Post the papers on Google Scholar
Enable the repository content to appear in search engines
Not Applicable/ Not Published yet
For me is redundant.
I have not submitted anything yet
I haven't really thought about these issues. I must publish papers and so I jump through the required hoops to get there.
Personally, I have never used open access for reading work of other researchers.
Other
Active links to papers in the publication lists on our staff pages
Creation of open access database not only for articles or chapters from the books may be important data, values, processing protocols at the university level will be really helpful.
Also, why does the Repository ask academics to state that work is not libellous, etc. when it was written as part of employment duties. Do other staff who write web pages and documents that end up on teh web such as minutes have to make similar statements?
I do not think the university can make decisions on this unilaterally -- consideration must be taken of what is happening in terms of the treatment of scholarly work internationally and the ways in which academic recognition is achieved.
I personally think LU does not enough offer users research open access in various fields...
I read on the EPSRC website that in a few years time all data from research projects should be

publically available - what's the university view on this?
--

Need to focus more on audience(s)

Appendix 3. Responses by Faculty

Figure Age group responses by Faculty

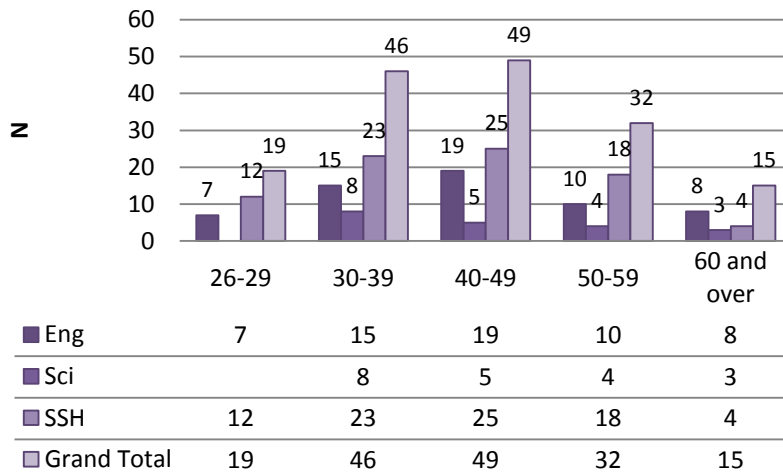


Figure Respondents by Faculty

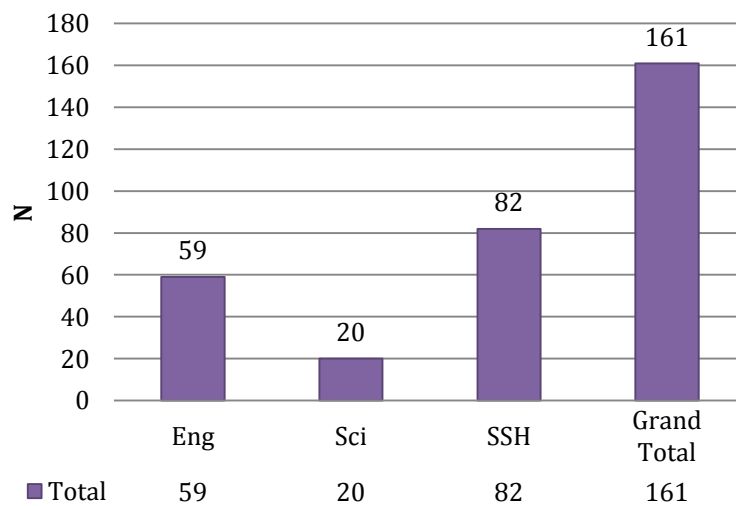


Figure Feelings about principles of Open Access by Faculty?

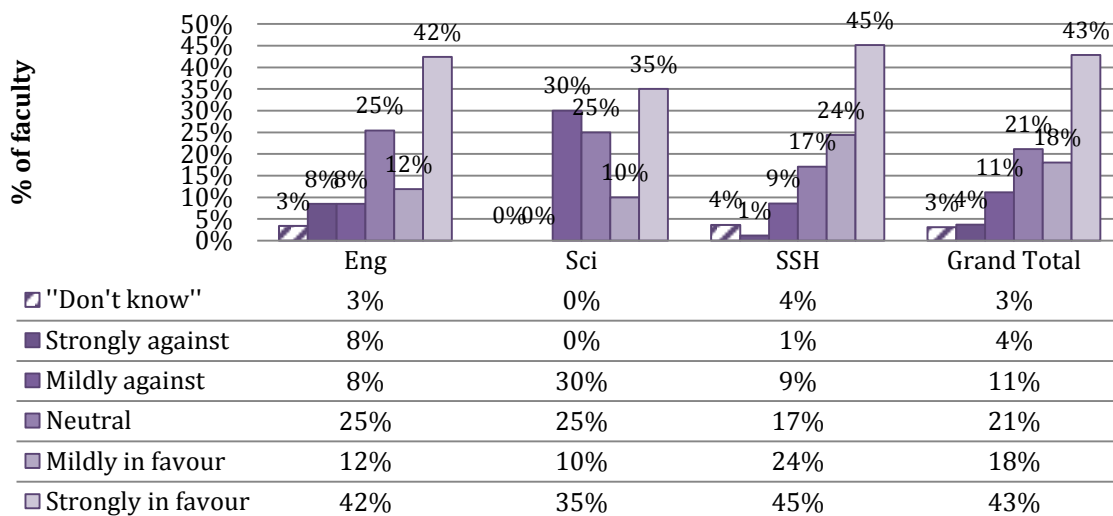


Figure Feelings about using Open Access repositories

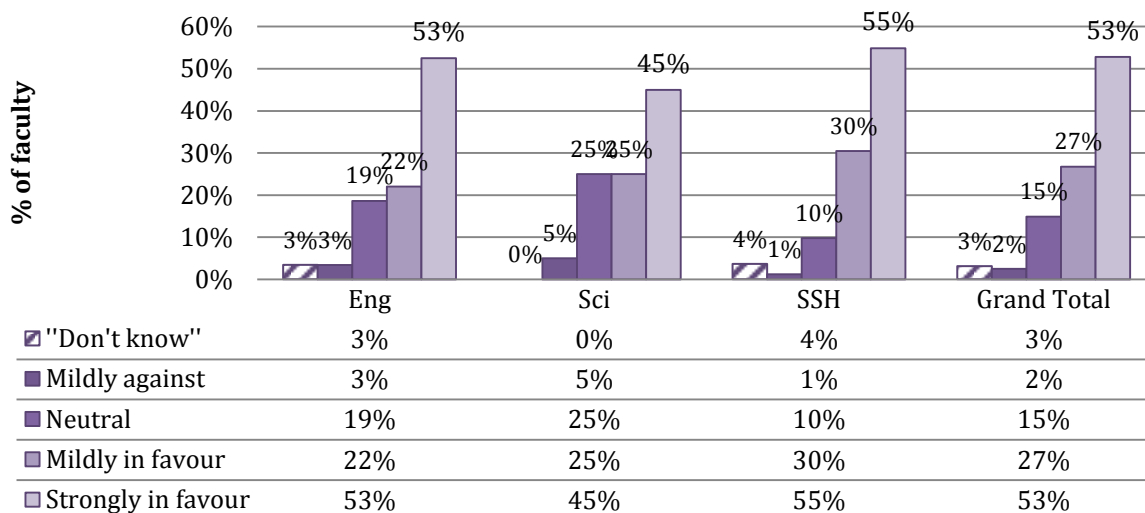
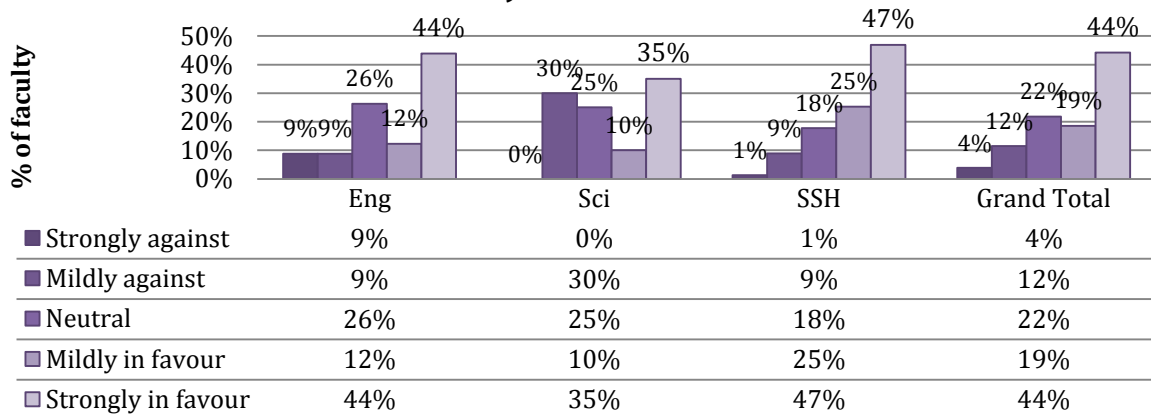


Figure Feelings about publishing in Open Access journals



Figures Awareness of making provision for or publication charges within the funding for grant by Faculty

