Original citation:
Budden, Yvonne C. and Albrow, Helen A. (2014) *Report on the 'Gauging attitudes to open access (OA) and OA support' survey*. Coventry: Library, University of Warwick.

Permanent WRAP URL:
http://wrap.warwick.ac.uk/79502

Copyright and reuse:
The Warwick Research Archive Portal (WRAP) makes this work by researchers of the University of Warwick available open access under the following conditions. Copyright © and all moral rights to the version of the paper presented here belong to the individual author(s) and/or other copyright owners. To the extent reasonable and practicable the material made available in WRAP has been checked for eligibility before being made available.

Copies of full items can be used for personal research or study, educational, or not-for-profit purposes without prior permission or charge. Provided that the authors, title and full bibliographic details are credited, a hyperlink and/or URL is given for the original metadata page and the content is not changed in any way.

A note on versions:
The version presented in WRAP is the published version or, version of record, and may be cited as it appears here.

For more information, please contact the WRAP Team at: wrap@warwick.ac.uk

warwick.ac.uk/lib-publications

Report on the 'Gauging Attitudes to Open Access (OA) and OA Support' Survey

Yvonne Budden, Helen Albrow

6/12/2014

This report outlines the findings from the Gauging Attitudes to OA and OA Support Survey. The data collection took place during April-May 2014, and received 109 responses, primarily from Warwick Business School (WBS), Physics and Warwick Medical School (WMS). The findings suggest a good deal of support for the principles of OA, and indeed positive responses for University support provided for OA. There is a need to review funding options available to researchers for Gold OA, further develop APC payment processes, and certain areas of OA advocacy. The review needs are taken forward in the Recommendations section to be used by the Library for overall developmental work.

Introduction and Background

This report outlines the findings and recommendations from the 'Gauging Attitudes to OA and OA support' survey. The survey represents the effort by the Library to understand attitudes to OA and OA support across the University in respect of the plethora of OA policies (namely RCUK, Wellcome Trust [WT], and HEFCE) implemented since the time a previous OA and WRAP survey was undertaken in 2011[1].

The survey was therefore conducted with two overall aims:

- To understand more about attitudes to OA across the University
- To understand how OA may be supported in accordance with the viewpoints of the wider Warwick community

Methodology

The survey was designed during January– March 2014, combining the efforts of the University's Scholarly Communications/Open Access Oversight Group.

The survey was initially disseminated using an email to all Heads of Department during early April 2014. Successive mailings were made during April 2014 to further increase uptake. The first mailing was sent to Heads of Department and/or Research Centres, with a further two to Heads of Divisions/ Groups within the larger Departments or Schools, and to Divisional Secretaries (or Department Administrators where appropriate within particular departments). The survey then closed at the end of May 2014, providing researchers with an 8 week period to respond to the survey invitation(s).

The resulting respondent pool, and the respondents' attitudes to OA and their support needs are discussed in the following Results section.

The researchers

Overall, 109 people responded to the survey. The majority of respondents were aged either 30-39 (36%), or 40-49 (29%). As Figure 1 shows below, respondents came from every stage of academic life but most had 5-15 years post-doctoral experience (39%) or 16+ years post-doctoral experience (27%).

---

[1] Budden, Yvonne C. (2011) Report on the 'Unlocking Attitudes to Open Access' survey, May-July 2011. Coventry: University of Warwick. Available at: http://wrap.warwick.ac.uk/37817/ (accessed: 14/07/2014 17:14)

