



# OPEN ACCESS SURVEY: The results

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## Survey of academic attitudes towards open access and institutional repositories

**Jyväskylä University Library**

**JYX – Jyväskylä University Digital Archive**

**April 2012**

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## Summary

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All in all, striving for Open Access is received very positively among the researchers. Of the respondents, 92.5% considered openness of research to be either quite important or very important. Almost as many were also in favour of universities' own open access archives.

OA thinking is not, however, reflected as strongly in researchers' own publishing activity. A third of the respondents did aim at publishing in OA journals, but only about a fifth had in parallel issued their own publications in the university's open repository JYX. About a quarter, or 27%, of the respondents did not know of the JYX archive at all. Some said that instead of JYX they used an archive in their own field of science (often arXiv) or some other means of open publishing.

The research funders' OA policies were not well known, either. Only 38% of the respondents said they knew whether the funders expect or recommend open archiving of results.

The main reasons why researchers did not utilise open access archiving were:

1) They did not know how to act, 2) Uncertainty about the permissions, 3) Belief that open access archiving is always subject to a charge, 4) Belief that the TUTKA archiving process is difficult.

More than half of the respondents, 54%, familiarise themselves in advance with the journal's copyright terms. The respondents were, however, quite unanimous in their belief that the copyright should belong to the author(s): 86.7% agreed on this.

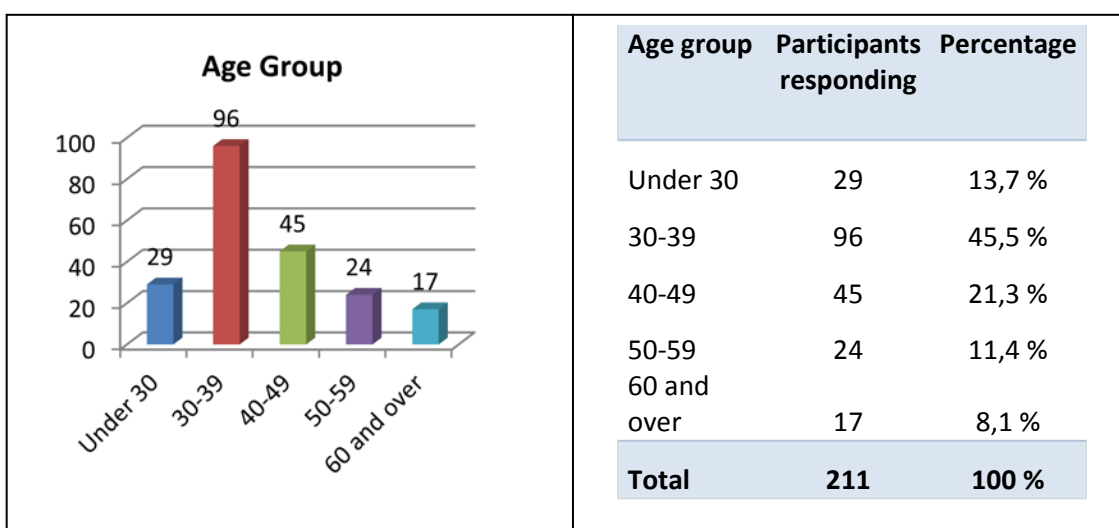
Because the so-called parallel publishing is based on the use of authors' final drafts, the researchers were also asked whether they are in the habit of preserving this version. Delightedly, 92.6% of the respondents said they keep the reviewed version that has not yet gone through the final layout process. Of the respondents, 78.8% were also willing to save the final draft in the open archive, if the publishing permission were checked for the researcher.

From the questionnaire analysis it can be concluded that all further information about OA matters is necessary. The archiving processes must also be clarified. Particularly concerning the permission policies, it is important to emphasise that the researcher him-/herself does not need to check the permissions – it is the library's responsibility. Parallel publishing is also free of charge. The researcher only needs to save the final draft of the article in TUTKA – that is all there is to do. The questionnaire was answered by 211 respondents.

# Results

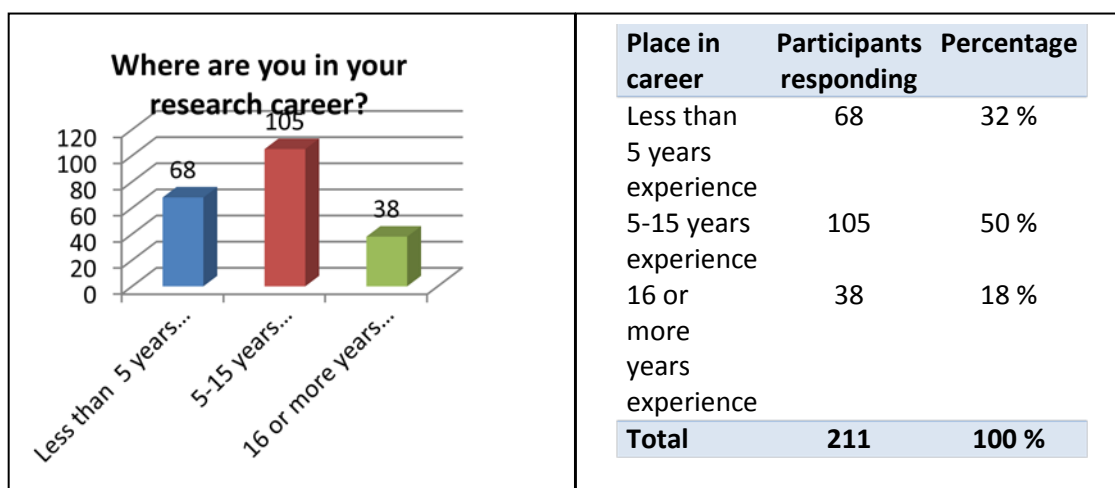
## QUESTION 1. Your age group

The results showed that most of the respondents were young. Almost 60% (125) of them were under age 40, that is to say, at the beginning of their careers. Approximately a fifth of the respondents were age 40-49 (45), and slightly over 10% (24) were age 50-59. Less than 10% (8.1%) of the respondents were age 60 years or over.



