Education Scholars' Perceptions and

Practices toward Open Access Publishing

by

Lori Michelle Ellingford

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Graduate Supervisory Committee:

Sarah Brem, Chair
Jenefer Husman
Tirupalavanam Ganesh
Mary Anne Duggan

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ABSTRACT

Although open access publishing has been available since 1998, we know little regarding scholars' perceptions and practices toward publishing in open access outlets, especially in the social science community. Open access publishing has been slow to penetrate the field of education, yet the potential impact of open access could make this publishing method an important innovation for understanding how to support the publishing needs of education scholars. To discover these perceptions and practices that education scholars have toward open access publishing, a 51-item web-based survey was provided to scholars with known investment in open access publishing. Participants had either (1) a publication in one of 34 United States education-based open access journals or (2) a manuscript submitted for peer review in one of those 34 journals. The survey contained subscales focusing on contemporary open access themes—issues identified through a comprehensive analysis of the major outlets for scholarly news in education. Through open and axial coding, several themes were extracted. They included rights and ease of access, ease of publishing, costs, support from colleagues and administrators, and perceived quality of open access outlets. The survey showed moderate to high reliability using Cronbach's alpha. Correlation and MANOVA testing showed significant results in scholars' teaching status and peer review status of manuscripts. Additional findings indicated that non-tenured education scholars responded more strongly than tenured scholars to issues related to rights and ease of access, promotion, and quality. Scholars with manuscripts currently in peer review felt strongly about themes of rights and ease of access,

cost, and promotion. The results imply the following: (1) If scholars want their research read by a wider audience, they should publish in open access journals. (2) Pro-open access policies and procedures could gain more support by ensuring open access is promoted to non-tenured scholars seeking to publish. (3) More research, forums, discussions, and education about open access need to occur in greater abundance to continue to ameliorate scholars' views about the benefits of open access publishing. (4) Institutions and departments can offer their unconditional support for open access publishing as a method of meeting promotion/tenure requirements.

DEDICATION

To my mom who helped me eat the elephant one bite at a time.

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LITERATURE REVIEW

Explaining Open Access

Open access publishing is a newer method of publishing that has been

utilized to varying degrees in the academic community since 1998 (Still, 2010).

Open access, sometimes interchanged with "free access,"…[is a] term used to

describe free, unrestricted public Internet access to scientific information"

(DeAngelis, 2004, para. 1). This method of publishing makes research available

to the end user at no cost and opens repositories of knowledge to the public. A

person's ability or inability to pay does not determine access to this research.

(Ables, 2005; DeAngelis, 2004, Kirk 2010, March 7). Open access publishing is

the converse of traditional publishing, which is sometimes call toll (TA) access

publishing. Traditional publishing refers to printed research journals that have

subscription costs, meaning that articles within the journal are not available to

read unless a fee is paid. This definition of open access publishing, as just

introduced, is a truncation of the definition that the Budapest Open Access

Initiative provided, which is considered the broadest and strongest definition

when defining open access (Furlough 2010). The Budapest Open Access Initiative

defines open access as:

> free availability on the public Internet, permitting any users to read,
> download, copy, distribute, print, search, or link to the full texts of these
> articles, crawl them for indexing, pass them as data to software, or use
> them for any other lawful purpose, without   financial, legal, or technical
> barriers other than those inseparable from gaining access to the Internet
> itself. The only constraint on reproduction and distribution, and the only
> role for copyright in this domain, should be to give authors control over

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the integrity of their   work and the right to be properly acknowledged and cited. (Budapest Open Access Initiative Authors, 2002, para. 2)

Since the advent of this broad and strong definition of open access, two additional definitions have emerged through the October 2003 Berlin and June 2003 Bethesda statements of open access' definition. According to Suber (2010), these three definitions "are the most central and influential for the open access movement" (para 5). Sometimes Suber (2010) collectively calls the additional definitions of open access as the *BBB definition* to represent the three influential conferences beginning with "B" where open access policy and procedure were discussed and defined. Suber is considered the de facto leader in open access (Poyndr, 2007). He expands the BBB definition by commenting:

> Even though these three definitions differ from one another in small ways...they agree on the essentials. Open access content must be free of charge for all users with an Internet connection [and it must give] users permission for all legitimate scholarly uses. It removes what [Suber] called permission barriers, as opposed to price barriers. (Suber (2004, September, para. 5-7)

Open access has changed the publishing method and ways in which people now have access to research and the costs (or lack thereof) associated with it (Kirk, 2010, March 7). Likewise, this open access method of publishing in journals is not without its controversies. For example, open access once was called a fad (Young, 2006). Open access journal publishing has been viewed as competition with traditional print journals and challenges the views of those who hold traditional print journals as the most prestigious and acceptable way to publish research for tenure and prominence (Abeles, 2005, Burdman, 2004, June 26; Losoff & Pence, 2010; Howard, 2008, May 7). A survey conducted by Hess,

Wigand, Mann, and von Walter (2007) indicated that 60% of their respondents felt that open access publishing negatively affected promotion and tenure opportunities. Open access publishing will continue to challenge those views until academics are willing to let go of their idea that the printed journal article is a way of measuring worth within the discipline and to their associated institutions (Abeles, 2005).

Open access journals and publishing emerged with advances in technology, particularly the Internet. As the Internet has become ubiquitous within the U.S., it has been used by many as a platform to communicate and transfer information cheaply, quickly, and accurately, thus making publishing online attractive. This attractiveness is especially seen through the concept of accessibility. (Schmidt, 2010). Information that once took longer to get because of the time needed to access or create hard copy documents, or having to go to a library to access information, is no longer the only way individuals can obtain research. Information that was once inaccessible, for geographic reasons (too far to drive to get to the source) is now available because of the reduced need for travel (Clay, 2009). Now even nearby restaurants and businesses offer computer and Internet usage to the public for free or minimal charge. Online library access and cell phones offer the Internet at our fingertips to look up information and research. Accessing what we need or desire, especially if it was once hard to access due to technological barriers even just a few years prior, is very attractive (Schmidt, 2010).

Additionally, publishing research online contained advantages that traditional print publishers couldn't offer for nearly the same convenience or price, for example, cost and media. Open access publishing is a more flexible and dynamic method of publishing because of its accommodating nature to media and graphics (Bailey, 2005). Internet-published research offered the capability to include media, graphics, audio, and other visual enhancements (i.e., sound clips, colored charts, interview recordings, etc.) within articles to support research that couldn't otherwise be placed or distributed via hard copy (Bailey, 2005; Odlyzko, 1998). Printed research was bound to the limitations of the paper, which could cost about $1.53 per page for the publisher, and this cost was passed on to the author as a fee to pay for publishing within the journal (Odlyzko,1998). Using the author-pay model of publishing, even the least expensive journals in the hard science disciplines still had an average minimum cost per article of over a thousand dollars, which was the author's responsibility to pay (Odlyzko, 1998). Even more current dollar figures on journal publications indicate that average cost of a journal issue is between $3,000 and $7,000, and depends on the academic field (Howard, 2010, June 8).

As an alternative, publishing online is at least a 30% cost reduction on the publisher's end, according to Odlyzko (1998) and a 70% cost reduction according to Bot, Burgemeester, & Roes (1998) in comparison to traditional print journals. Jackson (2010) indicates that starting his open access journal was simply $20 out-of-pocket cost to buy a domain name plus additional funding help from his associated university. In summary, regardless of the exact dollar price, open

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access publishing is a less expensive publishing method to publishers. This cost reduction, of course, meant that a lesser publishing fee, if any, is passed on to the authors (Odlyzko, 1998).

Open access has challenged the traditional print publishing world, and eliminated a perceived control that publishers had in the industry (Goetsch, 2010; DeAngelis, 2004). This perceived control has been called a monopoly by a few members of the National Institute of Health (DeAngelis, 2004). In turn, Foster (2008, February 22) notes that print publishers and their control have been compared with slave traders. An editor from the Public Library of Science was quoted as saying the time has come for ending the slavery of traditional publishing (Howard, 2007, March 16). Change is often met with resistance, and the attempts to implement changes in the traditional publishing method also has met with the resistance of people/scholars who are not willing to take a risk in trying a new model of publishing (Howard, 2008, October 2).

By removing the print publishers as the gatekeeper, more individuals have the opportunity to publish in more locations. Thus, questions arise regarding who will ensure quality and accuracy of what is printed in open access outlets, especially because Internet sites don't have a built-in mechanism for showing their quality (Bacher, 2008, March 21; Olson, 2008). The concern is that research published in open access journals is of inferior quality, allowing for "shoddy" scholarship and questionable publications to circulate since it does not go through the same rigorous vetting process that refines and qualifies a manuscript for publication acceptance (Schmidt, 2010). Olson (2008) assures that many of these

online journals are acquiring reputations of comparable rigor in the peer-review process, thus there is nothing to fear. In spite that some feel it is necessary to question whether we "give credit toward a colleague's tenure and promotion" at any given open access journal (para.14), Kirk (2010) asserts that peer-review can be a fallible process, even in the most reputable print journals. Thus, those who point their fingers at open access journals as a source of low quality research may want to reconsider their claims.

Despite the concern and the controversy surrounding open access publishing as years have passed, benefits have been noted. As previously mentioned, open access publishing allows for the public to have greater accessibility to research and increase the speed of discovering new research (Howard, 2008, September 26; Kirk, 2010). To an author's benefit, open access publications increase the visibility of an author's research and leads to a wider dissemination of ideas (Clay, 2009). Articles publishing in open access journals are cited twice as much in the first four to 10 months after publication (Eysenbach, 2006). Open access publishing allows for greater ease of article retrieval. In 2010, the American Psychological Association's journals began releasing articles within 30 days of publication acceptance with the intent to give users speedier access to research (Anderson, 2010)

Authors have more freedom now that they can choose from more than one medium in which to publish. Open access is considered a "strong vehicle for academic freedom" especially when journals use free publishing software created by Public Knowledge Project specifically for this publishing method (Schmidt,

2010, para. 3). Independent of the publishing software, the current president of the American Association of University Professors, Cary Nelson, believes that open access publishing promotes academic freedom (Schmidt, 2010).

To summarize, open access publishing has introduced issues regarding perceptions of publishing prestige, prominence and promotion requirements. Open access publishing has presented competition to traditional print journals and presented a reason to evaluate costs, information accessibility, and the control that journal publishers do or do not hold as related to publishing. Open access publishing has raised concerns about the quality of content published online, along with queries about benefits and limitations that accompany online publications. In turn, open access publishing has also sparked discussion of freedom and choices available in academic publishing.

In light of these issues, open access publishing continues to gain followers and support even though this publishing method has been met with resistance and has been perceived as a potential career-damaging way to publish (Furlough, 2010). Coonin & Younce (2010) have noticed how open access has been slow to penetrate the social sciences. Furlough (2010) comments in relation to open access that "more research is needed in the attitudes and behavior of research in specific fields, especially education researchers, to understand how open access can support their needs as an author" (p. 2623).

Research Aims

In order to explore the aforementioned issues more thoroughly, particularly as they relate to the field of education, I decided to conduct survey

research using Likert scale items to measure education scholars' perceptions and practices related to publishing in peer-reviewed, open access academic journals. The survey items focused on nine themes that had foundational basis in issues researched in the *Chronicle of Higher Education*, the *APA Monitor,* the *Observer,* and additional literature from other sources discussing open access publishing. Specifically, while reading various articles about publishing, I tracked the emergent topics and ultimately compiled a large list of 54 concepts that were then aggregated by similarities into a smaller list of nine generalized themes. These themes guided the future crafting of each survey item.

The nine themes are: rights of access, ease of access, cost, gatekeeping, freedom, support, benefits/drawbacks, promotion and marketing of open access, and quality. Each of the nine themes and what they represent are summarized in Table 1 and will be discussed in further detail as this chapter continues.

In addition to the nine themes used as a foundational basis for creating survey items, I also chose to create eleven survey items that would collect demographic information on the following: gender, age, education level, occupation, teaching status, institutional affiliation, nationality of work location, number of total publications, number of open access publications, the names of all open access education journals in which a person had published, and whether or not an individual had a current manuscript in peer review. I felt that using these demographic variables would provide richer insight into respondent's views and perceptions of open access publishing. Thus, I wanted to examining responses in categories determined by the demographics as one method of analyzing data.

Table 1

Themes and Descriptions

Themes	Description
1—Rights of Access	This theme explores the opportunities that scholars and the general public have to access and read information without various restrictions in the open access, online research journals.
2—Ease of Access	This theme explores the ease of getting information from open access, online research journals.
3—Cost	This theme explores the reduced costs that open access journal publishing offers and also the financial threats that traditional publishing methods face in the wake of open access, online research journals.
4—Gatekeeping	This theme examines the restrictions that traditional print publishing places on publishing and the lesser restrictions resulting from open access, online research journals.
5—Freedom	This theme explores the publishing opportunities and expanded publishing/ reading choices (to both scholars and readers) that result from the access that research in open access, online research journals provide.
6—Support	This theme explores the support scholars receive from their university and organizations for publishing in and using open access, online research journals.
7—Benefits/Drawback	This theme explores the advantages and disadvantages that open access, online research journals offer to authors and readers.
8—Promoting/Marketing	This theme explores how open access, online research journals are currently being promoted and marketed, for both benefits and drawbacks.
9—Quality	This theme explores the views that scholars have on the quality of content that is provided through open access journals.