Figure 1: Levels of research experience across the survey cohort
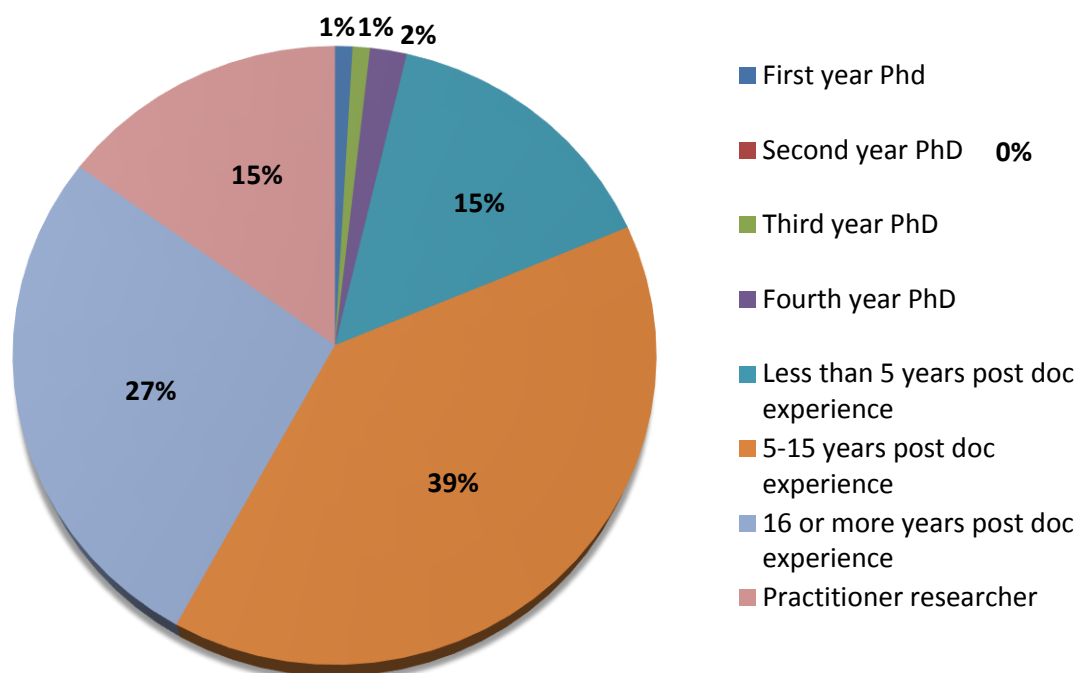
A large proportion of respondents were affiliated to Warwick Business School (WBS) (19%). Another 16% were from Physics, and a further 10% from Warwick Medical School (WMS). Others came from a mixture of Departments, but clearly where the 3 departments above provided nearly half of the survey responses, the data is dependent on processes and support offered in those Departments.

The relevance of some OA policies to the Sciences may have affected uptake. The Physics Department and WMS for example would be affected perhaps to a greater degree by the RCUK OA policy for journal articles and conference proceedings than some areas in Humanities and Social Sciences where publishing a book chapter or monograph is more common. Very few responses were received overall from the Humanities and Social Sciences (around 10% of the overall survey cohort).

The use of email also means the survey was dependent on the strength of relationships within departments.

Survey findings

Gauging attitudes to Open Access (OA)

Initially, respondents were asked about their global attitudes to Open Access. Figure 2 below shows the data for this. Most respondents said they were strongly in favour of the principles of Open Access. A much smaller number of respondents were either strongly against the principles of Open Access, or mildly against.

The overall figures are roughly similar to those from the 2011 survey, where 61% were strongly in favour of OA. This suggests little movement in views since the advent of some major OA mandates, and overall positivity for OA in principle.
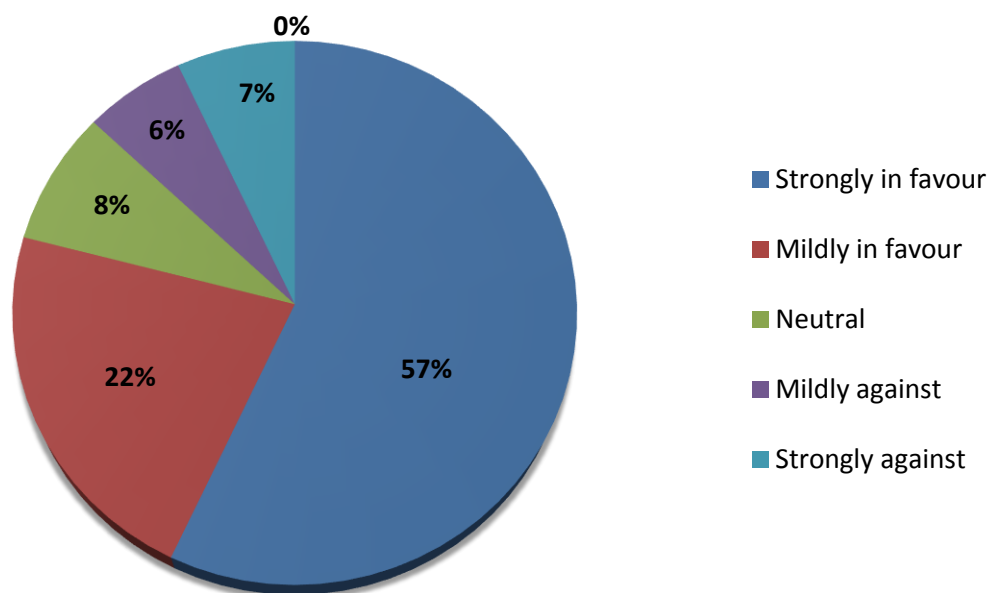
Figure 2: Attitudes to Open Access

