CIC Environmental Scan

Final Report

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Summary Report

Background

Librarians at CIC institutions were involved in conducting an Environmental Scan for Scholarly Communication in early 2010. Informed Strategies was retained to analyze the data and present a collective view of the results at the May Conference of the Center for Library Initiatives. A summary of the detailed analyses conducted by the consultants is presented with observations informed by their experience as former academic librarians who have also worked in publishing and are familiar with open access (OA) initiatives.

The purpose of the Environmental Scan was to advance open scholarship by engaging librarians in discussions with senior faculty and by assessing levels of activity and support for OA within the CIC. Part I prepared librarians for the discussion by documenting the OA landscape in specific disciplines, and capturing data on repositories, OA journals and society policies regarding OA. Part II focused on OA supportive activities at each institution by reviewing department policies and publications from university units, and interviewing faculty about their editorial roles with journals and books, their leadership roles in their societies and their activities in support of open access.

Data Analysis

More than 220 librarians participated in the Environmental Scan and collected data on over 2,000 senior faculty. Survey Monkey was used as a tool for data collection for both surveys and the quantitative results appear in two PDF summary reports that are included with the accompanying files. The original data was subsequently modified by Iowa to accommodate IRB constraints and by the consultants to include data from Minnesota that was collected prior to this study.

This report presents a view of OA activity for participating institutions across the CIC but does not represent definitive research since it is not comprehensive. Although data was normalized for analysis, including some de-duplication, it was not generally researched for further clarification.

A framework for analysis was created by designating 34 disciplines that are used to organize data on 748 departments from 11 universities into a coherent picture. Three primary areas (Science, Social Science & Liberal Arts) provide context for grouping the disciplines. The grid below shows the fairly even distribution of disciplines (and number of departments in the column on the left) across each of the three primary subject areas

	Science		Social Science		Liberal Arts
35	S Agriculture	49	SS Business	9	LA Anthropology, Archaeology
10	S Animal Science & Vet Med	20	SS Communication	12	LA Architecture
60	S Applied Health	7	SS Computer Science	26	LA Area Studies
50	S Biosciences	5	SS Criminal Justice	40	LA Arts
8	S Chemistry	11	SS Economics	7	LA Classics
75	S Engineering	22	SS Education	36	LA Cultural Studies
10	S Environmental Sciences	7	SS Library & IS	14	LA English/Literature
10	S Geosciences	8	SS Political Science	30	LA Foreign Language
15	S Math and Stats	10	SS Psychology	7	LA Geography
83	S Medicine	10	SS Social Work & Family Studies	13	LA History
14	S Physics and Astronomy	8	SS Sociology	7	LA Linguistics
				18	LA Philosophy & Religion
370 Departments in 11 Disciplines		157 Departments in 11 Disciplines		219 Departments in 12 Disciplines	

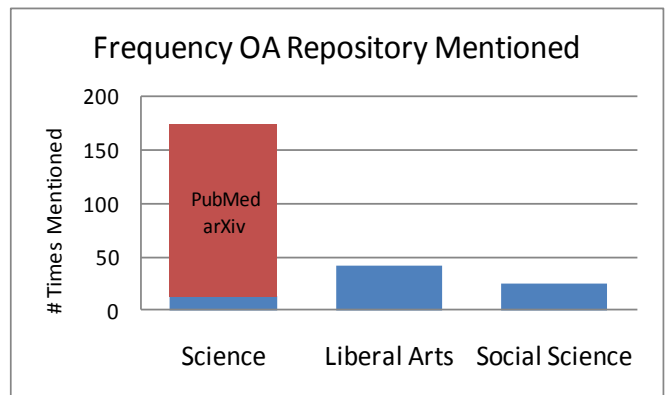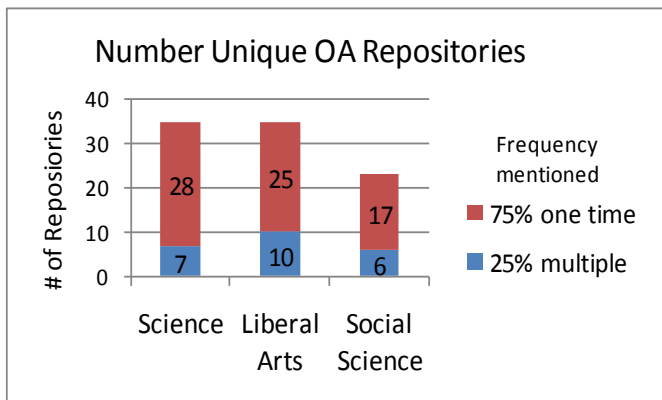*Additional data appears in file # 6 of the dataset.

On average the Science departments were the largest in terms of number of faculty, followed by Social Sciences while Arts & Humanities typically had a larger number of smaller departments. Since there are twice as many Science departments (370) as Social Science departments (157), the responses were sometimes presented as a percent to show relative size rather than actual numbers.

Part I – Discipline View

Initial research by librarians collected data on opportunities for faculty in different subject areas to participate in Open Access publishing in repositories, journals and through societies.
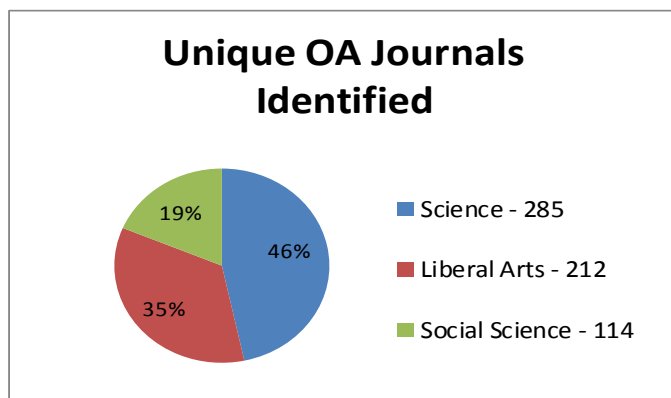
Repositories

Given the emphasis on Open Access in the sciences and their relative size it was not surprising that PubMed and arXiv comprised half of all references to repositories. What wasn't expected was that of the 99 unique repositories identified Liberal Arts had the same number of OA repositories (35) as the sciences (35).