These nine themes and 11 variables lead me to research questions. But first it should be noted that after exploring all nine themes and using them as the foundation for all items in all versions of the administered pilot surveys, I noted the potential issue of having reduced power in any data analysis because of having so many themes analyzed along with so many demographic variables. Thus, even though the final survey still contained items that represented nine themes and 11 demographics, I based my hypotheses on six themes (not nine) and six demographic variables (instead of 11).

Research Questions

What are the perceptions and practices of education scholars related to publishing in open access journals in terms of six themes: rights of access, ease of access, cost, support, promotion, and quality? Does age, institutional affiliation, teaching status, occupation, number of publications in a career, and current manuscript review status influence the perceptions and practices of education scholars toward publishing in open access journals?

Will older versus younger scholars have different views on open access publishing? Does employment at a public or private academic institution make a difference in a scholar's view and practice toward open access publishing? Would a more seasoned, tenured scholar have more favorable views and publishing approaches compared to a novice, non-tenured scholar? In what ways does a scholar's occupation influence his/her perceptions of open access publishing? Will authors of many publications have more favorable views and approaches to publishing in open access journals? Does current manuscript review status

show any difference among scholar's views and approaches toward open access publishing?

Hypotheses

The null hypothesis is that there are no differences among perceptions and practices of education scholars related to publishing in open access journals with regard to rights of access, ease of access, cost, support, promotion, and quality.

The alternative hypothesis is that there are differences among perception and practices of education scholars related to publishing in open access journals with regard to rights of access, ease of access, cost, support, promotion, and quality.

Open access publishing will be (1) seen as providing greater rights and (2) ease of access, (3) more favorable views toward publishing costs, and (4) influencing increased favor on quality of published content. Open access publishing could produce either increased or decreased views on how scholars feel open access is supported by their associated organizations. Views on promoting open access publishing could be either favorable or unfavorable. Both views on support and promotion themes could be influenced by a person's occupation or intuitional affiliation.

Specifically, I hypothesized that age, institutional affiliation, teaching status, occupation, number of publications in a career, and manuscript review status do make a difference in education scholars' perceptions and practices toward open access publishing with regard to rights of access, ease of access, cost, support, promotion, and quality.

- Younger individuals at private academic institutions, and scholars with manuscripts currently in peer review will have more favorable views on open access publishing.

- Tenured scholars with many publications will have more favorable views and approaches toward open access publishing compared to novice, non-tenured scholars with few publications.

- A person's occupation will either positively or negatively influence perceptions of open access publishing.

Nine Themes

The following pages detail the nine themes of open access publishing as they relate to recent literature's discussions on the topics. The details in the content of these themes provided the foundation basis for creating the eventual survey items.

Theme 1: Rights of Access

This theme explores the opportunities that scholars and the general public have to access and read information without various restrictions in the open access, online research journals.

Providing to the public. Trends from the last six years show a push to make research free to the public through open access for the purpose of benefiting the public. For example, "APA journals now release individual articles as Online First Publications within 30 days of acceptance to assure speedy access to

research findings" (Anderson, 2010, para. 2).[1] This accessibility is international too. Developing nations, such as Somalia, Ethopia have been using open access journals since the WHO program began in 2002 (Dingfelder, 2005). Additionally, open access advocates are hoping this method of publishing will increase the knowledge that is available, especial in the medical and education fields. DeAngelis (2004) indicates that federal agencies have been trying for more than a decade to have scientists share their data openly, and that perhaps open access publishing is finally something to facilitate this public sharing of research.

When it comes to science and medicine, the physical sciences have a historical tradition of making their information and research publicly available instantly. Clay (2009) notes that several disciplines in the physical and social sciences have already been making their research public for a long while. Sharing academic research openly has been inherent in disciplines such as astronomy, oceanography, economics, and political science (Clay, 2009, para. 4).

Also, federal agencies that fund research are among the first to push for their information to be made public. Organizations like APA have provided the public with free access to research, as has the PLoS with its online journal. On a college level, professors and scholars are the ones who support providing their research freely to the public which publishers have been slower to offer support.

The rights to access also have a philanthropy component to it. APA has offered information in all APA journals for free to developing nations with a GNP of $1000 or less. The purpose is to offer information to these countries that can't

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[1] All resources were accessed and read online, thus paragraphs are cited for quotes instead of pages.

afford the steep prices that come with accessing information, as other nations currently have set up for utilizing research articles and journals. The personal cost for APA is very low, but the benefit is large to those countries that otherwise would not have access to research if it were not provided free. In 2005, "APA began allowing students, professors and government officials in countries with a gross national product (GNP) of less than $1,000 per capita free access to all APA journal" (Dingfelder, 2005, para. 6).

Theme 2: Ease of Access

This theme explores the ease of getting information from open access, online research journals. By getting access, this means how an individual is able to get access easily, and the factors on the provider's end for making the information easy to access.

Technology's role. Having free access is just as much influenced by the technology available to be able to access it. Wittenberg (2006) notes that the methods to deliver and store content must be considered. It needs to allow students and other individuals access to the research on mobile devices, especially since this younger generation spend so much of their time as part of an online community.

Publishers that support open access have testing models for open access delivery. Even corporations like Microsoft have developed an Article Authoring Add-in for Word 2007 to make manuscripts publish-ready in formats that publishers and digital archives require, thus also benefiting the public for easy access to information that publishers can provide so easily. "Open Humanities

Press hopes to use its technological savvy to free up journal editors' time while improving the presentation of editorial content and making it more easily accessed and archived" (Howard, 2008, para. 9).

Additionally, a scholar from Stanford, John Willinsky, has developed software for open access journals. "As a leader in the development and spread of "open access" scholarly journals, which are published online and offered free, the Stanford University education professor is not just helping to transform academic publishing. He is also equipping scholars around the world with a tool to foment revolution" (Schmidt, 2010, para. 1). This vehicle allows for scholarship to be published, available, and accessed by individuals from anywhere. Research that once was not accessible for a variety of reasons is now present in the online location, without the constraints that come from using physical copies of journals and their articles.

Theme 3: Cost

This theme explores the reduced costs that open access journal publishing offers and also the financial threats that traditional publishing methods face in the wake of open access, online research journals. This theme also examines the potential for cost to not be reduced and why.

Decreases in cost to specific people/entities. Open access significantly reduces the cost of accessing information to nothing, when concerned with the public. A significant purpose of open access is so that the public can have research for free. The important part to emphasize is that it is free for a person to access the information, meaning the individual financial impact is seen more

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quickly. Even if open access is free for the public to access, this doesn't detract

from the fact that the public does pay for some research through other distal

processes, such as taxes which fund government-supported research. The average

American citizen who is accessing free research online may not realize that their

tax dollars have funded the very research that they are reading. But that is where

the indirect financial contribution ends. The actual publication and

dissemination costs are not paid, either directly or indirectly, by the average

citizen (DeAngelis, 2004).

Increases in cost to specific people/entities. In some instances, open

access still does not change the fact that authors may continue to bear a large part

of the publication cost—especially when the articles are printed first in a

hardcopy journal and then later made available online. The costs of research are

absorbed into other areas of the production, or put off onto other agencies or

institutions in different phases of conducting the research.

> When you say you're going to give [research] away for free, you have to
> think about all of the different ways you're going to have to pay for it that
> you're not paying for it now, everything from getting the government to
> build money into grants, to passing that money through states to the
> universities, to transferring the money to professional associations to
> handle the many tasks of publishing. (DeAngelis, 2004, para. 11)

However, Guterman (2005) notes that authors who publish in open access

journals will incur fewer costs than if they were to publish in traditional journals.

Authors are more likely to have costs with paper-based journals rather than open

access journals.

Business model. Traditionally, academic publishing has followed the author-pay model in which the author of the accepted manuscript pays a sum of money for having his/her research published. With the introduction of open access online journal publishing, publishers are concerned about a loss of revenue. Publishers worry about losing revenue if their content went online for free (DeAngelis, 2004)**.** If authors are attracted to a different publishing source, this will decrease the number of articles published in the print-based journals. With money threatening the perceived sustainability of a business, fears come forth from traditional print journals. Even with open access journals, the author-pays model is still used, meaning that some open access journals request authors to pay a fee once their manuscripts are accepted for publication (Guterman, 2005, October 28). Interestingly, Guterman (2006, March 25) indicates that less than half of the existing open access journals charge fees to authors.

Implications of cost through free software. Open access journals come at a relatively cheap price. In fact, software developed by Willinsky for open access journals is free. The point is that open access journals cost very little and this has an effect on publishers, the economy, and quality. One concern is that open access journals will affect the viability of nonprofit and commercial journals. Furthermore, free publishing in open access journals will pull articles away from traditional print journals and end up destabilizing their subscription revenues (Academic Presses Endorse Statement on Scholarly Publishing in Digital Age, 2007, March 9; Howard, 2007, March 16). Next, even though the journal software is free and it's relative low-cost or no-cost to publish with an

open access journal, there are still costs that have to be absorbed somewhere else, which will end up being shifted onto the shoulders of other entities or people (Howard, 2007, September 21). Third, the limited or no-cost of operation for open access journals makes it easy for journals to start-up regardless of their quality (Schmidt, 2010, February 14). Open access journals are cheap and therefore easier to start up, meaning that anyone could start an open access journal at the expense of publishing high-quality information (Schmidt, 2010, February 14).

Theme 4: Gatekeeping

This theme examines the restrictions that traditional print publishing places on publishing and the lesser restrictions resulting from open access, online research journals. The federal government and traditional print publishers are examined in the role of gatekeeping.

Government. The government is considered a gatekeeper because it mandates that specific organizations conducting research with government grant money make their published findings available to the public within a specified time frame, and the research is then available through state, public, and academic libraries (Howard, 2009, October 18). This type of gatekeeping was actually providing information to the public. People have resisted this type of gatekeeping; it appears that the resistance of any gatekeeping is in response to those who control the power of information accessibility. Regardless of whether or not the gatekeeping releases or restricts public access, someone is going to object to the power that lies in the decision. "Until now we have not

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only controlled the development of content, but also its discovery and delivery" (Wittenberg, 2006, para. 5).

Publishers. One perception is that traditional publishers are gatekeepers of information and that their print journals are barriers for allowing information to be accessible to the public. That information is available through subscription only and comes with a cost, which has been compared to slave trading as an extreme analogy (Foster, 2008, February 22). Some have said publishers have a monopoly on what does and does not get published and people are trying to combat this. This has led open access advocates to strongly indicate a need to overhaul the traditional publishing method to eliminate the perceived monopoly held by current publishers of traditional print journals (DeAngelis, 2004).

Foster (2008, February 22) was bold in comparing publishers with slave trading. Cost can be considered an intangible barrier/gatekeeper that restricts people from access to information. "The slave traders of that time are like today's traditional publishers, he said. The slaves are akin to research articles and academics, and the abolitionists are open-access activists" (Foster, 2008, February 22, para. 2).

Theme 5: Freedom

This theme explores the publishing opportunities and expanded publishing/reading choices (to both scholars and readers) that result from accessing research in open access, online research journals provide.

Availability. Open access removes the constraint that print journals and journals with restricted access have. Availability is equated with accessibility,

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meaning that the Internet and lack of cost make it easier to read research. The online world allows individuals to navigate through information that otherwise would be inaccessible due to cost, time, or geographic restrictions (Schmidt, 2010, February 14).

Freedom for the public. Freedom for the public means removing the traditional boundaries that have constrained knowledge/research being available. In this case, some people categorize publishers as a whole for being one constraint that prevents the accessibility of information. However, open access removes the constraints imposed by traditional publishers and eliminates a monopoly over who can publish what. Freedom is given to the public so that they too might be able to publish. Additionally, Terris (2009) asserts that freedom to access research and other scientific information without having to pay for it creates a healthier research environment. Thus, Terris (2009) advocates open access publishing as a means for allowing all people to have freedom to access the same research.

Theme 6: Support

This code explores the support scholars receive from their university and organizations for publishing in and using open access, online research journals. This code also examines the support (or lack thereof) that institutions, academicians, and the government give toward the open access movement.

Institutions/academics. Prism, SPARC, university presses, and various academic institutions are those who offer wavering and constantly-changing support. PRISM has shifted its message and support slowly to the positive, and now can been credited with supporting "new approaches to access and new

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economic models that offer choices to suit diverse budgets and needs" (Howard, 2007 September 28, para. 3). But Prism was initially the group of who offered the most unsupportive view of open access. In 2007, Prism was very prominent about their concerns with open access and created a stir of antagonism in the scholarly community as they promoted their viewpoint about the perils of open access and the various impacts it would have on publishing. Prism's stance inadvertently forced people to choose sides. Prism's message was "over-simplistic and ill-judged, with the unwelcome consequence of creating tension between the publishing community and the proponents of Open Access" (Howard, 2007 September 21, para. 11). If you were associated with Prism, then you ran the risk of being associated with Prism's anti-open access campaign. For this reason, many people resigned from positions that were associated with anti-open access views. Additionally, many people also supported Prism's concerns, which when stripped of their persuasive, charged language, were legitimate concerns to consider. However, the political environment surrounding Prism's fueled campaign against open access was tense. Today the concerns are not politically heated but the effects of the campaign's views still linger. Whether influenced or not by Prism, there are also individuals who are resistant to open access publishing and it takes a lot of effort to persuade them of the merits of open access (Howard, 2009, October 15).