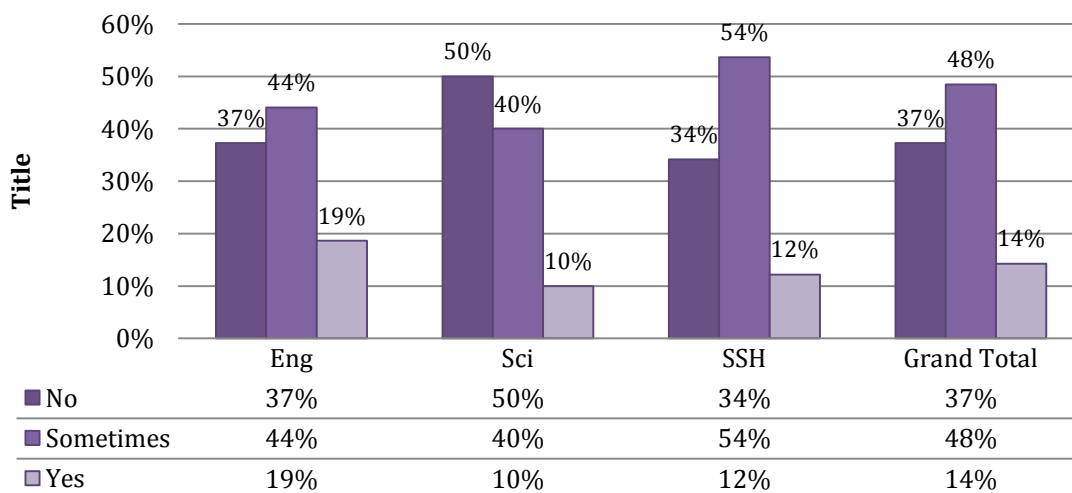


Figure Awareness of Loughborough University Institutional Repository by Faculty

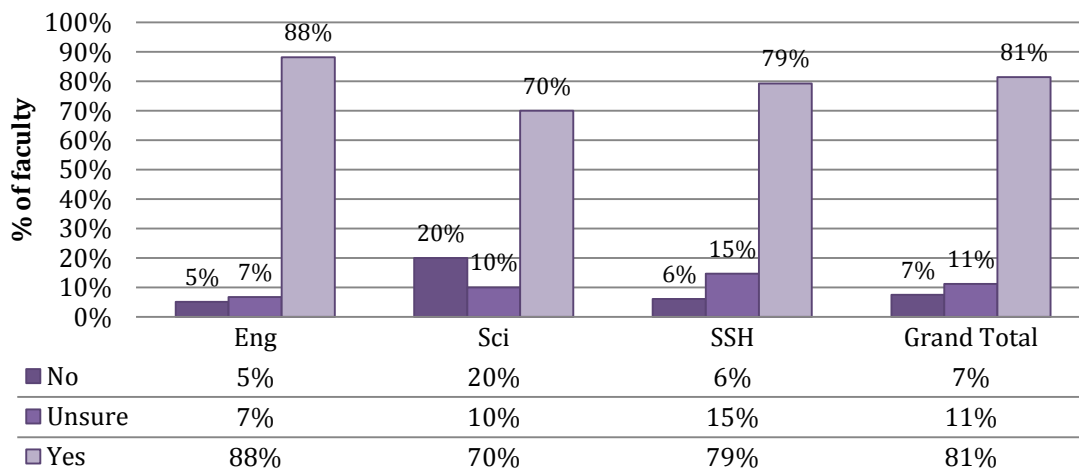


Figure Whether currently make any publications available in the Repository

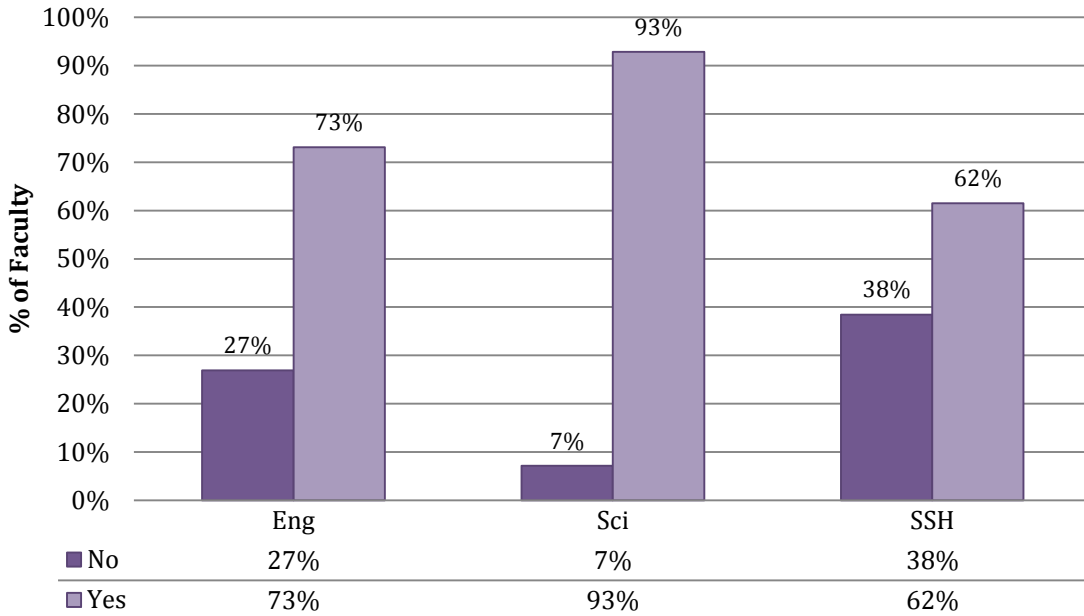


Figure Type of publications made available in the University Repository by ENG Faculty

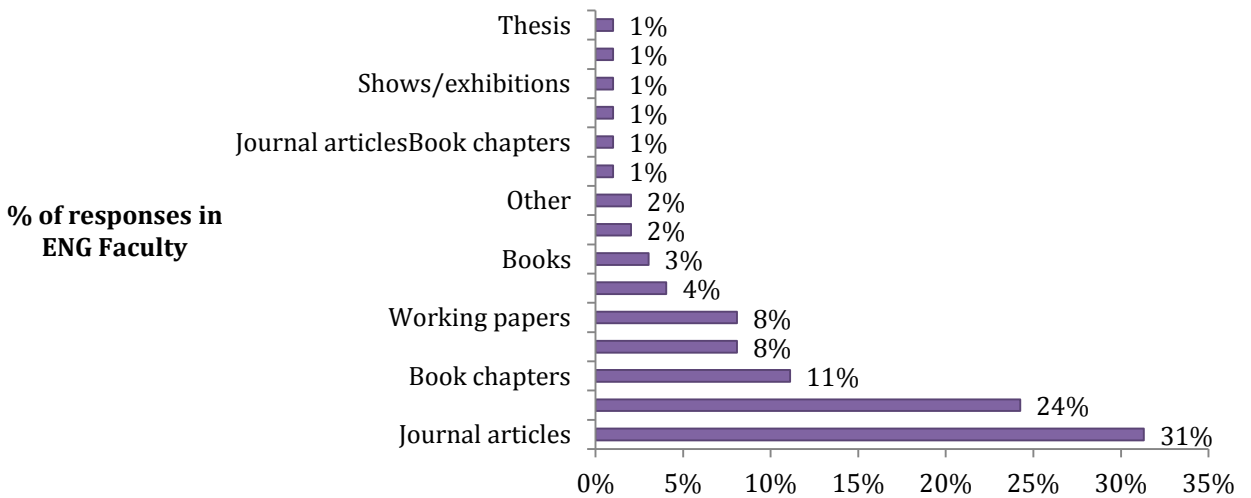


Figure Type of publications made available in the University Repository by Sci Faculty

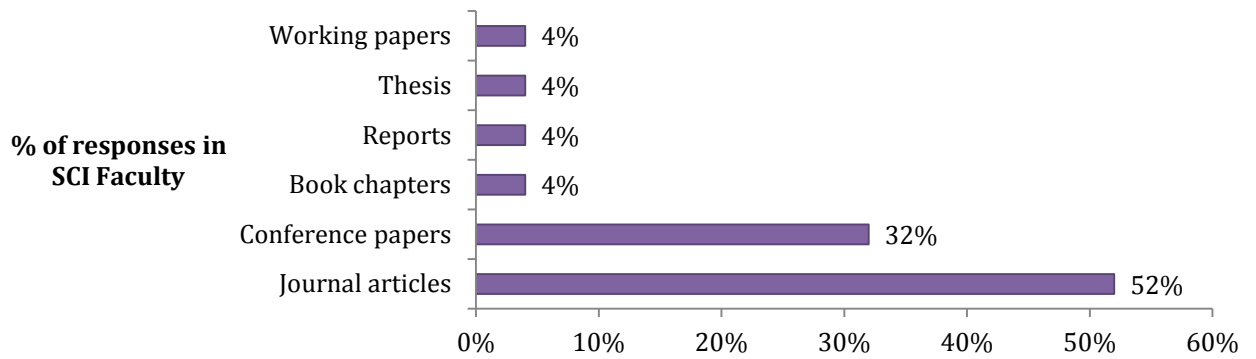


Figure Type of publications made available in the University Repository: by the SSH Faculty

