



**THE ATTITUDES AND PERCEPTIONS OF ACADEMICS IN THE
COLLEGE OF HUMANITIES, SCHOOL OF SOCIAL SCIENCES (SSS)
TOWARDS OPEN ACCESS (OA) JOURNAL PUBLISHING AT THE
UNIVERSITY OF KWAZULU-NATAL**

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2024

DECLARATION

I, Nomusa Faith Magwaza declare that:

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The Bible declares give honour to whom honour is due: Romans 13 :7 (paraphrased). I give praise, honour and glory to the Almighty God who has travelled this journey with me.

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DEDICATION

I dedicate this work to my late Mother and Father who never received tertiary education, for channelling, sacrificing, and believing that education was key to the success and liberation of women.

LIST OF ACRONYMS AND ABBREVIATIONS

APC's	Article Processing Charges
BBB	Budapest, Bethesda, Berlin
BOAI	Budapest Open Access Initiative
DoHET	Department of Higher Education and Training
DOAJ	Directory of Open Access journals
DVC	Deputy Vice-Chancellor
Gold OA	Gold Open Access
Green OA	Green Open Access
HSS	Social Sciences and Humanities
IR	Institutional repository
LIS	Library and Information Studies
MIT	Massachusetts Institute of Technology
NIH	National Health Institute
NRF	National Research Foundation
OA	Open Access
OA2020	Open Access Project
OAI	Open Archive Initiative
OJS	Open Journal Systems
OSI	Open Access Society Institute
PPV	Pay Per View
ROAR	Registry of Open Access repositories
SANLiC	South African National Library and Information Consortium
SPSS	Statistical Package for the Social Sciences
SSS	School of Social Sciences
STEM	Science Technology Engineering and Mathematics
TAs	Transformational Agreements
UK	United Kingdom
US	United States
USAF	Universities of South Africa
KU	University of Kansas
UKZN	University of KwaZulu-Natal

ABSTRACT

The development of OA journal publishing has opened opportunities for the scholarly community to create, disseminate, and share knowledge beyond the confines of traditional subscription journals. However, the inception of OA journal publishing for the University of KwaZulu-Natal (UKZN) academic community is still at its infancy. There are several contributing factors such as lack of institutional drive to promote OA, lack of awareness and general misconceptions about OA journals such as poor quality, low impact factor, lack of peer review, amongst other reasons. OA journal publishing is not a new phenomenon. It dates back to the 1970's, and it has operated in parallel with the traditional subscription mode of publishing. The uptake of OA journal publishing has been more prevalent amongst the pure scientists, for example, physicists when compared with Social Scientists and the Humanities.

Thus, the objective of the study was to ascertain the attitudes and perceptions of academics in the School of Social Sciences towards OA journal publishing at the University of KwaZulu-Natal (UKZN). The study was guided by the following key questions: (1) What were the attitudes and perceptions of the Social Sciences academics towards OA journal publishing? (2) What was the level of awareness of OA journal publishing? (3) What were the challenges Social Sciences academics faced when publishing on OA platforms? (4) What strategies could be used to encourage Social Sciences academics to publish on OA platforms? and (5) Where were UKZN Social Sciences academics publishing their research? The study was informed by the attitude theory which is a branch of Social Psychology.

The main focus of the research study was to examine the factors leading to the non-participation by academics in OA activities at UKZN. The study unpacked the problems that academics encounter when publishing in OA journal platforms and recommended strategies to be adopted to support academics. The target population of the study is 42 academics in the School of Social Sciences at the University of KwaZulu-Natal. The study used a pragmatic paradigm as a lens in which to view the subject of OA journal publishing. The researcher employed mixed methods which included both a quantitative and qualitative methods approach. The study used questionnaires and semi-structured interviews as data collection tools. Analysis of data was achieved using a statistical software package and thematic analysis. To gain an in-depth understanding of the attitudes and perceptions of OA

publishing amongst the academics of the School of Social Sciences a comparison was drawn from each cluster using quantitative data analysis. Interviews were analysed using thematic content analysis.

The main results of the study indicated that academics were aware of OA publishing, and the benefits and disadvantages of OA as an alternative model of publishing. The study also revealed that academics understood the principle of knowledge sharing and dissemination as a public good. However, there was a lack of understanding of the economic and political dynamics of OA publishing. Strategies that supported and improved the knowledge academics have of OA publishing were highlighted. Such strategies included advocacy and capacity building, incentives schemes which may include funding, expansion of the exiting accredited OA journals base, and improved quality and archiving of OA journal articles in the UKZN institutional repository (ResearchSpace).

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CHAPTER ONE: INTRODUCTION TO THE STUDY

1.1 Introduction

The inception of the concept of OA journal publishing by University of KwaZulu-Natal (UKZN) lecturing staff is still in its infancy. There are various contributing factors such as lack of awareness amongst academic community and lack of institutional drive-in promoting OA (Gross & Ryan, 2015, p.67). The phrase ‘academic community’ in the study refers to academics in the School of Social Sciences (SSS). Even though the University Principal signed the Berlin Declaration in October 2012, statistics on the UKZN ResearchSpace (institutional repository) alluded to the lack of active participation by academic staff in uploading their research articles. Based on the studies conducted by international scholars, universities such as the Massachusetts Institute of Technology (MIT), Harvard, Stanford and the University of Kansas (KU), looked critically at the ever-narrowing gap of access to scholarly peer reviewed journals (Emmett et al., 2011). This realisation sparked questions such as “how do we faculty at this institution provide the widest possible access our work? Is there power in collective action, in a collective voice?” (Emmett et al., 2011, p. 558).

Like other industries, information delivery and access have evolved due to the development of the Internet and the Web (Laakso et al., 2011). Due to the competitive nature of scholarly publishing, other models of providing free online access to peer reviewed journals (OA) were developed (Emmett et al., 2011). OA journal publishing is one of the primary OA methods of “publishing in practice for delivering research results to the public free of charge” (Xia, 2010, p. 615). OA is seen as the only method that ensures dissemination of scholarship to the public free of charge. According to Laasko et al. (2011) the history of OA journal publishing can be divided into three phases “the Pioneering years (1993–1999), the Innovation years (2000–2004), and the Consolidation years (2005–2009)” (Laakso et al., 2011). The early forms of OA date back to the 1970s and during this period the journal *Scientist* dominated the scene (Harnad, 2010). According to Suber (2009) the early form of peer reviewed OA publishing in Social Sciences was a journal called *Psycology* which was launched by Stevan Harnad. By 2009, the Directory of OA Journals (www.doaj.org) listed a total of 4,220 OA journals titles in almost all fields (Xia, 2010). Today 12,000 OA journals are indexed with a coverage of all areas of Science, Technology, Medicine, Social Sciences and Humanities (www.doaj.org). It was noted that in the early stages of OA publishing there was no clear distinction between OA journals and subscription journals. This was partly because there were no clear policies, as a result

this impacted on the health of OA journal publishing (Xia, 2010). As technology advanced the OA movement also advanced which resulted in three models of OA namely; the Gold OA, Green OA and Hybrid OA. A well-known proponent of OA, Harnad (2010), clearly states that Green OA should be mandated in order to achieve worldwide recognition of OA.

1.2 Outline of the research problem

According to Babbie & Mouton (2016) every research starts with an idea which then is formulated into a research question. The study emanates from personal observation of the lack of participation by the academic community in the OA annual events. It was further observed that no matter how much events are advertised in the University notices, adverts sent directly to School Deans and administrators, the attendance remained poor. In coordinating OA events at the University of KwaZulu-Natal, the researcher observed that uptake over the years has remained unchanged. Secondly, the researcher's personal experience (Flick, 2011) through the United States (US) Carnegie Internship at the University of Kansas (KU) when compared with UKZN highlighted the active participation of academics in OA activities. UKZN has drafted a policy for the academic community to submit their research articles to its institutional repository (ResearchSpace). Lastly, the signing of the Berlin Declaration by the University in October 2012 confirmed the institutions' commitment to making its scholarly research accessible to other scholars across the globe through an OA platform. Further to this the UKZN Library launched a site for publishing OA journals. The website has been named as OA journals @UKZN. The launch of the site was a huge event that attracted journal editors, journal managers and postgraduate students. The launch was held in 2018. The keynote speakers of the event were the former DVC of Research, the former Dean of the School of Religion, Philosophy and Classics and Acting journal administrator from the UKZN Library. The participation of the DVC for Research, the School Dean and senior library officials showed an institutional commitment to promote OA publishing.

The study addressed the question of lack of participation by academics in OA events and reluctance to upload their research articles to the institutional repository (IR). The researcher sought to establish the level of awareness among the academic community on OA journal publishing as an alternative model. The major question addressed by the study was what are the attitudes and perceptions of the School of Social Sciences academics towards OA journal publishing. This was an empirical study which used both quantitative and qualitative methods.

1.2.1 The purpose of the study

The purpose of the study was to investigate the knowledge, attitudes, perceptions, experiences and use of OA publishing by academics in the School of Social Sciences at the University of KwaZulu-Natal. UKZN has committed itself to making scholarly research available to the global community. The UKZN Library Services created an OA journal publishing platform and has an institutional repository (ResearchSpace) to facilitate access to the institution's research. However, OA publishing is still in its infancy at UKZN and more research is needed about factors influencing academics' use of OA.

1.2.2 Key questions to be asked

The study was guided by the following research questions:

- What were the attitudes and perceptions of the Social Sciences academics towards OA journal publishing?
- What was the academics level of awareness of OA journal publishing?
- What were the challenges Social Sciences academics face when publishing on OA platforms?
- What strategies could be used to encourage Social Sciences academics to publish on OA platforms?
- Where were UKZN Social Sciences academics publishing their research?

1.3 Broader issues to be investigated

The broader issues to be examined by this research include the changing trends in scholarly communication and the factors that influence such changes. Amongst the number of factors examined in the study were those leading to non-participation of academics in OA activities at the University. Could it be lack of awareness of OA publishing as an alternative model that resulted in a lack of participation from Social Science academics? Part of the objective was to explore the changing trends in scholarly communication and the factors that influence such changes. The development of the Internet has enabled the proliferation of information and development of various formats in which scholarly knowledge can be distributed and shared. Due to this factor various scholars started to

examine different models in which information can be disseminated to support scholarship across geographical boundaries. The Internet has bridged the gap between the information haves and have-nots which was identified by authors such as William Wresch in his book titled: *Disconnected: and Have-Nots in the Information Age* (Wresch, 1996, p. 268). He further stated that information has economic value; it depends on who, and at what price will the information be available? The above statement clearly indicates that though sources of information and technology to facilitate retrieval exist, economic barriers still exist which seems to widen the gap of scholarly communication between the first world countries and the rest of the world.

It is against the above background that scholars began to investigate various models to facilitate quick access to information to enhance collaboration and research. According to Hoskins (2010, p. 62), in terms of the concept of the gift exchange economy, information is a commodity that is freely shared by scholars. However, in the process of sharing there are intermediaries that play a major role in how information and knowledge is disseminated among scholars such as libraries, and publishers. In the process of distribution of knowledge there emerged what is often referred to in the literature as the ‘serials crisis’ (Fullard, 2007; Harnad et al., 2004). In response to high journal costs and in the interest of information being a ‘public good,’ authors developed the alternative model of publishing their research without economic hindrance posed by traditional serials publication. The international community started mobilising researchers and institutions. Academic institutions such as University of Kansas, Harvard University in 2008 (Emmett et al., 2011) engaged their academics on the subject. UKZN was no exception to the awakening of OA. The University has thus signed the Berlin Declaration and drafted a policy that requires academics in the institution to commit to OA publishing (Buchanan, 2013).

1.4 Rationale for the study

The purpose of the study was to ascertain the perceptions, attitudes, and even experiences of academics in the School of Social Sciences, UKZN on OA journal publishing platforms. The aim was to unpack the concept of OA journal publishing that would be beneficial to UKZN as publishing and research are core businesses of the institution. The study embodies UKZN goal number one and number two entrenched in the mission and vision of the University which is to:

- “Achieve excellence in teaching and learning”

- “To achieve excellence and high impact in research, innovation and entrepreneurship” UKZN strategic plan 2023-2032 (University of KwaZulu-Natal, 2023).

The University’s engagement in OA journal publishing is not only an indication to the public but also a demonstration to UKZN graduates of the importance of knowledge generation, sharing, and provision of unhindered access to research. Researchers would not be able to achieve high impact in research if their research output, articles, books and so forth are hidden “behind paywalls” (Day et al., 2020). Lastly, the institutional policy states that the National Research Foundation, under the acceptance of grant conditions, stipulates that “data generated from..... become available to other researchers working in the same field” (Buchanan, 2013, p. 29). The study supports the goal and aligns itself with OA advocacy campaigns. Advocacy is aimed at alerting the academic community about OA as an alternative to the traditional publishing model which is often associated with high publication costs. The study would not contribute to any change of policy but instead heed the global call for making research accessible to all scholarly communities.

Studies addressing similar issues in Library and Information Studies (LIS) have been conducted by Wust (2006); Gul, Tariq Ahmad Shah, & Tariq Ahmad Baghwan (2010), Ellingford (2012), Sultan & Rafiq (2021) and many others. The methodology used in data gathering in most of these studies included questionnaires and interviews which were also conducted on a small scale for further probing of the topic. There are numerous discussions and debates on defining OA. Xia (2011) defines OA in terms of making scholarly research freely available on the public internet. Suber (2009) defines OA in terms of the three original definitions of OA known as The Budapest (February 2002), Bethesda (June 2003), and Berlin (October 2003). The three definitions are referred to as BBB. They all highlight the provision of public unrestricted, free access to scholarly research.

Literature on the history of OA equates the movement with the serials crisis of price increases in database subscriptions for university libraries (Fullard, 2007). Harnad et al. (2004) in their study of OA models pointed out that OA started in the 1970s with Computer Science. Authors provided OA to their research by self-archiving articles in ‘anonymous FTP archives’ (Harnad, 2010). There has been a global call in the history of scholarly communication to make research accessible. This led international universities such as Harvard University in 2008, the University of Kansas, and many others (Emmett et al., 2011) to join the movement. The University of KwaZulu-Natal drafted a policy

that requires the institution to commit to OA publishing in 2012 (Buchanan, 2013). The policy has now been approved and endorsed by the university Senate in 2022.

Other debates on OA journal publishing have been presented (Harnad, 2010). The debate states that if academic institutions adopt green OA first, then universal Green OA will make traditional journal subscriptions unsustainable. The institutions will be forced to cancel their subscriptions, this will make funding available to pay for Gold OA. Green OA means that the author can self-archive either preprint or post print at no cost provided the agreement has been reached between the author and publisher. Gold OA means that an author has to bear the cost of publishing usually paid for by the institution or funding agency. This model is often referred to as the author pay model. Linked to this debate is Gowers' weblog which sparked the Elsevier boycott by mathematicians known as the 'academic spring' which escalated to the Humanities and Social Sciences (Brienza, 2012). The literature on OA points to scientists as major proponents of the OA movement (Harnad et al., 2004). Studies done in South Africa by the likes of Fullard (2007) argued that academics in the Human Sciences and Social Sciences have invested in OA. Studies done by Swan (2006) and Swan and Brown (2004; 2006) indicated that some of the reasons why authors are not publishing in OA journals relate to a lack of awareness. This view runs throughout the literature on OA. Fullard (2007) stated that some misconceptions about OA journal publishing are related to low impact factor and smaller readership. However, all authors in her study indicated an interest in OA and that its perceived shortfalls could be remedied (Fullard, 2007, p. 41).

Although numerous studies have been conducted on OA and OA journal publishing there is a gap in the literature regarding Humanities scholars and their attitudes and perceptions towards OA journal publishing. South African scholars such as De Beer (2005), Hoskins (2010) and Möller (2006) did comprehensive studies on scholarly communication and OA issues in a broader context. What is the uptake of South Africa in the current debate on OA publishing? Universities of South Africa (USAF), the Academy of Science of South Africa (ASSAF), the Department of Higher Education and Training (DoHET), the National Research Foundation (NRF), and the South African National Library and Information Consortium (SANLiC) have been working on a National License for all database subscriptions for South Africa and the OA Project (OA2020). This led a delegation to represent South Africa on the 14th OA Conference which was held in Germany in 2018. In this conference, 37 participants from around the world decided to challenge the current status quo and advocate for complete OA to research publications. The OA2020 initiative advocates for researchers to 'pay to publish' and retain copyright rather than the pay to read model (Bawa, 2020).

The uniqueness of this proposed study is in its focus. This study examined the attitudes and perceptions of the School of Social Sciences academics as researchers and authors at the University of KwaZulu-Natal. OA is currently an important area of research and it will remain so for decades as publishers are resisting change in the publishing landscape. Studies undertaken on OA-published journal articles reveal that Gold OA seems to be the future of scholarly publishing. This view has been posited in studies such as those of Wray (2016), Gross & Ryan, (2015) and Rowley et al. (2017). Like any other publishing alternative, OA has its pitfall and challenges. In an isiZulu proverb ‘alikhho isoka elingenasici salo’ (no person is perfect), just like the subscription model which became unpredictable through exorbitant charges, OA has suffered severely from predatory publishers (Shyam, 2017). The release of Plan S implemented in 2021 meant to shake the landscape of scholarly communication. Plan S is a drive to make all scholarly publishing that is funded by public or private grants provided by national, regional, and international research councils and funding bodies immediately accessible without any barriers (Hawkes, 2019).

1.5 Definition of terms

For the study the following terms were defined as follows:

1.5.1 Academic staff and lecturers

In this study Academic staff and lecturers refers to teaching staff as well as researchers at the University of KwaZulu-Natal. In the university setting part of a lecturers/academics’ job profile is to conduct and publish research.

1.5.2 Authors

The researcher used the term author(s) to refer to academic staff, researchers, and lecturers involved in research and publishing.

1.5.3 Gold OA

Gold OA is a model where the author and/or funder pay article processing charges (APC’s).

1.5.4 Green OA

Green OA means self-archiving of the author's work; be it a manuscript, a pre-print version of a manuscript accepted to be published in a scientific journal, or the actual published paper itself." (Laakso et al., 2011).

1.5.5 Hybrid OA

Sometimes an author or the author's institution can pay for an article to be made freely available in an otherwise subscription-based journal. This is referred to as Hybrid OA" (Pelizzari, 2003).

1.5.6 Delayed OA

The term refers to articles published through the mode of open access and the publisher places an embargo on the published work for 6 to 12 months before it can be accessible free of charge.

1.5.7 Serial crises

Is a term used to describe the rising cost of journal subscriptions in libraries. (Czerniewicz & Goodier, 2014).

1.6 Theoretical framework

According to Terre Blanche & Durrheim (2014) planning a research project involves refining a research problem into a theoretical framework on which to base the research. Therefore a:

"theory is a statement or collection of statements that specify the relationships between variables to explain phenomena such as human behaviour (example, producing machines, organising an event, formulating a policy) in some or other population (universe)" (Welman et al., 2005).

The study had adopted the attitude theory as a framework in which to base the study. Attitude theory is a branch of Social Psychology used to understand people's behaviour and motivation (Trafimow, 2004). The researcher opted to use the attitude theory because the study attempts to measure the

effects of an individual's beliefs and how those beliefs have shaped the choice of publishing in a particular model for example the OA versus the subscription-based model. There are two types of attitude measuring scales; implicit and explicit scales. The study used the likert scale as this type of scale assisted in measuring explicit attitudes.

1.7 Limitations of the study

Data was collection for the study during the 2021 and 2022 Covid-19 period. Contact follow-up was not feasible as a result of the pandemic, therefore it was difficult to access all academics in the School. The study of OA journal publishing and its platforms is still a developing field of research in the history of journal publishing in South Africa. Academics have inherited the traditional subscription model; therefore, their responses might not reflect informed opinions about the subject matter. The College of Humanities is the largest college in the University of KwaZulu-Natal and it is therefore not possible to interview each lecturer, as a result, questionnaires were administered to a sample population of one of the 19 schools at the University of KwaZulu-Natal. The purpose of the study was therefore, to ascertain the attitudes and perceptions of the UKZN College of Humanities academics towards OA journal publishing. It is hoped that this study will improve OA advocacy initiatives undertaken by UKZN Library Services such as the International OA Week and OA journal publishing through the Online Journal Systems (OJS) platform at the institution. It is also hoped that the study will raise awareness among UKZN academics on the benefits of OA publishing. According to studies conducted by Rodriguez, (2014) and Rowley et al., (2017) on scholars' attitudes and behaviours toward Open-Access (Manchester Metropolitan University, United Kingdom) journal publishing, there was a concern regarding the peer review process and rapid publication. There was also a further concern about intellectual property with regard to the adaptation and reuse of academic work.

1.8 Summary of the chapter

Chapter One introduces the study and provides a synopsis of focus areas, key themes, and debates around OA publishing. It further presents the key research questions which the researcher intends to answer in the study. It also introduces the key concepts and their definitions as used in the study. In the literature review a brief history of the development of OA as a concept is provided. The impact

of the Berlin declaration, Budapest, Bethesda conferences on the development of the OA movement is outlined. The history also indicates how OA publishing evolved over the years and thus brought to the attention of scholars the need to investigate the changing landscape in scholarly publishing. The theoretical framework adopted by the study and its link to OA is provided along and the limitations of the study.

CHAPTER TWO: LITERATURE REVIEW

2.1 Introduction

The objective of the study was to ascertain the perceptions, attitudes and even experiences of academics towards publishing in OA journals. A literature review is an important element in the research process since it introduces the researcher to related studies on the topic. It also clarifies the topic of research and provides a much clearer and broader perspective of related issues on the topic. This assists the researcher in framing the research questions. It further assists the researcher to build on the existing body of knowledge. As Neuman, (2014, p. 126) points out “scientific research is a collective effort”. However, Burn (2000) warns that literature should not be used as a way of summarising previous work, but should rather stimulate a researcher to think about new findings from the study being investigated. Welman, et al., (2005) concur that a researcher should be able to clearly show how each study relates to other studies of similar interest and assist the researcher to identify the gaps in previous studies. The definition of OA and its origin will be discussed and how it is linked to the development of OA journal publishing. This chapter will also discuss arguments as presented in the literature on OA journal publishing in the Social Sciences and Humanities. In order to understand the history of OA publishing one would have to understand the role of scholar scientists in propagating the OA movement. The history of the development of OA journal publishing can be summarised in three distinct periods: the Pioneering years (1993-1999), the Innovation years (2000-2004), and the Consolidation years (2005-2009 to present) (Harnad, 2010).

There are various arguments on the impact of OA in shaping the landscape of research and scholarly publishing which this research presents. It will also discuss various studies that have been conducted on OA publishing broadly particularly by international and local scholars. It will further present an overview of various mandates taken by the international community in response to the ‘serial crises. The role of academic libraries and librarians in advocating OA and their contribution in the OA movement cannot be underestimated. Therefore, various perspectives taken by academic institutions in response to Hoskin’s (2010) comments on the serial crises and academic libraries in South Africa will be explored. A discussion on related studies to this research will also be explored. The theory underpinning the study is the theory of attitude. Although the theory is used by the Psychology discipline the researcher found it applicable to various aspects of the study.

2.2 The concept of OA publishing

Open access resonates with the idea that scholarly literature should be made freely accessible to the end-user through the medium of the internet. Price and Puddephatt (2015) cited Suber (2012) and Willinsky (2009) in contextualising OA as a social movement that attempts to free academic publications from access barriers (Price & Puddephatt, 2017, p.95).

According to Czerniewicz and Goodier (2014) OA came onto the scholar movement scene due to economic and democratic reasons. The economic reason being the increase of subscriptions to journals caused by the serial crises (Czerniewicz & Goodier, 2014). The democratic reason was the argument that publicly funded research must be made accessible. Although this research not exploring OA in general, it is imperative to provide a clear, detailed definition of the term OA to complement that provided in Chapter One. According to Wulf & Denbo, (2019) it is the term that has come to mean a set of policies about publishing, archiving and disseminating scholarship. It is a movement equated with making scholarly research freely accessible to both reader and researcher through the medium of the internet. According to Harnad (2010, p. 86) the term OA was first introduced by the Budapest OA Initiative (BOAI) in 2001. Even though the BOAI definition became the formal universal definition, Xia (2010) defined OA as making scholarly research freely available. Suber (2011, p. 6) defined it in terms of the three conferences that coined what the researcher refers to as the original definition also known as the BBB:

- The Budapest conference of February 2002;
- The Bethesda conference of June 2003; and
- The Berlin Declaration of October 2003.

