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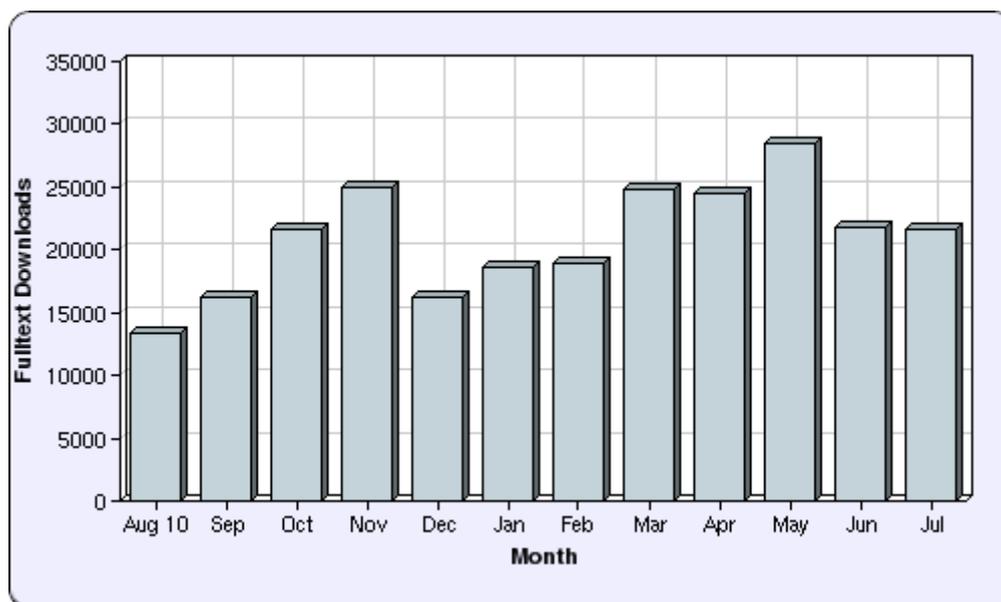
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# Report on the ‘Unlocking Attitudes to Open Access’ Survey, May-July 2011

## Introduction and Background

The Warwick Research Archive Portal (WRAP), the University of Warwick’s full text, open access repository has entered its third year of operation and has just been expanded to include the University of Warwick Publications service. The Publications service will complement WRAP by containing metadata records for items that are unsuitable for inclusion in WRAP for legal or other restrictions. The majority of records in the Publications service so far have been populated by a bulk upload of records from Thomson Reuter’s Web of Knowledge service and is now being expanded with author submitted content. At the start of August 2011 WRAP had grown to hold over 5000 full text items representing 14.1% of the total number of records in the Publications service. The service was bringing in more than 20,000 visits a month and the 5000 items were being downloaded more than 20,000 times a month for seven of the last twelve months.



This report details the results of a survey conducted at the University of Warwick between May and July 2011, into researcher’s attitudes to the open access movement, open access policies and intellectual property. The survey was run as part of a nationwide project coordinated by the Repositories Support Project (RSP)<sup>1</sup>, a national body dedicated to the support and promotion of the UK’s network of open access research repositories. The survey was conceived by the University of Huddersfield as part of their promotion of the 2010 International Open Access Week and the results of the Huddersfield survey are freely available<sup>2</sup>. A total of 23 institutions are taking part in the survey and aggregated results will be made available by the RSP later in 2011.

<sup>1</sup> Repositories Support Project; <http://www.rsp.ac.uk/> (accessed 15/09/2011 16:33)

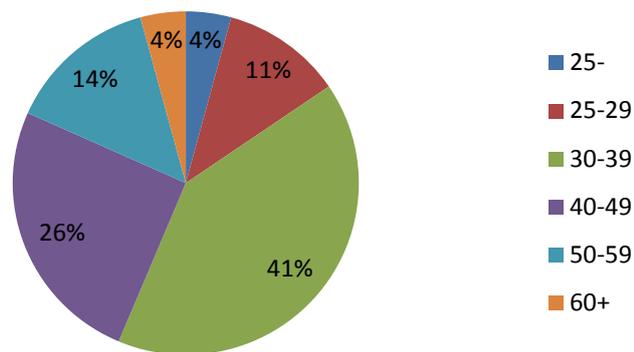
<sup>2</sup> Stone, Graham (2010) Report on the University Repository Survey, October-November 2010. Research Report. University of Huddersfield, Huddersfield. (Unpublished). Available at <http://eprints.hud.ac.uk/9257/> (accessed 15/09/2011 16:33).

