**Appendix 1 - Surveys**

Open Access Journal Author Fee Survey

Cornell University

Thank you for taking the time to complete this survey. The purpose of this survey is to gauge the experience of Cornell and Syracuse University faculty in the astronomy, chemistry, engineering, mathematics and physics departments, with Open Access (OA) journals that assess author fees. For those who may be unfamiliar with the concept, Open Access (OA) publishing is an alternative model for publication, in which the financial support of journals is made the direct responsibility of research authors rather than of readers, libraries or institutions. Costs for publication are generally kept at a reasonable level, sometimes set on a sliding scale based on the resources of the would-be author (i.e. tenured authors are charged more than are students). Many authors are attracted to this model of publication, even though it means added costs for them, because it makes their work accessible to others for free. We will ask you to complete a 10-question online survey relating to your experience of paying author fees for OA journal publication. No personally identifying information will be collected or published as part of this survey. We anticipate that your participation in this survey represents no greater risk than everyday use of the internet. Participation in this study is voluntary and the participant may refuse to participate before the study begins, discontinue participation at any time, or answer “No opinion/don’t know” to any questions that may make him/her feel uncomfortable, with no penalty to him/her, with no effect on their academic standing, record, or relationship with the university or other organization or service that may be involved with the research. By completing the survey you are agreeing to participate in the research. The Cornell portion of this study is being conducted by librarian Jeremy Cusker, jpc27@cornell.edu, who may be contacted with any questions you may have.

Q1. To which department is your primary appointment?

o Applied Physics

o Astronomy

o Chemical and Biomolecular Engineering

o Chemistry

o Civil and Environmental Engineering

o Computer Science

o Earth and Atmospheric Science

o Electrical and Computer Engineering

o Materials Science and Engineering

o Mathematics

o Operations Research and Information Engineering

o Physics

o Statistics

o Other (please enter) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Q2. Which of the following is the best description of your current appointment or position?

o Tenured faculty

o Tenure-track

o Adjunct faculty

o Lecturer

o Researcher (non-tenure or -tenure-track; no current teaching responsibilities)

o Post-doctoral

o Emeritus

o Other (please enter) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Q3. Within the past 3 calendar years, have you ever paid author fees for publishing an article in an Open Access journal? (Do not include author fees paid to non-open access journals)

o Yes

o No

o Don't know

If No is selected, Skip to Q6

If Don't know is selected, Skip to Q6

Q4. Please give the names of one or more Open Access journals for which you have paid author fees.

Q5. What is the largest amount you have ever paid for an Author Fee?

o Less than $100

o Between $100 and $500

o Between $500 and $1000

o More than $1000

o Not sure/Don't know

Q6. Within the past 3 calendar years, have you ever decided against publishing in an Open Access journal because of a requirement that you pay author fees?

o Yes

o No

o No opinion / Not sure

Q7. Within the past 3 years, have you ever requested line-item funding for author fees for an Open Access journal from any of the following sources? (Check all that apply.)

o Grant application (NSF, NIH, etc.)

o Cornell Open Access Publication (COAP) fund

o Department or center funds

o Other source (please enter) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

o None

If equal to 0, skip to Q10

If None Is Selected, skip to Q10

Q8. If you requested such funding from any of the sources above, did you in fact receive such funding for author fees?

o Yes

o No

o Not sure/Don't know

If No is selected, skip to Q10

If Not sure/Don't know is selected, skip to Q10

Q9. What was the largest amount of the funding you received?

o Less than $100

o Between $100 and 500

o Between $500 and $1000

o More than $1000

o Not sure/Don't know

Q10. If a student, post-doc or other individual associated with you or your lab wished to publish in an Open Access journal, would you be willing to pay their author fees?

o Yes

o No

o Not sure/Don't know

Q11. Overall, do you have any opinions or feelings about the model of Open Access publishing that supports journals by the model of charging contributors author fees?

Q12. Would you recommend publication in Open Access journals to a colleague and/or student? If so or if not, for what reasons?

Open Access Journal Author Fee Survey

Syracuse University

Thank you for taking the time to complete this survey. The purpose of this survey is to gauge the experience of Cornell and Syracuse University faculty in the astronomy, chemistry, engineering, mathematics, and physics departments, with Open Access (OA) journals that assess author fees. We will ask you to complete a 10-question online survey relating to your experience of paying author fees for OA journal publication. No personally identifying information will be collected or published as part of this survey. Participation in this study is voluntary and the participant may refuse to participate before the study begins, discontinue participation at any time, or answer “No opinion/don’t know” to any questions that may make him/her feel uncomfortable, with no penalty to him/her, with no effect on their academic standing, record, or relationship with the university or other organization or service that may be involved with the research. By answering the questions in this survey, you are giving your consent to participation and to having your answers including the final publication. Survey respondents must be 18 years or older to participate. The Syracuse portion of this study is being conducted by Interim Associate Dean, Research and Scholarship Scott Warren, sawarr01@syr.edu, and Engineering and Computer Science Librarian, Anne Rauh, aerauh@syr.edu, who may be contacted with any questions you may have.

Q1. To which department is your primary appointment?

* Biomedical and Chemical Engineering
* Chemistry
* Civil and Environmental Engineering
* Earth Sciences
* Electrical Engineering and Computer Science
* Mathematics
* Mechanical and Aerospace Engineering
* Physics
* Other

If “other” is selected in Q1

Q2. Primary department affiliation:

Q3. Which of the following is the best description of your current appointment or position?

* Tenured faculty
* Tenure-track
* Non tenure-track faculty (research, teaching, professor of practice)
* Adjunct faculty
* Lecturer
* Post-doctoral
* Emeritus
* Other (please enter on next screen)

If “other” is selected in Q3

Q4. Current appointment type:

Q5. Within the past 3 calendar years, have you ever paid author fees for publishing an article in an Open Access journal?

* Yes
* No
* Don't know

If No is selected, skip to Q8

Q6. Please give the names of one or more Open Access journals for which you have paid author fees.

Q7. What is the largest amount you have ever paid for an Author Fee?

* Less than $100
* Between $100 and $500
* Between $500 and $1000
* More than $1000
* Not sure/Don't know

Q8. Within the past 3 calendar years, have you ever decided against publishing in an Open Access journal because of a requirement that you pay author fees?

* Yes
* No
* No opinion / Not sure

Q9. Within the past 3 years, have you ever requested line-item funding for author fees for an Open Access journal from any of the following sources? (Check all that apply.)

* Grant application (NSF, NIH, etc.)
* Department or center funds
* Other source (please enter on next screen)
* None

If “Other source” is selected

Q10. Source for requested line-item funding for Open Access journal:

Q11. If you requested such funding from any of the sources above, did you in fact receive such funding for author fees?

* Yes
* No
* Not sure/Don't know
* Did not request

If No is selected, skip to Q13

Q12. What was the largest amount of the funding you received?

* Less than $100
* Between $100 and 500
* Between $500 and $1000
* More than $1000
* Not sure/Don't know

Q13. If a student, post-doc or other individual associated with you or your lab wished to publish in an Open Access journal, would you be willing to pay their author fees?

* Yes
* No
* Not sure/Don't know

Q14. Overall, do you have any opinions or feelings about the model of Open Access publishing that supports journals by the model of charging contributors author fees?

Q15. Would you recommend publication in Open Access journals to junior colleagues and/or students? If so or if not, for what reasons?