Number Unique OA Repositories

# of Reposiories

Frequency mentioned
- 75% one time
- 25% multiple

Frequency OA Repository Mentioned

Times Mentioned

PubMed arXiv

*The list of repositories with the URL is file #7 in the dataset.

OA Journals

As librarians researched each field, they collectively identified 606 prestigious OA journals relevant to their departments.

Unique OA Journals Identified

- Science - 285 — 46%
- Liberal Arts - 212 — 35%
- Social Science - 114 — 19%

*The list of unique OA journals is file # 8 in the dataset.

These disciplines had the most frequent mention of journals:

Liberal Arts: Area Studies, Foreign Language

Sciences: Applied Health, Biosciences, Engineering, Medicine

Social Sciences: Education

Author Fees

The most common OA author fees ranged from $1500 to $3,000 with a high of $4,000 in the social sciences. Page charges in the sciences further complicate the models.

OA Mandates

In an effort to assess the impact of the current NIH and potential FRPAA mandates an analysis of disciplines was made. While not all departments in each discipline would be covered, some elements of all disciplines would be addressed with the possible exception of Classics.

Area	Discipline	NIH	FRPAA
LA	Anthropology, Archaeology	✓	✓
LA	Area Studies	✓	✓
LA	Arts	✓	✓
LA	History	✓	✓
SS	Business	✓	✓
SS	Communication	✓	✓
SS	Criminal Justice	✓	✓
SS	Economics	✓	✓
SS	Education	✓	✓
SS	Library & IS	✓	✓
SS	Psychology	✓	✓
SS	Social Work & Family Studies	✓	✓
SS	Sociology	✓	✓
Sci	Agriculture	✓	✓
Sci	Animal Science & Vet Med	✓	✓
Sci	Applied Health	✓	✓
Sci	Biosciences	✓	✓
Sci	Chemistry	✓	✓
Sci	Engineering	✓	✓
Sci	Environmental Sciences	✓	✓
Sci	Geosciences	✓	✓
Sci	Math and Stats	✓	✓
Sci	Medicine	✓	✓
Sci	Physics and Astronomy	✓	✓

24 disciplines (2/3) are covered by both mandates

- FRPAA addresses 6 of the remaining 8
- NIH covers Philosophy & Religion
- Classics is the only area not covered.

Area	Discipline	NIH	FRPAA
LA	Classics		
LA	Philosophy & Religion	✓	
LA	Architecture		✓
LA	Cultural Studies		✓
LA	English/Literature		✓
LA	Foreign Language		✓
LA	Geography		✓
LA	Linguistics		✓
SS	Computer Science		✓
SS	Political Science		✓

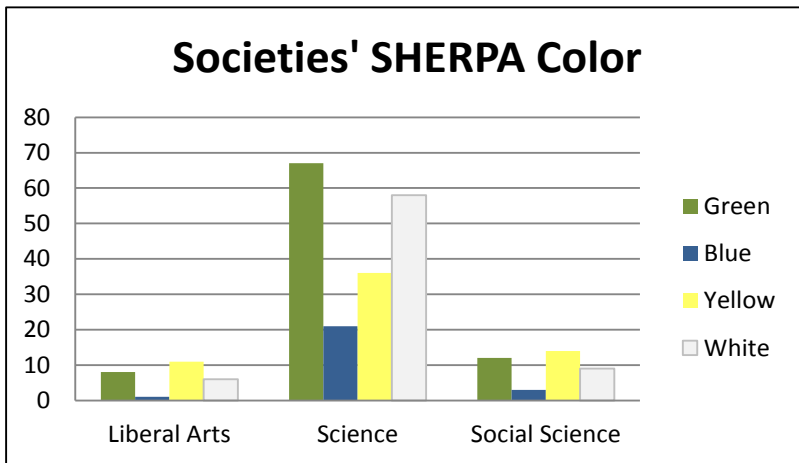*Additional data appears in file # 9 of the dataset.

Societies

Primary societies for each department were identified and the SHERPA color researched which indicates the society's policy regarding the journals they publish and whether authors are permitted to post their articles online in an OA repository. On average half of the 489 societies were not found in SHERPA and the distribution varies considerably by broad subject areas: 80% of Liberal Arts are not in SHERPA, about half of Social Science and only a third of the Sciences.

Societies	In Sherpa	Not in Sherpa		Total
Liberal Arts	26	101	80%	127
Science	182	90	33%	272
Social Science	38	52	58%	90
Total	246	243	50%	489

*Additional data appears in file #10 of the dataset.

Of those that do appear in SHERPA, almost as many societies allow both pre/post print (green) as prohibit posting manuscripts (white). This chart displays the number of societies from the table above. The use of SHERPA data warranted additional comments that appear in the "Observations" section.

*Additional data appears in file # 10 of the dataset.

SHERPA Color:

Green =both pre / post print
Blue = post print
Yellow = preprint
White = neither

Part II – Department View

Questions in Part II focus first on the department's policies and publications and then shift to individual faculty interviews reviewing their roles in working with publications and societies and their OA activities. When combined these responses present a view of activities across the CIC at the discipline level.

