Faculty Attitudes and Behaviors Regarding Scholarly Communication: Survey Findings from the University of California

Prepared by
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and the California Digital Library eScholarship Program

in association with
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Appendix B: Survey Instrument

**View/download the complete report (124 pages) at
http://osc.universityofcalifornia.edu/responses/activities.html. Components include:**

I.   **Executive Summary**

II. **Summary of Findings**

III. **Statistical Methodology and Assumptions**

IV. **Detailed Findings**

Appendix A: Selected Free-Form Comments

Appendix B: Survey Instrument

APPENDIX B:
SURVEY INSTRUMENT

The University's Office of Scholarly Communication is surveying UC faculty to better understand emerging trends and practices in scholarly publishing.

Thank you for responding to the invitation to participate in the survey, and for taking a few minutes of your time to give us your candid views. This survey contains approximately 35 substantive questions and will take approximately 15 minutes to complete. The results of this survey will help identify potential university responses to key challenges and opportunities. Your participation and answers will be kept confidential. Results will be announced to the UC community.

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[Demographics] Your faculty rank is:

Assistant Professor
Associate Professor
Professor
Other:

_ _

[Demographics] Your academic discipline is within:

Arts
Humanities
Life & Medical Sciences
Physical Sciences
Social Sciences
Other

_ _

[Demographics] Please tell us your specific department name:

_ _

[Demographics] Your campus affiliation is:

Berkeley
Davis
Irvine
Los Angeles
Merced
Riverside
San Diego
San Francisco
Santa Barbara
Santa Cruz

Los Alamos Lab
Lawrence Berkeley Lab
Lawrence Livermore Lab
Other (please specify):

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1. Scholarly communication refers to the processes for disseminating research results and other scholarship. It includes traditional publishing as well as alternative dissemination vehicles, such as open access journals, institutional repositories, web sites and portals, and blogs, among others.

How would you characterize the general health of the current scholarly communication system within your discipline?

No changes need to be made
Some minor changes need to be made
Substantial changes need to be made
No opinion

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2. To what extent do you agree or disagree with the following statements?
[Strongly agree; Agree somewhat; Disagree somewhat; Strongly disagree; I don't know]

Too much research is being published.
I publish more than I ought to.
Citations are a good indicator of the usefulness of research.
The number of article downloads is a good indicator of the usefulness of research.
Journals have become too specialized.
Tenure and promotion drive my interest in disseminating my work more than any other factor.

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3. To what extent do you agree or disagree with the following statements?
[Strongly agree; Agree somewhat; Disagree somewhat; Strongly disagree; I don't know]

Scholarly societies in my discipline generate more revenue from publishing than is required to
    cover their publishing costs.
Commercial publishers in my discipline control scholarly dissemination to the detriment of my
    discipline.
Universities should do more to support publishing of scholarly books.
The rise in journal prices increasingly is a burden to my institution.
High journal prices have made it difficult for me to access the literature I need.
High journal prices may make it difficult for others to access the literature I produce.
As an author, I deliberately publish in journals that are affordable to readers.

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4. When submitting your work for publication in any venue, how important to you are the following factors?
[Very Important, Somewhat important, Not important]

Journal or book publisher's reputation
Journal's impact factor

Publication venue's weight in tenure and promotion considerations
My ability to retain copyright of my article
My ability to put the pre-publication version of my work on a web site
My ability to put the published version of my work on a web site
My ability to submit my manuscript online
Availability in both print and electronic versions
Low or no subscription costs to readers
Speed of publication

— —

5. To what extent do you agree or disagree with the following:
[Strongly agree; Agree somewhat; Disagree somewhat; Strongly disagree; I don't know]

The existing promotion and tenure processes at UC...

...force me to publish in print publications, rather than electronic-only forms of dissemination.
...cause me to forego using alternative forms of dissemination.
...encourage new forms of high-quality (peer-reviewed) scholarly communication.
...are keeping up with the evolution of scholarly communication.

— —

6. To what extent do you agree or disagree that scholars' management of copyright is ...
[Strongly agree; Agree somewhat; Disagree somewhat; Strongly disagree; I don't know]

... an important factor in the evolution of scholarly publishing?
... an important factor in my own scholarly publishing?
... a topic needing faculty discussion and analysis?