It is also important to provide a clear distinction between OA and OA journal publishing even though the two almost coexisted around the same period of 1998 (Ellingford, 2012). The term OA as a philosophy preceded OA publishing whereas OA publishing is used to describe an alternative model of making scholarly research accessible free of charge to the end user. It is an alternative form of publishing to the traditional mode of the subscription-based model. OA journal publishing involves the two most important key role players; the publisher(s) and the authors. As discussed in Chapter One, three types of OA journal publishing models emerged providing free access to the reader; Green OA, Gold OA and Hybrid OA (Laakso et al., 2011). Green OA means that the author has some form of control over the copyright of their work and can upload the accepted preprint or post print to an institutional repository (IR). Gold OA requires that the “author has the gold that it required” to make

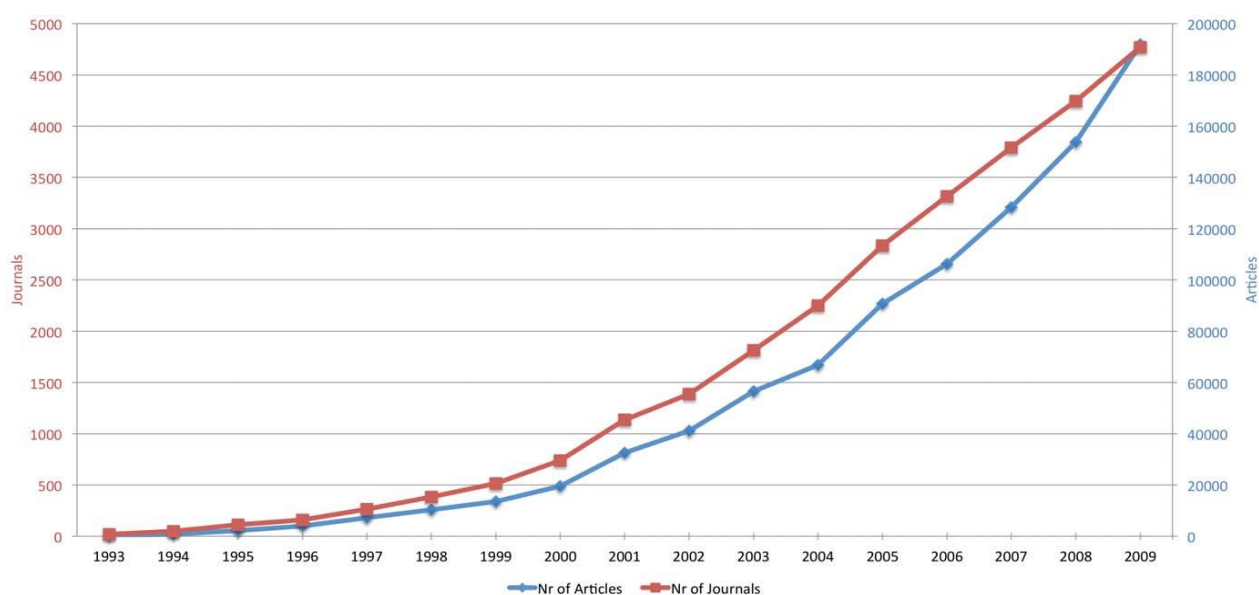
their work freely accessible to the end user/reader (Bonaccorso et al., 2014, p. 3) One of the pitfalls of Gold OA is, it promotes inequality between the haves and have nots. Therefore, Gold OA may not be the solution to access as it shifts the access barrier from the reader to the author (Bonaccorso et al., 2014). There are two types of Gold OA; Direct OA means access is immediately available after publication and Delayed OA refers to access after the embargo period has lapsed. The third mode of OA is referred to as Hybrid OA or ‘double dipping’. In the hybrid mode of OA an author can publish an article in a subscription journal and article processing charges will be paid by either the author or the institution (Laakso et al., 2011).

2. 3 The early stages of OA journal publishing

According to (Laakso et al., 2011) the history of OA journal publishing can be divided into three periods: the Pioneering years (1993-1999), the Innovation years (2000-2004), and the Consolidation years (2005-2009) as stated earlier. The internet (2000 -2004) introduced a new business model for OA journal publishing, the author-pay model. The author pay model was pioneered by BioMed Central which later was purchased by Springer in 2008. The innovation years were also marked by massive digitisations of printed journals through the use of services of High Wire Press. This was a very critical period because it marked a re-birth of OA advocacy, for example, The Budapest OA Initiative.

The Consolidation years were marked by the development of new infrastructure that supported OA publishing. In the very same period, there was a slight reduction of article volumes, however a 20% annual growth was maintained. The Directory of OA Journals (DOAJ) remained the authoritative index for all OA journals. It was during the same period that individual journals adopted Open Journal Systems software (OJS) a free software for publishing journals online. The developments within the OA model necessitated a regulatory body to ensure that quality standards are maintained, and the OA Scholarly Publishers Association came onto the scene.

Figure 2.1: The development of OA publishing 1993–2009



Source: Laasko et al., (2011, p. 6)

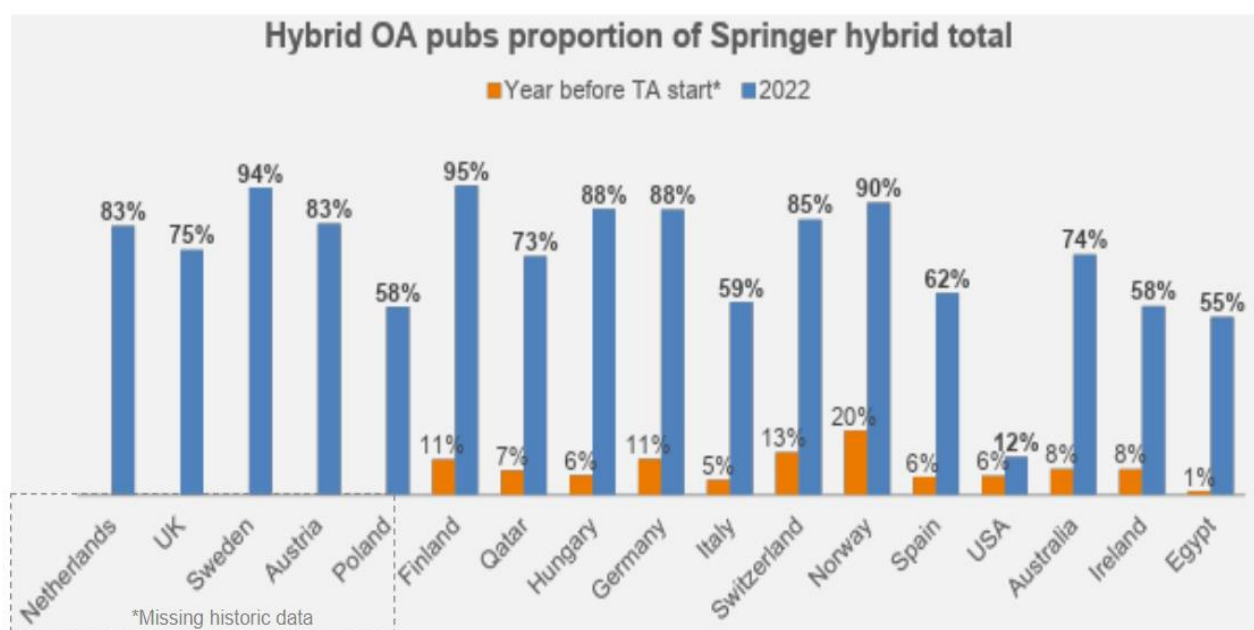


Figure 2.1a: The OA uptake: transformational agreements

Source: Kuhn, (2023, p. 23)

In contrast OA journal publishing has evolved over the years, new business models were developed to enhance the uptake of OA journal publishing. One of the developments in OA journal publishing which caused a major shift in OA is Transformational agreements (TAs). TAs have not just been implemented in the Global North, different countries of the world have adopted the model including academic institutions. The shift was propagated by major publishers including Springer nature. (Kuhn, 2023, p. 23). More discussion on TAs is covered in the following chapters.

Tracing the history of OA journal publishing poses a challenge, because of the lack of comprehensive indexing for both OA journals and their articles. According to (Laakso et al., 2011, p. 2) the situation only improved after the last decade, but the lack of article-level indexing was still a challenge for researchers. The term OA first originated from the Budapest OA Initiative (BOAI), sponsored by the OA Society Institute (OSI) in 2001 (Harnad, 2010, p. 86). It is however important to note that the early forms of OA started in the 1970s by mostly Computer Scientists. Their research papers were self-archived in 'anonymous FTP archives'. The early forms of OA which were run by Physicists and other related fields were accessed by 20,000 users and with 35,000 hits per day back then (Harnad, 2010, p. 86). The FTP's had over 200 new submissions per month. By 1991 Physicists were self-archiving their research papers in Arxiv (Harnad, 2010). Many other disciplines followed suite (Harnad, 2010). Harnad's (2010) 'Subversive Proposal' of 1994 became instrumental in propagating Green OA. It meant that all refereed journal articles must be freely accessible to all through the internet. The whole purpose of the 'Subversive Proposal' was to destabilise the current subscription model. It envisaged a strategy to cover the cost of publishing should Green OA make subscription unstable (Harnad, 2010). According to Harnad (2010) the first OA journals appeared in 1989. Most of these journals were either online versions of subscription journals or subsidised online-only journals.

The 'Subversive Proposal' of 1994 did not have much impact in revolutionising the publication industry and scholarly communication. The percentage of authors self-archiving remained between 15 to 20 percent of yearly peer reviewed research output. The provision of centralised archives like Arxiv for other disciplines for example, CogPrints for Cognitive Sciences) did not have an impact in raising the rate of OA journals. The Open Archive Initiative (OAI) of 1999 developed a metadata-tagging protocol which made all Open Archives interoperable. This initiative meant that all Open Archives would be able to 'talk' to each other thus depositing locally was equal to depositing centrally. This was followed by the invention of a free software (EPrints) by the University of Southampton. This initiative made it possible for other universities to create their own OAI-complaint Open Archives which soon came to be called institutional repositories (IRs). A Registry of OA Repositories (ROAR) was created and monitored by the University of Southampton in 2001. Again, though this initiative proved to be a positive move still 85% of researchers were not self-archiving and IRs remained empty. A number of studies documented the impact advantage of OA journals. An article was published in the *Nature* journal highlighting that OA articles were cited more than non-

OA articles. This sparked numerous studies on OA impact advantage not only in scientific fields but also in other scholarly fields (Harnad, 2010).

2.4 The role of academic libraries and funding agencies in OA journal publishing

Even though there was overwhelming evidence of more citations for OA articles this has not created motivation for self-archiving. This situation led to proposals to mandate OA. The first proposal came forth in 1998 in the American Scientist OA Forum. The proposal was that universities and funders should make self-archiving a requirement for all publicly funded research. The first mandate for OA self-archiving was in 2002 by the School of Electronics and Computer Science at Southampton University. Other university wide-wide OA mandate were adopted by Queensland University of Technology in Australia and University of Minho (Portugal) both in 2004 (Harnad, 2010).

The impact of Gower's blog (Tim Gower, Royal Society Research Professor of Cambridge University Department of Pure Mathematics and Mathematical Statistics) mobilised the OA movement amongst the academic community and universities. His blog later referred to as 'academic spring' rallied academics to boycott Elsevier's publishing for profit and its restrictive access policies. Academics signed an online petition to "refrain from publishing, refereeing, and /or editing Elsevier journals on an online petition" (Brienza, 2014, p. 160). The defiance which started as a grassroots, populist movement was joined by powerful institutions such as the Wellcome Trust, the United Kingdom (UK) Research Councils, and the Faculty Advisory Council of Harvard University (Brienza, 2012, p. 2).

What started as an expression of dissatisfaction with Elsevier's business model almost became a global OA movement amongst the academic community. This initiative started with mathematicians and escalated to other disciplines including the Humanities and Social Sciences. This became a springboard for the development of the international OA mandates by the UK Parliamentary Select Committee on Science and Technology and United States (US) House Appropriations Committee which led to a boom in OA journal publishing. Organisations such as the Wellcome Trust became the first research funder to mandate OA in 2005, followed by the Institute of National Health (NIH) in 2007 (Emmett et al., 2011). A number of international universities followed suit, for example, Harvard University's Faculty of Arts and Sciences. It was notable that Harvard's initiative had a ripple effect on other universities in the US. MIT, Stanford and University of Kansas introduced their own Faculty mandates. These mandates were works in progress, they did not have conclusive

guidelines on how the institutions were going to solve the problems of “ever-narrowing access to scholarly literature by focusing on open and public access to scholarly peer-reviewed journal articles” (Emmett, et al., 2011, p. 558). These institutions soon learnt that it ‘takes a village’ to implement a sustainable model of OA publishing. Ad-hoc committees were formed between Faculty and librarians to pave the road to university wide OA. Mandate policies were revised, guidelines were drafted, and surveys were also conducted on author awareness. The consultative processes finally paid off in that early 2009, University of Kansas (KU) became the first US public university to achieve an approved university-wide OA policy.

Universities in South Africa were not left behind in the awakening of the OA movement. UKZN’s milestone started in 2010 with the first International OA week event. The event was an initiative of the UKZN Library and was held at the Howard College campus E.G. Malherbe Main Library. The keynote speaker was Professor Ruth Hoskins from the Department of Information Studies Pietermaritzburg Campus. It was the beginning of a series of OA events on campus. This initial awareness culminated in 2012 with the signing of Berlin Declaration by the Principal, Professor Magalepuru W. Makgoba and the first draft of an OA policy for UKZN authors. Meanwhile other South African universities within the same year also became Berlin Declaration signatories. The National Research Foundation (NRF) of South Africa signed the Berlin Declaration in 2015. According to Orffer, (2019) OA gained momentum around the same period in South Africa. The NRF issued a statement on OA which encouraged institutions to start formulating OA policies for research funded by NRF (Orffer, 2019).

2.5 Related studies

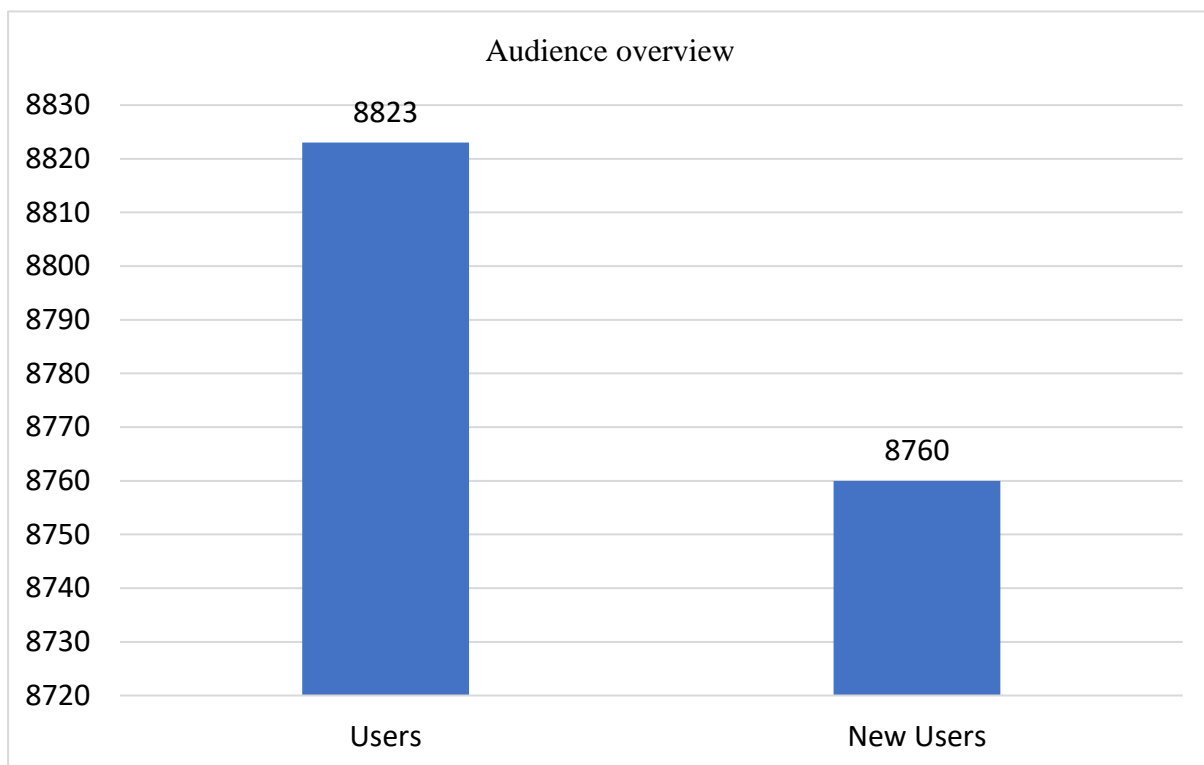
The advancement of scholarly communication coupled with limited library budget allocations for journal subscriptions prompted a closer look at maximising access to scholarly research. The problems faced by developing countries requires that immediate solutions should be found to overcome the challenges academic libraries face. One of the greatest human catastrophes has been HIV and AIDS for which no cure has been found. Today the world has faced the Covid -19 pandemic. The immediate access to information and clinical research will enable quick access to the latest research thereby providing solutions to the problems of humanity and the development of countries economic infrastructure.

The nature of scholarship requires that researchers should make their research accessible to a wider population to increase their citation impact. Citation impact is not only a motivating factor but researchers have a moral obligation to make their research accessible for the advancement of education and research. At the inception of the growing use of the Web before the 1990's, researchers were depending on mailing lists to share their research findings. The development of the internet has enabled researchers to collaborate with other researchers and share their research at lower distribution costs (Gargouri et al., 2010).

The growth of OA journals has been an interesting phenomenon for the scholars of OA. The earliest surveys documented were done in 1994 by Schaunders on the perceptions of authors (Xia, 2010). The analysis of the study indicated a steady increase in the number of researchers participating in OA journal publishing as well as an increase in awareness of the new mode of publishing. The study by Swan and Brown (2005) indicated that 90% of researchers would self-archive if their funding institutions mandated it, while over 80% of them indicated they would do so willingly (Swan & Brown, 2005). Authors also viewed OA journals to be faster to publish than traditional journals plus having a larger readership. On the contrary a study by Rowley et al., (2017) found that academics were not convinced that OA publishing offers greater visibility than publication in a subscription journal. The study by Swan and Brown (2005) again revealed authors' pre-conceived ideas that self-archiving was time consuming and that there might be technical difficulties in the process. This might be a valid point in academic institutions like UKZN where lecturers have huge student numbers and any additional task might be viewed as adding additional workload (Swan & Brown, 2005).

Some scholars such as Xia (2010, p. 215) developed an interest in the experiences, behaviors and attitudes of authors publishing in OA journals where it was observed that authors have been concerned with low prestige and lack of peer review process. Other studies such as those undertaken by Rodriguez (2014) conducted exploratory studies in the awareness on OA journals as an alternative platform for publishing one's research. The purpose of these studies was to gain a better understanding of authors' perceptions and concerns regarding OA journal publishing. A better understanding of authors' behaviors and attitudes would assist institutions and librarians to improve their strategies in promoting OA publishing and also improve IR advocacy to academics to deposit their research. UKZN launched the Openjournals@ukzn.ac.za site in 2018. Since the launch there has been limited uptake by academics particularly in the Social Sciences in publishing journals on

this platform. On the contrary there was a steady increase in the usage stats of the journals that were hosted on the platform. Figure 2.2 below indicates the growth of users visiting the site since the site was launched in 2018. The following journals are publishing on the UKZN OA platform: *African Journal of Governance & Development*, *Alternation*, *Journal of Education*, *Humanities in the Global South*, *Journal for the Study of Religion*, *Journal of the International Society for Telemedicine and eHealth*, *International Journal for Indian Studies*, and *Skills at work and South African Journal of Chemistry*.



- **Users-** The number of users who visited the journal during the stated period
- **New users-** The number of new users who visited the journals during stated period

Figure 2.2: UKZN open journals audience overview

Source: UKZN library report (2019)

The following journals were accessed online from the period the site became active on the UKZN Library website:

- *Alternation*;
- *African Journal of Governance*;
- *Journal of Education*;

- *Journal of the International Society for Telemedicine and eHealth*’
- *International Journal for Indian Studies*;
- *Skills at work*;
- *South African Journal of Chemistry*; and
- *Humanities in the Global South*.

According to studies by Rodriguez & Julia (2014) and Rowley (2017) on academics’ attitudes and behaviours toward journal publishing (Manchester Metropolitan University, UK), academics were willing to migrate to any publishing model that would have high impact, was rigorously refereed and of good reputation. There was also a concern about intellectual property. It was also noted that concerns relating to the adaptation and reuse of OA licenced material differs from discipline to discipline, for example, Science, Technology, Engineering and Mathematics (STEM) and Human and Social Sciences disciplines.

While there are numerous debates on the impact of OA publishing globally, few studies have examined the attitudes and perceptions of academics in the Humanities and Social Sciences. This study sought to address this gap by surveying the academics in the Social Sciences. The literature surveyed by Nicholas et al. (2015) quoted by Rowley, et al. (2017) indicated that authors had limited knowledge of OA and others were suspicious of it as a mode of publishing. It is hoped that this current study will assist in demystifying some of the pertinent issues surrounding OA journal publishing.

Other international studies addressing similar issues in Library and Information Studies (LIS) have been conducted by Wust (2006), Gul et al., (2010), Ellingford (2012), Peekhaus, (2016), and Dalton, (2020), amongst others. Although numerous studies have been conducted on OA and OA journal publishing there is a gap in the literature regarding Humanities and Social Science scholars and their attitude and perceptions towards OA journal publishing. The gap according to Rodriguez (2014, p. 605) is that academics are not motivated to change their publishing culture due to ingrained habits and institutional culture. The UKZN Research Office does to some extent contribute to the changing of institutional culture and biases that comes with the traditional subscription model. The institution made limited funding of +-R4,000 and has increased the amount over the years to R15000 to cover APC’s for OA journals. Over and above this, the Library has been participating in the South African National Library Consortium (SANLiC) for 4 years since April 2020. The terms of the

transformational agreement states that authors of participating institutions will publish in hybrid OA journals free of charge.

2.5.1 Advantages of hybrid OA publishing

Wiley (2023) publishers have cited the following benefits of publishing in hybrid journals:

- High visibility – all articles are immediately, freely available online;
- Easy compliance with open access mandates with Creative Commons licenses;
- Reuse and immediate deposit of final article in any website or repository;
- Copyright retention – scholars retain the copyright for your article at all times;
- Automatic export to PubMed Central/Europe PubMed Central (PMC) when appropriate; and
- High-quality and authoritative publishing standards with rigorous peer-review (Wiley, 2023, p. 1873).

South African scholars such as De Beer, (2005) and Hoskins (2010), undertook comprehensive studies on scholarly communication and OA issues. A case study done by Czerniewicz and Goodier (2014) examined researchers in the African and South Africa context who faced serious challenges in access to research. The situation was worse with researchers that were not affiliated to academic institutions and research institutions. The challenges were exacerbated by the rand and dollar exchange rate and ingrained inequalities between the global north and south. Some of the titles that are available through the North American publishers are not available to South Africa. During the time of the Covid-19 pandemic, inequality between the first world and developing countries was highlighted. When South African academic librarians were putting through online academic prescribed material some titles were not accessible to African countries.

The concept of information as a commodity was highlighted by Hoskins (2010), access is controlled by those who can afford to access such information. This point became a reality during the beginning of the Covid-19 pandemic in 2020. UKZN is structured on a College model with four Colleges each comprised of different schools. The Library usually allocates 1 million Rands for the Library book budget in each College. However, in 2020 this was not the case, the 1 million Rand which was budgeted for had to be reduced to 9 hundred thousand Rands due to the high cost of electronic books

coupled with increased database subscriptions. Major databases subscriptions such as Wiley and Science-Direct had to be cancelled.

As a result of the factors stated above, access to the print academic reserve collection at UKZN became an issue as libraries were closed due to compliance with the government lockdown regulations. During this period the UKZN Library placed emphasis on purchasing ebooks only. Print books were still purchased a smaller scale only where e-format was not available or easily accessible. This was an enormous challenge, including the fact that much South African content was not available in e-format or only available through subscription. Each College had to contribute hundreds of thousands of Rands towards Pay Per View (PPV) articles. This meant that four hundred thousand had to be reallocated to purchase PPV articles. PPV is a service offered by the UKZN Library to purchase single journal articles which the Library does not have access to through subscription and also not available from other libraries through Interlibrary loans. These challenges attest to the restrictive nature of scholarly communication under the subscription-based model. The potential benefits of OA journal publishing became a reality during the Covid-19 pandemic. According to Tavernier (2020, para. 4) “the free flow of information is the best treatment for the coronavirus outbreak”.

2.6 Current debates on OA publishing

According to McGuigan & Russell, (2008) OA as an alternative publishing model has gained momentum in the scholarly publishing landscape. It can no longer be resisted by publishers as the affordability of journals has been negatively affected by the global economic crisis

A clear distinction between the Social Sciences and Humanities OA publishing model versus the STEM (Sciences) publishing model was pointed out by Mandler (2014). Mandler (2014) and (Wulf & Denbo, 2019) point out that Humanities researchers publish mostly in books and it is more costly to produce a book in OA format than to publish a scientific journal. The differences therefore rest in the fact that the most important works in Humanities do not appear in journals but in books. OA costs for scientific journal articles could be easily absorbed as they often have larger budgets to cover the cost of commissioned materials. Humanities journals cost more to publish because they require more editorial work and are labour intensive. According to Wulf & Denbo (2019, para. 9) “OA policies often disadvantage early career or non-affiliated researchers without substantial funders or

institutional backing”. Although this study is not a comparative study of Humanities and Social Sciences and STEM OA publishing models, it is important that OA publishing models should take a holistic approach in designing a model that will work for both of these fields in academic institutions.