Department Position

Support for Open Access at the department level was identified based on three factors.
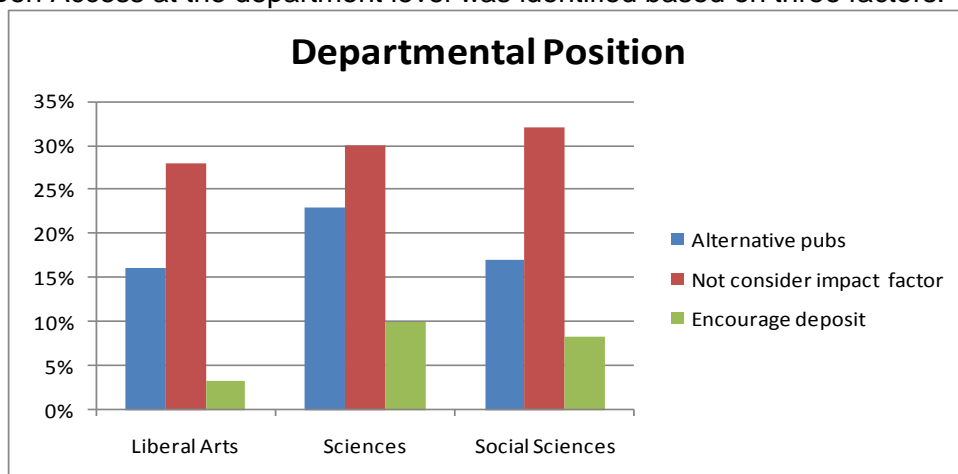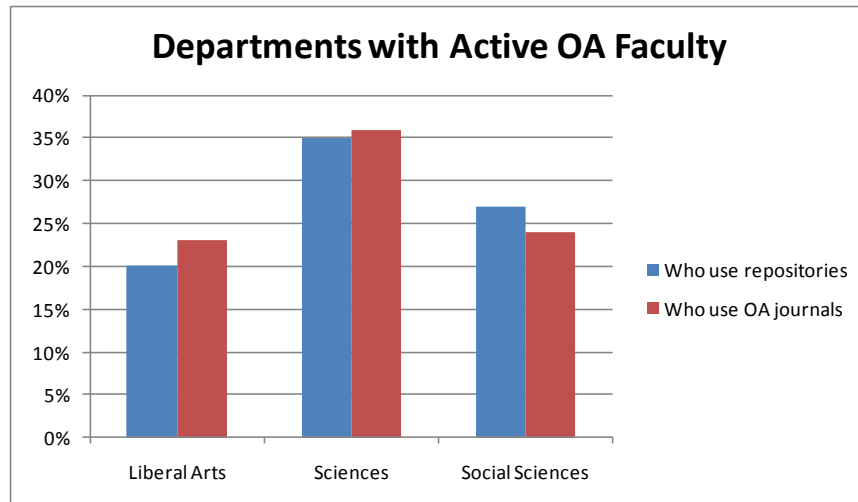

*Additional data appears in file # 11 of the dataset.

These include: acceptance of alternative publications, encouraging deposit in OA repositories, and not specifying the use of an Impact Factor in considering promotion and tenure. While fewer than 10% of departments encouraged deposit in an OA repository, almost 30% did not explicitly consider impact factor in promotion and tenure.

Department View of Active OA Faculty

More departments felt that their faculty are engaged in OA activities than might be expected based on department policies. Interviews with faculty in Part II also revealed stronger support for OA at the individual than department level. A likely explanation is that individuals can change their attitudes and behavior more quickly than a group, whether a department or a society, can change its policies.

*Additional data appears in file # 11 of the dataset.

Department Journals & Books

Publications sponsored by a department or institute within the university were identified. Examples of these could include journals run by graduate students. These are distinct from the OA journals identified in Part I that were identified in a discipline or the books and journals in the next section with which individual faculty are associated as editors. It is noticeable that Liberal Arts has more than double the number of Social Science titles and almost twice as many titles as Science.
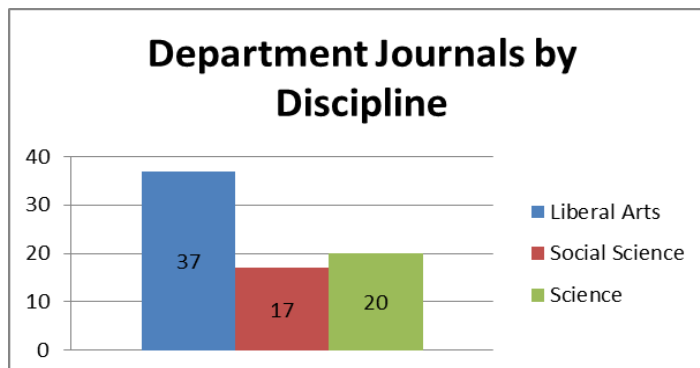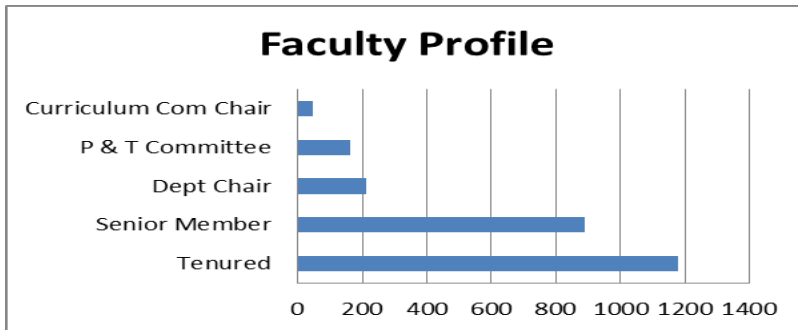

*Additional data appears in file #12 of the dataset.

Part II - Faculty View

Interviews with faculty sought to identify those in leadership roles in societies or editorial boards who might champion OA and could potentially influence change in professional societies and publications.

Faculty Profile

The intent of the survey was to speak with senior faculty. The success of the effort is confirmed by this chart which is based on data from Survey Monkey. Multiple categories could be selected.

*Additional data appears in file #13 of the dataset.

Faculty Editorial Roles

While subsequent data shows the number of unique publications or societies, faculty frequently served on more than one publication. To reflect the full range of their influence in the chart below, both faculty and publications may be counted more than once in different combinations.

	EIC	Other Editor	Ed Board	Total
Liberal Arts	141	20	250	411
Science	135	125	664	924
Social Science	168	117	693	978
TOTAL	444	262	1607	

*Additional data appears in file #13 for both this chart and the following.

There are half as many faculty roles counted in Liberal Arts as in the Science and Social Sciences which is consistent with the dominant role of books in the Liberal Arts compared to journals in Science and Social Sciences. However the data in the table above also shows that there are more Editors-in-Chief (EIC) in the Liberal Arts than the Sciences which is presented visually in the following chart.
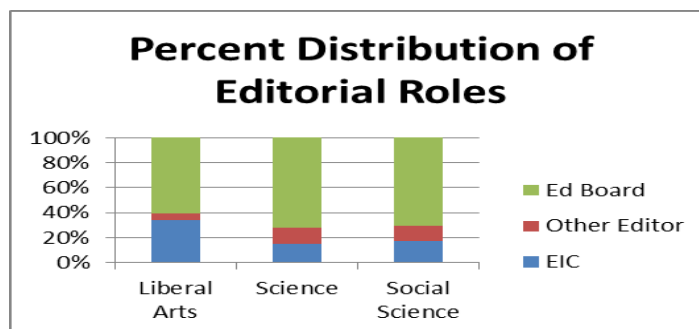
Faculty Journals & Books

Although more than one faculty member could be associated with a specific journal or book series, it seems useful to understand how many unique titles are involved. This chart shows the distribution among the three disciplinary groups.