Figure 3 below shows the viewpoints for the RCUK OA policy. Just 1 in 5 of the respondents was strongly in favour of the RCUK OA policy. Interestingly, not too dissimilar numbers were strongly against the policy (16%), with various responses in-between. Opinions are therefore clearly varied within this group. This is particularly interesting given the fact most responses came from a small number of departments. This indicates varied opinion at sub-departmental level i.e. within departments, where WBS and WMS have a large number of subject and research groups and divisions.

Figure 3: Attitudes towards the current RCUK Open Access policy
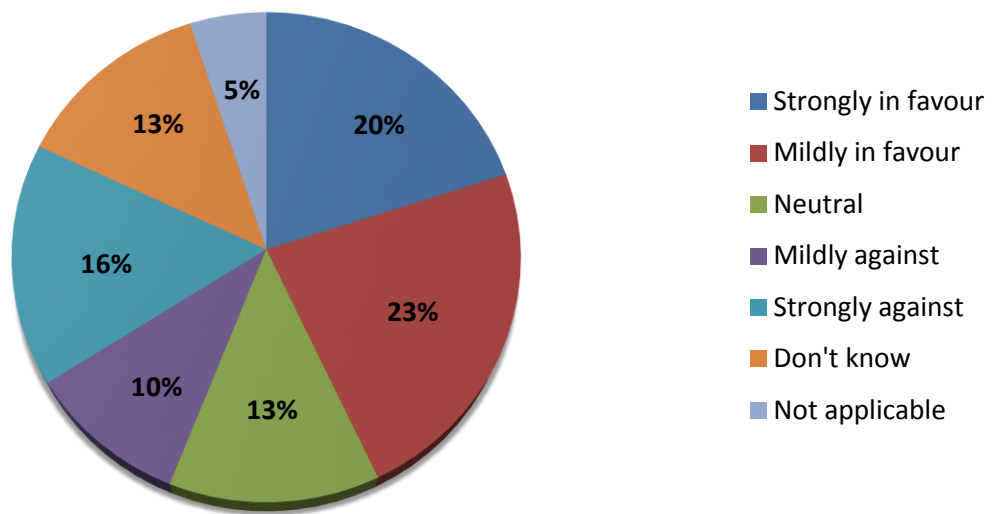
Opinions for the Wellcome Trust policy are reflected in Figure 4 below. Over a quarter didn't know how they felt about the policy unlike the RCUK mandate (where 13% didn't know). This result is to be expected as most responses came from WBS, Physics and WMS, and so the WT policy is perhaps not as relevant to them as other funder's policies. Another 16% also specifically said 'not applicable'. Given the level of responses within these two categories, it is difficult to draw conclusions on the overall views of this policy due to the 'make-up' of the respondent sample.

