Do Open Access ETDs Affect Publishing Opportunities in the Sciences?

Preliminary Findings from the 2012 Survey of Academic Journal Editors

NDLTD Prior Publications Working Group
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Lima, Peru
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Survey Pretest

- Emails to schedule phone calls
- Calls with 8 editors June 2012
- Questions:
  1. Clear question?
  2. Appropriate target audience?
  3. Timing?
  4. Strategies to encourage participation?
  5. Incentives or endorsements?

Who was surveyed in 2012?

- Thompson Reuter’s Journal Performance Indicators (JPI), 2005-2009
  - 16,455 journals in 171 subject categories
  - Relative Impact Factor (RPI): top 5
  - 723 science journals
  - 290 journal editors surveyed (40%)
- Cal Poly Human Subjects Committee approved (IRB—Institutional Review Board)

When and how were the science journal editors surveyed?

- SurveyMonkey
  - Free Web survey tool
  - Emailed 290 journal editors
- Aug. 9-27, 2012
  - Aug. 14 and 21: Reminder emails
- Sept. 4-14: Follow-up phone calls by LIS students to non-respondents
  - 4 students will be paid $250/each from the $1000 supplied by the NDLTD BoD
  - 25 call each, 6 attempts

The Primary Research Question

- Which of the following statements best reflects the editorial policy or practice governing your enterprise?
  - Manuscripts which are revisions derived from openly accessible electronic theses and dissertations (ETDs) are…
    - Always welcome for submission.
    - Considered on a case-by-case basis.
    - Considered ONLY IF the contents and conclusions in the manuscript are substantially different from the ETD.
    - Considered ONLY IF the ETD has access limited to the campus or institution where it was completed.
    - Not considered under any circumstances.
    - Other (please elaborate)

How many responded to the 2012 survey?
(Preliminary results as of Aug, 30)

- **18.3%** responded to the Science survey
  - 2 follow-up emails
  - Follow-up phone interviews Sept. 7-14, 2012
- **17.0%** responded to the 2011 Hum/SoSci survey
  - 1 follow-up email
Science editors reported that manuscripts which are revisions derived from openly accessible ETDs are...

- Always welcome: 45%
- Case-by-case: 15%
- ONLY IF substantially different: 7%
- ONLY IF limited access: 2%
- Not considered: 7%
- Other: 2%

What did the 10 “Others” comment?

- Invitation only: 10%
- OA only published: 10%
- If different/limited: 10%
- No experience: 10%
- Under no circumstances: 10%
- Welcome: 60%

2011/12 Policies re ETDs

<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>Always welcome</td>
<td>10%</td>
<td>66%</td>
</tr>
<tr>
<td>Case-by-case</td>
<td>44%</td>
<td>18%</td>
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<tr>
<td>If very different</td>
<td>27%</td>
<td>6%</td>
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<tr>
<td>If access limited</td>
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<td>0%</td>
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<tr>
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<td>7%</td>
<td>3%</td>
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<tr>
<td>Other</td>
<td>5%</td>
<td>6%</td>
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2012 and 1999 Survey Responses

- Welcome ETD submissions
- Considered case-by-case
- Only if substantially different
- Under no circumstances
- Only if access limited
- Other

Open-ended comments/observations

- OA = pub/d: 13%
- DOI: 13%
- Welcome: 37%
- Case-by-case: 25%
- Substantially different: 6%

Advice to Graduate Students based on Science and Hum/SoSci Surveys

Submit works based on your ETDs.

- Most editors will consider them.
- Quality is the publishers’ main concern.
- Adapt them for a new audience.
- Peer review is radically different.