Unique Journals & Books with CIC Faculty Editors

- Liberal Arts - 368
- Social Science - 744
- Science - 771
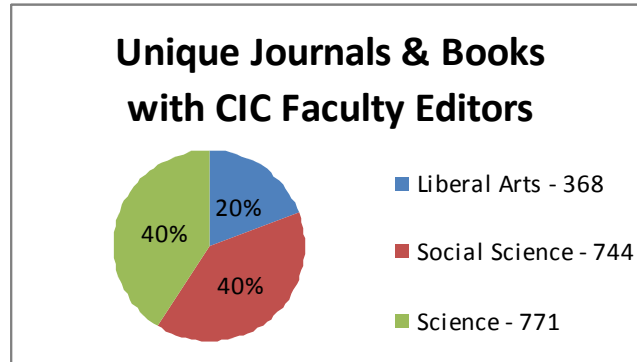
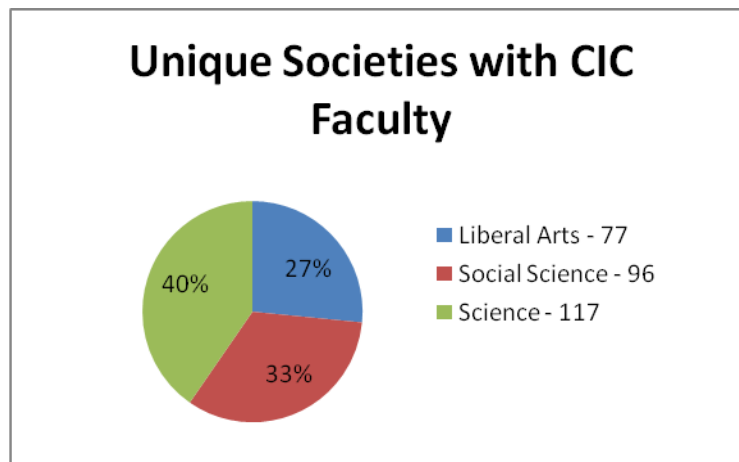*Additional data appears in file #14 of the dataset.

Faculty in Societies

A similar exercise that was conducted for scholarly societies and associations to determine how many unique organizations have CIC faculty in leadership roles produced parallel results, with a slightly larger proportion of Liberal Arts and smaller proportion of Science. It does not appear that faculty participate at a lower rate, only that fewer societies are involved.

Unique Societies with CIC Faculty

- Liberal Arts - 77
- Social Science - 96
- Science - 117

*Additional data appears in file #15 of the dataset.

Faculty OA Activity

The last question in the survey assessed what Open Access activities individual faculty members had participated in. There were five multiple choice options and those are reflected in the table: wrote an editorial, negotiated a publishing agreement to retain rights, served on a scholarly communications committee, edited an OA journal, or encouraged others to publish in alternative forums. There was also a final open ended option which frequently was used for non-OA data. The graph shows an actual count of these activities. The numbers are relatively small considering that 1700 faculty were interviewed. Many faculty reported multiple activities, which further reduces the unique number of those with active involvement. This relatively low response rate deserves further consideration and

examination of the full data set for these individuals is suggested. The ambivalence about OA found in society leadership is likely part of the explanation.

Faculty OA Activity
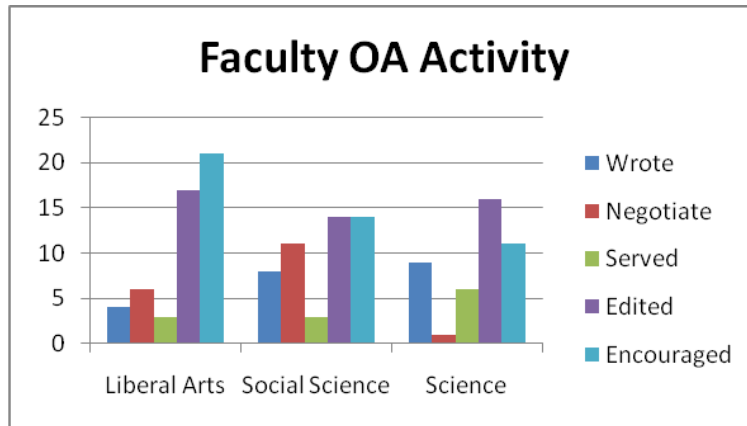
*Additional data appears in file #16 of the dataset.

Observations

In working with the data certain patterns emerged that was consistent with the perspective of the consultants. The comments that follow are based on their experience in working with societies and their knowledge of commercial publishers.

SHERPA

Both societies and publications can be coded with one of four SHERPA colors that indicate their willingness to support Open Access by allowing the author to archive either or both the preprint and/or post print version of their article in an OA repository.

Societies' SHERPA Color
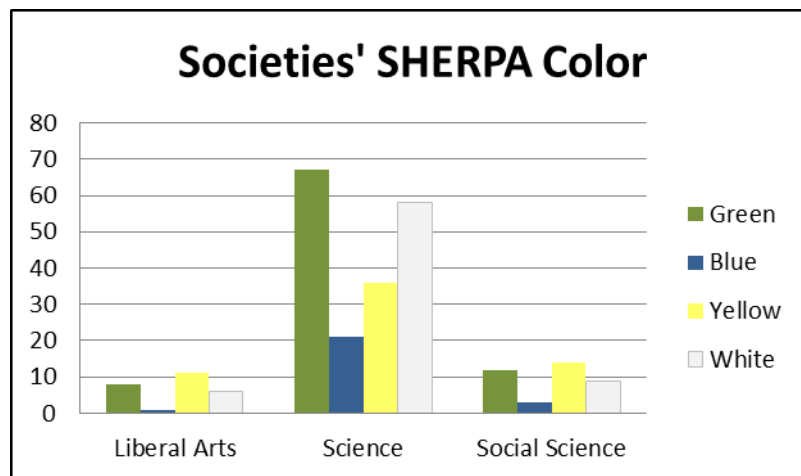
Green – Allows archiving of preprint and post print or publishers' PDF
Blue – Allows archiving of post print or publisher's PDF
Yellow – Allows archiving of preprint article
While – Archiving not formally supported.