As part of the report I will present a series of recommendations for future advocacy and other developments for WRAP and the Publications service as well as touch on some of the specific questions put to us by the researchers completing the survey<sup>3</sup>.

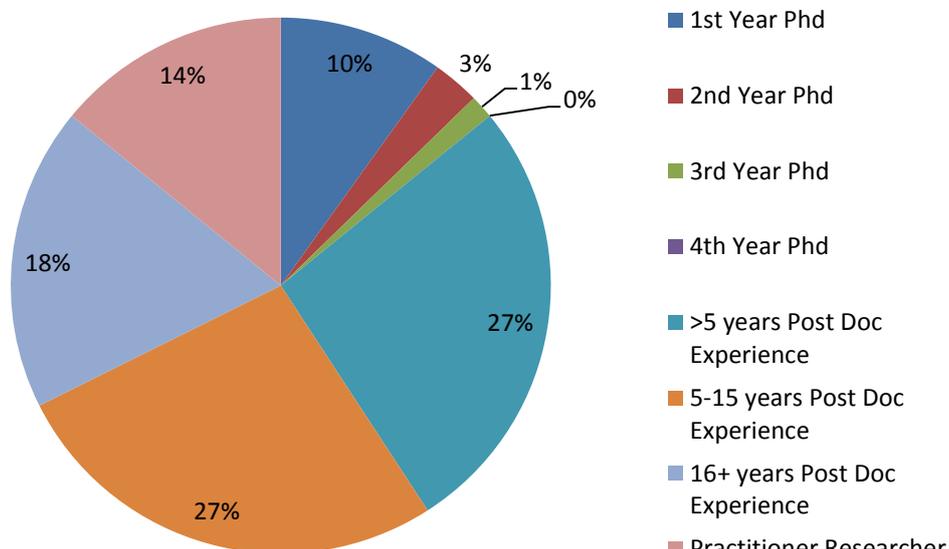
## The Researchers

The survey received a total of 71 responses from researchers at all stages of their career and from all disciplines. One addition we did make to the survey, as it was published by the University of Huddersfield, was the addition of a '25 and under' age bracket, this was in response to an enquiry about the survey via the Library Twitter account (@warwicklibrary)<sup>4</sup>.

### 1. Your Age Group



### 2. Where are you in your Research Career?



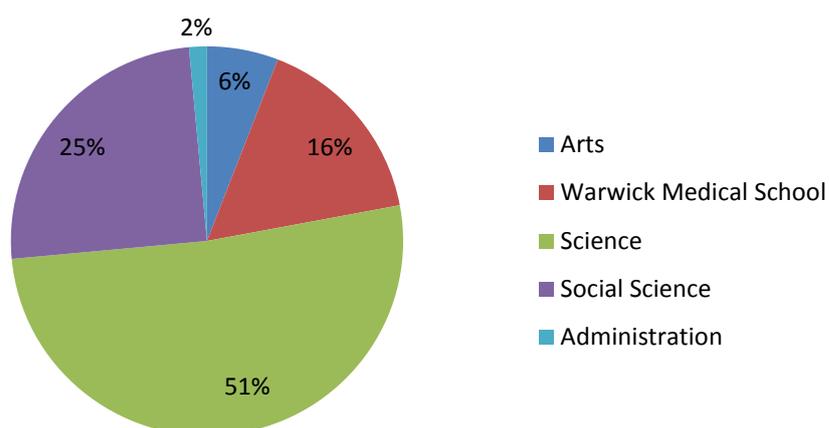
<sup>3</sup> Please visit <http://go.warwick.ac.uk/oaw/rpsurvey> for fuller answers to some of the questions raised by the survey.