In terms of South Africa and the current debates on OA publishing, the South African Board of Universities known as USAF was mandated to negotiate for a national site license for the OA Project in 2020. USAF, the Academy of Science of South Africa (ASSAF), Department of Higher Education and Training (DoHET), National Research Foundation (NRF), and South African National Library and Information Consortium (SANLiC) have been working on the National License for all Database subscription for South Africa. The OA Project (OA2020) led a delegation to represent South Africa at the 14th Berlin Open Access conference aligning strategies to enable Open Access held Berlin, on 3 to 4 December 2018. which was held in Germany. At this conference 37 participants from around the world took a decision to challenge the current status quo and advocate for complete OA to research publications. It was at the same conference where Sweden cancelled its contract with Elsevier to put pressure on negotiating for ‘pay-to-publish’ and abandoning the current model of ‘pay-to-read’. All 37 participants from around the world declared their commitment to the full and complete transition to OA (Bawa, 2018). A consensus was reached by all 37 delegates and announced on the 4th of December with the following resolutions:

- “We are all committed to authors retaining their copyrights;
- We are committed to complete and immediate OA;
- We are all committed to accelerating the process of OA through transformative agreements that are temporary and transitional, with a shift to full OA in a very few years” (Bawa, 2018, p.12).

As discussed earlier, OA is currently an important area of research in scholarly communication. Studies undertaken on OA published journal articles reveal that Gold OA seems to be the future of scholarly publishing. The success of Gold OA is linked to the large support from funding agencies. From Harnad’s (2010) perspective Green OA was going to be a sure pathway to achieving OA. As mentioned earlier the introduction of mandate policies by major research organisations such as the Wellcome Trust, National Institute of Health in the US and other organisations altered the landscape of research dissemination. OA publishing under the European initiative by cOAlition S Plan S was implemented in 2021 to shake the scholarly communication ecosystem. Plan S is a drive to make all scholarly publications funded by public or private grants provided by national, regional and

international research councils and funding bodies immediately accessible without any barriers (Hawkes, 2019). OA under the Plan S seemed to address inequalities between the global North and South. Researchers in poor countries would pay reduced fees for publishing. However, researchers not affiliated to funding agencies in developed countries would be excluded from reduced fees (Hawkes, 2019).

OA publishing has garnered a lot of interest in the scholarly community due to the evolving nature of the publishing industry. Studies are continually undertaken to explore the development of OA. The different modes of publishing scholarly information are enabled by digital technologies and the demand of quick access to research. Scholars have studied the awareness and behaviours of authors towards OA publishing in different disciplines such as the Humanities OA publishing practises highlighted by Beals (2013). This study identified a gap in attitudes and behaviours of Social Scientists towards OA publishing (Rodriguez, 2014).

2.7 Theoretical framework

According to Welman, et al. (2005) a research project is associated to a specific theory upon which to base the study. Therefore, a theory is:

“a statement or collection of statements that specify the relationships between variables with a view to explaining phenomena such as human behaviour (example, producing machines, organising an event, formulating a policy) in some or other population (universe)” (Welman, et al. 2005, p. 21).

According to Terre Blanche et al., (2014) planning a research project involves refining a research problem into a theoretical framework in which to base the research. In this chapter the concept of attitude and perception will be explored. This section will further discuss briefly the history of the attitude theory and related theories, concepts and how prior disposition influences the attitude object. Knowledge as a concept is a key determinant that guides the attitude towards an object. The attitude theory will be defined and how it relates to the research project. The study has adopted it as the framework that underpins the study. Its application to the research project will be explored as well as the correlation between attitude, perception and human behaviour.

2.7.1 The attitude theory

The attitude theory originated in the US in the twentieth century. Until the 1960's the following theories dominated the scene: dissonance theory (Festinger 1957), balance theory (Heider 1958), and social judgment theory (also referred to as assimilation and contrast theory (Sherif and Hovland, 1961). These theories were referred to as consistency theories. They shared a basic assumption that people strive for consistency. They all had a belief system that people achieve consistency between their cognitions, affective experiences, and behaviour. Around the same period a family of attitude theories emerged; these were referred to as multiattribute theories of motivation. The most well-known multiattribute theories were Martin Fishbein's multi-attribute model, planned behavior (Ajzen 1991) and the theories of reasoned action (Fishbein and Ajzen 1975). Generally, most multiattribute theories lack flexibility in that they were static and structure orientated. Whereas the theories of reasoned action and planned behaviour take a step further and attempt to describe how people's belief about, and evaluations of, the outcomes of behaviours motivate intentions and actions. Contemporary attitude theories are generic in approach focusing on attitude formation, change, cognitive representation and relationship with other psychological processes such as motivation, perception and behaviour. Although attitudes cannot be observed, they are however measurable. There are two types of measuring scales; implicit attitude which is measured by an implicit association test and explicit attitude usually measured by semantic differential scales such as a likert scale and thunder scales. This study used the likert scale in its attempt to measure the results of the reasoning system which was in keeping with Sage (2021, p. 4).

According to Sage (2021) attitude theory is a branch of psychology that studies how people evaluate the attitude object. An attitude can be defined as a person's tendency to evaluate an object as positive or negative.

“Attitudes held by people who possess high levels of knowledge of an issue tend to be better predictors of subsequent behaviours than attitudes accompanied by low levels of knowledge.

“Attitudes cause us to behave in a particular way toward an object or person” (Brooks & Warren, 2018, p. 43).

According to Brooks & Warren (2018, p. 1) “There is evidence that prior knowledge moderates the relationship between attitudes and behaviours by two processes: (1) accessibility and (2) stability, or strength”. Thus, attitude theory has been used extensively in Social Psychology to understand the

relationship between people's actions and attitude. Brooks and Warren, (2018) quoted Eagle and Chaiken (1993) who defines attitude as a psychological tendency (that is, a state internal to a person) that is expressed by evaluating a particular object with some degree of favour or disfavour. (Ajzen, (1993, p.41) concurs with this definition in the attitude theory that "An attitude is an individual's disposition to react with a certain degree of favorableness or unfavorableness to an object, behaviour, person, institution, or event - or to any other discriminable aspect of the individual's world."

According to Brooks & Warren (2018) knowledge as a concept is the key determinant that guides the attitude object. Brooks & Warren (2018, p. 3) define "knowledge as the amount of information about an object, in memory, and associated with a person's attitude towards it...". For the purposes of this study the concepts knowledge and awareness will be used interchangeably. A person's knowledge about an object of research is associated with their attitude towards it, for example, academics' knowledge or lack of knowledge about OA publishing determines acceptance or disfavour. One of the concepts that the study investigated was the concept of OA publishing at UKZN as an alternative to the traditional publishing model. One of the key questions the study sought to answer was the level of awareness towards academics in the School of Social Sciences had of OA journal publishing. Awareness about something is associated with the knowledge of the existence of a phenomenon. The 'awareness factor' could result in either a negative or positive attitude towards OA publishing, in the case of the current study. Brooks & Warren, (2018, p. 3) argue that "high levels of knowledge increase attitude strength, and strong attitudes tend to guide behaviours more than weak attitudes because strong attitudes are resistant in the face of new information".

The traditional model of publishing and the knowledge thereof has been in existence for centuries, whereas OA model of publishing is relatively new. Academics that are seasoned researchers are likely to resist change to something new as publishing is a core business in research universities. Therefore, they are likely to reject OA publishing model or treat it with suspicion or caution.

2.7.2 Attitude formation

An attitude can be formed, measured and changed. An attitude is learned through knowledge, experience, behaviour, and modelling and so forth.

"Attitudes influence our decisions, guide our behaviour, and impact what we selectively remember (not always the same as what we hear). Attitudes come in different strengths, and

like most things that are learned or influenced through experience, they can be measured and they can be changed” (Pickens, 2005, p. 47-48).

Attitude can be changed by addressing the cognitive component of the mind. This includes learn, unlearn and relearn processes. Attitude transformation requires one to present new information that will convince a person that there is benefit or value in taking a certain course/direction. In terms of the present study the UKZN Library would have to convince the Social Science academics of changing from the traditional journal publishing module to OA journal publishing. The process of addressing an attitude with a view to change it requires time, effort, and persistence according to (Pickens, 2005).

2.7.3 The attitude-behaviour relationship

There is correlation between attitude and behaviour, the latter being influenced by attitude, and attitude as ‘influencer’ according to Brooks & Warren (2018). The object of attitude can be measurable, and the degree can be determined by the age, publishing experience, level in career, a journal’s reputation, and so forth of the Social Science academics. For example, there is a need for dialogue between the authors of intellectual property, research institutions and publishers. Publishers have dominated access to scholarly publications for years at the expense of an unsuspecting academic community and libraries. Copyright should no longer be transferred to the publisher by authors.

Authors should decide the terms of how their works/intellectual property will be disseminated without any fear of publishing restrictions, or publishing rights. Younger researchers could have a positive attitude towards OA publishing because it enhances the visibility and discoverability of their research on search engines such as Google as well as social media, therefore it could be seen to have lasting benefits for career growth and tenure (Wray, 2016). On the contrary the study conducted by Zhu (2017) found that early career researchers were least likely to publish in OA journals due to high article processing costs. The scholarly mode of publishing and making research accessible involves a number of models used by the global community such as hybrid OA, Gold OA and Green OA. The adoption of any models depends on one’s attitude towards such a model which in turn is determined by knowledge and or awareness. It is noted that all models of OA have one goal which is to provide free online access to peer reviewed journal articles and in some cases monographs and dissertations.

The hierarchical model of attitude as seen in Figure 2.3 indicates the role of the three components of attitude formation which are cognition, affect and conation. Ajzen, (1993, p. 43) notes that “In this model, the three components are defined independently and yet comprise, at a higher level of abstraction, the single construct of attitude”. Although the attitude is not observable but the results of negative or positive inclination can be measured by both verbal and nonverbal reactions, Ajzen, (1993) posits that attitude is a latent variable that can be detected by the presence of cognitive, affective, and conative reactions and these reactions are observable. Pickens (2005) concurs that attitude includes three important components: (1) an affect (a feeling), (2) cognition (a thought or belief), and (3) behaviour (an action). These three components help us to observe the attitude from a person or towards an object. He further states that although “the feeling and belief components of attitudes are internal to a person, we can view a person’s attitude from his or her resulting behaviour” (Pickens 2005, p.44). Therefore, the current study’s aim to investigate the attitude and perception of the School of Social Science academics towards OA journal publishing.

For example, negative attitudes of authors towards OA publishing cannot be seen by merely observing them. However, if one conducts a study of research output at UKZN one would be able to draw conclusions based on collected data on the School of Social Sciences academics attitudes towards OA journal.

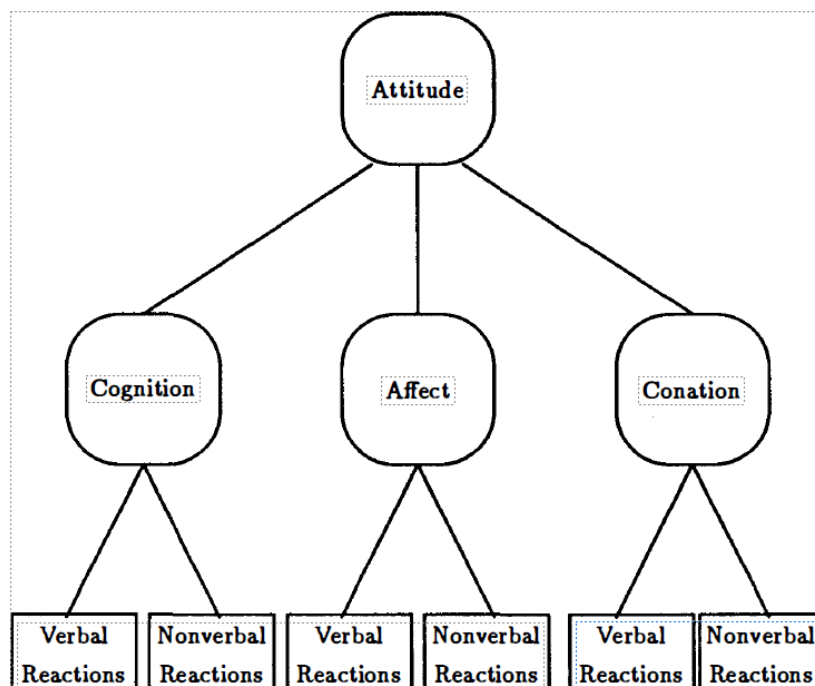


Figure 2.3: Hierarchical Model of Attitude

Source: Ajzen (1993)

As seen in Figure 2.3 the expectancy value model and hierarchical conception of attitude suggest that there is a correlation between favourable or unfavourable implicit evaluative reactions towards the attitude object in the case of the current study OA. Different people's experiences and one's belief system when combined can form an attitude towards the object, in this case OA journal publishing. For example, predatory publishers have tainted the credibility of OA journals (Shyam, 2017). The attitude formation can manifest for a long time and across varied situations according to Ajzen, (1993). In terms of OA publishing being considered favourably or unfavourably by academics depends on the reaction amongst the academic community which emanates from previous experiences with the subscription-based model. The subscription model has developed its reputation over decades. Another important consideration in relation to one's experience is the age factor which was mentioned earlier. According to Rodriguez's (2014) study, younger researchers indicated a higher percentage of publishing in OA journals. The most commonly used model in providing access to institutional research is self-archiving known as Green OA. This model is supported by two well-known software programmes such as EPrints and Dspace. The software enables the author to self-archive by uploading material which in turn improves access to research and information sharing.

2.7.4 Perception

Attitudes and perceptions are related but are not the same. Lindsay & Norman (1977) quoted by Pickens (2005, p. 52) define "Perception as the process by which organisms interpret and organise sensation to produce a meaningful experience of the world". Pickens (2005, p. 52) further notes that "...the person interprets the stimuli into something meaningful to him or her based on prior experiences". Looking at OA publishing, academics might have positive or negative feedback about it based on prior experiences, beliefs, and so forth. Such a perception could be associated with poor quality, lack of rigorous peer review process, and so forth. Like attitude, perception is influenced by existing beliefs. Perception is a tool that can assist in understanding human behaviour. However, a person's perception and interpretation may be different from the reality. There are four stages that precede the perception process. They are stimulation, registration, organisation, and interpretation. Perception is a psychological and physiological process according to Pickens (2005). A person's awareness and acceptance of stimuli play an important role in the perception process. Receptiveness to the stimuli is highly selective and may be limited by a person's existing beliefs, attitude, motivation, and personality (Assael, 1995). Individuals will select the stimuli that satisfy their

immediate needs (perceptual vigilance) and may disregard stimuli that may cause psychological anxiety (perceptual defence) as viewed in Figure 2.4 below.

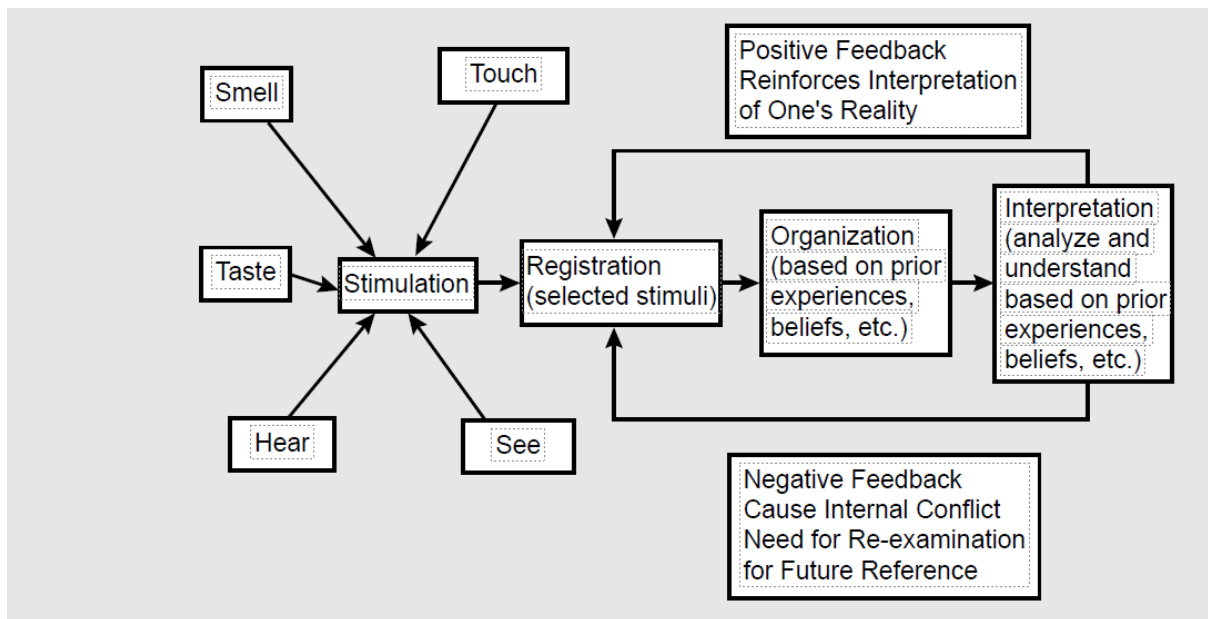


Figure 2.4: Perception Processing system

Source: Pickens (2005)

2.8 Summary of the chapter

To contextualise the chapter, relevant studies relating to OA journal publishing were discussed. Important terminologies that provide background to the study such as OA and OA publishing are defined followed by a distinction between OA and OA publishing. The history and development of OA and the different stages of the OA movement was explored. Publishing and the role of the academic community and funding agencies in setting the OA agenda were outlined. The literature further revealed the gap in the studies on OA journal publishing in the Social Sciences and Humanities.

The review of literature helped to put into context related studies on OA publishing and attitudes and perspectives of authors towards OA publishing. The current debates on OA and the context of South Africa in the OA movement was also presented. The theoretical framework that underpins the study was discussed at length. A clear distinction between attitude and perception was explored. The next chapter will discuss the research methodology adopted by the study including the paradigm which guides the study.

CHAPTER THREE: RESEARCH METHODOLOGY

3.1 Introduction

This chapter discusses the research methodology employed to investigate the attitudes and perception of academics towards OA publishing at UKZN in the School of Social Sciences. For any successful research there are two important concepts: research methods and research methodology. It is important to make a clear distinction between these concepts. Mchunu (2019, p. 29) cited Maphoto's (2016) definition of research methodology as a process of explaining in detail how the study will be carried out and techniques used. It is a section of a research paper or project that provides the layout and justification for the methods that are used in the study. Goundar (2012, p. 19) concur in his statement, "the procedures by which researchers go about their work of describing, explaining and predicting phenomena are called research methodology". Rehman and Alharthi (2016, p. 52) succinctly define methodology as

"it guides the researcher in deciding what type of data is required for a study and which data collection tools will be most appropriate for the purpose of his/her study. It is the methodological question that leads the researcher to ask how the world should be studied".

On the other hand, research methods involve the use of various procedures, such as experiments that are measurable and assist the researcher to approve or disapprove hypothesis. However, it must be noted that no formulation of a hypothesis was required for this study. This chapter discusses various aspects of research methodology applied in this particular study. These will include research paradigm, methods, sampling methods, the population, data collection methods, analysis of data collected, and the reliability and validity of the method.

3.2 Research paradigm

According to Maree (2010, p. 47), a paradigm is defined as a "set of assumptions or beliefs about fundamental aspects of reality which gives rise to a particular world view". Neuman (2014, p.6) defines a paradigm as "a general organising framework for theory and research that includes basic assumptions, key issues, models of quality research, and methods for seeking answers". Kumar (2011, p. 14) warns that whatever paradigm the researcher adopts, it is important to adhere to certain

values in order to control bias and maintain objectivity throughout the research process until conclusions are drawn. He further warns that “it is the purpose of the research for which a research is undertaken that determines the mode of enquiry, hence paradigm” (Kumar, 2011, p. 14). This study adopted a pragmatist paradigm as a method advocated for social research (Morgan, 2014) in which to base the study. Pragmatic paradigm gives the researcher liberty and flexibility in choosing the methods and adapting them according to the research inquiry being conducted. Although other paradigms like the positivist ones lend themselves to both quantitative and qualitative research as Kumar (2011) stated, the researcher adopted the pragmatic paradigm as an appropriate framework for understanding and “solving practical problems in the ‘real world’ (Yvonne Feilzer, 2010, p. 8). Tashakkori and Teddlie (1998) as cited in Kaushik and Walsh (2019, p. 2) stated that “pragmatism is based on the proposition that researchers should use the philosophical and/or methodological approach that works best for the particular research problem that is being investigated.” According to Tapfuma (2016, p. 150) “in this worldview, the researcher is not constrained by the prescriptive nature of positivism and constructivism, but has flexibility of selecting methods, techniques and procedures for research that will help the researcher to find out what s/she wants to know.”

According to Kaushik & Walsh (2019) the pragmatist philosophy holds that human actions can never be separated from the past experiences and from the beliefs that have originated from those experiences. Human thoughts are thus intrinsically linked to action. The researcher chose this method because the study in question examined the attitudes and perceptions of academics towards OA journal publishing. The decision to publish in a particular mode is based on an academic’s predisposition. Could it be that there was a lack of awareness or exposure to other alternatives for the Social Science academics? Could it be the belief system inherent in the academics’ thoughts and beliefs that associate OA with predatory publishing? According to Maree (2010, p. 47), a paradigm is defined as a “set of assumptions or beliefs about fundamental aspects of reality which gives rise to a particular world view”. Perera (2018) cited Kuhn’s (1970) definition of a research paradigm as “the set of common beliefs and agreements shared between scientist. about how problems should be understood and addressed.”

Kumar (2011, p. 14) states that whatever paradigm the researcher adopts it is important to adhere to certain values in order to control bias and maintain objectivity throughout the research process until conclusions are drawn. He further warns that “it is the purpose of the research for which a research is undertaken that determines the mode of enquiry, hence paradigm” (Kumar, 2011, p. 14). This study adopted a pragmatist paradigm as a lens, it allowed the researcher to use different methods to address

the research question, its focus is in finding solutions to human problems without being prescriptive about the adoption of one single research method. Tapfuma (2016, p. 150) suggested that the researcher is not constrained by the prescriptive nature of positivism and constructivism, but has the flexibility of selecting methods, techniques and procedures of research that will help the researcher to find out what s/he wants to know (Maxcy, 2003).

3.2.1 Research design

Kumar (2011, p. 49) defines research design as “a plan, structure and strategy of investigation so concerned as to obtain answers to research questions or problems”. It is a detailed blueprint of the ‘what, how, where, why and the who of the investigation. It is the purpose of the research that guides the researcher to decide on the elements to be included in the study and such elements include collection and analysis of data. The researcher adopted the pragmatic paradigm which is often linked with mixed methods approach (Takkashori & Teddlie, 1998, p. 29). The study used both quantitative and qualitative methods of gathering data. The study of attitudes and perceptions of the Social Science academics toward OA publishing requires appropriate and extensive enquiry which one method cannot do justice to with this topic. The researcher further observed studies that undertook to investigate either the adoption of OA by academics and researchers, including the utilisation of OA institutional repositories (Tapfuma, 2016), and institutional repositories as a platform for OA in South African universities (the case of University of KwaZulu-Natal by Mutsvunguma (2019). Both studies employed mixed methods as a best fit for investigating the research problem.

3.2.2 Population

Welman, et al. (2005, p. 52) stated that a research problem relates to a specific population. The population for this study was academics from the UKZN School of Social Sciences (SSS), the Dean of Research and the Library Director. The total population were 42 academics. Babbie (2016, p. 283) states that survey research allows a researcher to find information that in some cases people would not make available due to issues of confidentiality. For the purpose of this study it was important to find a sample of academics in the SSS in order to obtain data to ascertain the attitudes and perceptions of OA journal publishing. The researcher also interviewed the Dean of Research since his office was primarily responsible for OA advocacy at UKZN. Lastly, an interview was conducted with the Library Director to ascertain the reason behind the formulation of an institutional policy on OA at UKZN.

3.2.3 Characteristics of the population

The School of Social Sciences (<https://sss.ukzn.ac.za/>) is one of the largest schools in the College of Humanities. The School is actively involved in research and publishing of journal articles and books. It comprises of four clusters: Development, Culture, International and Public Affairs and Society and Social Change. The study treated the Clusters as one population of academics, authors and researchers within the School. Each Cluster is comprised of a number of disciplines offered in both Pietermaritzburg and Durban Campuses. The School offers undergraduate and postgraduate academic programmes in conflict transformation and peace studies, political science, international relations, public policy, sociology, social policy, industrial organisation and labour studies, economic history, historical studies, gender studies, policy and development studies, government business and ethics, geography, anthropology, tourism and heritage management, information studies, and records and archives management.

