

**Open Access Task Force Report
Illinois State University**

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Executive Summary

Public Act 098-0295, also known as the Illinois Open Access to Research Articles Act, was passed by the legislature on August 9, 2013. In a general sense, the term Open Access and for purposes of this Report has come to mean (1) providing public access to scholarly articles via the Internet free of charge and without most copyright and licensing restrictions, (2) long-term preservation and access to publicly funded scholarly work, and (3) broad accessibility for the public to use and reuse open access work, particularly for further research. The scope of Open Access can also extend beyond research articles to include photographic and artistic images, theses and dissertations, scientific databases, etc.

Public Act 098-0295 required each Illinois public university to appoint a task force. The Act then placed a charge on each university task force to review current publishing practices by faculty members and draft a policy regarding open access to research articles based on criteria appropriate to the individual university. In making policy recommendations, each task force was asked to consider (1) how the University can best further the open access goals set forth in the Act, (2) review how peer institutions and the federal government have addressed open access and ensure consistency of the recommended approach with steps taken by federal grant-making agencies, and (3) academic, legal, ethical, and fiscal ramifications of open access publishing.

In November 2013, Judge Michael P. McCuskey, chairperson of Illinois State University's Board of Trustees, appointed the Illinois State University Open Access Task Force, led by Dr. Jim Jawahar and Dr. Steven Juliano, to develop an open access policy for Illinois State University and submit a report addressing elements of the charge. The appointed Task Force met six times over the course of the spring semester 2014. As called for by the Act, the Task Force conducted three open forum sessions to solicit input from faculty and other members of the University community regarding implications of an Open Access policy. The Task Force also administered an online survey to faculty, staff, and graduate students which solicited input regarding the elements of the charge. Information collected through these multiple approaches informed the Task Force's recommendations and shaped the draft Open Access Policy. The report was posted on the Open Access website, a summary of the recommendations and proposed Open Access policy was distributed to faculty, and feedback from the University community was solicited through open forums. Illinois State University's Academic Senate endorsed the direction of the proposed Open Access policy at its meeting on September 24, 2014. The revised report will be submitted by the Task Force for the Board's consideration.

The recommendations and a proposed open access policy are presented next for your review and comment. Our most important recommendations are:

- The University should adopt a voluntary Open Access Policy to support the highest level of academic freedom as well as promote public access to research.
- Faculty and other members of the ISU community should be encouraged to deposit completed research, creative activity, and scholarship in open access repositories.
- Accepted Author Manuscripts (i.e. the final peer-reviewed version of a research publication) should be the preferred version to be made assessable via open access.

Section 1: Summary of Task Force Open Access Recommendations

The Task Force was charged with assessing academic, legal, ethical, and fiscal ramifications related to ten specific topic areas (listed below) included in the Act. The Task Force's recommendations follow each of the ten required areas of inquiry in Section 1 and a broader discussion of these ten factors and recommendations can be found in Section 3.

Issue (1) The question of how to preserve the academic freedom of scholars to publish as they wish while still providing public access to research.

Task Force Recommendation: The State and the University should adopt a voluntary Open Access Policy to support the highest level of academic freedom and promote public access to research. All University researchers should be able to place their published research in fully functional open access institutional repositories.

Issue (2) The design of a copyright policy that meets the needs of the public as well as of authors and publishers.

Task Force Recommendation: The University's existing Intellectual Property and proposed Open Access Policy will encourage faculty and researchers at the University to make research articles available in open access formats without unduly limiting faculty's research and scholarship.

Issue (3) The design of reporting, oversight, and enforcement mechanisms.

Task Force Recommendation: Consistent with the recommended policy to encourage (but not to mandate) public access to research articles, the Task Force recommends that authors be encouraged to self-report open access publications to their respective departments/schools when they submit materials for annual evaluations and that departments/schools track this information for record keeping purposes.

Issue (4) The cost of maintaining and, where applicable, creating institutional repositories.

Task Force Recommendation: As part of the statewide initiative to foster open access, the Task Force recommends that funds be allocated through the state budget process to support costs of maintaining, expanding, or creating institutional repositories.

Issue (5) The potential for collaboration between public universities regarding the use and maintenance of repositories.

Task Force Recommendation: The Task Force recommends that state-wide initiatives to promote inter-institutional collaboration between the public universities should be leveraged

through existing professional organizations such as the Council of Directors of State University Libraries of Illinois.

Issue (6) The potential use of existing scholarly repositories.

Task Force Recommendation: The Task Force recommends that university open access policies encourage placement of publications in federal open access repositories (e.g., PubMed Central) that meet requirements of federal funding, and in the institutional repository but that scholarly repositories that do not permit the University to manage, highlight, and ensure long-term access to its scholarship would not be beneficial to meeting the goals of open access.

Issue (7) The fiscal feasibility and benefits and drawbacks to researchers of institutional support for Gold¹ Open Access fees.

Task Force Recommendation: Gold Open Access fees require authors/institutions to incur initial publication costs. If Illinois State University is required to adopt a policy that mandates faculty and other authors to make use of open access publication outlets, the Task Force recommends that additional funds should be made available by the State as a resource to defray publication costs associated with a Gold Open Access publication model. Some options to consider might include a fund or funds administered at the College level or one centrally administered by Academic Affairs or the oversight office recommended in the specific item (3) of the Task Force. Should such a fund be established, the administration office would create allocation policies for making funds available to the university community.

Issue (8) The differences between academic and publishing practices in different fields and the manner in which these differences should be reflected in an open access policy.

Task Force Recommendation: To accommodate variation between academic disciplines and related publishing practices, the Task Force recommends that an Open Access Policy adopted by the University be on a voluntary basis.

Issue (9) The determination of which version of a research article should be made publicly accessible.

Task Force Recommendation: As noted in the proposed Policy, the Task Force recommends that the final, post-peer-reviewed version (i.e., Accepted Author Manuscript) be the preferred version to make accessible via open access.

Issue (10) The determination of which researchers and which research ought to be covered by an open access policy.

¹ Gold Open Access Fees typically refers to an open access publication model where publication costs are covered by fees by an author or institution rather than where a journal is supported primarily through subscription or advertising fees.

Task Force Recommendation: Completed research, creative activity, and scholarship are essential activities of the University and important contributions to the welfare of the State of Illinois. All members of the Illinois State University community should have the opportunity and the choice to make their work available by open access. Research in progress, laboratory notes, data, preliminary data analyses, notes of the author, phone logs, or other information used to produce final manuscripts; or classified research, research resulting in works that generate revenue or royalties for authors (such as books), or patentable discoveries, copyrighted performances, juried exhibitions should not be covered by an Open Access Policy.

Based on these recommendations, the Task Force has drafted an Open Access Policy for Illinois State University. The Task Force's recommendations are also discussed in more detail in Section 3. The policy is presented next.

Section 2: Proposed Open Access Policy for Illinois State University

Public Act 098-0295 charged the task force with drafting a proposed open access policy. Any actual open access policy at Illinois State University would be enacted following the normal University process.

The Illinois State University community is supportive of the goals of open access and endeavors to promote open access of research articles produced by faculty, administrators, staff, and students. The University is committed to disseminating research and scholarship as widely and freely as possible to benefit the citizens of Illinois and beyond.

Consistent with the University's commitment to the highest level of academic freedom, the University adopts a policy to support open access by encouraging authors to make their scholarship widely available to the public. This Policy neither requires nor prohibits authors from publishing in an open access format or a non-open access format. The choice of where and how to publish is the author(s)' choice as it has always been.

For purposes of this Policy, Illinois State University understands the term "Open Access" to encompass:

- (1) Providing public access to research articles (via the Internet or other means) free of charge and most copyright and licensing restrictions;
- (2) Providing access to work using a mechanism that provides for long-term preservation and access to publicly funded scholarly work;
- (3) Providing public access to work in a broad manner that provides for the opportunity to use and reuse the work, particularly for further research.

For purposes of this Policy, the term "research" includes research, creative activity, or other work intended to be made publicly available, such as articles accepted for journal publication and any other work selected by the author. The term is not intended to include research in progress, laboratory notes, data, curated collections, preliminary data analyses, notes of the author, phone logs, or other information used to produce final manuscripts; or classified research, research resulting in works that generate revenue or royalties for authors (such as books), or patentable discoveries, copyrighted performances, and juried exhibitions.

Authors are encouraged to submit a version of their article, or other scholarship, which they deem most appropriate, in any file format, with the University's Institutional Repository. The final, post-peer-reviewed version (i.e., accepted author manuscript) is the preferred version to make publicly accessible. If the author pursues Gold Open Access, the URL to the open access article may be deposited in lieu of the author version of the article.

Section 3: Discussion of Task Force Recommendations

The primary charge of the Illinois State University Open Access Task Force is overall consideration of how the University can best further the goals of open access to the research publications produced by researchers at Illinois State University (ISU). As an alternative model of scholarly communication, open access makes academic scholarship and creative endeavors freely available to anyone with a connection to the Internet. Through open access, universities serve the public good; the citizens of Illinois and elsewhere can discover research that matters to them without paying fees or subscriptions.

Public Act 098-0295 (“Act”) charged each university task force to consider the issue of open access in several different contexts ranging from the specific facets of an open access policy to consideration of how Illinois could foster open access initiatives on a statewide level. As noted earlier in the Report, the Task Force used different means to identify issues and solicit feedback from the ISU community. In making recommendations concerning an open access policy, the Task Force considered publishing practices in the many disciplines represented at ISU, as well as open access policies in other institutions. The Task Force also investigated the cost of open access, which creates a significant obstacle to the use of open access publication methods for many faculty and for the University as a collective.

The discussion below centers on the questions and points posed by the Illinois State Legislature to the University (and the Task Force) in the Act. For each issue, the Task Force’s response reflects both the contributions of individual Task Force members and feedback provided by the University community.

University Open Access Policy versus State Mandated Open Access Requirements

The Act charged the Task Force to assess whether the goals of open access would be best served by the creation of a policy at an institutional level—that is, an ISU-specific policy—or one that addresses the issue across all state institutions in Illinois.

Individual university policies have the advantage of specificity in that said policy reflects the scholarly goals, traditions, and values of each individual campus. A state-wide policy for all public universities has other benefits. While a state-wide policy would necessarily be more generalized, such a policy could give all universities more leverage when negotiating with publishers concerning rights to place research products onto open access platforms (see specific areas **(2)** and **(5)** below). Because many if not all the academic disciplines represented at ISU are represented at other state universities in Illinois, some of discipline-specific issues relating to the application of open access policies will be evident across all state universities. Further, the publishers that are active in producing the scholarly works of faculty and staff of ISU are, in most cases, the same publishers that produce scholarly works for all state universities. Therefore a general policy on open access for all state universities of Illinois would be useful, even if the specifics of its implementation and management may differ among campuses. For a state-wide policy or plan, it is clearly necessary to have all state universities involved in discussions. However, it is difficult to coordinate across institutions, and therefore, the task force does not feel that it is feasible to develop a state-wide policy at this time.

Review of Peer Institutions

The Act charged the Task Force to review how peer institutions and the federal government are addressing issues related to open access. As such, the Task Force has reviewed model open access

policies, practices and approaches of peer institutions in Illinois, peer or model institutions nationally, and the federal government.

Peer Illinois Institutions

At the present time, every public institution in the state of Illinois has established a Task Force (as mandated by state law) and is in the process of drafting an open access policy for its faculty, staff, and graduate students. There is general consensus that deliverables include a report addressing the elements of the charge and an open access policy. The University of Illinois, Southern Illinois University, and Northern Illinois University are all in the process of drafting the report. The University of Illinois intends to model its policy after that of the University of California, Berkeley.

Federal Policies

The Task Force has reviewed sample federal open access policies and has identified several aspects of those policies that, in the Task Force's view, should be incorporated into Illinois' approach to open access. A particularly useful example of federal policy on open access is the National Institutes of Health (NIH) policy available at <http://publicaccess.nih.gov/policy.htm> :

The Director of the National Institutes of Health shall require that all investigators funded by the NIH submit or have submitted for them to the National Library of Medicine's PubMed Central an electronic version of their final, peer-reviewed manuscripts upon acceptance for publication, to be made publicly available no later than 12 months after the official date of publication: Provided, that the NIH shall implement the public access policy in a manner consistent with copyright law.

There are several aspects of this policy that serve as useful models for successfully encouraging open access publications.

- 1) This policy is uniform and can be applied across many different research disciplines supported by NIH funding including the natural sciences, social sciences, medicine, mathematics, and business, among others.
- 2) This policy is accepted by commercial publishers. In part this acceptance is a result of the "strength in numbers" that arises from the extent of NIH's funding of scientific research.
- 3) The publishers in many cases submit the electronic version of the final accepted manuscript (**Accepted Author Manuscript**) to the NIH, indicating their desired embargo period. This alleviates some of the burden on authors of implementing open access and negotiating with publishers.
- 4) This policy establishes a mechanism for open access (i.e., the NIH electronic repository held as part of the National Library of Medicine's PubMed Central) that minimally impacts authors' academic freedom to choose a journal for publication based on audience reached, appropriateness for the authors' work, costs of publication, prestige, and any other considerations deemed important by the authors.
- 5) Open access is only implemented after publication (typically peer reviewed), and only the final accepted version of a publication is made available by open access.

- 6) The costs of implementing the open access policy are borne by the institution mandating the open access policy (i.e., NIH maintains PubMed Central out of its own budget), rather than by the author of the published research.

A similar open access policy initiative is in development in FY2014 at the National Science Foundation (NSF): http://www.nsf.gov/about/budget/fy2014/pdf/45_fy2014.pdf.

Our Task Force recommends that ISU's policy and general approach to encouraging open access should have as its goals these same six factors. Specific Task Force's recommendations **((1), (4), (5), (7), and (10))** below relate to these factors for how ISU and the State of Illinois can implement a system that will achieve these goals.

In 2013, the White House sponsored a major federal initiative to promote open access. Specifically, in February 2013, John P. Holdren, Director of the Office of Science and Technology Policy (OSTP) of the White House, issued a memorandum directing all federal agencies with over \$100 million in research and development expenditures to "develop a plan to support increased public access to the results of research funded by the Federal Government." This includes both published peer-reviewed research as well as unclassified research data.²

The Department of Energy was the first to respond to this memorandum; in August 2014 Secretary of Energy Ernest Moniz announced that a web-based portal, Public Access Gateway for Energy and Science, was in its beta testing stage and that all researchers who accept funding from the Department of Energy shall be required to make the results of their work available on this web portal within one year of its completion.

The 2013 OSTP memorandum sets out a number of elements that must be addressed in each plan, as well as a set of objectives to which each plan must adhere. These include, in brief:

- Provision for public access (for reading, downloading, and analysis) in digital form to the final peer reviewed manuscripts or final published articles within an appropriate timeframe. The memorandum specifies that the agencies should consider the 12 month post-publication embargo period as a guideline but that embargo can be tailored as appropriate.
- Assurance of full public access to publications' metadata without charge upon publication.
- Encouragement of public-private collaboration to meet the goals including use of existing archives (or repositories) as well as partnerships with journals and publishers.
- Maximizing provision of public access to research data where possible (i.e., where issues such as privacy, confidentiality, proprietary ownership, and export control do not prevent this).

² See:

http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf for the full memorandum.

- A requirement that all researchers receiving federal grants for scientific research will develop data management plans, including a description of how they will provide for the long-term preservation of and access to research data.
- Promotion of the deposit of data in publicly accessible databases where appropriate.

In May 2013 the National Research Council Division on Behavioral and Social Sciences and Education organized two meetings on behalf of a group of cooperating agencies to provide a place for stakeholder and public comment. See:

http://sites.nationalacademies.org/DBASSE/CurrentProjects/DBASSE_082378#.UYm345W9pjC

In the wake of the OSTP memorandum, external stakeholders floated two major proposals

- The Clearinghouse for the Open Research of the United States (CHORUS) was proposed by a group of over 100 publishers and related organizations. See <http://chorusaccess.org/>.
- Shared Access Research Ecosystem (SHARE) from the Association of Research Libraries (ARL), the Association of American Universities (AAU), and the Association of Public and Land-grant Universities (APLU). See <http://www.arl.org/focus-areas/public-access-policies/shared-access-research-ecosystem-share>.

Agencies were to submit their draft plans to the OSTP within six months of the memorandum (in late August 2013); OSTP would work closely with the Office of Management and Budget to review the draft plans and to provide guidance on the final plans. As of this date, there has been no word from the OSTP as to the status of these plans, or what implementation of the public access policy might look like.

In March 2014, the Frontiers in Innovation, Research, Science and Technology Act (FIRST) Act (HR 4186) was introduced by Representatives Larry Bucshon (R-IN) and Lamar Smith (R-TX). Section 303 of the FIRST Act would call for additional 18 months of study on public access policies and would set the embargo guideline to 24 months from 12 months.

The Task Force's assessment is that any policy implemented by the State or individual universities must be consistent with the requirements that are or will be associated with federal funding.

Task Force Survey Results

As charged by the Act, the Task Force conducted a number of activities to solicit and gather feedback from the ISU community with respect to the open access issues presented.

- The Task Force met six times during the 2014 spring semester.
- Three open forums were held to solicit input from faculty; and
- A survey was administered to all faculty, administrators, and graduate students at ISU.

Survey Results:

A total of 501 participants responded to the survey. Of these, 249 were tenured or tenure track faculty members, almost 36% of the tenured/tenure-track faculty members at ISU. Full, Associate, and Assistant Professors were well represented. The composition of this sample, together with the relatively high responses rate (36%) allowed the Task Force to have confidence in the survey results.

