

SPEC Kit 353

Funding Article
Processing Charges
November 2016

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Survey Results

Executive Summary

Introduction

Libraries and institutions that fund article processing charges (APCs) subsidize authors who publish scholarly articles in open access (OA) journals that require per-article payment.¹ Funding APCs removes barriers to open publishing practices and promotes the value of OA to scholarship, research, and creative output. APC funds align the investment with the core mission and values of libraries. Libraries that offer such programs aspire to provide leadership in promoting the value of OA and proliferating OA practices among academic authors.

When conceptualizing these and other programs, libraries often look to their peer and aspirational institutions, including signatories of the Compact for Open-Access Publishing Equity (COPE) Initiative <http://www.oacompact.org/>, members of the Scholarly Publishing and Academic Resources Coalition (SPARC) <http://sparcopen.org/open-access/>, and members of the Association of Research Libraries (ARL). The purpose of this survey was to explore the strategies that ARL member institutions are using to address APCs—including how the funds are established and how they are handled (e.g., policies, applications, budgets, administration, outreach activities, etc.), sources of funding, and whether and under what circumstances libraries are partnering with other units (or other libraries) to fund this aspect of open access—and gather related policies and procedures. We asked libraries if their institution had a fund that subsidized APCs, but our focus was on the library's role in the process. We did not attempt to find out about APC funding outside the library, such as grant funding or departmental support.

Overview

The survey was distributed to the 124 ARL member libraries in July 2016. Seventy-seven (62%) responded by the August 1 deadline. Twenty-three of the responding libraries (30%) currently have a fund and six are planning to start one in the near future (8%). Fourteen used to have a fund and 34 have no plans for a fund. The 2012 SPEC survey on scholarly communication services asked a similar question about whether the library administered an open access publishing fund.² Forty-five libraries responded to both surveys. A comparison of their responses in 2012 and 2016 shows movement in both directions. In 2012, 14 of those 45 respondents answered yes. In 2016, seven of them have an APC fund and seven no longer have a fund. Of the 31 respondents whose institutions did not offer a fund in 2012, seven now have an APC fund and two are planning a fund, three used to have a fund, and 19 still have no plans for one.

The addition of nine new respondents who have an APC fund shows a slight increase in the number of libraries that support OA publishing. And while SPARC's surveys of North American institutions also show an increase in the number of funds from nine in 2009 to 51 in 2014,³ it is

noteworthy that the majority of respondents to this survey have either discontinued an APC fund (18%) or have no plans to implement one (44%). The number of APC-supporting institutional funds can also be counted on the Open Access Directory or the websites of OA journals that list funds as a service to authors. For example, Springer Nature lists 69 institutional funds in North America (55 in the U.S. and 14 in Canada; <http://www.nature.com/openresearch/funding/>).

Of the 36 libraries that currently have or formerly had an APC fund, a majority (58%) began with a pilot project. Pilots ran from four months to four years with two years being the most common timeframe. The earliest APC fund began in 2005 and the most recently established fund is less than one year old. Twenty-nine of these funds (81%) were started within the last six years.

An overwhelming majority of respondents (31 or 86%) collect or archive the articles they fund for the institutional repository (typically a requirement of receiving funding). From respondents' comments, it appears that library staff usually follow up to make sure articles are deposited.

Financing APCs

Despite the fact that APC funds have existed for over ten years, libraries struggle to determine appropriate funding models or are still evaluating whether to even establish such a fund. Of the 36 libraries with an existing or discontinued fund, all but one contributed money from the library budget. Over half of these libraries also received some external funding, typically from the provost or research office. Two libraries used gift money to start their funds, and two received seed money from their consortia. In 2014, a global survey of libraries found that 70% were drawing funds from their materials budget, while 24% had some external funding to support APCs.⁴

We asked respondents for their FY16 fund allocation (in USD). For discontinued funds, they reported the allocation for the last fiscal year the fund was in operation. Allocations vary widely—from \$15,000 to over \$260,000. The median fund is \$40,000. Half the libraries responded that funding levels for FY16 are about the same as the previous year. Most libraries with an existing fund have allocated about the same amount for FY17. However, one library increased its allocation by 57%, and one decreased its by 50% due to lack of support from campus partners. None of the reporting libraries are adding staff to handle any increases in APC funding requests. Four libraries submitted position descriptions and half of those specifically mention that a scholarly communication librarian is responsible for managing the OA fund, among other duties.

