

Preamble

[We have tested this questionnaire and have found that it can realistically be completed in c.15 minutes, longer if you make narrative responses (which we welcome). All links in this questionnaire open in a new window. Square brackets are used for completion advice and instructions.]

The recent Finch report – all of whose conclusions have been accepted by the UK government – recommended a move to open access (OA) for UK research, with a focus on Gold OA in which the costs of publication may be met by authors or their organisations through Article Processing Charges (if collected by the journal in question). This transition will present challenges and opportunities to all stakeholders across the research lifecycle, from institutions and researchers to scholarly societies, funders and publishers.

This questionnaire - which opened on **9 October** and will close on **23 October** - has been issued to inform work to create resources to provide information, advice and guidance for stakeholders – and in particular for scholarly societies – on [moving to and managing Gold Open Access](#). This work has been commissioned by the JISC-convened [Open Access Implementation Group](#) from the Association for Learning Technology (ALT).

The primary purpose of the questionnaire is to help the ALT team learn more about the information, advice and guidance needs of stakeholders concerning Gold OA, so that the team can prepare appropriate support materials. A secondary purpose is to learn more about stakeholders' general perceptions of the overall path to OA that has now been laid down for the UK.

Definitions

Open Access (OA) is barrier-free access to online works and other resources.

Gold OA is OA through journals, regardless of the journal's business model.

Green OA is OA through repositories, which are online databases of OA works.

Gratis OA is access that is free of charge but not necessarily free of copyright and licensing restrictions.

Libre OA is access that is free of charge (like Gratis OA) *and* free of at least some copyright and licensing restrictions, potentially enabling material to be reused for other purposes, including as data for research.

Article processing charge (APC). A fee charged by some OA journals when accepting an article for publication, in order to cover the costs of publication. While the bill typically goes to the author, the fee is usually paid by the author's funder or employer, not out of the author's own pocket.

These definitions are derived from [Open Access, by Peter Suber](#) published by the MIT Press in 2012. See also the 17 July 2012 [Research Councils UK Policy on Access to Research Outputs](#), which contains the following: "*The Research Councils define Open Access to mean unrestricted, on-line access to peer reviewed and published scholarly research papers. Specifically a user must be able to do the following free of any publisher-imposed access charge: 1. Read published research papers in an electronic format. 2. Search for and re-use (including download) the content. Open Access therefore allows unrestricted use of manual and automated text and data mining tools, as well as unrestricted re-use of content with proper attribution – as defined by the Creative Commons CC-BY license.*"

How the questionnaire is structured

The questionnaire is in five main parts.

- The first asks you about you and about the focus of your work.
- The second concerns your understanding and experience of OA and where you look for information and advice about OA generally.
- The third part concerns your views about OA .
- The fourth contains some specific questions for respondents who are directly involved in the publishing activities of scholarly societies.
- The fifth part asks you to comment on the kinds of information, advice and guidance about moving to and managing Gold OA that might be useful.

Depending on your role, the extent to which you make responses to the questions may vary. For this reason nearly all questions include a "Don't Know" (D/K) or "Not Applicable" (N/A) option.

Important notes

1. Your name and contact details – if you provide them – will only be available to the ALT team conducting this work (Seb Schmolter, Caroline Sutton, David Jennings and Nicky Ferguson). The ALT team will only use the data you provide for the purposes of this work. An anonymised version of the data will be made available to the Open Access Implementation Group (OAIG), and OAIG may allow others to use the anonymised data for research purposes in the future.
2. If we include the narrative comments of an identifiable individual respondent when reporting on our work to OAIG or in the resources we produce through this project, we will **only** do this having obtained that individual's express permission. (We offer you a range of permission options at the end of the questionnaire.)
3. If you would like to view, and possibly print, a PDF of the whole questionnaire before completing it, you can do so by [clicking on this link](#) [opens in a new window].

*1. Would you like ALT to send you an email when the information, advice and guidance resource is published?

- Yes please
- No thanks

Part 1: About you

2. Your full name

3. Your email address (please enter this with care)

*4. Are you responding:

- as an individual?
- on behalf of your organisation?

5. The name of your organisation if you have one

*6. In which country are you mainly based?