Key results include the following:

- Faculty generally felt that “research articles produced by faculty at public universities should be made as widely available as possible.”³
- Faculty generally agreed with the statement that “ISU should strongly encourage faculty to place copies of their research articles on the ISU institutional repository.”⁴
- Faculty neither agreed nor disagreed with the statement that publishing in Open Access journals will have a positive impact on their research,⁵
- Many faculty also believed that open access journals were not viewed positively within their disciplines.⁶
- Less than 27% of the respondents indicated that they have published at least one article in an open access journal. Thus, nearly three-fourths of the faculty members have **never** published in an open access journal.
- Faculty were somewhat reserved in their recommendation of a policy that would provide and support the opportunity to have their research articles available on the internet, such as through the ISU repository or through open access journals.⁷

Results of the survey informed the Task Force’s consideration of its charge and in drafting the proposed recommendations. A copy of the full survey results is attached in Appendices 2 and 3.

³ Mean = 4.08, SD = 1.03; 5-point scale, 5 = strong agreement.

⁴ Mean = 3.33, SD = 1.19; 5-point scale, 5 = strong agreement.

⁵ Mean = 3.09, SD = 1.14; 5-point scale, 5 = strong agreement.

⁶ Mean = 2.62, SD = 1.11; 5-point scale, 5 = strong agreement.

⁷ Mean = 2.22, SD = 0.96; 4-point scale, 4 = strongly recommend.

Charge Items and Recommendations

Our Task Force was mandated to consider academic, legal, ethical, and fiscal ramifications related to ten specific areas. This discussion provides more detail than the overview in Section 1.

(1) The question of how to preserve the academic freedom of scholars to publish as they wish while still providing public access to research.

The University values open access to research, creative endeavors and other scholarly work produced by students, faculty and staff at ISU. The University also values the academic freedom of authors to publish their work in the venue they deem best for the audience reached, appropriateness for the authors' work, costs of publication, prestige, and any other considerations deemed important by the authors.

Recommendation:

The State and the University should adopt a voluntary Open Access Policy to support the highest level of academic freedom and promote public access to research. All University researchers should be able to place their published research in fully functional institutional repositories allowing open access.

(2) Design of a copyright policy that meets the needs of the public as well as of authors and publishers.

IS U's Intellectual Property Policy 4.1.10 establishes basic statements regarding ownership rights (both copyright and patent) in works, and processes for management of those rights. The stated objectives of the University's policy include:

1. To optimize the environment and incentives for research and for the creation of new knowledge at the University;
2. To ensure that the educational mission of the University is not compromised;
3. To bring technology into practical use for the public benefit as quickly and effectively as possible; and
4. To protect the interests of the people of Illinois through a due recovery by the University of its investment in research.

The policy establishes ISU faculty members' ownership of "traditional academic copyrightable works"⁸ and the University's rights in works for hire, works created pursuant to agreement, works created as

⁸ Traditional academic copyrightable works are a subset of copyrightable works created independently and at the creator's initiative for traditional academic purposes. Examples include class notes, books, theses and dissertations, educational software (also known as course ware or lesson ware), articles, non-fiction, fiction, poems, musical

part of an individual's specific requirement of employment, and works that are patentable. The policy also establishes a process for review and disposition of University intellectual property rights. These principles are incorporated as conditions of employment for our faculty and staff and as conditions of enrollment for our students.

Recommendation:

The University's existing Intellectual Property and proposed Open Access Policy will encourage faculty and researchers at the University to make research articles available in open access formats without unduly limiting faculty's research and scholarship.

The Task Force's recommendation for a proposed policy would integrate key copyright principles into the established Intellectual Property policy and proposed Open Access Policy including:

- Acknowledging faculty members' existing intellectual property rights and encouraging faculty members to promote goals of open access by sharing work [in ISU's institutional repository or other repository] where possible.
- Acknowledging that the University, faculty, students and researchers must comply with and abide by copyright protections.
- Implementing and promoting open access without infringing author rights.
- Promoting goals of open access at key points in the research or publication process to preserve a faculty member's ability to share his/her work in an open-access format by developing contractual language for publication contracts and grants as models available for incorporation into projects including:
 - Reserving certain rights to authors in publication contracts.
 - Reserving the ability of faculty and the University to use work for non-commercial or educational purposes;
 - Reserving the right to prepare derivative works (i.e. works that include aspects of a pre-existing copyrighted work such as preparation of a book that includes a previously published research article) so long as appropriate credit is provided;
 - Reserving certain non-exclusive license rights in a work.
 - Using the Scholarly Publishing and Academic Resources Coalition ("SPARC") Author Addendum as a model for development of a model Illinois State University Author Addendum.

works, dramatic works including any accompanying music, pantomimes and choreographic works, pictorial, graphic and sculptural works, or other works of artistic imagination that are not created as an institutional initiative.”

- Providing appropriate support and resources to faculty members to raise awareness of key copyright issues. Faculty respondents preferred such a policy outlining copyright issues (Mean = 3.46, SD = 0.84, 5-point scale, 5 = strong agreement).
- Providing assistance in negotiations with publishers and other external entities to incorporate open access rights into contracts. Indeed, a majority of faculty respondents indicated the need for assistance in negotiating with publishers (Mean = 3.57, SD = 0.83, 5-point scale, 5 = strong agreement).
- Acknowledging and respecting limitations within different academic fields and interests where open access may not further the goals of the Act.
- Acknowledging these principles may not be applicable in research collaborations with institutions of higher education outside of Illinois.

Concerns: Part of the Task Force’s charge is to consider the academic, legal, ethical and fiscal ramifications regarding design of a copyright policy. We believe our recommended approach outlined below addresses a variety of potential concerns.

- Academic: By adopting a policy of encouragement and support, the academic freedom of faculty and research are respected. By contrast, mandating that public researchers include research articles in an open access format could limit the ability of researchers to collaborate and work with their colleagues. Further, in fields where open access publication is not widely accepted, a mandate to publish in open access mediums may prevent researchers in those areas from entering into contracts with publishers.
- Legal: Open access is becoming an increasingly prevalent trend; however, it is not universal. A policy of encouragement respects the very common practice requiring authors to assign copyrights to publishers in order to be published. By offering, but not requiring, a contractual addendum to preserve author rights to publish in an open access forum, the ability to publish is secured but not unduly limited.
- Ethical: A copyright policy of encouragement preserves the ability of faculty and researchers to enter into and honor contractual arrangements with publishers for research articles.
- Fiscal: For a policy of encouragement to flourish, institutional resources will need to be dedicated to provide faculty with additional assistance, raise awareness, etc.

(3) The design of reporting, oversight, and enforcement mechanisms.

Recommendation:

Consistent with the recommended policy to encourage (but not to mandate) public access to research articles, the Task Force recommends that authors be encouraged to self-report open access publications to their respective departments/schools when they submit materials for

annual evaluations and that departments/schools track this information for record keeping purposes.

This mechanism could include the following components:

- Faculty members and researchers are encouraged to self-report whether (and where) their research articles are publicly available as a part of their annual productivity reports.
- A central office (to be determined, but likely in Milner Library or in the Research Office) would compile the total numbers of articles available as open access, report the total percentage (by College) of these publicly-available articles, and provide general oversight and management of the Open Access Policy. This might include providing training and resources on open access to the University community.
- The Policy will be reviewed on a regular basis by the University Research Council (URC) including the reporting and enforcement process and making recommendations for improving each process.
- Collection of data regarding open access publication would be expected to occur at the Department/School level as part of the annual faculty productivity report.

(4) The cost of maintaining and, where applicable, creating institutional repositories.

The cost of maintaining and creating institutional repositories is directly related to the nature of the work, the scale of the operation, and the technologies used. At a basic level, institutional repositories involve two functions. The first function, more externally focused, consists of promotion and education about the institutional repository in order to gather scholarly content from the campus. In our recent survey, nearly 70% of the campus respondents (faculty, staff, and graduate students) indicated that they were unfamiliar with ISU's institutional repository.

The second function concerns the technical aspects of ingesting scholarship into the repository, including copyright clearance. This is primarily an operation that takes place behind the scenes. Components consist of checking publisher policies and author agreements, negotiations with publishers, creation of metadata, and the technical process of loading the scholarship.

In most universities, the institutional repository is managed by the library and librarians because of their historic role in preserving and providing access to scholarship. While many institutions may begin an institutional repository with one highly skilled and knowledgeable librarian, this approach is not advisable for more comprehensive campus-wide initiatives. An effective institutional repository program would likely require at least two full-time staff at the start increasing to at least three full-time staff as the program develops from one based on voluntary deposits to one that includes required deposits.

In terms of technological costs, an institutional repository may be maintained and created in one of two ways. On one hand, the University may contract with a company to provide a technological platform and service to host its scholarship (which is our current solution). In this case, the institutional repository is

ready to go but may lack the flexibility to be modified in ways that would make it better suited for local needs. For instance, it may not support all of the desired scholarship formats (e.g., audio or video). Currently, ISU pays \$31,700 for an annual license with *BePress*[®], the most well-established commercial provider. Most libraries that choose commercial software work with *BePress*[®].

On the other hand, the University could develop its own institutional repository using open source software which would be freely available on the Internet. While open source technologies provide more opportunities to design an institutional repository that meets specific university needs, they also require specialized technology skills. Development of open source software would require either hiring another staff member, or tapping into existing technological expertise somewhere else in the organization.

As noted above, our recommendation for staffing depends on broader implementation strategies. At least two full time staff would be required to support a program of voluntary faculty deposits of scholarship, though this would increase to three if faculty deposits are required or becomes widespread and normative. This also assumes continuation of our contract with *BePress*[®]. Inter-university collaboration on the development of a statewide repository may lead to other opportunities. The majority of faculty respondents indicated that scholarly repositories are valuable for their research (Mean = 3.37, SD = 1.19, 5-point scale, 5 = strong agreement) and have called for a user-friendly self-archiving website to the institutional repository (Mean = 3.29, SD = 0.92, 5-point scale, 5 = strong agreement).

Recommendation:

As part of the statewide initiative to foster open access, the Task Force recommends that funds be allocated through the state budget process to support costs of maintaining, expanding, or creating institutional repositories.

(5) The potential for collaboration between public universities regarding the use and maintenance of repositories.

Collaboration among public universities in developing institutional repositories represents a realistic possibility that would benefit participating institutions as well as the citizens of Illinois. The most likely scenario would involve partnering to create a statewide institutional repository using open source software. Precedents for such repositories exist in Ohio (<https://drc.ohiolink.edu/>), Texas (<http://www.tdl.org/services/member-repositories/>), and North Carolina (<http://libres.uncg.edu/ir/>) all support state-wide open source repositories, to name just a few. In at least two of these three states, the statewide program provides a common technological infrastructure and central online access point, while each institution takes responsibility for processing, loading, and promoting their own open source scholarship.

If State of Illinois institutions were to pursue an open source solution, the costs would involve hiring staff to develop the technological platform. Alternatively, State universities could work together to purchase software licenses from a commercial vendor. Unfortunately, *BePress*[®] does not offer group licensing. Instead, this vendor would require each university to license its own platform. To complement

these sites, the institutions should collectively license a separate site to aggregate and make accessible all of the state's scholarly production. The HELIN Library Consortium of Rhode Island is an example of this model (<http://helindigitalcommons.org/>). The cost for the statewide aggregator would be about \$13,000 to \$14,000.

The potential benefits of collaborating on a statewide repository are many. They include reduced costs and scalability, the elimination of duplicate technologies, centralized support, and shared understandings and practices around the state. In addition, collaborative development of a statewide institutional repository offers the greatest possibility that Illinois scholarship, of individual institutions and throughout the state, is better maintained and more readily accessible than would be possible by any institution alone. The only downside of such collaboration may be the logistical challenges associated with developing this project among a large number of institutions. In sum, while a statewide repository would not reduce the local costs of processing scholarship and promoting the service to campus, it could provide a common technological platform and appearance for all of the participating State institutions.

Recommendation:

The Task Force recommends that state-wide initiatives to promote inter-institutional collaboration between the public universities should be leveraged through existing professional organizations such as the Council of Directors of State University Libraries of Illinois.

(6) The potential use of existing scholarly repositories.

An alternative to developing and maintaining institutional repositories would be to use other existing scholarly repositories such as Academia.edu or Merlot.edu. These are social media tools that provide scholars with the opportunity to post their publications on the Internet. On the positive side, they are free to individuals desiring to post their scholarship. However, the weaknesses of this approach far outweigh the strengths. Because the University lacks contracts or licenses for these freely available tools, it would lack guarantees about continuous future access to any scholarship posted there. Additionally, these tools are unmediated which can be a strength, but alternatively, can result in sloppy, poorly managed pages without adequate copyright clearance. From an institutional and State perspective, scholarship is not readily identified as originating from a public college or university. While it is possible to search for individuals and scholarship associated with specific institutions, the information is not well organized. Overall, these tools do not reflect well on the institutions with whom the individual scholars are affiliated and present serious problems concerning guaranteed long term access.

Recommendations:

The Task Force recommends that university open access policies encourage placement of a publication in federal open access repositories (e.g., PubMed Central) that meet requirements of federal funding, and in our institutional repository, but that scholarly repositories that do not

permit the university to manage, highlight, and ensure long-term access to its scholarship would not be beneficial to meeting the goals of open access.

(7) The fiscal feasibility and benefits and drawbacks to researchers of institutional support for Gold Open Access fees (where publication costs are covered by author fees rather than by subscription or advertising fees).

Cognizant of the fact that open access publications, particularly Gold Open Access publications, require fees (often **several thousand dollars per publication**) from the author, the Task Force is of the opinion that it will be unrealistic/impracticable to ask authors to bear the cost. At ISU many faculty publish several articles per year, and this level of productivity will result in an open access cost that is beyond the means of most of our faculty. The Task Force is also of the opinion that author fees and publication expenses for individual articles may outweigh the benefit to individual authors but that publication in open access media will be beneficial to the institution by enhancing its research profile.

Recommendation:

Gold Open Access fees require authors/institutions to incur the initial publication costs. If ISU is required to adopt a policy that mandates faculty and other authors to make use of open access publication outlets, the Task Force recommends that additional funds should be made available by the State as a resource to defray publication costs associated with a Gold Open Access publication model. Some options to consider might include a fund or funds administered at the College level, or centrally administered by Academic Affairs or the oversight office recommended in the specific item (3) of the Task Force. Should such a fund be established, the administration office would create allocation policies for making funds available to the university community.

(8) The differences between academic and publishing practices in different fields and the manner in which these differences should be reflected in an open access policy.

With the exception of proprietary research that results in patents and licensing of products of research, all research is published in scholarly journals that may be accessed through public libraries in the state of Illinois. There is tremendous variation between disciplines about requirements and availability of open access publishing and a voluntary open access policy supports the ability of individual disciplines to manage this variation.

Recommendation:

To accommodate variation between academic disciplines and related publishing practices, the Task Force recommends that an Open Access Policy adopted by the University must be on a voluntary basis.

(9) The determination of which version of a research article should be made publicly accessible.

Recommendation:

If ISU adopts a policy requiring or strongly encouraging faculty members to make their research articles publicly accessible, the final, post-peer-reviewed version (i.e., Accepted Author Manuscript) is the preferred version to make publicly accessible.

The accepted author manuscript is the version of research after the author makes any changes based on the peer-review process but before the publisher begins preparing the manuscript for publication. For example, the author would likely submit a Portable Document Format (PDF) version of a MS Word® manuscript document to the ISU institutional repository. If the publisher grants the author the right to post the final version after the publisher's copy-editing and formatting, this is ideal, but most publishers would not allow that. In such cases, authors will have the option to "opt-out" and submit an alternate version that includes the complete citation. However, if the author pursues Gold Open Access, and publishes his or her research article in an open access journal (usually for a fee), the URL to the open access article could be deposited in lieu of the author version of the article. If the author does not publish the article in an open access journal, the full citation to the published version in a non-open access journal could still be included with the author's version. Many would have access to the journal, for example, through a university library.

(10) The determination of which researchers and which research ought to be covered by an open access policy.

Recommendation:

Completed *research, creative activity, and scholarship are essential activities of the University and important contributions to the welfare of the State of Illinois. All members of the Illinois State University community should have the opportunity and the choice to make their work available by open access.*

Research in progress, laboratory notes, data, preliminary data analyses, notes of the author, phone logs, or other information used to produce final manuscripts; or classified research, research resulting in works that generate revenue or royalties for authors (such as books), or patentable discoveries, copyrighted performances, juried exhibitions should not be covered by an Open Access Policy.

Section 4: Proposed Implementation Plan

The Act calls for the Task Force to develop an implementation plan related to the proposed Open Access Policy. The elements of the plan outlined below are embedded in the Task Force's response and recommendations to the 10 issues identified in the Act. Should the University elect to move forward to implement the proposed Open Access Policy, the Task Force recommends the University address the following steps.

Policy: Any actual Open Access Policy at Illinois State University would be enacted following the normal University process. Following the normal University process, the proposed Open Access Policy recommended by the Task Force would be reviewed by University Administration and other concerned parties, revised, and submitted to the Academic Senate for consideration.

Institutional Repository: Illinois State University already has an institutional repository (ISURed). The repository is housed in Milner Library and is equipped to host scholarship deposited by faculty and other members of the University community. An effective institutional repository program would likely require at least two full-time staff at the start, increasing to at least three full-time staff as the program develops and more authors make use of the repository. In addition, efforts to promote awareness and usage of ISURed would be necessary.

Depositing Scholarly Work: Authors are encouraged to deposit their research, creative activity, or other scholarly work with ISURed.