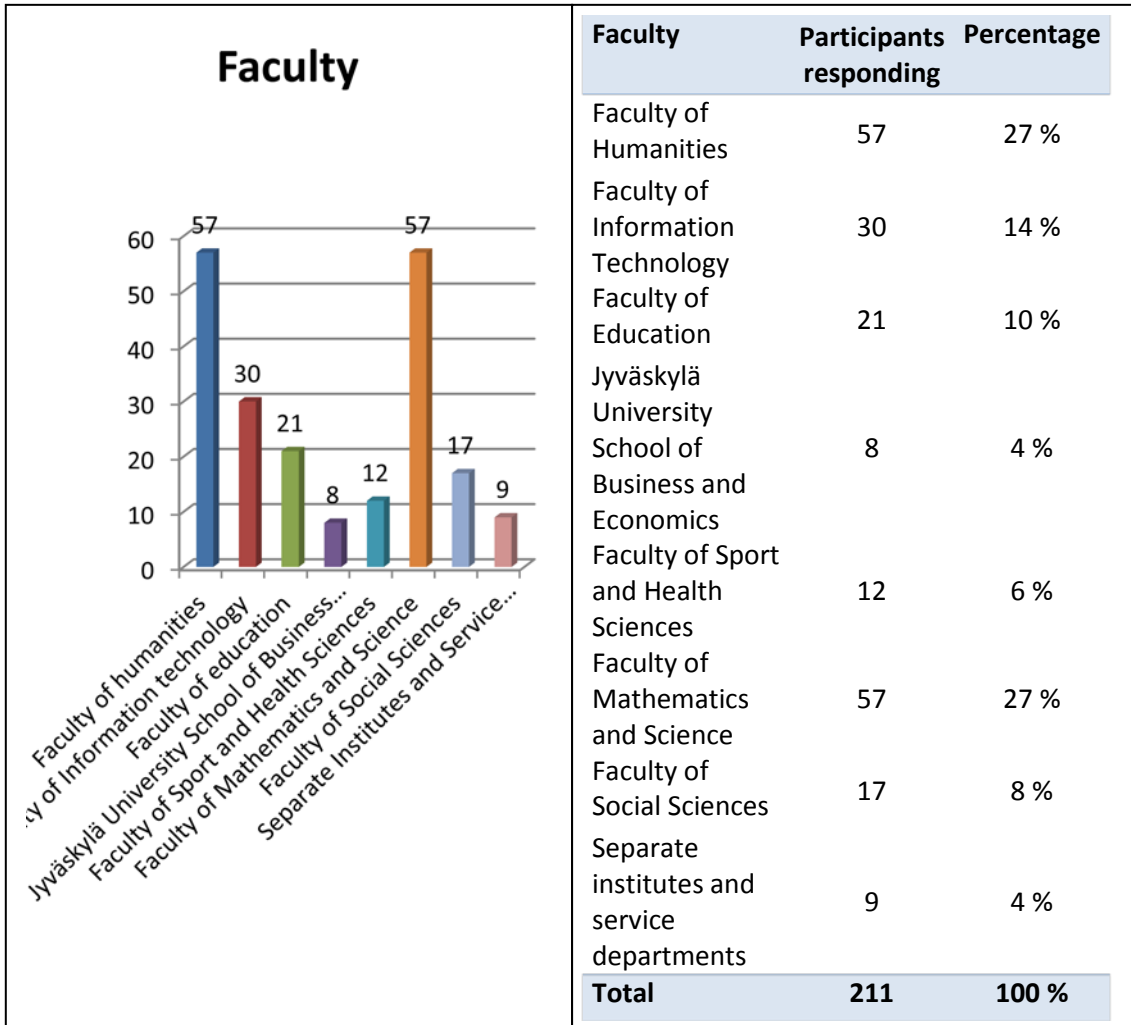
## QUESTION 2. Where are you in your research career?

As many of the respondents were relatively young, it is obvious that they were at the beginning of their research careers: 32% (68) had less than 5 years' experience and 50% (105) had 5-15 years of experience behind them. However, 18% (38) of the respondents were very experienced. These respondents had 16 or more years of experience behind them.



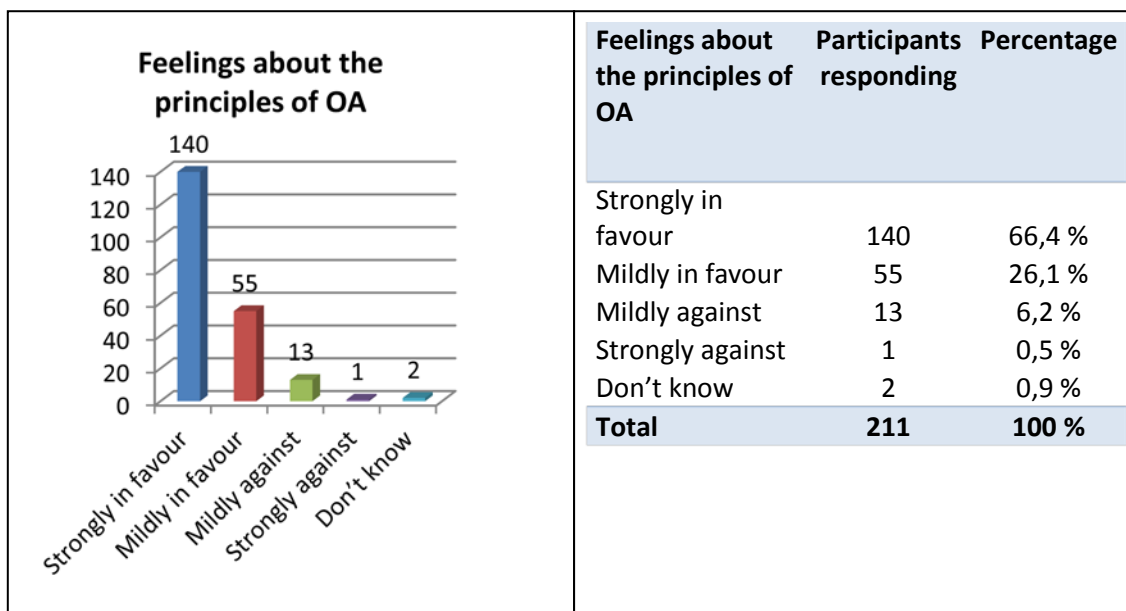
### QUESTION 3. What faculty are you in?