Figure 4: Attitudes towards the current Wellcome Trust Open Access policy
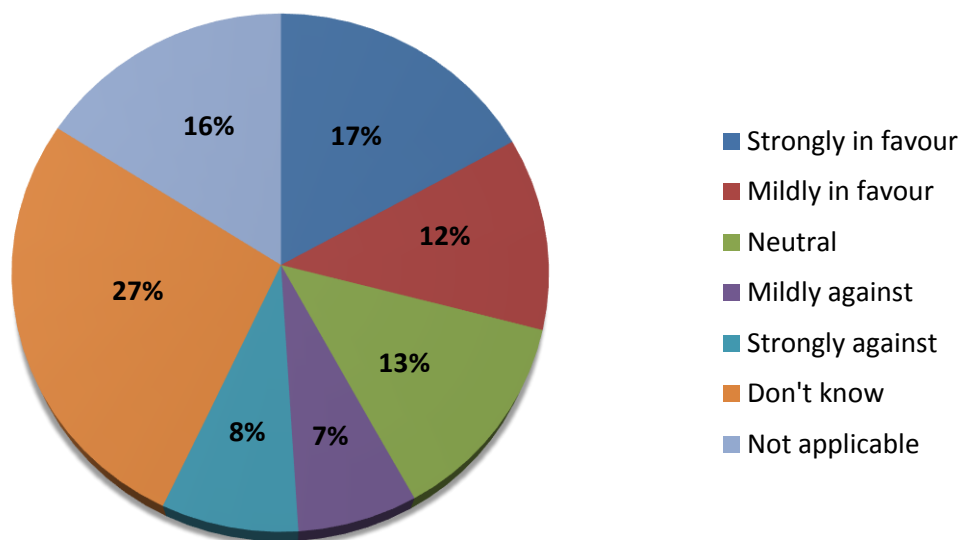
Figure 5 below presents the figures for attitudes towards the HEFCE OA policy for the next REF. This policy launched very shortly before the survey was circulated so respondents are likely less familiar with this policy than the others which have been available for longer. The responses here are also mixed, much like the responses for the WT and RCUK policies. However the HEFCE policy will be relevant to all staff on research contracts unlike the Wellcome Trust or RCUK policies that are only relevant to those researchers who have won funding from them.

Around a quarter are mildly in favour of the HEFCE OA policy, with another 16% strongly in favour. Nearly 1/5 (19%) didn't know, perhaps due to the fact the policy had been released around the same time the survey was released. There may also be a sense of 'policy fatigue' due to the fact that the HEFCE policy is the latest in a series of open access policies that researchers have had to assimilate and manage.

This presents a fairly mixed response towards the HEFCE OA policy and indicates some uncertainty about what the policy means. This will need to be reviewed for advocacy purposes in order to ensure that researchers are supported for compliance with the policy by 2016.

Figure 5: Attitudes towards the current HEFCE Open Access policy for the next REF
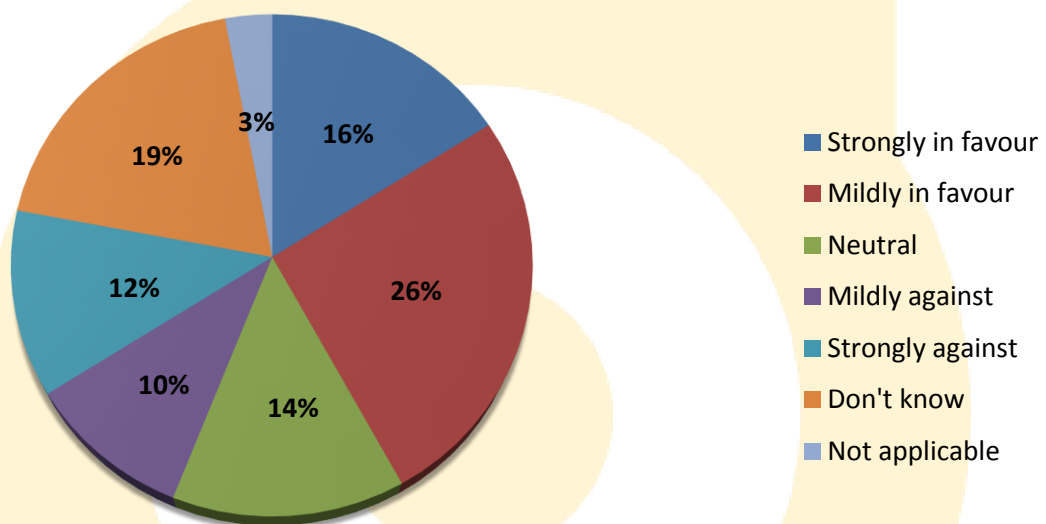
On review of the further comments field, a number of themes emerged, largely described as follows:

Positive attitudes towards the principles of Open Access: with caveats around the processes involved in making articles OA, whether funding was available and where the journal needed to be right for the research.