In addition to Prism, universities have been slow to become part of the open access movement too, earning them the reputation of "change blockers" (Bacher, 2008). However, open access has been described as inevitable (Howard,

2009, October 15). Open access is considered a necessary method of publishing to support as times change. Three years ago, the University of Tennessee formed an Open Publishing Support Fund with the intent to encourage authors to publish in open access outlets by assisting faculty members who publish in open-access journals (Howard, 2009 March 6)**.** Open access is supported within our digital world. Prism has since become a supportive advocate for open access and has even launched an awareness week in Oct. 2010 along with additional statements of support: "We [Prism] support the principle that scholarly research fully funded by governmental entities is a public good and should be treated as such…We support legislation that strengthens this principle and oppose legislation designed to weaken it" (Young, 2009, para. 5).

Government. The government is actually pro-open access as was have seen in 2005 when it was suggested that researchers that received federal funding should make their work available to the public within 12 months of publishing. However, only 4% of the people did this. In April 2008, legislation was passed that mandated the previous request. And now there is an attempt to get more legislation is attempting to go into effect. "Federal agencies were the first to push for public access to knowledge gained through the research they support…and publishers may be the last to join the effort" (Brown, 2006, para. 16).

Though many people have opposed the government's role in making research available to the public, there are just as many people who support it. Independent of people's opinions, the fact is that the government has mandated in April 2008 that "all researchers whose work is financed by the NIH to submit

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electronic copies of their final, peer-reviewed manuscripts to PubMed Central, a free online archive of biomedical and life-sciences journal articles, and that the material be made publicly available within 12 months of publication" (Howard, 2008 September 26, para. 3).This means that a lot of research on medical topics is freely available for people to read and learn from. Because of the government's law, specific research is readily available to the public for free access. Since 2008, a new legislative act is attempting to pass that would require federal agencies to make research they support freely available to the public. "The legislation, called the Federal Research Public Access Act, would require that federal agencies make publicly available online the manuscripts of journal articles stemming from research they support" (Parry, 2010, para. 3).

Collaboration. In the last five years, the support for open access has grown and more people are accepting and forging congenial relationships in connection to their open access support. APA has forged a relationship with many different associations (APA offers free journal access to world's poorest countries, 2005). Other researchers have noted that the new generation of students and people who live-tech infused lives are people we ought to study and figure out ways to make open access enhance their tech-based lives (Wittenberg, 2006). University administrators and provost are giving their support in additional to different disciplines finding a way to merge a relationship rather than divide themselves based on types of publishing (Brown, 2006).

Theme 7: Benefits that Result from Having Open Access

This code explores the advantages and disadvantages that open access, online research journals offer to authors and readers.

Ability to publish items online that can't be done in print. Open access offers at least one thing that print journals can't: the publication and instant accessibility to media-rich items, such as "sound files, high-resolution photos, magnetic-resonance imaging scans or extensive tables… source code and data sets" (Bailey, 2005, para. 2). Other items are **"**raw data from reaction-time studies, pictorial and word stimuli in several languages and computer code for statistical analysis and data acquisition" (Clay, 2009, para. 19).

Specific benefits. Clay (2009) lists several benefits for open access publishing: (1) wide dissemination of ideas, (2) new research directions, (3) cost saving, (4) ethical considerations, (5) quality control, (6) a teaching tool, (7) reduction in the need to travel. A survey from 2007 indicates more benefits of open access, such as increased speed, broader readership, and more citations ("Researchers Like to Use," 2007, March 8). Jones (2010, October 19) notes more benefits of open access such as "the potential to maximize research investments, increase the exposure and use of published research, facilitate the ability to conduct research across available literature, and enhance the overall advancement of scholarship" (para. 3).

Open access allows people in developing nations to have information they wouldn't already have. Open access benefits the knowledge pool by expanding the distribution of information to those who can't afford to pay. It also benefits

nations that may not already have specific knowledge of topics that other

countries know a lot about, especially when it comes to science and medicine. Not

only does the open access widen who receives the disseminated info, but it also

gives authors' research extra exposure at no cost to the user. Raw data and other

trials that otherwise might not be published have an Internet home and visibility

to those who are searching for that type of information. No longer is the discovery

and deliver of content controlled.

Biases/negative perceptions about changes that result due to open

access. Biases against open access are mostly fears that stem from concerns about

the impact of cost on traditional publishing and the role of the government in

regulating who and when research must be published. Those who run traditional

print journals see a potential negative or an existent impact on their cost/finances,

especially in the form of losing revenue if journal articles were published for free

on the Internet (Guterman, 2006). The fear of this impact fuels concern and half-

hearted or no support for the open access journals which can be seen as rivals.

Additionally, the push for open access is regarded as a movement that is fad-like

and doesn't objectively consider publishing realities (DeAngelis, 2004).

Disadvantages of Open Access Publishing

Lack of motives. Some concern has been raised about the potential

apathetic assistance of librarians in the use of tracking and supporting open access

research. They have no incentive or motivation to support this free access

movement because they receive no funding to help them mange and archive open

access information.

Misuse. Like the use of any item or tool, the purpose can be for good or bad. The concern is that people who are able to access medical research for free will misuse information, with the implication that this misuse could create harm to self or others. Do we trust the public to be responsible with information that affects physical health? Or will information fall into the wrong hands and be misused, queries Schmidt (2010, February 14).

A series of negative effects. Open access doesn't come without complaints and concerns that range across a broad spectrum beyond the specifics mentioned already. Some concerns are largely reiterated, such as cost and misuse of information (Kirk, 2010, March 7). But several miscellaneous concerns surface too. For example: one concern is that attention, not content is a scarce commodity and open access does nothing to increase attention to scholarship (Breslow, 2007, November 21). Second, open access journal websites can be blocked and therefore the information is not accessible whereas a print journal does have hard copies that could be ordered or accessed in person. Third, some published research indicates that open access journals do not increase dissemination of info significantly.

Theme 8: Promoting or Marketing Open Access

This theme explores how open access, online research journals are currently being promoted and marketed, for both benefits and drawbacks.

Open Access receives a nickname: OA. For the first time in the history of open access's existence, a week of promotion was dedicated to Open Access to "promote open access as a new norm in scholarship and research [and was]

organized by the folks at the Scholarly Publishing and Resources Coalition, or

SPARC" (Howard, 2010, October 19, para. 1). During this week, the term open

access was even given a two-letter abbreviation for the first time ever in the

Chronicle of Higher Education: "OA." From a language standpoint, abbreviations

are often used when long words and terms are common enough in language that a

shortened version of the words makes communication more efficient. In this case,

shortening open access to *OA* is an indication that the terms have been a common-

enough term that a shortened version makes communication about open access

slightly more efficient. It's also trendy to give a shortened name or nickname, and

perhaps this is done with the intent to ameliorate the term "open access" given

that it's been a debated topic for many years.

Purpose of promoting open access. Open access has been debated for

years and the purpose of Open Access Week each October is to promote the

benefits of open access and inform scholars of ways they can advocate for open

access. The goal is to help scholars understand that open access publishing is (in

spite of its newness) normal and an acceptable method of publishing scholarship.

> Research funding agencies, academic institutions, researchers and
> scientists, teachers,   students, and members of the general public are
> supporting a move towards Open Access in increasing numbers every
> year. Open Access Week is a key opportunity for all members of the
> community to take action to keep this momentum moving forward. (Jones,
> 2010, October 19, para. 3)

Educating others about open access. Even before open access week

occurred in Oct. 2010, organizations with agendas have made their stances known

about open access. For example, university presses were mostly against open

access to begin with, but have slowly warmed up and supported it over the last five years. At one point PRISM (an anti-open-access lobbying effort undertaken by the Association of American Publishers) felt that open access was detrimental to publishing and they took an active stance against it by making statements to the public and using their website to promote against open access (Howard, 2007, October 4). Their strong antagonism toward open access forced many people to understand the open access issue and determine their own views of open access. SPARC, on the other hand, is a supporter of open access and has a goal of educating the public about the benefits of open access. Additionally, there are those who do note that the U.S. lags behind other nations in their uses of open access but perhaps this current push to educate and shape perceptions of open access will influence the U.S.'s increase usage of open access (Howard, 2009, October 15).

Theme 9: Quality

This theme explores the views that scholars have on the quality of content that is provided through open access journals.

Questions about quality. People are concerned about what open access means in relation to the quality of the articles that are published. Are open access journals just as high of quality as print journals or do they print articles that are lesser in quality than print journals that carry a cost? One perception is that open access journals are of poor quality. One reason for this thought of poor quality stems from personal bias. If it's free, is it really good? This is somewhat like the adage of "You get what you pay for." So the perception is that free scholarship is

somehow lesser in quality without hard evidence beyond "tradition" to support

the notion.

Another concern involving perception of reduced quality is that some

people assume that open access journals do not follow the same standards of

review that other print journals do. People perceive that the peer review process is

less rigorous or even non-existent with open access journals.

> Essentially all of the [open access] journals [in her study] reported using
> editorial review to select and edit submissions. But nearly all of the
> traditional journals used external peer review, while only editorial staff
> members reviewed submissions for about 30 percent of the open-access
> journals. "Purists would say it's not nearly the same quality of peer
> review," Ms. Kaufman said. (Guterman, 2005, March 25, para. 10)

Another view point is that quality suffers if a single entity, such as the

government, were to control the publication process and make information free-

access. The concern about this is that if one entity is in charge, and if that entity

changes, you never know who the new leading people are of the one entity that

controls what gets published. Even if it is free, heavy regulations or decisions of

the entity that could have a bias may alter the quality of what is published to the

public.

> Critics also fear quality would suffer if a single entity such as the
> government subsumed the publication process. Not only would publishers'
> longtime expertise be lost, they fear, but government funding could
> evaporate at the whim of a new Congress or administration. (DeAngelis,
> 2004, para. 32)

Open access improves quality. The idea that open access improves the

quality of scholarship published is fueled in part by views about finances and

publishing. A lot of great scholarship exists but the author-pay model of

publishing can inhibit people from publishing due to lack of funding or cash. If fees for publishing continue to increase (in well known or reputable print journals) we're likely to see seasoned and respected authors take their scholarship to journals that are free. Hence, a no-cost journal is going to become a more attractive option to authors. As reputable authors take their scholarship to free access journals, the quality of the scholarship available in those free access venues increases and you'll see a decrease in quality in fee-based journals that are forced to accept lesser quality submissions to fill editions. "As long as there is an excess of articles over what they can publish, there is little risk to quality, [Overmier] notes. But if the number of submissions shrinks, then a publication needs to accept lower quality articles just to sustain the enterprise" (DeAngelis, 2004, para. 21).

Quality increases in the sense that many open access journals perform peer reviews of their published articles to ensure quality of scholarships (Brown & Monastersky, 2007, February 9).

Continuing quality. The quality of scholarship continues to increase in the open access venue because other people have easy access to research and data, meaning that with information available to more scholars, the likelihood of experiments being replicated increased. Likewise, errors may be caught with more eyes viewing the free scholarship, thus the chances increase that errors are caught and corrections can be implemented (Clay, 2009).

Chapter 2

METHODS

To discover the perceptions and practices of scholars regarding open

access journals and why they choose to publish in these venues, an online survey

using Likert scale items was selected to collect information related to attitudes

and likelihood of approaches toward publishing. A survey methodology was also

appropriate because I had a list of the units I wished to sample, namely published

authors within specific open access journals in the field of education. A pre-pilot,

pilot, and second pilot survey were created prior to the final survey being

administered online to the targeted population for collecting dissertation data.

The final survey was deployed for 127 days before the official data collection

period was concluded.

Description of How the Pre Pilot Survey Was Developed

To begin the research that led to the eventual creation of survey questions,

I consulted the *Chronicle of Higher Education* to read all articles that were

written about any topic of open access publishing. I read articles that spanned

across 10 years but chose to limit the information reported to articles on published

between 2005 and 2010. The year 2010 was the upper limit cut off because

January 2011 was when I actually began data collection for the first pilot. The

year 2005 was the lower limit cut off because I noticed that the articles I read on

the topic shifted in focus about open access publishing. The articles were no

longer describing whether or not open access was a good or bad thing in the

publishing arena, rather open access was viewed as something to stay and the literature was more focused on reporting potential uses of open access and how this publishing method was being received in different venues. The content of each article read was copied and pasted into a word processing document; these documents were then imported into Atlas TI, a software program used for qualitative data coding.