3.2.4 Sampling

According to Welman et al. (2005) a sample should be a representative of all cases in the unit of analysis for a researcher to generalise and draw conclusions. Since the study will employ both qualitative and quantitative methods, all permanent academics in the School of Social Sciences were included as a sample of the entire College. Gray (2009) as cited in Gbolahan (2014), states that the advantage of using a census is that it provides a true measure of the population thus eliminating sampling error. To study the attitudes and perceptions of academics towards OA journal publishing in the College of Humanities (CHUM) at UKZN is practically impossible as the CHUM comprises of six Schools and is too large for the scope of the study. As mentioned earlier SSS is one of the large schools within the CHUM. There were 42 permanent academic staff members in the School. A complete census was done. Part-time and fixed term academic staff were not surveyed as research is not a core function for such staff.

3.2.5 Data collection instruments

Bryman and Bell (2014) define data collection as a process of gathering the information. Data can be categorised into two broad categories: primary and secondary data. There is no best method of collecting data, it all depends on fitness for purpose, the skill of a researcher and socio-economic

factors such as available resources, and so forth. Kumar (2011, p. 140) warns that it is important to ensure that respondents understand the purpose and relevance of the study. Since the study deals with ascertaining the attitudes, the appropriate method for collecting data was the use of an attitudinal scale. The most widely used scale for measuring attitudes is a likert scale (discussed earlier in Chapter Two). Although a likert scale does not measure attitude per se, it does help in measuring intensity of attitudes from different respondents in relation to the issue being investigated (Kumar, 2011).

The study adopted two methods for collecting data; quantitative and qualitative. This study uses mixed methods to collect data. The attitude variable was measured quantitatively using semantic scales such as the likert scale, however there are limitations with quantitative methods. Hence mixed methods were used to mitigate the shortcomings of quantitative methods in this study (Carrasco & Lucas, 2015). An online questionnaire was distributed to academics within the School of Social Sciences. The data gathered was analysed using the SPSS version 28 statistical software. Open and closed questions allowed respondents to provide further information. Similar studies done internationally include Rowley et al. (2017) and Rodriguez (2014) also used both questionnaires and interviews. The South African study closely linked to this study by Fullard (2007) also used the survey method. A semi-structured interview was used to interview the Dean of Research and the Library Director.

3.2.6 The interview schedule

The interview schedule (see Appendix 3 for the Dean of Research and Library Director) consists of 15 questions. The purpose of the interview was to obtain additional information in relation to the research question and also gather information regarding the institutional position in supporting OA journal publishing at UKZN. It was noted that the institution signed the Berlin Declaration in 2012. The study hoped to establish the progress made by academics in publishing on OA platforms since the signing of the declaration. Most of the questions required a 'yes' or 'no' answers and explanation for selected answers. The Library Director's interview consists of five questions intended to establish their knowledge of OA journal publishing and models. To gather information from the Library Director was crucial for the study as the Library Director is the custodian of the library budget and their support or lack thereof for OA could steer the institution in either a negative or positive direction towards OA.

3.2.7 Data analysis

According to Kabir (2014, p. 202) “data collection is gathering and measuring information on variables of interest, in an established systematic fashion that enables one to answer stated research questions, test hypotheses, and evaluate outcomes.” Popular instruments employed to collect data included interviews, questionnaires and focus groups. The researcher used mixed methods; and adopted a questionnaire and interviews. The most important step once data had been collected was the editing and cleaning up of inconsistencies and mistakes in the data. The next step was to codify data and coding depends on the type of measuring scale used by the researcher. Data collected from interviews was analysed using qualitative data analysis methods. Similar responses were categorised together according to identified themes in order to facilitate data interpretation. Responses from close-ended questions in the questionnaire were analysed using SPSS 28 for Windows. Research findings were presented descriptively using frequency tables, bar graphs or pie charts.

Table 3.1: Mapping objectives, research questions with sources of data

Objective	Question	Source of data
Ascertain academics’ knowledge and level of awareness of Open Access publishing.	1. What were the attitudes and perceptions of academics towards Open Access journal publishing?	Questionnaire/Interview A
	2. What was the level of awareness of Open Access journal publishing?	Questionnaire/Interview A and B
2. Improve OA advocacy at UKZN.	3. Where were UKZN academics publishing their research?	Questionnaire/ Interview A and B
	4. What were the challenges academics face when publishing on OA platforms?	Questionnaire/Interview A and B
	5. What strategies can be used to encourage academics to publish on OA platforms?	Questionnaire/Literature review/Interview A and B

3.2.8 Validity and reliability

Validity and reliability of research are key elements of credible research findings. Kumar (2011, p. 179) states that there are three types of validity: face and content validity, concurrent and predictive validity and construct validity.

The researcher ensured that the instrument used measured what it was supposed to measure by confirming that there was a logical link between the questions and the objectives of the study. Reliability of a research instrument refers to the ability of the instrument to produce the same results when the same instruments is used more than once in different situations.

Since the researcher used a questionnaire which had been used in similar studies that measured attitudes, it was hoped that the results would be reliable. The questionnaire was pre-tested by the Librarian and an academic with a special interest in OA and OA journal publishing. The results were measured using a likert scale widely used as an attitudinal measuring scale. Semi-structured interviews with a small sample of the population, the Dean of Research and Library Director ensured that data which might not have been covered through the online questionnaire was captured through the interviews process.

3.2.9 Ethical considerations

Ethical consideration is pivotal in all research projects involving humans and animals to protect the rights of research subjects (Welman et al., 2005, p. 181). There are three stages of a research project where ethical consideration is critical:

- When participants are recruited.
- During the intervention and/or the measurement procedure to which they are subjected.
- In the release of the results obtained

The researcher sought the participants' consent (Appendix 1) through a written letter which accompanied an online questionnaire explaining the purpose of the study thus affording participants to make an informed decision to participate. Participation was voluntary and confidentiality of information was ensured. In addition to the consent letter, permission granted to conduct the research

at UKZN and with the targeted group of participants was clearly stated and appeared in the gatekeeper's letter (Appendix 5). The researcher followed all the University protocols as outlined by the ethics committee. The first ethical clearance letter expired before the completion of the data collection stage (Appendix 6). A further application for permission for exemption from the ethics review committee was granted to the researcher to complete the study. In terms of ethical clearance, the study was conducted according to the ethical guidelines set by UKZN.

With regards to data collection method, an online self-administered questionnaire was distributed to academics of the School guaranteeing that respondents would remain anonymous as personal identification was not required. All participants including the Dean of Research and the Library Director signed an informed consent form and were made aware that participation was voluntary and they were free to opt out of the study at any time if they wanted to do so.

3.2.10 Summary of the chapter

Chapter Three presented and discussed the research methods employed by the study. It further discussed and provided the justification of the paradigms chosen for the study. The study adopted a mixed method approach whereby qualitative and quantitative research methods were used. The choice of population for the study was explained and described. The data collection procedures were explained and the importance of pre-testing of the questions, including validity and reliability of the chosen instruments were discussed.

CHAPTER FOUR: DATA ANALYSIS AND PRESENTATION OF FINDINGS

4.1 Introduction

This chapter presents the analysis and findings of the survey data regarding the level of awareness and knowledge, attitudes, and perceptions regarding OA journal publishing among academics in the School of Social Sciences, College of Humanities University of KwaZulu-Natal. The objectives of the study were to:

- Determine the level of awareness and knowledge of OA journal publishing among Social Sciences academics of the University of KwaZulu-Natal;
- Ascertain the attitudes and perceptions of the Social Sciences academics towards OA journal publishing;
- Identify where UKZN Social Sciences academics publish their research;
- Identify the challenges Social Sciences academics faced when publishing on OA platforms; and
- Determine strategies that can be used to encourage Social Sciences academics to publish on OA platforms.

The results of the questionnaire will be discussed followed by the interview schedule.

4.2 Questionnaire results

The questionnaire was sent to a population of 42 academics, 31 responded and 26 completed responses were obtained from the School of Social Sciences in the College of Humanities, the University of KwaZulu-Natal. Therefore, the sample was drawn from the 26 completed responses. The sample was disaggregated by academic cluster to elicit internal dynamics of perceptions and attitudes regarding OA journals publishing platforms in the College of Humanities. The sample comprised of 53.8% (n=14) males and 42.3% (n=11) females; with one respondent (3.8%) whose gender identity was not disclosed. A slight majority (54.2%; n=13) were from Howard College whilst the rest (45.8%; n=11) specified Pietermaritzburg campus.

Most of the sampled academics (42.3%; n=11) fell within the 45 to 54 years of age cohort. Whilst most of the females were located in this age cohort, the same proportion (28.6%) of males were spread across three age groups, namely, 35 to 44, 45 to 54 and 55 to 64 years of age cohorts.

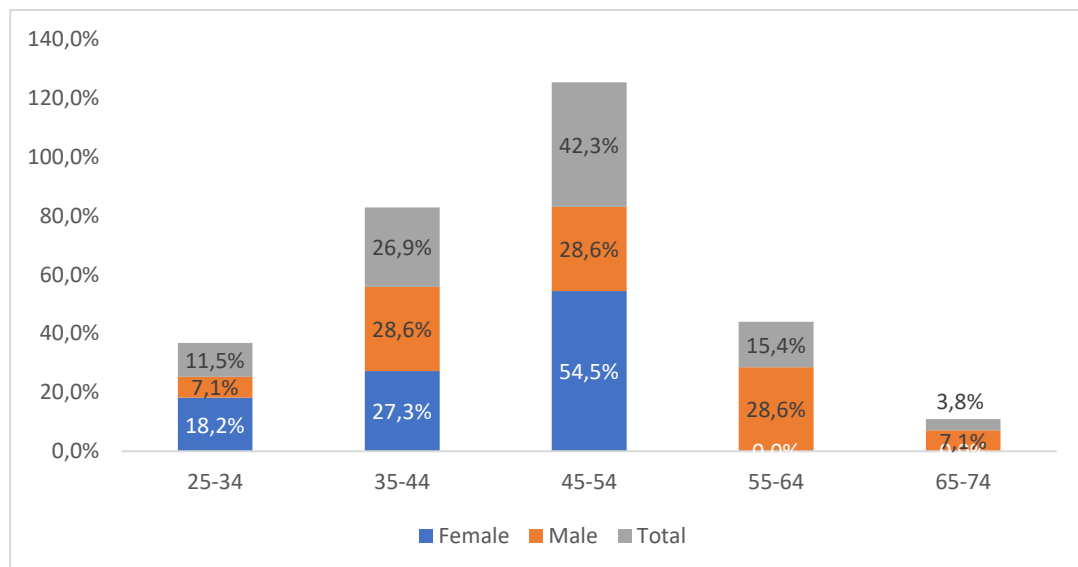


Figure 4.1: Distribution of sampled respondents by gender and age group

The mean age of the sample was estimated at 46.808; the estimates for the median and mode were similar, 49.5 years. At the estimated mean age of 46.8 years, the standard deviation was 10.0, implying that on an average the data values clustered up around 46.8, and the value by which the mean varies could be +10 or -10, which is quite high. This suggests that by estimation the average age of the sampled academics may vary from 36.8 years to 56.8 years.

The analysis showed that less than half of the sampled academics (46.2%; n=12) held the position of lecturer, while 30.8% (n=8) held the Senior Lecturer position. The rest (23%; n=6), in equal but smaller proportions, were either in the Associate Professor category (11.5%; n=3) or the Professor category (11.5%; n=3).

Table 4.2 (a): Description of survey respondents

Characteristic		All Data	
Gender/Sex**		Frequency/Number	Valid Percent (%)
Female		11	42.3
Male		14	53.8
Undisclosed		1	3.8
Total (N)		26	99.9
Age Group (Years)			
25-34		3	11.5
35-44		7	26.9
45-54		11	42.3
55-64		4	15.4
65-74		1	3.8
Total (N)		26	99.9
	Mean Age	46.808	
	Median Age	46.722	
	Modal Age	49.5	
	Standard Deviation	10.0231	
Current Position			
Lecturer		12	46.2
Senior Lecturer		8	30.8
Associate Professor		3	11.5
Professor		3	11.5
Total (N)		26	100
Number of years of being academic			
2-5 years		5	19.2
6-10 years		7	26.9
11-20 years		7	26.9
21-30 years		7	26.9
Total (N)		26	99.9
Mean		13.865	
Median		12.821a	
Mode		8.000b	
Standard Deviation		8.3529	
Minimum		3.5	
Maximum		25.5	
Highest Qualification			
Honours		1	3.8
Masters		4	15.4
PhD		21	80.8
Total (N)		26	100
Cluster**			
Culture		7	29.2
Development		6	25.0
International and Public Affairs		4	16.7
Society and Social Change		7	29.2

Table 4.1 (b): Description of survey respondents

Characteristic	All Data	
Total (N)	24	100.1
Campus		
Pietermaritzburg	11	45.8
Howard College	13	54.2
Total	24	100

*Not all the data add up to 100% due to rounding.

**The rest of the analysis excludes incomplete "Other" or "Other, Please Specify" responses, for example, as in the case of the "Cluster" categories.

The highest qualification of the majority (80.8%; n=21) of the sampled academics was a PhD; the rest (19.1%; n=5) indicated either a Masters (15.4%; n=4) or an Honours (3.8%; n=1) degree. The number of years that the sampled academics had been lecturing ranged from 3.5 years to 25.5 years, whilst the mean was estimated at 13.865, with a standard deviation of 8.3529. The median and mode were estimated at 12.821 and 8.000 respectively.¹

The analysis also showed that a fairly good majority (58.4%; n=14) of the respondents were either in the Culture (29.2%; n=7) or Society and Social Change (29.2%; n=7) clusters. The rest of the respondents (41.7%; n=10) were either in the Development" (25.0%; n=6) or International and Public Affairs (16.7%; n=4) clusters.

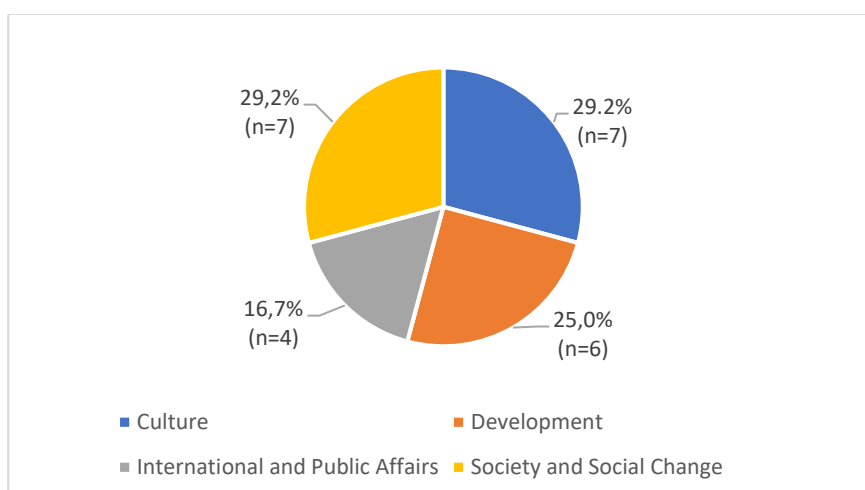


Figure 4.1 Distribution of respondents by cluster

¹ The median was calculated from grouped data, while the mode was the smallest among the observed multiple modes.

Table 4.3: Awareness of UKZN OA journals platform by cluster

I'm aware of UKZN OA Online Journals Platform	Culture		Development		International and Public Affairs		Society and Social Change		Total	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Strongly disagree	1	14.3%	0	0.0%	0	0.0%	2	28.6%	3	13.6%
Disagree	0	0.0%	0	0.0%	2	100%	0	0.0%	2	9.1%
Neutral	2	28.6%	4	66.7%	0	0.0%	3	42.9%	9	40.9%
Agree	4	57.1%	2	33.3%	0	0.0%	2	28.6%	8	36.4%
Total	7	100%	6	100%	2	100 %	7	100%	22	100%

On the level of knowledge of UKZN OA journals, a similar proportion (28%) of respondents indicated “A lot”, “Neutral” and “Very Little” (Table 4.3). However, the proportion (66.7%) of respondents that indicated “A lot” was higher (but not statistically significantly: $\chi=10.130$; $df=12$; $p=0.605$) amongst the International and Public Affairs respondents than amongst the Culture (28,6%), Development (37.5%) and Society and Social Change (0.0%) clusters. Interestingly, none of the respondents amongst the International and Public Affairs cluster opted for both “Neutral” or “Very Little” whilst a little less than two in three (64.0%) either indicated that they knew “A lot” (28%), “Quite a lot” (8.0%) or Very Little” (28.0%) overall.

Table 4.4: Knowledge of UKZN OA journals

Knowledge of OA Journals (UKZN OA journals)	Cluster									
	Culture		Development		International and Public Affairs		Society and Social Change		Total	
	Numbe r	Percen t	Numbe r	Percen t	Numbe r	Percen t	Numbe r	Percen t	Numbe r	Percen t
Quiet a lot	0	0.0%	1	12.50 %	0	0.0%	1	14.3%	2	8.0%
A lot	2	28.6%	3	37.50 %	2	66.7%	0	0.0%	7	28.0%
Neutral	3	42.9%	1	12.50 %	0	0.0%	3	42.9%	7	28.0%
Very little	1	14.3%	3	37.50 %	1	33.3%	2	28.6%	7	28.0%
Nothing at all	1	14.3%	0	0.0%	0	0.0%	1	14.3%	2	8.0%
Total	7	100%	8	100%	3	100%	7	100%	25	100%

Regarding the level of knowledge of the UKZN ResearchSpace or Institutional Repository, most (48.0%) of the respondents said they knew “A lot”; followed by nearly one in four (24.0%) who remained “Neutral”. The rest (28%) either said they knew “Quite a lot” (8.0%) or “Very little” (20%) (Table 4.4). The proportion that knew “A lot” was higher (but not statistically significantly: $\chi=10.112$; $df=9$ $p=0.342$) amongst the respondents of the International and Public Affairs (100%) and the Development (62.5%) clusters than amongst respondents of the Culture (42.9%) and Society and Social Change (14.3%) clusters.

Table 4.5: Knowledge of Research Space (UKZN institutional repository)

Knowledge of ResearchSpace (UKZN Institutional Repository)	Cluster								Total	
	Culture		Development		International and Public Affairs		Society and Social Change			
	Number	Percent	Number	Percent	Number	Percent	Number	Percent		
Quite a lot	1	14.3%	1	12.5%	0	0.0%	0	0.0%	2	8.0%
A lot	3	42.9%	5	62.5%	3	100%	1	14.3%	12	48.0%
Neutral	2	28.6%	1	12.5%	0	0.0%	3	42.9%	6	24.0%
Very little	1	14.3%	1	12.5%	0	0.0%	3	42.9%	5	20.0%
Total	7	100%	8	100%	3	100%	7	100%	25	100%

Asked about the level of knowledge regarding the OA Journal publishing platform (Table 4.5), most (40.0%) of the respondents opted for “Neutral”, whilst the rest, in smaller proportions, indicated “A lot” (16%), “Quite a lot (16%)”, “Very Little” (24%) or “Nothing at all” (4%). The data, however, did not vary statistically significantly: ($\chi^2 = 9.975$; $df=12$; $p=0.618$) although the proportion that opted for “Neutral” was somewhat higher amongst respondents of the Development and Culture clusters than amongst respondents of the International and Public Affairs and Society and Social Change clusters. It is however interesting to note that a similar proportion (16.0%) indicated either “Quite a lot” or “A lot”; and in both instances, the proportion (33.3%) was also similar but higher amongst the International and Public Affairs respondents than respondents of the rest of the clusters.

Table 4.6: Knowledge regarding open access journal platforms

Knowledge regarding OA Journal Platforms	Cluster								Total	
	Culture		Development		International and Public Affairs		Society and Social Change			
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Quite a lot	1	14.3%	1	12.5%	1	33.3%	1	14.3%	4	16.0%
A Lot	2	28.6%	1	12.5%	1	33.3%	0	0.0%	4	16.0%
Neutral	3	42.9%	5	62.5%	0	0.0%	2	28.6%	10	40.0%
Very Little	1	14.3%	1	12.5%	1	33.3%	3	42.9%	6	24.0%
Nothing at all	0	0.0%	0	0.0%	0	0.0%	1	14.3%	1	4.0%
Total	7	100%	8	100%	3	100%	7	100%	25	100%

Table 4.6 below presents data on the level of knowledge of publishing on OA. The data shows that most (39.1%; n=9) of the respondents either know “A lot” (30.4%; n=7) or “Quite a lot” (8.7%; n=2) about OA Publishing whilst a little over one in three (34.8%; n=8) either know “very little” (26.1%; n=6) or “Nothing at all” (8.7%; n=2). Interestingly, a little more than one in four (26.1%; n=6) respondents did not want to commit themselves; they chose to stay “Neutral”. The proportion that opted for “A lot” was higher (but not statistically significantly ($\chi^2=11.46$; $df=12$; $p=0.490$) amongst respondents within the International and Public Affairs and Development clusters than amongst the Culture and Society and Social Change clusters.

Table 4.7: Knowledge of publishing on OA

Characteristic	Culture		Development		International and Public Affairs		Society and Social Change		Total	
	N	%	N	%	N	%	N	%	N	%
Quiet a lot	0	0.0%	1	16.7%	0	0.0%	1	14.3%	2	8.7%
A lot	2	28.6%	3	50%	2	66.7%	0	0.0%	7	30.4%
Neutral	3	42.9%	0	0.0%	0	0.0%	3	42.9%	6	26.1%
Very little	1	14.3%	2	33.3%	1	33.3%	2	28.6%	6	26.1%
Nothing at all	1	14.3%	0	0.0%	0	0.0%	1	14.3%	2	8.7%
Total	7	100%	6	100%	3	100%	7	100%	23	100%

Interestingly, however, the proportion (33.3%) of respondents that indicated “Quite a lot” was not only similar but also higher amongst International and Public Affairs cluster respondents than the same proportion (14.3%) of respondents of the Culture and Society and Social Change clusters.

Regarding respondents’ knowledge relating to OA mandate policies, the results, as presented in Table 4.7 below, shows that more than half (58.4%) of the respondents either knew “Nothing at all” (29.2%) or indicated “Neutral” (29.2%). Whilst only 20.8% knew “A lot” (12.5%) or “Quite a lot” (8.3%), a similar proportion of respondents (20.8%) indicated “Very Little”. The data, however, did not vary statistically differently ($\chi=11.211$; $df=12$; $p=0.511$) in spite of the proportion (33.3%) that indicated “Quite a lot” being higher amongst the International and Public Affairs than respondents within the Society and Social Change, Culture and Development clusters.

Table 4.8: General knowledge of OA mandate policies

General knowledge of Open Access mandate policies.	Cluster								Total	
	Culture		Development		International and Public Affairs		Society and Social Change			
	N	%	N	%	N	%	N	%	N	%
Quiet a lot	0	0.0%	0	0.0%	1	33.3%	1	14.3%	2	8.3%
A lot	1	16.7%	2	25.0%	0	0.0%	0	0.0%	3	12.5%
Neutral	3	50%	2	25.0%	1	33.3%	1	14.3%	7	29.2%
Very little	0	0.0%	2	25.0%	0	0.0%	3	42.9%	5	20.8%
Nothing at all	2	33.3%	2	25.0%	1	33.3%	2	28.6%	7	29.2%
Total	6	100%	8	100%	3	100%	7	100%	24	100%

4.4 Anticipated outcomes of OA publishing

The sampled respondents were asked to indicate “Strongly Disagree”, “Disagree”, “Neutral/Not Sure”, “Agree”, “Strongly Agree” to each of seven propositions on possible outcomes of OA publishing. The results are shown in Table 4.8 below. On the proposition that “Articles will be easier to obtain”, nearly four out of five (79.2%; n=19) respondents either indicated “Agree” (50%; n=12) or “Strongly Agree” (29.2%; n=7), whilst only 4.2% (n=1) opted for “Strongly disagree”. The rest (16.7%; n=4) chose to stay “Neutral”.

Responding to another question, a majority (54.1%; n=13) of the respondents either agreed (45.8%; n=11) or strongly agreed (8.3%; n=1) with the view that “Libraries would have more money to spend on journal subscriptions”. However, whilst the same but a small proportion (8.3%; n=2) of respondents chose to “Disagree” or “Strongly Disagree” with the statement, a fairly sizeable proportion (29.2%; n=7) decided to be “Neutral”.