The most active faculties in this survey were the Faculty of Humanities and the Faculty of Mathematics and Science. From both of these faculties, 57 (27%) respondents participated, that is to say, 54% of all the respondents. 14% (30) represented the Faculty of Information Technology, 10% (21) the Faculty of Education, 8% (17) the Faculty of Social Sciences and 6% (12) the Faculty of Sport and Health Sciences. The rest, 8% of the respondents, came either from the Jyväskylä University School of Business and Economics or from one of the separate institutes.



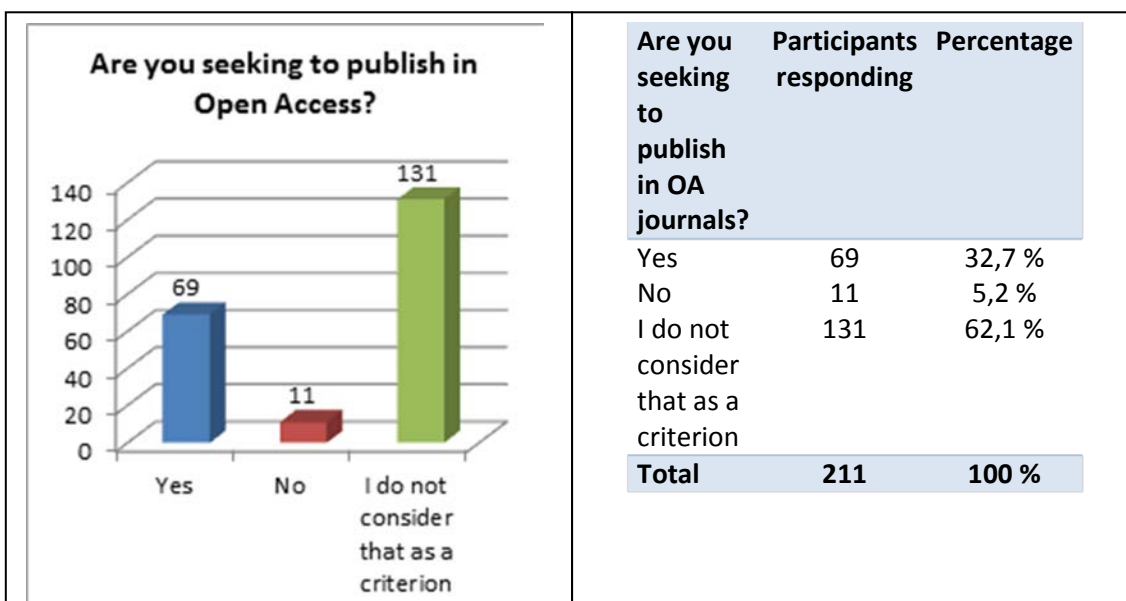
#### QUESTION 4. How do you feel about the principles of Open Access?

It appears that the attitudes towards Open Access are very positive, as most respondents were clearly in favour of it. A combined 92.5% (195) were either strongly or mildly in favour of the principles of OA. Only one respondent was strongly against it.



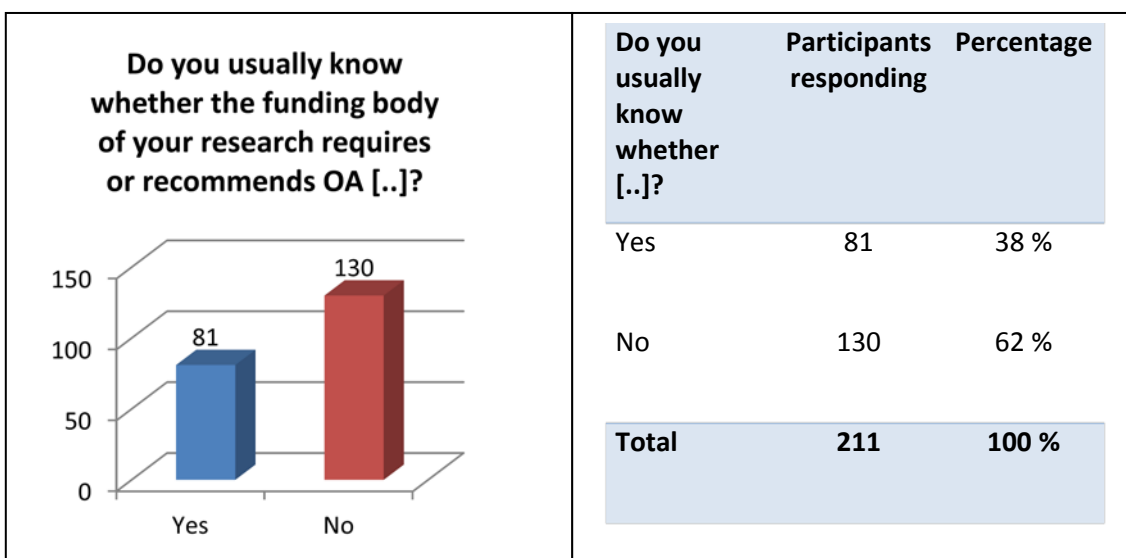
#### 5. Are you seeking to publish in Open Access journals?

Participants were also asked whether they are seeking to publish in Open Access journals. A bit more than 30% (69) of the respondents answered that they are. However, it seems that accessibility is not among the main criteria, since as many as 62.1% (131) replied that they do not consider OA to be a criterion when seeking a publishing forum for their articles.