By using Atlas TI (qualitative software), I was able to code all of the articles according to specific themes. These themes were derived in two methods: (1) several themes were predetermined before coding began. They were gatekeeping, reasons for publishing, revenue/cost, role of government, and perceptions. (2) Several themes emerged during the coding process and were retro-applied to previously read articles in addition to all articles about to be read.

Once all articles were coded and all themes determined, each theme was determined to be a broad or narrow theme. Broad themes (such as promotion, cost, and access) were broken into 2 or 3 additional sub themes. Narrow themes, such as distribution, journal budgets, access problem, research archives, and PRISM were not subdivided but rather associated with other broad themes as subcategories. In total, I had 54 to sift through and categorize as either broad, narrow, and group accordingly.

Once the themes were either subcategorized or clustered, I began to write descriptions about what each of the themes represented and what open access issues were connected to the themes being described.

For each theme and its subthemes, I then drafted a potential survey question that would elicit a response about the topic at hand. Each theme had a minimum of four corresponding survey items. These survey questions were clustered by topic, and then refined for language and content. The questions totaled 46, of which 10 were demographic items. These demographic items included gender, age, education level, occupation, teaching status, institutional affiliation, nationality of work location, number of total publications, number of open access publications, and the names of all open access education journals in which a person had published.

To vet the survey, eight individuals asked to take the survey, and return their results to me, along with a report on how much time it took to complete the survey and also provide any recommendations or revisions to implement. Those involved included five graduate students (two native English language speakers and three international students whose first language was not English) on the staff of *Current Issues in Education* (*CIE*). Additionally, I had the survey vetted by one copy editor (who was also a *CIE* staff member with English as her first language), one retired English teacher, and one individual who is a computer information systems security analyst by profession. Both the retired teacher and the computer professional spoke English as their first language.

The structural and language changes were implemented as recommended; two additional survey items were added at the recommendation of my advisor and were questions phrased in the converse of two already existing questions. The purpose was to see how people responded to both the positively and negatively

worded version of these items as a way to check if the item had consistent measurement of perceptions.

The first pilot survey was then administered online through SurveyMonkey. The final version of the piloted survey contained a total of 48 questions in which the last 10 questions ask demographic information. The first 38 questions target perceptions and motives surrounding these eight topics which were described in detail in chapter 1: rights and ease of access, cost, gate keeping, support, freedom, benefits/drawbacks, promotion and marketing, and quality (the latter being added for the second pilot and final dissertation survey. Each of these eight topics for the first pilot (eventually to be nine topics for the second pilot and final survey) had a minimum of four survey questions associated with them. Themes 2, 3, 5, 6, 8 each had had four survey items. Theme seven had eight survey items. Themes 1 and 4 had five survey items each.

Deploying the First Pilot Survey

This pilot survey was distributed to all 2009-2010 authors of published articles in *Current Issues in Education,* an education-focused open access online journal that is peer reviewed and sponsored by the Mary Lou Fulton Teachers College at Arizona State University. Ninety-nine authors (first, second, third, and fourth authors to an article) received this survey. Within five days I received a 50% response rate to the survey. A reminder email was sent at the close of the seventh day to all authors to encourage those who had not responded to complete the survey. The final response rate was 63%.

Analyzing the First Pilot Survey

I used SPSS to run a reliability analysis on the data. The purpose was to view the Cronbach's coefficient alphas and see which survey questions grouped well together by theme and also to discover which survey question items appeared to lessen the alpha of the overall group of questions per theme. Thus, my examination resulted in assessing the coefficient alphas by theme to see which themes yielded a coefficient alpha that was closer to 1 than zero. Themes that yielded an alpha coefficient of less than .5 were heavily scrutinized and examined with the intent to find ways to increase the alpha.

Reliability Analysis of First Pilot Survey

Survey responses were analyzed at the item level according to subscale.

Theme 1: Rights of access. The Chronbach's coefficient alpha for this subscale is .509. Five survey questions comprised this subscale: Q1, Q10, Q13, Q15, Q36. Based on the focus of each the questions, this scale should focus on "Rights of access to the Public." Also, Q23 is added from the freedom subcode, the alpha increases from .509 to .520 with all six questions present. No other changes will be made to this subscale.

Theme 2: Ease of access. The alpha for this code is great (.804) using Q2, Q19, Q28, and Q38. The numbers are consistent. This scale is working and I did not delete or rewrite any of these questions for the second pilot.

Theme 3: Cost. The alpha for this code is low (.432) using Q8, Q12, Q17, and Q35. Q17 and Q35 both contribute to this lowered alpha. Thus, Q17 & Q35 were rewritten and kept in the same subscale.

Theme 4: Gatekeeping. The alpha for this code is low (.346) using Q5, Q6, Q9, Q26, and Q33. Q5 is really not about open access. Q5 will be rewritten in Pilot 2. Also, Q9, as it is originally written, functions very well in a proposed new subcode titled Quality (alpha of .612) and therefore was moved in the subscale 9 (quality) for the second pilot. Q26 was removed from this scale and completely from the survey. Q33 remained in this subscale.

Theme 5: Freedom. This subscale used Q11, Q14, Q23, and Q34. The questions for this code are creating problematic alphas. Q23 is extremely problematic and resulting in a negative alpha. The code continues to go into the negatives even if we remove Q23 and only use Q11, Q14, and Q34. To remedy this, first Q23 was moved to subcode 1, where it functioned very well. Then Q34 was rewritten. Next, a new question (Q38) was written and added to this subscale: Q38: Open access publishing opens the opportunity for information to be misused in the wrong hands.

Theme 6: Support. The alpha for this code is good (.577) using Q21, Q24, Q27, and Q32. However, Q24 needed to be rewritten because when it was removed, the alpha increased from .577 to .606. Q27 was complimentary to Q24. Thus, Q24 and Q27 were rewritten for this subscale.

Theme 7: Benefits/Drawbacks. The alpha for this code is good (.579) using Q4, Q16, Q20, Q22, Q25, Q29, Q30, and Q31. Ultimately, Q4 & Q29 worked very well in a newly introduced quality subscale 9 and thus were transferred to that subscale.

Theme 8: Promotion/Marketing. The alpha for this code is .494 using Q3, Q7, Q18, and Q37. If Q3 is removed, the alpha for this code is .583 using Q7, Q18, and Q37. Based on this observation, Q3 was rewritten rather than eliminated. The remaining questions in the subscale were not altered, especially since Q18 and Q37 are acceptable because they target perceptions.

Revision of First Pilot Survey

Based on the reliability analysis of the Chronbach's coefficient alphas for the first survey, several changes were made. First, a ninth theme, quality, was introduced. I previously identified Q4, Q9, and Q29 as potential quality-themed survey items. The resulting alpha for these three items was .612. Thus, theme 9: quality became a new addition to include in the second pilot survey. Q4, Q9, Q29 were permanently recoded to belong in the quality theme, and one additional survey item was drafted from scratch to include in the newly-created theme.

Second, I changed the codes of four additional items based on the reliability analysis and how the alphas were affected quite well when these items were reassigned to a different theme. The items from the first pilot that were recoded for the intended second pilot can be viewed in see Table 2. The alphas from the initial first pilot analysis and the resulting alphas after recoding items to new themes can be viewed in Table 3.

Table 2

Changes to Four Codes and New Theme Assignment

First Pilot Items that Were Recoded	First Pilot Theme	New Theme for Second Pilot
4	7 – Benefits/drawbacks	9 – Quality
9	4 – Gatekeeping	9 – Quality
23	5 – Freedom	1 – Rights of Access
29	7 – Benefits/drawbacks	9 – Quality

Table 3

First Pilot Survey Alphas Before and After Recoding

Subcodes	Alpha Before Recoding	Alpha After Recoding
1—Rights of Access	.509	.520
2—Ease of Access	.804	n/a
3—Cost	.432	.615
4—Gatekeeping	.346	.396
5—Freedom	.180	.472
6—Support	.577	.606
7—Benefits/Drawback	.579	.515
8—Promoting/Marketing	.494	.583
9—Quality	n/a	.612

Note. n/a is reported when a theme was not recoded.

Third, I changed the wording for seven survey questions that represented five different themes (see Table 4).

Table 4

Wording Changes to Seven Survey Questions

First Pilot Items that were Revised for Second Pilot	First Pilot Themes that Remained the Same for Second Pilot
3	8 – Promotion/marketing
5	4 – Gatekeeping
17	3 – Cost
24	6 – Support
27	6 – Support
34	5 – Freedom
35	3 – Cost

Fourth, I deleted one question from the original set of questions: question #26 (theme 4 – gate keeping).

Fifth, I added two questions to the second pilot survey. Question 38 was added and it was a variation of question 23, but changed enough that it now represented theme 5 - freedom. Question 39 was added as a new survey question to the second pilot survey and it represented theme 9 – Quality.

All of these revisions led to the creation of a finalized second pilot survey.

Deploying the Second Pilot Survey

This second pilot survey was distributed to all 2007-March 2011authors of English-language articles in *Education Policy Analysis Archive,* an education-focused open access online journal that is peer reviewed and sponsored by the Mary Lou Fulton Teachers College at Arizona State University. One hundred and nineteen authors (first, second, third, and fourth authors to an article) received this

survey. I received an 18% response rate within 12 hours and a 48% response rate within seven days. The final response rate was 52.9%.

Analyzing the Second Pilot Survey

With the results of the second pilot survey in, I used SPSS to run a reliability analysis on the data. The data was also prepared in advance, just as it was in the first pilot, such that each survey question was coded and grouped according to the predetermined nine themes, noting that this pilot had one new theme (quality) added.

All survey question responses were analyzed for variance by assessing coefficient alphas according to their respective themes. Based on the reliability analysis of the Chronbach's coefficient alphas for the first survey, codes 2, 6, and 9 functioned very well with alpha greater than .7. A total of five codes had increased alphas compared to the results of the first pilot. Those are codes 1, 3, 5, 6, and 9. A total of 2 codes (code 2 and 7) had reduced alphas compared to the results of Pilot 2. Last, two codes resulted in low alphas that had survey items accounting for negative variance. Those were codes 4 and 8, which were examined for necessary changes.

Reliability Analysis of Second Pilot Survey

Survey responses were analyzed at the item level according to their respective subscales.

Theme 1: Rights of access. The Chronbach's coefficient alpha for this subscale is .575, which is a slight improvement from the first pilot alpha of .509.

Five survey questions comprised this subscale: Q1, Q 10, Q13, Q23, Q35. No items in this subscale will be changed.

Theme 2: Ease of access. The alpha for this subscale is good (.777), using Q2, Q15, Q19, Q28, and Q38. Additionally, Q33 (originally labeled as an item in subscale 5–Cost) works exceptionally well in this subscale and yields an alpha of .815 when included with the other five items that are already a part of this subscale. Thus, this subscale was changed for the final dissertation survey to include Q33.

Theme 3: Cost. The alpha for this code was still low (.494) using Q8, Q12, Q17, and Q34. The alpha for this subscale would dramatically increase to .730 if Q17 were removed, thus those questions were removed and a replacement item was written. An additional item was drafted and added to this subscale to create a total of five items to use for the final dissertation survey.

Theme 4: Gatekeeping. This subscale was problematic in the first pilot and resulted in one question being deleted, one question moving to another subscale, and another being written for the second pilot. The end results were three questions for the second pilot: Q5, Q6, and Q32. This subscale still showed problems. Q5 was dropped and three new questions were introduced, all of which focused on policy aspects of publishing barriers to follow the theme of the only two questions that weren't dropped from this subscale.

Theme 5: Freedom. The alpha for this subscale was .532 using Q11, Q14, Q33, and Q38. Q33 and Q38, though revised and created specifically for this second pilot, didn't function well in the subscale and thus were removed

to yield an alpha of .764 with the remaining two items. Two new questions were written that are similar in focus to Q11 and Q14 and were placed in the final dissertation survey.

  Theme 6: Support. This subscale, comprised of Q21, Q24, Q26, and Q31, resulted in an alpha of .764. The changes implemented in this pilot for this subscale, based on the results from Pilot 1, were effective. This subscale had no revisions.

  Theme 7: Benefits/Drawbacks. The alpha for this code was .488, which was less than the alpha that resulted for this subscale in the first pilot (.579). The questions used in this subscale were Q16, Q20, Q22, Q25, Q29, and Q30. The last two items in this subscale, Q29 and Q30, were removed to yield an alpha of .647.

  Theme 8: Promotion/Marketing. The alpha for this subscale was .583 using Q3, Q7, Q18, and Q36. Noting that Q3 was rewritten rather than eliminated in the first pilot, this item yet again posed a problem for this subscale in the second pilot regardless of being reverse coded or not. Thus, Q3 was removed from this subscale, yielding an alpha of .603 for only three survey items. Additionally, a replacement item for Q3 was written and added to the survey.

  Theme 9: Quality. The alpha for this code was .716, which was higher than the alpha that resulted for this subscale in the first pilot (.612). No changes were made to this subscale.

Revising the Second Pilot Survey to Create the Final Survey

  Based on the findings from the analysis of the second pilot survey, adjustments were made to the survey to create the final dissertation survey to

deploy to our targeted sample. These specific changes were made to create the

finalized survey of 50 items total:

- Code 2 had a new item added from code 5.