***7. What is your gender?**

- Female
- Male
- Prefer not to say

***8. Which category below includes your age?**

- 25 or younger
- 26-35
- 36-45
- 46-55
- 56-65
- over 65

**9. If you work for an organisation, which of the following best describes its size?
(Please use the final option if you do not work for an organisation.)**

- Organisation with more than 1000 staff
- Organisation with 100 to 999 staff
- Organisation with 10 to 99 staff
- Organisation with 1 to 9 staff
- I do not work for an organisation

10. If you work for an organisation, is it

- Private sector?
- Public/state sector?
- University/other Higher Education?
- Not-for-profit or NGO?
- Other [please specify]

11. If you work for an organisation, which of the following categories best describe your organisation? [Please choose one or, at the very most, three.]

- Organisation that undertakes or hosts research
- Research funder
- Scholarly society
- Large publishing business (for example, Elsevier, Springer, Taylor and Francis, Wiley)
- Smaller or medium sized publishing business
- A publishing business exclusively based on OA
- Other [in which case please indicate briefly in the text box]

12. If you are in employment, what is your main job title?

***13. Which of the following best describe your role(s) [Please select only those that apply to you in what you consider to be an important way.]**

- Employed in scholarly publishing
- Managing relationships with scholarly societies for a publisher
- Journal editor
- Journal editorial board member
- Scholarly society employee such as a publications manager
- Head of a scholarly society
- Trustee or senior voluntary office- or role-holder in a scholarly society
- "Ordinary" member of a scholarly society
- Researcher
- Researcher about OA
- Early career researcher
- Manager of researchers or leader of team(s) of researchers
- Manager of research-related services
- Commissioner or funder of research
- Librarian
- Responsible for running an OA repository
- Manager of a fund from which article processing charges will be paid
- Other [in which case summarise briefly in the box below]

***14. If you have a disciplinary focus, in which one of the following broad categories is it mainly concentrated? [Please select one or, at the very most, three from the following categories, which are based on the 36 Units of Assessment in the 2014 UK Research Excellence Framework, grouped by Main Panel. If you have no disciplinary focus please select the final option.]**

- 1 Clinical Medicine
- 2 Public Health, Health Services and Primary Care
- 3 Allied Health Professions, Dentistry, Nursing and Pharmacy
- 4 Psychology, Psychiatry and Neuroscience
- 5 Biological Sciences
- 6 Agriculture, Veterinary and Food Science

- 7 Earth Systems and Environmental Sciences
- 8 Chemistry
- 9 Physics
- 10 Mathematical Sciences
- 11 Computer Science and Informatics
- 12 Aeronautical, Mechanical, Chemical and Manufacturing Engineering
- 13 Electrical and Electronic Engineering, Metallurgy and Materials
- 14 Civil and Construction Engineering
- 15 General Engineering

- 16 Architecture, Built Environment and Planning
- 17 Geography, Environmental Studies and Archaeology
- 18 Economics and Econometrics
- 19 Business and Management Studies
- 20 Law
- 21 Politics and International Studies
- 22 Social Work and Social Policy
- 23 Sociology
- 24 Anthropology and Development Studies
- 25 Education
- 26 Sport and Exercise Sciences, Leisure and Tourism

- 27 Area Studies
- 28 Modern Languages and Linguistics
- 29 English Language and Literature
- 30 History

- 31 Classics
- 32 Philosophy
- 33 Theology and Religious Studies
- 34 Art and Design: History, Practice and Theory
- 35 Music, Drama, Dance and Performing Arts
- 36 Communication, Cultural and Media Studies, Library and Information Management

- There is no disciplinary focus to my work

15. If you are an active researcher, which of the following statements apply? [Please select any that apply currently and substantially.]

I undertake research:

- that is funded by a UK Research Council
- that is funded through an internal bidding process within my institution
- mainly in time allocated to me as part of my normal job
- mainly in my own time
- that is European-funded
- that is funded by business
- that is commissioned by public sector and/or Government agencies and/or NGOs
- that is funded by major research funding charities

Part 2: Your understanding and experience of OA

In this section we ask you to tell us about your understanding and experience of Open Access generally.