<sup>4</sup> Original message read: "@warwicklibrary Do you consider all Warwick researchers to be over 26? I'm 24 and 2nd year PhD; there's no category for under-25s!" Sent 26/05/2011 10:21:17 UTC.

14% of responses came from postgraduate research students and the majority of responses (54%) came from researchers with 1-15 years of post doctoral experience.

Respondents came from all faculties of the University with the highest response rate (51%) from the Science Faculty. We had one response (2%) from the administrative section of the University and this response represents a former researcher now working in the Library.

### 3. What school/department are you in?



Looking at the content in WRAP<sup>5</sup> we can see that, with the exception of the Faculty of Social Sciences the level of engagement with the survey follows the pattern of engagement with WRAP.

Faculty	% of items in WRAP
Arts	3%
Warwick Medical School	11%
Science	38%
Social Science	47%
Administration	1%

The reason for this disparity may be that as part of the NEREUS project<sup>6</sup> we agreed to host a number of working paper series produced by the Economics Department, Warwick Business School and the Centre for the Study of Globalisation and Regionalisation. This has the consequence of increasing the amount of content for the Faculty of Social Sciences in a way not necessarily in line with the departments' level of engagement.

### Views on the Open Access Movement

The Open Access Movement has risen to prominence in the last decade as a way of removing barriers to the access to information<sup>7</sup>. Information includes research outputs, which we are most

<sup>5</sup> For the purposes of this analysis we have discounted bibliographic content from the Publications service in the analysis as this content has largely been harvested from external sources rather than deposited by researchers making it less representative of engagement with the repository services offered by Warwick.

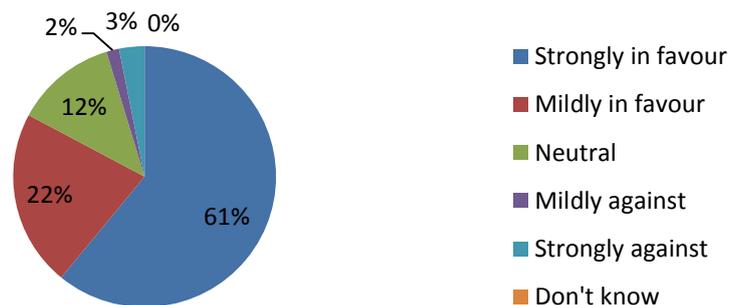
<sup>6</sup> The NEREUS project; <http://www.nereus4economics.info/> (accessed 15/09/2011 16:35)

<sup>7</sup> For more information on open access and open access at Warwick specifically please see the University's open access web pages; <http://go.warwick.ac.uk/lib-openaccess> (accessed 15/09/2011 16:34)

concerned with in WRAP, but also to other types of content including government and scientific data, teaching and learning objects and grey literature. The second part of the survey looked at the attitudes to three aspects of open access; open access principles, open access repositories (institutional or subject based) and open access publishing.

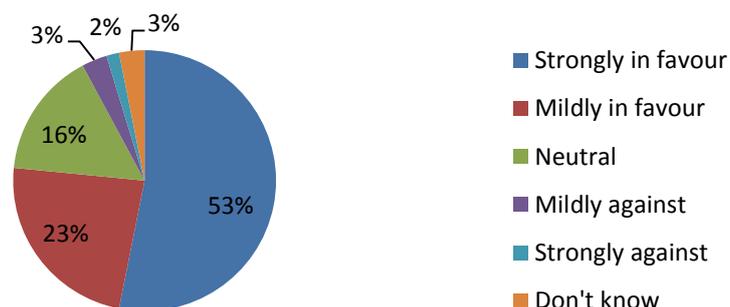
In the first section respondents were overwhelmingly (83%) in favour of the principles of open access, with another 12% neutral on the topic. Interestingly there were no responses for the 'Don't know' option in this section of the survey indicating all respondents had an opinion on the matter.

