Author’s Rights to Share Scholarship: A Survey of Faculty Attitudes and Actions

Indiana Library Federation
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Jere Odell¹, Emily Dill², Kristi Palmer¹

¹University Library, IUPUI, Indianapolis, IN
²University Library of Columbus, IUPUC, Columbus, IN

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survey goals

**Primary**: Examine faculty attitudes and practices regarding scholarly communication to inform open access advocates’ outreach efforts on campus.

**Secondary**: Discover useful insights about faculty attitudes and practices regarding scholarly communication by comparing survey results from 3 universities: IUPUI (2013), University of Toronto (2010), and University of California (2006).
why do we care?

http://www.sparc.arl.org/COAPI
https://www.nihms.nih.gov/
https://impactstory.org/
https://pkp.sfu.ca/
http://www.dspace.org/
Anecdoteak, Scam.
http://commons.wikimedia.org/
http://www.plosone.org/
Recruitment:
- Fall 2013 online survey; sent to all faculty by email (twice).
- Included: tenure track faculty members and lecturers
- Excluded: clinical, research ranks, visiting, and “other” faculty.

Instrument:
- Replicated from two prior university-wide surveys—U. of California (2006) and U. of Toronto (2010)—see http://hdl.handle.net/1807/26446 for Toronto results and instrument
- **Scope**: Scholarly Communications (publishing, peer review, promotion and tenure, and more)
- IRB exempt
- Adapted and delivered with REDCap, Indiana CTSI (https://redcap.uits.iu.edu/)
- 126 fields; ~ 20 minutes to complete
survey response rate

• Majority of analysis examines 286 responses
  • Received a total of 338 responses partial and complete
  • 215 eligible respondents completed entire survey
  • 71 eligible respondents completed a portion
  • Excluded: 52 respondents (by rank, by request or because they didn’t complete the demographic questions)

• Achieved sample: 18% (14% for complete survey)
  • Toronto: 16% of population
  • California: 13% of population
demographic questions

• Rank?
• Tenure Track?
• Department?
• Discipline of respondent's highest degree?
• Disciplines represented by respondent's published work?
rank and tenure status of sample

Rank?

- Assistant
- Associate
- Full
- Lecturer

Tenured?

- Not Tenure Track
- Tenure Track
- Tenured
discipline?

• Department?
• What is the discipline of your graduate degree?
• In which of the following areas do you currently publish?
  • Humanities
  • Social Sciences
  • Life Sciences
  • Health or Medical Sciences
  • Mathematics or Computer Science
  • Physical Sciences
  • Engineering
  • Law
  • Business
  • Information Science
  • Art
  • Music
  • Other

• If your work is not well described in terms of these general categories, please briefly describe your field, the focus of your work and the background of those participating.
UT’s coded disciplinary categories

- Humanities (including Arts)
- Life, Health and Medical Sciences
- Physical Sciences & Engineering
- Social Sciences
IUPUI’s coded disciplinary categories

- Health Science: 176
- Humanities: 18
- Physical & Technical Sciences: 16
- Social Sciences: 76
is IUPUI a health sciences campus?

Included: tenure track faculty members and lecturers; excluded: clinical, research ranks, visiting, and “other” faculty. (Criteria replicates UC & UT studies.)

48% of eligible faculty are members of health science schools (n=758)
Key Points of Interest

Independent Variables
- Rank
- Tenure
- Discipline
- Campus (UC 2006; UT 2010; IUPUI 2013)

Dependent Variables
- Scholarly communications attitudes:
  - Perceived cultural norms in discipline
  - Attitudes toward open access
  - Interest in change
  - Preferred features of a publisher
- Interest in self-archiving
- Support for university open access policies
Making my work openly accessible to everyone with access to the internet--not only to those whose universities can afford the licensing fees--is a benefit to me:

- 67% Strongly Agree or Agree
- 12% Strongly Disagree or Disagree
- 20% Don’t Know

There is a need to reform the scholarly communications system:

- 61% Strongly Agree or Agree
- 11% Strongly Disagree or Disagree
- 28% Don’t Know
choosing an outlet for publication: “very important” characteristics

- Reputation of the book or journal publisher
- Reputation of the journal title
- Quality of the peer review
- Readership or audience

IUPUI Very Important: 76.1% Reputation, 97.0% Quality, 89.9% Readership, 94.3% Audience

Toronto Very Important: 46.90% Reputation, 71.90% Quality, 50.10% Readership, 63.10% Audience

UC Very Important: 83% Reputation, 59% Readership, 0% Quality, 0% Audience
choosing an outlet for publication: “not important” characteristics

- A paper issue or print volume is produced: 16, 156, 172
- My ability to retain some of the rights (i.e. copyright): 33, 118, 151
- The ability to self-archive my work (i.e., to upload to a personal or institutional website): 41, 111, 152
author’s rights: negotiating copyright

actions
• 96% have not negotiated copyright terms
• 38% would be willing to modify copyright contracts to grant only “non-exclusive” rights to the publisher

attitudes: barriers to copyright negotiations

- Haven't thought about it (114/233)
- How to do it? (41/233)
- Need journal for P&T (36/233)
- Hassle (32/233)
- Other (10/233)
copyright negotiation needs

• 65% would prefer precise instructions and examples
• 61% would prefer advice and support of their institution (i.e., IUPUI)
• 12% would prefer advice and support of a funder (e.g., NIH)

"I wish I knew more about my options here."
"We are asked to sign away our rights to our intellectual property in order to get a publication - this has never seemed right to me."
"I think we should keep some rights and the university should help us in this process."
rank & tenure track
does it matter?

• "Senior faculty may be the most fertile targets for innovation in scholarly communication. ... more willing to experiment, more willing to change behavior, and more willing to participate in new initiatives" (UC, 8)

• "While there is no single question directly on this in either survey, the questions relating to change in the UofT survey suggest that it is professors and associate professors generally who respond more positively to change than assistant professors." (Toronto, 25)
rank & tenure track
does it matter?

YES,
but no...
when choosing a journal or publisher ...

How important: “The full-text is accessible online to anyone who finds it.”

Tenured?/Rank?
Making my work openly accessible to everyone with access to the internet - not only to those whose universities can afford the licensing fees - is a benefit to me.
culture of P&T

“to what extent do you agree or disagree that the existing tenure, merit and promotion processes in your department/faculty...”

• **Print-format bias**: “lead me to publish in print publications, rather than electronic-only forms of dissemination”

• **Traditional publishing bias**: “cause me to forego using alternative forms of dissemination”

• **Supports new publishing models**: “encourage new forms of high-quality (peer-reviewed) scholarly communication”
are attitudes different across disciplines?

YES,

but ..
responses by discipline

Health Science: 176
Humanities: 18
Physical & Technical Sciences: 16
Social Sciences: 76
“Open Access” in general

“Have you heard of Open Access (OA)?”

87.2% 85.7% 91.6% 90.5%

Health Sciences Humanities Physical & Technical Sciences Social Sciences

* Excluded responses from 9 librarians
“Open Access” in general

“Have you heard of Open Access (OA)?”

“Have you made a work OA?”

87.2% 85.7% 91.6% 90.5%

Yes
Health Sciences Humanities Physical & Technical Sciences Social Sciences

Practiced OA
50.4% 26.6% 42.0% 58.3%

* Excluded responses from 9 librarians
self-archiving

“Have you heard of IUPUI ScholarWorks?”

55% “No”

* Excluded responses from 9 librarians
self-archiving
Practices

- **Health Sciences**: 24.3%
- **Humanities**: 17.7%
- **Physical & Technical Sciences**: 11.8%
- **Social Sciences**: 21.3%

* Excluded responses from 9 librarians
open access journals in your discipline

Knowledge & Practices

* Excluded responses from 9 librarians
should IUPUI adopt an OA policy?
in favor of pursuing an open access policy?