Monitoring: A central office (to be determined but likely in Milner Library or in the Research Office) would compile relevant statistics for reporting to the administration and to the state, as needed, and provide general oversight and management of the Open Access Policy, including providing training and resources on open access to the University community. University authors will be encouraged to self-report open-access publications annually to the central office.

Review: The Policy will be reviewed on a regular basis by the University Research Council (URC) including the reporting and any enforcement process and making recommendations for improving each process.

Resources: If ISU is required to adopt a policy that mandates faculty and other authors to make use of open access publication outlets (and, to emphasize, the Task Force does **NOT RECOMMEND** such a mandate), substantial funds would need to be made available to the University as a resource to defray publication costs associated with a Gold Open Access publication model. Some options to consider might include a fund or funds administered at the College level, or centrally administered by Academic Affairs or by an office designated with oversight. Should such a fund be established, the office responsible for oversight should create allocation policies for making funds available to the university community.

Appendices

Appendix 1: Open Forum Comments

Social Sciences/ Business/ Education

- Confidentiality – FERPA, HIPPA
- Publishing of data sets
- Influence on IRB process
- Expense not pushed to author
 - Other financial implications
- Implications for collaborators in different states
- Implications for creating organizations that circumvent open access
- Prepublication version may not be same as published version, thus citations may not be accurate
- DIO will it connect to most recent publication (pre or final?)
- Impact factor implication for journals if open or ISU Red paper are cited instead of published article.
Impact on rating for journals of authors

Natural Sciences

- Costs of publishing in open access journals can be cost prohibitive – what support might be provided to assist authors?
- Article impact is positively correlated with costs of open access, so limited budgets may impact prestigious venues for publication
- Non-published works (notebooks, phone conversations) should not be part of the open access policy.
- What happens when you have non-ISU or Illinois coauthors? Non-U.S. coauthors?
- Advocate for encouragement rather than requirement of open access
- Provide guidance for how to negotiate publication agreements
- How to deal with data (repository)
 - How any different data formats
 - sometimes propriety software
 - Size (GDB)
- Let federal (NIH) process supersede IL rules
- 1 year grace period
- IL pays for OA journal (~\$2000-5000 per paper)
- Dissertation embargo
- Collaborators concerns
- Retroactivity?
- Will this encourage publication in lesser OA journals vs. higher quality traditional ones?
- Prevent student research repost from prematurely releasing data and conclusions?
- What is peer reviewed? What is not?

Fine Arts (i.e., creative production)

- ISU ReD-input 3-D image/photos?
- Documentation of performances (some are un documentable)
 - Video?
 - Written version?
- ISU: “scholarly and creative production” is definition of research in Fine Arts
- “Public Access” to performances

- Advertise in local media is a way to “make available”

Humanities

- Costs of Support for publishing process (quality control)
- Data set access could enhance verification of findings
- Can't protect author's right to re-use in larger work

Appendix 2: Survey Results (all respondents)

During the spring 2014 semester, the Illinois State University Open Access Task Force administered a survey to faculty and graduate students to obtain feedback about how an open access policy could impact the University, faculty, staff, students, and research. Of the 3,824 individuals invited to participate (1,446 faculty and 2,378 graduate students), 501 responded, giving a 13.1% response rate. An executive summary is provided below, followed by tables and figures containing the results of this survey.

Executive Summary

Regarding familiarity and experiences with open access issues, respondents on average were slightly knowledgeable about both the Illinois Open Access to Research Act and open access to research in general. Respondents also were somewhat interested in learning more about open access, had never published in an open access journal, and were not aware that Illinois State University has an online institutional repository.

Respondents on average moderately agreed that

- Research articles produced by faculty at public universities should be made as widely available as possible;
- Scholarly repositories are valuable for their research; and
- Illinois State University should strongly encourage faculty to place copies of their research articles on the institutional repository,

while they were neutral or neither agreed nor disagreed with other view listed regarding open access. They also indicated that providing easy access to others' research is a very important benefit of open access, whereas the other benefits listed were moderately important.

The majority of respondents indicated that full-time faculty engaged in research and that published research articles should be covered by an open access policy. Slightly less responded that part-time, adjunct, or other non-permanent faculty and employees and that research supported by grants from the state of Illinois should be covered by an open access policy; similar responses were provided regarding graduate students engaged in research and their theses and dissertations.

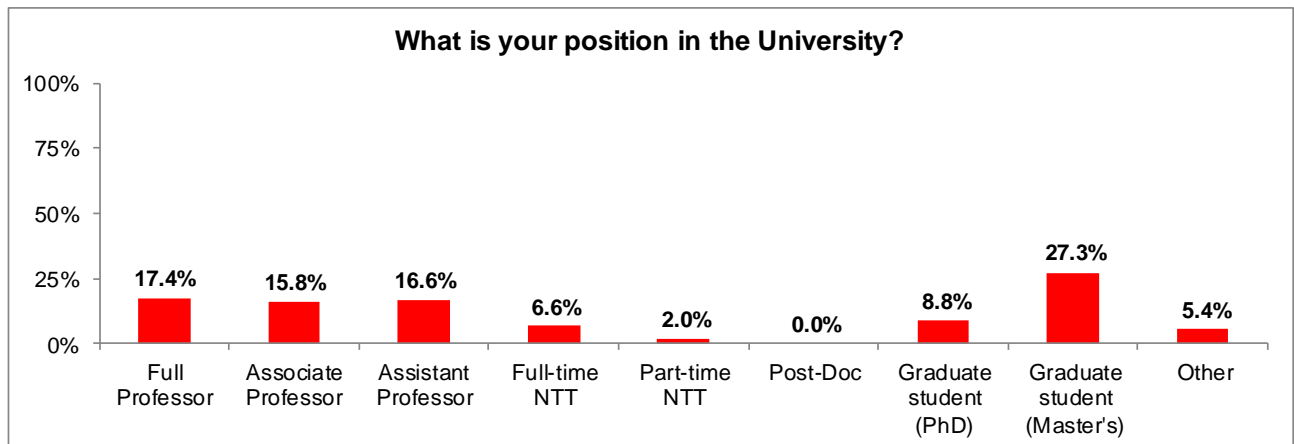
On average, respondents indicated that making the institutional repository available through search engines was moderately important, but the other types of support listed were very important.

Only a small proportion of respondents have attended an open forum on open access or read the task force's FAQ document about open access, the Illinois Open Access to Research Articles Act, or information about what other universities and/or groups are doing in regard to open access for research.

On average, respondents somewhat recommend, but with reservations, a policy that would provide and support the opportunity for faculty to have their research articles available through the institutional repository or open-access journals.

1. **What is your position in the University?**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Full Professor	87	17.4	17.4
Associate Professor	79	15.8	15.8
Assistant Professor	83	16.6	16.6
Full-time NTT	33	6.6	6.6
Part-time NTT	10	2.0	2.0
Post-Doc	0	0.0	0.0
Graduate student (PhD)	44	8.8	8.8
Graduate student (Master's)	136	27.1	27.3
Other	27	5.4	5.4
Subtotal	499	99.6	100.0
No response	2	0.4	
TOTAL	501	100.0	



<i>Other, please specify</i>
A/P
A/P, full time administrator
Administrative Professional
Administrative Professional
AP
AP
AP and PhD Student
Au.D. Graduate Student
Civil Service
faculty Associate
Full time AP and Graduate Student (EdD)
Full time Civil Service
Full Time Staff
Full Time Staff
Full Time Staff member and Part Time Graduate Student (Master's)
Grad student-LIS endorsement
Graduate certificate program
Graduate Student (Au.D.)
Graduate student at large
Graduate Student at large
Graduate Student AuD
Lecturer
PhD Student, Administrative Professional with

Teaching Responsibility
Post-Master Certificate
Professor Emeritus
retired Full Professor
Staff Member

Note. $n = 27$ (100.0% of those who responded 'Other').

2. How many years have you been at ISU?

<i>Response</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
0	4	0.8	0.8
0.3	1	0.2	0.2
0.5	1	0.2	0.2
1	69	13.8	14.1
1.5	5	1.0	1.0
2	65	13.0	13.3
2.5	2	0.4	0.4
3	42	8.4	8.6
4	26	5.2	5.3
4.5	2	0.4	0.4
5	37	7.4	7.6
5.5	2	0.4	0.4
6	34	6.8	7.0
7	17	3.4	3.5
8	15	3.0	3.1
9	8	1.6	1.6
10	14	2.8	2.9
11	11	2.2	2.3
12	15	3.0	3.1
12.5	1	0.2	0.2
13	12	2.4	2.5
14	16	3.2	3.3

15	13	2.6	2.7
16	9	1.8	1.8
17	10	2.0	2.0
18	8	1.6	1.6
19	2	0.4	0.4
20	6	1.2	1.2
21	4	0.8	0.8
22	7	1.4	1.4
23	4	0.8	0.8
24	1	0.2	0.2
25	4	0.8	0.8
26	3	0.6	0.6
27	1	0.2	0.2
28	3	0.6	0.6
29	6	1.2	1.2
30	3	0.6	0.6
31	1	0.2	0.2
32	1	0.2	0.2
33	1	0.2	0.2
35	1	0.2	0.2
36	1	0.2	0.2
Subtotal	488	97.4	100.0
No response	13	2.6	<i>M = 8.0; SD = 7.6</i>
TOTAL	501	100.0	

Note. *M* is the mean, which is the arithmetic average; *SD* is the standard deviation, which is the typical amount each score varies from the mean.

3. **What is your department or school?**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Agriculture	4	0.8	0.8
Criminal Justice Sciences	3	0.6	0.6
Family and Consumer Sciences	8	1.6	1.7
Health Sciences	9	1.8	1.9
Information Technology	7	1.4	1.5
Kinesiology & Recreation	13	2.6	2.7
Technology	14	2.8	2.9
Biological Sciences	25	5.0	5.2
Chemistry	14	2.8	2.9
Communication	18	3.6	3.7
Communication Sciences & Disorders	10	2.0	2.1
Economics	5	1.0	1.0
English	26	5.2	5.4
Geography/Geology	6	1.2	1.2
History	13	2.6	2.7

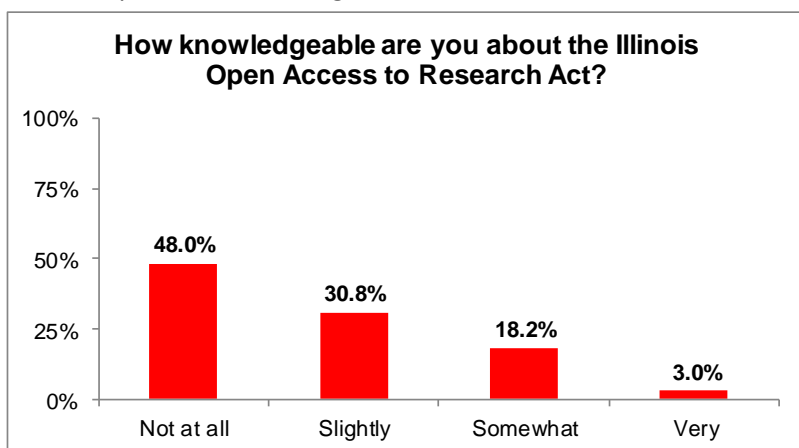
Languages, Literatures and Cultures	11	2.2	2.3
Mathematics	17	3.4	3.5
Philosophy	2	0.4	0.4
Physics	3	0.6	0.6
Politics and Government	10	2.0	2.1
Psychology	21	4.2	4.4
Social Work	6	1.2	1.2
Sociology/Anthropology	22	4.4	4.6
Accounting	7	1.4	1.5
Finance, Insurance, and Law	9	1.8	1.9
Management & Quantitative Methods	15	3.0	3.1
Marketing	10	2.0	2.1
Teaching and Learning	30	6.0	6.2
Educational Administration & Foundations	31	6.2	6.4
Special Education	23	4.6	4.8
Art	15	3.0	3.1
Music	8	1.6	1.7
Theatre and	5	1.0	1.0

Dance			
Mennonite College of Nursing	19	3.8	4.0
Universities Libraries	20	4.0	4.2
Other	22	4.4	4.6
Subtotal	481	96.0	100.0
No response	20	4.0	
TOTAL	501	100.0	

4. **How knowledgeable are you about the Illinois Open Access to Research Act?**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not at all	224	44.7	48.0
Slightly	144	28.7	30.8
Somewhat	85	17.0	18.2
Very	14	2.8	3.0
Subtotal	467	93.2	100.0
No response	34	6.8	Mdn = Slightly
TOTAL	501	100.0	

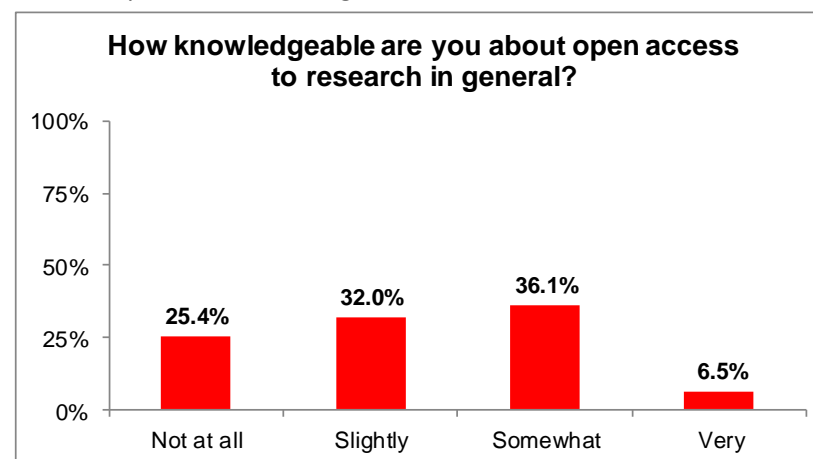
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



5. **How knowledgeable are you about open access to research in general?**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not at all	118	23.6	25.4
Slightly	149	29.7	32.0
Somewhat	168	33.5	36.1
Very	30	6.0	6.5
Subtotal	465	92.8	100.0
No response	36	7.2	Mdn = Slightly
TOTAL	501	100.0	

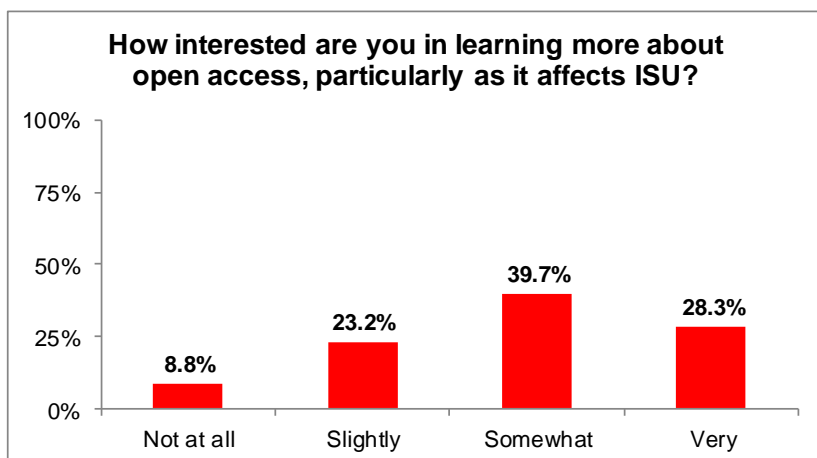
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



6. **How interested are you in learning more about open access, particularly as it affects ISU?**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not at all	41	8.2	8.8
Slightly	108	21.6	23.2
Somewhat	185	36.9	39.7
Very	132	26.3	28.3
Subtotal	466	93.0	100.0
No response	35	7.0	Mdn = Somewhat
TOTAL	501	100.0	

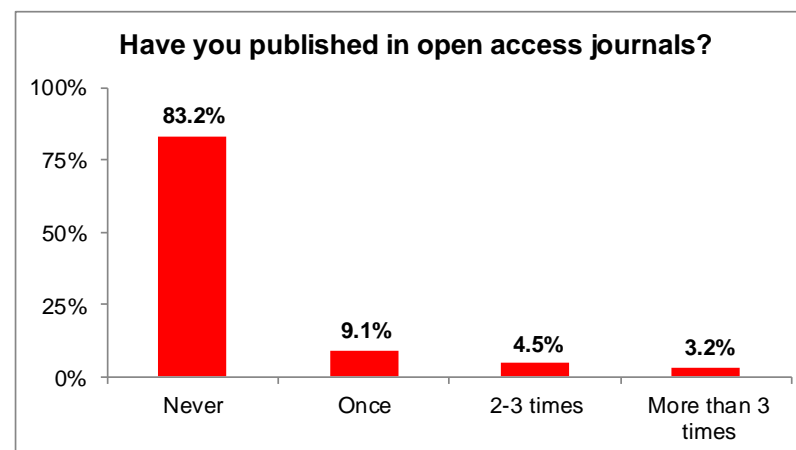
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



7. **Have you published in open access journals?**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Never	386	77.0	83.2
Once	42	8.4	9.1
2-3 times	21	4.2	4.5
More than 3 times	15	3.0	3.2
Subtotal	464	92.6	100.0
No response	37	7.4	Mdn = Never
TOTAL	501	100.0	

Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



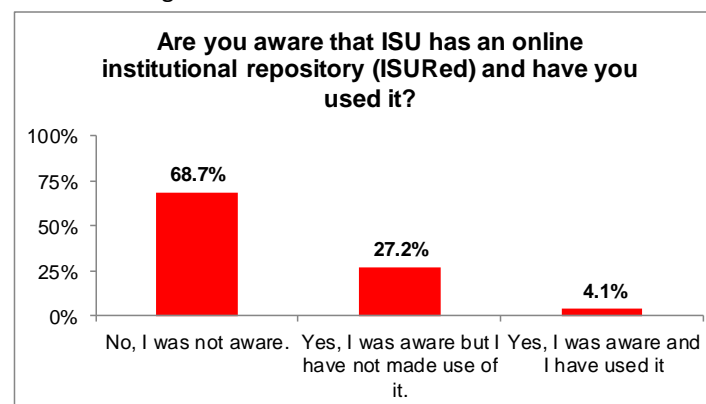
8. If you have published at least once in an open access journal, please describe the type of journal(s), the experience(s), and the cost if any.