- Code 3 had one item deleted and one new item added.

- Problematic code 4 had one item deleted and three items added.

- Code 5 had one item shifted to code 2 and one item deleted

- Code 7 had two items deleted.

- Problematic code 8 had one item deleted and a new items added

The alphas from the second pilot analysis and the resulting alphas after

recoding items to new themes can be viewed in Table 5.

Table 5

Second Pilot Survey Alphas for All Themes: Before and After Recoding

Subcodes	Alpha Before Recoding	Alpha After Recoding
1—Rights of Access	.575	n/a
2—Ease of Access	.777	.815
3—Cost	.494	.730
4—Gatekeeping	.455	.465
5—Freedom	.532	.764
6—Support	.764	n/a
7—Benefits/Drawback	.488	.647
8—Promoting/Marketing	.583	.603
9—Quality	.716	n/a

Note. n/a is reported when a theme was not recoded.

Additionally, I added one more demographic item that asked participants to indicate whether or not they had a manuscript currently under peer review in an open access research journal.

Deploying the Final Survey

In preparation to send my final dissertation survey to authors with manuscripts recently submitted to education research journals, I compiled a sample of 34 journals that fit the following selection criteria:

- Must be an education-related journals

- American journals only; no international journals

- Actively publishing with most recent publications dating to January 2011.

Editors of the selected journals were contacted on June 27, 2011 and asked to provide all submitting authors a web link to my survey. Twelve journals consented to participate. Sixteen journals declined participation in the survey. Two journal editors never responded with their decision about participating in my research. Four journals were no longer open access or indicated they never had been. The specific journals and their decisions can be viewed in Table 6.

I was surprised, as was my advisor, by the continuous number of declined participation responses from the journals I solicited for my research. More responses came immediately with declinations and those who were willing to participate sent their response a few days after those who immediately declined. The reasons for declining appeared to revolve around two main themes: the journal editors just didn't want to be involved in my research and my request that they solicit the authors at their journal to take my dissertation.

Table 6

Responses from the Open Access Journal Editors who were Solicited to

Participate in the Survey Research

Participating Journals	Journals Declining Participation	Nonresponsive Journals	No Longer Open Access
Contemporary Issues in Technology and Teacher Education	Physical Review Special Topics - Physics Education Research	Education Next	NASPA Journal About Women in Higher Education
Journal of African American Males in Education	Journal of Online Learning and Teaching	EDUCAUSE Review	Planning for Higher Education
Journal of MultiDisciplinary Evaluation	Nonpartisan Education Review		Journal of College and Character
Current Issues in Education	Journal of sTEm Teacher Education		Journal of Student Affairs Research and Practice
InterActions: UCLA Journal of Education and Information Studies	Astronomy Education Review		
Online Journal of Distance Learning Administration	Social Studies Research and Practice		
Practical Assessment, Research and Evaluation	Journal of Research in Rural Education		
E-Journal of Organizational Learning and Leadership	Journal of Technology, Learning, and Assessment		
Journal of the Scholarship of Teaching and Learning	Cell Biology Education: Life Sciences Education		
Kairos: A Journal of Rhetoric, Technology, and Pedagogy	Education Policy Analysis Archives		
Mathematics Educator	Academic Leadership		
Educause Quarterly	Educational Researcher		
	Journal of Information Technology Education		
	AASA Journal of Scholarship & Practice		
	Language, Learning, and Technology		
	Research in Middle Level Education Online		

The second reason surrounded the journal editor's ethical concerns about providing email addresses to me. Oddly, I did not request email addresses from the journal editors. Beyond these specific reasons for declining, other journals declined for various reasons.

In light of the low participation response from the journal editors, I asked the participating journal editors to send my survey to all of the authors who currently have manuscripts in peer review at the time of June 1, 2011, not just to the authors who end up submitting manuscripts from June 1, 2011 through November 30, 2011. Thus, those who took my survey were authors of submitted manuscripts and manuscripts currently under peer review since June 1, 2011 at twelve different journals.

I also asked each participating journal editor about their estimated monthly submission rate. The average was reported as five to 10 manuscripts received per month. I wanted to know the submission rate for the purpose of making projections for a desired 500 survey responses.

To increase the number of returned survey responses, an additional data collection method was implemented. I collected the emails of all published authors from January 2009 to June 2011in all 30 journals (not included the four non-open access journals) of my original sample. I then sent a web link to the survey to these authors, thus expanding my sample to include published authors, authors of manuscripts in review, and authors of manuscripts that have been submitted. The methodology of this sample selection is detailed next.

Second Approach: Sending the Final Survey to Published Authors Between 1/2009 – 6/2011

1743 email addresses were collected from 17 of the 30 journals that were originally invited to participate in my survey research. The email addresses belonged to authors published in those 17 journals between January 2009 and June 2011. Ten of the 17 journals were ones who agreed to participate in my dissertation research and were already soliciting potential authors to take my survey from June 24, 2011 and forward. Seven of the 17 journals were ones that had declined participation in my research in June 2011.

These 1743 emails were divided randomly into three groups using Microsoft Excel's random function. Two of the email groups were used to ask authors to take my dissertation survey.

Batch one. The authors in the first sample were emailed on October 16, 2011 with the request to take the survey. 574 total surveys were successfully sent (no bounced emails in response rate calculation). The response rate hovered around 30% for five weeks.

Batch two. Based on the sample selection process in batch 1, a second batch of emails was sent five weeks later on November 18, 2011. 540 total surveys were successfully sent.

Chapter 3

RESULTS

Reliability Analysis of Final Survey

Survey responses were analyzed at the item level according to their respective subscales. These alphas as they correspond to their subscales can be viewed in Table 7, in addition to the proceeding description.

Subscale 1: Rights of access. The Chronbach's coefficient alpha for this subscale was .594, which was a slight improvement from the first alpha of .575. Five survey questions comprised this subscale: Q1, Q10, Q13, Q23, and Q33. No items in this subscale were changed.

Subscale 2: Ease of access. The alpha for this subscale improved from 0.777 in the second pilot to .783 in the final dissertation survey using Q2, Q15, Q19, Q27, Q31 and Q35.

Subscale 3: Cost. The alpha for this code noticeably improved from 0.494 in the second pilot to .631 using Q8, Q12, Q32, and Q38.

Subscale 4: Gatekeeping. The alpha for this subscale was .646, and included Q5, Q6, Q30, Q36, and Q40.

Subscale 5: Freedom. The alpha for this subscale was .537 using Q3, Q11, Q14, and Q17. This subscale didn't function well with Q17, thus Q17 was removed to yield an alpha of .728 (nearly a .2 improvement).

Subscale 6: Support. This subscale, comprised of Q 21, Q24, Q26, and Q31, resulted in an alpha of .714.

Subscale 7: Benefits/Drawbacks. The alpha for this code was .503, an improvement from .488 in the second pilot survey. The questions used in this subscale were Q16, Q20, Q22, and Q25.

Subscale 8: Promotion/Marketing. The alpha for this subscale increased from .583 in the second pilot survey to .663 in the final survey using Q7, Q18, Q34, and Q39.

Subscale 9: Quality. The alpha for this code decreased from .716 in the second pilot survey to .672 in the final survey.

The alphas for the subcodes in the final survey can be viewed in Table 7.

Table 7

Alphas for the Subcodes in the Final Survey

Subscale	Alpha
1—Rights of Access	.594
2—Ease of Access	.783
3—Cost	.631
4—Gatekeeping	.646
5—Freedom	.728
6—Support	.714
7—Benefits/Drawback	.503
8—Promoting/Marketing	.663
9—Quality	.672

Overall Sampling Results of the Final Dissertation Survey

As mentioned previously in the methodology section, the entire data collection process ended on November 30, 2011. A total of 1,114 total surveys were successfully sent via email by my efforts in batches one and two. The total number of surveys sent by the participating journals is unknown.

448 total survey responses were submitted (from my email solicitations and from the participating journals who solicited their submitting authors to take the survey). The estimated response rate is 25% for the returned surveys that resulted from my email solicitations. However, I don't have a way of knowing the exact response rate from the solicitations sent by the journal editors.

The 448 survey responses were examined and any of those surveys that were more than 50% incomplete were removed from the final sample. Twelve surveys were eliminated based on this criterion. The final analysis conducted was based on $n = 436$. See Table 8 for the participants' demographic information.

Analysis on Demographics

Cases were sorted by questions that represented demographics. Then I ran descriptive statistics on the composite means of all subcodes (1–9), as they corresponded to each of the demographic items.

Charts with error bars (+/- 2 *SE*) were generated to look for potential significant differences. Next, correlation significance was examined, which then led to performing a one-way multivariate analysis of variance. With concern that some of the demographic items might be serving as proxies for teaching status,

Table 8

Participant Demographics

Variable	Breakdown
Gender	54% female
	46% male
Age	<1% age 18-25
	22% age 26-35
	28% age 36-45
	27% age 45-55
	18% age 56-65
Education Level	86% doctorate
	12% masters
	2% other
Occupation	6% College-level instructor
	28% Assistant Professor
	22% Associate Professor
	12% Professor
Teaching Status	37% tenured
	36% not tenured
	27% not applicable
Institutional Affiliation	18% private college/university
	70% public college/university
	3% public private K-12
	4% non-college professional
Work Location	88% national location
	17% international location
Number of Total Publications	29% have 0-5
	23% have 6-10
	14% have 11-15
	33% have 16+
Number of Open Access publications	39% have 0-1
	38% have 2-3
	13% have 4-5
	8% have 6+
Peer Review Status	39% manuscript in peer review
	61% no manuscript in peer review

correlations were calculated to assess the level of significant overlapping variance between teaching status and other demographic items that were of potential consideration for further analysis. Indeed, teaching status was significantly correlated to occupation, number of total publications, and age with shared variances ranging from 16-21%, a percentage calculated using Pearson's r squared. Occupation was negatively correlated with teaching status, Pearson's $r(320) = -.406$, $p < .001$. Number of total publications was negatively correlated with teaching status, Pearson's $r(320) = -.464$, $p < .001$. Age was negatively correlated with teaching status, Pearson's $r(320) = -.420$, $p < .001$. Because of the shared variance, the individual variables and their contribution are difficult to separate. No significant correlation existed between teaching status and current manuscript review status. Of all the demographic items that were tested for significant correlations with teaching status, current manuscript review status is the only one that had no significant shared variance. This means there was no statistical relationship between a scholar's teaching status and whether or not he/she had a manuscript current in the peer review process.

MANOVA Analysis for Teaching Status

A one-way MANOVA was conducted to examine between-group effects of teaching status and the perceptions and practices of education scholars as measured by the composite means of six subscales (rights of access, ease of access, cost, support, promotion, and quality). The factor of teaching status ($n = 320$) included two levels: tenured ($n = 163$) and non-tenured ($n = 157$). The MANOVA showed a main effect of teaching status on views and practices related

to subcode 1: rights of access and subcode 9: quality. With marginal significance, main effects of teaching status were also shown on views and practices related to subcode 2: ease of access, and subcode 8: promotion.

Those with without tenure more strongly endorsed items having to do with right of access than tenured faculty ($F(1, 318) = 4.64$, $p = .032$, $\eta_p^2 = .014$). Those without tenure also had a stronger opinion regarding the quality of open access journals compared to tenured faculty ($F(1, 318) = 8.92$, $p = .003$, $\eta_p^2 = .027$). Non-tenured individuals responded with higher means on items related to subcode 2: ease of access ($F(1, 318) = 3.37$, $p = .067$, $\eta_p^2 = .010$) and with higher means to items related to subcode 8: promotion ($F(1, 318) = 3.40$, $p = .066$, $\eta_p^2 = .011$). This indicates stronger agreement with the statements related to themes of ease of access and promotion of open access. These means can be viewed in Table 9.

Table 9

Means and Standard Deviations for Subcodes with Significance as Related to Teaching Status

Subcode	*M*	*SD*
1—Rights of Access		
Tenured	3.79	.680
Non-Tenured	3.95	.573
2—Ease of Access*		
Tenured	3.27	.689
Non-Tenured	3.42	.724
8—Promotion*		
Tenured	3.67	.647
Non-Tenured	3.79	.540
9—Quality		
Tenured	3.23	.704
Non-Tenured	3.46	.647

Note. *marginal significance $p \leq .067$

MANOVA Analysis for Current Manuscript Review Status

An additional one-way MANOVA was conducted to examine between-group effects of current manuscript review status and the perceptions and practices of education scholars as measured by the composite means of six subscales (rights of access, ease of access, cost, support, promotion, and quality). The factor of current manuscript publication status ($n = 436$) included two levels: in review ($n = 169$) and not in review ($n = 267$). The MANOVA showed main effects for three subcodes and marginal significance for an additional subcode. Those with manuscripts currently in review more strongly endorsed items having to do with rights of access than those without a manuscript in review ($F(1, 434) = 10.33$, $p = .001$, $\eta_p^2 = .023$). Those with manuscripts currently in review also responded with greater endorsement to items related to subcode 2: ease of access ($F(1, 434) = 9.28$, $p = .002$, $\eta_p^2 = .021$) and to items in subcode 3: cost ($F(1, 434) = 13.15$, $p = .000$, $\eta_p^2 = .029$). These means can be viewed in Table 10.