Respondents reported receiving requests to fund APCs as low as \$74 and as high as \$5200. The libraries did not necessarily cover the entire amount for higher fees, however. The two libraries that reported the highest APCs have a per-article funding cap well below that amount. No library paid more than \$3000 per APC; authors had to make up the balance from other funds. The annual limit on reimbursement to individual authors ranges from \$1000 to \$5000, though all but two of the 27 responding libraries set the cap at \$3000 or less (nine have a cap of \$2000 or less).

Twenty-seven respondents (90%) reported that requests to fund APCs are sometimes denied, most often due to policies or practices that exclude hybrid OA journals or because authors have other sources of funding. Other reasons for denying requests included the article being accepted by what the funding authority deemed to be a “substandard” journal, lack of funds, or because co-authors were at other institutions.

Providing adequate funding for APCs is the biggest challenge for most libraries. Lack of financial resources drove numerous policy changes, including discontinuing the APC fund. A plethora of requests caused 49% of the surveyed institutions to reduce funding for authors, either by reducing the amount paid per article, placing a cap on individual reimbursement, or both. In other cases, funds no longer accepted applications for hybrid journal APCs.

Articles in the sciences have received most of the funding. Half of the commenting libraries specified funding articles in the medical and health sciences fields and 20% specified the life sciences. Funding for social science and arts and humanities articles were mentioned by 30%.

Hybrid OA Journals

Requests for APCs for hybrid journals are not funded at 27 of the reporting libraries (84%) for a variety of reasons. Most frequently (53%) institutions consider paying APCs for articles published in hybrid journals to be “double dipping.” This refers to the institution paying APCs in addition to the full subscription price of the journals. Institutions that fund OA articles in hybrid journals expect sufficient evidence that publishers are actually reducing subscription costs as a result of receiving APCs. Comments revealed that institutions would like the publishers to be more transparent about lowering subscription fees in proportion to the APC received. The percentage of libraries not funding articles in hybrid journals is significantly higher than the approximately 50% rates found in previous studies.⁵

Other reasons for not funding hybrid journals include limited funding and “to incentivize publishing in, and support for, full OA journals.” However, one institution reported that “as part of a special promotion to attract more authors from the humanities, we will pay hybrid journal APCs for authors affiliated with the College of Arts & Humanities.” Institutions that fund APCs in hybrid OA journals do so because they want “to provide as much support as possible to authors publishing in OA journals,” though some do so with a reduced per-article cap.

The most significant advantage of funding hybrid APCs is that it greatly expands the author’s choice of publishing venue, roughly doubling the number of journals in which to publish OA.⁶ There have also been hopes that the hybrid model would help journals transition to full OA. Although some journals have made this transition, we are not aware of evidence showing that this is occurring at a significant scale. Respondents were primarily concerned with the issue of subscription offsetting, or “double dipping,” though hybrid OA suffers from other disadvantages such as higher APCs.⁷ Libraries with a subscription to a hybrid journal expect a direct offset (a credit against the subscription cost), and libraries without a subscription expect a global offset, benefiting all subscribers.⁸ However, these processes lack transparency, and a study of 24 major publishers found that their “no double-dipping” statements were not borne out in reality.⁹ Also, hybrid OA articles sometimes lack a metadata signal showing their access status, so discovery can still be a problem.

Policies and Procedures

Authors almost always apply to the library for APC funding; this stands to reason as the library usually administers the fund and controls the budget. Nearly all respondents (28 or 85%) indicated that they pay the invoices for APCs, however more than half of the libraries require or encourage the author(s) or their departments to pay the invoice before being reimbursed by the library. About one-third directly pay invoices through credit cards or checks. Only six institutions have deposit accounts and two mentioned wire transfers.