Comments taken into consideration by Task Force

9. Are you aware that ISU has an online institutional repository (ISURed) and have you used it?

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
No, I was not aware.	316	63.1	68.7
Yes, I was aware but I have not made use of it.	125	25.0	27.2
Yes, I was aware and I have used it	19	3.8	4.1
Subtotal	460	91.8	100.0
No response	41	8.2	Mdn = No, I was not aware.
TOTAL	501	100.0	

Note. *Mdn* is the median, which is the 50th percentile and represents an average score

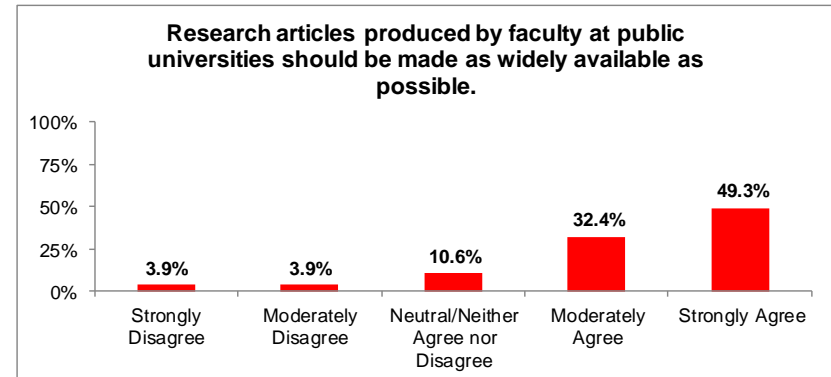


Comments taken into consideration by Task Force

10a. **Research articles produced by faculty at public universities should be made as widely available as possible.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Strongly Disagree	16	3.2	3.9
Moderately Disagree	16	3.2	3.9
Neutral/Neither Agree nor Disagree	44	8.8	10.6
Moderately Agree	134	26.7	32.4
Strongly Agree	204	40.7	49.3
Subtotal	414	82.6	100.0
No response	87	17.4	Mdn = Moderately Agree
TOTAL	501	100.0	

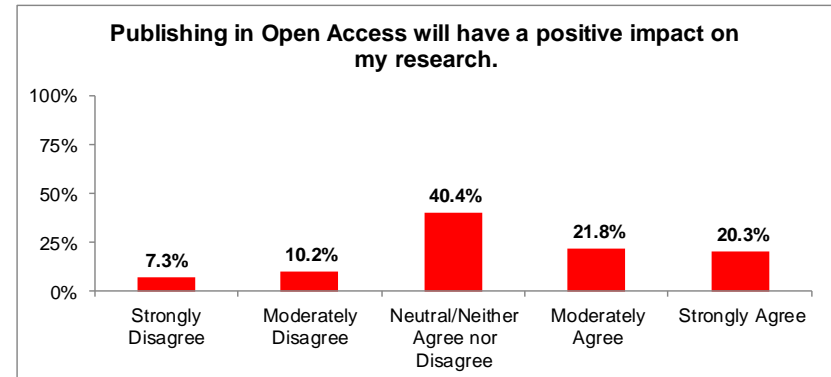
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



10b. **Publishing in Open Access will have a positive impact on my research.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Strongly Disagree	30	6.0	7.3
Moderately Disagree	42	8.4	10.2
Neutral/Neither Agree nor Disagree	167	33.3	40.4
Moderately Agree	90	18.0	21.8
Strongly Agree	84	16.8	20.3
Subtotal	413	82.4	100.0
No response	88	17.6	<i>Mdn = Neutral/Neither Agree nor Disagree</i>
TOTAL	501	100.0	

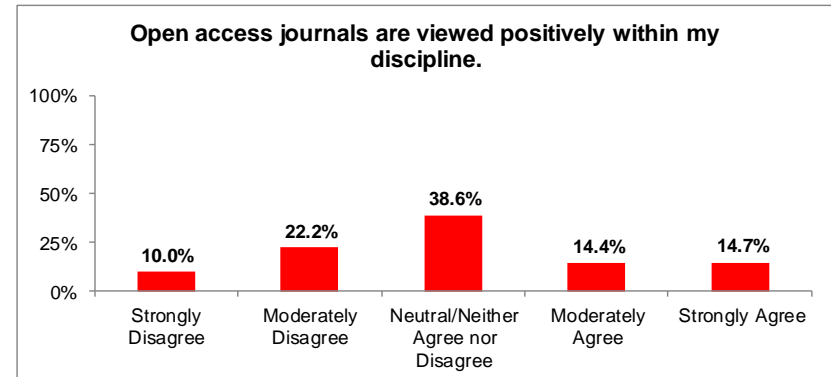
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



10c. **Open access journals are viewed positively within my discipline.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Strongly Disagree	41	8.2	10.0
Moderately Disagree	91	18.2	22.2
Neutral/Neither Agree nor Disagree	158	31.5	38.6
Moderately Agree	59	11.8	14.4
Strongly Agree	60	12.0	14.7
Subtotal	409	81.6	100.0
No response	92	18.4	<i>Mdn = Neutral/Neither Agree nor Disagree</i>
TOTAL	501	100.0	

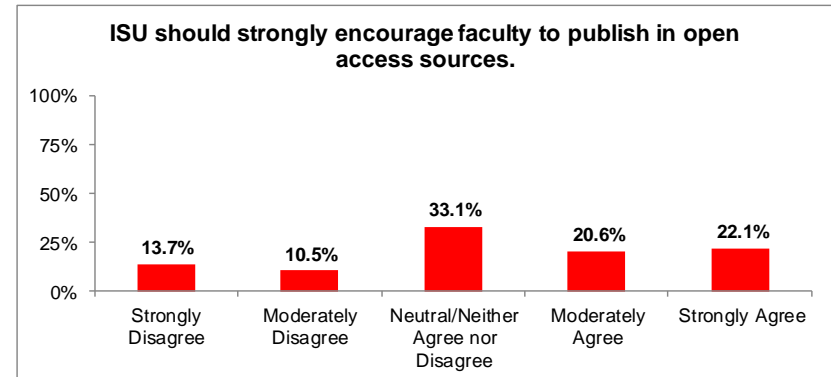
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



10d. **ISU should strongly encourage faculty to publish in open access sources.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Strongly Disagree	56	11.2	13.7
Moderately Disagree	43	8.6	10.5
Neutral/Neither Agree nor Disagree	135	26.9	33.1
Moderately Agree	84	16.8	20.6
Strongly Agree	90	18.0	22.1
Subtotal	408	81.4	100.0
No response	93	18.6	<i>Mdn = Neutral/Neither Agree nor Disagree</i>
TOTAL	501	100.0	

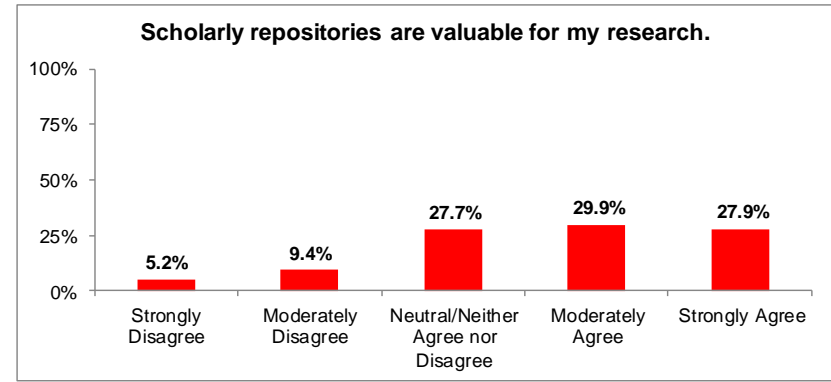
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



10e. Scholarly repositories are valuable for my research.

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Strongly Disagree	21	4.2	5.2
Moderately Disagree	38	7.6	9.4
Neutral/Neither Agree nor Disagree	112	22.4	27.7
Moderately Agree	121	24.2	29.9
Strongly Agree	113	22.6	27.9
Subtotal	405	80.8	100.0
No response	96	19.2	<i>Mdn = Moderately Agree</i>
TOTAL	501	100.0	

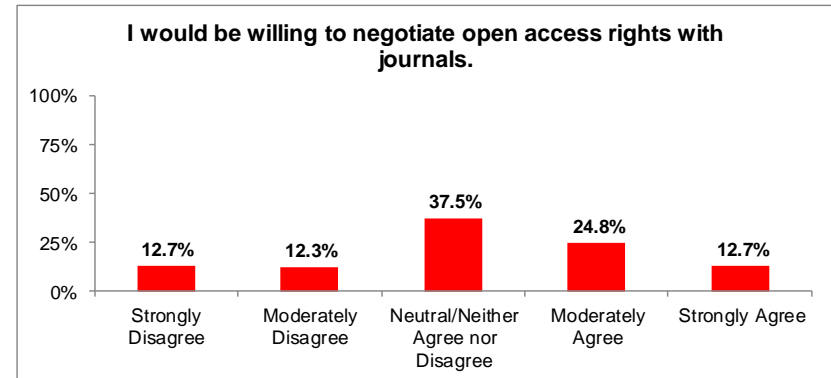
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



10f. **I would be willing to negotiate open access rights with journals.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Strongly Disagree	52	10.4	12.7
Moderately Disagree	50	10.0	12.3
Neutral/Neither Agree nor Disagree	153	30.5	37.5
Moderately Agree	101	20.2	24.8
Strongly Agree	52	10.4	12.7
Subtotal	408	81.4	100.0
No response	93	18.6	<i>Mdn = Neutral/Neither Agree nor Disagree</i>
TOTAL	501	100.0	

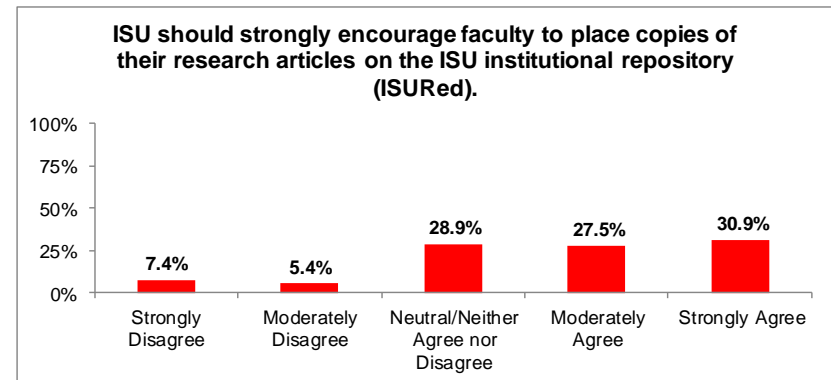
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



10g. **ISU should strongly encourage faculty to place copies of their research articles on the ISU institutional repository (ISURed).**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Strongly Disagree	30	6.0	7.4
Moderately Disagree	22	4.4	5.4
Neutral/Neither Agree nor Disagree	118	23.6	28.9
Moderately Agree	112	22.4	27.5
Strongly Agree	126	25.1	30.9
Subtotal	408	81.4	100.0
No response	93	18.6	Mdn = Moderately Agree
TOTAL	501	100.0	

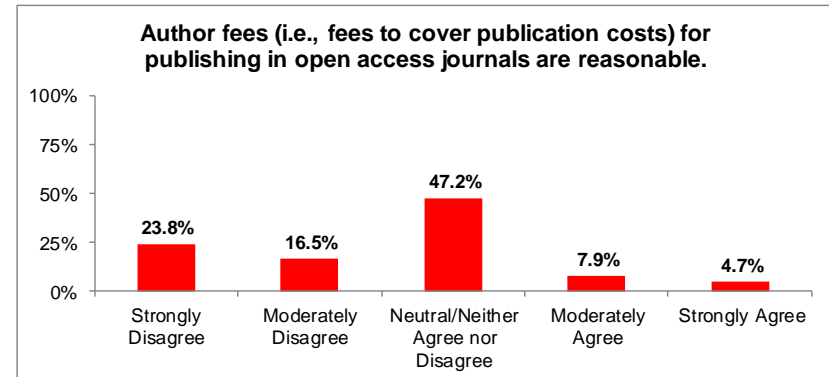
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



10h. **Author fees (i.e., fees to cover publication costs) for publishing in open access journals are reasonable.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Strongly Disagree	97	19.4	23.8
Moderately Disagree	67	13.4	16.5
Neutral/Neither Agree nor Disagree	192	38.3	47.2
Moderately Agree	32	6.4	7.9
Strongly Agree	19	3.8	4.7
Subtotal	407	81.2	100.0
No response	94	18.8	<i>Mdn = Neutral/Neither Agree nor Disagree</i>
TOTAL	501	100.0	

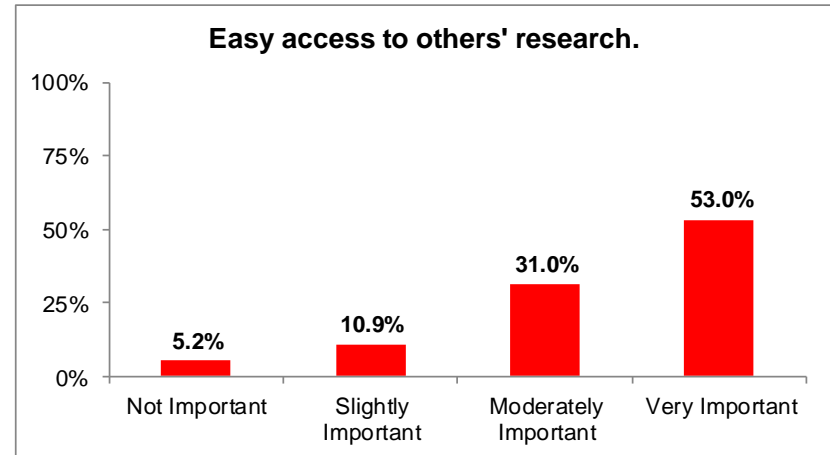
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



11a. Easy access to others' research.

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	20	4.0	5.2
Slightly Important	42	8.4	10.9
Moderately Important	120	24.0	31.0
Very Important	205	40.9	53.0
Subtotal	387	77.2	100.0
No response	114	22.8	<i>Mdn = Very Important</i>
TOTAL	501	100.0	

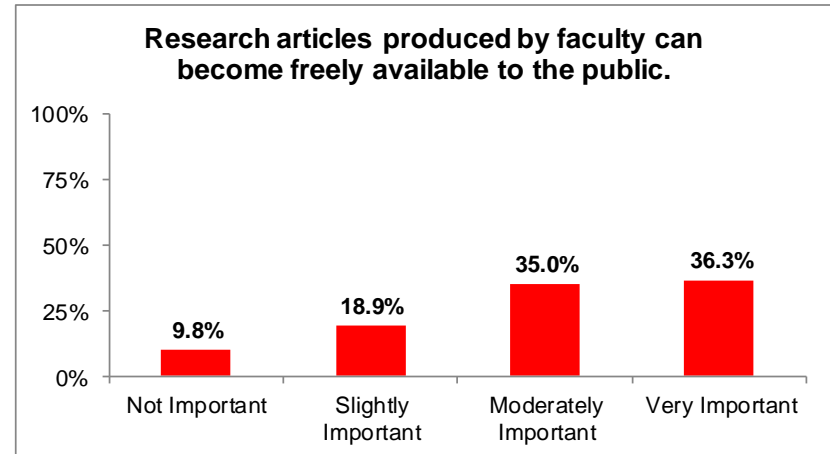
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



11b. **Research articles produced by faculty can become freely available to the public.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	38	7.6	9.8
Slightly Important	73	14.6	18.9
Moderately Important	135	26.9	35.0
Very Important	140	27.9	36.3
Subtotal	386	77.0	100.0
No response	115	23.0	<i>Mdn = Moderately Important</i>
TOTAL	501	100.0	

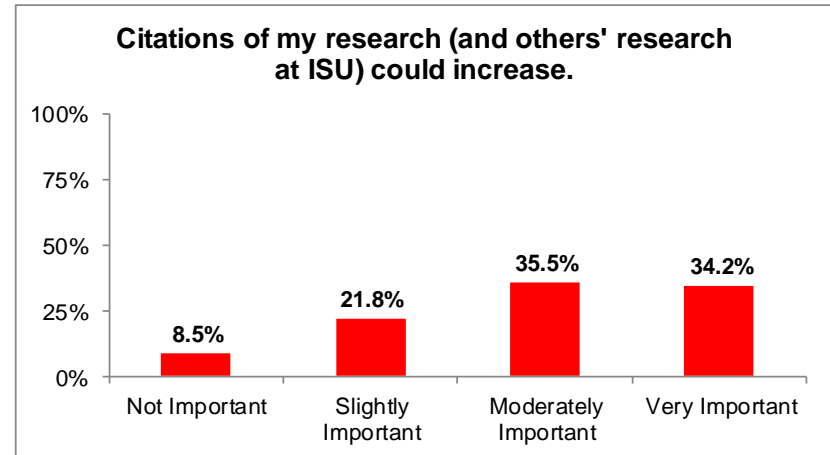
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



11c. Citations of my research (and others' research at ISU) could increase.