Table 4.9: Anticipated outcomes of OA publishing

Characteristic	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	Total	
	Disagree				Agree	Percent	Number
Articles will be easier to obtain	4.2%	0.0%	16.7%	50%	29.2%	100%	24
Libraries will have more money to spend on journal subscription	8.3%	8.3%	29.2%	45.8%	8.3%	100%	24
Authors will publish more often	16.7%	8.3%	33.3%	37.5%	4.2%	100%	24
Fewer articles will be rejected	12.5%	16.7%	54.2%	4.2%	12.5%	100%	24
Articles will take longer to publish	8.3%	37.5%	45.8%	4.2%	4.2%	100%	24
Archiving of journal articles will suffer	16.7%	37.5%	37.5%	8.3%	0.0%	100%	24
Authors will have less choice of where they publish	16.7%	41.7%	33.3%	4.2%	4.2%	100%	24

On whether “authors will publish more often” or not, most (41.7%; n=10) of the respondents responded positively, with more than one in three (37.5%; n=9) opting for “Agree” and only one (4.2%) respondent selecting, “Strongly Agree”. In contrast one in four (25%; n=6) respondents either chose “Disagree” (8.3%; n=2) or “Strongly disagree” (16.7%; n=4) whilst one in three (33.3%; n=8) chose to be “Neutral”. In a follow-up question, only 16.7% (n=4) of the respondents did “Agree” (4.2%; n= 1) or “Strongly Agree” (12.5%; n=3) with the proposition that “Fewer articles will be rejected”. A small majority (54.2%; n=13) of the sampled academics were indecisive, opting for “Neutral” whilst the rest (29.2%; n=7) either voted for “Disagree” (16.7; n=4) or “Strongly disagree” (12.7%; n=3).

The time taken to publish research articles in journals is often a concern for academics. Asked if “Articles will take longer to publish” on OA publishing platform, a significant proportion of respondents (45.8%; n=11) either selected “Disagree” (37.5%; n=9) or “Strongly Disagree” (8.3%; n=2). Interestingly, while a similar but significant proportion (45.8%; n=11) of respondents opted to stay “neutral”, only a small proportion (8.4%; n=2) agreed (4.2%; n=1) or strongly agreed (4.2%; n=1) with the proposition. Similarly, a small proportion (8.3%; n=2) of the respondents believed that “Archiving of journal articles will suffer”. On the contrary, however, majority (54.2%; n=13) either disagreed (37.5%; n=9) or strongly disagreed (16.7%; n=4) with the proposition whilst nearly two in five (37.5%; n=9) elected to stay “Neutral”.

On the view that “Authors will have less choice of where they publish”, a majority (58.4%; n= 14) of respondents opted to “Disagree” (41.7%; n=10) or “Strongly disagree” (16.7%; n=4). A very small minority (8.4%; n=2) decided to “Agree” (4.2%; n=1) or “Strongly Agree” (4.2%; n=1), compared to one in three (33.3%; n=8) that chose to remain “Neutral”.

Besides the frequency distribution presented above the disaggregation of the respondents by cluster provided nuanced patterns of observations regarding perceptions of anticipated outcomes of OA publishing amongst respondents within clusters (Table 4.9). The data shows that 48% of respondents agreed or strongly agreed with the proposition that “Authors will publish more often” on the OA journals publishing platform. The proportion (75%) amongst the “International and Public Affairs” cluster was higher (but not statistically significantly: $\chi^2=9.829$; $df=6$; $p=0.132$) than the proportions of respondents of the Culture (71.4%), Development (55.6%) and Society and Social Change (0.0%) clusters. In relation to “Archiving of journal articles will suffer”, only a small proportion (18.5%) of the respondents agreed or strongly agreed. However, the proportion amongst respondents of the International and Public Affairs (50%) was higher (but statistically not significantly ($\chi^2=9.69$; $df=6$; $p=0.138$) than amongst respondents of the Development (22.2%); Culture (14.3%) and Society and Social Change (0.0%).

Table 4.10: Proportion of respondents who “Agree” or Strongly Agree” with selected anticipated outcomes of OA publishing by cluster

Characteristic	Culture	Development	International and Public Affairs	Society and Social Change	Total		Chi Sq	df	p value
					Percent	N			
Authors will publish more often	71.4%	55.6%	75%	0.0%	48.1%	13	9.829	6	0.132
Fewer articles will be rejected	28.6%	33.3%	50%	0.0%	25.9%	7	5.181	6	0.521
Articles will take long to publish	28.6%	33.3%	50%	0.0%	25.9%	7	5.181	6	0.521
Archiving of journal articles will suffer	14.3%	22.2%	50%	0.0%	18.5%	5	9.69	6	0.138
Articles will be easier to obtain	100%	55.6%	100%	85.7%	81.5%	22	6.935	6	0.327
Authors will have less choice of where to publish	14.3%	11.1%	50%	14.3%	18.5%	5	4.79	6	0.571
Libraries will have more money to spend	42.9%	44.4%	100%	71.4%	59.3%	16	5.242	6	0.513

The data regarding “Articles will be easier to obtain” varied but not statistically significantly ($\chi^2=6.935$; $df=6$; $p=0.327$), with most (80.8%) of respondents opting to “Agree” or “Strongly Agree”. Higher proportions amongst the Culture (100%), International and Public affairs (100%) and Society and Social Change (85.1%) indicated “Agree” or “Strongly Agree” than the proportion amongst “Development” cluster respondents.

Half (50%) of the respondents amongst the International and Public Affairs cluster identified themselves positively with the statements that “Fewer articles will be rejected”, “Articles will take long to publish” and “Authors will have less choice of where to publish” than respondents amongst the rest of the clusters in the three variables.

Regarding the notion that “Libraries will have more money to spend on journal subscription”, all (100%) the respondents of the International and Public Affairs cluster agreed or strongly agreed, compared with respondents of the Society and Social Change (71.4%), Development (44.5%) and Culture (42.9%) clusters.

Interestingly, none of data regarding all the variables showed statistically significant variations amongst respondents of the clusters that agreed or strongly agreed with the anticipated outcomes. All the estimated p values were >0.05 .

4.5 Publishing on OA journals platforms

The perceptions and attitudes of academics on publishing on OA platform formed an important aspect of the study, and as such six questions were fielded in the survey questionnaire. The questions focused on whether or not the sampled academics published on UKZN OA journal platforms and OA platforms in general, and if not, the rationale for doing so.

Respondents were asked to choose “Strongly Disagree”, “Disagree”, “Neutral”, “Strongly Agree” or “Agree” to the statement “I publish on UKZN OA Journals Platforms”. Table 4.10 shows that only 4.8% responded positively; and this proportion comprised of 20%, a statistically significant ($\chi^2=17.998$; $df=9$; $p=0.009$) proportion of respondents amongst the Development Cluster, compared with none from the rest of the clusters. An overwhelming majority of the respondents (95.2%) either opted for “Strongly Disagree” (9.5%), “Disagree” (33.3%) or “Neutral” (52.4%), most (100%) of whom were amongst the Culture cluster.

Table 4.11: Publishing on UKZN OA journals platforms by cluster

I publish on UKZN OA platforms	Cluster								Total	
	Culture		Development		International and Public Affairs		Society and Social Change			
	N	%	N	%	N	%	N	%	N	%
Strongly disagree	0	0.0%	0	0.00%	1	50.00%	1	14.30%	2	9.50%
Disagree	0	0.0%	3	60.00%	0	0.00%	4	57.10%	7	33.30%
Neutral	7	100%	1	20.00%	1	50.00%	2	28.60%	11	52.40%
Strongly Agree	0		1	20.00%	0	0.00%	0	0.00%	1	4.80%
Total	7	100%	5	100%	2	100%	7	100%	21	100%

Table 4.11 below shows the distribution of the data by cluster on whether the sampled academics did or did not, in general, publish on OA journals platforms. The data shows that less than half (45.6%) of the respondents disagreed with the statement, “I publish on OA publishing journals platforms”; only 22.7% confirmed that they published in OA journals. This proportion (57.1%) was much higher (but not statistically significantly: $\chi^2 = 8.966$; $df=8$; $p=0.345$) amongst respondents of the Culture cluster than amongst respondents of the Society and Social Change (14.3%), Development (0.0%) and International and Public Affairs (0.0%).

Table 4.12: Publishing on OA platforms by cluster

Cluster										
I publish in OA Journals										Total
	Culture		Development		International and Public Affairs		Society and Social Change			
	N	%	N	%	N	%	N	%	N	%
Disagree	1	14.3%	4	66.7%	1	50%	4	57.1%	10	45.5%
Neutral	2	28.6%	2	33.3%	1	50%	2	28.6%	7	31.8%
Agree	4	57.1%	0	0.0%	0	0.0%	1	14.3%	5	22.7%
Total	7	100%	6	100%	2	100%	7	100%	22	100%

Table 4.12 below shows the distribution of respondents who indicated “Yes”, “No” or “Can’t say it” to the statement “I publish in OA journals” by age group. Of the 22.7% that confirmed that they did publish in OA journals most (33.3%) of them were within the 45 to 54 years of age cohort. The rest (28.6%) were within the 35 to 44 years age group, with none in the 25 to 34, 55 to 64 and 65 to 74 years of age cohorts. The differences in the data were, however, not statistically significant: $\chi^2=4.624$; $df=8$; $p=0.797$.

Table 4.13: Publishing in OA journals by age group

I publish in OA Journals	Age Group										Total	
	25-34		35-44		45-54		55-64		65-74			
	N	%	N	%	N	%	N	%	N	%	N	%
No	1	100%	3	42.9%	3	33.3%	2	50%	1	100%	10	45.5%
Can't Say It	0	0.0%	2	28.6%	3	33.3%	2	50%	0	0.0%	7	31.8%
Yes	0	0.0%	2	28.6%	3	33.3%	0	0.0%	0	0.0%	5	22.7%
Total	1	100%	7	100%	9	100%	4	100%	1	100%	22	100%

Interestingly, the study found that while a majority (72.7%; $n=16$) of the respondents published in “Traditional subscription journals only”, nearly one in four (22.7%; $n=5$) published in “Both

traditional subscription journals and OA journals”. Only one (4.5%; n=1) respondent reportedly published in “OA journal only” (Figure 4.2 and Table 4.13).

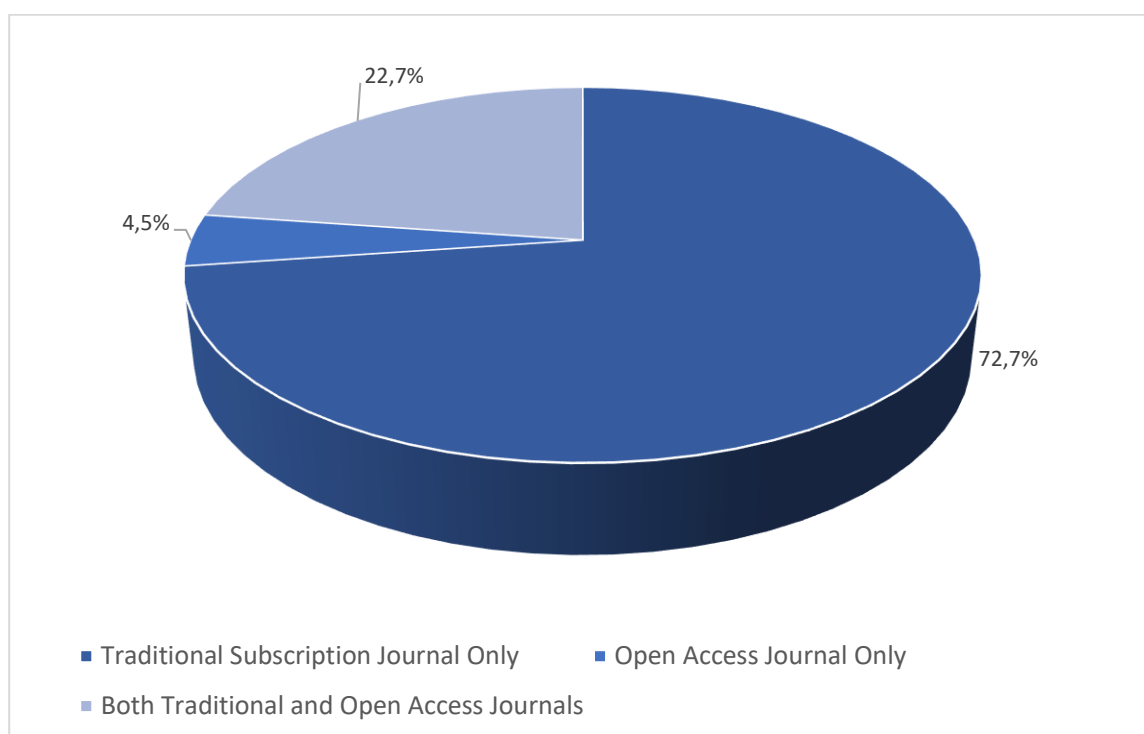


Figure 4.2: Where Academics publish their research

Table 4.14: Where Social Sciences academics publish their research by cluster

Where research is published	Culture		Development		International and Public Affairs		Society and Social Change		Total	
	N	%	N	%	N	%	N	%	N	%
Traditional Subscription Journal Only	4	57.1%	5	83.3%	1	50%	6	85.7%	16	72.7%
OA Journal Only	1	14.3%	0	0.0%	0	0.0%	0	0.0%	1	4.5%
Both Traditional and OA Journals	2	28.6%	1	16.7%	1	50%	1	14.3%	5	22.7%
Total	7	100%	6	100%	2	100%	7	100%	22	100%

Respondents N=6) who reportedly published in OA journals were asked to indicate “Disagree”, “Agree” or “Not Sure”/ “Neutral” to two statements relating to publishing on OA platforms. All (100%; n=6) of those respondents said that they published on OA platforms “to share with their peers” whilst 83.3% (n=5) indicated that they did so to get cited, with 16.7% (n=1) opting for “Not Sure” (Table 4.14).

Table 4.15: Perceptions relating to publishing on OA publishing journals platforms

Characteristic	Disagree		Agree		Not Sure/Neutral		Total	
	N	%	N	%	N	%	N	%
I publish on OA journal platforms to share with my peers	0	0.0	6	100	0	0.0	6	100
I publish on OA journals platform to get cited	0	0.0	5	83.3	1	16.7	6	100

Respondents who indicated that they did not publish on OA Platforms were asked to choose “Yes”, “No” or “Not Sure” if they planned to do so in future. As shown in Table 4.15, a majority (59.1%) of those respondents expressed their willingness to publish in OA journals in future. This proportion was higher (but not statistically significantly: $\chi^2 = 6.0599$; $df=6$; $p=0.417$) amongst respondents of the Culture and Development clusters than amongst respondents of the International and Public Affairs, Society and Social Change. It is worth noting, however, that more than half (57.1%) of respondents of the latter were undecided.

Table 4.16: Respondents who plan to publish in OA journals by cluster

I plan to publish in OA journals	Cluster									
	Culture		Development		International and Public Affairs		Society and Social Change		Total	
	N	%	N	%	N	%	N	%	N	%
No	0	0.0%	0	0.0%	0	0.0%	1	14.3%	1	4.5%
Yes	6	85.7%	4	66.7%	1	50%	2	28.6%	13	59.1%
Not Sure	1	14.3%	2	33.3%	1	50%	4	57.1%	8	36.4%
Total	7	100%	6	100%	2	100%	7	100%	22	100%

4.6 OA journals used for publishing articles

Respondents who had published in OA journals were asked to list the names of the journals. The results are shown in Table 4.16.

Table 4.17: OA journals in which respondents publish their research.

Journal	Responses		Cases
	N	Percent	Percent
Language Matters	1	10.0%	20.0%
Indilinga: African Journal of Indigenous Knowledge Systems	1	10.0%	20.0%
International Journal of Research on History Didactics	1	10.0%	20.0%
Advances of Anthropology	1	10.0%	20.0%
Critical Arts	1	10.0%	20.0%
Alternation	1	10.0%	20.0%
Transformation: An International Journal of Holistic Mission Studies	1	10.0%	20.0%
International Journal of Indigenous Herbs and Drugs (IJIHD)	1	10.0%	20.0%
Open Journal of Anthropological and Archeological Sciences	1	10.0%	20.0%
Journal of Contemporary African Studies	1	10.0%	20.0%
Total	10	100%	200%

*Multiple responses

Table 4.18: OA journals do not offer proper peer review by cluster

Characteristic	Cluster								Total	
	Culture		Development		International and Public Affairs		Society and Social Change		N	%
	N	%	N	%	N	%	N	%		
Disagree	5	71.4%	3	50.0%	2	100.0%	2	28.6%	12	54.5%
Not Sure	2	28.6%	2	33.3%	0	0.0%	4	57.1%	8	36.4%
Agree	0	0.0%	1	16.7%	0	0.0%	1	14.3%	2	9.1%
Total	7	100.0%	6	100.0%	2	100.0%	7	100.0%	22	100.0%

4.7 Quality determinants of OA journals platforms

The quality of journals and/or repositories' content and prestige are significant determinants of patronage, especially regarding contribution of articles for publication; OA journals are not an exception. In this regard respondents were asked to indicate whether they "Agree", "Disagree" or were "Not Sure" to six quality determinant statements relating to publishing on OA journal publishing platforms. Majority (54.5%; n=12) of the respondents rejected the statement that, "OA journals do not offer proper peer review" while more than one in three (36.4%; n=8) were "Not Sure". Only 9.1% (n=2) opted for "Agree" (Table 4.17).

Most of those respondents who disagreed with the statement were amongst the International and Public Affairs (100%) and Culture (71.4%) and the rest, in smaller proportions, were within the Development (50%) and Society and Social Change (28.6%) clusters. The differences in the data were, however, not statistically significant: $\chi=5.107$; $df=6$; $p=0.53$.

In Table 4.18, the data shows that more than half (54.5%; n=12) of the respondents accepted the proposition that "OA journals publish faster than traditional subscription journals" although a sizeable proportion (40.9%; n=9) did not have adequate information to form an opinion. Only 4.5% rejected the proposition.

Table 4.19: OA journals publish faster than traditional subscription journals

Characteristic	Cluster								Total	
	Culture		Development		International and Public Affairs		Society and Social Change			
	N	%	N	%	N	%	N	%	N	%
Disagree	0	0.0%	0	0.0%	0	0.0%	1	14.3%	1	4.5%
Not Sure	0	0.0%	4	66.7%	1	50%	4	57.1%	9	40.9%
Agree	7	100%	2	33.3%	1	50%	2	28.6%	12	54.5%
Total	7	100%	6	100%	2	100%	7	100%	22	100%

The proportion (100%) amongst the Culture cluster that agreed with the statement was higher (but not statistically significantly: $\chi=10.491$; $df=6$; $p=0.105$) than those amongst respondents of Development (33.3%), International and Public Affairs (50%) and Society and Social Change (28.6%) clusters.

Nearly three in four (72.7%; $n=16$) respondents agreed the notion that “OA journals platforms provide visibility to research articles and greater citation impact”. This proportion comprised mostly all (100%) of the respondents of the Culture and International and Public Affairs clusters and a little more than four in five (83.3%) of respondents of the Development cluster. The rest (28.6%) were respondents of the Society and Social Change cluster as seen in Table 4.19. The differences in the data were only statistically significant: $\chi= 11.731$; $df=6$; $p\leq 0.1$. (Table 4.19).

Table 4.19: OA journals offer greater visibility of research articles by cluster

Characteristic	Cluster									
	Culture		Development		International and Public Affairs		Society and Social Change		Total	
	N	%	N	%	N	%	N	%	N	%
Disagree	0	0.0%	1	16.7%	0	0.0%	2	28.6%	3	13.6%
Not Sure	0	0.0%	0	0.0%	0	0.0%	3	42.9%	3	13.6%
Agree	7	100%	5	83.3%	2	100%	2	28.6%	16	72.7%
Total	7	100%	6	100%	2	100%	7	100%	22	100%

Table 4.20: OA journals not recognised by South African review committees

Characteristic	Cluster									
	Culture		Development		International and Public Affairs		Society and Social Change		Total	
	N	%	N	%	N	%	N	%	N	%
Disagree	4	57.1%	3	50%	0	0.0%	0	0.0%	7	31.8%
Not Sure	2	28.6%	3	50%	2	100%	5	71.4%	12	54.5%
Agree	1	14.3%	0	0.0%	0	0.0%	2	28.6%	3	13.6%
Total	7	100%	6	100%	2	100%	7	100%	22	100%

While only 13.6%; (n=3) believed that OA journals are not recognised by South African review committees such as DoHET, a majority (54.5%; n=12) did not have any opinion on the matter and nearly one in three (31.8%) disagreed (Table 4:20). Of the proportion that disagreed, most of them were located amongst the Culture (57.1%) cluster, and the Development (50%) cluster; none were respondents of the International and Public Affairs or Society and Social Change cluster. Nonetheless, differences in the data were not statistically significant: $\chi^2 = 9.148$; df=6; p=0.165.

On the status of OA journals, less than one in five (22.7%; n=5) respondents were of the opinion that “OA journals are on par with traditional subscription journals” (Table 4.21). However, a majority (77.3%; n=17) either rejected the proposition outright (40.9%; n=9) or were “Not Sure” (36.4%; n=8). The highest proportion (50%) of those respondents who agreed with the proposition (though not statistically significant: $\chi^2 = 2.446$; df=6; p=0.874), was amongst the International and Public Affairs cluster respondents; with smaller proportions amongst respondents of the Culture (28.6%), Development (16.7%) and Society and Social Change (14.3%) clusters.

Table 4.21: OA journals are on par with traditional subscription journals by cluster

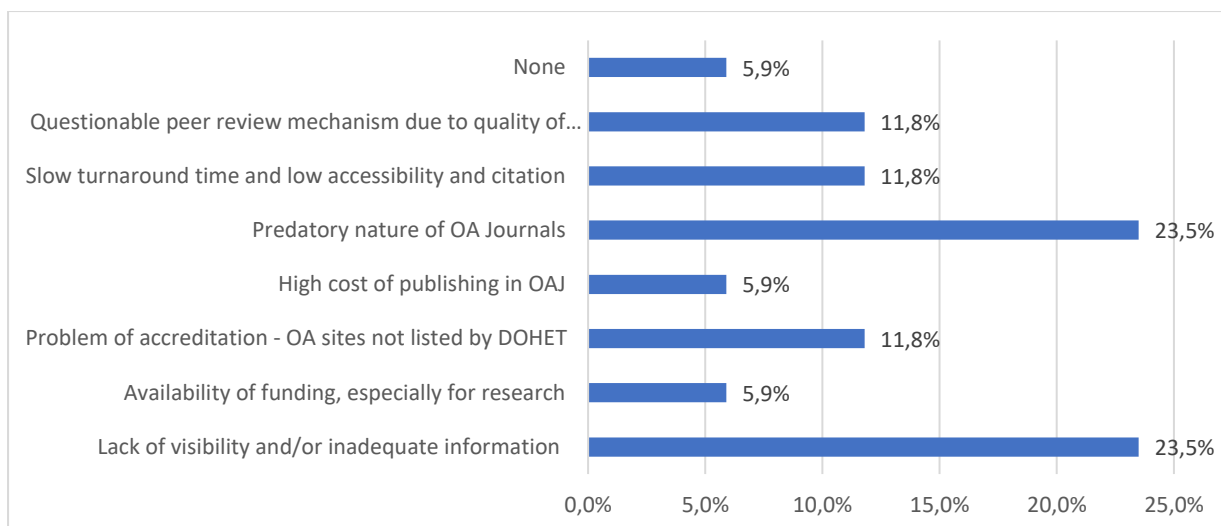
Characteristic	Cluster									
	Culture		Development		International and Public Affairs		Society and Social Change		Total	
	N	%	N	%	N	%	N	%	N	%
Disagree	3	42.9%	2	33.3%	1	50%	3	42.9%	9	40.9%
Not Sure	2	28.6%	3	50%	0	0.0%	3	42.9%	8	36.4%
Agree	2	28.6%	1	16.7%	1	50%	1	14.3%	5	22.7%
Total	7	100%	6	100%	2	100%	7	100%	22	100%

4.8 Challenges faced in publishing on OA journals

The sampled academics were asked to list the challenges they may face when publishing on OA platforms. The results of the multiple response analysis of the data is provided in Table 4.22 and Figure 4.3 below:

Table 4.22. Barriers to publishing on OA platforms

Barriers to publishing in OA Journals	Number	Percent (Responses)	Percent of Cases
Lack of visibility and/or inadequate information	4	23.5%	33.3%
Availability of Funding, especially for Research	1	5.9%	8.3%
Problem of accreditation - OA sites not listed by DoHET	2	11.8%	16.7%
High cost of publishing in OAJ	1	5.9%	8.3%
Predatory Journals	4	23.5%	33.3%
Turnaround Time and Accessibility	2	11.8%	16.7%
Questionable peer review mechanism due to quality of articles	2	11.8%	16.7%
None	1	5.9%	8.3%
Total (N)	17	100%	141.7%



*Multiple responses

Figure 4.3: Barriers to publishing in OA journals

The most mentioned barriers to publishing in OA journals were lack of visibility and/or inadequate information and “predatory nature of OA journals”, both sharing the same proportion (23.5%; n=4) of respondents who opted for them. There were also others (35.4%; n=6) whose concerns about OA journals centred around problems of accreditation, quality of articles judging by what they saw as “questionable peer review mechanisms” and “turnaround time and accessibility”, all of which were cited by the same percentage (11.8%; n=2) of respondents. The rest of the respondents (17.7%; n=3) indicated either “none”, “Availability of funding, especially for research” or “High cost of publishing in OAJ” in similar proportions (5.9%; n=1).