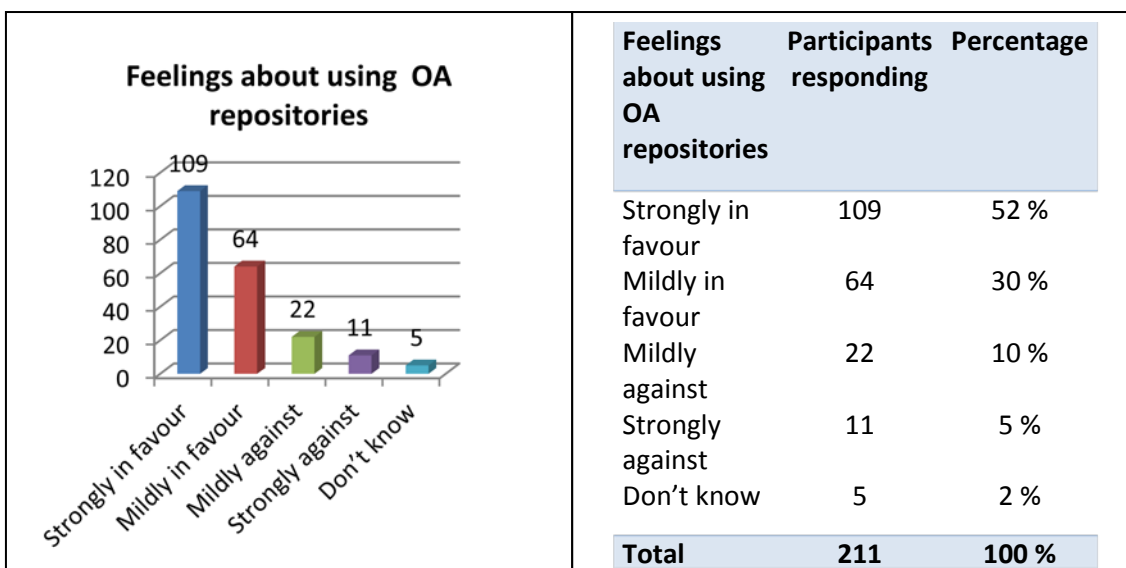
## 6. Do you usually know whether the funding body of your research requires or recommends Open Access archiving of their funded research?

Many funders want the work they are funding to be made openly available. For this reason, respondents were asked whether they usually know about these policies. As many as 62% (130) responded that they do not usually know. The remaining 38% (81), on the other hand, were aware of these kinds of requirements or recommendations.



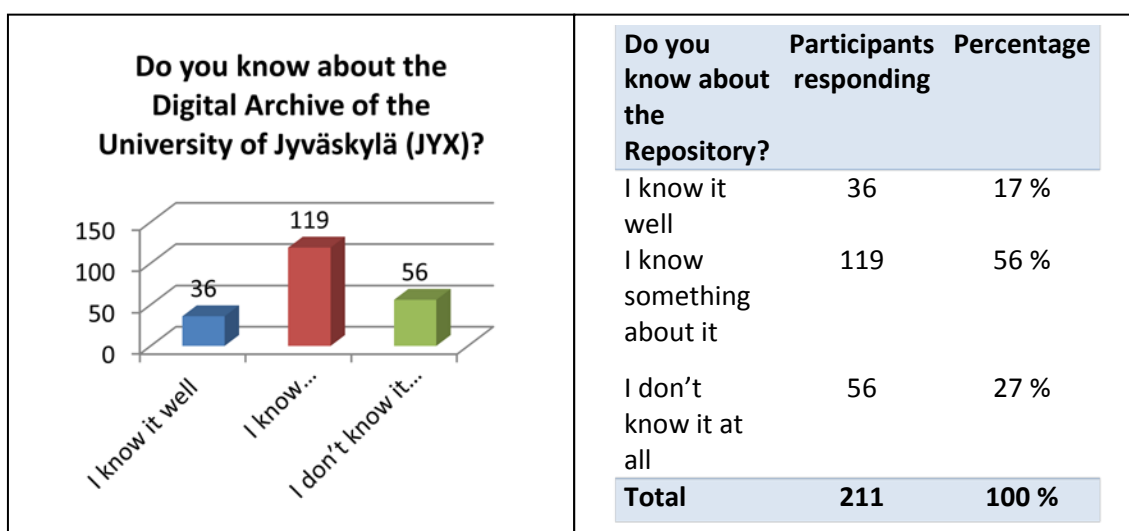
## 7. How do you feel about using Open Access repositories?

Similarly to the attitudes towards the principles of Open Access, the feelings about using OA repositories were highly positive. Altogether 82% (173) were either strongly or mildly in favour of the repositories. On the other hand, 10% (22) were mildly against them. Some (5%, or 11 participants) were even strongly against these repositories.



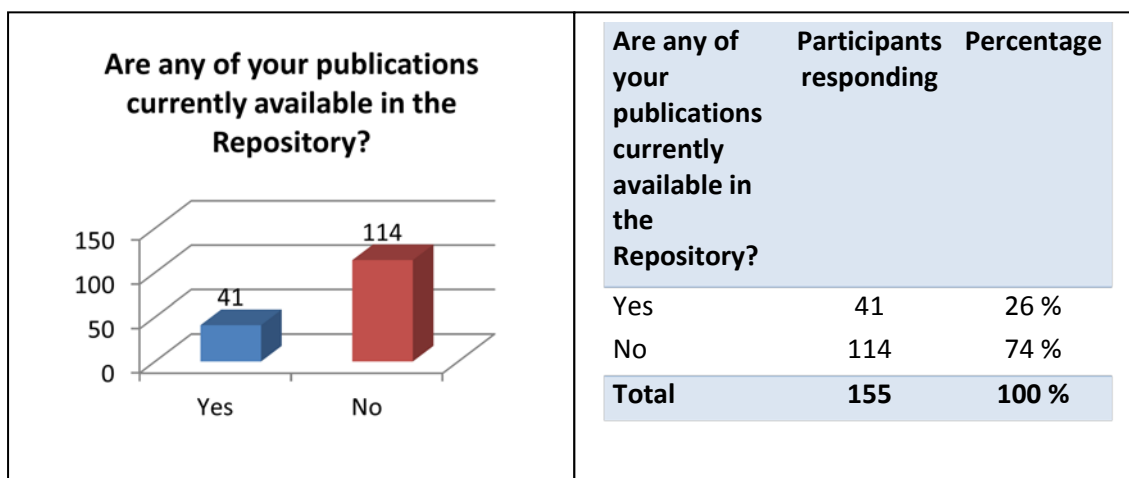
## 8. Do you know about the Digital Archive of the University of Jyväskylä (JYX)?

The University of Jyväskylä has launched an open archive for its researchers to use. The aim is to enable OA publishing with the help of the repository. However, it seems that the marketing of the repository has been inadequate, as researchers do not know the JYX repository that well. Only 17% (36) answered that they do know JYX well and as many as 27% (56) of the respondents said they don't know JYX at all.