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7. How do you approach the copyright terms in your publication contracts?
[choose one]

I don't examine the copyright terms of the contract -- I just sign it as is.
I examine the copyright terms of the contract and usually sign it as is.
I modify the copyright terms of the contract before signing.

— —

8. If you have modified the copyright terms of a publication contract, what actions have you taken?

[all that apply]

Replaced publisher's contractual terms with my own
Attached an addendum
Replaced the entire agreement with one of my choosing

Please provide details if possible:

— —

9. To what degree do you adhere to all copyright terms of your publication contracts?
[select one]

Consistently, all the time
Not really sure because I do not pay attention
From time to time, I likely disregard the terms of the contracts

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10. In cases where you would prefer to retain some copyright rights but <u>do not</u> negotiate with publishers to do so, what is the most important factor that prevents you from doing so?
[select one]

I need to publish in the journal to get tenure, merit increases, or promotion.
It is too much trouble to negotiate with the publisher.
I do not have the knowledge to negotiate.
I have not thought about this issue.
Other (please specify):

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11. Are there instances in which you have refused to sign a publication contract because of concern about the copyright terms, thereby foregoing the opportunity to publish in that journal?
Yes
No
Not applicable

Please provide details, if possible:

_ _

12. To what degree are you concerned that transferring copyright to a publisher may limit your ability to:
[Concerned; Not concerned; Haven't thought about it]

Put the materials on a web site or in an institutional repository
Use the materials in a class that you or others are teaching without asking for permission from the publisher
Make the materials available for course packs without asking for permission from the publisher
Use or submit the materials to an anthology
Create a derivative work based on the material

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13. What single factor would help you the most in negotiating or modifying the copyright terms of a publication contract?
[select one]

If I had precise instructions and examples of how to do it.
If I had someone to do it for me.
If I knew I would not be penalized for refusing to sign the standard contract.
Other (please specify):

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14. In May 2006, a special committee of the UC Academic Council forwarded a proposal for faculty to routinely grant to the University a limited, non-exclusive license to place their scholarly publications in a non-commercial publicly-accessible online repository. Under the proposal, granting such a license would be the default situation, but faculty could opt out when necessary.

To what extent are you aware of this proposal?
[select one]

Not aware
Aware, but don't know much
Knowledgeable
Am actively involved in this issue

_ _

15. Based on your current level of knowledge, would you be in favor of this proposal?
[select one]

Yes
No
I understand the proposal, but I am not sure
I do not understand the proposal
Comments:

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16. Please tell us which of the following activities you would be willing to undertake [all that apply]

I would be willing to encourage my society's publication board to make its copyright policy more author-friendly.

I would be willing to encourage my society to seek alternative sources of revenue, rather than relying on subscription fees to support society activities.

Before signing a publishing contract, I would be willing to strikeout and modify its language to change the contract from granting "exclusive" rights to the publisher to granting "non-exclusive" rights to the publisher.

I would be willing to submit my scholarly output solely to publishers who require only the right of first publication and no other right.

I would be willing to encourage publishers to experiment with business models in order to reduce or eliminate barriers – including subscription costs – to readers.

None of the above

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17. Traditionally, libraries and individuals pay for scholarly journals and books. Alternative ways to disseminate scholarship are emerging, several of which – in pursuit of "open access" – make the content available at no cost to the reader or library, with production costs covered elsewhere.

What is your level of knowledge about the following alternative forms of scholarly dissemination?

[Not aware; Aware, but don't know much; Knowledgeable; Have actually used to disseminate my work]

Institutionally-based "repositories" of open access content
Disciplinary "repositories" of open access content
Fully open access journals (all journal articles freely available without university or individual subscription)
Blogs/wikis

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18. To what extent do you agree or disagree with the following statements?
[Strongly agree; Agree somewhat; Disagree somewhat; Strongly disagree; I don't know]

Open access will dramatically change scholarly communication in my discipline in the next two years.
Open access threatens commercial publishers in my discipline.
Open access threatens my scholarly society(ies).
Libraries' subscriptions are a critical source of revenue for scholarly societies.