More societies appear to be either supportive of OA with a Green designation or do not support archiving and are coded White. It is easier for a society to make the case for open deposit of the author's article before it goes through peer review, copyediting and page processing which explains

why Blue or the post print deposit is the least supported. Science societies have both the strongest support of Open Access as well as the strongest level of resistance compared to Liberal Arts or Social Sciences.

Additional patterns emerged when publication types were further analyzed by the type of publisher which was added by the consultants. Societies are stronger opponents of deposit in an OA repository than commercial publishers that allow the preprint to be deposited.
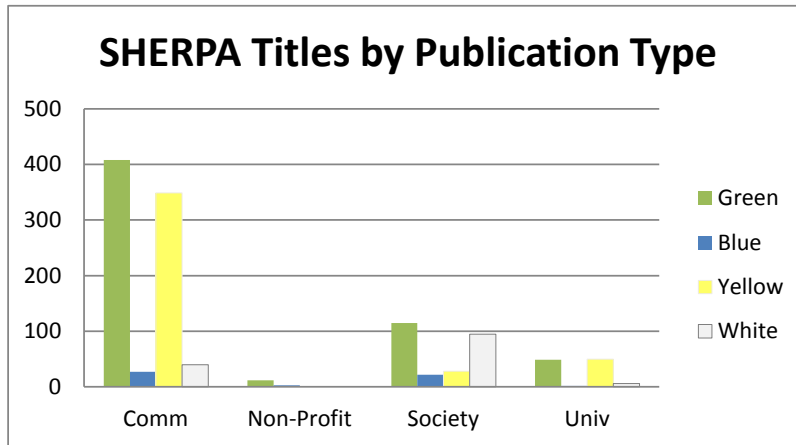
*Additional data appears in file #14 of the dataset.

It is easier for large commercial publishers to retool their operations and make decisions that allow them to adapt to changing business models, whereas declines in publication revenue would substantially affect the operations of many societies that rely on journal revenue to support the activities of the organization.

What makes this picture more complex is that half of the titles distributed by commercial publishers belong to societies that contract with them to take advantage of economies of scale, more sophisticated technology and market reach.

Faculty Associated Publications

Journals and books that had faculty editorial support were coded by the type of publisher for further analysis.
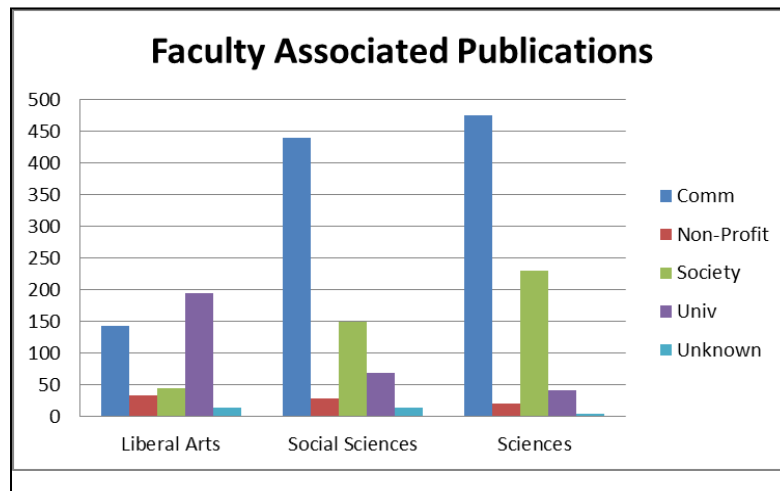
Patterns emerged that reflect differences in publication format among the disciplines. Sciences and social sciences rely more on journals and are heavily commercial whereas liberal arts publications are more likely to be books published by a university press or other university unit.

Faculty in Leadership Roles

The premise that faculty who were in senior editorial roles or in society leadership positions would provide a pool of candidates to help promote Open Access does not appear promising from this analysis. A relatively small portion, 309 faculty of 1729 or 18% reported society leadership roles and of this group, only 41 were also open access proponents. On the other hand, additional conversations with those 41 could be fruitful in understanding why their attitudes differ from their peers and what advice they could suggest for promoting change in scholarly communication among their colleagues. Specific information about these faculty members is included in file set 17.

	Society Leadership		Both		Open Access	
Liberal Arts	87	61%	13	9%	43	30%
Sciences	114	62%	9	5%	61	33%
Social Sciences	108	62%	19	11%	47	27%
Total	309		41		151	

Another possibility is that Open Access support would be more widespread among less senior faculty, but this idea has not been supported by recent research conducted by Diane Harley et al[1] and Ithaka Research and Scholarship[2].

Lessons Learned

This ambitious project was conducted on a short timetable and collected data on more than 2,000 faculty members at ten institutions. A survey created for Minnesota was the basis for an expanded survey. It is the nature of research to build on prior studies and it is likely that a similar environmental scan will be conducted in the future. Some suggestions for survey structure and data collection are offered in that context.

- IRB concerns about collecting data that would identify specific faculty members could be addressed by creating a separate list of faculty with corresponding designations that would be retained at the home institution. Only pseudonyms or other designations such as codes or numbers could be used in the survey. It is important to have a unique identifier for each faculty member as it is important to be able to link all activities for an individual, but if this were not the actual name, the survey data could be shared among all of the participating institutions.

- Very few joint appointments (faculty with appointments in multiple departments) were found, but the next survey should include a question to capture this information.