## 9. (If yes), do you currently make any of your publications available in the Repository?

Those participants who indicated that they knew JYX well, or at least knew something about it, were asked if their publications were available in the JYX repository. 74% (114) answered that none of their publications were currently available in JYX. The remaining 26% (41) had already uploaded their articles there.

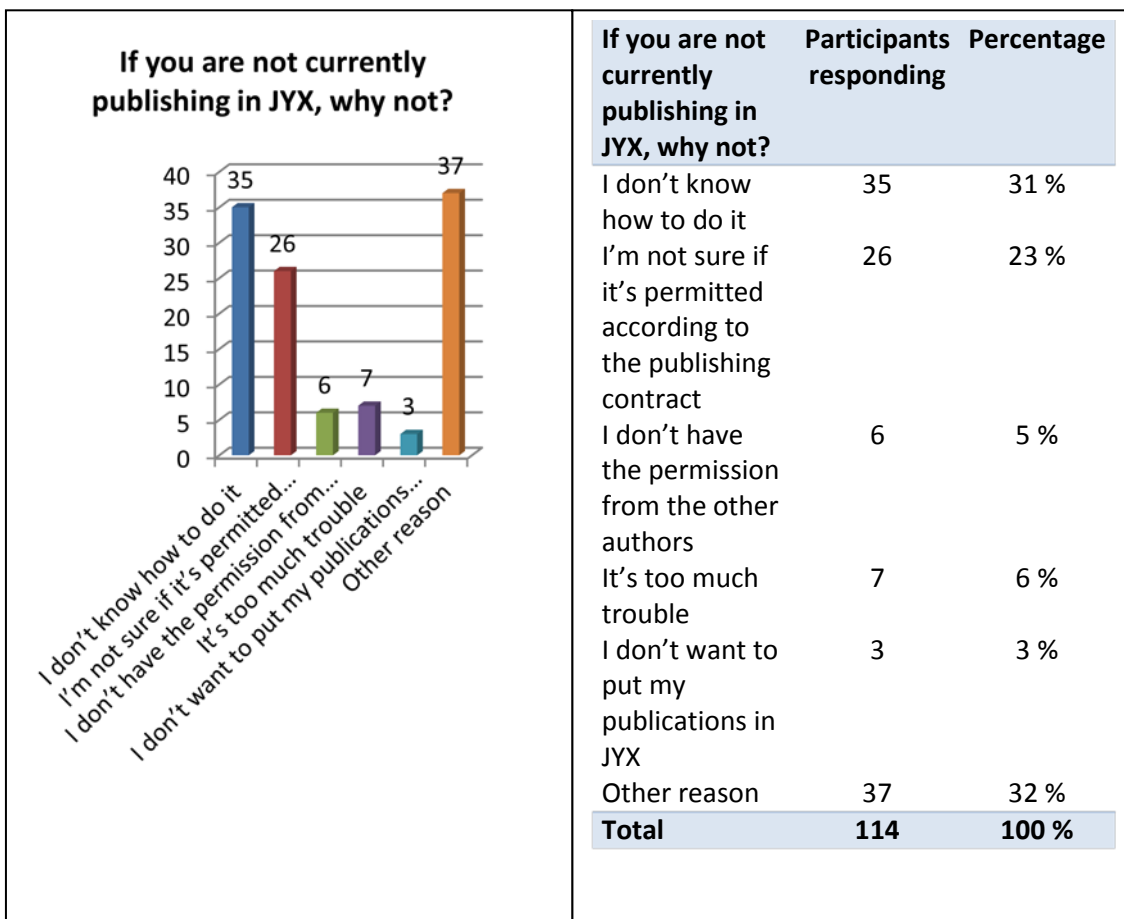


**10. If you do know JYX, but are not currently making material available in it, why not? (You may choose several alternatives.)**

Those respondents who indicated that they are not currently publishing in JYX were asked to give a reason for not doing so. They could choose several reasons.

It seems that the depositing process is unclear, as many participants indicated that they did not know how to do it (*"I don't know how to do it."*) This reason was given 35 times. Twenty-six respondents expressed concerns regarding legal issues and chose the reason *"I'm not sure if it's permitted according to the publishing contract"*. Some respondents thought it might be too troublesome to do so. This reason was given 7 times. There were also 3 respondents who said that they do not want to put their publications in JYX.

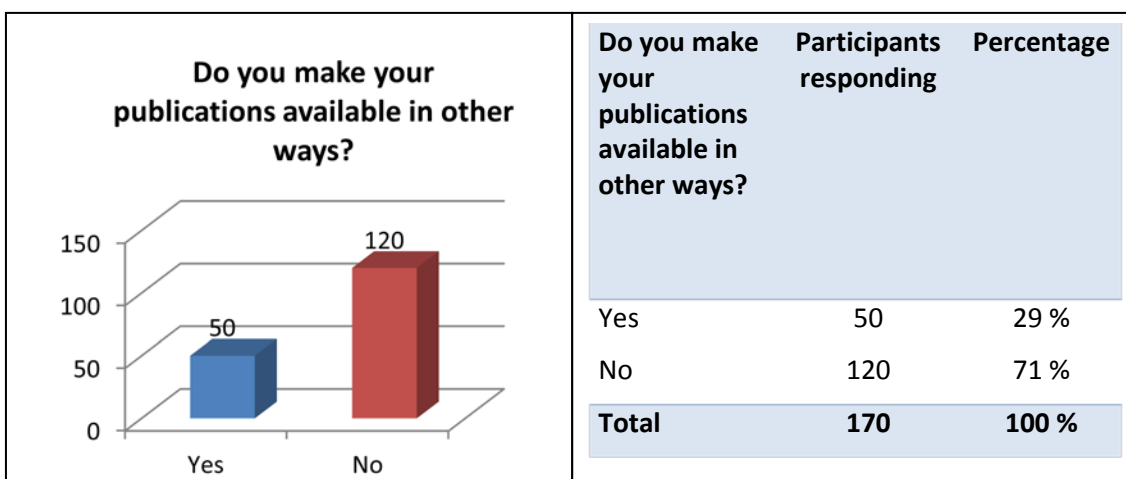
The alternative "Other reason" was chosen by 37 respondents. They were given the possibility to specify the other reason. The most common reason was that the respondent had not published suitable material yet. This is understandable, as many of the participants were young and at the beginning of their careers. Another common reason was the belief that providing open access would always be subject to a charge – in other words, researchers were worried about the expenses. At this point it is worth mentioning that parallel publishing is free of charge. It is true that many OA journals do charge writers, but there are several other ways to provide open access. For example, the University of Jyväskylä aims to provide OA through parallel publishing, which is free of charge to the researchers.