Profits made by publishers: there are concerns about publishers' profits margins or 'profiteering' from Open Access.

Impact of journals: there are some concerns that open access journals (OAJs) do not have the same level of quality, as indicated by the impact factors as other journals, especially those journals with traditional business models which have been around for longer.

Repository use: there were some comments about which repositories they as authors use, and also where some believe repository OA 'should be sufficient.' This is presumably compared to the paid Gold OA route.

When respondents were asked if they would include provision to cover OA charges in their next funding application, 2/3 said that they would. 19 respondents then provided further comments. The comments often referred to the RCUK policy which does not allow for publication charges in funding applications any longer. In addition, around 5 or 6 people mentioned how they were either 'opposed to the pay to publish model' and other comments showed clear opposition to publishers making money from Gold OA. One respondent called it 'immoral' (..way for publishers to make more money), and another referred to the 'exorbitant amounts paid to publishers to make articles Gold OA' as 'misguided.'

Many of these comments chime with the comments made by the respondents of the previous survey, with a new preoccupation with the 'paid for' gold open access model driven by the emphasis on this since the Finch Report[2].


Using repositories

Firstly, the vast majority of respondents were familiar with the University repository, the Warwick Research Archive Portal or WRAP (87%). This indicates an overall increase in knowledge of WRAP since the last survey[3].

Figure 6 below shows the data for opinions on the use of OA repositories. Most responses were strongly or mildly in favour of using repositories to make publications OA (including WRAP, ArXiv, SSRN, Europe PMC). Only 5 respondents, or 5%, were strongly against the use of repositories. This attitude is perhaps to be expected in light of the opinions expressed about the cost of gold open access

---

[2] Finch, Dame Janet et al (2012) Accessibility, sustainability, excellence: how to expand access to research publications. Report of the Working Group on Expanding Access to Published Research Findings.
[3] Budden, p. 7