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



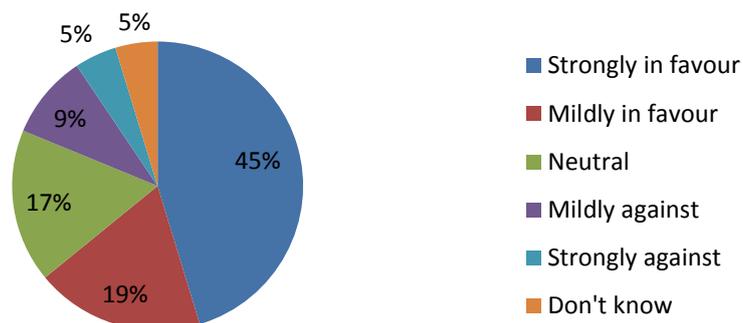
The second section showed a strongly favourable response for open access repositories. While not as strong as for the previous question there were still 76% of responders in favour of using open access repositories. In contrast to the above question here 3% of responders answered 'Don't know' to this question and of the responders against the use for open access repositories two were from the Science Faculty, including the responder who was strongly against the principles of open access, and one was from the Faculty of Arts.

#### 4b. How do you feel about using Open Access Repositories?



Open access publishing was a more controversial issue, researchers were still broadly in favour (64%) but there was a much larger negative response as well as a larger number of unsure researchers.

#### 4c. How do you feel about publishing in Open Access Journals?



From the additional comments there were a number of concerns raised; about the quality of open access journals; about the demands of the Research Evaluation Framework (REF) and how this will weigh open access material; distaste for “paying to publish”. Open access publishing was felt to be a young process and hadn’t gained the reputation afforded to other journals; this was also reflected in researcher’s comments. One researcher made the point that they did not think that the institution valued open access publications for internal processes, such as promotion competitions. Another mentioned the pressure placed on researchers to publish in highly ranked journals.

#### Recommendations:

1. **As researchers are positive about open access keep the advocacy focused on the practical details of making work available rather than the principles.**
2. **Advocacy needs to be used to address concerns about the quality of open access journals and examples of high impact open access journals need to be promoted better.**
3. **Clarification to be sought on the Institution’s position on the use of open access journals in internal processes.**

### Research Funding

Over the last six years all of the UK Research Councils and a number of other research funders, including the Wellcome Trust, have mandated that researchers provide open access to the outputs of publically funded research<sup>8</sup>. This follows a recommendation in 2004 by the House of Commons’ Science and Technology Select Committee<sup>9</sup>. The two main routes to open access availability are either through an open access repositories like WRAP, this route is often referred to as ‘green’ open access or ‘self-archiving’. The second route, or ‘gold’ open access, is through a paid for open access option in hybrid journals (those that publish both open access articles and subscription only articles) or in purely open access journals such as those published by the Public Library of Science<sup>10</sup> or

<sup>8</sup> A list of funders and information on their individual mandates can be found in the SHERPA/JULIET service; <http://www.sherpa.ac.uk/juliet/> (accessed 15/09/2011 16:37)

<sup>9</sup> House of Commons. Science and Technology Committee (2004). Scientific Publications: Free For All? Tenth report of session 2003-2004. London : HMSO, Paragraph 117. Available at: <http://www.publications.parliament.uk/pa/cm200304/cmselect/cmsctech/399/39902.htm> (accessed 15/09/2011 16:37).

<sup>10</sup> Public Library of Science; <http://www.plos.org/> (accessed 15/09/2011 16:40)

BioMed Central<sup>11</sup>. Many research funders have also stated their willingness to cover the cost of open access publishing, if the cost is included in the grant application.

In this section researchers were asked if they could apply for a grant from their funding body (e.g. EPSRC/NERC/Wellcome Trust) to cover open access publishing charges. 58% of responders stated that they could make provision for this in their grant with 34% responding that they couldn't and 14% being unsure. When asked if Research Funders allowed them to make provision for open access charges in their grant would they consider doing so, 69% said that they would consider doing so. 16% of responders would not consider applying for this funding as part of their grant with 15% being unsure.

Some of the concerns expressed<sup>12</sup> here were related to the perceived quality of open access journals (no mention of the hybrid journals) and concerns that any addition to the cost of the grant would affect the chances of its success. Another issue raised was in relation to the timing of the publication and the fact that this often comes after the end of the project and so falls outside the scope of the grant.

#### Recommendations:

1. Continued targeted advocacy about the requirements of funders, especially in the current climate where compliance may help future grant applications.
2. Review the timing of advocacy in relation to the research cycle and investigate ways to raise the profile of funding for open access publishing earlier in the process.