Requests for funds are evaluated on a variety of additional criteria. More than two-thirds of the respondents reported denying funding for articles submitted to journals that are not peer-reviewed or not listed in an OA registry like the Directory of Open Access Repositories. In addition, libraries expect funded publishers to adhere to an established code of conduct such as is required for membership in the Open Access Scholarly Publishers Association (OASPA).

Six of 20 respondents (30%) reported that they consider “Beall’s List” (i.e., the formally named Scholarly Open Access blog subtitled “Potential, possible, or probable predatory scholarly open-access publishers” at <https://scholarlyoa.com/publishers/>) when evaluating publications for APC funding. Only

one considered the journal impact factor, and another had the author's department chair vet the journals. The request-for-funds forms typically ask whether the authors have other funds available.

While 20 out of 33 libraries responded that all members of their community are eligible to receive funding, comments from some of them reveal that they actually do allow all faculty, staff, and enrolled students to apply. Ten libraries explicitly exclude undergraduate student authors, although one library commented that they probably would consider proposals from undergraduate students. At one institution undergraduate authors must submit a letter of support from their faculty advisors. Some institutions have informal criteria, including "staff assessment of the merit and need of the particular researcher." At another "postdocs and assistant professors were more likely to receive funding than full professors."

Among those institutions that do not distribute or prorate APC awards among multiple authors, two extremes exist. At one extreme, every author from one institution on a multi-authored article is considered fully funded, which discourages collaborations. At the other extreme, every article is considered for funding as if it had only one author. The lack of cost sharing has been noted in the literature, since the primary author typically covers publication costs.¹⁰ Sharing costs with funders, or with other institutions on co-authored papers, would reduce the financial pressure on funds. However, in one study librarians thought such a process would be too inefficient.¹¹

We did not ask about an annual limit on the number of articles an author could get funded. However, comments for the funding caps question indicated that 78% of libraries limited authors to one article per year. Survey comments reveal that some funds discourage authors from applying for APC support more than once, and other libraries evaluate each APC request on its own merit. The literature shows that two funds use a point system to determine or prioritize fund recipients.¹²

Fifteen libraries submitted their APC request forms. All of them ask for the name of the person requesting the funds and that person's email address. The only other common element is the journal title, though 14 ask for the article title. Twelve ask about the status or classification of the author and about co-authors, department affiliations, and whether other funds are available. Twelve also ask about the status of the article, with seven asking if the article has been accepted and six asking about the expected date of publication. Eleven ask the amount of funds being requested and ten ask for the publisher, with only five asking for a link to the OA policies.

Procedures for managing OA funds are highly variable and dependent on internal administrative processes. Policies may fluctuate according to the levels of funding that are available.

Libraries That Do Not Support APCs

The majority of responding libraries (62%) have either discontinued their APC fund or have no plans to start one. The most common reason was lack of funding; many indicated they had exhausted available funds. Several libraries responded that continuing the APC fund was "unsustainable." We interpreted this to mean that funds were insufficient to keep up with the demand. Only four libraries stated that lack of author interest led them to discontinue the APC fund.

At least two libraries commented that they did not view supporting APCs as helping to promote a broader transition to OA initiatives. These comments were echoed by the libraries that have no plans to initiate a fund. Skepticism about how APCs advance the goal of OA was pervasive. According to one respondent, "APCs are not particularly a cost-effective or scalable mechanism for furthering open access." Another library that discontinued APC funding despite positive feedback from authors stated, "[s]ince the purpose of the Fund is to promote a broader transition to OA publishing ...the \$25,000 allocation could be spent more effectively on other initiatives, including memberships and pledges with innovative open access journal and monograph publishers, and library publishing cooperatives."

Another factor contributing to the absence of an APC fund might be lack of direct financial support from the institution's administration. Half of the 14 libraries who discontinued their funds had received supplementary funding to support APCs. Most frequently, this funding came from the provost or office of research. By contrast, a smaller percentage of libraries who have maintained their APC fund indicated receiving external funds specifically earmarked for APCs.