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	33	6.6	8.5
Slightly Important	84	16.8	21.8
Moderately Important	137	27.3	35.5
Very Important	132	26.3	34.2
Subtotal	386	77.0	100.0
No response	115	23.0	Mdn = Moderately Important
TOTAL	501	100.0	

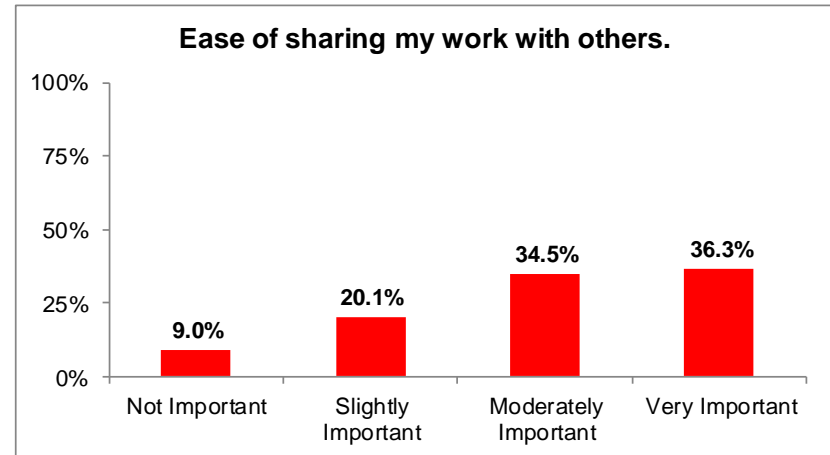
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



11d. Ease of sharing my work with others.

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	35	7.0	9.0
Slightly Important	78	15.6	20.1
Moderately Important	134	26.7	34.5
Very Important	141	28.1	36.3
Subtotal	388	77.4	100.0
No response	113	22.6	Mdn = Moderately Important
TOTAL	501	100.0	

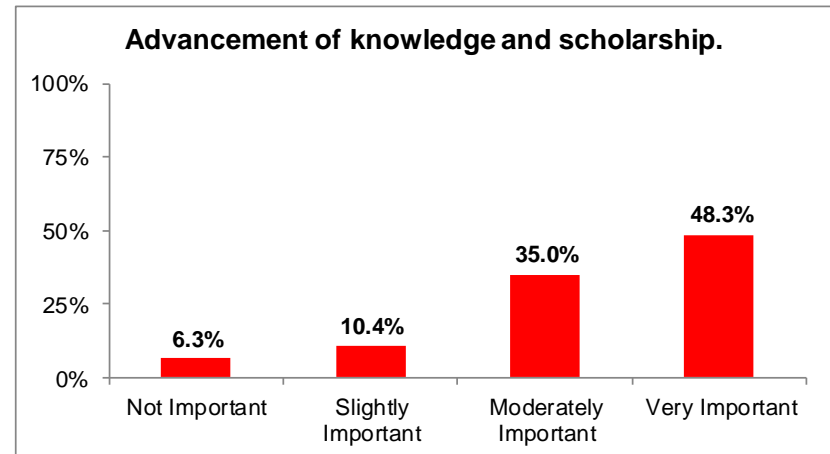
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



11e. **Advancement of knowledge and scholarship.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	24	4.8	6.3
Slightly Important	40	8.0	10.4
Moderately Important	134	26.7	35.0
Very Important	185	36.9	48.3
Subtotal	383	76.4	100.0
No response	118	23.6	Mdn = Moderately Important
TOTAL	501	100.0	

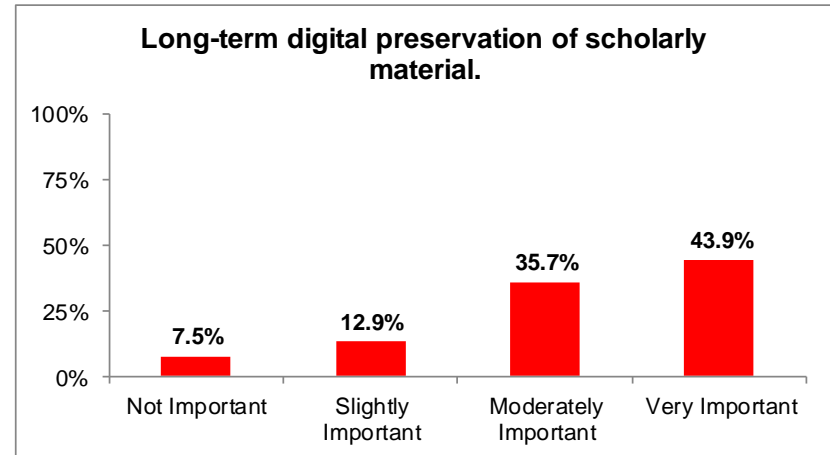
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



11f. Long-term digital preservation of scholarly material.

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	29	5.8	7.5
Slightly Important	50	10.0	12.9
Moderately Important	138	27.5	35.7
Very Important	170	33.9	43.9
Subtotal	387	77.2	100.0
No response	114	22.8	Mdn = Moderately Important
TOTAL	501	100.0	

Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



12. **What concerns, if any, do you have about having a policy that published research articles produced by faculty would be made available over the Internet, such as in an university repository or through open access journals?**

Comments taken into consideration by Task Force

13. **Which of the following groups do you believe should be covered by the policy?**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>
Full-time faculty engaged in research	322	64.3
Part-time, adjunct, or other non-permanent faculty and ISU employees engaged in research	234	46.7
Graduate students engaged in research (including theses and dissertations)	218	43.5

Note. $n = 501$.

14. Which of the following types of scholarship do you believe should be covered by the policy?

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>
Published research articles	297	59.3
Conference presentations	147	29.3
Graduate theses and dissertations	226	45.1
Research supported by grants from the State of Illinois	250	49.9
Reports generated from classified research	59	11.8
Data sets (with identifying information removed)	105	21.0
Data analyses (such as output from statistical analyses)	96	19.2
Patentable works or discoveries	67	13.4
Notes or other preliminary information used to produce final manuscripts	35	7.0
Scholarship in the form of books and chapters in books, including those that generate revenue or royalties for authors	126	25.1
Work in the creative arts	114	22.8
Research involving co-authors from other universities	167	33.3

Note. $n = 501$.

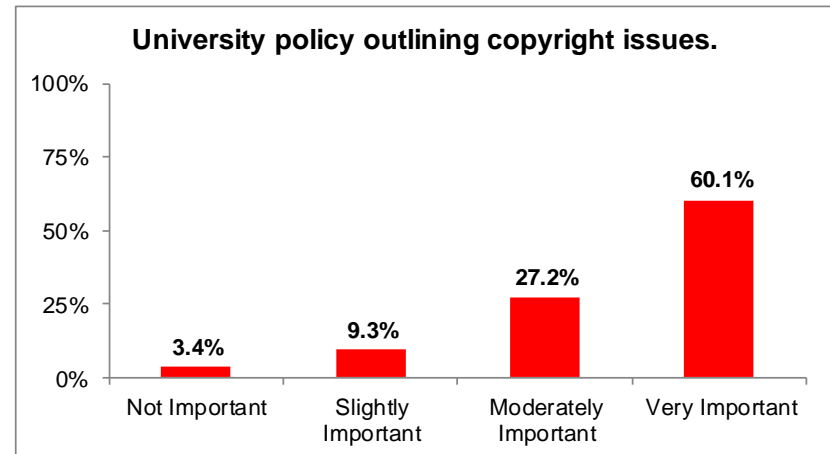
15. In the box below, feel free to elaborate on your answers above, concerning your beliefs about who and what should be covered by a university open access policy.

Comments taken into consideration by Task Force

16a. University policy outlining copyright issues.

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	12	2.4	3.4
Slightly Important	33	6.6	9.3
Moderately Important	97	19.4	27.2
Very Important	214	42.7	60.1
Subtotal	356	71.1	100.0
No response	145	28.9	Mdn = Very Important
TOTAL	501	100.0	

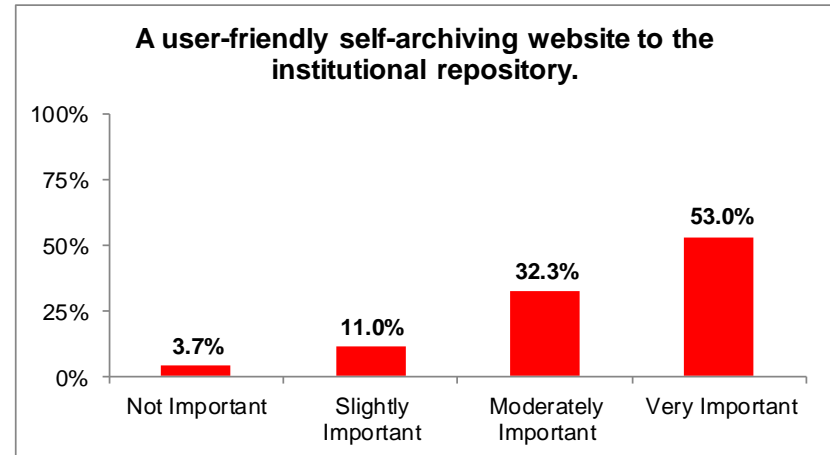
Note. Mdn is the median, which is the 50th percentile and represents an average score.



16b. **A user-friendly self-archiving website to the institutional repository.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	13	2.6	3.7
Slightly Important	39	7.8	11.0
Moderately Important	114	22.8	32.3
Very Important	187	37.3	53.0
Subtotal	353	70.5	100.0
No response	148	29.5	<i>Mdn = Very Important</i>
TOTAL	501	100.0	

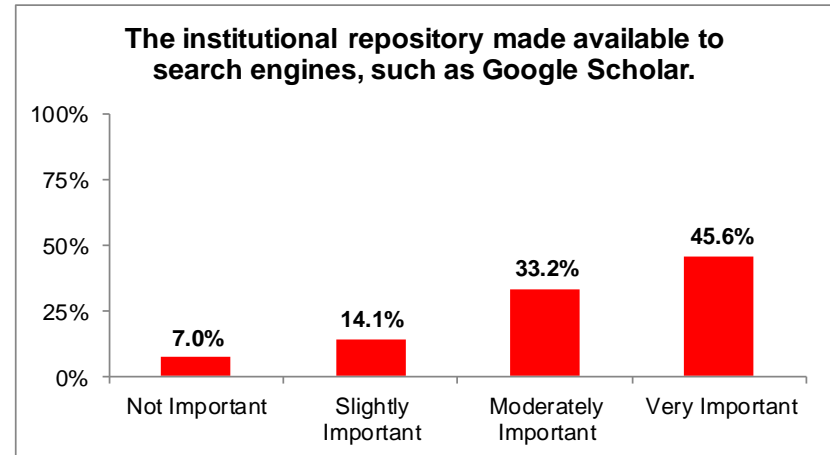
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



16c. **The institutional repository made available to search engines, such as Google Scholar.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	25	5.0	7.0
Slightly Important	50	10.0	14.1
Moderately Important	118	23.6	33.2
Very Important	162	32.3	45.6
Subtotal	355	70.9	100.0
No response	146	29.1	Mdn = Moderately Important
TOTAL	501	100.0	

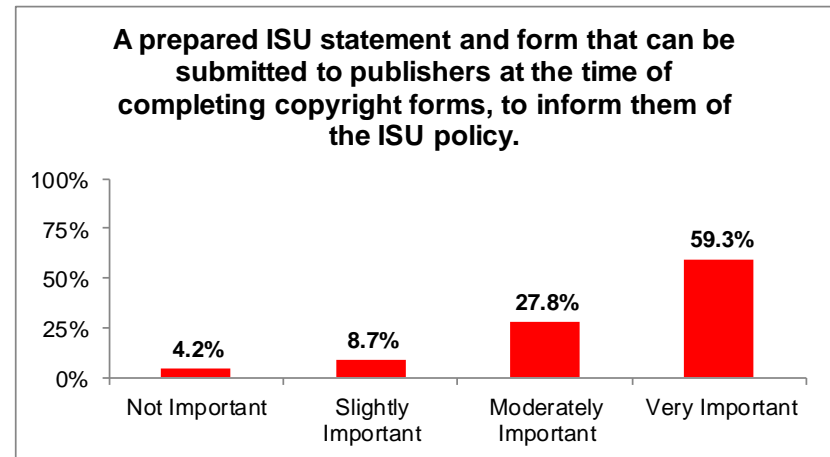
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



16d. **A prepared ISU statement and form that can be submitted to publishers at the time of completing copyright forms, to inform them of the ISU policy.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	15	3.0	4.2
Slightly Important	31	6.2	8.7
Moderately Important	99	19.8	27.8
Very Important	211	42.1	59.3
Subtotal	356	71.1	100.0
No response	145	28.9	Mdn = Very Important
TOTAL	501	100.0	

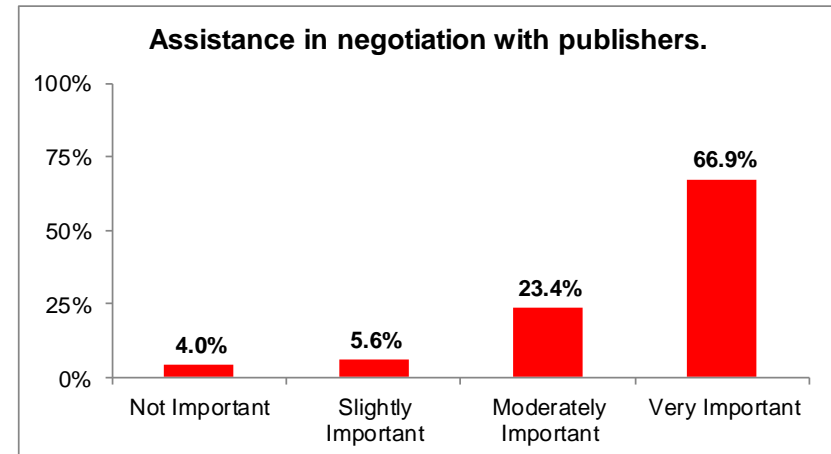
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



16e. Assistance in negotiation with publishers.

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	14	2.8	4.0
Slightly Important	20	4.0	5.6
Moderately Important	83	16.6	23.4
Very Important	237	47.3	66.9
Subtotal	354	70.7	100.0
No response	147	29.3	<i>Mdn = Very Important</i>
TOTAL	501	100.0	

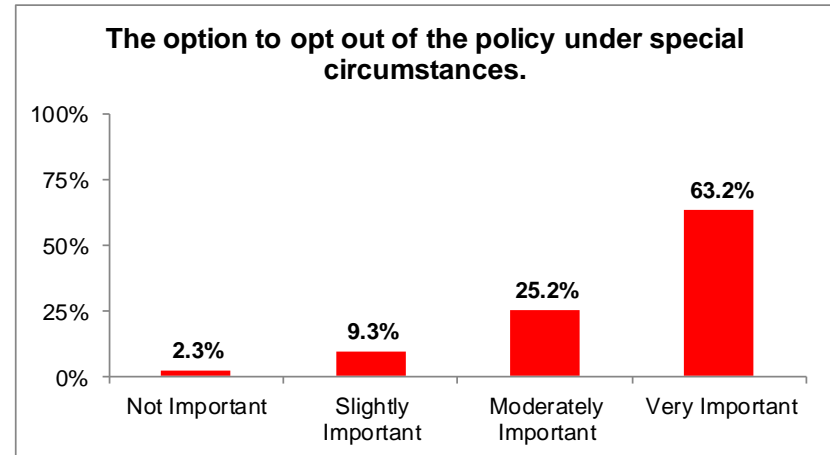
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



16f. **The option to opt out of the policy under special circumstances.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	8	1.6	2.3
Slightly Important	33	6.6	9.3
Moderately Important	89	17.8	25.2
Very Important	223	44.5	63.2
Subtotal	353	70.5	100.0
No response	148	29.5	<i>Mdn = Very Important</i>
TOTAL	501	100.0	

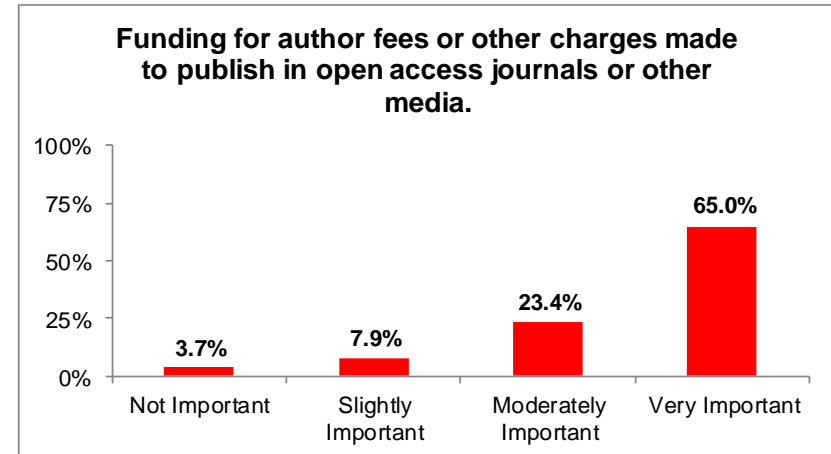
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



16g. **Funding for author fees or other charges made to publish in open access journals or other media.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	13	2.6	3.7
Slightly Important	28	5.6	7.9
Moderately Important	83	16.6	23.4
Very Important	230	45.9	65.0
Subtotal	354	70.7	100.0
No response	147	29.3	<i>Mdn = Very Important</i>
TOTAL	501	100.0	

Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



17. **Indicate which of the following you have done.**

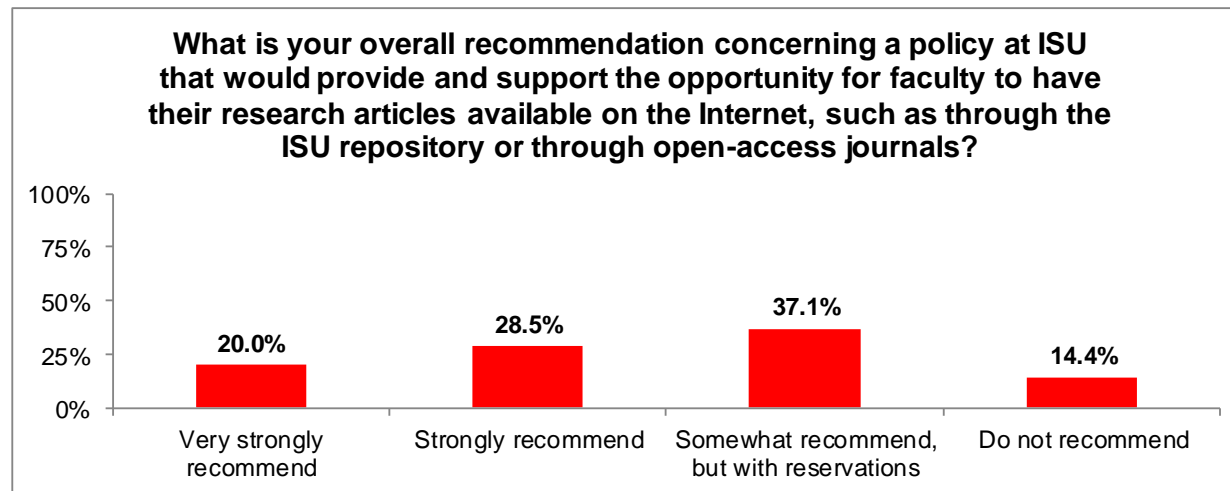
<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>
Attended one of the open forums on open access this spring at ISU	41	8.2
Read the ISU Task Force FAQ about open access	93	18.6
Read the Illinois Open Access to Research Articles Act (Public At 098-0295)	61	12.2
Read information about what other universities and/or groups (e.g., NIMH) are doing in regard to open access for research	80	16.0

Note. $n = 501$.