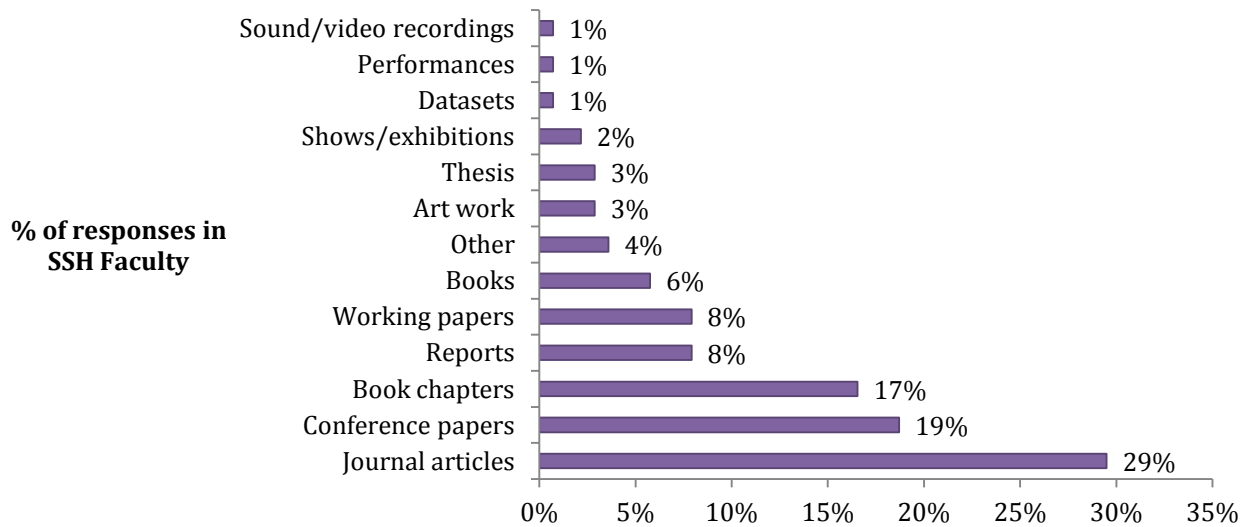


Figure Whether publications made available in a different way by Faculty

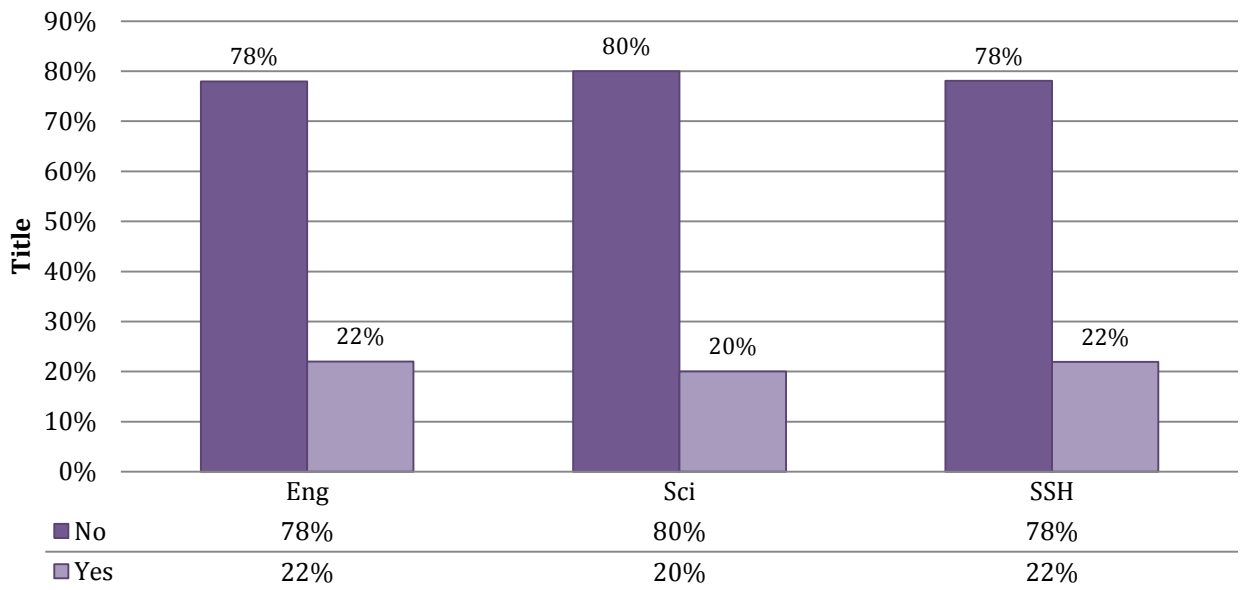


Figure Whether publications made available in a different way in addition or instead of the University Repository?

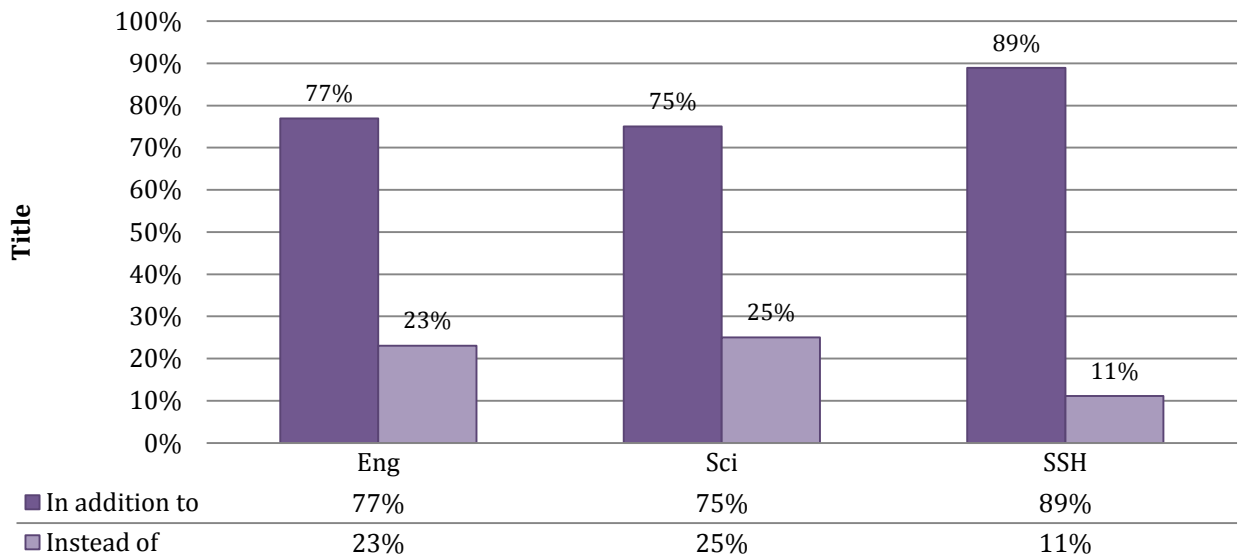


Figure Whether the copyright transfer policy signed before submitting an article to a journal is read by Faculty

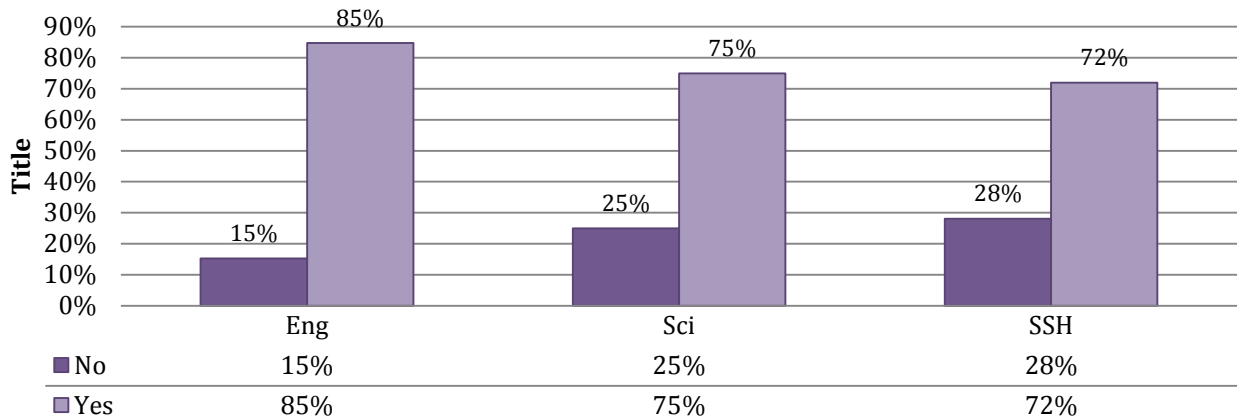
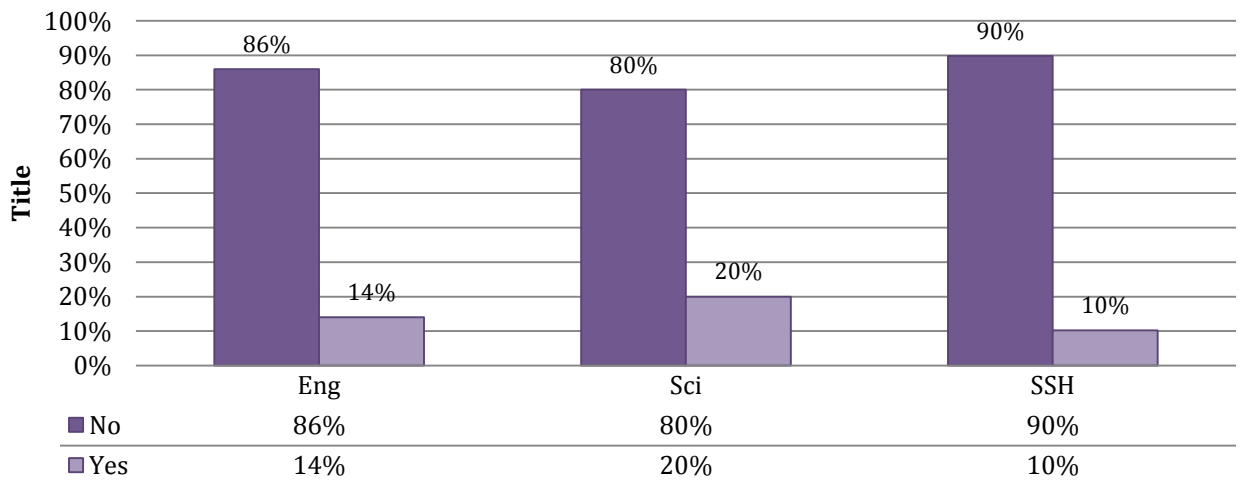
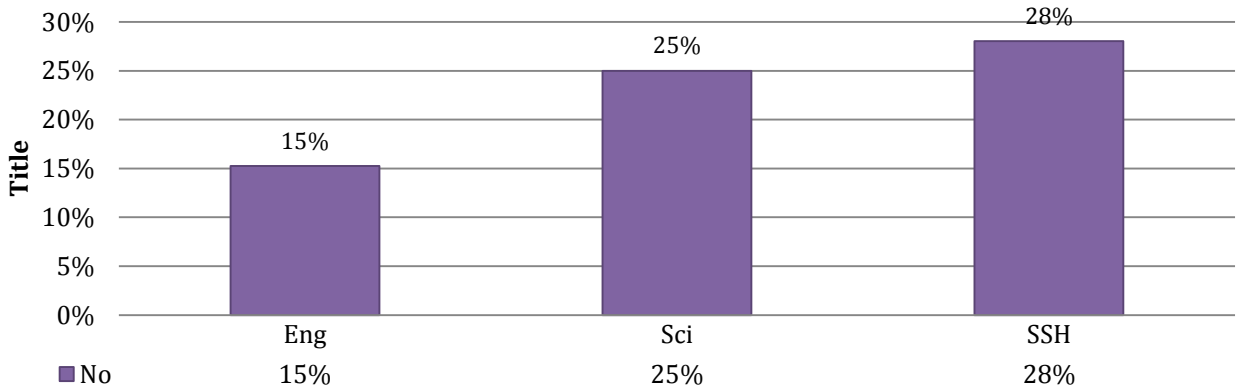