Promoting APC Funds

Promoting awareness of funds is primarily achieved through library liaisons, the library website, word of mouth, and related OA activities. Half the libraries with current APC funds hold events for Open Access Week. To a lesser extent, libraries use email lists, newsletters or flyers, blogs, workshops, outreach through university governance, and journal sites (such as the PLOS list of OA funds). About one-third of libraries formally recognize recipients of APC funds, typically through listings on library websites or documents such as annual or periodic reports. For some libraries, a distinct collection in the institutional repository suffices to recognize authors who receive APC support. APC funds can create awareness of the institutional repository for authors, some of whom subsequently submit non-funded articles.¹³ Given many libraries' comments about APC funds becoming unsustainable and having to impose funding limits, it may be that outreach and promotion resulted in an "excess of interest," which was noted as the cause of one fund's demise.

Fewer than half of the respondents share data from the fund openly. Of these, most provide this data on a website or in a blog, and about a quarter issue it in an annual report. Only one library shares the data in an online spreadsheet. Four comments indicated internal sharing or sharing "upon request." This is somewhat ironic as several libraries bemoaned the fact that publishers are not more transparent about their funding models.

Support for External Initiatives

We also wanted to know how libraries support OA initiatives outside of paying APCs. This includes memberships that support making books or journal articles open to the world, such as SCOAP3, Open Library of humanities, and Knowledge Unlatched. Fifty-eight libraries do provide support in this way, compared with 23 libraries that subsidize APCs. Memberships were the most common form of support (48 of 58 respondents). Three libraries mentioned HathiTrust as an example of support, "since it is OA after the fact." It is also notable that of the 48 libraries that either discontinued their APC fund or have no plans to start one, 32 support other OA initiatives such as the ones mentioned above.

Discussion

The significant growth in the number of APC-funded OA journals and hybrid journals has not been accompanied by a similar growth in the number of ARL libraries funding APCs. For example, between 2013 and 2016, Elsevier increased the number of its APC-funded OA journals from 46 to 550¹⁴, while APC fund growth has been much more gradual. Among existing funds, few support hybrid OA, and libraries with no APC fund or a discontinued fund exhibit significant skepticism of APCs as a sustainable model for funding OA.

There are numerous advantages to library or institutional APC funds. APCs are direct support for an institution's authors, whereas an institution may not have evidence of its authors publishing in a journal it subsidizes. This support is often met with gratitude by authors, and funding APCs expands the role of libraries within their institutions.¹⁵ Many libraries advocate for OA practices, and APC funds remove a barrier to authors for OA publishing. Choice of where to publish is sometimes considered an aspect of academic freedom, and can be part of the rationale for an APC fund.¹⁶ Because APCs are listed on journal sites for all to see, there is a degree of cost transparency that does not exist in the

subscription market. Practices such as caps on per-article funding are a price control with no equivalent in journal subscriptions.

However, the problems of APC funds are just as numerous. Perhaps the largest problem is that there is no easy way to transfer funding from journal subscription budgets, so APC funds become an additional cost to libraries or their institutions. A survey of Canadian libraries found that fluctuations in requests can make budgeting for APC funds difficult.¹⁷ There are also signs that APCs have continued the market concentration in scholarly journals, with one survey finding that 10 publishers received 92% of the APCs.¹⁸ For those funds that exclude grant-funded authors, grant support can be difficult to verify, and there can be problems when articles are accepted after grant funding has ended. Beyond institutional needs, there are wider concerns that APC costs cannot be met by researchers from developing countries or without an institutional affiliation, even though some journals have waiver policies.

One limitation of this survey is that it includes only ARL member institutions. Institutional OA funds for APCs exist around the world, and also include many medium and small North American institutions.¹⁹ A significant limitation of all surveys of central APC funds at institutions is that these funds likely cover only a minority of APCs paid on those campuses. One institution without an APC fund acknowledged this by commenting “...we believe that funding for APCs is going on but in a distributed way outside of library operations.” Evidence from the literature indicates that institutions only account for about a quarter of the APCs paid.²⁰ Research on APC spending is severely hampered because institutions lack comprehensive data on the APCs paid by their authors. Future research would be enabled if APC funds published open data on their expenditures, as institutions in Austria, Germany, and the United Kingdom already are.²¹ This action would improve decision-making and embody the data practices that many ARL libraries are communicating to their researchers. Future research on OA funds would also be aided by libraries with current or discontinued funds recording information on those respective wiki pages at the Open Access Directory.