18. **What is your overall recommendation concerning a policy at ISU that would provide and support the opportunity for faculty to have their research articles available on the Internet, such as through the ISU repository or through open-access journals?**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Very strongly recommend	68	13.6	20.0
Strongly recommend	97	19.4	28.5
Somewhat recommend, but with reservations	126	25.1	37.1
Do not recommend	49	9.8	14.4
Subtotal	340	67.9	100.0
No response	161	32.1	<i>Mdn = Somewhat recommend, but with reservations</i>
TOTAL	501	100.0	

Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



19. **Please provide comments that explain your above answer. If you are in favor of a policy, please explain why. If you are not in favor, please explain why not.**

Comments taken into consideration by Task Force

Appendix 3: Survey Results (T/TT only)

During the spring 2014 semester, the Illinois State University Open Access Task Force administered a survey to faculty and graduate students to obtain feedback about how an open access policy could impact the University, faculty, staff, students, and research. Of the 3,824 individuals invited to participate (1,446 faculty and 2,378 graduate students), 501 responded, giving a 13.1% response rate. Of this sample, 249 responded that their position in the University was full professor, associate professor, or assistant professor. This report contains an executive summary, followed by tables and figures containing the survey results for these tenured/tenure track faculty respondents.

Executive Summary

Regarding familiarity and experiences with open access issues, respondents on average were slightly knowledgeable about the Illinois Open Access to Research Act but were somewhat knowledgeable about open access to research in general. Respondents also were somewhat interested in learning more about open access, had never published in open access journals, and were not aware that Illinois State University has an online institutional repository.

Respondents on average moderately agreed that research articles produced by faculty at public universities should be made as widely available as possible, but they moderately disagreed that author fees for publishing in open access journals are reasonable; on all other views regarding open access, respondents were neutral or neither agreed nor disagreed. On average, respondents indicated that all of the listed benefits of open access were moderately important.

The majority of respondents believed that full-time faculty engaged in research and that published research articles should be covered by an open access policy. Slightly less responded that part-time, adjunct, or other non-permanent faculty and ISU employees engaged in research and that research supported by grants from the State of Illinois should be covered by an open access policy; similar responses were provided regarding graduate students engaged in research and their theses and dissertations.

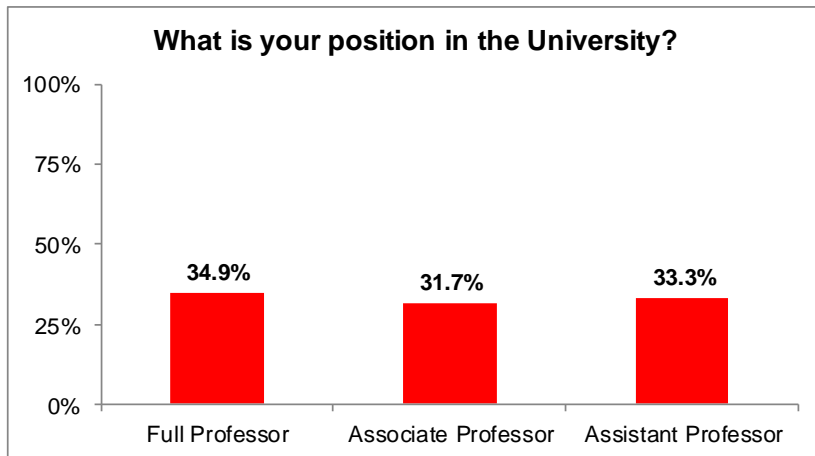
On average, respondents indicated that making the institutional repository available to search engines was moderately important, but the other types of support listed were very important.

Less than a third of respondents indicated that they have attended one of the open forums on open access or read the task force's FAQ document about open access, the Illinois Open Access to Research Articles Act, or information about what other universities and/or groups are doing in regard to open access for research.

On average, respondents somewhat recommend, but with reservations, a policy that would provide and support the opportunity for faculty to have their research articles available through the institutional repository or open-access journals.

1. **What is your position in the University?**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Full Professor	87	34.9	34.9
Associate Professor	79	31.7	31.7
Assistant Professor	83	33.3	33.3
Subtotal	249	100.0	100.0
No response	0	0.0	
TOTAL	249	100.0	



2. How many years have you been at ISU?

<i>Response</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
1	8	3.2	3.3
2	24	9.6	10.0
2.5	1	0.4	0.4
3	16	6.4	6.7
4	7	2.8	2.9
4.5	1	0.4	0.4
5	13	5.2	5.4
5.5	2	0.8	0.8
6	17	6.8	7.1
7	11	4.4	4.6
8	10	4.0	4.2
9	3	1.2	1.3
10	11	4.4	4.6
11	8	3.2	3.3
12	9	3.6	3.8
12.5	1	0.4	0.4
13	10	4.0	4.2
14	15	6.0	6.3
15	11	4.4	4.6
16	7	2.8	2.9
17	7	2.8	2.9

18	6	2.4	2.5
19	2	0.8	0.8
20	6	2.4	2.5
21	3	1.2	1.3
22	4	1.6	1.7
23	4	1.6	1.7
24	1	0.4	0.4
25	4	1.6	1.7
26	2	0.8	0.8
27	1	0.4	0.4
28	3	1.2	1.3
29	5	2.0	2.1
30	3	1.2	1.3
31	1	0.4	0.4
33	1	0.4	0.4
35	1	0.4	0.4
36	1	0.4	0.4
Subtotal	240	96.4	100.0
No response	9	3.6	<i>M</i> = 11.3; <i>SD</i> = 8.1
TOTAL	249	100.0	

Note. *M* is the mean, which is the arithmetic average; *SD* is the standard deviation, which is the typical amount each score varies from the mean.

3. **What is your department or school?**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Agriculture	3	1.2	1.3
Criminal Justice Sciences	3	1.2	1.3
Family and Consumer Sciences	3	1.2	1.3
Health Sciences	6	2.4	2.5
Information Technology	3	1.2	1.3
Kinesiology & Recreation	7	2.8	3.0
Technology	4	1.6	1.7
Biological Sciences	17	6.8	7.2
Chemistry	11	4.4	4.6
Communication	9	3.6	3.8
Communication Sciences & Disorders	2	0.8	0.8
Economics	1	0.4	0.4
English	7	2.8	3.0
Geography/Geology	3	1.2	1.3
History	2	0.8	0.8

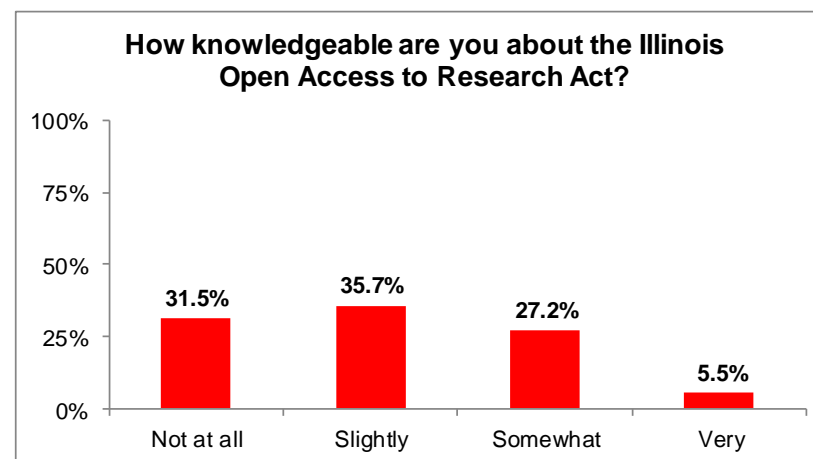
Languages, Literatures and Cultures	7	2.8	3.0
Mathematics	10	4.0	4.2
Philosophy	2	0.8	0.8
Physics	3	1.2	1.3
Politics and Government	4	1.6	1.7
Psychology	10	4.0	4.2
Social Work	1	0.4	0.4
Sociology/Anthropology	14	5.6	5.9
Accounting	4	1.6	1.7
Finance, Insurance, and Law	8	3.2	3.4
Management & Quantitative Methods	10	4.0	4.2
Marketing	9	3.6	3.8
Teaching and Learning	12	4.8	5.1
Educational Administration & Foundations	9	3.6	3.8
Special Education	13	5.2	5.5
Art	12	4.8	5.1
Music	5	2.0	2.1
Theatre and	2	0.8	0.8

Dance			
Mennonite College of Nursing	7	2.8	3.0
Universities Libraries	12	4.8	5.1
Other	2	0.8	0.8
Subtotal	237	95.2	100.0
No response	12	4.8	
TOTAL	249	100.0	

4. **How knowledgeable are you about the Illinois Open Access to Research Act?**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not at all	74	29.7	31.5
Slightly	84	33.7	35.7
Somewhat	64	25.7	27.2
Very	13	5.2	5.5
Subtotal	235	94.4	100.0
No response	14	5.6	<i>Mdn = Slightly</i>
TOTAL	249	100.0	

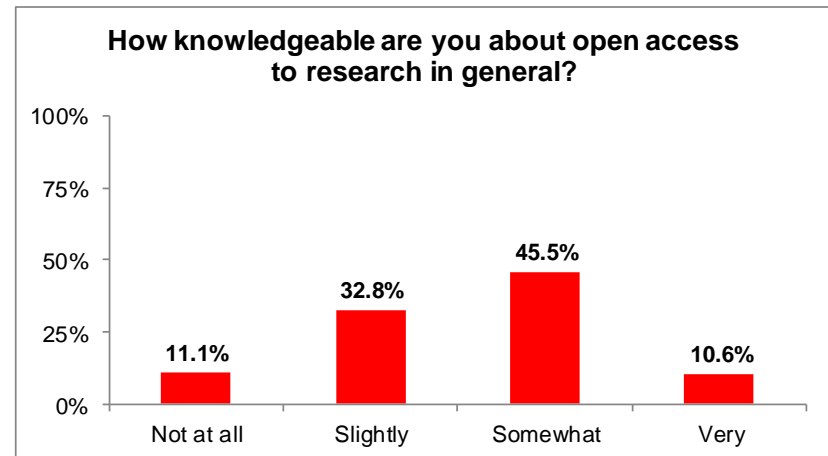
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



5. **How knowledgeable are you about open access to research in general?**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not at all	26	10.4	11.1
Slightly	77	30.9	32.8
Somewhat	107	43.0	45.5
Very	25	10.0	10.6
Subtotal	235	94.4	100.0
No response	14	5.6	<i>Mdn = Somewhat</i>
TOTAL	249	100.0	

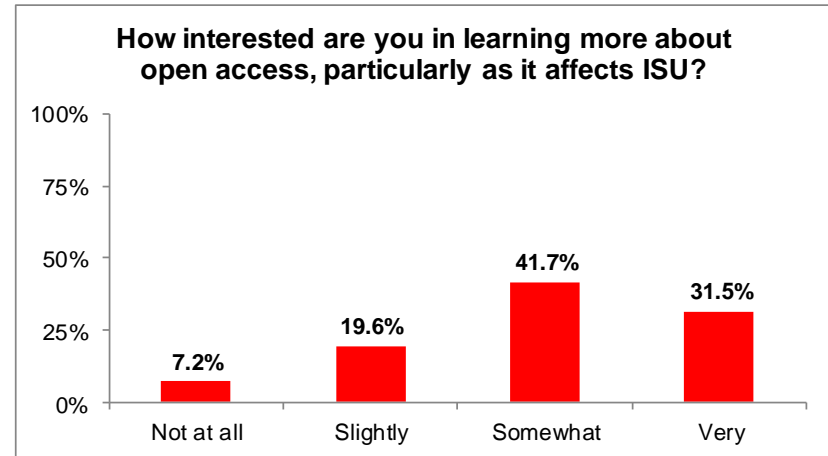
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



6. **How interested are you in learning more about open access, particularly as it affects ISU?**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not at all	17	6.8	7.2
Slightly	46	18.5	19.6
Somewhat	98	39.4	41.7
Very	74	29.7	31.5
Subtotal	235	94.4	100.0
No response	14	5.6	<i>Mdn = Somewhat</i>
TOTAL	249	100.0	

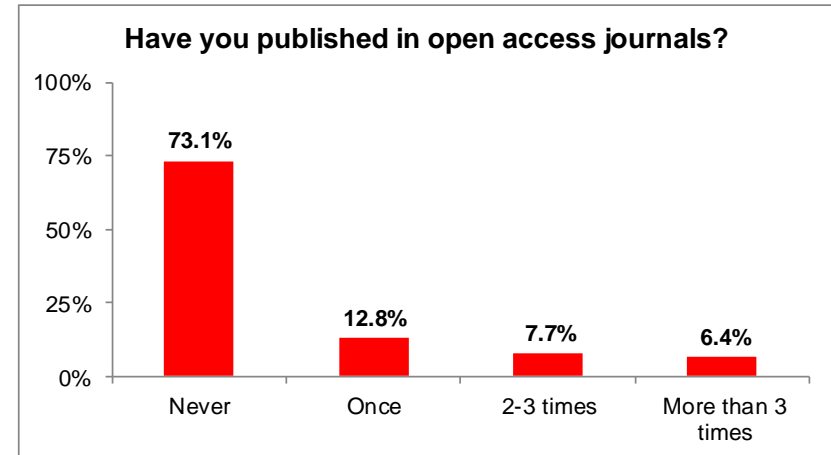
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



7. **Have you published in open access journals?**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Never	171	68.7	73.1
Once	30	12.0	12.8
2-3 times	18	7.2	7.7
More than 3 times	15	6.0	6.4
Subtotal	234	94.0	100.0
No response	15	6.0	Mdn = Never
TOTAL	249	100.0	

Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



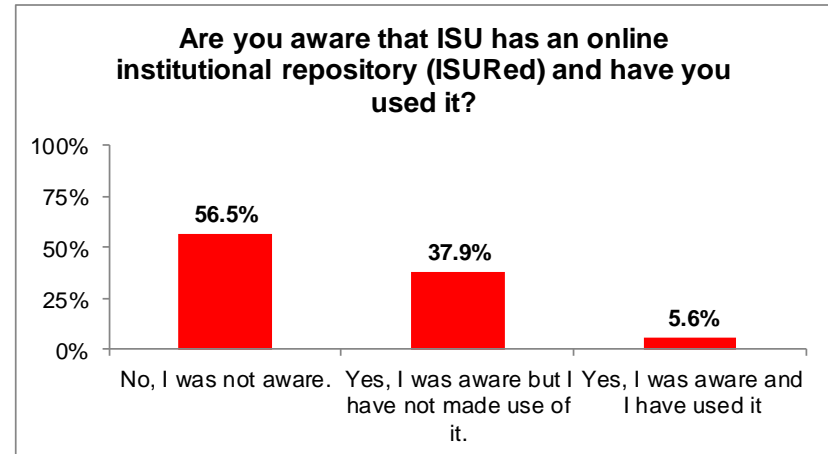
8. **If you have published at least once in an open access journal, please describe the type of journal(s), the experience(s), and the cost if any.**

Comments taken into consideration by Task Force

9. **Are you aware that ISU has an online institutional repository (ISURed) and have you used it?**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
No, I was not aware.	131	52.6	56.5
Yes, I was aware but I have not made use of it.	88	35.3	37.9
Yes, I was aware and I have used it	13	5.2	5.6
Subtotal	232	93.2	100.0
No response	17	6.8	<i>Mdn = No, I was not aware.</i>
TOTAL	249	100.0	

Note. *Mdn* is the median, which is the 50th percentile and represents an average score.

