School of Information Sciences -- Faculty Publications and Other Works

School of Information Sciences

2015

Pay It Forward: Investigating a Sustainable Model of Open Access Article Processing Charges for Large North American Research Institutions Survey Instrument

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Appendix 1: Survey Questionnaire

Pay It Forward

You are invited to participate in a research study about the open access model of scholarly publishing. This research is part of a study funded by the Andrew W. Mellon Foundation. Every response will help us towards our goal of producing reliable knowledge about attitudes and opinions related to scholarly publishing and open access. You will also have the chance to be entered into a drawing for an iPad Mini! Other than anonymous demographic information, no sensitive items are included in the study and therefore poses no foreseeable risk. Any potentially identifying information will be removed, thus assuring that the final data set is completely anonymous. Upon publication of the results of the study, the dataset may be made publicly available through a research data repository.

You must be 18 years of age or older to participate. The survey should take no longer than 10-15 minutes to complete. All responses will be anonymous, but if you choose to participate in a drawing for an iPad Mini, then you will be asked to enter your email address at the end of the survey. This identifying information will be stored separately from responses, thereby assuring anonymity. You do not have to participate in the survey in order to participate in the drawing.

Your participation in this research is voluntary, and you may decline to participate without risk. While it is useful to be complete in your responses, you may skip any questions, and you are free to withdraw from the study at any time.

If you have any questions about the study or procedures, please contact Dr. XXX of the University of XXX. If you have questions about your rights as a participant, contact the University of XXX Office of Research Compliance Officer at (XXX) XXX-XXXX.
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By clicking on NEXT you agree you have read the above informed consent and agree to participate in this study.

First, we would like to ask you a few background questions.

[Position] Please indicate your current position.
- ❍ Faculty (1)
- ❍ Graduate Student (2)
- ❍ Postdoctoral Researcher (3)
- ❍ Other (Please specify) (4) _____

Answer If Faculty Is Selected for [Position].

[FacultyPos] Current position:
- ❍ Adjunct faculty/lecturer (1)
- ❍ Assistant Professor (2)
- ❍ Associate Professor (3)
- ❍ Professor (4)
- ❍ Research faculty (5)
- ❍ Other (Please specify) (6) _____

Answer If Faculty Is Selected for [Position].

[FacultyDegree] Highest degree:
- ❍ PhD (1)
- ❍ EdD (2)
- ❍ MD (3)
- ❍ JD (4)
- ❍ MA/MS (5)
- ❍ Other (Please specify) (6) _____

Answer If Faculty Is Selected for [Position].

[FacultyDegreeYear] Please enter the year in which your highest degree was earned:

Answer If Graduate Student Is Selected for [Position].

[StdntType] Current position:
- ❍ Masters student (1)
- ❍ PhD student (2)
- ❍ JD student (3)
- ❍ MD student (4)
- ❍ Other (Please specify) (5) _____

Answer If Graduate Student Is Selected for [Position].

[StdntDegreeYear] Anticipated year of degree:

[PostdocDegree] Highest degree:
- ❍ PhD (1)
- ❍ EdD (2)
- ❍ MD (3)
- ❍ JD (4)
- ❍ Other (Please specify) (5)

[PostdocDegreeYear] Please enter the year in which your highest degree was earned:

[AreaStudy] General area of primary scholarly activity:
- ❍ Arts and Humanities (1)
- ❍ Engineering and Computer Science (2)
- ❍ Life Sciences and Medicine (3)
- ❍ Mathematics (4)
- ❍ Physical Sciences (5)
- ❍ Social Sciences (including Business, Education, and Law) (6)
- ❍ Other (7)

[SubjDiscipline] What is your specific subject discipline? _____

Next, we would like to learn more about your behaviors and opinions related to scholarly publishing.