### WRAP, the University Repository

In this section the respondents were asked about WRAP, the University's institutional repository. 65% of respondents had heard of the repository and of those respondents 59% were making their publications available through WRAP. Item types being made available were:

Item Type	No. of Replies (%)
Journal Articles	22 (67%)
Book Chapters	4 (12%)
Books	0 (0%)
Working Papers	2 (6%)
Conference Items	3 (9%)
Other	2 (6%)

There is a heavy bias here towards the journal article, this may be in part because of the relative ease of clearing the copyright for journal articles thanks to the SHERPA/RoMEO<sup>13</sup> service but may also reflect the fact that initially, due to staffing levels, WRAP placed a strong emphasis on the deposit of journal articles. One of the recent changes in WRAP policy has been to open up the range of material types that we can accept within the system and this will over time, encourage the deposit of a wider range of material. The majority of responders (63%) who are depositing in WRAP

<sup>11</sup> BioMed Central; <http://www.biomedcentral.com/> (accessed 15/09/2011 16:40)

<sup>12</sup> Please visit <http://go.warwick.ac.uk/oaw/rpsurvey> for fuller answers to some of the questions raised by the survey.

<sup>13</sup> SHERPA/RoMEO; <http://www.sherpa.ac.uk/romeo/> (accessed 15/09/2011 16:40)

are doing so through the WRAP team; again this is due to the fact that WRAP was initially a mediated service. A self-archiving option is now available and this needs to be further promoted to the Warwick research community.

Reasons given for not contributing material can be broadly gathered into the following categories:

Reason	No. of replies (%)
Using a Subject/Departmental Alternative	4 (31%)
Don't see the value	4 (31%)
Time factors	3 (23%)
No publications yet	1 (7.5%)
Research undertaken at a previous institution	1 (7.5%)

It is interesting to note that, of the reasons for not uploading items to WRAP, none involved copyright issues or concerns. Responses indicated that some material was being made available as open access in alternative repositories to WRAP, either subject based or in our Department of Computer Science's repository. 21 responders are making their publications available in another way, ArXiv being the most popular archive in this case, and 12 stated this was instead of depositing with the University repository, WRAP.

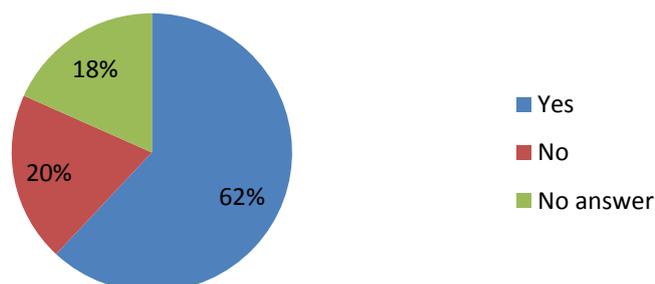
#### Recommendations:

1. Further advocacy is needed to raise the profile of WRAP and the new Publications service with departments who have not yet been reached.
2. Increased advocacy on the range of material that WRAP is now equipped to handle as well as the ability of researchers to engage with the system directly.

### Copyright

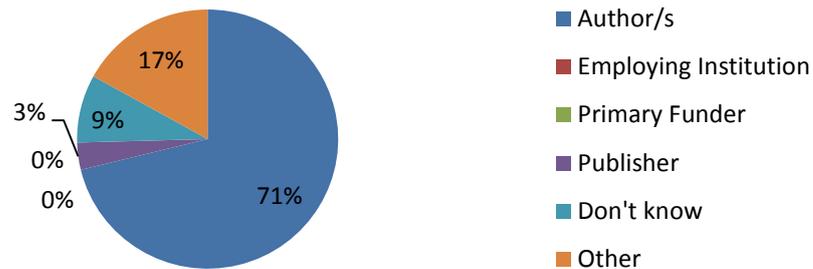
In this session researchers were asked about intellectual property (IP); the IP of their own material, where this should be held and how it was transferred. When asked about the process of transferring the copyright of their work to publishers (in the main) 44 (62%) responders stated they **did** read any copyright transfer policy they were asked to sign with 14 (20%) responding that they **did not** read the copyright transfer policy.