These results indicate stronger agreement with the statements related to themes of ease of access, and that scholars with manuscripts currently in peer review saw open access as having a financial benefit to them. With marginal significance, those with manuscripts currently in review more strongly endorsed items related to subcode 8: promotion ($F(1, 434) = 3.72$, $p = .054$, $\eta_p^2 = .008$).

Table 10

Means and Standard Deviations for Subcodes with Significance as Related to Current Manuscript Review Status

Subcode	*M*	*SD*
1—Rights of Access		
Under Review	4.02	.619
Not Under Review	3.82	.627
2—Ease of Access		
Under Review	3.56	.725
Not Under Review	3.34	.698
3—Cost		
Under Review	3.75	.607
Not Under Review	3.53	.635
8—Promotion*		
Under Review	3.82	.555
Not Under Review	3.71	.598

Note. *marginal significance *p* = .054

Chapter 4

DISCUSSION

Review of Research Questions

For means of review, the research questions and hypothesis presented in the literature review are presented once again. The aim of my research focused on what are the perceptions and practices of education scholars related to publishing in open access journals? Even more specifically, what are the perceptions and practices of education scholars related to publishing in open access journals in terms of six subcodes: rights of access, ease of access, cost, support, promotion, and quality? Does age, institutional affiliation, teaching status, occupation, number of publications in a career, and current manuscript review status influence the perceptions and practices of education scholars toward publishing in open access journals?

Review of Hypotheses

Open access publishing will be (1) seen as providing greater rights and (2) ease of access, (3) more favorable views toward publishing costs, and (4) influencing increased favor on quality of published content. Open access publishing could produce either increased or decreased views on how scholars feel open access is supported by their associated organizations. Views on promoting open access publishing could be either favorable or unfavorable. Both views on support and promotion themes could be influenced by a person's occupation or intuitional affiliation.

Age, institutional affiliation, teaching status, occupation, number of publications in a career, and manuscript review status do make a difference in education scholars' perceptions and practices toward open access publishing with regard to rights of access, ease of access, cost, support, promotion, and quality.

- Younger individuals at private academic institutions and scholars with manuscripts currently in peer review will have more favorable views on open access publishing.

- Tenured scholars with many publications will have more favorable views and approaches toward open access publishing compared to novice, non-tenured scholars with few publications.

- A person's occupation will either positively or negatively influence perceptions of open access publishing.

Age

In the analysis, age contained no significant variance related to education scholar's perceptions and practices toward open access publishing regarding rights of access, ease of access, cost, support, promotion, and quality. I found this surprising because I expected to find that the younger generation of education scholars would be more willing to embrace open access publishing given their exposure to technology for a larger majority of their life span in comparison to veteran education scholars. This evidently is not the case. Neither the novice nor the veteran education scholar showed significant variance in their views and perceptions.

Institutional Affiliation

Institutional affiliation (public vs. private entity) contained no significant variance related to education scholar's perceptions and practices toward open access publishing regarding rights of access, ease of access, cost, support, promotion, and quality. This was also surprising; I believed that public colleges/universities would have more favorable views and practices, especially toward cost, given their state funding status. This was not the case.

Occupation & Number of Publications

Occupation (associate professor, assistant professor, and professor) did contain significant variance related to education scholars' perceptions and practices toward open access publishing. However, occupation shared approximately 20% of the variance $r(320) = -.406$, $p < .001$ with teaching status, and number of publications shared, $r(320) = -.464$, $p < .001$, with teaching status. I concluded that a person's occupation and number of publications could easily be acting as proxies for information that is more indicative of results pertaining directly to open access publishing views and practices associated with teaching status.

Thus, rather than focusing on occupation or number or publications as topics of discussion, I have chosen to focus on the significance found in teaching status and whether or not a manuscript is in peer review. Of all demographic correlations, review status of a manuscript held no significant correlation in relation to teaching status.

Teaching Status

Teaching status did contain significant variance among two subcodes (rights of access and quality), and marginal significance in the promotion and ease of access subcodes. All four subcodes, whether significant or marginally significant, showed higher means among the non-tenured education scholars.

Current Manuscript Review Status

Current manuscript review status did contain significant variance among three subcodes (rights of access, ease of access, and cost) and marginal significance with subcode 8: promotion. All four subcodes, whether significant or marginally significant, showed higher means among scholars with manuscripts under review.

Implications

Based on the results, I concluded the following implications for scholars publishing in the field of education. Both non-tenured scholars and scholars with manuscripts in review have commonalities in their perceptions and approaches to open access publishing. Non-tenured scholars and scholars with manuscripts in review are more supportive of open access publishing as a method that does not restrict scholars or the public from having access to information. These scholars value the idea that people who have little financial means should have online access to published research. Both non-tenured scholars and scholars with manuscripts in review value having freedom in choosing where they can publish. They believe that research journals should provide online access at no cost to the public and they are likely to support movements that will allow this to happen.

These scholars believe that the average person, not just academic scholars, benefits from having free access to research.

Non-tenured scholars and scholars with manuscripts in review are supportive of open access publishing methods because of the ease it allows a knowledge-seeker to get information. These scholars find themselves reading more research because they don't face access restrictions, the process of getting the research is easy, and the range of data and ideas to search is perceived to be broader. Thus these scholars are just as willing to choose an open access journal as they would a traditional print journal as place to publish their work.

Both non-tenured scholars and scholars with manuscripts in review are supportive of methods for how open access journals are being promoted and marketed for public acceptance. They believe that greater exposure to and promotion of open access publishing will improve scholar's acceptance of these types of journals in addition to improving the opinions that other scholars hold of open access journals.

Non-tenured individuals feel very strongly that the quality of content provided through open access journals is very high and of the same quality as research that is published in printed journals. They believe the peer-review process undergoes the same quality of vetting that other types of research journals implement. Thus, non-tenured scholars feel that quality research has increased due to the existence of open access journals.

Scholars with manuscripts under review in an open access journal feel strongly about the reduced costs that open access journal publishing offers. This

money-saving feature makes publishing in open access journals very attractive. Scholars publishing in the field of education value having no subscription or publication costs with open access journals, though they do realize that having no charges means that costs are absorbed elsewhere in the publishing process, and they are okay with this. Here are some plausible reasons why scholars with manuscripts currently in review may feel strongly toward issues of cost when compared to those who don't have manuscripts currently in review. First, promotion requirements may not be a topic of concern or focus to those without manuscripts currently in review. Thus, those who are currently in review may be concerned about promotion requirements and more invested in the publishing process for underlying motives. With the need to publish to meet requirements, saving money could be attractive especially if many more future publications are intended.

Second, Scholars without manuscripts currently in review could simply be working on research that is not ready to submit to a journal. Thus, their current frame of reference could have led them to answer the survey items differently that those who currently do have a manuscript under review.

Third, it's plausible that those with manuscripts currently under review are more skilled in presenting research well in print and producing quality work that did not merit an immediate decline upon submission to a journal. Perhaps with increased skill comes more overall investment in the whole process, thus leading to strong feelings about cost and how it impacts an author who may be attempting to publish multiple times.

Focusing on another factor in the analysis, age is not a significant factor to consider in the publishing perceptions and practices of scholars. Therefore, it led to the assumption that youth is not a reason to assume that non-tenured scholars are more accepting of a digital method of publication.

The findings of the survey indicated that non-tenured scholars and scholars with manuscripts currently in review believe that the average person, not just academic scholars, benefits from having free access to research they are likely to support movements that will allow this to happen. Therefore, it is my opinion that policies and procedures being formed, promoted, lobbied, or politicized about open access should target emerging scholars for support in addition to those who are currently trying to get published. Pro-open access policies and procedures could gain a lot of support by ensuring the cause is pitched to non-tenured scholars seeking to get their research in print

Research findings indicate that scholars publishing in education open access journals read and use more open access research. Thus I conclude that if scholars want their research read by a wider audience, they should publish in open access journals. Scholars should consider using open access journals because these journals appear to have a wider audience that will read and use the research.

Scholars with manuscripts currently in review and non-tenured scholars believe that promotion of open access publishing will be effective. For these reason I believe more research, forums, discussions, and education about open access need to occur, or occur in greater quantities to continue to ameliorate scholars' views about the benefits of open access publishing.

Findings show that non-tenured faculty are more likely to seek and publishing within the open access venue and perceive no discrepancy in quality between open access and traditional print journals. Since scholars do not discriminate between the quality of both types of publishing, perhaps promotion requirements should regard each type of publishing equally too. This suggests that institutions and departments can offer their unconditional support for open access publishing as a method of meeting promotion/tenure requirements.

Given the results and findings of the survey regarding scholars' perceptions and practices of open access publishing, it would suggest that that newly formed research journals may want to give consideration to the open access publishing model. Newly formed research journals should choose the open access publishing model. Doing so has the potential for the start-up journals to obtain wider readership and increased use.

Limitations

This survey research has a potentially biased sample. The selected participants all had an investment in open access publishing. All research participants were either published authors of articles residing within an open access journal, or were authors of a manuscript that had been submitted to an open access journals to be considered for publication.

Considering that all participants favored open access publishing as a venue for their research at least once in their career, it's possible that the similarities between groups and variables will show more homogenous results than had the

survey been administered to authors of articles in both print journals and open

access journals.

Additionally, there is an unknown number of sampled participants coming

from the journals that participated in my research, but the number is assumed to

much less than the participants that were solicited to take the survey based on my

efforts to contact formerly published authors of articles within open access

education journals.

The solicitation letter used to ask journal editors to have their journals

participate in my research is potentially another set-back. The wording needed

clarity or perhaps evens a follow-up phone call to clarify the details of the request.

Few journal editors were willing to have their open access research journal

participate in my dissertation research. Many editors who declined their journal's

participation were erroneously under the impression that I was asking for the

private contact information of the authors who were submitting to their journal.

Another limitation may reside in the survey instrument itself, specifically

regarding the gatekeeping subcode. The reliability analysis for the gatekeeping

subcode resulted in low alphas, for both the first and second pilot (.346 and .455

respectively). Even with revising, deleting, and recoding the items in the

gatekeeping subcode for each iteration of the survey, the alphas continued to stay

low (.396 and .465 respectively). The reliability analysis on the final iteration of

the survey indicated an alpha of .646 for the gatekeeping subcode. Although the

improved alpha on the final iteration of the survey was welcomed, this

gatekeeping theme as a whole did raise questions about why its reliability could not be successfully raised in the first two iterations of the survey.

Thus the following are potential limitations about the gatekeeping subcode. First, the issue simply could lie in the way the questions (pertaining to gatekeeping) were written, or that the questions were conceptually covering too much ground. There are two types of gatekeepers: the peer reviewers and policy/regulations coming from federal regulations. The survey items for the gatekeeping subcode focused on three different topics: the federal government as a gatekeeper, and the role traditional print journals have in gatekeeping, and the general public's views about gatekeeping as a general concept. Thus, I believe the conceptual breadth of the survey items for the gatekeeping subcode is the most likely reason for receiving varied responses that resulted in low alphas.

Another explanation could be that issues surrounding the concept of gatekeeping may be shifting rapidly. I don't have any reason to believe this is true. However, if it were, then answering survey items written nine months prior may not be targeting scholar's perceptions and practices toward this rapidly evolving theme.

To conclude, the length of the survey is another limitation. A 51-item instrument is lengthy and could be a contributing factor to why the survey only had an approximate response rate of 30%.

Future Work

This research would show richer and more in-depth results by conducting a comparative analysis on the publishing perceptions and practices of education

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scholars in both printed and open access journals. As mentioned in the limitations, only scholars who had published or submitted research to an open access journal were part of the sample. As a follow up study, I want to use the same survey instrument to poll authors from printed education journals. I'd like to know if, for example, a tenured author of an article in a printed journal has different views of open access publishing than a tenured author of an article in an open access journal. I'd like to know if people who publish in open access journals are more alike once compared to published authors in printed journals. This could correct for the sampling bias and the potential inherent homogeneity within the groups of my already-collected data.

Additionally, scholars have indicated that they are okay with the costs of publication being absorbed elsewhere, thus, this "elsewhere" venue is perhaps something to explore. Just exactly where are scholars willing to see publication costs absorbed?

Furthermore, I want to create a tracking instrument (preferably a web-based tracking form) that journal editors can use when asking their submitting authors to take the survey. This would eliminate the limitation of the unknown sample size coming from participants that were solicited by journal editors. I also want to shorten the survey by 10 items, which can easily be accomplished by removing the survey items related to the subcodes not used in the analysis.

To conclude, I would like to assess the ubiquity of the instrument by administering the survey to scholars outside of the field of education. I will first start with scholars in the field of psychology, and then various other social science

disciplines. With the resulting data I would then conduct another comparative

analysis to gauge educations scholar's perceptions and practices in relation to

those of other social science disciplines. The survey would first be administered

to open access social science journals, and then to printed social science journals.