***16. To what extent do you believe you have a full understanding of Open Access matters overall?**

I have a very full understanding I have a good understanding I have a little understanding I have a very limited understanding



***17. Please indicate the extent of your involvement with OA by selecting all the statements that apply for you. [Please select just the final checkbox if none of the statements apply in your case.]**

- I have used material from an OA repository
- I have used material from an OA journal
- I have deposited material in an OA repository
- I have published in an OA journal
- I have been involved in setting up, managing, or working on or with an OA repository
- I have been involved in setting up, managing, or working on or with an OA journal
- I have been involved in changing a journal's publication model from conventional to Gold OA
- I am or will be in the near future involved in considering whether a journal should or could be moving to OA
- I have heard a lot of talk about OA in the past year but am still unclear about how it works or what its implications will be
- None of these options apply in my case

18. Please use the optional free text box below to tell us about other involvements with OA that you have had or expect to have in the near future.

***19. Please indicate the extent if any to which the following sources of information and advice about OA are relevant to you. [If you have no knowledge of the source, please select Don't Know.]**

	Very relevant to me	Moderately relevant to me	Of little relevance to me	Not relevant to me	Don't Know
The JISC Open Access Implementation Group	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My own scholarly society	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Association of Learned and Professional Society Publishers (ALPSP)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The International Association of Scientific, Technical & Medical Publishers (STM)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The publisher(s) of the journal(s) in which I have an involvement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Important thinkers on the subject of OA whose work I follow	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The OA Tracking Project	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The OA Scholarly Information Sourcebook	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Directory of Open Access Repositories	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Registry of Open Access Repositories	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
SHERPA RoMEO	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Open Access Scholarly Publishers Association (OASPA)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My employer	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The professional organisation(s) to which I belong	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My personal networks	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The "Times Higher" (THE)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Society of College, University and National Librarians (SCONUL)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Research Councils UK	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Research Council that I deal with most	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Centre for Research Communications	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Discipline- or theme-based blogs that discuss scholarly publishing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please use the optional free text box below to list other sources of information and advice about OA that you have found to be relevant to you.

Part 3: Your views about OA

***20. Please tell us the extent to which you agree or disagree with the following statements. [If you have no knowledge of the issue to which a statement relates, or if the statement does not apply to you, please select Don't know and/or Not applicable, as the sense dictates.]**

	I agree very strongly		I neither agree nor disagree		I disagree very strongly	Don't know and/or Not applicable
1. Articles resulting from publicly funded research should be made freely available to anyone who wishes to access them.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. As scholarly communications are now digital, a major change in the conventional model for scholarly publishing is inevitable.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. I can always get access to the journal articles I need.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4. I rarely notice whether or not an article is Open Access.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5. The UK's current policy focus on Open Access is not relevant to me.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6. Because nearly everyone I know in my field has access through their organisation to the journals that matter to them, a move to Open Access is unimportant.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7. If a journal moves to Gold Open Access, researchers will only continue to publish there if they have access to funds to pay the Article Processing Charges.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8. Faced with publishing Gold in a journal that charges Article Processing Charges or one that does not I would generally prefer to publish in a journal that does not charge Article Processing Charges.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
9. I would be willing personally to pay Gold OA charges for my work to be published, if the fee were reasonable.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
10. When an author chooses where to publish, a journal's prestige is more important than whether or not the journal offers Gold Open Access.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
11. At this stage of my career I am nervous that the move to Gold Open Access may have an adverse impact on my ability to get published.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
12. My institution will be reluctant to cover Article Processing Charges for researchers whose work is not funded by a grant which includes the costs of APCs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
13. The introduction of price considerations into decisions about where to publish interferes with academic freedom.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
14. A shift from selling subscriptions to charging Article Processing Charges will have an adverse affect on many societies' revenues.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
15. I would prefer it if researchers simply deposited their articles in a Green Open Access repository, irrespective of where they are published.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please use the optional free text box below to comment more generally as you see fit on the issues addressed by this question.

Part 4: For those who are directly involved in the publishing activities of...

If you are not involved the publishing activities of scholarly societies please select the Next button at the foot of this page.