A few respondents are cited below to illustrate the perceptions of the sampled academics towards publishing in OA journals:

- *“I have very little information on OA platforms. I still have to learn more and I am willing to publish on these platforms”.*
- *“I have not experienced any difficulties, the challenge is that these important journal sites are not listed by the department of higher education and training (DoHET), yet they should be”*
- *“The articles are not getting the visibility they claimed. I have published some of my papers on OA and the citation is very low”.*
- *“The rules of the journals differ, others end up owning one’s manuscript and force us to sign agreements that hand over our articles to them”.*

- “We are not even allowed to load the article online because they own it.
- “The cost of publishing on OA is very high”.
- “Some lie about their accreditation status; others are not recognized or accredited by the Department of Higher Education and Training”.

4.9 Reasons for not publishing in UKZN OA journals

In Tables 4.23 and 4.24 the reasons for the negative or neutral responses in the specific cases of publishing in UKZN OA journals and OA journal publishing platforms in general are presented.

The concern of half (50%) of the sampled academics regarding their failure to publish in UKZN OA journals was ‘Lack of visibility and/or inadequate information’. The other half (50%) of the respondents either indicated “Problem of accreditation OA sites not listed by DoHET” (25%; n=1) or had provided no reason (25%) (Table 4.23).

Table 4.23: Reason for not publishing in UKZN OA journals

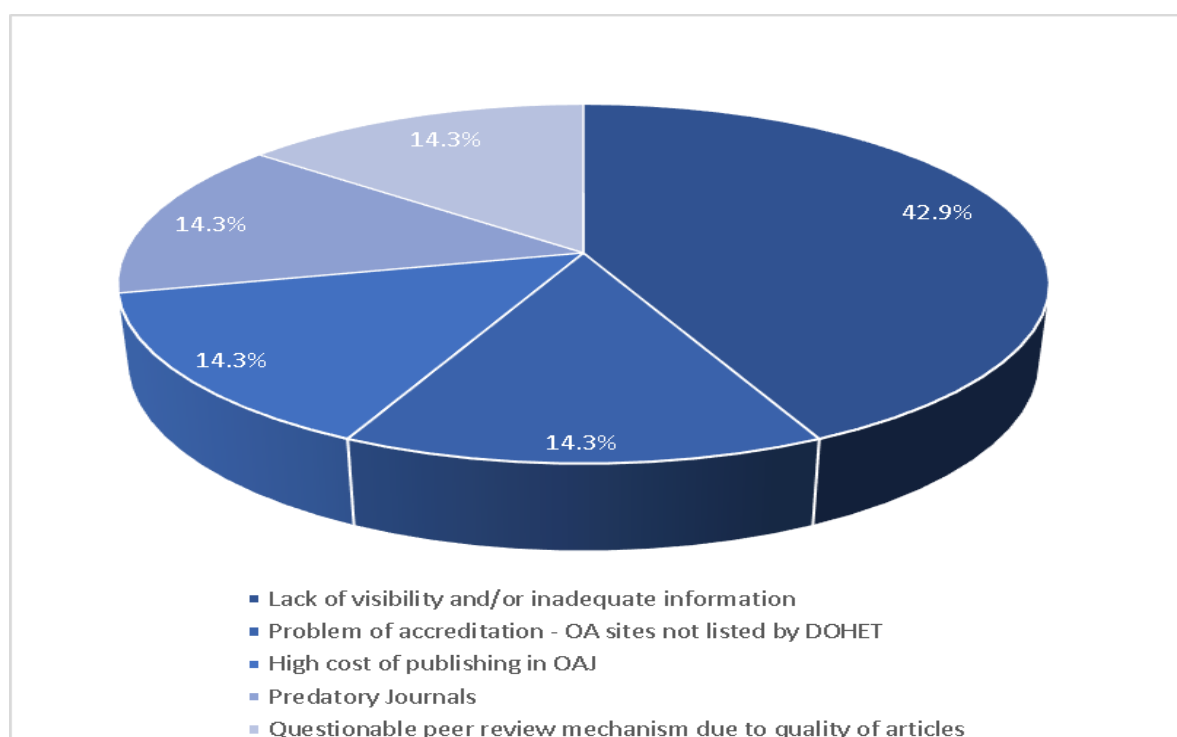
Reason	Number	Percent (%)
Lack of visibility and/or inadequate information	2	50
Problem of accreditation - OA sites not listed by DoHET	1	25
No reason	1	25
Total (N)	4	100

Regarding OA journals in general, more than two in five (66.6%) respondents cited “Lack of visibility and/or inadequate information” as the reason for not publishing in OA Journals. While 22.2% chose “Predatory nature of OA journals”, the same percentage (11.1%) cited either “Non-availability of funding, especially for research”, “Problem of accreditation - OA sites not listed by DoHET”, or “High cost of publishing in OA Journals.

Table 4.24: Reason for not publishing on OA journals platforms

Characteristic	Number	Percent (%)
Lack of visibility and/or inadequate information	4	44.4
Non-availability of funding, especially for research	1	11.1
Problem of accreditation - OA sites not listed by DoHET	1	11.1
High cost of publishing in OA journals	1	11.1
Predatory nature of OA journals	2	22.2
Total (N)	9	100

Figure 4.4 shows the data on the concerns of respondents who indicated “No” or “Not Sure” in their responses to the statement “I plan to publish in OA journals”. The data shows that most (42.9%; n=3) of the respondents cited “lack of visibility and/or inadequate information” as the main reason for being “not sure” or unwilling to consider publishing on OA journals in the future.

**Figure 4.4: Reason for not being sure of or not considering publishing in OA journals**

The rest, in similar but smaller proportions (14.3%; n=1), were “Problem of accreditation - OA sites not listed by DoHET”, “High cost of publishing in OAJ”, “Predatory journals and “Questionable peer review mechanism due to quality of articles”.

4.10 Strategies

The sampled academics were prompted to list strategies that could be used to encourage academics to publish in OA journals. The main themes that emerged from the content analysis of the responses were advocacy, capacity building, funding, accreditation and quality assurance.

4.10.1 Advocacy and capacity building

Respondents were of the view that advocacy and capacity building were critical to encouraging academics to publish in OA journals. Advocacy and capacity building do not only create awareness and develop capacity, that is, knowledge of the OA journal platforms, for example, mandate policies, but also ownership and participation in the OA journal platform.

The tools for creating awareness and capacity building, according to some of the respondents, include workshops and seminars to make available information on OA journals platform, for example, processes, opportunities, benefits and disadvantages of publishing on OA platform; and list of accredited OA journals.

4.10.2 Incentivisation scheme

Incentivisation schemes were also mentioned as a strategy to “reach out to academics and assist them to publish on OA journals”. Such schemes may focus on providing funding for research and reward for OA journals repository contributors.

4.10.3 Expansion of OA journals accreditation base

Accreditation of OA journals was also mentioned as a strategy to promote OA journal platforms among academics in the School, and by reference the University of KwaZulu-Natal. The respondents were of the view that the DoHET should recognise more OA journals. According to one of the respondents, “*The Department of Higher Education should credit OA journal sites because they are not predatory sites. They offer the same critical review as other publication sites*”. Others called on the authorities to “reward top repository contributors” and “publish public statements on journal cancellation”.

4.10.4 Improvement in quality of OA publishing journals

A few of the responses on strategic interventions to promote participation in OA journal publishing touched on quality issues. The few respondents called for more improvement in quality of some OA journals to instil confidence and attract quality-conscious academics to publish in OA journals.

4.10.5 Archiving OA journal articles on UKZN ResearchSpace

Making OA journal articles available on UKZN Institutional Repository will not only increase visibility of OA publishing journal articles but also readership.

4.11 Comments

The final survey question explicitly asked respondents to give their final comments, if any, on the OA journal publishing platforms. Acknowledging the barriers to publishing on the OA journal platforms, participants’ comments were generally positive, indicating that academics are willing to publish on the OA journal platforms. Most of the listed comments highlighted the advantages of OA publishing journals. A sample of the comments are listed below:

- “*A good exposure platform for upcoming academics.*”

- *“Journals are easily accessible to researchers. No need to subscribe. OA journals provide free access to knowledge & contribute in closing the digital divide. Not so rich scholars can have access to good quality journal articles.”*
- *“It is advantageous because there are no fees paid for the publication. However, there should be just rules that they construct to ensure that our publication rights are not infringed”.*
- *“If OA Publishing will make information more easily available to scholars and students and whoever else will find such information of value - then OA Publishing should be encouraged. Afterall information and knowledge should serve as a public good; and for the benefit of the entire humanity and the natural environment”.*
- *“I still have no idea on OA. We need more training and awareness we need more DoHET recognized OA publishing.*
- *“They don’t take long to give review feedback. Their review feedback is always easy to understand and to address other than other publication sites”.*
- *“The fees are very high. It will be difficult for scholars in the Global South to publish in OA journals.*

4.2 Interview schedule results

Interview data was collected from the Library Director and the Dean of Research. Since the study employed mixed methods, qualitative data was analysed using thematic analysis and quantitative data used SPSS software for statistical data analysis (Patil, 2020). The interview schedule was categorised into two sections; Section A: OA Awareness and Section B: OA Advocacy. This section presents findings in the form of themes as emanated from the research questions of the study as follows:

- The attitudes and perceptions of academics.
- Academics’ awareness of OA publishing;
- Challenges of OA publishing; and
- The role of the Library in OA publishing;

4.2.1 Response rate

The researcher used semi-structured interviews as a data gathering tool. The interviews assisted in gathering explicit information relating to the study and allow the researcher to probe for clarification of the phenomena being studied. Interviews offers the researcher flexibility to ask follow-up question to gain in-depth understanding of the topic under study and clarify questions when required (Rajat & Nandan, 2020). The researcher received a 100% rate on the interviews. There were two interviews conducted one with the Library Director on the 18th November 2021 and the and the second with the Dean of Research on the 25th March 2023. The interviews were conducted online via Zoom. The data collected was analysed and presented without any possible identification of the respondents to maintain confidentiality.

4.2.2 The attitudes and perceptions of academics

Awareness was used as an important variable to ascertain the knowledge and understanding of OA publishing amongst the academic community of the SSS. Awareness was considered as one of the determining factors in the adoption of OA as an alternative model of journal publishing. Low or lack of awareness was perceived to prevent academics from participating in OA events such OA international week as well as publishing in OA platforms.

To establish the level of awareness of OA journal publishing amongst the academic community in the SSS five questions were asked in the interviews. The questions were to ascertain the understanding, the experience of and participation in OA publishing, and attendance of advocacy events hosted by the Library Services. Although both interviewees had a good knowledge, and understanding of OA publishing, the findings derived regarding academic's knowledge of OA journal publishing presented conflicting views. One of the interviewees said:

“I think the level of awareness is not as great as it should be; that is evidenced by the number of authors we have right now, whose works are not captured in our Open Journal System (OJS)”.

The majority of Journal Managers using OJS as publishing platform for OA are from the Humanities; none of them belong to the SSS or not even one of the Clusters within the School. The Library

launched the OJS platform referred to as OpenJournals@UKZN to support UKZN Journals managers who publish their articles in the OA mode of publishing.

In contrast the other respondent stated that:

“They are aware, but I think they lack an understanding of the power dynamics and the political space; and the abusive nature of some of the publishers. So, we’re kind of constantly being forced to support to pay the fees. It’s open it will be available to everybody, but we can’t go and just carry on doing that because we’re supporting predatory publishing in some instances. I’m a bit concerned in relation to the level of understanding of what the landscape of OA publishing, it’s implications for them and their work, the University, the country and the knowledge economy in general”.

4.2.3 The awareness of OA publishing amongst the academics

A question in the interview was asked to determine the attitudes and perceptions of academics towards OA journal publishing. The findings of both interviewees revealed that SSS academics were in favor of OA journal publishing. The interviewee response was:

“Most Social Scientists will take on a position very similar to mine, where we in principle will agree that knowledge production outputs findings et cetera, especially because most of the knowledge we produce come from public support, for example, UKZN is a state funded institution. So even if I’m payed a salary, it’s public money. So, what I produce is to be made available to the public”.

The other interviewee concurred with this view, saying:

“My view is that they are very much in support of OA. The reason being that all researchers want their research to be readily accessible for obvious reasons, because knowledge production is for changing the world, so it cannot change the world if it’s hidden. If it’s not accessible, and so Social Science researchers study social phenomena, they study issues that have to do with the way people live and they don’t do that so that their hard work could be hidden behind pay walls or just be forgotten in some obscure channel, I am pretty sure that they engage in research so that they can improve the quality of people’s lives and also so that their research, could be easily and readily accessible”.

In a nutshell both of these findings highlight the importance of making research accessible in order to make an impact on the society, therefore OA publishing is currently the only model of sharing and dissemination of research free of charge to the public.

However, one respondent highlighted some misconceptions about OA publishing that of poor quality. The interviewee remarked:

I think the few maybe who might have a different view on OA. It could maybe based on misinformation of OA in the sense that some people think that if something is readily available and it's free of charge, it means it does not have value. Now that's conception“.

There is misconception about OA articles, that they are not peer reviewed is highlighted above. There are non-commercial OA indexes which catalogue credible OA Journals, to mention a few, the Directory of OA Journals (DOAJ) and The Scientific Electronic Library Online (SciELO). Nevertheless, there were advantages of publishing in OA cited by the interviewees:

- “Visibility of research that others can build on it”;
- “Researchers gain more citations if their research work is easily accessible”;
- “Increase the number of citations”;
- “Discoverability of research”; and
- “Research becomes impactful and relevant to the society”.

4.2.4 The knowledge economy and politics of OA publishing

In addition to the questionnaire, a questionnaire in the interview on the knowledge of OA publishing was asked for both interviewees. The question was asked to determine the understanding of OA publishing and funding implications. One interview participant commented that:

“The publishing landscape has always been skewed to the sciences, the Health Sciences, the Physical Sciences and Biological Sciences. So, we've always had to compete in that space. The Social Sciences have to always compete in the space and now you have this OA, but as I've said if they are serious about OA, why are we paying page fees?”

In agreement, the other interview participant stated:

“We live in a very science driven world, there’s a belief that most of the challenges that are faced in the world, the solutions are found in science. Take for example the pandemic that is currently going on in the entire world. The solutions or the way forward is coming from what you’d call the STEM disciplines in terms of studying the pandemic itself, the disease. It’s epidemiology and how it can be dealt with is not coming from the Social Sciences side. So obviously more funding is likely to be poured in the science rather than in the Humanities side.”

The findings indicate a political and economic landscape in the accessibility of research in the African continent. The literature also highlights the disparities in the funding model for the Humanities and Social Sciences and Scientists (Mandler, 2014). There was general consensus amongst the two interviewees regarding the bias in funding allocations particularly the research funding agencies in academic institutions. Generally, all sciences get to attract more funders than Humanities and that shapes the affordability to publish in certain ‘prestigious’ OA journals. For example, an interviewee noted:

“Many of us who understand how gatekeeping takes place, and how you control publishing you probably hear of the old White Boys Club and they control some of the journals. You can’t even submit a paper because the editors will control who can submit. So, unless there’s a substantial decline or there’s no page fees the OA is a problematic term for me because somebody is paying”.

The issue of article processing fees has not changed since the uptake of OA publishing. The interviewee remarked *“Publishers just figured out how to make money. Universities have to pay, the publishers are not making it open, so we subsidising their OA by paying humongous page fees”*. According to the literature there were two main reasons for propagating the OA mode of publishing - the economic (serial crises) and democratic reason (publicly funded research made available free of charge (Czerniewicz & Goodier, 2014). Two questions were asked in the interview to examine the extent to which the serial crises affect scholarly communication which subsequently contributed to the development of the OA movement. One participant highlighted:

“Well, it has huge impact on it because when the journal costs go up, that cost has to be absorbed by libraries and libraries are also functioning under very strict financial conditions. So, if journal costs go up, means that libraries are not at liberty to subscribe to a wide variety of general titles, as they would want and immediately it negatively

affects the accessibility in terms of certain journal titles, which means that those titles that libraries cannot afford to subscribe to”.

The issue of the rising cost of journal publications affects access and dissemination of scholarly publications. The subscription model has continued to increase the subscription cost of journals. It seems that publishers will always find ways of maximising profit out of journal publications whether in an OA based or traditional subscription model. One interviewee remarked:

“I know who's making money and who's making money are publishers, the irony is the page fees have increased and I don't know what we're paying for because it's all electronic, so nobody is printing anymore.”

4.2.5 The African continent and the accessibility of research

In addition to the questionnaire on the knowledge of OA publishing both interviewees were asked a question on their understanding of OA publishing. The findings revealed that both observed a worldwide initiative undertaken to make research accessible globally including the African continent. The drive is referred to as OA2020, its agenda strongly advocates for free availability of research through an OA mode of publishing in the entire world. The drive contributes to addressing issues of inclusivity and unequal access to information between the ‘Global North and South’. Two agreements are proposed regarding access to research in the OA2020 agenda. The agreements are to be entered into between the publishers and authors through their affiliated institutions. The purpose of the agreement as explained by the one of the interviewees is to:

- *“Transformative agreement looks at cost neutrality or cost neutralization*
- *Transformational agreement focuses on cost effectiveness aspect of the availability of OA material both aimed at:*
 - *Full conversion to OA;*
 - *Cost for the availability of published works remains neutral; and*
 - *Migration to fully OA platforms”.*

” While that seems good, it does not fully address the challenges that are specifically related to the African continent” the interviewee added and cited the following issues faced by the African continent:

- *“The currencies are not the same;*
- *Europe is the first world country with stronger currency;*

- *The desire and commitment to promote OA should take into consideration the realities faced by African continent, the uneven economic distribution between the two continents;*
- *South Africa is not ready for transformative agreements because it only looks at cost neutralisation;*
- *The South African currency is weak compared to the dollar and pound, therefore cost neutralisation will not benefit South Africa and the African continent;*
- *South Africa and the African continent are looking at transformational agreement, because they focus more on affordability. How can the cost be lessened while you promote accessibility?”*

Further to the accessibility of research published in Africa there is the issue of power dynamics in the sharing and publishing of research produced in Africa. The interview revealed that African research output is comparatively less than that produced outside of the African continent. The interviewee remarked:

“And that's not because we do not have scholars in Africa that can produce high quality research. Very few African researchers are collaborating with fellow African researchers. Many of them are collaborating with the researchers from other continents; outside of the African continent and that creates the impression of inferiority in terms of African produced research”.

The interviewee cited Indigenous Knowledge System (IKS) as an initiative whose aim is to promote knowledge and research that is produced in Africa so that the stigma on African produced research can be addressed.

4.2.6 Challenges of OA publishing

To establish the challenges academics faced in SSS when using OA platforms, one question was asked in the interviews as well as the questionnaire which was measured using the Likert scale. One of the criticisms of OA Journal publishing derived from the interviews was the credibility of OA publishing. The questionable publishing practices such as the lack of peer review process in some of the OA journals was highlighted by the one interviewee. The interviewee remarked:

“Some of these journals claiming to be OA, are horrific in terms of quality, the major criticisms of OA are how it has fuelled predatory publishing. You publish anything and everything and you

just pay a fee. Sometimes it's like reviewed overnight so there's a range of credibility issues, a range of issues around the quality”.

The issue of predatory publishers in OA journal publishing is a major concern. It has infiltrated reputable publishing houses and information database indexes such as Scopus (Federičová, 2016). Another challenge highlighted by the interviewee was the article processing charges. A shifts the burden of pay for article publishing to academics. The interviewee noted:

“The burden of the academics to pay for this so-called OA. The academics, who are already raising the funding, getting the science, done putting in their sweat because we actually publish the papers, we do the work.”

4.2.7 The role of the library

The UKZN Library Services signed the Berlin Declaration in 2012 as a commitment to knowledge sharing and the principles of OA publishing. Further to this the Library Services formulated a policy on OA. In order to determine the usage of the OA journal platform hosted by the Library, a question was asked to establish the role of the Library. Although the study was not about the usage but rather on attitudes and perceptions of academics towards OA publishing, the researcher felt the question was relevant to determine the academics’ perspective of the UKZN OA journal publishing platform. The interview results highlighted a low usage of the OJS publishing platform. The interview made the following remark:

“What I was going to say is that maybe the only regret that we have right now which is not really a major regret is that we haven't been able to convince all of our Social Science researchers to publish their work, or rather to make their work available on OJS.”

The Dean was asked a question about the user-friendliness of UKZN OA publishing platform. The interviewee commented:

“For me personally, I don't use those search engines directly. I think that the libraries for the type of research I do, the library system is robust enough that I can go through? even Google Scholar, as long as I sign in and things of that sort, it takes me to whatever article I want whether it's OA or not, I don't.”

The findings revealed no knowledge of UKZN OJS publishing platform, but that the Dean uses the Library system. It also revealed that the interviewee does publish on OA but not intentionally. The other interviewee highlighted a pivotal role the Library Services could play in marketing the UKZN OJS. The findings also revealed that there were very few journals published on this platform. A number of UKZN structures were suggested as platforms to promote the use of the OJS. The interviewee suggested the following:

- *“School Boards;*
- *Library Advisory Committee;*
- *The Senate;*
- *University notices; and*
- *Communique to academics etc”.*

One interviewee emphasised the importance of the policy that would provide the Library Services, academics, and the Research Office with clear guidelines on the practices.

To ascertain the model of publishing and practices used by SSS academics in publishing their research, three questions were asked in the interviews. The interviews revealed that SSS academics do publish their research on OA platforms such as ResearchGate, Academia.edu, Google Scholar and other OA publishing platforms. An interviewee responded that:

“If you look at that particular value chain that social scientists have, they been at the forefront of social justice issues of equity, of ensuring that knowledge produced should be for the good of society and therefore available for society to use to be subjected to critique something that we would in the Social Sciences support”.

In agreement the other interview stated:

“I would say that in my view, the majority of Social Science researchers are very much in favour of OA and also this is evidenced by the number of OA platforms they use in order to publish their work”.

4.3 Summary of the chapter

This chapter presents the results of the findings on the attitudes and perception of academics in the SSS at UKZN. The findings are derived from the data collected from the survey questionnaire and interview schedule. The survey questionnaire results were analysed through SPSS. The SSS consists of four Clusters. The results of the questionnaire were categorised by clusters to obtain a better understanding of the phenomenon studied. Results for each cluster were compared to arrive at a deeper analysis. The interview data was collected from the Library Director and the Dean of

Research. The data collected was analysed using thematic content analysis. The findings for both survey and interviews indicates that academics were aware of OA publishing to varying degrees, some publish in OA and hybrid journals. However a large percentage publish in traditional subscription journals. The results further indicates a lack of knowledge of the dynamics of OA publishing by the academics

CHAPTER FIVE: DISCUSSION OF FINDINGS

5.1 Introduction

The purpose of the study was to ascertain the attitudes and perceptions of academics in the School of Social Sciences toward OA journal publishing. This chapter presents the discussion and the interpretation of results from data collected through a questionnaires and interviews. According to Hess (2004, p. 179) “one of the purposes of the discussion is to explain the meaning of the findings and why they are important, without appearing arrogant, condescending, or patronising”. The objectives of the study, were to:

- Ascertain the attitudes and perceptions of the Social Sciences academics towards OA journal publishing;
- Determine the level of awareness and knowledge of OA journal publishing among Social Sciences academics of the UKZN;
- Identify the challenges Social Sciences academics face when publishing on OA platforms
- Identify where UKZN Social Sciences academics publish their research; and
- Determine strategies that can be used to encourage Social Sciences academics to publish on OA platforms.

The chapter presents the interpretation of the findings of the collected data to answer the research questions. The following questions informed the research:

1. What were the attitudes and perceptions of the Social Sciences academics towards Open Access journal publishing?
2. What was the academics level of awareness of Open Access journal publishing?
3. What were the challenges Social Sciences academics face when publishing on OA platforms?
4. Where were UKZN Social Sciences academics publishing their research?
5. What strategies could be used to encourage Social Sciences academics to publish on OA platforms?

The analysis and discussion below follow the order of the research questions, however it is important for this study to describe the respondents' background first as it has bearing on the interpretation of the results.

5.2 Respondents' background

The SSS is comprised of four clusters that are spread across the Howard College and Pietermaritzburg campuses of the UKZN. The sample of respondents drawn from the Culture cluster comprised 29% of the overall academic staff complement in the School; the Development cluster with 25% of the Cluster's staff complement, International and Public Affairs with 16.7% of the staff, and Society and Social Change with 29.2%. The online survey questionnaire was administered to all academics in the SSS. There were 42 academics in the School of which 31 academics responded to the questionnaire. However, 5 of the questionnaires contained incomplete data, the data analysis was drawn from 26 academics. The interviews were conducted with the Dean of Research and Library Director as these positions are key in the Research division of the University. The background information for the respondents was crucial in understanding the academic profile of staff in each cluster, experience in the teaching and learning and the age range. The findings from this study revealed that the majority of the respondents, approximately 80% possess a PhD qualification and 11,5% were either an Associate Professor or Professor and were involved in research and publishing as per University policy for academic career progression. The age of academics helped the researcher to ascertain the level of experience and the likelihood of the academics' engagement in publishing. Although research and publishing are core to the career of academics at the University, not all academics are involved in journal publishing let alone in OA journal publishing.