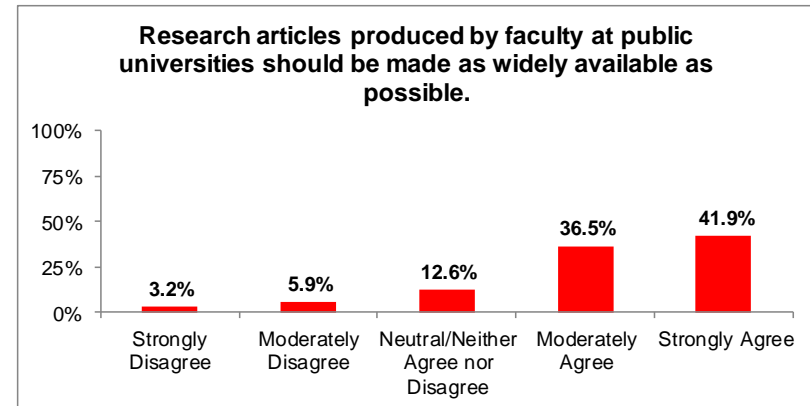


Comments taken into consideration by Task Force

10a. **Research articles produced by faculty at public universities should be made as widely available as possible.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Strongly Disagree	7	2.8	3.2
Moderately Disagree	13	5.2	5.9
Neutral/Neither Agree nor Disagree	28	11.2	12.6
Moderately Agree	81	32.5	36.5
Strongly Agree	93	37.3	41.9
Subtotal	222	89.2	100.0
No response	27	10.8	Mdn = Moderately Agree
TOTAL	249	100.0	

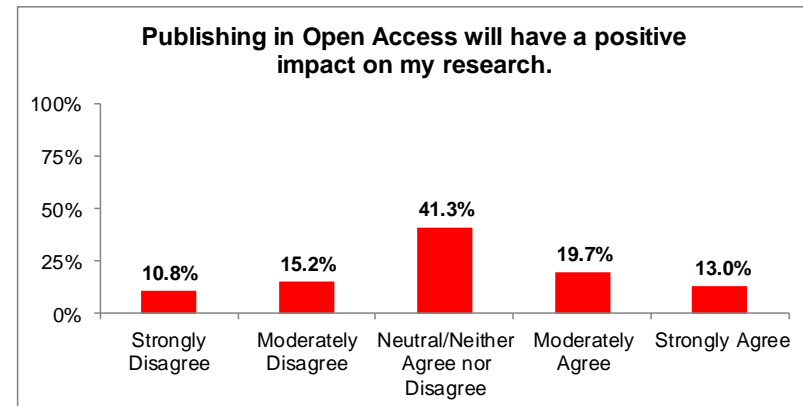
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



10b. **Publishing in Open Access will have a positive impact on my research.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Strongly Disagree	24	9.6	10.8
Moderately Disagree	34	13.7	15.2
Neutral/Neither Agree nor Disagree	92	36.9	41.3
Moderately Agree	44	17.7	19.7
Strongly Agree	29	11.6	13.0
Subtotal	223	89.6	100.0
No response	26	10.4	<i>Mdn = Neutral/Neither Agree nor Disagree</i>
TOTAL	249	100.0	

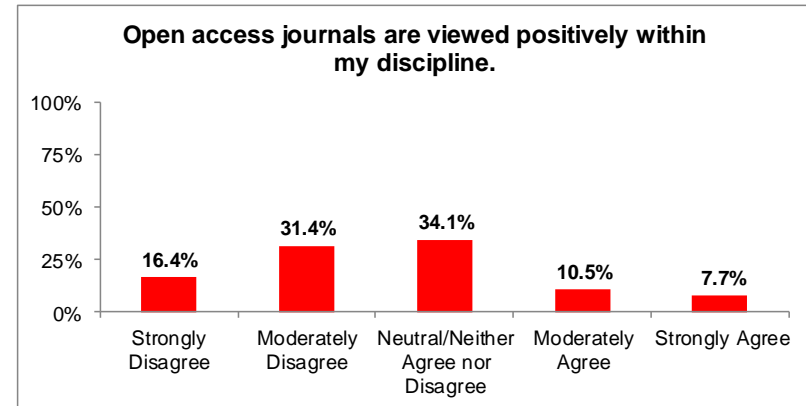
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



10c. **Open access journals are viewed positively within my discipline.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Strongly Disagree	36	14.5	16.4
Moderately Disagree	69	27.7	31.4
Neutral/Neither Agree nor Disagree	75	30.1	34.1
Moderately Agree	23	9.2	10.5
Strongly Agree	17	6.8	7.7
Subtotal	220	88.4	100.0
No response	29	11.6	<i>Mdn = Neutral/Neither Agree nor Disagree</i>
TOTAL	249	100.0	

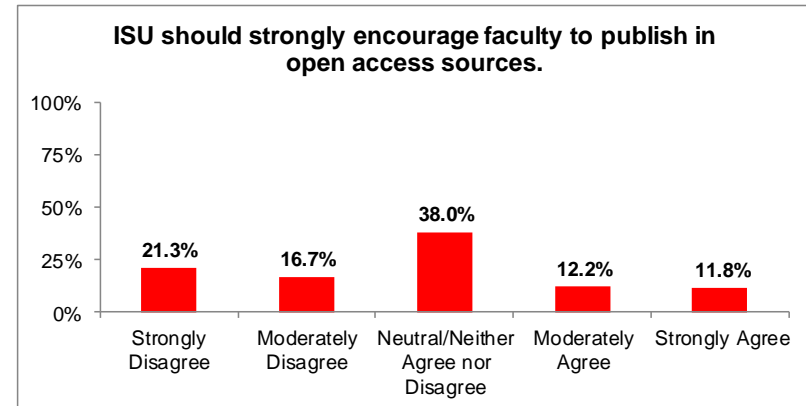
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



10d. **ISU should strongly encourage faculty to publish in open access sources.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Strongly Disagree	47	18.9	21.3
Moderately Disagree	37	14.9	16.7
Neutral/Neither Agree nor Disagree	84	33.7	38.0
Moderately Agree	27	10.8	12.2
Strongly Agree	26	10.4	11.8
Subtotal	221	88.8	100.0
No response	28	11.2	<i>Mdn = Neutral/Neither Agree nor Disagree</i>
TOTAL	249	100.0	

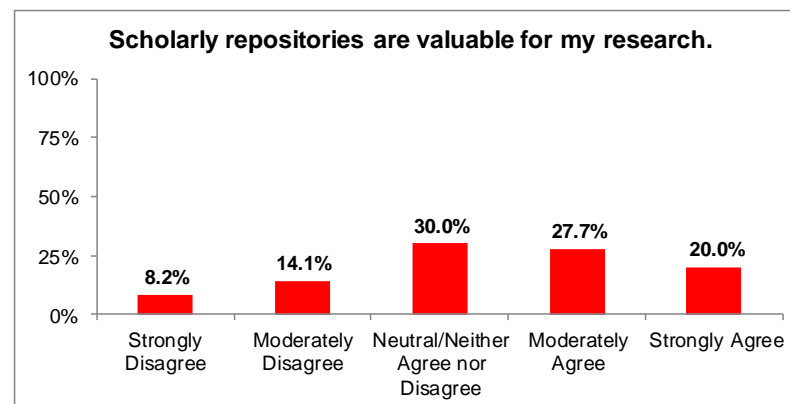
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



10e. **Scholarly repositories are valuable for my research.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Strongly Disagree	18	7.2	8.2
Moderately Disagree	31	12.4	14.1
Neutral/Neither Agree nor Disagree	66	26.5	30.0
Moderately Agree	61	24.5	27.7
Strongly Agree	44	17.7	20.0
Subtotal	220	88.4	100.0
No response	29	11.6	<i>Mdn = Neutral/Neither Agree nor Disagree</i>
TOTAL	249	100.0	

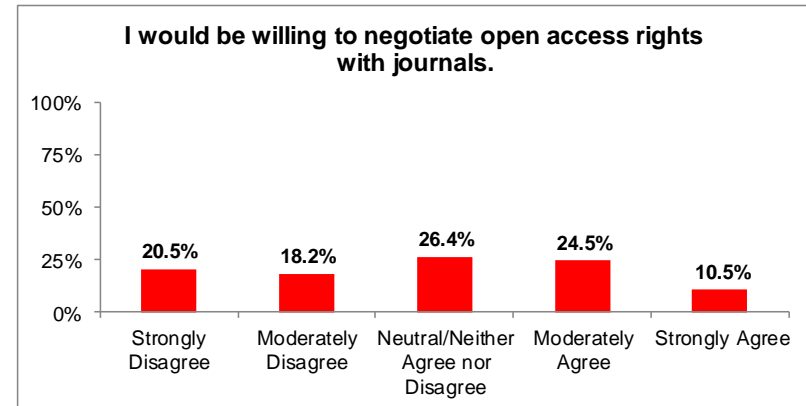
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



10f. **I would be willing to negotiate open access rights with journals.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Strongly Disagree	45	18.1	20.5
Moderately Disagree	40	16.1	18.2
Neutral/Neither Agree nor Disagree	58	23.3	26.4
Moderately Agree	54	21.7	24.5
Strongly Agree	23	9.2	10.5
Subtotal	220	88.4	100.0
No response	29	11.6	<i>Mdn = Neutral/Neither Agree nor Disagree</i>
TOTAL	249	100.0	

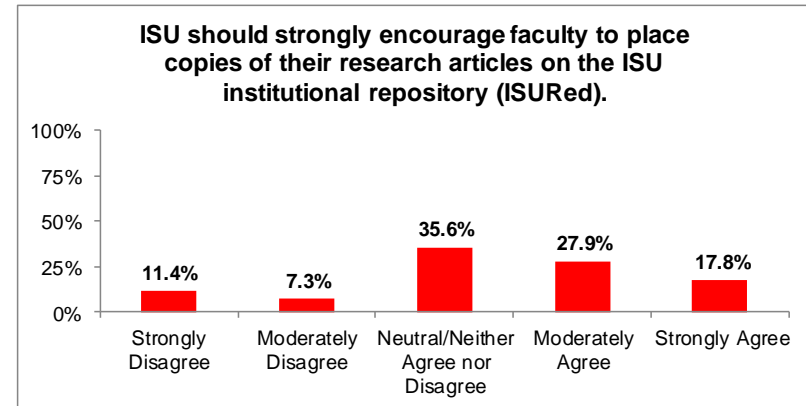
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



10g. **ISU should strongly encourage faculty to place copies of their research articles on the ISU institutional repository (ISURed).**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Strongly Disagree	25	10.0	11.4
Moderately Disagree	16	6.4	7.3
Neutral/Neither Agree nor Disagree	78	31.3	35.6
Moderately Agree	61	24.5	27.9
Strongly Agree	39	15.7	17.8
Subtotal	219	88.0	100.0
No response	30	12.0	<i>Mdn = Neutral/Neither Agree nor Disagree</i>
TOTAL	249	100.0	

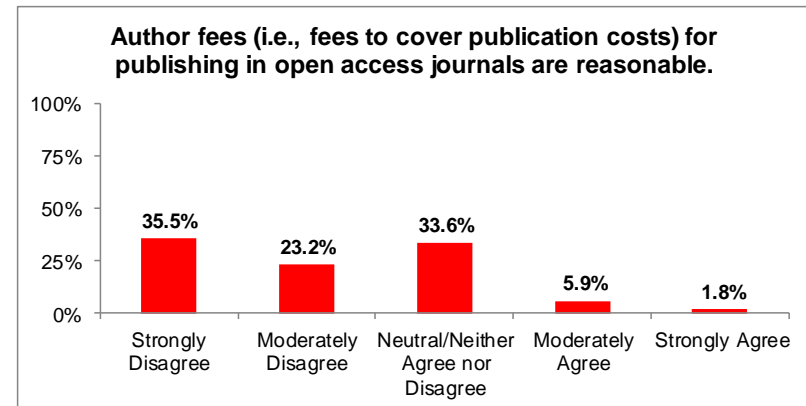
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



10h. **Author fees (i.e., fees to cover publication costs) for publishing in open access journals are reasonable.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Strongly Disagree	78	31.3	35.5
Moderately Disagree	51	20.5	23.2
Neutral/Neither Agree nor Disagree	74	29.7	33.6
Moderately Agree	13	5.2	5.9
Strongly Agree	4	1.6	1.8
Subtotal	220	88.4	100.0
No response	29	11.6	<i>Mdn = Moderately Disagree</i>
TOTAL	249	100.0	

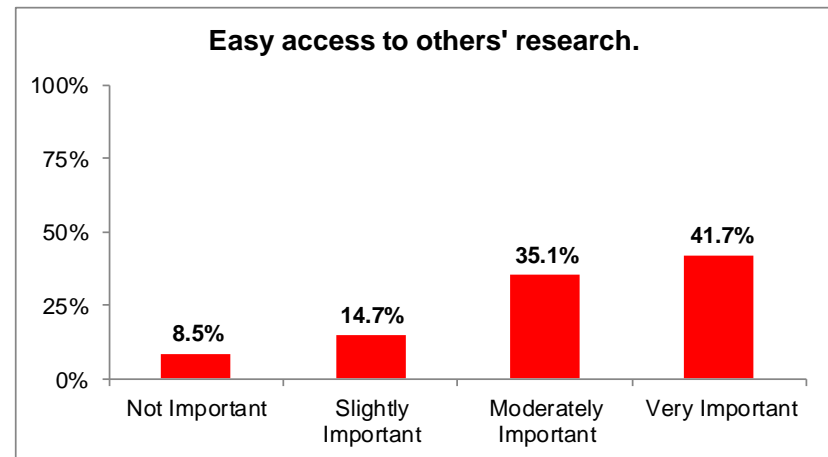
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



11a. **Easy access to others' research.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	18	7.2	8.5
Slightly Important	31	12.4	14.7
Moderately Important	74	29.7	35.1
Very Important	88	35.3	41.7
Subtotal	211	84.7	100.0
No response	38	15.3	<i>Mdn = Moderately Important</i>
TOTAL	249	100.0	

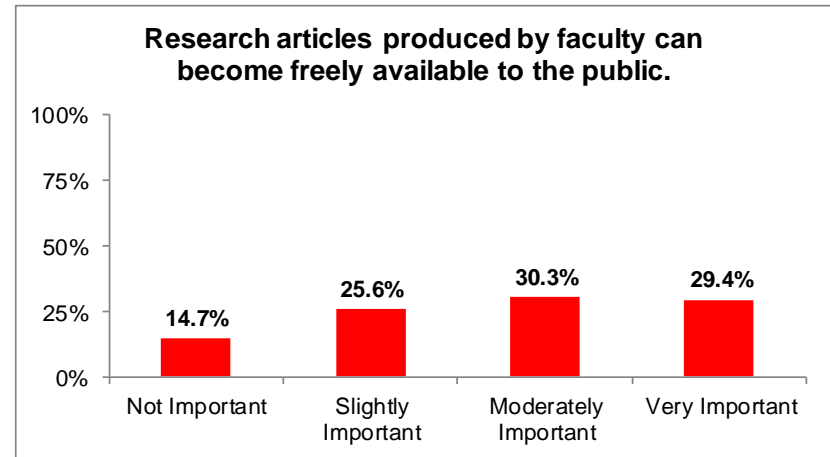
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



11b. **Research articles produced by faculty can become freely available to the public.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	31	12.4	14.7
Slightly Important	54	21.7	25.6
Moderately Important	64	25.7	30.3
Very Important	62	24.9	29.4
Subtotal	211	84.7	100.0
No response	38	15.3	<i>Mdn = Moderately Important</i>
TOTAL	249	100.0	

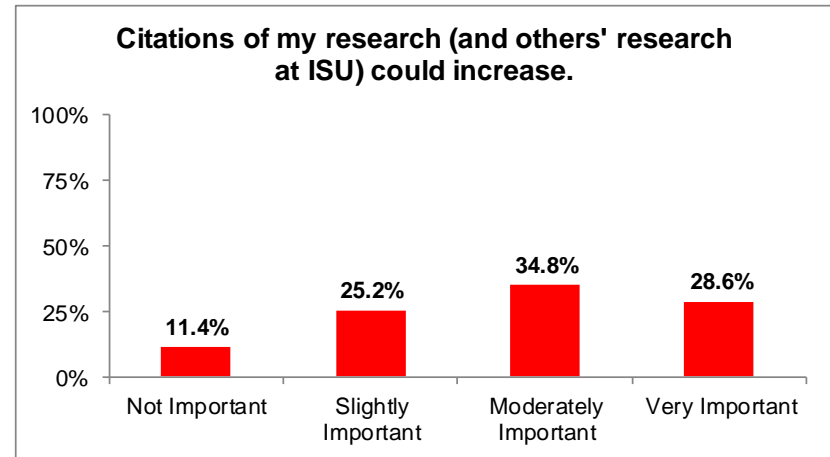
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



11c. Citations of my research (and others' research at ISU) could increase.