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APPENDIX A

FIRST PILOT SURVEY

The following survey contains questions about open access publishing. Please answer these questions to the best of your ability. There are no right or wrong answers. Simply choose the answer that feels right to you. Please choose one answer for each question and do not go back and change any answers.

1. I support solutions that provide the public with access to published research at no cost.
2. I am more likely to use research published in an open access journal than research published in a traditional print journal.
3. Good marketing of open access journals will not change who does or doesn't use them to publish.
4. Research published in open access journals is of the same quality as research that is published in printed journals.
5. Traditional journal publishers monopolize the delivery of research.
6. The federal government should require funded researchers to make their research available to the public.
7. If people have more contact with open access journals, they would have a lower opinion of these journals.
8. I am attracted to open access journals because I can publish my research without cost.
9. Open access journals increase the availability of quality research.
10. It matters to me that people who have little financial means have online access to published research.
11. Groundbreaking research that goes against scientific conventional wisdom is more likely to be published in open access journals.
12. I favor having free access to research even though it means that the cost of publishing open access research must be absorbed elsewhere.
13. Since the advent of open access publishing, I find that I have more freedom in choosing where I can publish.
14. Open access journals allow for the publication of more controversial research.
15. I am as likely to seek publication in an open access journal as in a traditional print journal.
16. It is easier to get published in an open access journal than it is in a traditional print journal.
17. I am willing to publish in an open access journal that is free to the public even if I have to pay a publishing fee.
18. If researchers had more contact with open access journals, they would have a higher opinion of these journals.
19. I find it easier to use research published in an open access journal than in a traditional print journal.
20. I have noticed that articles I published in open access journals have been cited more than articles in traditional print journals.
21. My department looks down on publishing in open access journals.
22. Articles published in open access journals receive wider dissemination.

23. The average person benefits from having free access to medical and scientific research.
24. My research that is published in open access journals helps to satisfy my tenure and promotion requirements.
25. I am reluctant to submit my own research for publication in open access journals.
26. Researchers and scholars who read journals do not need reviewers and editors to tell them what is quality research.
27. My university supports my choice to publish in open access journals.
28. Because of open access journals, I find myself reading more research.
29. Many researchers assume that research published in open access journals is of inferior quality.
30. Researchers and scholars who are biased in favor of open access journals do not understand the financial implications that influence traditional print journals.
31. Open access journals allow me to publish images and other media files that I could not publish in a traditional print journal.
32. My colleagues are reluctant to submit their own research for publication in open access journals.
33. The federal government should not regulate who must make their research available to the public.
34. Giving the public free access to medical and scientific research may lead to misuse.
35. Subscription costs are a primary reason I don't subscribe to as many print journals as I'd like.
36. Research journals should provide online access at no cost to the public.
37. Publicizing open access journals can change people's perceptions of open access for the positive.
38. Because of open access journals, I have access to research I would not otherwise have access to.
39. What is your gender: Female or Male
40. What is your age? 18-25, 26-35, 36-45, 46-55, 56-65, 66+
41. What is your highest level of education? Bachelors degree, Master's degree, Doctorate degree, other _____
42. What is your occupation? College-level Instructor, Assistant Professor, Associate Professor, Professor, College-level administrator, K-12 administrator, K-12 teacher, Clinician, Business professional, Graduate student, Other (please specify)
43. What is your teaching status? Tenured, Non-tenured, Not applicable
44. What is your institutional affiliation? Private College or University, Public College or University, Public or Private K-12 school, Non-college professional, Other (please specify)
45. Do you work and publish (if applicable) in the United States? Yes or no
46. How many papers have you published in your career? 0-5, 6-10, 11-15, 16+

47. How many papers have you published in open access journals? 0-1, 2-3, 4-5, 6+

48. What online access journals have you submitted to in the past year? (Select all that apply.)

AASA Journal of Scholarship & Practice
Academic Leadership
Astronomy Education Review
Cell Biology Education: Life Sciences Education
Contemporary Issues in Technology and Teacher Education
Current Issues in Education
E-Journal of Organizational Learning and Leadership
Education Next
Educational Researcher
EDUCAUSE Quarterly
EDUCAUSE Review
InterActions: UCLA Journal of Education and Information Studies
Journal of African American Males in Education
Journal of College and Character
Journal of Industrial Teacher Education
Journal of Information Technology Education
Journal of MultiDisciplinary Evaluation
Journal of Online Learning and Teaching
Journal of Research in Rural Education
Journal of the Scholarship of Teaching and Learning
Journal of Student Affairs Research and Practice
Journal of Technology, Learning, and Assessment
Kairos: A Journal of Rhetoric, Technology, and Pedagogy
Language, Learning, and Technology
Mathematics Educator
NASPA Journal About Women in Higher Education
Nonpartisan Education Review
Online Journal of Distance Learning Administration
Physical Review Special Topics - Physics Education Research
Planning for Higher Education
Practical Assessment, Research and Evaluation
Research in Middle Level Education Online
Social Studies Research and Practice

APPENDIX B

SECOND PILOT SURVEY

The following survey contains questions about open access publishing. Please answer these questions to the best of your ability. There are no right or wrong answers. Simply choose the answer that feels right to you. Please choose one answer for each question and do not go back and change any answers.

1. I support solutions that provide the public with access to published research at no cost.
2. I am more likely to use research published in an open access journal than research published in a traditional print journal.
3. Good marketing of open access journals won't influence people's perceptions of those journals.
4. Research published in open access journals is of the same quality as research that is published in printed journals.
5. Open access journals provide healthy competition to traditional print journals.
6. The federal government should require funded researchers to make their research available to the public.
7. If people have more contact with open access journals, they would have a lower opinion of these journals.
8. I am attracted to open access journals because I can publish my research without cost.
9. Open access journals increase the availability of quality research.
10. It matters to me that people who have little financial means have online access to published research.
11. Groundbreaking research that goes against scientific conventional wisdom is more likely to be published in open access journals.
12. I favor having free access to research even though it means that the cost of publishing open access research must be absorbed elsewhere.
13. Since the advent of open access publishing, I find that I have more freedom in choosing where I can publish.
14. Open access journals allow for the publication of more controversial research.
15. I am as likely to seek publication in an open access journal as in a traditional print journal.
16. It is easier to get published in an open access journal than it is in a traditional print journal.
17. I am only willing to publish in an open access journal as long as I don't have to pay publishing fees.
18. If researchers had more contact with open access journals, they would have a higher opinion of these journals.
19. I find it easier to use research published in an open access journal than in a traditional print journal.
20. I have noticed that articles I published in open access journals have been cited more than articles in traditional print journals.
21. My department looks down on publishing in open access journals.

22. Articles published in open access journals receive wider dissemination.
23. The average person benefits from having free access to medical and scientific research.
24. My research that is published in open access journals helps to satisfy my performance review requirements.
25. I am reluctant to submit my own research for publication in open access journals.
26. My organization looks favorably on publishing in open access journals.
27. Because of open access journals, I find myself reading more research.
28. Many researchers assume that research published in open access journals is of inferior quality.
29. Researchers and scholars who are biased in favor of open access journals do not understand the financial implications that influence traditional print journals.
30. Open access journals allow me to publish images and other media files that I could not publish in a traditional print journal.
31. My colleagues are reluctant to submit their own research for publication in open access journals.
32. The federal government should not regulate who must make their research available to the public.
33. Open access journals give people access to a broader range of data and ideas.
34. I prefer using open access journals because there are no subscription costs.
35. Research journals should provide online access at no cost to the public.
36. Publicizing open access journals can change people's perceptions of open access for the positive.
37. Because of open access journals, I have access to research I would not otherwise have access to.
38. Open access publishing opens the opportunity for information to be misused in the wrong hands.
39. Research published in open access journals does not receive the same quality of peer review as research published in traditional print journals.
40. What is your gender: Female or Male
41. What is your age? 18-25, 26-35, 36-45, 46-55, 56-65, 66+
42. What is your highest level of education? Bachelors degree, Master's degree , Doctoral degree, Other (please specify)
43. What is your occupation? College-level Instructor, Assistant Professor, Associate Professor, Professor, College-level administrator, K-12 administrator, K-12 teacher, Clinician, Business professional, Graduate student, Other (please specify)
44. What is your teaching status? Tenured, Non-tenured, Not applicable
45. What is your institutional affiliation? College-level Instructor, Assistant Professor, Associate Professor, Professor, College-level administrator, K-12 administrator, K-12 teacher, Clinician, Business professional, Graduate student, Other (please specify)

46. Do you work and publish (if applicable) in the United States? Yes or no
47. How many papers have you published in your career? 0-5, 6-10, 11-15, 16+
48. How many papers have you published in open access journals? 0-1, 2-3, 4-5, 6+
49. What online access journals have you submitted to in the past year? (Select all that apply.)
    AASA Journal of Scholarship & Practice
    Academic Leadership
    Astronomy Education Review
    Cell Biology Education: Life Sciences Education
    Contemporary Issues in Technology and Teacher Education
    Current Issues in Education
    E-Journal of Organizational Learning and Leadership
    Education Next
    Education Policy Archives Analysis
    Educational Researcher
    EDUCAUSE Quarterly
    EDUCAUSE Review
    InterActions: UCLA Journal of Education and Information Studies
    Journal of African American Males in Education
    Journal of College and Character
    Journal of Industrial Teacher Education
    Journal of Information Technology Education
    Journal of MultiDisciplinary Evaluation
    Journal of Online Learning and Teaching
    Journal of Research in Rural Education
    Journal of the Scholarship of Teaching and Learning
    Journal of Student Affairs Research and Practice
    Journal of Technology, Learning, and Assessment
    Kairos: A Journal of Rhetoric, Technology, and Pedagogy
    Language, Learning, and Technology
    Mathematics Educator
    NASPA Journal About Women in Higher Education
    Nonpartisan Education Review
    Online Journal of Distance Learning Administration
    Physical Review Special Topics - Physics Education Research
    Planning for Higher Education
    Practical Assessment, Research and Evaluation
    Research in Middle Level Education Online
    Social Studies Research and Practice

APPENDIX C

FINAL SURVEY

The following dissertation survey contains questions about open access, online publishing for academic, peer-reviewed research. Please answer these questions to the best of your ability. There are no right or wrong answers. Simply choose the answer that feels right to you. Please choose one answer for each question and do not go back and change any answers.

1. I support solutions that provide the public with access to published research at no cost.
2. I am more likely to use research published in open access online journals than research published in traditional print journals.
3. Open access online journals are a venue for publishing research that addresses less conventional ideas.
4. Research published in open access journals is of the same quality as research that is published in printed journals.
5. Open access journals remove barriers by allowing information to be openly and freely accessible to the public.
6. The federal government should require funded researchers to make their research available to the public.
7. If people have more contact with open access journals, they would have a lower opinion of these journals.
8. I am attracted to open access journals because I can publish my research without cost.
9. Open access journals increase the availability of quality research.
10. It matters to me that people who have little financial means have online access to published research.
11. Groundbreaking research that goes against scientific conventional wisdom is more likely to be published in open access journals.
12. I favor having free access to research even though it means that the cost of publishing open access research must be absorbed elsewhere.
13. Since the advent of open access publishing, I find that I have more freedom in choosing where I can publish.
14. Open access journals allow for the publication of more controversial research.
15. I am as likely to seek publication in an open access journal as in a traditional print journal.
16. It is easier to get published in an open access journal than it is in a traditional print journal.
17. New research that challenges traditional ideas is less likely to be published in open access journal.
18. If researchers had more contact with open access journals, they would have a higher opinion of these journals.
19. I find it easier to use research published in open access journals than in traditional print journals.
20. I have noticed that articles I published in open access journals have been cited more than articles in traditional print journals.

21. My department looks down on publishing in open access journals.
22. Articles published in open access journals receive wider dissemination.
23. The average person benefits from having free access to medical and scientific research.
24. My research that is published in open access journals helps to satisfy my performance review requirements.
25. I am reluctant to submit my own research for publication in open access journals.
26. My organization looks favorably on publishing in open access journals.
27. Because of open access journals, I find myself reading more research.
28. Many researchers assume that research published in open access journals is of inferior quality.
29. My colleagues are reluctant to submit their own research for publication in open access journals.
30. The federal government should not regulate who must make their research available to the public.
31. Open access journals give people access to a broader range of data and ideas.
32. I prefer using open access journals because there are no subscription costs.
33. Research journals should provide online access at no cost to the public.
34. Publicizing open access journals can change people's perceptions of open access for the positive.
35. Because of open access journals, I have access to research I would not otherwise have access to.
36. Open accessing publishing appeals to me because the public does not encounter barriers to accessing research.
37. Research published in open access journals does not receive the same quality of peer review as research published in traditional print journals.
38. Publishing costs at traditional print journals makes publishing in open access online journals attractive.
39. Greater exposure to open access publishing will improve scholars' acceptance these journals.
40. Open access publishing eliminates the gatekeeping role that traditional print journal publishers play.
41. What is your gender: Male or Female
42. What is your age? 18-25, 26-35, 36-45, 46-55, 56-65, 66+
43. What is your highest level of education? Bachelors degree, masters degree , doctoral degree, other _____
44. What is your occupation? Instructor, Assistant Professor, Associate professor, Professor, K-12 teacher, college-level administrator K-12 administrator, clinician, business professional, graduate student, other _____.
45. What is your teaching status?: tenured, non-tenured, does not apply

46. What is your institutional affiliation? (Private College or University, Public College or University, Public or Private K-12 school, non-college professional, other _____)
47. Do you work and publish (if applicable) in the United States? Yes or no
48. How many papers have you published in your career? 0-5, 6-10, 11-15, 16+
49. How many papers have you published in open access journals? 0-1, 2-3, 4-5, 6+
50. What online access journals have you submitted to in the past year?
51. Do you have a manuscript that is currently submitted to an online, peer-reviewed research journal (that is also open access)?