In a similar study that was conducted on the attitudes of academics towards OA, a certain percentage of academics responded as not having published in OA journals because it was not applicable to them (Zhu, 2017). The literature in the studies conducted by Rodriguez (2014) and Dalton et al. (2020) on OA journal publishing in the Social Sciences indicated that younger academics form a higher percentage of those publishing in OA. On the contrary the results of this current study indicate that academics in the age range of 25 to 34 were not publishing on OA, while 33% (as indicated in Tables 4.11 and 4.12) of lecturers between the ages of 45 to 54 affirmed that they publishing in OA journals.

It should be noted that publishing costs money regardless of the mode (OA or Traditional) used. Younger researchers without an established funding reservoir may shy away from OA publishing. The study further indicated that the 55 to 64 and 65 to 74 age cohorts did not publish in OA. This trend concurs with that of Ajzen (1993) and Picken's (2005) theory of attitudes formation which manifest over a period of time. Advanced (in age) career researchers have developed trust in and credibility of the traditional mode of publishing.

5.3 The attitudes and perceptions of academics on OA publishing

Academics in the SSS exhibited a positive attitude toward OA journal publishing. Knowledge and awareness are the key constructs in assessing the attitudes and perceptions of academics towards OA journal publishing in this study. According to attitude theory, (Brooks & Warren, 2018; Pickens, 2005) which guided the study, knowledge and awareness determine the decision, behaviours and course of action regarding a particular phenomenon. The findings of the study revealed that the academics were supportive of the philosophy of knowledge sharing as a 'public good'. This was also in keeping with a response from the University Dean who noted;

“Most Social Scientists will take on a position very similar to mine, where we in principle will agree that knowledge production outputs findings et cetera, especially because most of the knowledge we produce come from public support, for example, UKZN is a state funded institution. So even if I'm payed a salary, it's public money. So, what I produce is to be made available to the public.”

Although there was overwhelming support for OA publishing, it does not translate to actions or practise. In Dalton's (2020) study on the attitudes of North American academics toward open access scholarly journals, it was found that 38% of SSS academics were in favour of OA publishing and 62 % were not. Dalton (2020) cited a survey study conducted by Coonin and Younce (2009) of SSS authors' attitudes. The results indicated the reluctance of the older academics to publish in OA journals which is similar to the current study's findings. OA journals were considered as less prestigious by the North American academics, thus they preferred to publish in subscription-based mode (Dalton, 2020). Similarly, in this study, 72% of academics were publishing in terms of the traditional subscription-based model (Table 4.13), 4.5% published only in OA journals and 22 % published in both OA and traditional subscription journals. This could be attributed to the ingrained

belief about the credibility of OA journals. It is an understandable practice for older researchers to prefer a publishing model that is familiar and reliable from their perception. According to Pickens (2005) perception is a psychological and physiological, meaning a person's perception on something of value, influences their behaviour and actions, even though the interpretation of the situation might not be entirely correct.

5.3.1 Knowledge and awareness of publishing in OA journals

As indicated in Chapter Four of this study one of the objectives was to ascertain the knowledge and awareness of OA publishing amongst the academic community of the SSS. The two variables (awareness and knowledge are considered to be determining factors in the adoption of OA as an alternative model of journal publishing. Low or lack of awareness was perceived to prevent academics from participating in OA events such as OA International Week as well as publishing in OA platforms. According to Warren and Brooks (2018, p. 43) attitude theory is the level of knowledge about a phenomenon which determines one's behaviour towards an object.

Although academics displayed positivity towards OA journal publishing, the degree of knowledge on some aspects of OA publishing varied from cluster to cluster. The results of the study revealed that the International and Public Affairs cluster displayed a high knowledge of most the OA publishing activities such as OA journal platforms, UKZN OA journals, ResearchSpace (UKZN institutional repository), publishing in OA in general and OA mandate policies, (see Tables 4.2, 4.3, 4.4, 4.5, 4.6 and 4.7, with 100 % having knowledge of UKZN's ResearchSpace as a publishing platform for Green OA. However, the knowledge of above-mentioned activities of OA were low with the exception of IR.

The findings of the study further reveal that 48% had knowledge of IR across the board amongst the academics of the SSS. The majority of the sampled academics displayed neutral responses which indicates a low level of and a huge gap in the knowledge of OA publishing. The question would be are academics seeing a link between ResearchSpace and OA publishing? Depositing articles in an IR is another mode of OA publishing referred to as Green Open Access publishing. In a study on academic attitudes on OA and the IR, Mutsvunguma (2019, p. 179) found positivity towards the IR where 95.1% of the academics were willing to recommend the IR to their university community. The study conducted by Tapfuma, (2016) revealed that 79,1% of academics had an awareness and

understanding of the IR. A study on the awareness and attitudes of academics towards OA publishing by Rodriguez, (2014, p. 609) indicated that authors in the Arts and HSS showed a growing awareness of and participation in OA publishing. In a study by Dalton, (2020, p. 90) on attitudes of HSS academics revealed doubt and indecision about the benefits of OA in expanding their readership amongst academics, hence the publishing practise was low, though they had positive sentiments about OA publishing.

5.3.2 Anticipated outcomes of OA publishing

This section will discuss the perceptions of SSS academics towards OA publishing. Seven questions to ascertain these academics' perceptions on the outcome of OA publishing were asked. The results of the study revealed positive perceptions regarding the anticipated outcomes of OA publishing. The majority of academics in almost all clusters responded positively to the statements that were posed on different aspects of OA publishing. The study revealed that academics were of the view that OA publishing will improve the turnaround time for articles to be published, with 80.8% affirming that articles will be easier to obtain through the OA mode of publishing. The results further revealed a high level of knowledge about OA publishing for all the statements regarding anticipated outcomes of OA publishing by the International and Public Affairs cluster. On the contrary the Society and Social Change cluster did not respond in four statements regarding the outcomes of OA. Although this study is not a comparative study of academics in the clusters, results indicated a gap in the level of understanding about OA publishing at cluster level (see Table 4.9) as stated by the one of interviews below:

“They are aware, but I think they lack an understanding of the power dynamics and the political space; and the abusive nature of some of the publishers. So, we’re kind of constantly being forced to support to pay the fees. It’s open it will be available to everybody, but we can’t go and just carry on doing that because we’re supporting predatory publishing in some instances. I’m a bit concerned in relation to the level of understanding of what the landscape of Open Access publishing, it’s implications for them and their work, the University, the country and the knowledge economy in general”.

5.3.3 Publishing in OA journals

The main objective of the study as mentioned earlier was to ascertain the attitudes, perceptions and experiences of academics with OA journal publishing. Six questions were fielded in the survey questionnaire. The questions focused on whether or not the sampled academics published on the UKZN OA journal platforms and OA journals in general. The results indicated that a majority of academics were not aware of the UKZN OA platforms and OA platforms in general. This was indicated in tables 4.3 and 4.11; only 20% confirmed publishing in UKZN OA platforms and 52.4 % were neutral which was more than half. This was also confirmed by the results of the interview where the uptake of publishing in the UKZN OA journal sites was very low. The implication of the results suggests a strong need for advocacy on OA publishing in the Schools in the form of workshops as opposed to large events like International OA weeks, which are often poorly attended by academics. The study further revealed age as a determinant in OA publishing practices amongst the academics of SSS. As mentioned earlier the 64 to 74 age cohort was not publishing in OA journals, in the 45 to 54 age cohort, 33% was publishing in OA journals, a clear indication of generational differences in perception. This was indicated in the study by Rodriguez (2014, p. 609). Rodriguez's study focussed on Arts, Humanities, and Social Science authors, where knowledge of OA publishing was reported to be increasing but OA publishing activity remained low. Apart from awareness of OA publishing in the SSS, discipline and culture also play a role. The Social Sciences and Humanities has a culture of publishing in terms of the traditional subscription-based model (Price, 2017). The culture could be attributed to different funding models for disciplines. Science, Technology and Medicine tend to attract more research funders compared to HSS. The results of this study also confirmed this view: *"The publishing landscape has always been skewed to the Sciences, the Health Sciences, the Physical Sciences and Biological Sciences"*. Social Sciences find themselves competing with hard sciences in terms of research grants and allocations.

This study revealed that a majority (72,7 %) of academics in the SSS were publishing in the traditional mode. In the study by Rowley et al. (2017) on academic authors' behaviours and attitudes, the results revealed that academics were not fully persuaded that OA publishing offers greater visibility than publication in a subscription journal.

Although the 4% of academics who publish in OA in the School was a small percentage, the results of the study show awareness of the benefits of OA publishing, as 100% across the board of those who

were publishing in OA did so to share their research. In addition, 83.3% cited citation impact as a reason for why they would publish in an OA journal. Academics publishing in both traditional and OA mode comprised only 22.7%. The reason for embracing both methods could be attributed to wanting to strike a balance between attaining credibility in one research output mode (traditional mode), as well as to increase citation impact and the availability of funding to pay for APC's.

5.3.4 Quality of OA journals

The quality of OA journals was considered another important variable that could positively or negatively affect the adoption of the OA model of publishing. In academia the quality of research in terms of articles published has direct implications for the research output of the University. It directly reflects on the University performance management which the university uses to reward productive employees. It affects the University ratings and academics' career progression. The credibility of journals in which academics communicate their research output findings is extremely important. The quality determinants used in the study to assess the perception of academics towards OA journals were: the peer review process, the speed in publication, visibility of research articles, greater citation impact, recognition by South African review committees and the notion that OA journals are on par with traditional subscription journals. The results of the study showed a positive perception within the academic community in all the clusters regarding the five mentioned quality traits of OA journals (see Tables 4.17 to 4.20), however 40,9% of the academics were of the view that OA journals were not on par with traditional subscription journals and this is a significant percentage which would explain why 72,7 % of the SSS academics' publishing preference was the traditional mode (Figures 4.2 and 4.3 and Table 4.13). Although the latest developments in OA journal publishing seemed to address some concerns of SSS academics, in a study conducted by Serrano-Vicente, (2016, p.602) respondents remarked that there were not many quality OA journals in their field. Similarly, these findings are supported by the expressed concerns of some SSS academics in the current study who advocated for an expansion of the accredited OA journal list by noting that: "we *need more DoHET recognized open access publishing*".

5.3.5 Challenges faced when publishing on OA platforms

The results of the study indicated that some of the reasons for the low levels of OA journal publishing uptake were: predatory publishing, lack of a critical peer review process, turnaround time and accessibility, lack of accreditation by DoHET, high cost of publishing in OA journals, availability of research funding and lack of visibility/and or inadequate information. Predatory publishing and lack of visibility and/or inadequate information were the major concerns of the academics in SSS as reflected in the 23,5% of responses for both factors. Earlier studies (Coonin & Younce, 2010; Rodriguez, 2014) on SSS academics' perceptions of OA publishing concur about the view of the slow uptake of OA publishing. The slow adoption was attributed to a number of factors which academics see as barriers to conversion to the OA model. Similarly, in the study conducted by Dalton (2020, p. 93) Social Science scholars expressed concerns on the quality of OA journal articles, their credibility and the peer review process.

In this study there was evidence that there was a considerable gap in the knowledge about OA journals in the School. The gap was reflected in the different understanding and interpretations regarding OA publishing amongst the Clusters. Journal accreditation by DoHET and other South African review committees was an important determinant of where academics could publish their research in order to be awarded with productivity units. The results of the study reveal that most (57.1%) academics in the Culture cluster knew that OA journals were accredited, along with 50% from the Development cluster, but none from the International and Public Affairs and Society and Social Change clusters.

Apart from these issues highlighted as barriers to OA publishing amongst the SSS, other barriers identified in the study are discussed in detail below.

5.3.5.1 The knowledge economy and politics of OA publishing

As pointed out in Chapter Four, the two main reasons for propagating the OA mode of publishing are the economic or serial crises and democratic reasons (publicly funded research made available free of charge) (Czerniewicz & Goodier, 2014). This was indicated in the case study on OA in South Africa conducted by Czerniewicz & Goodier, (2014). Some of the reasons were disciplinary culture as highlighted in this study and in other studies such as that of Dalton, et al., (2020, p. 93) who found that the high cost of APC's "may steer Arts, Humanities, and Social Science authors elsewhere". The

issue of research funding was a concern for SSS academics who always have to compete with the academics in the Health, Physical and Biological Sciences for funding. Funders tend to be biased in fund allocations towards hard sciences, which places SSS at a disadvantage in terms of advancing their scholarly communication models such as the adoption of Gold Open Access publishing. This view was also observed by Mandler (2014), who noted the disparities in the funding models for the (HSS) and natural Scientists.

5.3.5.2 The African continent and the accessibility of research

The development of the OA movement was sparked by the serial crises (increase in the cost of journal subscriptions) which affected the scholarly community in terms of access to scholarly research. The results of the study revealed a number of initiatives aimed at addressing the imbalances in information access between the Global South and North. One of the global initiatives was OA2020, a drive which proposed two agreements namely transformative and transformational agreements. The agreements aimed at levelling the playing field in terms of the accessibility of research and the publishing landscape on a global scale. Another drive, the European initiative by cOAlition S, known as Plan S was intended to ensure that publicly funded scholarly research was made accessible immediately through OA publishing models. Other OA publishing models such as the Gold OA publishing model seemed to perpetuate economic inequalities between the global North and South. In a study conducted by Demeter & Istratii, (2020, p. 505) the findings revealed that APC's were higher in journals with high impact factors. Most of the journals with a high impact factor are published by the global North publishers such as Wiley, Sage, Elsevier and so forth. This means that the gap between the global South and North continues to widen as a result of such OA publishing practices models. This trend is a major concern in developing countries which studies Rosenblum et al., (2022, p. 137) have highlighted. African and South African universities have entered into transformational agreements through major publishing houses such as Wiley, Sage, Elsevier, and Taylor and Francis to promote OA publishing and accessibility to research in the African continent. One of the major challenges of OA journal publishing in developing countries is the cost of APC's, as noted by Peterson, (2013) "*the fees are very high. it will be difficult for scholars in the Global South to publish in Open Access journals*".

The academics in the SSS highlighted the cost as one of the impediments in OA journal publishing." *the irony is the page fees have increased and I don't know what we're paying for because it's all*

electronic, so nobody is printing anymore.” Similarly, in Dalton’s study (2020, p. 55) HSS authors reported being unable to fund APC’s.

The results of the study further revealed that the transformational agreement is a suitable option for South African universities because it focuses on the affordability aspect of the availability of OA material with full conversion to OA. The enhancement in transformational agreements with Wiley, allows academics to publish in OA journals without APC’s in 2023. However, it does not solve the problem of APC’s as pointed out by the following remarks: *“Scholars and their institutions scramble to assemble funds sufficient to allow scholars to continue publishing their work. Authors in the Global South and less prosperous institutions everywhere often must pay these fees from their own pocket*” made by Rosenblum et al., (2022, p. 136).

5.3.5.3 Predatory publishing

In establishing the perceptions of the SSS academic community towards OA publishing, questions were asked in the interviews as well as the questionnaire regarding the challenges academics faced when publishing in UKZN OA platforms and OA platforms in general. Academics expressed concerns regarding the predatory publishing in OA journals. The results displayed in figure 4.8, tables 4.21 and 4.25 attest to this point. The results reflect the perceptions of academics who were not publishing, unwilling to publish or facing challenges when publishing in either UKZN OA journals or OA journals in general. Some of the scholars who have conducted studies on predatory publishing were Federičová (2016), Shyam (2017), Mouton (2017), and Duc et al. (2020). The literature stated that the “emergence of fraudulent scientific journals (called "predatory journals") represents one of the greatest threats to science” (Duc et al., (2020, p. 318). According to Dudley, (2021, p. 9) the “the growing dominance of the pay-to-publish model has given rise to sub-standard, predatory, and fake journals”.

The issue of questionable publishing practices is a major concern and creates challenges in developing countries with limited resources for APC’s. In a South African study conducted by Mouton & Valentine, (2017), it was observed that predatory publishing was prevalent across all disciplines in South African universities. According to a study conducted by Nguyen et al. (2020, p. 319) predatory journals are now appearing in trusted databases such as PubMed, PubMed Central, MEDLINE, Scopus, and Web of Science. It is not fair to discredit OA

publishing on the grounds of questionable practices such as predatory journals. The researcher proposes that the issue of predatory publishing is caused by opportunistic publishers who wanted to make money out of scholarly publishing and the literature supports this view (Peterson et al., 2013). It was also fuelled by the introduction of exorbitant APC's.

Solomon & Björk (2012, p.6) have argued that since the major publishing companies, like Springer Nature, Royal Society and Sage have introduced OA policies of their own they have charged authors' exorbitant processing fees which has fuelled the increase of predatory journals. This was often understood as "double-dipping" since subscription fees were still charged for the journal, and revenue was increased by opening up selected articles with these newly introduced fees. These major publishers were trying to use the OA so as to profit even more (Price & Puddephatt, 2017, p. 6).

However, predatory journals are not unique to OA journals. Scopus is one of the trusted databases, but it was found to have indexed predatory journals. Scholars supporting OA publishing as a mode for communicating research must defend the cause of OA publishing by conducting more scientific studies on the benefits of OA publishing not only to authors but the scientific community at large. In summing up the perception of SSS on the issue of OA publishing and predatory publishing, one academic commented that:

"some of these journals claiming to be Open Access, are horrific in terms of quality, the major criticisms of Open Access are how it has fuelled predatory publishing. You publish anything and everything and you just pay a fee. Sometimes it's like reviewed overnight so there's a range of credibility issues, a range of issues around the quality".

5.3.6 Strategies used to encourage UKZN academics to publish on OA platforms

Academics expressed positivity towards OA journal publishing and presented strategies that could be employed to encourage OA publishing. The results of the questionnaire and interviews indicated some strategies to encourage OA publishing at UKZN. The Library was seen as having a pivotal role to play in providing training, advocacy and awareness on OA related publishing activities. Some academics expressed a lack of knowledge and information regarding OA publishing. Below are the strategies suggested by the academics:

- Advocacy and capacity building.
- Incentivisation schemes which may include funding, especially for research.
- Expansion of accredited OA journals base.
- Improvement in quality of OA publishing journals and
- Archiving OA journals articles on the UKZN ResearchSpace.

5.3.6.1 The role of the Library in Open Access publishing

The results of the study indicated that only 20% of academics from the Development cluster were publishing on the UKZN OJS platform. These results challenge the Library to revisit its OA advocacy strategy. The following strategy was suggested for the Library to improve the usage of UKZN OJS as an OA publishing platform:

- Make this a standing item at School Board meetings;
- Make this a standing item at Library Advisory Committee;
- Make this a standing item at the Senate;
- Regularly publish information on the University notice system; and
- Communique to be sent to academics.

The UKZN Library Services is in the process of rolling out a Personalised Librarian service to support researchers. The current ratio of librarians to academics is 1:40. In order to reach all academics in the

Schools, the required ratio is 1:10 Subject Librarians. This ratio will ensure that fewer academics are allocated to one librarian. It is envisaged that this approach will strengthen and expand research productivity of the University. Part of the Personalised Librarian service is to provide advanced research support. This includes providing awareness to the academics of the available avenues of OA publishing. The Library signed the Berlin Declaration in 2012 and the OA policy was approved in 2022. The Library Services through SANLiC has signed transformational agreements with major publishing houses to promote Gold OA journal publishing. This is an indication that the institution is in full support of all forms of OA publishing including Green and Gold OA. The current study supports the findings of the study conducted by Dalton, (2020) in that it suggests a need for more education for specific groups of academics such as Arts, and HSS on OA outlets. The results further emphasised the importance of the OA policy that provides the Library Services, Academics, Research Office, clear guidelines on OA practices. In a study conducted by Mutsvunguma (2019) on IRs as platforms for OA in South African universities, the participants of the study suggested improved OA awareness programmes offered by the library for the academic community on OA. This study had similar recommendations from the SSS. In the study conducted by Ravikumar & Ramanan, (2019, p. 86) on the perceptions of academics on the credibility of OA publishing versus traditional subscribed journals, the results revealed that academics regard subscription journals as trustworthy and credible compared to OA journals, a view held by respondents from this study, some 72% of academics in the SSS. The study recommended that the Library should play a proactive role in educating the academic community on the issues of quality, and the advantages and accreditation of OA journals.

5.4 Summary of the chapter

The chapter provided a detailed analysis and interpretation of the results by drawing from the findings as presented in the data presentation chapter. The significant findings were that academics in the SSS were aware of OA journals publishing. The level of awareness and knowledge varied from cluster to cluster. Clusters such as International and Public Affairs and Culture and the Development displayed a high level of knowledge of OA journal publishing compared to the Society and Social Change. The Development cluster was the only cluster that publishes in the UKZN OA platform. In terms of the quality characteristics of OA journals, a majority of academics across all clusters were of the view that OA journals met all the quality traits. However, they did not agree that OA was on par with the traditional subscription model. Regarding perceptions of OA journals, the main concern was the predatory nature of OA journal publishing and lack of visibility/and or information on OA journals.

Although 72 % of academics indicated that they were publishing in the subscription model, nine OA journals were listed as the journals in which the School's academics publishes their research. The APC's were a hindrance in publishing in OA journals in the SSS and HSS. The study revealed that the library needs to expand training programmes and awareness of OA publishing particularly for young academics.

CHAPTER SIX: SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

6.1 Introduction

The purpose of the study was to ascertain the attitudes and perceptions of academics in the SSS at the UKZN towards OA journal publishing. The study answered the following key research questions:

1. What were the attitudes and perceptions of the Social Sciences academics towards OA journal publishing?
2. What was the academics level of awareness of OA journal publishing?
3. What were the challenges Social Sciences academics faced when publishing on OA platforms?
4. Where were UKZN Social Sciences academics publishing their research?
5. What strategies can be used to encourage Social Sciences academics to publish on OA platforms?

This chapter presents the summary, conclusions, and recommendations based on the objectives of the study. OA journal publishing is an evolving area of research, certainly this study makes a small contribution to this area of research within the South African context. Suggestions for further research will be presented at the end of the chapter. This chapter begins with an overview of the chapters that made up the study.

6.2 Summary of the thesis

Chapter One provided an overview of OA and OA journal publishing as an alternative model of communicating research amongst scholars in the research community. The outline of the research problem, key research questions to be answered in the study, broader issues to be investigated, the rationale of the study and the definition of terms as employed in the study were presented in this chapter.

Chapter Two discussed the literature and related studies regarding the development of the OA movement. The factors that contributed to the changes in scholarly communication globally were outlined. The chapter discussed the role of the academic communities, libraries and funding agencies

in the introduction of OA mandate policies. The status of South African universities and research funders in relation to OA publishing was explored.

Chapter Three presented a detailed discussion of the research methodology. The chapter discussed the research paradigm adopted for the study, the methods, research design, population of the study, data collection and data analysis procedures. The study adopted the pragmatic paradigm as discussed in detail and related studies that employed a similar world view were cited. The methods adopted were discussed and a mixed method, including both qualitative and quantitative approaches were described. The justification for the methods used in the study were discussed. Reliability and validity of the data collection instruments and ethical consideration were also reviewed.

Chapter Four presented the findings of the data collected from the questionnaire and interviews with academics, the College Dean of Research and the Library Director. The data findings were presented in the form of tables, graphs, figures, charts and themes. The summary of the data gathered from both questionnaires and interviews were organised and presented in accordance with the research objectives of the study.

Chapter Five presented a detailed analysis and interpretation of the findings on the attitudes and perceptions of Social Sciences academics towards OA journal publishing, their level of awareness and knowledge, the barriers to the adoption of OA publishing platforms and the role of the Library in promoting OA. The results and their interpretation were compared and contrasted with related literature and other studies.

Chapter Six provides an overview of the findings, conclusions and recommendations based on the research objectives and questions investigated by the study.

6.3 Summary of the findings

This section provides a summary of the findings in terms of the five research questions of the study. The summary presents the findings in the order of the research questions.

6.3.1 Attitudes and perceptions of the Social Sciences academics towards OA journal publishing

The first research question on attitudes and perception revealed that academics, irrespective of age, projected a positive attitude towards OA journal publishing. The study indicated that the UKZN

Social Scientists believe in the philosophy that knowledge generated through public funds is a ‘public good’, therefore it must be shared for the benefit of humanity and society. However older academics were less positive than the younger academics, the reluctance possibly emanating from the years of experience publishing in the traditional subscription model. The older academics expressed concerns about the credibility of OA journals and the peer review process. It seems that older academics seemed to be concerned with their academic reputation and research profiles established over the years, hence the traditional subscription-based model. This aligns with the attitude theory, the theory underpinning the study, which states that attitude determines the cause of action and decision. Younger academics are more receptive to new publishing models that enhance the sharing and communication of their research as this impact on the citation of their work and increased readership. This study revealed that the positivity towards OA publishing does not translate to OA journal publishing in practice, 72,7 % of SSS academics were publishing in the traditional subscription model, while 22% publish in both subscription and traditional models, and 4,5% publish only in OA journals.