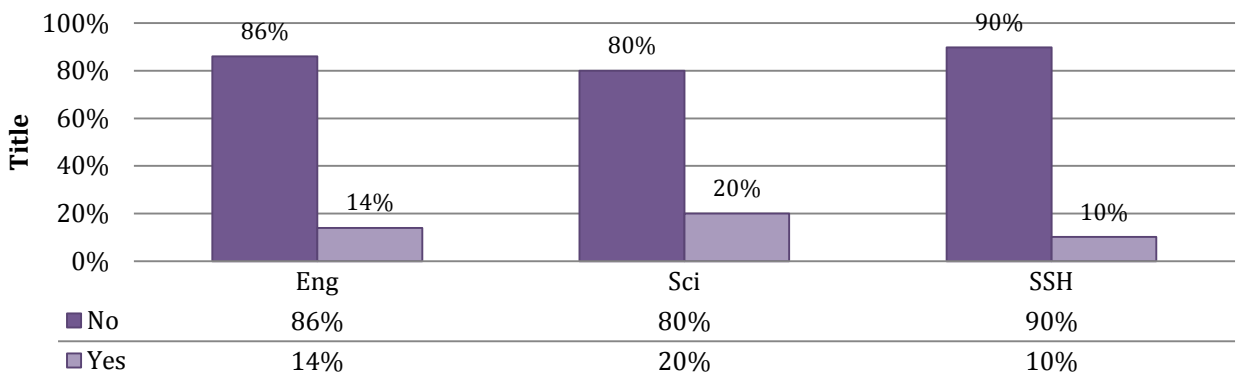
Figure Whether people read the copyright transfer policy that is signed before submitting an article to a journal by Faculty



10. Do you read the copyright transfer policy you sign before submitting an article to a journal?



10.a. If Yes, have you ever requested to retain the copyright of an article?



10.a.i. If you requested to retain copyright, did the publisher agree to the request?

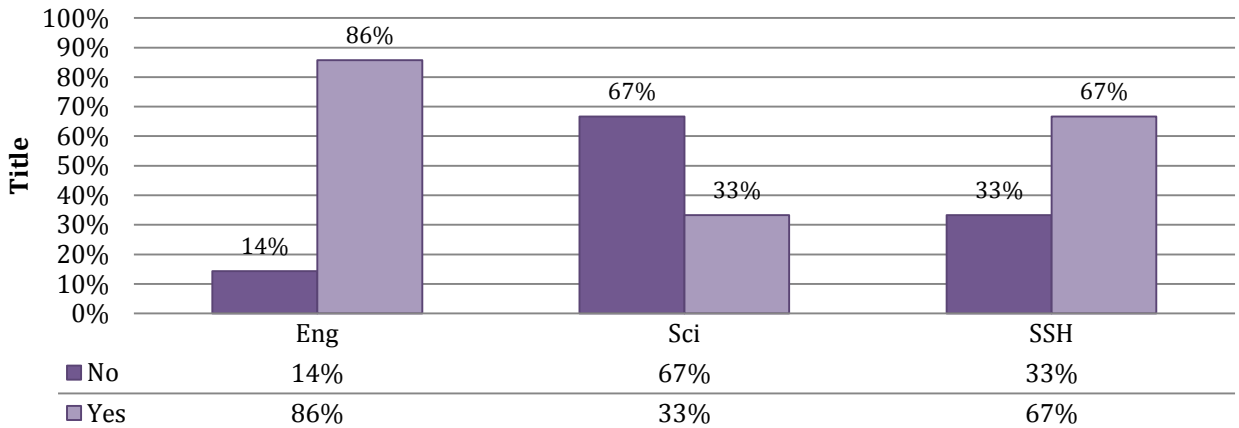
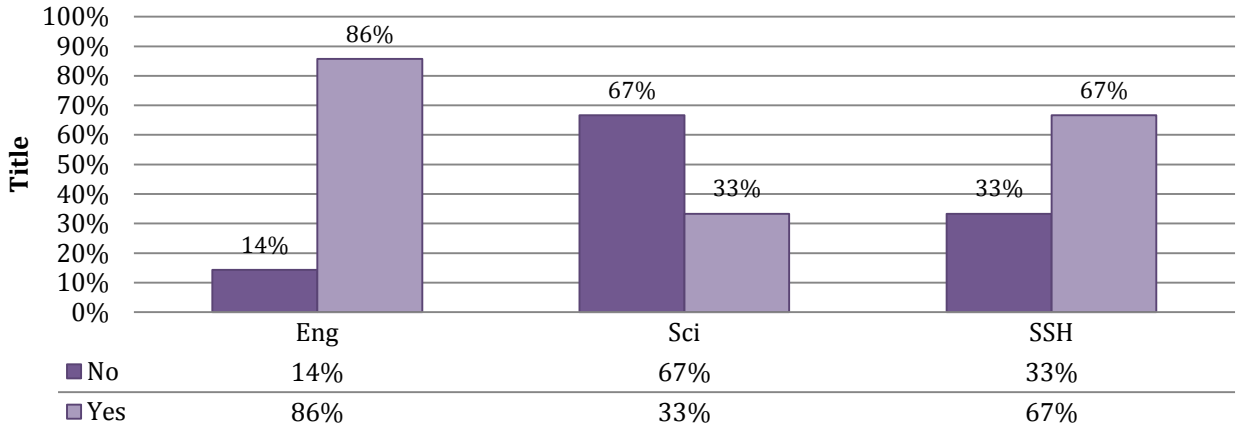
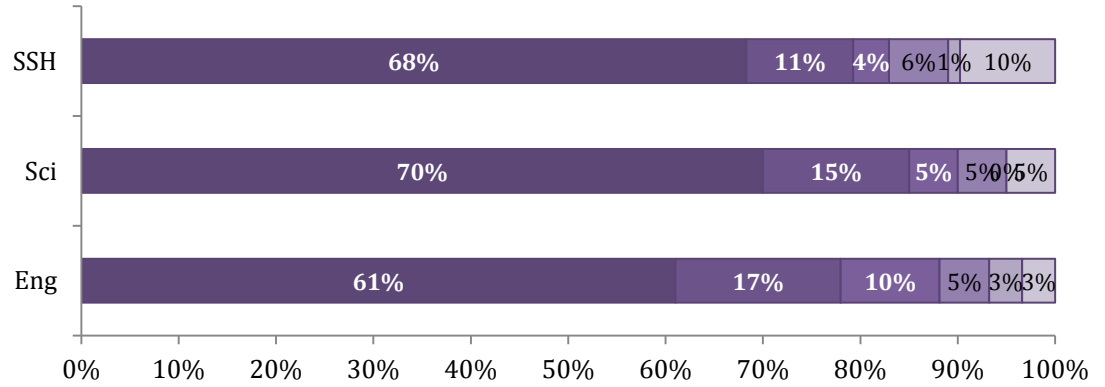


Figure If Yes, have people requested to retain copyright, did the publisher agree to the request?