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	24	9.6	11.4
Slightly Important	53	21.3	25.2
Moderately Important	73	29.3	34.8
Very Important	60	24.1	28.6
Subtotal	210	84.3	100.0
No response	39	15.7	<i>Mdn = Moderately Important</i>
TOTAL	249	100.0	

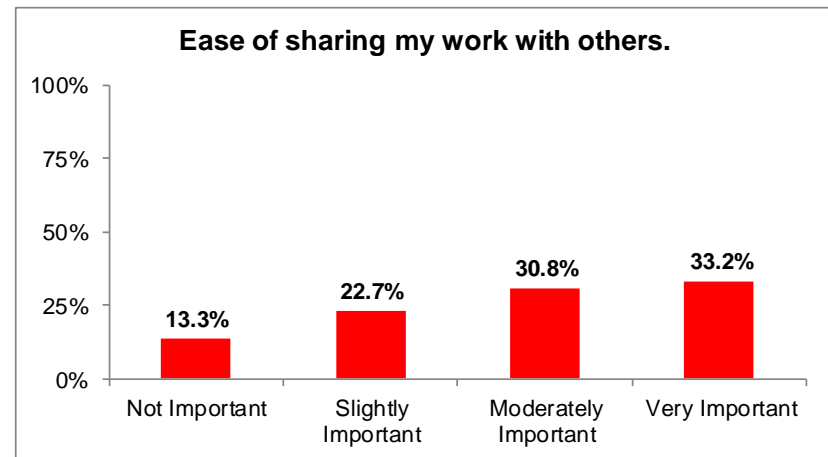
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



11d. **Ease of sharing my work with others.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	28	11.2	13.3
Slightly Important	48	19.3	22.7
Moderately Important	65	26.1	30.8
Very Important	70	28.1	33.2
Subtotal	211	84.7	100.0
No response	38	15.3	<i>Mdn = Moderately Important</i>
TOTAL	249	100.0	

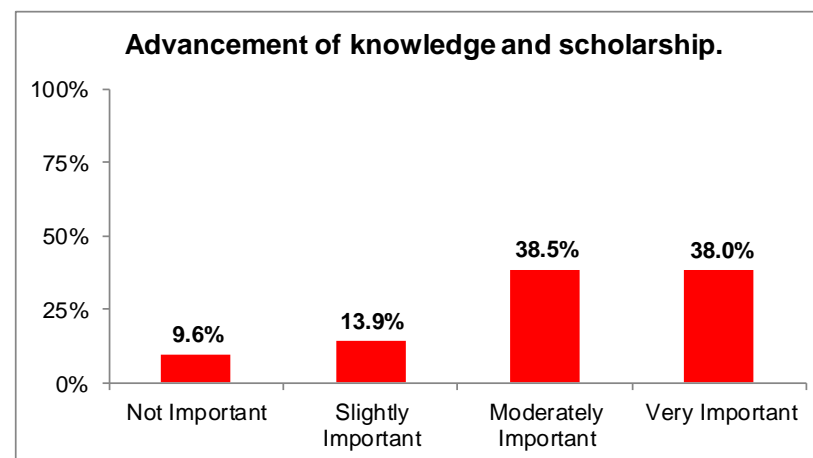
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



11e. **Advancement of knowledge and scholarship.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	20	8.0	9.6
Slightly Important	29	11.6	13.9
Moderately Important	80	32.1	38.5
Very Important	79	31.7	38.0
Subtotal	208	83.5	100.0
No response	41	16.5	Mdn = Moderately Important
TOTAL	249	100.0	

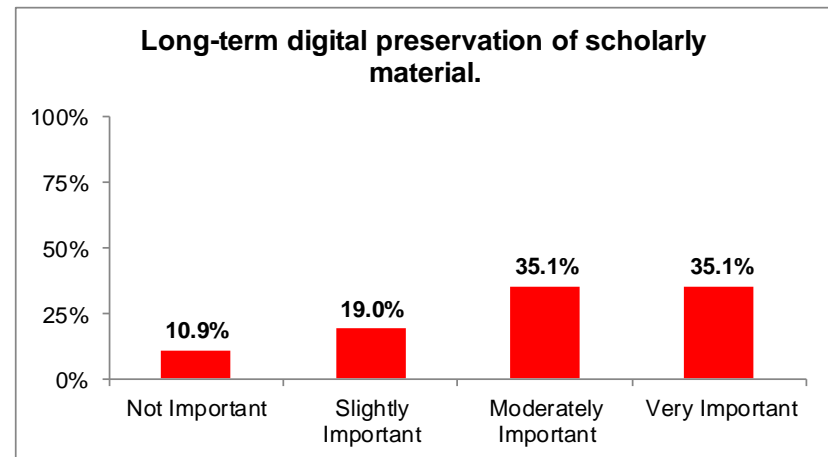
Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



11f. Long-term digital preservation of scholarly material.

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	23	9.2	10.9
Slightly Important	40	16.1	19.0
Moderately Important	74	29.7	35.1
Very Important	74	29.7	35.1
Subtotal	211	84.7	100.0
No response	38	15.3	<i>Mdn = Moderately Important</i>
TOTAL	249	100.0	

Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



12. **What concerns, if any, do you have about having a policy that published research articles produced by faculty would be made available over the Internet, such as in an university repository or through open access journals?**

Comments taken into consideration by Task Force

13. **Which of the following groups do you believe should be covered by the policy?**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>
Full-time faculty engaged in research	174	69.9
Part-time, adjunct, or other non-permanent faculty and ISU employees engaged in research	113	45.4
Graduate students engaged in research (including theses and dissertations)	95	38.2

Note. $n = 249$.

14. Which of the following types of scholarship do you believe should be covered by the policy?

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>
Published research articles	155	62.2
Conference presentations	63	25.3
Graduate theses and dissertations	109	43.8
Research supported by grants from the State of Illinois	122	49.0
Reports generated from classified research	17	6.8
Data sets (with identifying information removed)	37	14.9
Data analyses (such as output from statistical analyses)	27	10.8
Patentable works or discoveries	24	9.6
Notes or other preliminary information used to produce final manuscripts	11	4.4
Scholarship in the form of books and chapters in books, including those that generate revenue or royalties for authors	63	25.3
Work in the creative arts	62	24.9
Research involving co-authors from other universities	72	28.9

Note. $n = 249$.

15. In the box below, feel free to elaborate on your answers above, concerning your beliefs about who and what should be covered by a university open access policy.

Comments taken into consideration by Task Force

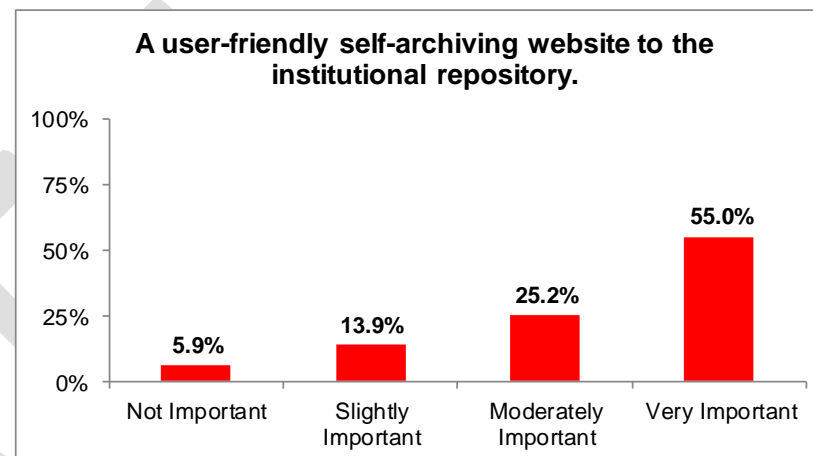
16a. **University policy outlining copyright issues.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	10	4.0	4.9
Slightly Important	16	6.4	7.9
Moderately Important	48	19.3	23.6
Very Important	129	51.8	63.5
Subtotal	203	81.5	100.0
No response	46	18.5	<i>Mdn = Very Important</i>
TOTAL	249	100.0	

Note. *Mdn* is the median, which is the 50th percentile and represents an average score.

16b. **A user-friendly self-archiving website to the institutional repository.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	12	4.8	5.9
Slightly Important	28	11.2	13.9
Moderately Important	51	20.5	25.2
Very Important	111	44.6	55.0
Subtotal	202	81.1	100.0
No response	47	18.9	Mdn = Very Important
TOTAL	249	100.0	



Note. *Mdn* is the median, which is the 50th percentile and represents an average score.

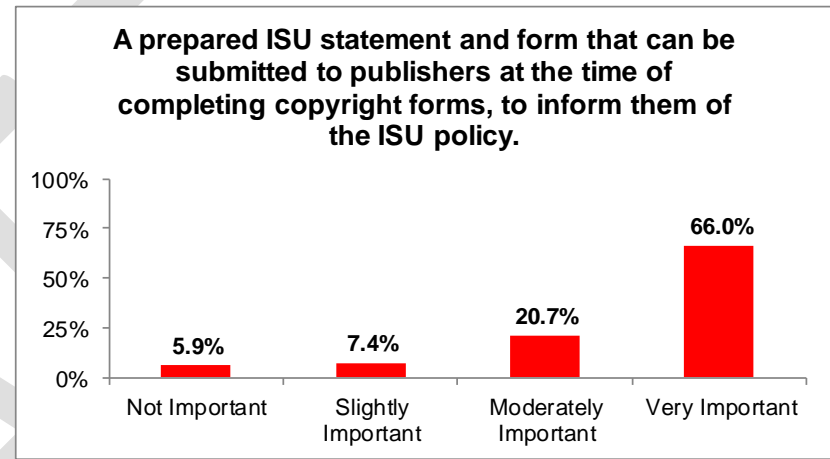
16c. **The institutional repository made available to search engines, such as Google Scholar.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	21	8.4	10.4
Slightly Important	32	12.9	15.8
Moderately Important	63	25.3	31.2
Very Important	86	34.5	42.6
Subtotal	202	81.1	100.0
No response	47	18.9	<i>Mdn = Moderately Important</i>
TOTAL	249	100.0	

Note. *Mdn* is the median, which is the 50th percentile and represents an average score.

16d. **A prepared ISU statement and form that can be submitted to publishers at the time of completing copyright forms, to inform them of the ISU policy.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	12	4.8	5.9
Slightly Important	15	6.0	7.4
Moderately Important	42	16.9	20.7
Very Important	134	53.8	66.0
Subtotal	203	81.5	100.0
No response	46	18.5	Mdn = Very Important
TOTAL	249	100.0	

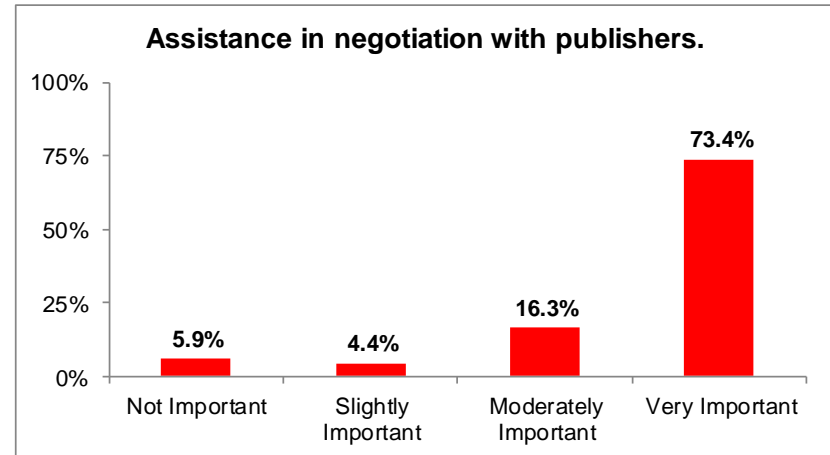


Note. *Mdn* is the median, which is the 50th percentile and represents an average score.

16e. Assistance in negotiation with publishers.

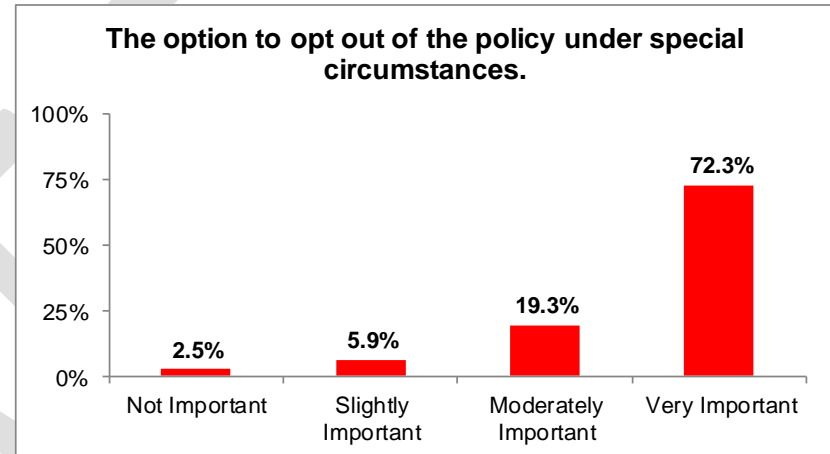
<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	12	4.8	5.9
Slightly Important	9	3.6	4.4
Moderately Important	33	13.3	16.3
Very Important	149	59.8	73.4
Subtotal	203	81.5	100.0
No response	46	18.5	<i>Mdn = Very Important</i>
TOTAL	249	100.0	

Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



16f. **The option to opt out of the policy under special circumstances.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	5	2.0	2.5
Slightly Important	12	4.8	5.9
Moderately Important	39	15.7	19.3
Very Important	146	58.6	72.3
Subtotal	202	81.1	100.0
No response	47	18.9	Mdn = Very Important
TOTAL	249	100.0	

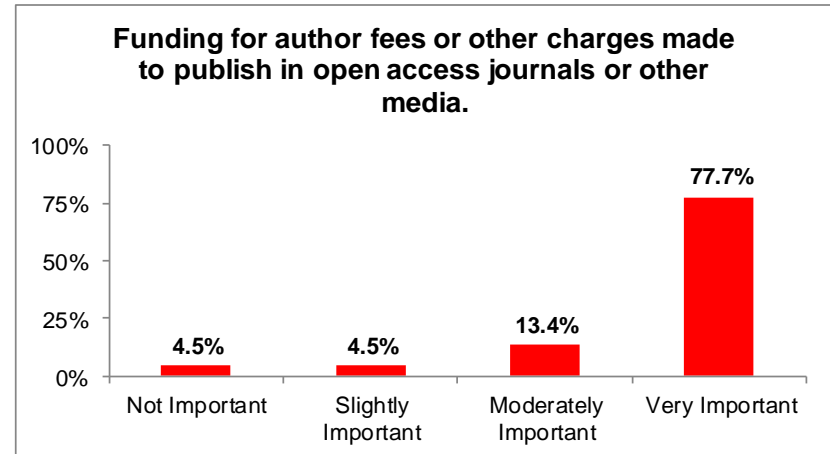


Note. *Mdn* is the median, which is the 50th percentile and represents an average score.

16g. **Funding for author fees or other charges made to publish in open access journals or other media.**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Not Important	9	3.6	4.5
Slightly Important	9	3.6	4.5
Moderately Important	27	10.8	13.4
Very Important	157	63.1	77.7
Subtotal	202	81.1	100.0
No response	47	18.9	Mdn = Very Important
TOTAL	249	100.0	

Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



17. **Indicate which of the following you have done.**

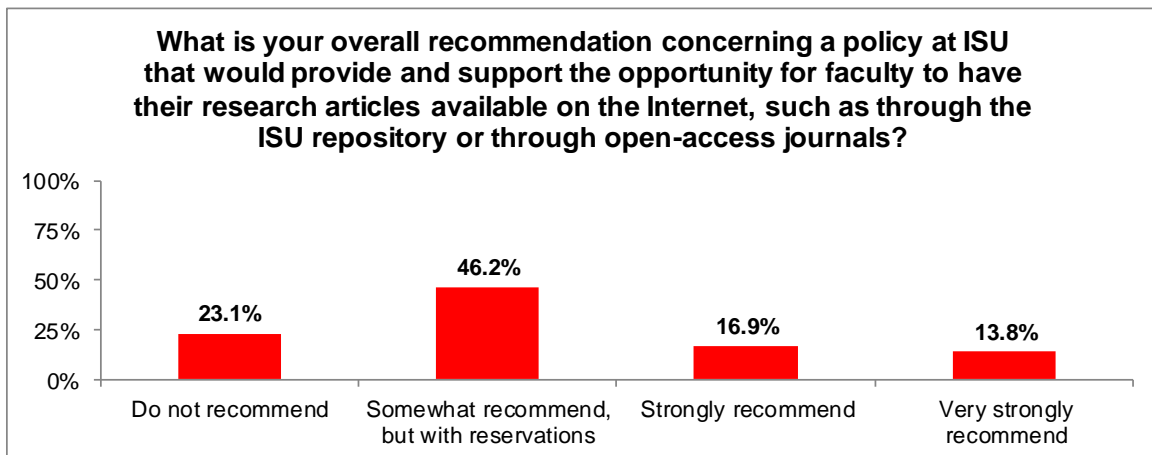
<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>
Attended one of the open forums on open access this spring at ISU	34	13.7
Read the ISU Task Force FAQ about open access	75	30.1
Read the Illinois Open Access to Research Articles Act (Public At 098-0295)	46	18.5
Read information about what other universities and/or groups (e.g., NIMH) are doing in regard to open access for research	55	22.1

Note. $n = 249$.

18. **What is your overall recommendation concerning a policy at ISU that would provide and support the opportunity for faculty to have their research articles available on the Internet, such as through the ISU repository or through open-access journals?**

<i>Response options</i>	<i>Frequency</i>	<i>Percent</i>	<i>Percent of respondents</i>
Do not recommend	45	18.1	23.1
Somewhat recommend, but with reservations	90	36.1	46.2
Strongly recommend	33	13.3	16.9
Very strongly recommend	27	10.8	13.8
Subtotal	195	78.3	100.0
No response	54	21.7	Mdn = Somewhat recommend, but with reservations
TOTAL	249	100.0	

Note. *Mdn* is the median, which is the 50th percentile and represents an average score.



19. **Please provide comments that explain your above answer. If you are in favor of a policy, please explain why. If you are not in favor, please explain why not.**

Comments taken into consideration by Task Force