[NumArticle] How many journal articles or conference proceedings (as an author or co-author), including those in-press, have you published in the past 3 years?
- ❍ None (1)
- ❍ 1 - 5 (2)
- ❍ 6 - 10 (3)
- ❍ 11 - 20 (4)
- ❍ 20 or more (5)

[NumAuth] How many authors (including you) were on the last paper you published?
- ❍ No co-authors, just me (1)
- ❍ 2 (myself and one additional co-author) (2)
- ❍ 3 - 5 (3)
- ❍ 6 - 9 (4)
- ❍ 10 - 20 (5)
- ❍ 20 or more (6)

[NumBooks] How many other scholarly works (e.g., books, book chapters) have you published in the past 3 years?
- ❍ None (1)
- ❍ 1 - 5 (2)
- ❍ 6 - 10 (3)
- ❍ 11 - 20 (4)
- ❍ 20 or more (5)

[SubReposUse] Approximately what percentage of the research you have published in the last three years do you make available through the following: (Click/drag along bars below)Subject-based repositories (e.g., arXiv, PubMed Central, SSRN, RePEC, etc.):
_____ Percent: (1)

[InstReposUse] Institutional repositories (e.g., UC eScholarship, UBC cIRcle, OSU Knowledge Bank, etc.):
_____ Percent: (1)

[PersWebsiteUse] Your own personal website:
_____ Percent: (1)

[GrpsAccess] For each of the following groups, how important is it to you that they are able to access your research publications?

	Not important 1 (1)	2 (2)	3 (3)	4 (4)	Very Important 5 (5)	Not applicable (6)
Researchers/faculty at other research-intensive academic institutions (1)	○	○	○	○	○	○
Researchers/faculty at different types of academic institutions (e.g., teaching-focused) (2)	○	○	○	○	○	○
Policy-makers in government or non-government organizations (3)	○	○	○	○	○	○
Practitioners in industry and business (4)	○	○	○	○	○	○
The general public (5)	○	○	○	○	○	○

[GrpsAccess_other] Please list any other groups for whom you consider access to your research publications important. ____

[JourFactor] Please rate the importance of each of the following factors in choosing a journal for submission/publication of your work:

	Not important 1 (1)	2 (2)	3 (3)	4 (4)	Very important 5 (5)	Not applicable (6)
Audience (1)	❍	❍	❍	❍	❍	❍
Editor or editorial board (2)	❍	❍	❍	❍	❍	❍
Fit with scope of journal (3)	❍	❍	❍	❍	❍	❍
Impact factor (4)	❍	❍	❍	❍	❍	❍
Likelihood of acceptance (5)	❍	❍	❍	❍	❍	❍
Open access (6)	❍	❍	❍	❍	❍	❍
Quality and reputation of journal (7)	❍	❍	❍	❍	❍	❍
Time from submission to publication (8)	❍	❍	❍	❍	❍	❍

[JourFactor_other] What (if any) other factors do you consider when choosing a journal for submission of your work? ____

Open Access is a form of publishing that allows unrestricted access to peer-reviewed scholarly research. Within this model, publishers may be compensated for their efforts by the author(s) or

his/her institution(s) at the point of publication rather than charging subscription fees for access to their journals.

An article processing charge (APC) is the fee that is typically paid by or on behalf of the author(s) to publish in an open access journal.

[OAFamiliar] Please rate your level of familiarity with Open Access publishing:
- ○ Not at all familiar 1 (1)
- ○ 2 (2)
- ○ 3 (3)
- ○ 4 (4)
- ○ Very familiar 5 (5)

[OAPub] Have you ever published in an Open Access journal?
- ○ Yes (1)
- ○ No (2)

If No Is Selected, Then Skip To [OtherFees]

[APCPaid] Have you or your co-authors paid article processing charges (either directly or through your institution, grant, or other funds) for any of the open access articles you have published?
- ○ Yes (1)
- ○ No (2)

If No Is Selected, Then Skip To [OtherFees]

[NumAPC] For approximately how many articles have you paid article processing charges? _____

Answer If [NumAPC] Text Response Is Greater Than/Equal to 1

(Text) We would now like to ask about your most recent article(s) for which you paid APCs. If you have indicated that you have paid APCs for more than three articles, we will only ask you about the most recent three.