**11. Do you make your publications available in some other way, for example, in a subject-based repository, such as the Physics arXiv repository, a personal website, or other free text?**

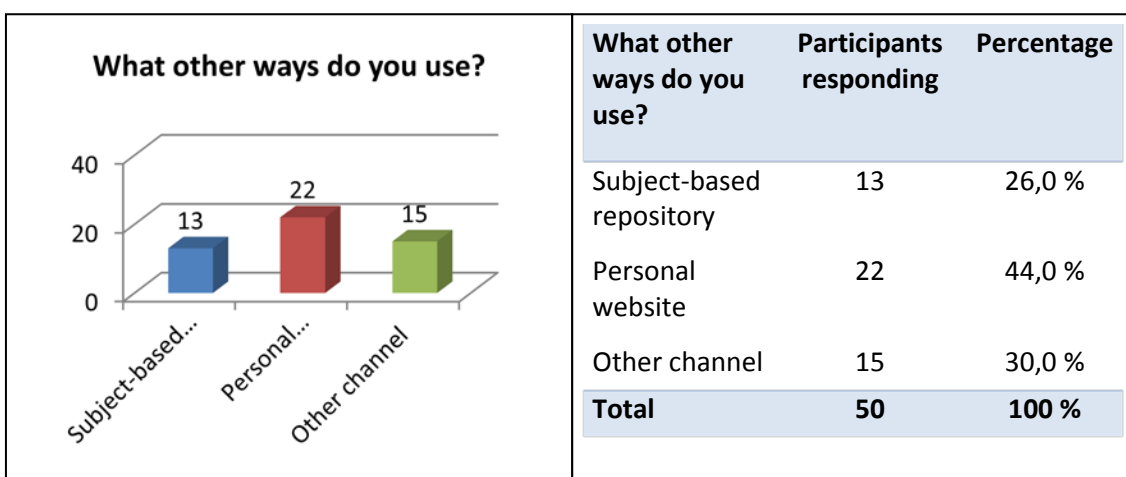
Those respondents who replied that they did not make their publication available in JYX were asked if they made their publications available in some other way. Of these respondents, 29% (50) reported that they did.



**12. What other ways do you use?**

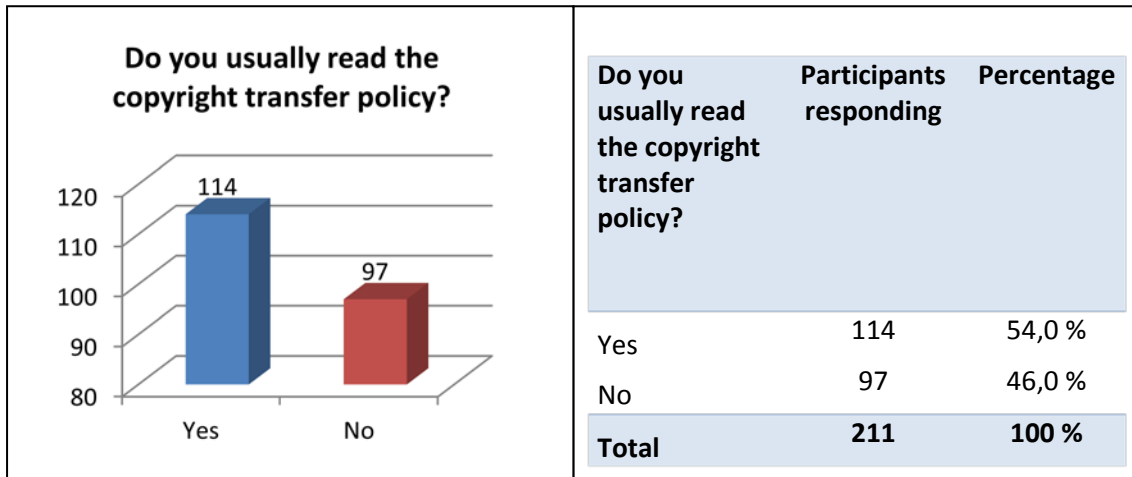
Those 50 respondents who indicated that they do use other ways to make their publications available were asked whether they use subject-based repositories or personal websites or some other channels to do it. As many as 44% (22) of the respondents make their publications available via their personal websites, and 26% (13) use a subject-based repository.

There was also a free text field in which to specify the name of the repository used. In this field the archive called arXiv was mentioned several times. arXiv contains publications particularly from the field of physics.



**13. Do you usually read the copyright transfer policy you sign before submitting an article to a journal?**

Participants were asked if they read the copyright transfer policies they sign before they submit an article to a journal. The answers were divided almost half and half, such that a slight majority does read these policies. The other half, on the other hand, signs the policy without reading it.



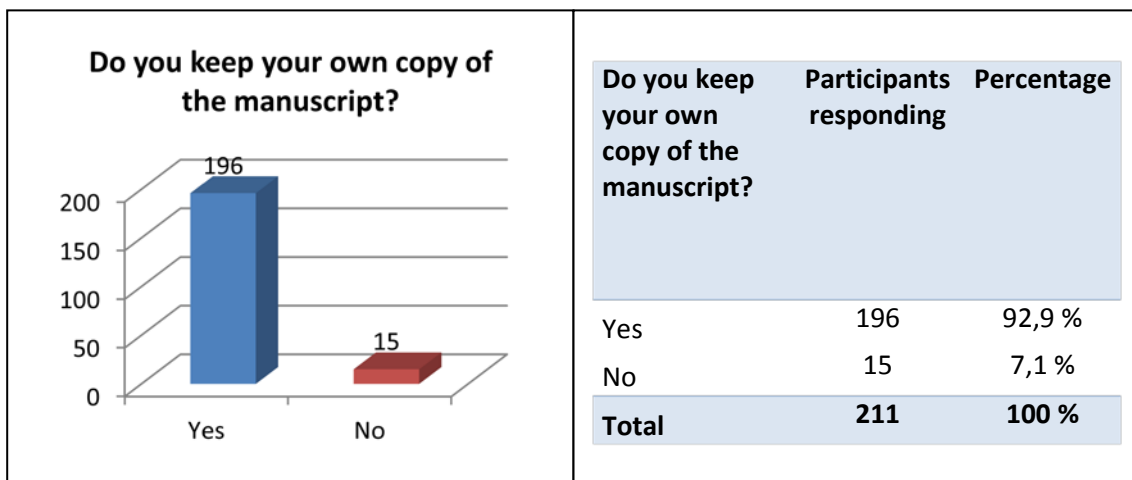
**14. Who you do think "should" own the copyright of research publications?**