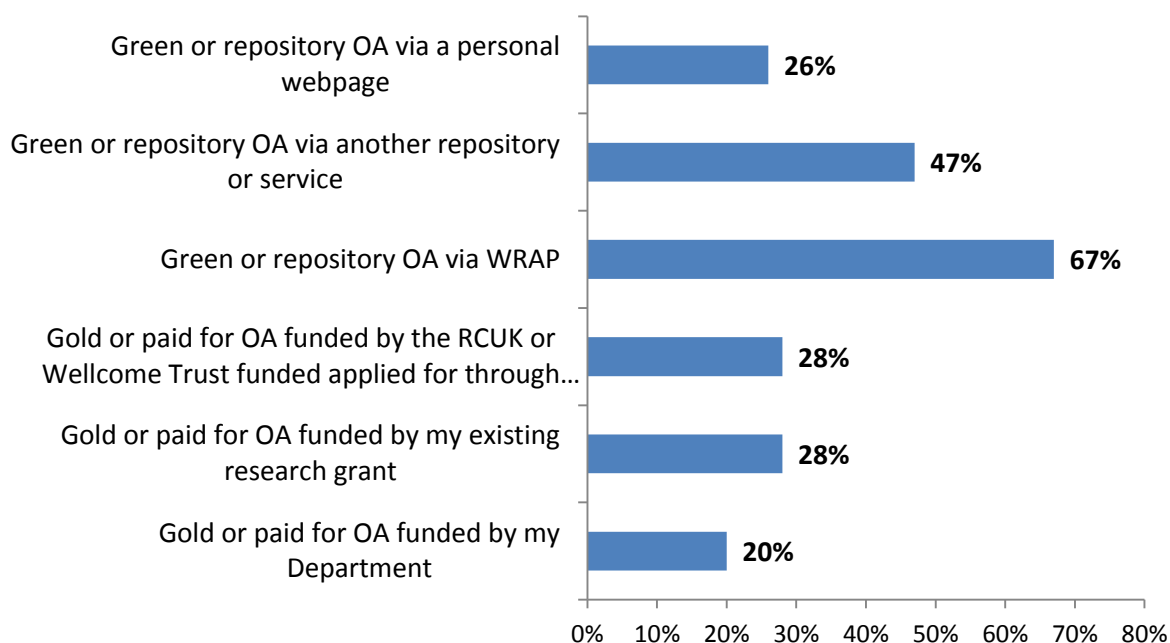**Figure 6: Views on using Open Access repositories**
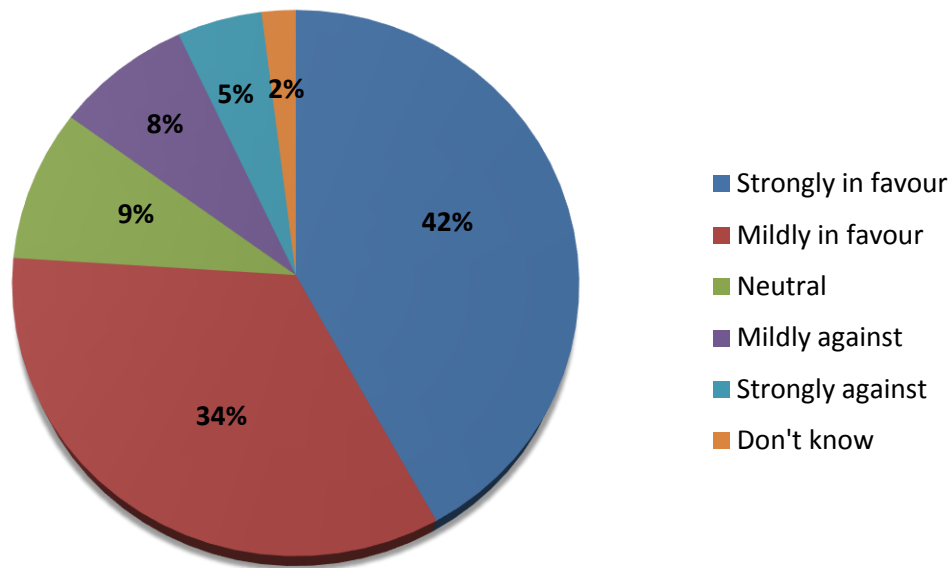
Perhaps this positive attitude towards repository use and the clear knowledge of WRAP could be harnessed to promote further knowledge of both WRAP and the HEFCE OA policy together (now that the policy is in force since the survey was released). This would allow staff to consider OA for their articles and as a reminder that WRAP will in any case be used for the next REF.

Previous experiences of making work OA

Most respondents had made their work OA in the past (71%). Others said they had not made work OA in the past but would like to in the future (16%), or that they needed to do so because the funder required it in the future (10%).

Figure 7 below shows the data for the OA routes respondents had used in the past (multiple response question), where most said Green or repository open access via WRAP (67%) and another significant number said they used another repository or service. Free text responses suggest that this could be ArXiv in the Physics Department. This is important to note given the fact ArXiv may not strictly achieve OA, and where there is reliance on ArXiv for achieving OA, staff should be aware of the issues around this.

Figure 7: The routes used to achieve Open Access (OA) in the past

Route	Percentage
Green or repository OA via a personal webpage	26%
Green or repository OA via another repository or service	47%
Green or repository OA via WRAP	67%
Gold or paid for OA funded by the RCUK or Wellcome Trust funded applied for through…	28%
Gold or paid for OA funded by my existing research grant	28%
Gold or paid for OA funded by my Department	20%

Copyright, licensing and permissions

Most respondents said they read the copyright transfer agreement (66%), though this does mean 1 in 3 from this survey does not.

Most said that authors should own the copyright of research publications (70%), with just 4% saying their employing institution should. 9% felt the publisher should own the copyright.

Most respondents also keep a copy of the accepted version of an article (94%).