6.3.2 Knowledge and awareness of publishing on OA journals

The second research question was about the knowledge and understanding of OA publishing amongst the academic community of the SSS. Knowledge and awareness of OA publishing seemed to vary from cluster to cluster within the four clusters of the School. The Culture and International Public Affairs clusters displayed a high degree of knowledge towards most of the characteristics of OA journal publishing, while the Society and Social Change cluster knew little about OA and OA publishing in general. The lack of knowledge on OA publishing amongst academics is a hindrance towards the full adoption of OA publishing in the School. The implications are that academics will not reap the benefits of the SANLiC negotiated transformational agreements. It will also hinder academics from mentoring and encouraging young academics and researchers from using the OA model of journal publishing. However, this study revealed a call for interventions to bridge the gap in academics’ knowledge of OA publishing practices. The call relates to increased exposure to and education about OA journal publishing for emerging researchers.

6.3.2.1 Anticipated outcome of OA publishing

The majority of academics showed a positive perception of the anticipated outcomes of OA publishing in several aspects. For example, the period taken to publish an article after the peer review process was a concern for academics. In this study academics believed that OA journals offer quicker turnaround times with 80.8% affirming that articles will be easier to obtain if published via the OA model. However, a concern was raised about the lack of understanding of the power dynamics which come to play in the publishing process. This means that certain publishing houses and editors decide who they allow to submit manuscripts for publishing.

6.3.2.2 Publishing in OA journals

The findings revealed poor knowledge of the UKZN open journals platform and OA journal platforms generally. Only 20% of the surveyed academics were publishing on the UKZN OA journal platform. The 20% were publishing mainly in the journal *Alternation*, which is a multidisciplinary journal with a long history of OA publishing. The findings indicated other factors that contributed to publishing choices in OA such as age and the culture of the discipline. Social Sciences academics have a culture of publishing less in journals but more in monographs and writing book chapters. This could be attributed to a lack of funding for APC's which academics highlighted in the study.

6.3.2.3 Quality of OA journals

The quality of journals which academics publish in are critical as it links to academics' promotion, such as progression to a Senior lecturer, Associate Professor and eventually to a full Professorship. The findings revealed that SSS academics had doubts about the status of OA journals, that they were not on par with traditional subscription journals. This is another area that requires interventions from the UKZN Library in the form of workshops and seminars for the Schools academics.

6.4 UKZN Social Sciences academics research publishing practices

Social Scientists are at the forefront of social justice research and publishing, addressing the issues of equity and inclusivity. Apart from publishing in OA platforms like Google Scholar, ResearchGate, Academia.edu, they were generally in favour of OA publishing. They also understood the importance of knowledge sharing and that knowledge generated through research is for the public good. However, this study revealed that the majority (72,7%) of Social Sciences academics publish their research in traditional subscription journals, and under one quarter (22,7%) publish in both the traditional model and OA journals. A small percentage of 4.5% published in OA journals only. The study further revealed that academics in the age range of 64 to 74 were not publishing in OA journals, while 59,1% planned to publish in OA journals in the future. One can conclude that the outlook was positive in terms of the UKZN School of Sciences adopting the OA journal model of publishing.

6.4.1 Challenges Social Sciences academics face when publishing on OA platforms

The third research question related to the challenges of OA journal publishing. This study revealed that the major concern for SSS academics with OA journal publishing was the issue of credibility of OA journals. The issue of questionable publishing practices in scholarly research is a serious challenge as the scholars are dependent upon quality reference sources from a reputational point of view. The purpose of research is to share and communicate the findings to other researchers, to cite and build on existing knowledge. Therefore, the credibility of the sources of information is central to the research process. As mentioned in this study academics were in doubt about the number of quality OA journals in the Social Sciences. As a result of this perception the growth of the ‘OA journal base’ for Social Sciences could remain stifled. Additional hindrances to OA publishing were highlighted in the study and are discussed below:

6.4.2 Predatory nature of OA journals

Predatory publishing is not only a concern for Social Sciences, but is a threat to research in general. This study revealed that academics in the School were concerned about the proliferation of predatory publishing in OA journals. The current model in OA publishing, the Gold OA requires that a funder

or the author pay APC's. APC's for predatory journals subject young researchers to abuse and vulnerability to bogus predatory publishers. Many younger researchers unlike established researchers cannot afford to pay the APC's.

6.4.3 The knowledge economy and politics of OA publishing

The study revealed that HSS authors are not always able to attract funding for research. There is bias amongst research funding agencies which favours the hard sciences in grants allocation. The lack of funding for HSS opens them up to being victims to abusive publishing practices. Some publishers monopolise the publishing process where editors control who can submit a paper for review and publication.

6.4.4 The African continent and accessibility of research

The findings indicated a problem with the accessibility of research published on the African continent. The problem is compounded by the power dynamics that exist in the knowledge sharing and dissemination of research produced in Africa. The big publishing houses are located in the global North, such as Wiley, Elsevier, Sage, Taylor and Francis and so forth, who own the large percentage of the so called high impact journals. The global initiatives (OA2020) and Plan S are attempting to address the issues of inequality and accessibility of quality research between the global North and South. However, such initiatives propagate publishing models that further alienate the developing countries such as Africa. This study revealed that since it was introduced, the Gold OA publishing model has led to an increase in APC's. The payment of APC's for publishing articles as OA reinforces dependency from the global North and further perpetuate inequality in terms of access to scholarly research.

6.5 The role of the Library in OA publishing

The UKZN Library Services has played a pivotal role in OA advocacy over the years. OA advocacy has been undertaken through several initiatives such as the signing of the Berlin Declaration in 2012, the drafting and approval of the OA policy for UKZN, the annual International Open Access week events, OJS publishing workshops in partnership with ASSAF in 2018, and Sabinet collaboration with UKZN Library Services and so forth, to support UKZN journal managers who are publishing

their journals via the OA journal model. The highlighted initiatives have to some extent contributed to the awareness of OA journal publishing at UKZN, however there is a disconnect between these efforts and the realisation of OA journal publishing in the School of Social Sciences.

The results of the study suggested strategies which the UKZN Library Services could utilise in educating and training academics on OA journal publishing. The study revealed a need for seminars and workshops targeting the SSS rather than events like conferences which are often not well attended by the academic community.

The gap in the knowledge of OA publishing as identified in the study cannot be ignored as the OA publishing landscape is becoming a default method of publishing and disseminating research. Since the Library has signed SANLiC transformational agreements to support academics publishing in OA hybrid journals more training programmes on OA journal publishing are requirement.

6.6 Conclusion

The study investigated the attitudes and perceptions of academics in the SSS towards OA journal publishing. In relation to the attitudes and perceptions, the study concludes that academics are in support of OA journal publishing. They are aware of the benefits of OA journal publishing. The study showed a serious gap in the knowledge of OA journal publishing and OA in general amongst the SSS academics. Thus, a concerted effort is required to bridge the gap in the knowledge of OA journal publishing in the School. Lack of knowledge remains a hindrance to the full utilisation of SANLiC transformational agreements, Sabinet OJS publication system and the uploading of articles on the IR. It must be noted that the mentioned initiatives have cost implications for the library. Lack of funding for research in the Social Sciences was identified as another impediment to the adoption of OA journal publishing, it is therefore important that any initiatives sought by the Library to reduce the cost implications in OA journal publishing should be fully exploited.

6.7 Contribution of the study to theory and practice

The LIS community would benefit from this study as it contributes to the understanding of the internal dynamics around the adoption of OA journals as an alternative to scholarly research publishing and dissemination. Since the subscription-based model of publishing has developed over decades, information professionals such as librarians in academic institutions would need to work in collaboration with academics, research funders, and other stakeholders like SANLiC to address the issues of predatory publishing in the Social Sciences. The key area that emerged from the findings is that SSS academics are concerned with predatory publishing practices in OA. Future studies are required on the impact of predatory publishing in the Social Sciences.

The findings and recommendations of this study makes a small contribution to the studies in the LIS field on Scholarly communication. However, it does influence the theory and practice at the UKZN SSS in terms of OA advocacy, and the provision of research support to emerging researchers and young academics in the OA journal publishing landscape. The findings suggest that younger academics in SSS require training and education in the area of OA journal publishing. These results imply that there is no adequate understanding regarding the credibility of OA journals amongst the Schools academics. While the academics in SSS plan to publish in OA journals in the future, there is no guarantee that this will materialise, therefore unless there are measures taken to bridge the gap in the knowledge of OA publishing, academics will not participate fully in the transformational agreements. It will be a fruitless expenditure for the university Library Services, as millions of funds are allocated every year to cover the APCs.

6.8 Contribution to policy

The findings suggest the lack of funding for APCs for academics publish in OA journals. There should be equitable allocation of research grants for the Social Sciences. A change is required in the policy of research grant allocation in the STEM versus HSS. Currently, the policy, in general, favours the Health Sciences and Natural Sciences. This impacts on the development of young academics in the area of OA publishing and the dissemination of scholarly research produced in the SSS and HSS. Further to the study's findings there was a suggestion to review the institution's OA policy to provide clear guidelines on OA publishing. The policy should align with the institution's core values and beliefs that embrace honesty and accountability. Young academics and researchers fall prey to

questionable publishing which inadvertently produces substandard research the lack authenticity. Although UKZN signed the Berlin Declaration in 2012 there is a slow uptake of OA journal publishing and adoption of the UKZN OA policy.

6.9 Recommendations

The results of the study indicated differences in the understanding and knowledge of OA journal publishing amongst the four clusters in the School. A preliminary focus group study representing different disciplines in the clusters would give a better understanding of the disciplinary knowledge of OA journal publishing. The survey questionnaire could be used as a follow up method to gather data on a larger sample across all Schools at UKZN.

In light of the transformational agreements and OA strategy promoted by the Library, it is imperative to understand the level of knowledge each cluster has regarding OA publishing. Although this was not a comparative study on the four clusters' OA journal practices, it will be beneficial to understand the diverse knowledge and understanding of academics on OA publishing amongst the clusters. This will assist the Personalised Librarian service which will be fully integrated into the Subject Librarian duties from 2024. This study will assist the Subject Librarians for the SSS to support the research needs of academics in the clusters in relation to OA journal publishing. The results of the study indicate the need for the Library OA training programmes in the form of workshops and seminars for the SSS. There is a need for dialogue between the authors who are creators of the intellectual property, research institutions and publishers. Publishers have dominated access to scholarly publications for years at the expense of unsuspecting academic community and libraries. Copyright should no longer be transferred to the publisher by authors. Thus, authors should decide the terms of how their works or intellectual property will be disseminated without any fear of publishing restrictions, or publishing rights.

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Appendix 1: Informed consent



Informed consent

Dear Respondent,

Invitation to participate in a survey My name is Nomusa F. Bhengu (Magwaza) (932427301), a Masters student in Information Studies in the School of Social Sciences, College of Humanities at the University of KwaZulu-Natal, Pietermaritzburg. I kindly request you to participate in the research project entitled "The attitudes and perceptions of academics in the College of Humanities, School of Social Sciences towards OA (OA) journal publishing at the University of KwaZulu-Natal (UKZN)." I am conducting this study as part of the requirements of the Masters programme. The study is undertaken through the University of KwaZulu-Natal, Information Studies Department. The aim of this study is to ascertain the attitudes, perception and the level of awareness by academic community on OA journal publishing as an alternative to subscription-based model. This study has been ethically reviewed and approved by the UKZN Humanities and Social Sciences Research Ethics Committee. Participation in the research project is voluntary.

You may refuse to participate or withdraw from the research project at any stage and for any reason without any form of disadvantage. There will be no monetary gain from participating in this research project. The survey is anonymous and confidential. I appreciate the time and effort it would take to participate in this study. The online questionnaire will take 10-15 minutes to complete. Thank you for participating in this research project. If you have any questions or concerns about participating in this study, please feel free to contact myself or my supervisor at the numbers indicated below. Nomusa F. Bhengu (Magwaza) University email address: magwazan1@ukzn.ac.za Telephone: 031 2602062

Supervisor: Professor Ruth Hoskins

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Founding Campuses: ■ Edgewood ■ Howard College ■ Medical School ■ Pietermaritzburg ■ Westville

INSPIRING GREATNESS

Appendix 2: Questionnaire for academics

Title of the study: The attitudes and perceptions of academics in the College of Humanities, School of Social Sciences towards OA (OA) journal publishing

OA journal uses a funding model in which researchers are able to read, download, copy, distribute and print articles and other materials free of charge from the Internet. OA publishers sometimes meet their costs by charging authors (usually through the author's funding body or employer), for the publishing services they provide. In other cases, OA journals are run by researchers themselves and publishing costs are absorbed by employers.

Kindly fill below all your biographical details

Section A: Biographical information:

Gender:

Female

Male

Prefer not to say

Please choose only one of the following:

25-35

35-45

46-55

55-65

Other

What is your current position:

Please choose only one of the following

Senior tutor

Lecturer

Senior lecturer

Associate professor

Professor

How long have you been a lecturer?

- 2-5 years
- 6-10 years
- 11-20 years
- 21 years and above

What is your highest qualification?

Please choose only one of the following

- Honours
- Masters
- PhD

Which Cluster do you belong to? *

Please choose only one of the following:

- Culture
- Development
- International and Public Affairs
- Society and Social Change

Which campus do you belong to?

Please choose **only one** of the following:

- Pietermaritzburg
- Howard College
- Other

Section B: Attitudes and perceptions of OA

Please mark with an x the aspect that accurately represent your level of knowledge regarding OA

Knowledge regarding OA *

Please choose **all** that apply:

- Quite a lot
- A lot
- Neutral

Very little

Nothing at all

Knowledge of publishing on OA *

Please choose **all** that apply:

Quite a lot

A lot

Neutral

Very little

Nothing at all

Knowledge of ResearchSpace (UKZN institutional repository) *

Please choose **all** that apply:

Quite a lot

A lot

Neutral

Very little

Nothing at all

Knowledge of Open journals (UKZN OA journals) *

Please choose **all** that apply:

Quite a lot

A lot

Neutral

Very little

Nothing at all

General knowledge of OA mandate policies. *

Please choose **all** that apply:

Quite a lot

A lot

Neutral

Very little

Nothing at all

Section C: Anticipated outcomes of OA publishing

Please mark the aspect that strongly represent your opinion regarding anticipated outcome of OA journal publishing

Articles will be easier to obtain *

Please choose **all** that apply:

Strongly disagree

Disagree

Neutral

Agree

Strongly agree

Libraries will have more money to spend on journal subscription *

Please choose **all** that apply:

Strongly disagree

Disagree

Neutral

Agree

Strongly agree

Authors will publish more often *

Please choose **all** that apply:

Strongly disagree

Disagree

Neutral

Agree

Strongly agree

Fewer articles will be rejected *

Please choose **all** that apply:

Strongly disagree

Disagree

Neutral

Agree

Strongly agree

Articles will take longer to publish *

Please choose **all** that apply:

Strongly disagree

Disagree

Neutral

Agree

Strongly agree

Archiving of journal articles will suffer *

Please choose **all** that apply:

Strongly disagree

Disagree

Neutral

Agree

Strongly agree

Authors will have less choice of where they publish *

Please choose **all** that apply:

Strongly disagree

Disagree

Neutral

Agree

Strongly agree

Section D: Publishing on OA journals

Please mark the aspect that strongly represent your awareness and knowledge of OA publishing platforms.

I'm aware of UKZN OA online journal publishing platform

Please choose **all** that apply:

Strongly disagree

Disagree

Neutral

Agree

Strongly agree

I publish on OA journals *

Please choose **all** that apply:

Strongly disagree

Disagree

Neutral

Agree

Strongly agree

I plan to publish in OA journals *

Please choose **all** that apply:

Strongly disagree

Disagree

Neutral

Agree

Strongly agree

I publish on OA journals to share with my peers *

Please choose **all** that apply:

Strongly disagree

Disagree

Neutral

Agree

Strongly agree

I publish on OA journals to get cited *

Please choose **all** that apply:

Strongly disagree

Disagree

Neutral

Agree

Strongly agree

I publish on UKZN Open journal platform

Please choose **all** that apply:

Strongly disagree

Disagree

Neutral

Agree

Strongly agree

Section E: Quality of OA journals

Please mark the statement that represent your opinion about the quality of OA journals

OA journals do not offer proper peer review *

Please choose **all** that apply:

Strongly disagree

Disagree

Neutral

Agree

Strongly agree

OA journals publish faster than traditional subscription journals *

Please choose **all** that apply:

Strongly disagree

Disagree

Neutral

Agree

Strongly agree

OA journals offer greater visibility of research articles *

Please choose **all** that apply:

Strongly disagree

Disagree

Neutral

Agree

Strongly agree

OA journals offer greater citation impact *

Please choose **all** that apply:

Strongly disagree

Disagree

Neutral

Agree

Strongly agree

OA journals are not recognised by South African review committees for example DoHET *

Please choose **all** that apply:

Strongly disagree

Disagree
Neutral
Agree
Strongly agree

OA journals are on par with traditional subscription journals *

Please choose **all** that apply:

Strongly disagree
Disagree
Neutral
Agree
Strongly agree

Section F: Where are UKZN, School of Social Sciences academics publishing their research?

Do you publish in the following? *

Please choose **all** that apply:

Traditional subscription journals
OA journals

If you publish in OA journals, list the names of journals you have published in

Please write your answer here:

--

Section G: Challenges faced when publishing on OA platforms

List the challenges you may face when publishing on OA platforms.

Please write your answer here:

--

Section H: Strategies used to encourage UKZN academics to publish on platforms

List the strategies that can be used to encourage academics to publish on OA journals *

Please write your answer here:

Section I: General Comments

List any comments you have regarding OA journal publishing *

Please write your answer here:

If you have any questions or concerns about participating in this study, please feel free to contact myself at magwazan1@ukzn.ac.za or 2602062 or my supervisor Professor. Ruth Hoskins at hoskinsr@ukzn.ac.za or 033-2505093.

Thank you for participating in the research project.

Appendix 3: Interview schedule: Library Director

Title of the study: The attitudes and perceptions of academics in the College of Humanities, School of Social Sciences towards OA (OA) journal publishing at the University of KwaZulu-Natal

The aim of this study is to ascertain the attitudes, perception and the level of awareness by academics of OA journal publishing as an alternative to traditional subscription based model.

Instructions: Kindly respond to the following questions to the best of your ability.

Section A: OA Awareness

1. What is your understanding of OA?

2. Have you participated or attended UKZN OA week/event?

Yes or No

2.1 If Yes, what was your role?

2.2 If No, what is your reason for not participating/ attending?

3. Have you ever published in an OA journals?

Yes or No

3.1 If Yes, which platform or OA journals have you published in?

3.2 If No, please elaborate

4. What are the attitudes and perceptions of Social Science academics towards OA journal publishing?

5. What is the level of awareness of OA journal publishing amongst UKZN academics

Section B: Knowledge of OA Publishing

6. What is your opinion of OA journal publishing for Social Sciences?
7. What do you understand by the term serial/ journal crisis?
8. To what extent do you think journal/ serials crisis is affecting scholarly communication?
9. Do you think the OA journal publishing model could be a solution to the serials/journal crisis?
10. Where are UKZN Social Sciences academics publishing?

Section C: OA Advocacy

11. What are the challenges Social Science academics face when publishing on OA platforms or OA journals
12. What strategies can UKZN Library adopt to encourage Social Science academics to publish on the UKZN OA platform
13. Which model of OA journal publishing will be suitable for UKZN Social Science academics?
14. Would you agree that the UKZN OA journal publishing platform is user friendly?
Yes or No,
 - 14.1 If yes please explain your answer?
 - 14.2 If no, please elaborate
15. UKZN signed the Berlin Declaration in 2012. Why has the OA Policy not yet been approved?

Appendix 4: Interview schedule: The Dean of Research

Title of the study: The attitudes and perceptions of academics in the College of Humanities, School of Social Sciences towards OA (OA) journal publishing at the University of KwaZulu-Natal
This study aims to ascertain the attitudes, perceptions, and level of awareness by academics of OA journal publishing as an alternative to the traditional subscription-based model.

Instructions: Kindly respond to the following questions to the best of your ability.

Section A: OA Awareness

1. What is your understanding of OA?

2. Have you participated or attended UKZN OA week/event?

Yes or No

2.1 If Yes, what was your role?

2.2 If No, what is your reason for not participating/ attending?

3. Have you ever published in OA journals?

Yes or No

3.1 If Yes, which platform or OA journals have you published in?

3.2 If No, please elaborate

4. What are the attitudes and perceptions of Social Science academics towards OA journal publishing?

5. What is the level of awareness of OA journal publishing amongst UKZN academics

Section B: OA Advocacy

6. What is your opinion of OA journal publishing for Social Sciences?

7. Are you aware of different models of OA publishing?

Yes or No

7.1 If Yes, please explain

8. Which model of OA journal publishing will be suitable for UKZN Social Science academics

9. What is the level of awareness of OA journal publishing amongst academics in the Social Sciences?

10. Would you agree that the UKZN OA journal publishing platform is user friendly?

Yes or No

10.1 If yes please explain your answer?

10.2 If no please explain your answer

11. What are the challenges academics face when publishing on OA platforms?

12. What strategies can be adopted to encourage academics to publish on OA platforms?

13. UKZN signed Berlin Declaration in 2012. Why did it take 10 years to get the OA Policy approved?

Appendix 5: Permission to undertake research



28 September 2022

Nomusa Faith Bhengu-Magwaza
School of Social Sciences
College of Humanities
Pietermaritzburg Campus UKZN
Email: magwazan1@ukzn.ac.za

Dear Nomusa

RE: PERMISSION TO CONDUCT RESEARCH

Gatekeeper's permission is hereby granted for you to conduct research at the University of KwaZulu-Natal (UKZN), towards your postgraduate degree, provided Ethical clearance has been obtained. We note the title of your research project is:

"The attitudes and perceptions of academics in the College of Humanities, School of Social Sciences towards Open Access (OA) journal publishing at the University of KwaZulu-Natal (UKZN)."

It is noted that you will be constituting your sample by handing out questionnaires and/or interviews with DVC Research and Library Director (Zoom, Skype or telephone interviews recommended) at UKZN.

Please ensure that the following appears on your notice/questionnaire:

- Ethical clearance number;
- Research title and details of the research, the researcher and the supervisor;
- Consent form is attached to the notice/questionnaire and to be signed by user before he/she fills in questionnaire;
- gatekeepers approval by the Registrar.

You are not authorized to contact staff and students using the 'Microsoft Outlook' address book. Identity numbers and email addresses of individuals are not a matter of public record and are protected according to Section 14 of the South African Constitution, as well as the Protection of Public Information Act. For the release of such information over to yourself for research purposes, the University of KwaZulu-Natal will need express consent from the relevant data subjects. Data collected must be treated with due confidentiality and anonymity.

Yours sincerely



Dr KE CLELAND: REGISTRAR

Office of the Registrar

Postal Address: Private Bag X54001, Durban, 4000, South Africa

Telephone: +27 (0)31 260 7971 Email: registrar@ukzn.ac.za Website: www.ukzn.ac.za

Founding Campuses: Edgewood Howard College Medical School Pietermaritzburg Westville

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Appendix 6: Ethical clearance



Mrs Nomusa Faith Bhengu (932427103)
School Of Social Sciences
Pietermaritzburg

Dear Mrs Nomusa Faith Bhengu,

Original application number: 00010568

Project title: -The attitudes and perceptions of academics in the College of Humanities, School of Social Sciences towards Open Access (OA) journal publishing at the University of KwaZulu-Natal (UKZN).

Exemption from Ethics Review

In response to your **renewal** application received on 29 August 2022, your school has indicated that the renewal has been granted **EXEMPTION FROM ETHICS REVIEW**.

Any alteration/s to the exempted research protocol, e.g., Title of the Project, Location of the Study, Research Approach and Methods must be reviewed and approved through an amendment/modification prior to its implementation. The original exemption number must be cited.

For any changes that could result in potential risk, an ethics application including the proposed amendments must be submitted to the relevant UKZN Research Ethics Committee. The original exemption number must be cited.

In case you have further queries, please quote the above reference number.

PLEASE NOTE:

Research data should be securely stored in the discipline/department for a period of 5 years.

I take this opportunity of wishing you everything of the best with your study.

Yours sincerely,



Prof Uma Mahesvari Naidu
Academic Leader Research
School Of Social Sciences

UKZN Research Ethics Office
Westville Campus, Govan Mbeki Building
Postal Address: Private Bag X54001, Durban 4000
Website: <http://research.ukzn.ac.za/Research-Ethics/>

Founding Campuses:  Edgewood  Howard College  Medical School  Pietermaritzburg  Westville

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