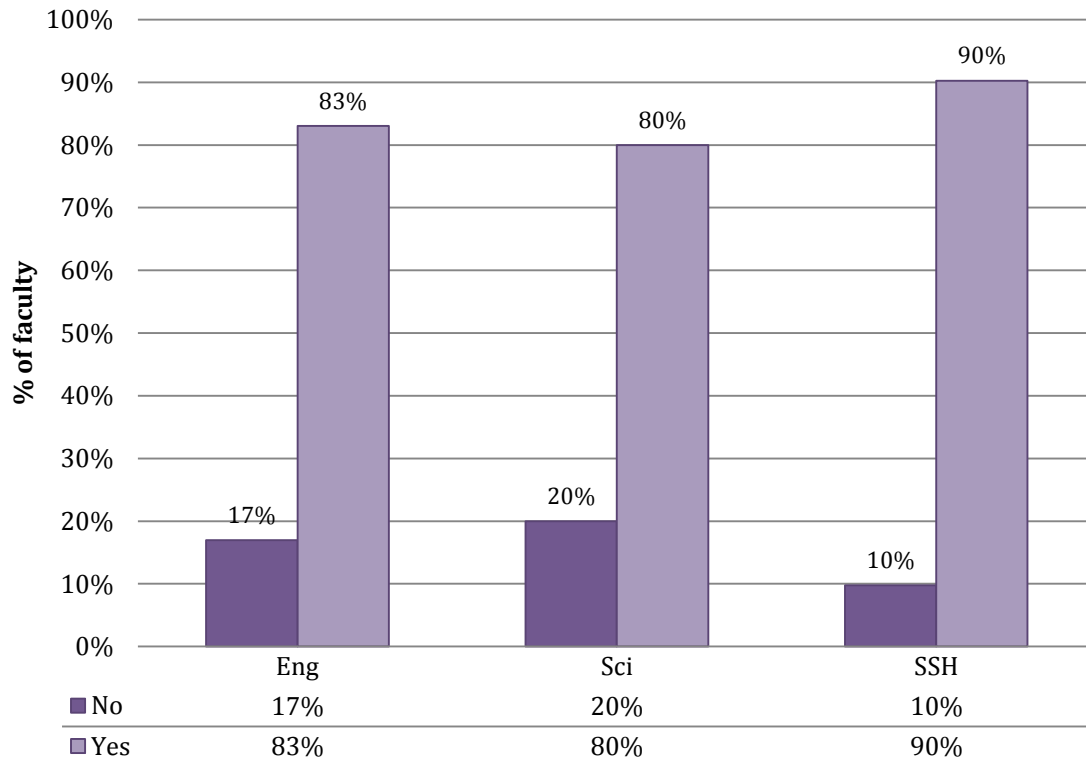
11. Who do you think "should" own the copyright of research publications?

■ Author/s ■ I don't know ■ Publisher ■ Employing institution ■ Primary Funder ■ Other



	Eng	Sci	SSH
■ Author/s	61%	70%	68%
■ I don't know	17%	15%	11%
■ Publisher	10%	5%	4%
■ Employing institution	5%	5%	6%
■ Primary Funder	3%	0%	1%
■ Other	3%	5%	10%

12. In the process of producing a journal article for publication do you keep your own copy of the manuscript that is the same in all respects as the published version?



Appendix 4. Results by age of Respondent

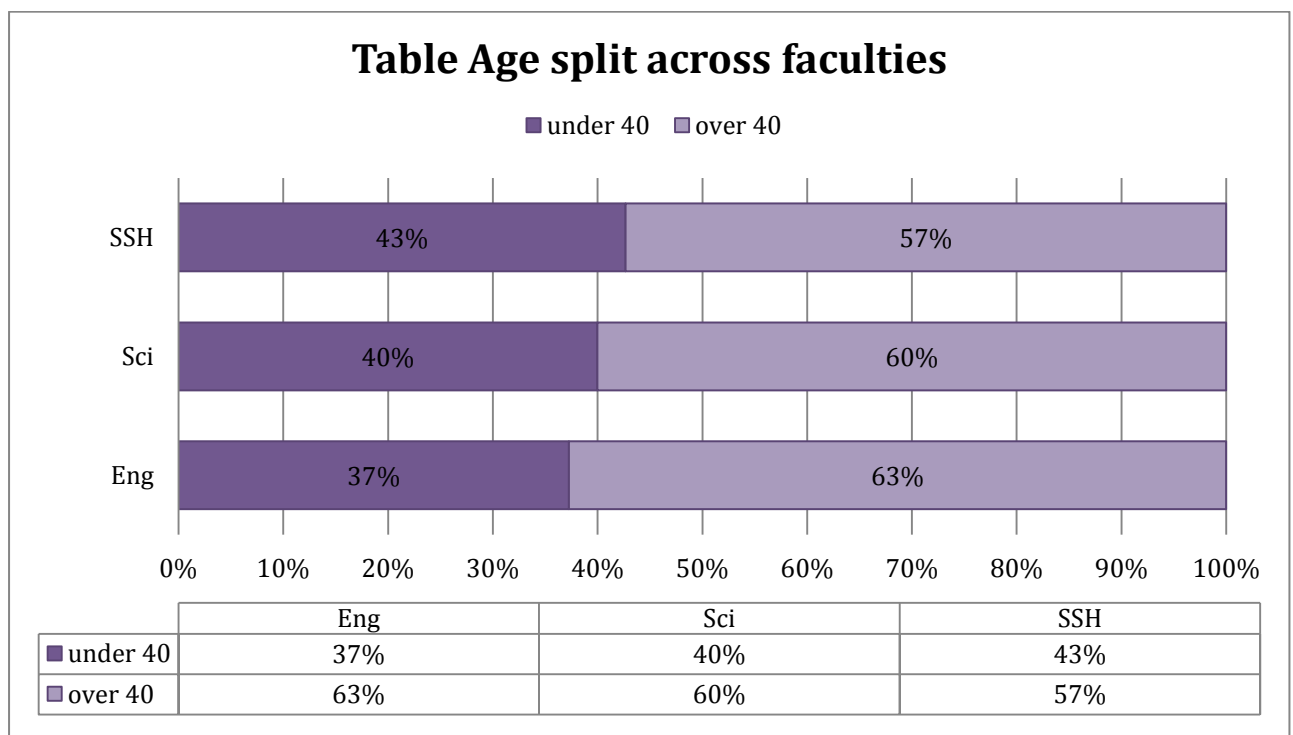
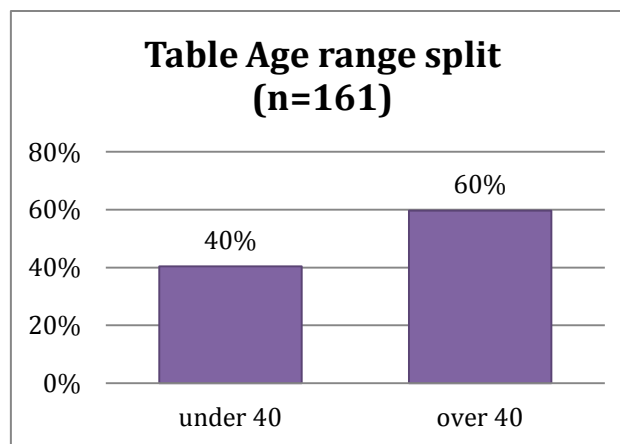


Table 4a. How do you feel about the principles of Open Access?