[AmtPaid_1, AmtPaid_2, AmtPaid_3] How much (in US dollars) was paid for the APCs of your most recent articles: ${lm://Field/2}? *Prompted to fill in amount for article 1, 2 and 3, depending on number of articles indicated for answer.*

[FundSource] What was the source(s) of these funds (check all that apply)?
- ❑ My personal funds (1)
- ❑ My lab (2)
- ❑ My co-author's personal funds (3)
- ❑ My co-authors' lab (4)
- ❑ Research funder/granting agency (5)
- ❑ A fund at my (or my co-authors') library or research office (6)
- ❑ My department (7)
- ❑ Don't recall/not sure (8)
- ❑ Other (please specify) (9) _____

Answer If None Is Not Selected for [NumArticle].

[OtherFees] Within the last 3 years, when submitting to and/or publishing in a journal, have you paid fees, other than open access fees, for (check all that apply):
- ❑ None (45)
- ❑ Submission (46)
- ❑ Color charges (47)
- ❑ Reprints (48)
- ❑ Image rights (49)
- ❑ Page charges (50)
- ❑ Other (please specify) (51) _____

If None Is Selected, Then Skip To [PubAPC]

Answer If None Is Not Selected for [NumArticle].

[FeeSources] What sources of funds have you used to pay such charges? Please check all that apply.
- ❑ My personal funds (1)
- ❑ My lab (2)
- ❑ My co-author's personal funds (3)
- ❑ My co-authors' lab (4)
- ❑ Research funder/granting agency (5)
- ❑ A fund at my (or my co-authors') library or research office (6)
- ❑ My department (7)
- ❑ Don't recall/not sure (8)
- ❑ Other (please specify) (9) _____

[PubAPC] Suppose the journals in which you typically publish became fully Open Access with article processing charges. If you were asked to pay an article processing charge to publish an

article in one of these journals, please indicate the highest fee you would consider reasonable if the funds were coming from:

	None (1)	Less than $100 (2)	$100-$499 (3)	$500-$999 (4)	$1000-$1999 (5)	$2000-$2999 (6)	$3000-$3999 (7)	$4000 or more (8)
Your own personal funds (1)	❍	❍	❍	❍	❍	❍	❍	❍
Your discretionary research funds (2)	❍	❍	❍	❍	❍	❍	❍	❍
An Open Access publication fund through the library (3)	❍	❍	❍	❍	❍	❍	❍	❍
Departmental or other institutional research funds (4)	❍	❍	❍	❍	❍	❍	❍	❍
Grant funds (5)	❍	❍	❍	❍	❍	❍	❍	❍
Other (Please specify) (6)	❍	❍	❍	❍	❍	❍	❍	❍

[OAopinions] Please indicate your level of agreement with each of the following statements:

	Disagree Strongly 1 (1)	2 (2)	3 (3)	4 (4)	Agree Strongly 5 (5)	Not Sure (6)
Paying article processing charges for Open Access is a reasonable alternative to subscription fees. (1)	○	○	○	○	○	○
In general, articles published in Open Access journals are of lower quality than those published in subscription based journals. (2)	○	○	○	○	○	○
In general, the amount of an article processing charge reflects the quality of the journal. (3)	○	○	○	○	○	○

[OAScenario] Finally, suppose the journals in which you typically publish became fully Open Access with article processing charges. If this were to occur, please indicate your level of agreement with each of the following scenarios:

	Disagree strongly 1 (1)	2 (2)	3 (3)	4 (4)	Agree Strongly 5 (5)	Not sure (6)
My ability to publish would be limited. (1)	○	○	○	○	○	○
More people would read and use my research. (2)	○	○	○	○	○	○
The overall quality of published research would increase. (3)	○	○	○	○	○	○
People from institutions with less funding would have limited ability to publish. (4)	○	○	○	○	○	○
I would find alternative ways to publish my research. (5)	○	○	○	○	○	○
There would be increased media coverage of scholarly research. (6)	○	○	○	○	○	○

[Comments] Additional Comments:

After pressing *submit*, you will exit the current survey and be redirected to a separate survey where you may opt in or out of the prize drawing.