This survey, as well as the existing literature, suggest numerous avenues for further research:

- How can libraries create budget flexibility to support both subscriptions and OA publishing, including APCs?
- What are author attitudes toward APC funds, and how do the funds affect the relevance of the library to the institution?
- What is the role of consortia in APC funding? Could APCs be included in negotiations with publishers? Could consortia support authors at institutions without a fund?
- Which departments on campus provide APC funding to their authors? What is the fund size and what are their policies?
- What are the outcomes when co-authors from other institutions are not supported? If the APC-based article is published, what source(s) covered the remaining cost?
- How can library or institutional APC funds be assessed? How is success measured? Could OA funds be measured as a percentage of collections budgets? Could the number of articles funded be measured as a percentage of an institution's total article output?

Conclusion

Most ARL libraries support OA in a variety of ways and are bringing discussions about OA to the forefront not only through APC funds but also by funding external OA initiatives, hosting OA events, and holding conversations with faculty and researchers. Libraries are addressing the challenges of changing publishing models, but since the majority of respondents to this survey have either discontinued support for APCs, or have decided not to start, it is clear the community is not wholeheartedly convinced that paying for APCs is the best way to change the traditional business model.

While a minority of responding libraries (23, or 30%) currently have APC funds, and some of them are struggling with success and demand outweighing funding and/or administrative support, the number of funds appears to be stable or growing slowly. The growth rate does not match the expansion of the model among journals, or its popularity among authors, though. This is likely due to the difficulty of shifting funding from subscriptions to APCs.

Because the theories and practices are evolving rapidly, stakeholders are monitoring trends and opportunities. Where funds do exist, the release of detailed open APC data will enable further research. In addition, libraries will need to gather APC data comprehensively, since central APC funds likely account for a minority of APC spending at their institutions.

This SPEC Kit brings together information that will help institutions that are considering funding APCs, and it documents the current APC landscape in North American research libraries while focusing on one strategy that some ARL member institutions are using to address OA journal funding. With this survey data and analysis, ARL and its members can better understand their place in the evolving arena of OA, review strategies that foster public access to peer-reviewed scholarship, and consider how these activities are transforming the university policies and practices. The survey data document current policies and practices and how they serve the larger academic communities. The data and analysis contribute to understanding the range of considerations for OA funding models. This investigation can also inform the development and assessment of models of scholarly communication and publishing. Finally, it will contribute to a better understanding of how OA funds address the expectations and needs of university communities and how such funds support the library's mission.

Endnotes

- 1 Open Access (OA) is such a common term among libraries that we did not provide the usual definition crafted succinctly by Peter Suber. "Open-access (OA) literature is digital, online, free of charge, and free of most copyright and licensing restrictions." <http://legacy.earlham.edu/~peters/wfos/overview.htm>
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Survey Questions and Responses

The SPEC Survey on Funding Article Processing Charges was designed by **Gail McMillan**, Director of Scholarly Communication, **Leslie O'Brien**, Director of Collections and Technical Services and **Philip Young**, Scholarly Communication Librarian, at Virginia Tech Libraries. These results are based on responses from 77 of the 124 ARL member libraries (62%) by the deadline of August 1, 2016. The survey's introductory text and questions are reproduced below, followed by the response data and selected comments from the respondents.

The open access (OA) approach to scholarly communication requires new business models for publishing that counter traditional journal subscriptions. It promises to make scholarly literature more accessible and more affordable, impacting researchers and readers, libraries and publishers, academe, and the public alike. One approach is to require authors to pay article processing charges (APC) for publishing their peer-reviewed articles in OA journals. As a result, a growing number of universities are establishing funds to make the research published by their faculty and students publicly available.

This new and evolving business model affects many in the publication chain, with libraries playing a significant role in arranging for and processing APCs. The purpose of this survey is to explore the strategies that ARL member institutions are using to address APCs—including how the funds are established and how they are handled (e.g., policies, applications, budgets, administration, outreach activities, etc.), sources of funding, and whether and under what circumstances libraries are partnering with other units (or other libraries) to fund this aspect of open access—and gather related policies and procedures. The resulting data will inform the development and assessment of models of scholarly communication, and will reveal common or best administrative practices that facilitate processing APCs for the library community at large.