Around 60% of the group had heard of Creative Commons licences. When asked which licences they had heard of (multiple choice question), 86% had heard of CC-BY, half had used CC-BY (52%), and nearly half were comfortable with the CC-BY licence for research papers they produced in the future. Given the make-up of the cohort, many will be familiar with one or both of the RCUK or WT policies, and therefore having to request a CC-BY licence themselves or via Library help to the publisher.

80% had transferred copyright to the publisher, and 43% were happy to transfer copyright to the publisher in the future.

Most respondents said they did not have difficulties in securing permission to use material they did not have the rights to (90%), and where there is a requirement to gain access to material which is under third-party copyright, for example an image in an article carrying a CC-BY licence, this indicates that this is a relatively simple process.

Colour and page charges

Many respondents said that they had not incurred additional colour charges (75%). A larger number said they had not incurred page charges (87%), suggesting neither colour or page charges represent a particular demand for additional financial resource.

The survey however incorporates views from 3 departments, and from 109 respondents. As a result, it is problematic to use these as a clear measure. Further work might enable a clearer understanding of the levels of colour and page charges, particularly given the fact these charges are often high, and could therefore be creating burdens on Departments that are not fully realised.
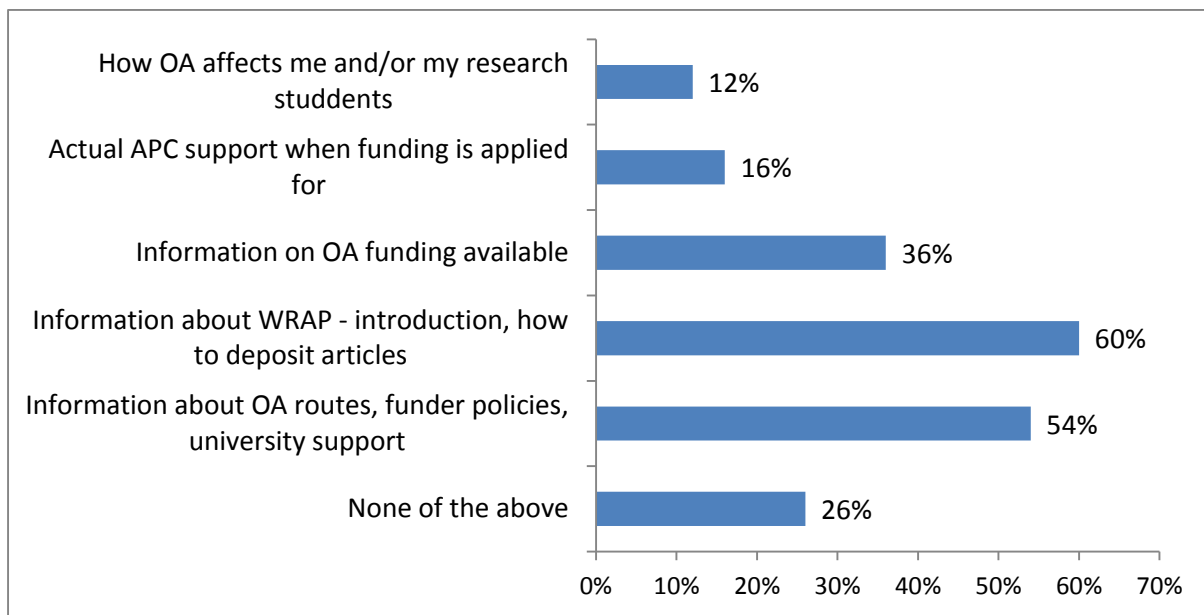
Support for Open Access

Respondents were asked to say which types of support they had been offered for Open Access, AND Figure 8 shows the data for this. Most said they had been offered introductory information about WRAP and how to deposit articles. A similar number had received combined information about OA routes, funder policies, and university support (54%). This suggests that the support work carried out by the WRAP Team and the OA Officer is reaching a good number of staff and with a range of OA topics, the caveat being around the survey sample and therefore how this reflects University-wide opinion.