- SHERPA status was apparently difficult to obtain. In multiple instances, a different SHERPA color was reported for the same journal when a journal was reported for multiple faculty members. This

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[1] Harley, D. et al, *Assessing the Future Landscape of Scholarly Communication: An Exploration of Faculty Values and Needs in Seven Disciplines*, January 2010, Center for Studies in Higher Education, UC Berkeley http://escholarship.org/uc/cshe_fsc
[2] Schonfeld, R and Housewright, R, *Faculty Survey 2009: Strategic Insights for Libraries, Publishers and Societies.* Ithaka S+R. http://www.ithaka.org/ithaka-s-r/research/faculty-surveys-2000-2009/faculty-survey-2009

problem of incomplete data about SHERPA colors is outside of the control of the survey, but additional research will be required to resolve conflicting SHERPA color reports.

- Once the data from this survey have been analyzed and used, the next version can be revised based on how the data were used. <u>The survey for Part II could be shortened.</u> For example, the details collected for each department publication (questions 13-22 is the first of four) could be abbreviated to what would be used.

- For two sets of questions, responses about a title that was either a journal or a book were solicited. Questions like this should be set up to provide a <u>choice of formats</u> which would aid data analysis. Examples include question 13 and the three sets that follow it (departmental publications) and the four sets of editorial roles, beginning with question 59.

- There was no option to provide <u>additional comments</u> until the last question. Then an open ended question was intended to solicit additional examples of Open Access activities. This became a catch-all for a variety of comments and other data, including additional editorial roles. In a long survey, questions can be grouped by topics onto a single web page with the last question on each page providing an opportunity for additional comments.

- In some cases, the data collector missed the opportunity to invoke a second set of questions if more than four editorial roles, for instance, needed to be reported. Creating a <u>standard format</u> where such an option occurs at the end of a labeled topic page would increase compliance and avoid some data entry anomalies.

- <u>Pre-testing the survey</u> could have identified questions that needed to be reworded, or that needed additional instructions. With a long survey, separate instructions can provide guidance for data collection and entry that will increase the validity of the results. For example, for both the series of four editorial role questions and four society leadership roles, it was apparently unclear whether only current activities were eligible.

- Survey instructions could provide a <u>brief style sheet for data entry</u>. For example, to allow sorting by title, journals or books should not begin with "the". When listing societies, the main group should be listed first, followed by subgroups in descending order, for example, "American Mathematical Society, Midwest Chapter". Acronyms for the names of societies should be spelled out.

- For some questions it might be useful to provide <u>multiple choices</u> rather than free text entries. Examples would be the editorial titles plus an "other" free text option.

Detailed Data Analyses

Overview

Multiple data sets have been created to provide insights into various aspects of the environmental scan. Two files are in PDF and the remaining are in Excel 2007. Distribution notes are specific for each group of files to accommodate IRB restrictions.

Master Files
Two PDF files contain the complete list of questions and tabulated responses for Part I and Part II of the survey. Additional master files contain the complete, raw data as it was exported from Excel for Part I and Part II, and the list of disciplines created for the analysis. Other files contain subsets of the data that was manipulated to address specific topics.

Each of the questions in Part I and Part II of the Environmental Scan are referenced in this table along with the columns that contained the response to the questions.

Topic	Question	Data Columns	Separate File
Master Files			
Part I all results	Part I, 1-24	PDF	Number 1
Part II all results	Part II, 1-87	PDF	Number 2
Part I all data	Part 1, 1-24	A-BD	Number 3
Part II all data	Part II, 1-87	A-FL	Number 4
Part II all less faculty	Part II excerpt	A-FG	Number 5
Disciplines	N/A		Number 6
Part I - Discipline View			
Repositories	Part I, 5-7	R-V	Number 7
OA journals	Part I, 8-9	W-AB	Number 8
OA Mandates	Part I, 10	AC-AF	Number 9
Key societies & OA	Part I, 11-23	AG-BD	Number 10
Part II - Departmental View			
Dept OA position	Part II, 6-9	R-W	Number 11
Dept Faculty and OA	Part II, 10-12	X-Y	Number 11
Dept Journals/Books	Part II, 13-54	AA-DL	Number 12
Part II - Faculty View			
Editorial Roles	Part II, 59-77	DW-EW	Number 13
Journal w editorial	Part II, 59-77	DW-EW	Number 14
Society Roles	Part II, 78-85	EX-FE	Number 15
Faculty OA Activity	Part II, 86	FF-FK	Number 16

Minnesota Data - Minnesota conducted their surveys prior to the other CIC institutions and a separate set of files was integrated into the Excel files for Part I and Part II. Data in a single cell is limited to 255 characters. Minnesota does not appear in the SurveyMonkey PDF files.

Iowa - The IRB at Iowa required omission of faculty names so their data was reprocessed without this information.

Disciplines - To enable analysis by broad subject area across institutions 34 Disciplines were designated and departments on each campus assigned to them. The File displaying this organizational structure is included as the fourth Master File.

Description of the Excel Data Files

Master Files (6)

The first two files in PDF are based on the raw data as it was exported from Survey Monkey for Parts I and II. The data was analyzed by Survey Monkey for the full set of institutions. These files contain the full list of questions and response options and are both an excellent starting place and reference point to understand the subsequent data analysis.

The next three files contain the complete export of the data into Excel for Part I and Part II. The last master file contains the structure of the Disciplines assigned to departments. (Subsequent files focus on specific topics.) These master files are unique in two respects:

- These files contain all data including information such as the name of the person entering the data, the originating IP address, the date of data entry and many other fields that are retained only in this pair of files.

- These files are also the only files in the data set that contain the full original information provided in free text fields. The maximum number of characters in a single cell that can be copied is 255. Since all copies with free text fields in subsequent files are incomplete, these Master files serve as a reference for longer entries.

1) CIC Env Scan Part I Survey Monkey Survey Results (Master File)
   Distribution
   All participating CIC institutions can receive this file as is.

   This PDF file is 14 pages long and contains 24 questions.

2) CIC Env Scan Part II Survey Monkey Survey Results (Master File)
   Distribution
   All participating CIC institutions can receive this file as is.

This PDF file is 48 pages long and contains 87 questions.

3) CIC Env Scan Part I Survey w Disciplines (Master File)
   Distribution
   All participating CIC institutions can receive this file as is.

This file has 1 worksheet with all entries exported from SurveyMonkey with the addition of data from Minnesota, and a column added with Disciplines assigned to each department.