BACKGROUND

1. **Does your institution currently have a fund that subsidizes article publication charges (APCs) for open access scholarly peer-reviewed articles?** N=77

Yes	23	30%
We had a fund but we no longer have one	14	18%
We're planning to implement a fund in the future	6	8%
No and we don't plan to implement a fund in the foreseeable future	34	44%

APC FUND DISCONTINUED

2. Please enter the year the fund was discontinued. N=14

Year	N
2011	1
2012	1
2013	3
2014	3
2015	5
2016	1

3. Please indicate why the fund was discontinued. Check all that apply. N=14

Lack of funding	10	71%
Lack of author interest	4	29%
Lack of administrative support	3	21%
Other reason	9	64%

Please briefly describe the other reason. N=9

Authors most often funded have other options for funding APCs.

Funding APCs proved to be unsustainable.

It was a two-year pilot program.

Ours was a 6-month pilot project to gauge the interest in and feasibility of offering this kind of service. The pilot project was funded by the University Libraries and the Health Sciences Library, with the understanding that funding for an ongoing service would need to come from outside of the Libraries. Another funding source has not yet been identified.

The Libraries' OA Fund pilot was successful and garnered a wealth of positive feedback from authors. Since the purpose of the fund is to promote a broader transition to OA publishing, however, we believe that the \$25k allocation could be spent more effectively on other initiatives, including memberships and pledges with innovative open access journal and monograph publishers, and library publishing cooperatives. The data supplied in this survey represents the second full year of the fund in operation.

The fund assisted very few authors and was not utilized by many, but fully utilized/expended. It was not deemed to be an appropriate use of library resources by senior administration and not an appropriate role for the library. The library determined that the notion of author fees was not really advancing open access and was in fact creating access issues of a different kind—access to scholarly publishing, tenure and promotion, etc. It was also not really solving the issues around containment of resource costs, as there was now just another set of escalating costs. Multiple reasons for abandoning/discontinuing the fund.

The fund was unsustainable at scale, and in my view, a poor return on investment. It was mostly repeat players and people abusing co-authoring.

Unsustainable.

We didn't have a policy in place to market the fund initially. In succeeding years we did not have adequate collections funding to continue. Funding was available for 2014/2015 but nothing was expended due to all the reasons checked above.

Please complete as much of the survey as possible with information about this fund. For questions that ask about an APC fund in FY16, please use data from the last year your fund existed.

APC FUND INITIATIVE

4. Please enter the year the fund began. N=36

Year	N
2005	1
2007	1
2008	3
2009	2
2010	7
2011	2
2012	7
2013	9
2014	3
2016	1

5. What is the name of the fund (e.g., open access subvention fund)? N=36

Columbia Open-Access Publication Fund
 COPE Open Access Fund
 Cornell Open Access Publishing (COAP) fund
 Duke University Compact for Open Access Publishing Equity (COPE) Fund
 Emory Open Access Publishing Fund
 HOPE- Harvard Open Access Publishing Equity
 Northwestern Open Access Fund
 OhioLINK Open Access Subvention Fund
 Open Access Author Fund
 Open Access Author's Fund
 Open Access Authors Fund
 Open Access Fund (3 responses)
 Open Access Fund for OSU Authors Pilot
 Open Access Journal Support
 Open Access Promotion Fund
 Open Access Publication Fund
 Open Access Publishing Fund
 Open Access Publishing Support Fund (2 responses)
 Open Access Research and Scholarship (OARS) Fund
 Open Access Subvention Fund (2 responses)

Open Publishing Support Fund
 SIU COPE (SIU Carbondale Open-Access Publishing Equity) Fund
 SOAR (Supporting Open Access Research) Fund
 The One University Open Access Author Fund
 UCI Libraries Open Access Publishing Fund
 UMD Libraries Open Access Publishing Fund
 University Libraries and Office of the Provost Open Access Fund
 University of Florida Open Access Publishing Fund
 University of Toronto Open Access Author's Fund
 UVA Library Open Access Fund
 Western Libraries Open Access Fund
 York University Libraries Open Access Author Fund

6. Did your institution implement a pilot project to begin the APC funding initiative? N=36

Yes	21	58%
No	15	42%

If yes, please briefly describe the scope and duration of the pilot project. N=20

2-year pilot project. Scope was the same as the current fund: available to the entire VT community; \$1500 max per article; \$3000 max per author per year. Included hybrid journals.