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



As a follow up researchers were asked who 'should', not who does but who *should*, own the copyright of research publications. 71% of responders said that the copyright of the article should remain with the author. 9% of responders were unsure as to who should own the copyright but none of the responders felt that the copyright to research publications should be held solely by the 'Employing Institution' or by the 'Primary Funder'.

### 16. Who do you think 'should' own the copyright of research publications?



'Other' options were suggested by 17% of responders, notable answers included:

- "Generally the Primary Funder but it depends if there are elements of IP tied up in the research - then there must be a medium for identity and gain"
- "The public"
- "Should be shared by author and funder"
- "[S]hared between authors, publishers and funders"
- "I am in favour of attribution rather than ownership and that intellectual property of all kinds should be a community resource."
- "Authors, but it should be 'Copyleft'"<sup>14</sup>
- "I don't really care as long as there is either a successful business model for publishers (so they can continue to publish) or an effective and recognised alternative"

As only 3% of responders believed that copyright 'should' rest with the publisher this suggests that those who did read the copyright transfer policy did not, necessarily, agree with what they were signing.

#### Recommendations:

1. **Expand the range of advice available on negotiation tactics available for researchers wishing to alter the copyright agreements they sign with publishers as well as on the rights that authors retain if they sign the standard agreement.**

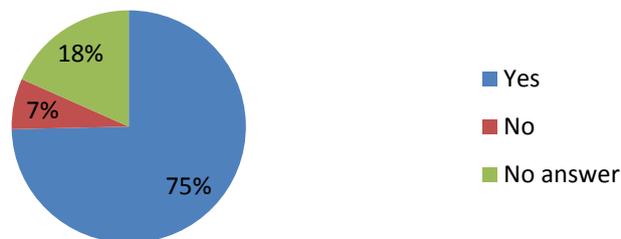
<sup>14</sup> 'Copyleft' refers to a system whereby if a work is made available for free by the intellectual property holder then all subsequent versions and modifications of this work must also be made available for free. This principle is behind the GNU GPL software licenses (<http://www.gnu.org/licenses/gpl.html>) and the Creative Commons 'Share-Alike' licenses (<http://creativecommons.org/>). A more detailed description of 'copyleft' by the Free Software Foundation can be found here: <http://www.gnu.org/copyleft/copyleft.html> (accessed 15/09/2011 16:49).

2. Investigate ways to allow copyright holders to specify a Creative Commons license for their work in WRAP if desired.

## Publication of Research Findings

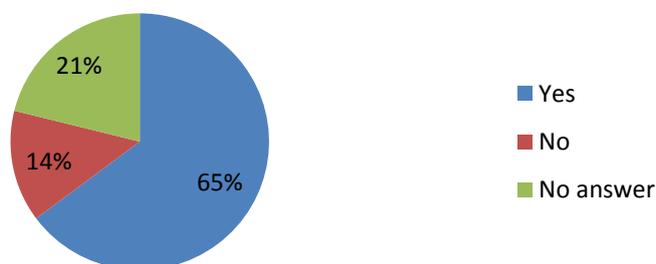
Once researchers have signed the standard copyright transfer agreement if they want to make their work available via the 'green' open access route they are restricted by the copyright transfer policy as to which version of their article they can use. The most common versions they are permitted to use are the 'Author's original'<sup>15</sup> and the 'Accepted'<sup>16</sup> version. One of the issues we have come up against in trying to make work available is that some authors discard these versions once the 'version of record'<sup>17</sup> is made available. From the results of our survey 75% of researchers stated that they do keep the 'accepted' version of their work.

### 17. 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?



The WRAP team has collected anecdotal evidence that suggests researchers have some concerns about the quality of the 'accepted' version and reservations with making this version available. Despite this, a follow up question indicated that 65% of responders would be happy to submit this version to a repository like WRAP. This is hopeful for the future growth of content hosted by the repository.