- **California (2006):**
  - 25% Aware of OA policies
  - 47% In favor of adopting

- **Toronto (2010):**
  - 30% Aware of OA policies
  - 67% In favor of adopting

- **IUPUI (2013):**
  - 28% Aware of OA policies
  - 39% In favor of adopting


* Excluded responses from 9 librarians
should IUPUI adopt an open access policy?

disciplinary differences

<table>
<thead>
<tr>
<th>Disciplinary Field</th>
<th>Strongly Disagree</th>
<th>Disagree</th>
<th>Unsure</th>
<th>Agree</th>
<th>Strongly Agree</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health Sciences</td>
<td>2.3%</td>
<td>20.0%</td>
<td>8.3%</td>
<td>8.0%</td>
<td>25.2%</td>
</tr>
<tr>
<td>Humanities</td>
<td>4.6%</td>
<td>6.7%</td>
<td>0.0%</td>
<td>6.0%</td>
<td>20.0%</td>
</tr>
<tr>
<td>Physical &amp; Technical Sciences</td>
<td>60.3%</td>
<td>53.3%</td>
<td>58.3%</td>
<td>28.0%</td>
<td>38.0%</td>
</tr>
<tr>
<td>Social Sciences</td>
<td>0.0%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>20.0%</td>
<td></td>
</tr>
</tbody>
</table>

* Excluded responses from 9 librarians

Pre-survey knowledge of OA policies
should IUPUI consider an OA policy?

support of OA policy by rank

<table>
<thead>
<tr>
<th>Rank</th>
<th>Strongly agree</th>
<th>Agree</th>
<th>I don’t know</th>
<th>Disagree</th>
<th>Strongly disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full</td>
<td>10.3%</td>
<td>32.4%</td>
<td>39.7%</td>
<td>5.9%</td>
<td>11.8%</td>
</tr>
<tr>
<td>Associate</td>
<td>9.2%</td>
<td>32.9%</td>
<td>52.6%</td>
<td>2.6%</td>
<td>2.6%</td>
</tr>
<tr>
<td>Assistant</td>
<td>20.3%</td>
<td>20.3%</td>
<td>54.2%</td>
<td>5.1%</td>
<td>0.0%</td>
</tr>
</tbody>
</table>
OA policy comments

Pro
• “Open access is the future. It is inappropriate to not make knowledge widely accessible. We are an institution of higher learning, not an institution of secret knowledge.”
• “Because it can enhance the reputation of IUPUI.”
• “OA policies will increase the distribution and value of IUPUI faculty's research.”

Con
• “It's MY work. Why should the university be able to tell me what to do with it?”
• “Whether IUPUI and its library want it to be the case, requirements like that fly in the face of academic freedom. If the majority of my field looks down on them comparatively, it doesn't matter what the university thinks of them. And can they really require me to do something that hurts my standing in the field just to make a point?”
• “We already have too many different levels of mandates, and time burdens, which adversely impact productivity.”
is IUPUI ready to adopt an open access policy?

- **Strongly Agree:** 11.90%
- **Agree:** 28.40%
- **Unsure:** 50%
- **Disagree:** 4.60%
- **Strongly Disagree:** 5.10%
YES!

But now what?
what’s next?

• October 7, 2014 IUPUI Faculty Council passes a Harvard-style, opt out OA Policy. [http://go.iu.edu/hl9](http://go.iu.edu/hl9)

  • Submission portal creation (make it easy for faculty authors)
  • Library workflow (be responsive & efficient)
  • Education and outreach (55% unaware of IR; ~ 97% unaware of the adopted policy)
  • Reports and rewards (submission & downloads)
references


• REDCap (Research Electronic Data Capture), a secure, web-based application designed to support data capture for research studies, hosted at Indiana CTSI. Available from: http://redcap.uits.iu.edu/

Jere Odell (jdodell@iupui.edu), Emily Dill (eadill@iupui.edu), Kristi Palmer (klpalmer@iupui.edu)