4) CIC Env Scan Part II Survey w Disciplines (Master File)
   Distribution
   The CIC institutions will receive only the portion for their institution with complete data.
   - The CIC should retain this complete file.
   - The CIC should save and rename the file for each institution, removing all data except that which belongs to a single institution and contains only its own data.

This file contains two worksheets.

- The first (Part II Summary) is the original data downloaded from SurveyMonkey into Excel. The file has 1,731 rows and 142 columns; the last is column "FL".
- The second worksheet (Data deleted dups and incomplete) reflects light clean up.

5) CIC Env Scan Part II Survey w Disciplines minus Personal (Master File)
   Distribution
   All participating CIC institutions can receive this file as is.

To comply with IRB guidelines personal faculty data has been removed from this copy of the master data file for Part II.   This file also serves as a reference for cells with more than 255 characters.

6) CIC Env Scan Part II Master Discipline List and Count (Master File)
   Distribution
   All participating CIC institutions can receive this file as is.

The three worksheets are variations on the same data with different sorts showing:
- Within each of the 34 Disciplines, which institutions and departments appear.
- Within each institution, which of their departments were involved and the disciplines.
- A count of the # of departments across all institutions represented within each Discipline.

Part I – Discipline View   (4)

7) CIC Env Scan Part I Disciplinary Repositories Identified
   Distribution
   All participating CIC institutions can receive this file.

This file collects information about disciplinary repositories and institutional repositories where faculty deposit content. These responses came from original columns R to V. The file contains five worksheets.
- "Repository Master" as the list sorted by repository name.
- "Disciplines" sorts the same sheet by disciplines, then repository name.
- "Repository Summary" tabulates the number of different instances when a repository was reported and by which disciplines.
- "Edited" organizes the same data as sheet 3 and adds size estimates when provided.
- "Presentation" provides the table of occurrences and charts created from this data.

8) CIC Env Scan Part I Open Access Journals by Discipline
   Distribution
   All participating CIC institutions can receive this file.
This file contains responses to a question about Open Access titles which are well known or prestigious. Many respondents said "none" or left it blank; others included information about impact factor, where indexed or other information to support a titles significance. Others provided the "best" Open Access titles while noting they were not very important. This file retains multiple sheets showing how multiple responses (five journal columns were offered) were combined to create a searchable list.

9) CIC Env Scan Part I Open Access Mandates by Discipline
   Distribution
   All participating CIC institutions can receive this file.

Respondents were asked if NIH or RRPAA mandates would apply. All but a few disciplines are affected for at least some sub-disciplines. The original responses, a tally and a chart are included.

10) CIC Env Scan Part I - Societies and SHERPA Policies
    <u>Distribution</u>
    All participating CIC institutions can receive this file.
This question solicited the one or two most important disciplines in each field. The resulting list has the responses and SHERPA policy for journals published by the society, a tally of the number of times a society was mentioned, and a deduped list in alphabetical order.

Part II – Department View (2)

11) CIC Env Scan Part II Departmental OA Position, Faculty OA Position
    <u>Distribution</u>
    All participating CIC institutions can receive this file.
In this first file from Part II of the survey, departmental information was solicited regarding the OA positions of the department and how faculty were believed to consider OA. Results by department and discipline were tabulated for tenure and promotion practices, repository acceptance and publishing in OA journals.

12) CIC Env Scan Part II Departmental Journals/Book Series
    <u>Distribution</u>
    Varies by worksheet (see notes below)

This file compiles information about journals or book series that are published by entities on the CIC campuses. These responses came from original columns AA to DL, with the titles occurring in columns AA, AY, BU and CR. Four sets of publications were possible. This data was "stacked" so it could all be sorted together. Please note that this sheet retains the original formatting with two header rows.
Columns C and D are hidden but indicate the academic department where the information was collected. The disciplines were assigned for the reporting departments, so it is possible that the disciplines will not always match the journals. Columns F to AA are the entire data set for a single journal entry. Not all of the fields (columns) were completed but all columns have been retained.

- "Insts w Dept Journals" is sorted by institution, discipline and journal name.
  <u>Distribution</u>
  Columns J, K. L and M contain the names of "key campus people" affiliated with the journals. The CIC institutions will receive only the portion for their institution.

- "Department Journals" is the same sheet sorted by title. This list of titles has not been compared to the list of titles in the file 14; it is possible some overlap exists.
  <u>Distribution</u>
  Columns J, K. L and M contain the names of "key campus people" affiliated with the journals. The CIC institutions will receive only the portion for their institution.

- "Insts, Depts Fac removed" is the same as sheet without the columns for faculty.
  <u>Distribution</u>
  All participating CIC institutions can receive this sheet.

- "Chart of Unique Journals" is included for all CIC institutions.

Part II – Faculty View (12)

This data resulted from interviews with faculty about their roles on editorial boards, their working relationship with journals or books, a leadership role in their professional society and their self reported OA activities.

Faculty Editorial Roles
13) CIC Env Scan Part II Lib Arts faculty editorial role
13) CIC Env Scan Part II Soc Sci faculty editorial role
13) CIC Env Scan Part II Sci faculty editorial role
 <u>Distribution</u>
 Varies by worksheet (see notes below)

Each disciplinary group (liberal arts, social sciences, and sciences) has a separate file. Each file has three worksheets. Most of the editorial roles and journals came from the original columns DW to EW. Four sets of publications were possible. This data was "stacked" in a single column so it could all be sorted together.

- The first worksheet "Ed Role w Faculty" is sorted by editorial roles. These are in column O (primary roles) and P (secondary roles).   It shows the variety of reported roles. This sheet also contains personal data in columns E and F (faculty names) and hidden columns H-N (information about the faculty member).

- The second worksheet "Editor in Chief only" contains a subset of column O roles, only co-editor, Editor, Editor in Chief, Main editor and Managing Editor. The same personal data described in worksheet 1 are in this worksheet.
  <u>Distribution</u>
  For sheets 1 and 2, Columns E and F and hidden columns H-N contain personal information. The CIC will need to create separate files for each institution for this sheet.

- The third worksheet is identical to the first worksheet "Inst Faculty Removed" has all of the personal information removed and is sorted by institution, discipline and then department.
  <u>Distribution</u>
  It can be shared with all institutions.