Participants were also asked who they thought “should” own the copyright of research publications. The vast majority, 86.7% (183), was of the opinion that the copyright should belong to the author or authors. A bit less than 5% (10) would give it to the publisher, and a bit more than 5% (11) were not able to give their opinion.



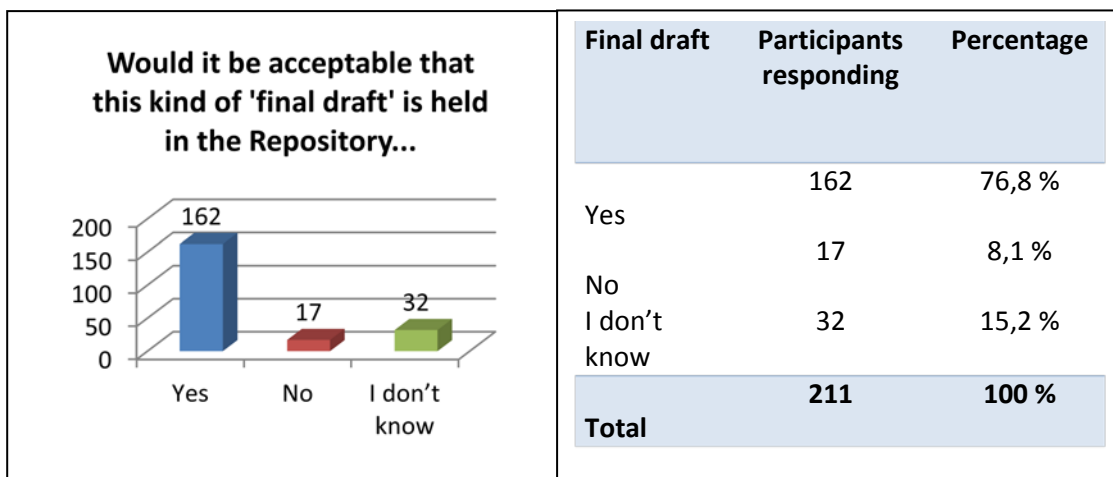
**15. In the process of producing a journal article for publication, do you keep your own copy of the manuscript, the 'final draft'? This is a version identical to the published version in all other respects except for the final layout.**

A so-called 'final draft' is the version most publishers accept to be openly published in the repositories. The participants were asked if they keep this version (i.e. not destroy it even after the final version of the article has been published). In terms of content, the final draft is the same as the 'publisher's final PDF'; but in terms of appearance, it is not. It was good to hear that over 90% (196) do keep these final draft files.



**16. Would it be acceptable to you that this kind of 'final draft' is held in the Repository, if the publisher's permission has been checked for you and is OK.**

Participants were also asked if it would be acceptable to keep these final draft versions in the repositories – if the publisher's permission had been checked for them. The majority of the respondents, almost 77% (162), agreed on this. That many respondents said that they would accept this – on the condition that the publisher's permission has been checked for them.



# Common concerns and clarifications

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There was a text field reserved for feedback at the end of the questionnaire, and the respondents did give delightfully many comments. Many of the participants stressed that open access is a fine opportunity and expressed their satisfaction with the efforts to promote these issues. However, based on the feedback, there also seem to be several concerns and misunderstandings, which prevent researchers from providing open access to their own articles. The most common concerns were: 1) permission issues, 2) concerns regarding the expenses, 3) concerns regarding the final draft version, 4) workflow.

## 1. Permission issues

The most common concern regarding open parallel publishing was that researchers believed it is not allowed. However, the [SHERPA/RoMEO](#) database, which includes publishers' policies, shows that 66% of the publishers do allow post-print archiving – a figure that rises to over 90% when considered by number of journals rather than by publisher. That is to say, open archiving is allowed more often than researchers usually think. It is worth remembering that the publisher also benefits from the visibility of the articles. The more the article is read, the more references it is likely to get (this is not automatic though). And the more references, the bigger the Impact Factor. This is one of the explanations why publishers are in favour of parallel publishing.

The other concern regarding the permission issues is that it is too much trouble for the researcher to seek permission from the publisher. But as a relief to the researchers: **at the University of Jyväskylä, the library takes care of the permission clarifications.** Researchers need not do it themselves.

## 2. Concerns regarding the expenses

There is a common misunderstanding that providing open access would always be subject to a charge. It is not. There are several ways to provide open access, and the way in which the University of Jyväskylä tries to promote it, so-called **parallel publishing, is free of charge.** The misunderstanding comes from OA journals, which, it is true, do often charge authors to cover their expenses. However, publishing in OA journals is not the way the University of Jyväskylä tries to provide open access. Authors need not change their traditional publishing channels, but only deposit the final draft versions of their articles to the repository. The final draft works, as the name indicates, in parallel with the original article. There won't be any extra expenses.

### 3. Concerns regarding the final draft version

As parallel publishing rests on the use of final drafts, some of the respondents expressed their anxiety as to whether it is a) allowed, b) wise to use these kinds of “not final” versions.

*“I don't think a publisher will be pleased if you place a 'final draft' online.”*

*“the 'final version' often still contains minor errors that will have been edited by the journal”*

No need to worry. The final draft version is the most widely accepted version by the publishers. It is relatively rare for publishers to allow parallel publishing of the final PDF (as it has been published in the journal), but fairly standard that the publisher allows the use of author's final drafts.