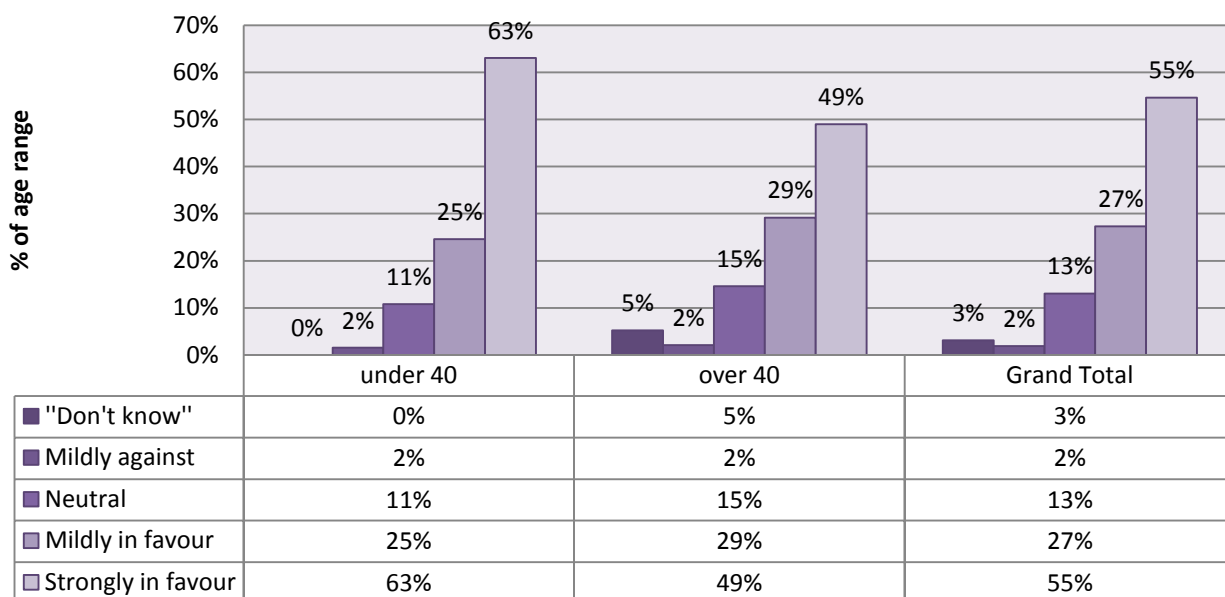
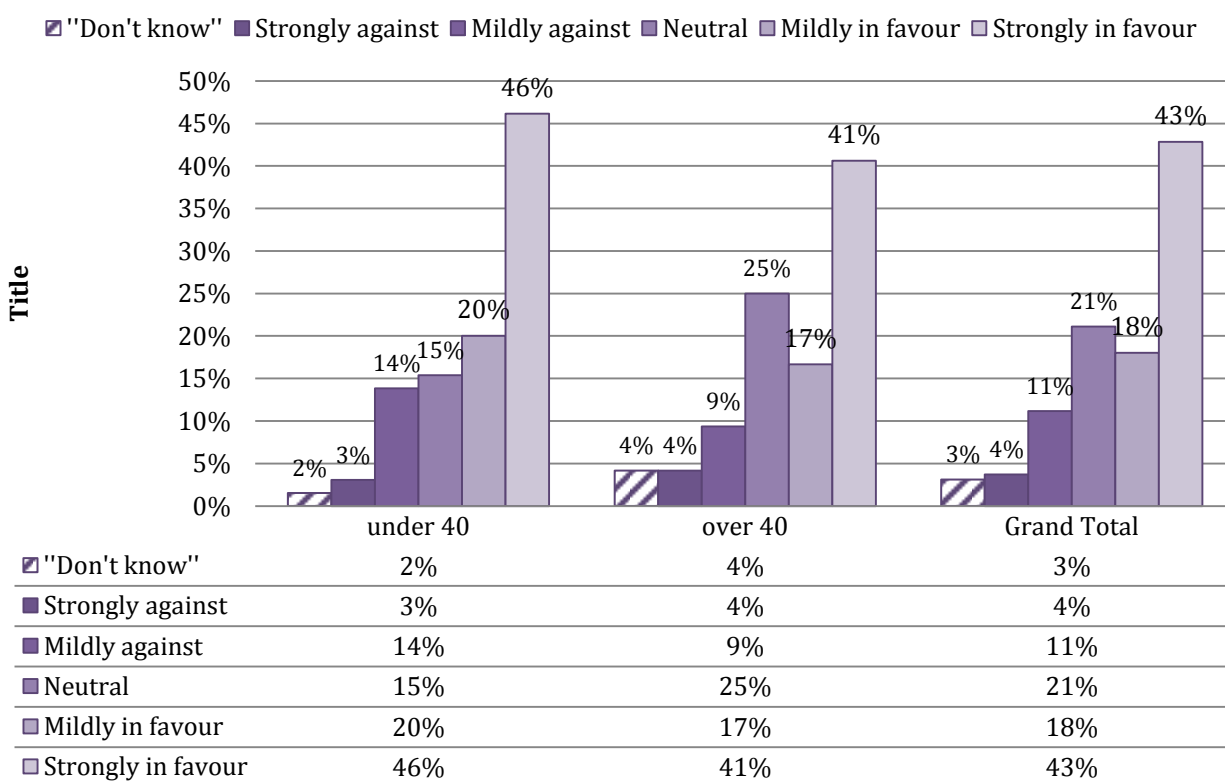
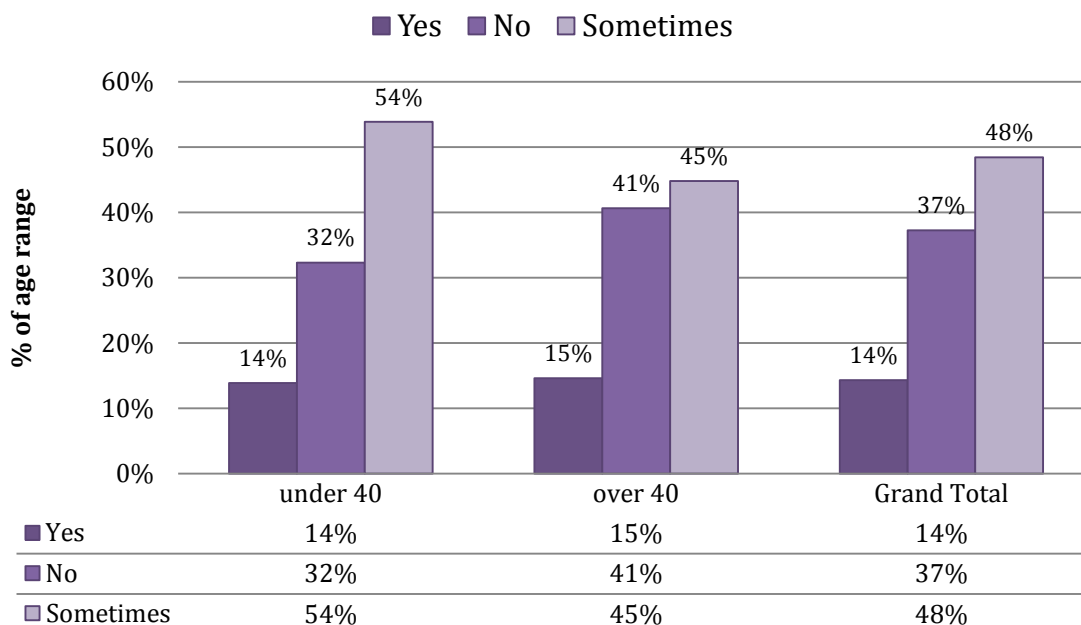


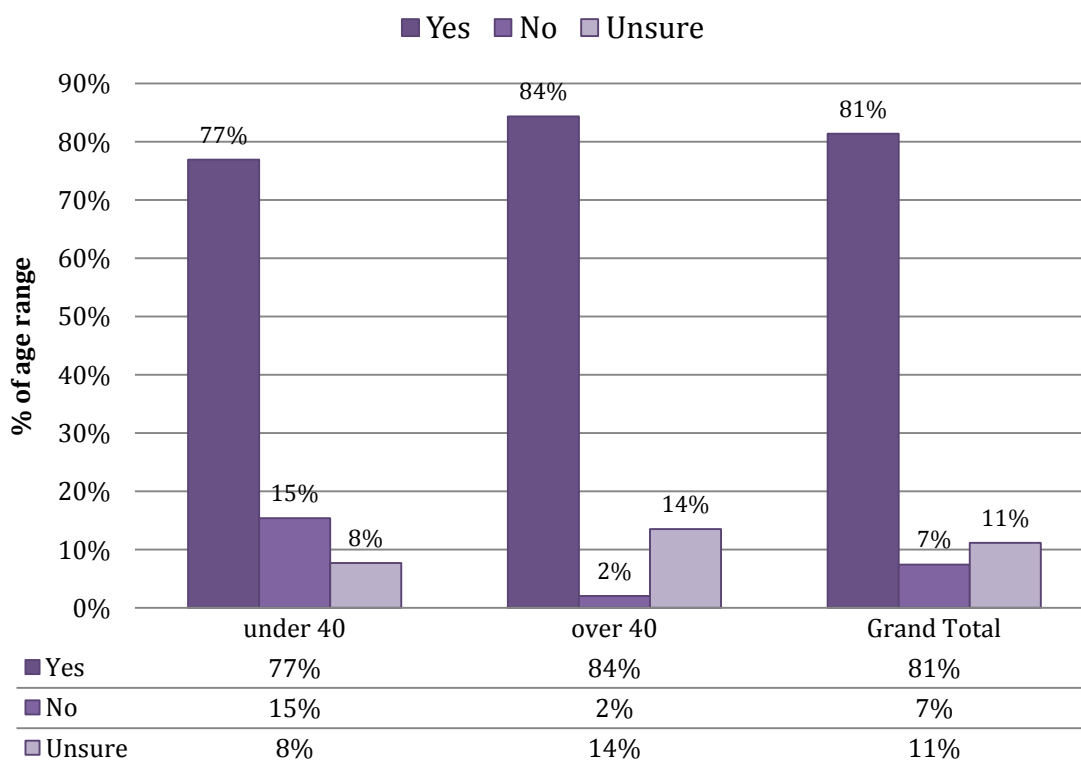
Table 4.c. How do you feel about publishing in Open Access journals?



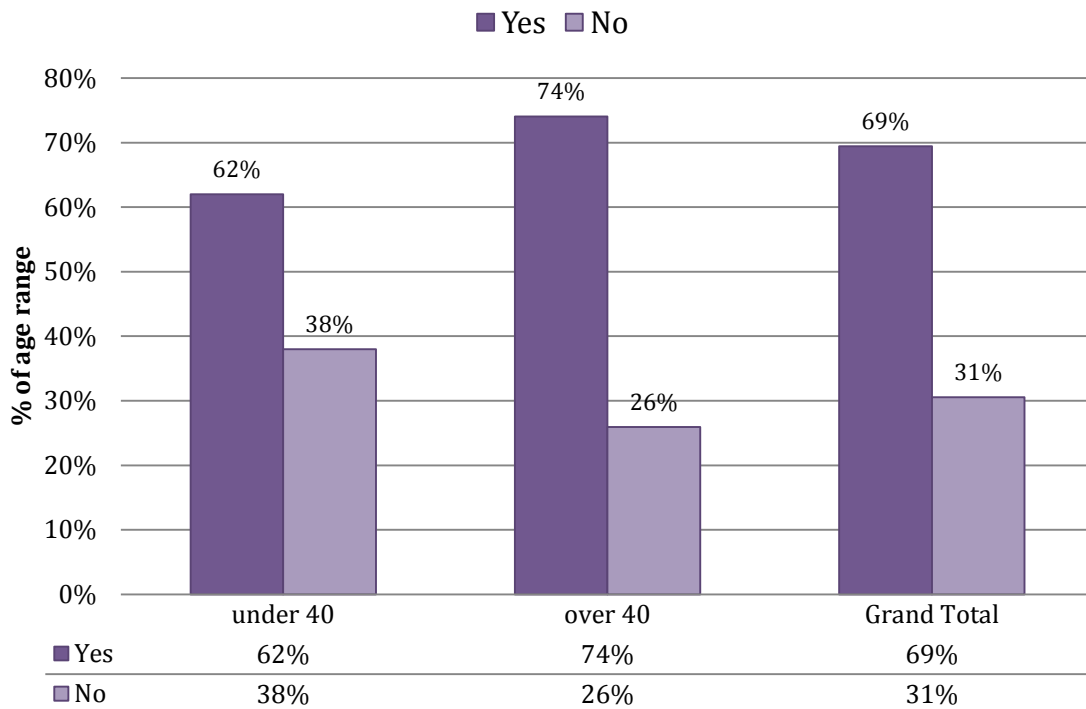
5. If you are applying for a grant from a funding body (e.g. EPSRC/NERC/Wellcome Trust) can you make provision for publication charges within the funding?