Around a quarter of respondents said they had not received any OA support (28 respondents). Of these, 16 had made work OA. As the question was a multiple choice it is problematic to ascertain what is perceived to be 'support' i.e. whether this is financial, informational or something else, though the free text responses certainly suggest a need for additional financial support from the University for OA (see next paragraph) where some authors are not RCUK or WT funded.

Similarly, just 12% said they had received support for understanding how OA affects them and/or their research students.

Figure 8: Support received for Open Access (OA)

Final comments were captured in a further comments field to explore ideas about respondents' experiences of Open Access and/or the University support for OA. The main themes emerging from this are as follows:

Funding: comments were made around having the financial capacity to continue to pay for Gold OA, difficulties for research which was not funded by RCUK or Wellcome Trust, and where adding OA publications costs in the grant application with certain funder types, for example Government bodies or charities, was not considered possible or where if a grant was already small, the OA cost would make a grant application uncompetitive.

Processing APCs: there was some concern around the processes involved in APC payments in terms of the number of steps involved. A number of respondents mentioned the time spent working on publisher forms and/or 'going back and forth' between the various parties involved.

Findings from initial follow-up interviews

This small section provides an initial summary of the key findings from 3 follow-up interviews who volunteered a discussion during May 2014.

The interviews generally suggested support for Open Access, but with some caveats around the manner in which Open Access is being achieved in general. One interviewee for example suggested that they have used ArXiv for over 20 years ('since 1993') and therefore did not see why they needed to make work OA via a Gold route. The same interviewee was also concerned about the sustainability of Gold OA, and there was an implication that some journals were set up in order to profiteer from the Open Access model. This was also reflected in the free text question in the survey.

The interviewees generally agreed that the process of making articles available via the Gold OA route had been relatively straight forward, and were happy with the overall support they had received for this. When asked about website and email support, again the discussions suggested few changes beyond minor operational details, for example adding OA-related links to the email signature of the Open Access email.

Recommendations

The recommendations reflect the areas for development identified by the combined responses to the survey and the discussions which took place during the three follow-up interviews. Broadly the recommendations fit into 2 broad themes as follows, the themes themselves reflecting the flavour of discussions and free text responses as well as the more quantitative responses.

Funding and payment processes

1. **Undertake a review of funding available for Gold OA APCs**

A number of issues were raised around ineligibility for current RCUK and Wellcome Trust block grants. A review could specifically look at alternative avenues for funding for these researchers.

2. **Examine ways to develop the processes for payment of APCs**

This would help to reduce the number of steps between the Library, RSS, academic departments and the publishers

3. **Further investigate colour and page charges**

The make-up of the cohort (primarily being from three departments) and overall number of respondents made the analysis less clear, and it may be worth re-visiting this to gain a wider understanding of the levels of colour and page charges

Advocacy

4. **Increase advocacy for the HEFCE OA policy and WRAP**

5. **Increase the level of advocacy specifically around the benefits of OAJ's and author choice**

To address specific concerns around the impact factors of OAJ's and also to address concerns where authors might believe they are forced to publish in particular journals as opposed to the journal which is right for the research

6. **Consider how we communicate messages about other repositories**

The Library does not discourage use of other repositories. Academic staff should perhaps be aware of the instances where some repositories may not actually be achieving OA. Some work could scope out how we communicate this effectively to researchers.

Discussion and Conclusions

This survey has met the aims of understanding more about OA and OA support, and how we can align support with needs 'on the ground.' It is clear that there is support amongst the academic community for Open Access, though concerns remain around funding and payment processes. There is also a need to further develop some areas of advocacy. Similarly, there is much support for the use of repositories, and indeed staff do make work OA via both Green and Gold routes, often via the Green route and WRAP, or via other repositories.

The recommendations will now be taken forward to support the development of OA services with a view to analysing other funding avenues for OA beyond the RCUK and Wellcome Trust grants, reducing burden at particular 'pinch-points' in the APC process, increasing advocacy for particular elements of OA and gaining additional insight into the level of charges levied by publishers in addition to the APC, namely colour and page charges.

Acknowledgements

This report would not have been possible without the involvement of our 109 respondents, and the people who were interviewed during May 2014. Thank you also to the Scholarly Communications Oversight Group who reviewed the survey at developmental stages and signed-off the final version.