Journals/Books with Faculty Roles
14) CIC Env Scan Part II Lib Arts journals w faculty
14) CIC Env Scan Part II Soc Sci journals w faculty
14) CIC Env Scan Part II Sci journals w faculty
 <u>Distribution</u>
 Varies by worksheet (see notes below)

Each disciplinary group (liberal arts, social sciences, and sciences) has a separate file. Each file has three worksheets. The Survey Question asked for both journals and book series together, so not all of the titles are journals. Most of the journals came from the original columns DW to EW. Four sets of publications were possible. This data was "stacked" in a

single column so it could all be sorted together. The titles in orange are incomplete because they were taken from column FK which was sometimes used for additional general information instead of additional Open Access activities. (There are also a few titles or publishers included in file set 15, societies, which have not been incorporated.)

- The first worksheet "Journal Fac w Pubs" contains all of the publications reported in the survey, sorted by journal name. Some of the publisher names in column Q have been standardized; those in green were added during analysis when nothing had been entered. Column S for Publication Type has been added to allow sorting; "comm" is "commercial". Columns T and U are new columns added during analysis and are for "URL" and "OA?" respectively. Data was added if the title or publisher was verified during the analysis. Hidden columns V, W and X address SHERPA status. This was not collected uniformly but it has been retained in case it is needed.
  Distribution
  Columns E and F and hidden columns G, H and I contain personal information about the faculty member. The CIC will need to create separate files for each institution for this sheet.

- The second worksheet "Pubs Dupes Hidden" is a copy of sheet 1 again sorted by publication. Rows have been hidden so that each publication appears only one time. The most senior editor role was the one not hidden.
  Distribution
  Columns E and F and hidden columns G, H and I contain personal information about the faculty member. The CIC will need to create separate files for each institution for this sheet.

- The third worksheet "Faculty Details Removed" is a copy of sheet two with the personal details about faculty removed.
  Distribution
  All participating CIC institutions can receive this file.

- For LA only, the fourth worksheet "Unique Journals Chart" is table and chart representation of the totals by disciplines.
  Distribution
  All participating CIC institutions can receive this file.

Faculty Society Roles

15) CIC Env Scan Part II Lib Arts faculty society roles
15) CIC Env Scan Part II Soc Sci faculty society roles
15) CIC Env Scan Part II Sci faculty society roles
  Distribution
  Varies by worksheet (see notes below)

Each disciplinary group (liberal arts, social sciences, and sciences) has a separate file. Each file has three worksheets. The Survey Question asked for both publisher and society roles. Since these questions followed the questions for files 13 and 14, it was used primarily for societies. This data comes from the original columns EX to FE. Four sets of responses were possible. This data was "stacked" so it could all be sorted together. (A few titles or publishers included in the society column have not been incorporated into the files for Part 5 or 6.)

- The first sheet "Fac Societies" is sorted by K, Society Name, then Faculty Last E and Faculty First F. Hidden columns C and D have academic department and college. Hidden columns G and H have personal information about the faculty member.   New column I Soc # counts how many societies an individual faculty member reported. It has been retained in case it would be useful in compiling reports or individual institutions.
  Distribution
  Columns C and D and hidden columns G and H contain personal information about the faculty member. The CIC will need to create separate files for each institution for this sheet.

- The second sheet "Inst Fac Societies" sorts the data from sheet one by institution, discipline and faculty last name.
  Distribution
  Columns C and D and hidden columns G and H contain personal information about the faculty member. The CIC will need to create separate files for each institution for this sheet.

- The third worksheet "Inst Fac Removed" is a copy of sheet two with the personal details about faculty removed.
  Distribution
  All participating CIC institutions can receive this file.

- For LA only, the fourth worksheet "Unique Societies Chart" is table and chart representation of the totals by disciplines.
  Distribution
  All participating CIC institutions can receive this file.

Faculty Open Access Roles

16) CIC Env Scan Part II All Disciplines Open Access
16) CIC Env Scan Part II Lib Arts Faculty Open Access
16) CIC Env Scan Part II Lib Arts Faculty Open Access
16) CIC Env Scan Part II Lib Arts Faculty Open Access
Distribution
Varies by worksheet (see notes below)

Each disciplinary group (liberal arts, social sciences, and sciences) has a separate file. Each file has two worksheets. Both sheets include society roles and Open Access activity. As with file group 15, the Survey Question asked for both publishers and society roles. This data comes from the original columns EX to FE. Four sets of responses were possible but unlike group 15, the data has not been stacked and was hidden in columns I to P that can be viewed if needed. The activity was counted in added columns H and I. Added columns O and R show sums of Open Access activities. Columns S to X show the Responses to the six options for Open Access activities; this data was originally in columns FF to FK, or the last six columns of any of the Master files 1, 2 or 3. The last column, Y, is the one that was intended for additional OA activity but was often used as a catch-all for other comments. Comments not pertaining to Open Access have been removed and the activity recounted.

- The first file contains all of the summary sheets from the disciplinary files, and a master table. The table tallies information by individual disciplines and notes which institutions have faculty members with both Society Leadership and OA activities.

- In the disciplinary files, the first sheet "Society OR OA either" is sorted by I, Any society activity, then S, any OA activity, and last by B, discipline. Only columns E and F contain personal information about the faculty member. New columns H Soc # counts how many societies an individual faculty member reported. It has been retained in case it would be useful in compiling reports or individual institutions.

  Color is used in this file for several activities. The alternating green and turquoise in the Open Access activity columns made it easier to count OA activities. Purple was used for comments in the last column that do not pertain to OA. These have been adjusted in the activity count.
  Distribution
  Columns E and F contain personal information about the faculty member. The CIC will need to create separate files for each institution for this sheet.

- In the disciplinary files, the second sheet "society and OA both" contains the same information as sheet 1. The only difference is that rows for faculty that do not have both activities have been hidden.
  Distribution
  Columns E and F contain personal information about the faculty member. The CIC will need to create separate files for each institution for this sheet.

- In the disciplinary files, the third worksheet "OA Only and no Faculty" is a copy of sheet two sorted by F, OA any, then B, Discipline, then A Institution. Personal details about faculty in former columns E and F have been removed. In this sheet, comments in the last column that do not pertain to OA have been removed.
  Distribution
  All participating CIC institutions can receive this file.