This questionnaire has been issued to inform work to create resources to provide information, advice and guidance - in particular for scholarly societies – on moving to and managing Gold Open Access. Your responses to the seven questions in this section will help us frame the information, advice and guidance in a way which will support societies in the transition.

21. To what extent is your society currently reliant on *royalty* income from journal publishing for its financial health?

Very reliant

Quite reliant

Somewhat reliant

Not reliant

Don't know and/or Not applicable

Feel free to supplement your response to this question in the free text box below.

22. To what extent is your society currently reliant on *direct* income from journal publishing for its financial health?

Very reliant

Quite reliant

Somewhat reliant

Not reliant

Don't know and/or Not applicable

Feel free to supplement your response to this question in the free text box below.

23. What is the approximate annual turnover of your society overall in £? [Please enter a whole number without commas or currency signs, skipping the question if you do not know.]

24. What is the approximate percentage proportion of the turnover of your society that is associated with scholarly publishing? [Please enter a whole number without commas or percentage, skipping the question if you do not know.]

25. To what extent has your society made changes to its plans and policies as these relate to its journal(s) and OA – whether or not these have been prompted by the UK Government’s adoption of the Finch Report’s recommendations?

Extensive changes made	Some changes made	Limited changes made	No or next to no changes made	Don't know and/or Not applicable
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Feel free to supplement your response to this question in the free text box below.

26. If your society has made changes to plans and policies as these that relate to its journal(s) and OA, please provide a thumbnail sketch of these changes in the optional free text box below.

27. If during November you would be willing to comment informally on an outline of the resources that we will be producing, please check this box.

I will be happy to comment.

Part 5: Resources

***28. Here are some examples of the kind of information, advice and guidance about moving to and managing Gold OA that might be useful. Please rate each of them from your own perspective. [If you have no view about a particular example, please make this clear by checking the right hand radio-button.]**

	Very useful to me	Useful to me	Somewhat useful to me	Not useful to me	I have no view on this example
1. How to assess the impact of Gold OA on a scholarly society.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. Revenue streams and business models for societies converting to Gold OA.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. Publisher relationships and negotiations for societies converting to Gold OA.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4. Case studies of how scholarly societies have gone about the move to Gold OA.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5. How to retender for a new publishing agreement.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6. A forum or community of practice for scholarly societies to enable them to compare experiences and share knowhow.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7. A forum or community of practice for anyone with an interest in scholarly publishing to enable them to compare experiences and share knowhow.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8. A list of free-to-use support resources that deal with the main issues and challenges involved in moving to OA.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
9. An outline of the differences between different kinds of Open licence and the restrictions that different Open licences put on reuse.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
10. An outline of the interplay between Gold OA and Green OA and the practical considerations relating to these two ways of making scholarly material open.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
11. A selected, annotated & updated list of online resources which discuss and debate OA, its different forms, and the policy, financial and social implications of the widespread adoption of OA.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please use the optional free text box below to supplement your response to the previous question, for example to tell us about any other kind of information, advice and guidance on moving to and managing Gold Open Access that you would find useful in your role.

Part 6: Permissions

Finally, a reminder that your name and contact details – if you provide them – will only be available to the ALT team conducting this work (Nicky Ferguson, David Jennings, Seb Schmoller and Caroline Sutton), and that the ALT team will only use the data you provide for the purposes of this work. An anonymised version of the data will be made available to the Open Access Implementation Group (OAIG), and OAIG may enable others to use the anonymised data in the future.

If we include the narrative comments of an identifiable individual respondent when reporting on our work to the OAIG or in the resources we produce through this project, we will **only** do this on the basis of the option you select below.

***29. Please select one of the following options.**

- a) you may quote my comments and attribute them to me without reference back to me;
- b) you may quote my comments and attribute them to me, but only after checking with me;
- c) you may quote my comments but anonymously, not attributing them to me;
- d) you may not quote any of my comments, but you may use them as background information..

Many thanks for taking the time and trouble to contribute to this work.

In case of difficulty, please [email Seb Schmoller](#).

Nicky Ferguson, David Jennings, Seb Schmoller and Caroline Sutton

9 October 2012