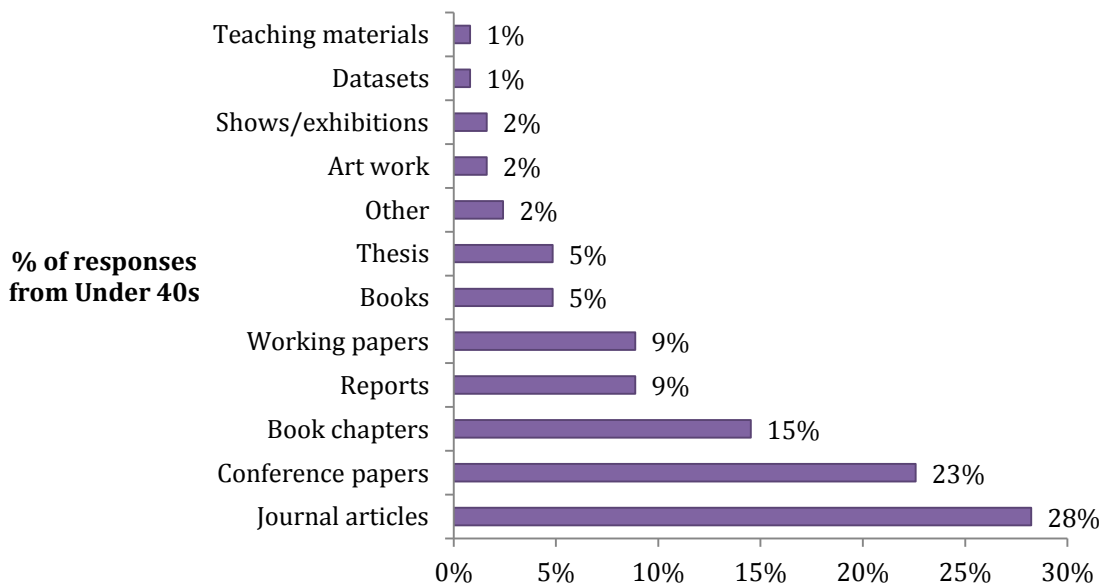
7. Do you know about the Loughborough University Institutional Repository?



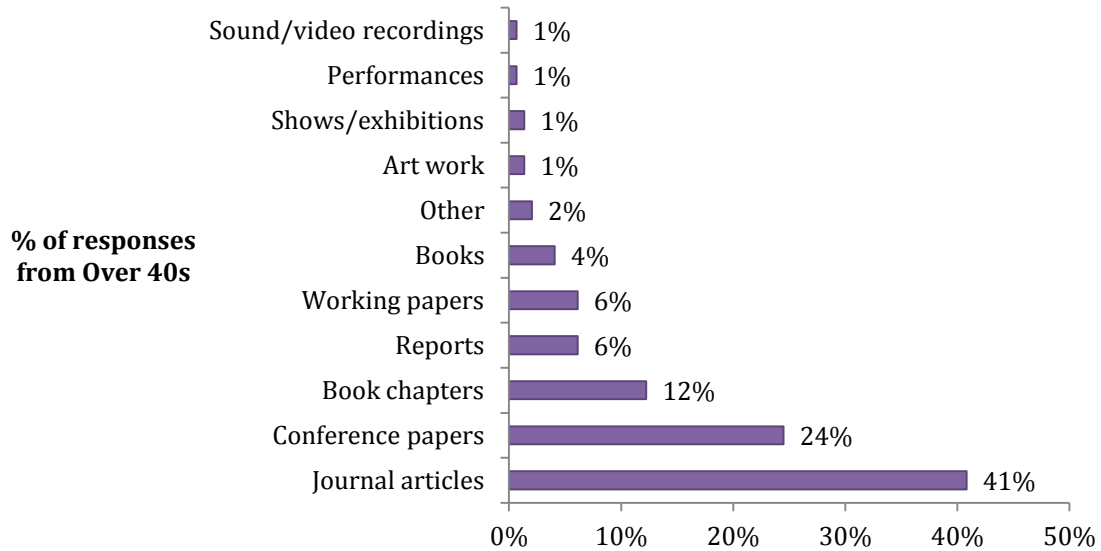
7.a. If so, do you currently make any of your publications available in the Repository?



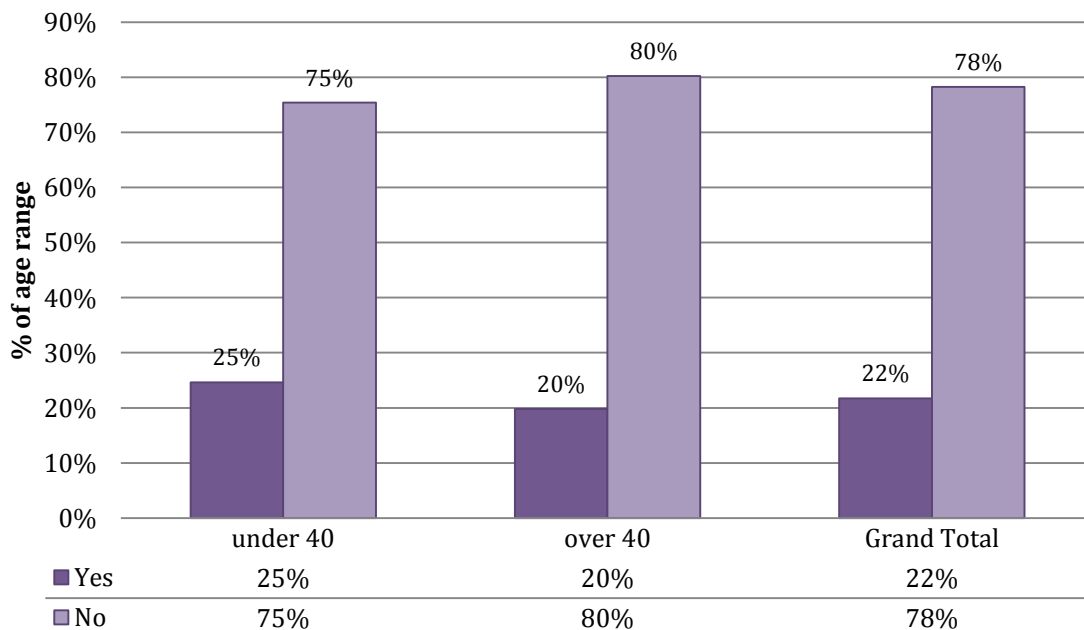
8. Under 40s: Please indicate what type of publications you make available in the University Repository:



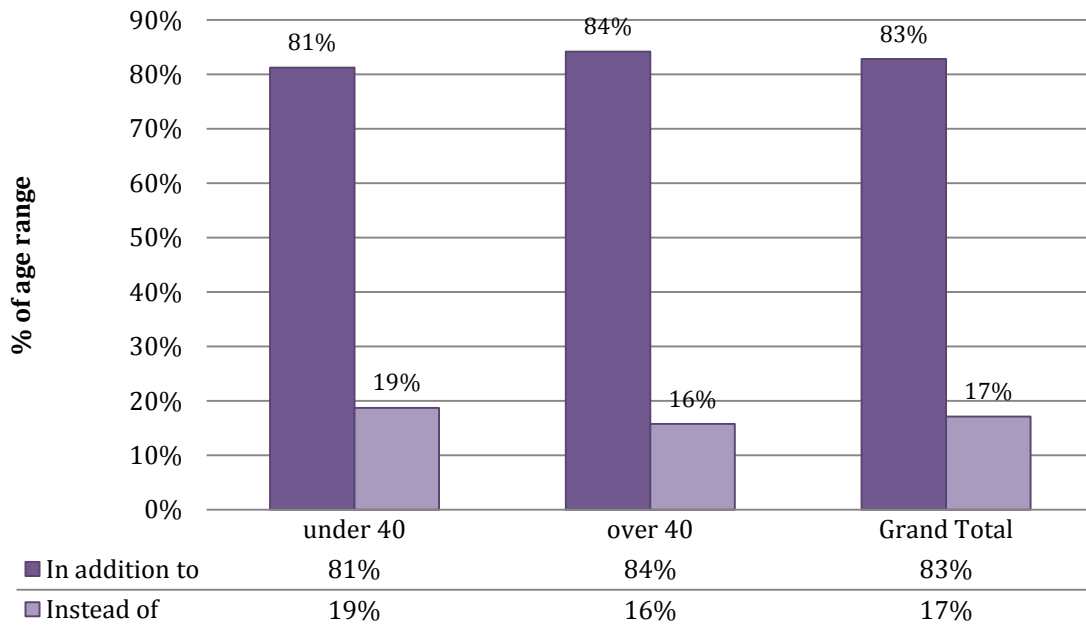
8. Over 40s: Please indicate what type of publications you make available in the University Repository:



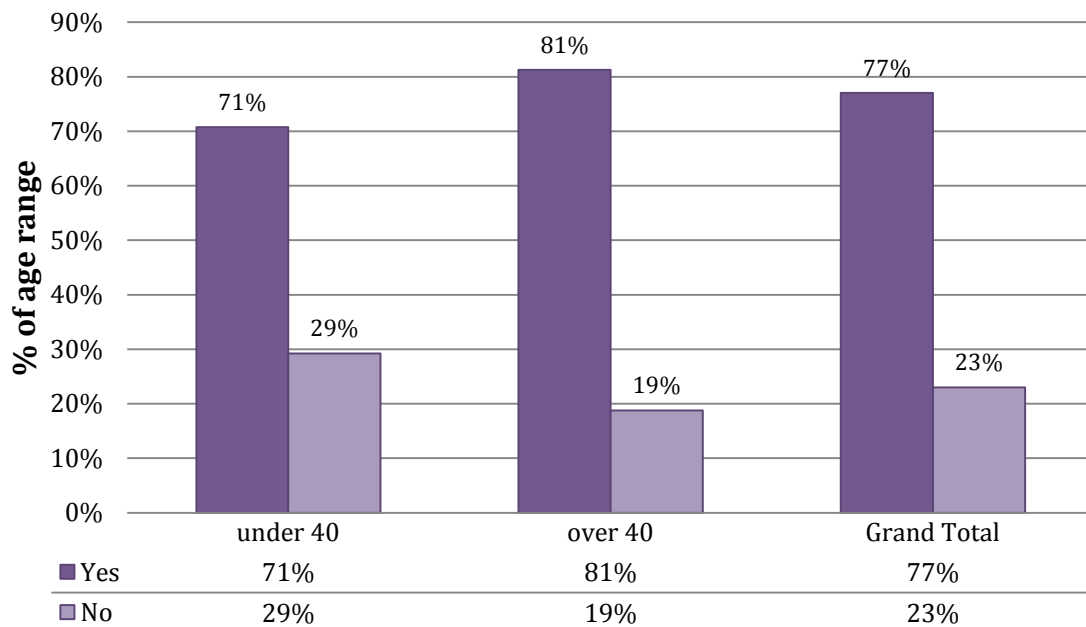
9. Do you make your publications available in a different way, for example in a subject-based repository. e.g. the Physics arXiv repository, personal website, other free text?



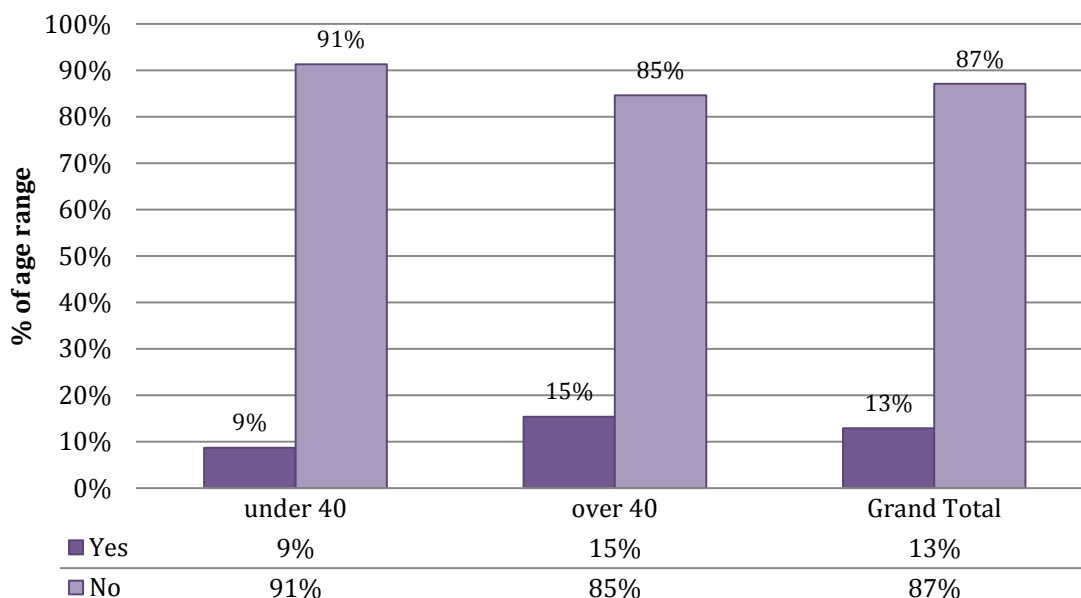
9.a. If so, do you do this instead of depositing in the University Repository?



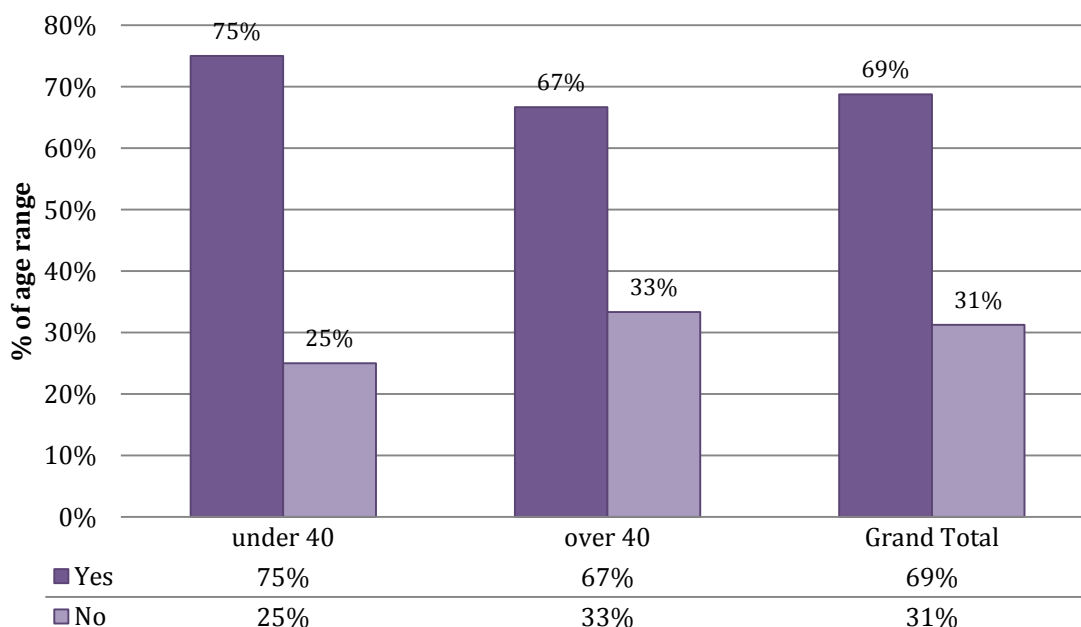
10. Do you read the copyright transfer policy you sign before submitting an article to a journal?



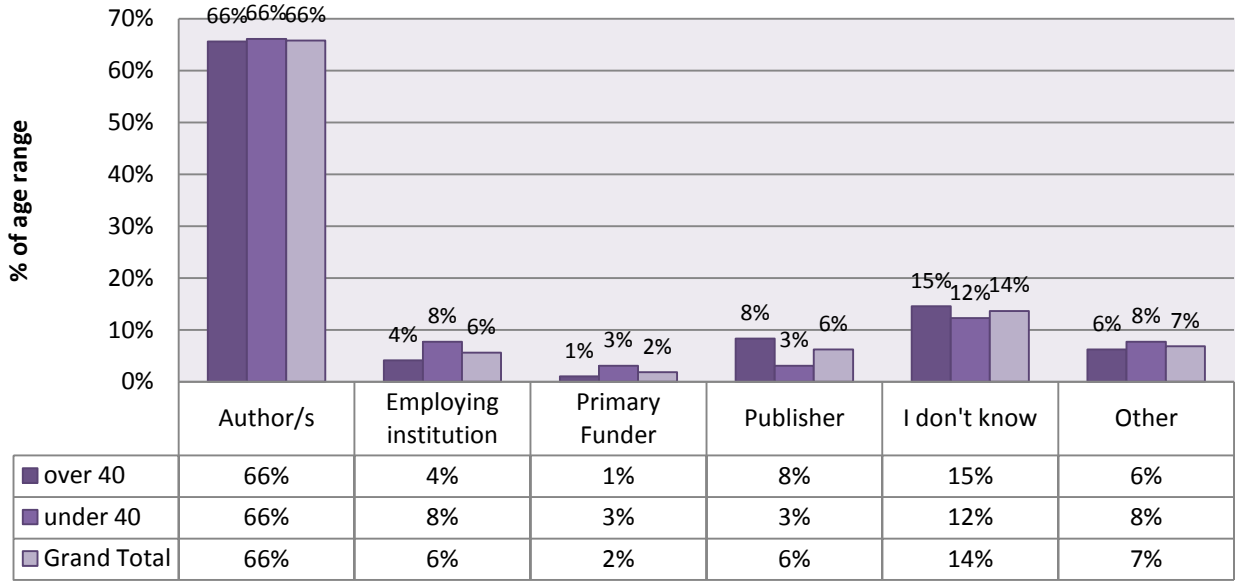
10.a. If Yes, have you ever requested to the retain the copyright of an article?



10.a.i. If you requested to retain copyright, did the publisher agree to the request?



11. Who do you think "should" own the copyright of research publications?



12. In the process of producing a journal article for publication do you keep your own copy of the manuscript that is the same in all respects as the published version?