### 18. Would it be acceptable to you that an "author final version" is held in the Repository?



<sup>15</sup> The version deemed to be of sufficient quality to be submitted for peer review, but before any formal review process, also known as the 'submitted' version or 'preprint'. See the "VERSIONS Toolkit" for more information: <http://www2.lse.ac.uk/library/versions/> p. 14 (accessed 15/09/2011 16:50).

<sup>16</sup> The version produced after peer review (with corrections) but before any publisher copyediting. Ibid.

<sup>17</sup> Final published version complete with publishers formatting and templates. Ibid.

## Recommendations:

1. Continued work on the consistent use of terminology by the WRAP team about versions (following the suggestions of the VERSIONS Toolkit<sup>18</sup>) across all literature and correspondence.
2. Advocacy to further embed the deposit of the 'accepted' versions into WRAP, where appropriate, as part of the research process.

## Recommendations

The complete list of recommendations arising from this document is as follows:

1. As researchers are positive about open access keep the advocacy focused on the practical details of making work available rather than the principles.
2. Advocacy needs to be used to address concerns about the quality of open access journals and examples of high impact open access journals need to be promoted better.
3. Clarification to be sought on the Institution's position on the use of open access journals in internal processes.
4. Continued targeted advocacy about the requirements of funders, especially in the current climate where compliance may help future grant applications.
5. Review the timing of advocacy in relation to the research cycle and investigate ways to raise the profile of funding for open access publishing earlier in the process.
6. Further advocacy is needed to raise the profile of WRAP and the new Publications service with departments who have not yet been reached.
7. Increased advocacy on the range of material that WRAP is now equipped to handle as well as the ability of researchers to engage with the system directly.
8. Expand the range of advice available on negotiation tactics available for researchers wishing to alter the copyright agreements they sign with publishers as well as on the rights that authors retain if they sign the standard agreement.
9. Investigate ways to allow copyright holders to specify a Creative Commons license for their work in WRAP if desired.
10. Continued work on the consistent use of terminology by the WRAP team about versions (following the suggestions of the VERSIONS Toolkit<sup>19</sup>) across all literature and correspondence.
11. Advocacy to further embed the deposit of the 'accepted' versions into WRAP, where appropriate, as part of the research process.

## Conclusions

This survey has given us a valuable insight into the views and attitudes of the researchers we are engaging with here at Warwick. The above recommendations will be taken forward by the WRAP team in conjunction with Research Support Services<sup>20</sup> and in light of the results of the nationwide survey, to raise the profile of both WRAP and the Publications service in the coming months and continue work to embed these services into the research process. This survey tool will also be considered for future use in an effort to benchmark the progress of the advocacy strategy.

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<sup>18</sup> "VERSIONS Toolkit"; <http://www2.lse.ac.uk/library/versions/> p. 14 (accessed 15/09/2011 16:50).

<sup>19</sup> "VERSIONS Toolkit"; <http://www2.lse.ac.uk/library/versions/>, p. 14 (accessed 15/09/2011 16:50)

<sup>20</sup> Research Support Services; <http://www2.warwick.ac.uk/services/rss> (accessed 15/09/2011 16:52)

Thanks go to Graham Stone at the University of Huddersfield for the initial development work on the survey. Thanks also to Jackie Wickham and colleagues at the Repositories Support Project for further development of the survey and for coordinating the nationwide survey project.

### References:

Free Software Foundation (2011) 'What is Copyleft?' [Internet resource], available at: <http://www.gnu.org/copyleft/copyleft.html> (accessed 15/09/2011 16:49).

House of Commons. Science and Technology Committee (2004). 'Scientific Publications: Free For All? Tenth report of session 2003-2004'. London : HMSO. Available at: <http://www.publications.parliament.uk/pa/cm200304/cmselect/cmsctech/399/39902.htm> (accessed 15/09/2011 16:37).

Stone, Graham (2010) 'Report on the University Repository Survey, October-November 2010'. Research Report. University of Huddersfield, Huddersfield. (Unpublished). Available at <http://eprints.hud.ac.uk/9257/> (accessed 15/09/2011 16:33).

'VERSIONS Toolkit : for authors, researchers and repository staff' (Feb 2008) London : LSE. Available at <http://www2.lse.ac.uk/library/versions/index.html> (accessed 15/09/2011 16:50).

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September 2011