As to the quality of the final drafts, there is no need to worry, either. It is true the publisher may edit the text slightly even after receiving the final draft. But those corrections really are ‘minor’ at that point. They are no longer related to the research results. This means that **in terms of content**, the final drafts (also called ‘post-prints’) are equal to the published article, and that is the main point.

### 4. Concerns regarding the workflow

Many respondents expressed their worry regarding the time spent. They had the impression that providing open access takes a great deal of time and effort. However, in this case uploading a file of your paper **takes only a couple of minutes**. All papers are copyright-checked by the Jyväskylä University Library to comply with publisher policies and permissions. The researchers therefore need not take care of any permissions, but simply save their research article files in TUTKA upon recording the relevant data. That's all.

*Thank you for participating in the survey!*

## APPENDIX 1.

# OPEN ACCESS – JUST DO IT:

1. Ask permission from your co-authors (if there are any). Verbal agreement is enough.
2. Save the **final draft file** of your article in TUTKA upon recording the relevant data.

**THAT'S IT.  
THE LIBRARY WILL TAKE CARE OF THE REST.  
(INCLUDING THE CLARIFICATION OF THE  
PUBLISHER'S PERMISSION)**

### **FINAL DRAFT** (aka Post-print version)

The version of the paper after peer-review, with revisions having been made. In terms of content it is the same as the Publisher's final PDF, but in terms of appearance it is not. The layout of the article differs from the article published in the print journal; for example the page numbers are not correct. Also called Post-print (or Author's Post-print).

## APPENDIX 2: Questionnaire

### Introductory text

Welcome to the survey! The purpose of this questionnaire is to find out researchers' attitudes at the University of Jyväskylä regarding Open Access of research articles. We are launching a survey to find out what you think about Open Access and how you use the University Repository.

The University of Jyväskylä aims to be an institution advancing free scholarly information and know-how. Free access to scholarly information is one of the university's strategic goals, and researchers are recommended to save the files of their research articles to be openly available.

Responses are anonymous and answers will be treated confidentially in accordance with good scientific practice. The survey contains from 13 to 16 short questions (depending on choices), and will take no longer than 5 minutes to complete.

Among the respondents 5 copies of vouchers worth € 20 to Kirjavetriini will be raffled. If you want to participate in the draw, please leave your contact information in the final part of the questionnaire. Name is used only for the lottery. It will not be associated with the provided answers.

The survey is conducted by the University Library.

The survey is open until 29.02.2012.

## BACKGROUND INFORMATION

### 1. Your age group

- Under 30
- 30-39
- 40-49
- 50-59
- 60 and over

### 2. Where are you in your research career?

- Less than 5 years experience
- 5-15 years experience
- 16 or more years experience

### 3. What faculty are you in?

- Faculty of Humanities
- Faculty of Information Technology
- Faculty of Education
- Jyväskylä University School of Business and Economics
- Faculty of Sport and Health Sciences
- Faculty of Mathematics and Science
- Faculty of Social Sciences
- Separate Institutes and Service Departments

## OPEN ACCESS PUBLISHING

Open Access publishing allows access to scholarly publications via the Internet in such a way that the material is free for all to read, and to use (or reuse) to various extents.

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

- Strongly in favour
- Mildly in favour
- Mildly against
- Strongly against
- Don't know

**5. Are you seeking to publish in Open Access journals?**

- Yes
- No
- I do not consider that as a criterion

**6. Do you usually know whether the funding body of your research requires or recommends open access archiving of their funded research?**

- Yes
- No

## UNIVERSITY'S DIGITAL ARCHIVE

Many universities have set up open publication archives for their researchers. The aim of these kind of institutional repositories is to add visibility and accessibility of the research. In the University of Jyväskylä this repository is called JYX. The University urges researchers to use JYX archive and save the articles to be openly available. Articles are delivered to JYX via TUTKA research system.

**7. How do you feel about using Open Access repositories?**

- Strongly in favour
- Mildly in favour
- Mildly against
- Strongly against
- Don't know

**8. Do you know about the Digital Archive of the University of Jyväskylä (JYX)?**

**[if no, please go directly to question 11]**

- I know it well
- I know something about it
- I don't know it at all

**9. (If yes,) Do you currently make any of your publications available in the Repository?**

**[If yes please go directly to question 13]**

- Yes
- No



**10. If you (do know JYX, but) are not currently making material available in it, why not?**

**(You may choose several alternatives.)**

- I don't know how to do it
- I'm not sure if it's permitted according to the publishing contract
- I don't have the permission from the other authors
- It's too much trouble
- I don't want to put my publications in to JYX
- Other reason

Do you want to specify? \_\_\_\_\_

**11. Do you make your publications available otherways, for example in a subject-based repository, such as the Physics arXiv repository, personal website, other free text? [Jos El,**

**hyppy kohtaan 13]**

- Yes
- No

**12. If so, what other ways do you use?**

- Subject-based repository
- Personal website
- Other channel

Do you want to specify? \_\_\_\_\_

**13. Do you usually read the copyright transfer policy you sign before submitting an article to a journal?**

- Yes
- No

**14. Who do you think "should" own the copyright of research publications?**

- Author/s
- Employing institution
- Primary Funder
- Publisher
- Someone else
- I don't know

**15. In the process of producing a journal article for publication do you keep your own copy of the manuscript, the version called final draft? This is a version identical to the published version in all other respects except for the final layout.**

- Yes
- No

**16. Would it be acceptable to you that this kind of 'final draft' is held in the Repository, if the publisher's permission has been checked for you and is OK.**

- Yes
- No
- I don't know

**FREE TEXT/FEEDBACK/COMMENTS** \_\_\_\_\_

**Many thanks for completing this survey  
– your time is much appreciated.**

The results will be made available during the spring.

For more information about Open Access:

<http://openaccess.jyu.fi/en>

For more information about the repository:

<https://jyx.jyu.fi>

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Acknowledgements and thanks to:

*“The United Kingdom Council for Research Repositories and the Repositories Support Project”*  
who gave us the original idea for this survey. Please see more information:

<http://rspproject.wordpress.com/2011/03/04/unlocking-attitudes-to-open-access-in-the-uk/>