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19. Over the past 12 months, in which of the following activities have you engaged to disseminate your work?
[all that apply]

Published articles in subscription-based journals
Published articles in open access journals
Published monographs
Posted postprints on a personal or departmental web site
Posted postprints on an institutional repository, such as arXiv, REPEC, or PubMed
Posted working papers, preprints, and technical reports on a personal, departmental, or institutional web site or repository
None of the above
Other (please specify):

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20. In the next 12 months, how, if at all, do you expect your participation in these dissemination activities to change?
[Increase; Decrease; Stay about the same]

Publishing articles in subscription-based journals
Publishing articles in open access journals
Publishing monographs
Posting postprints on a personal or departmental web site
Posting postprints on an institutional repository, such as arXiv, REPEC, or PubMed
Posting working papers, preprints, and technical reports on a personal, departmental, or institutional web site or repository

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21. UC offers many different publishing services to the academic community. Which best characterizes your level of <u>awareness</u> about each publishing service below?

[Have not heard of this; Have heard of this, but do not understand it; Have heard, read, and discussed this occasionally; Monitor and discuss this regularly; Am actively involved in this]

eScholarship programs in general
eScholarship Repository
eScholarship Journals & Peer Review Series
eScholarship Editions
UC Press/eScholarship Editions

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22. The following describes my involvement <u>with eScholarship Services</u>:
[all that apply]

Editor of a journal or monographic series
Author/contributor
Seminar convener
Member/Director of a participating department or unit
UC Press published author whose book is in eScholarship
No involvement
Other (please specify):

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[if "No involvement" on #22, skip to #27]
23. To date, I have put the following types of scholarly output in UC's eScholarship Repository:
[all that apply]

Previously-published peer-reviewed journal articles
Original peer-reviewed journal articles <u>not</u> previously published elsewhere
Monographs, edited volumes, and other book-length works
Working papers, preprints, and technical reports
Other (please specify):
Not sure
None

——

24. How often have you deposited your scholarly output in UC's eScholarship Repository?
[select one]

Weekly
Monthly
Each semester
Annually
Once only

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25. Who actually posts your work in the eScholarship Repository?
[select one]

I do it myself

A departmental administrative assistant
A graduate student/teaching assistant
Someone else (please specify):

— —

26. Please tell us the top reasons that you contribute your scholarly output to the UC eScholarship Repository.
[select up to three]

Increases exposure of my previously-published work (e.g., postprints)
Provides exposure for work not previously published (e.g., seminar papers)
Broadens the dissemination of academic research generally
Mandated by my academic department
Increases academic institutions' leverage with commercial publishers
Increases my own commercial publishing opportunities
Increases my rank, promotion, and tenure prospects

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27. Have you ever consulted the eScholarship Repository as an aid to your own research?
Yes
No

— —

[if no to #27 then skip to #31]
28. What is your <u>primary</u> means of accessing works contained in UC's eScholarship Repository?
[select one]

Via a public search engine
Through eScholarship's home page and its search facility
From another work that links to a specific work in the repository

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29. How do you rate the <u>quality</u> of works within the eScholarship Repository?
[select one]

Very high
High
Moderate
Low
Very low
No opinion
Feel free to add any comments:

— —

30. Overall, how do you rate the <u>value</u> of the eScholarship Repository as a research tool?
Very high
High
Moderate
Low

Very low
No opinion
Feel free to add any comments:

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31. For which of the following types of content would you like to see the University provide publishing support ?
[all that apply]

Journal articles
Monographs/books
Conference papers
Seminar papers
Technical reports
Other working papers
Theses
Dissertations
Field notes
Data sets
Maps, charts, graphs, drawings, and diagrams
Photo images
Software (including simulations)
Audio
Video
Teaching and text assessment materials
None of the above
Other: (please specify)

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32. Which would be the most effective sources <u>for keeping you updated</u> about UC eScholarship services?
[select up to three]

eScholarship/Office of Scholarly Communications directly
UC Senate
Campus library/librarians
Departmental meeting
Faculty meeting
Higher education press (e.g., Chronicle of Higher Education)
Discipline-specific literature
Ad-hoc colleague conversation
Academic conference
Other

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33. Please comment on any innovative publishing activities in which you and your colleagues are currently engaged:

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34. Please feel free to add any comments about this survey or the issues it addresses:

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35. Would you be willing to have an in-depth telephone conversation with one of our researchers on the topics covered in this survey?
Yes
No

[if no to #35 then skip to end]
Please give us your contact information:
Name:
Telephone:
Email:
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Thank you for participating in this survey.