AASA Journal of Scholarship & Practice
Academic Leadership
Astronomy Education Review
Cell Biology Education: Life Sciences Education
Contemporary Issues in Technology and Teacher Education
Current Issues in Education
E-Journal of Organizational Learning and Leadership
Education Next
Education Policy Archives Analysis
Educational Researcher
EDUCAUSE Quarterly
EDUCAUSE Review
InterActions: UCLA Journal of Education and Information Studies
Journal of African American Males in Education
Journal of College and Character
Journal of sTEm Teacher Education
Journal of Information Technology Education
Journal of MultiDisciplinary Evaluation
Journal of Online Learning and Teaching
Journal of Research in Rural Education
Journal of the Scholarship of Teaching and Learning
Journal of Student Affairs Research and Practice
Journal of Technology, Learning, and Assessment
Kairos: A Journal of Rhetoric, Technology, and Pedagogy
Language, Learning, and Technology
Mathematics Educator
NASPA Journal About Women in Higher Education
Nonpartisan Education Review
Online Journal of Distance Learning Administration
Physical Review Special Topics - Physics Education Research
Planning for Higher Education
Practical Assessment, Research and Evaluation
Research in Middle Level Education Online
Social Studies Research and Practice

APPENDIX D

FIRST PILOT SURVEY SOLICITATION LETTER SENT TO AUTHORS AT
CURRENT ISSUES IN EDUCATION

February 3, 2011

Dear AUTHOR,

In connection with my role as executive editor at *Current Issues in Education* (*CIE*), I am a graduate student conducting dissertation research on the topic of open access publishing under the direction of Dr. Sarah Brem in the school of Social and Family Dynamics at Arizona State University. This research will study the motives and perceptions that scholars have of online journals and why they choose to publish in these open access venues.

Because of your published article in YEAR with *CIE* (which is an open access journal), I'm inviting you to participate in my dissertation research by taking a 10-minute anonymous online survey about your choice to publish in an open access journal. Your participation in this survey is voluntary. You can skip questions if you wish. You are under no obligation to take this survey and you may quit taking the survey at any time if you do begin to answer it. There are no penalties for not taking or not completing the survey either.

The foreseeable benefits of your participation are (1) I will have the necessary data to contribute to the completion of my dissertation, and (2) the data will help *Current Issues in Education* know their publishing audience better and the reasons why scholars may be attracted to publishing at *CIE*. There are no foreseeable risks or discomforts to your participation in this survey.

The information you provide is confidential and only the people involved in this study will have access to the survey data. No survey questions ask for information that could indicate identity. The survey is accessible through a web link. Therefore you may take it in a private location of your choice. The survey questions center on attitudes and perceptions and do not ask for your name or other personal details that would indicate your identity.

If you have any questions concerning my dissertation research study, please contact the research team: Dr. Sarah Brem, Associate Professor in the School of Social Family Dynamics, Arizona State University or Lori Ellingford, doctoral student in the Mary Lou Fulton Teachers College, Arizona State University. Dr. Brem may be reached at sarah.brem@asu.edu or (480) 965-8748. Lori Ellingford may be reached at lori.ellingford@asu.edu or (480) 236-4160.

If you have any questions about your rights as a participant in this research, or if you feel you have been placed at risk, you can contact the Chair of the Human

Subjects Institutional Review Board, through the ASU Office of Research Integrity and Assurance, at (480) 965-6788.

Completion of the online survey will be considered your consent to participate.

Thank you in advance for taking the time to assist me with my dissertation research. I would greatly appreciate your participation. If you're willing, please go to this link to take the survey:

https://www.surveymonkey.com/s/NMQ9PLR

Sincerely,

Lori

Lori Ellingford
Executive Editor
Current Issues in Education
http://cie.asu.edu
lori.ellingford@asu.edu
(480) 236-4160

APPENDIX E

SECOND PILOT SURVEY SOLICITATION LETTER SENT TO AUTHORS
AT *EDUCATIONAL POLICY ANALYSIS ARCHIVES*

March 25, 2011

Dear AUTHOR,

In connection with my role as executive editor at *Current Issues in Education* (*CIE*), I am a graduate student conducting dissertation research on the topic of open access publishing under the direction of Dr. Sarah Brem in the school of Social and Family Dynamics at Arizona State University. This research will study the motives and perceptions that scholars have of online journals and why they choose to publish in these open access venues.

Because of your published article in YEAR with *Education Policy Analysis Archives* (which is an open access journal), I'm inviting you to participate in my dissertation research by taking a 10-minute anonymous online survey about your choice to publish in an open access journal. Your participation in this survey is voluntary. You can skip questions if you wish. You are under no obligation to take this survey and you may quit taking the survey at any time if you do begin to answer it. There are no penalties for not taking or not completing the survey either.

The foreseeable benefits of your participation are (1) I will have the necessary data to contribute to the completion of my dissertation, and (2) the data will help *EPAA* know their publishing audience better and the reasons why scholars may be attracted to publishing at *EPAA*. There are no foreseeable risks or discomforts to your participation in this survey.

The information you provide is confidential and only the people involved in this study will have access to the survey data. No survey questions ask for information that could indicate identity. The survey is accessible through a web link. Therefore you may take it in a private location of your choice. The survey questions center on attitudes and perceptions and do not ask for your name or other personal details that would indicate your identity.

If you have any questions concerning my dissertation research study, please contact the research team: Dr. Sarah Brem, Associate Professor in the School of Social Family Dynamics, Arizona State University or Lori Ellingford, doctoral student in the Mary Lou Fulton Teachers College, Arizona State University. Dr. Brem may be reached at sarah.brem@asu.edu or (480) 965-8748. Lori Ellingford may be reached at lori.ellingford@asu.edu or (480) 236-4160.

If you have any questions about your rights as a participant in this research, or if you feel you have been placed at risk, you can contact the Chair of the Human

Subjects Institutional Review Board, through the ASU Office of Research Integrity and Assurance, at (480) 965-6788.

Completion of the online survey will be considered your consent to participate.

Thank you in advance for taking the time to assist me with my dissertation research. I would greatly appreciate your participation. If you're willing, please go to this link to take the survey:

https://www.surveymonkey.com/s/dissertation-survey-open-access-pilot02

Sincerely,

Lori

Lori Ellingford
Executive Editor
Current Issues in Education
http://cie.asu.edu
lori.ellingford@asu.edu
(480) 236-4160

APPENDIX F

LETTER TO SEND TO JOURNAL EDITORS

This message will be sent to the lead editors of open access education research journals.

June 27, 2011

Dear JOURNAL EDITOR NAME,

In connection with my role as executive editor at *Current Issues in Education* (*CIE*), I am conducting dissertation research on the topic of open access publishing under the direction of Dr. Sarah Brem in the school of Social and Family Dynamics at Arizona State University. This research will study the motives and perceptions that scholars have of online journals and why they choose to publish in these open access venues.

I'm inviting you to participate in my dissertation research, which involves providing a web link to your submitting authors that directs them to a 10-minute anonymous online survey. This survey asks about their choice to publish in an open access journal. Your participation in providing the survey's web link to your authors is voluntary. Your submitting authors who take my online survey will also have voluntary participation. The survey is set up so that they can skip questions if they wish. They are under no obligation to take this online survey and they may quit taking the survey at any time if they do begin to respond to it. Since the survey is online, the authors may take it in a private location. No survey questions ask for information that could indicate identity. There are no penalties to your submitting authors for not taking or not completing the survey either. Likewise, there are no penalties to you for not sending my survey's web link to your authors.

The foreseeable benefits of your participation are two-fold. (1) I am willing to share with you, at your request, the anonymous results, which could help you know your online publishing audience better and the reasons why scholars may be attracted to publishing at your journal. (2) I will collect the necessary data to complete my dissertation. There are no foreseeable risks or discomforts to your participation in distributing my survey.

I would greatly appreciate your willingness to provide your submitting authors with the web link to take my anonymous online survey. This survey is currently accessible through this web link:

https://www.surveymonkey.com/s/ellingford_dissertation_survey

If you choose to participate I will provide you with a brief message to send to your submitting authors that contains my survey request and survey link. Though I can imagine that there are many ways you could communicate with an author to provide them the survey web link, my hope is that you can build the survey web-link into an auto-generate message that occurs after the author makes a submission to your journal. If you do not use auto-generated messages, or would prefer to provide the web link to your authors in another way, please contact me and we will work out an alternative.

If you have any questions concerning my dissertation research study, please contact the research team: Dr. Sarah Brem, Associate Professor in the School of Social Family Dynamics, Arizona State University or Lori Ellingford, doctoral student in the Mary Lou Fulton Teachers College, Arizona State University. Dr. Brem may be reached at sarah.brem@asu.edu or (480) 965-8748. Lori Ellingford may be reached at lori.ellingford@asu.edu or (480) 236-4160.

If you have any questions about your rights as a participant in this research, or if you feel you have been placed at risk, you can contact the Chair of the Human Subjects Institutional Review Board, through the ASU Office of Research Integrity and Assurance, at (480) 965-6788.

Providing your authors with the web link to take my online survey will be considered your consent to participate.

Thank you in advance for taking the time to assist me with my dissertation research. Please let me know if you will help out and I will provide you with additional information you might need or want in order to provide the link to your submitting authors.

Sincerely,

Lori

Lori Ellingford
Executive Editor
Current Issues in Education
http://cie.asu.edu
lori.ellingford@asu.edu
(480) 236-4160

APPENDIX G

TEMPLATE LETTER FOR JOURNAL EDITORS TO SEND

Dear Author,

In support of dissertation research conducted by Lori Ellingford on the topic of open access journal publishing, we invite you to take a voluntary 10-minute anonymous online survey about your attitudes and perceptions regarding open access publications and your choice to publish in an online journal. The responses you provide in this survey will assist Lori's dissertation, which is under the direction of Dr. Sarah Brem, Associate Professor in the School of Family and Social Dynamics at Arizona State University.

You may take this survey in a private location of your choice. No survey questions ask for information that could indicate identity. You can skip questions if you wish. You are under no obligation to take this survey and you may quit taking the survey at any time if you do begin to respond to it. There are no penalties for not taking or not completing the survey either. This online survey has no connection or any influence on your manuscript's publication decision either. This survey maintains your anonymity; even we as journal publishers will not know if you did or didn't take the survey or what answers you supplied.

If you have any questions concerning this research study, please contact Dr. Sarah Brem at sarah.brem@asu.edu or (480) 965-8748 and/or Lori Ellingford, doctoral student in the Mary Lou Fulton Teachers College, Arizona State University at lori.ellingford@asu.edu or (480) 236-4160.

If you have any questions about your rights as a participant in this research, or if you feel you have been placed at risk, you can contact the Chair of the Human Subjects Institutional Review Board, through the ASU Office of Research Integrity and Assurance, at (480) 965-6788.

Completion of the online survey will be considered your consent to participate.

Thank you in advance for taking the time to assist Lori with her dissertation survey. She expresses her gratitude for your participation. If you're willing, please go to this link to take the survey:
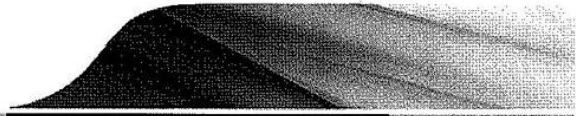
https://www.surveymonkey.com/s/ellingford_dissertation_survey
Sincerely,

THE JOURNAL PUBLISHER

APPENDIX H

INSTITUTIONAL REVIEW BOARD APPROVAL LETTER

ASU Knowledge Enterprise Development

Office of Research Integrity and Assurance

To:	Sarah Brem
	EDB
From:	Mark Roosa, Chair
	Soc Beh IRB
Date:	02/02/2011
Committee Action:	**Exemption Granted**
IRB Action Date:	02/02/2011
IRB Protocol #:	1101005938
Study Title:	A Cognitive-Motivational Approach to Open Access Journal Publishing

The above-referenced protocol is considered exempt after review by the Institutional Review Board pursuant to Federal regulations, 45 CFR Part 46.101(b)(2) .

This part of the federal regulations requires that the information be recorded by investigators in such a manner that subjects cannot be identified, directly or through identifiers linked to the subjects. It is necessary that the information obtained not be such that if disclosed outside the research, it could reasonably place the subjects at risk of criminal or civil liability, or be damaging to the subjects' financial standing, employability, or reputation.

You should retain a copy of this letter for your records.