24 months of promotion through various faculty venues.

In 2009, the university signed on to the Compact for Open-Access Publishing Equity and in January 2010, the provost and the library each contributed \$25,000 to establish a fund, administered by the library, to support fee-based OA publishing by university authors (faculty, staff, students). The initial funding held out till 2014. This initial funding phase was treated as a pilot project. A final report recommended replenishing the fund and continuing the COAP program along the same lines as the pilot. Funding for the COAP program is reviewed on an annual basis, but to date the program has received three years of additional funding from the library and the provost.

In 2010, the library dean with support from the provost, pledged money to increase open access publishing on the campus. We looked for these qualities in a journal: the author retained their own copyright; the journal was fully open access; and access was immediate, not delayed. Qualifying authors got up to \$3,000 depending on the policies of their journal. The fund ran from September 2010 through March 1, 2012.

It was based on tranches of funding. First tranche was \$40k.

Our fund began as an open-ended pilot with \$25,000. Uptake was such that we continued the fund and removed the pilot distinction.

Our pilot project began in December 2012 with seed money of \$45,000. In the pilot, applicants had to be tenured/tenure-track faculty, and the funding limits were up to \$2,000 for fully open access journals or \$1,250 for commercial journals with an open access option. Funds could be reserved in advance and had to be used within six months. The pilot ran from December 2012–May 2013.

Technically we are still in it. We put \$25,000 into the fund initially and publicized only by word-of-mouth.

The fund was initially funded with \$120,000 from the provost and intended to last up to two years. The funds were expended in less than 18 months.

The fund was to help authors of open access articles with the publishing fees that are often associated with OA journals. University-affiliated authors were reimbursed up to \$3,000 per fiscal year from this fund, for journal articles that are published in fully OA journals. This means that the article is immediately available to the public. Articles were also deposited in the institutional repository.

The initial pilot was two years. We're in continuous beta so basically always in pilot mode. Currently we're in the second two-year pilot.

The pilot project began in March until June 2013. It was fully implemented by FY 14.

The pilot was funded with \$20,000, and planned to run until the funds were expended. It took about six months (10/14–5/15).

The scope of the pilot was to use the grant of up to \$20,000 to: have a self-contained study of who would take advantage of such a service, and what would the range of author fees be that were faced by our local scholars; identification of partners for possible endorsement and additional funding ideas; development of policies and guidelines; creation of a consistent process for requesting funding; determination of fund administration practices.

The Libraries established a pilot program to cover a portion of the cost of author submission fees to such OA journals, with funding for the pilot project made available by the provost. Subject to availability of funding, the project will run from spring 2009 through spring 2010.

The University Libraries have been supporting open access initiatives through various channels since 2006. In 2009, a formal proposal was submitted to the university librarian outlining the suggested mechanisms by which OA support could proceed.

The university signed on to the Compact for Open-Access Publishing Equity in December 2009 to declare its support of open-access publishing business models. \$50,000/year was initially made available in FY10 and was reduced in FY11 to \$25,000/year to better match demand.

There was no real difference between pilot and implementation. The first year was a success and the fund has continued.

We allocated \$20,000 from a gift fund to determine if there was a need and demand for OA funding. Initial funding lasted 18 months. After evaluating data, we established an ongoing fund from campus and gift dollars.

We were given \$10K in funding from California Digital Library, which we matched with \$30K in Libraries funding.

7. Are funded articles collected or archived by your institution? N=36

Yes	31	86%
No	5	14%

If yes, how are funded articles collected or archived? N=31

Authors are <i>required</i> to deposit their articles in the institutional repository	14	45%
Someone at the institution retrieves and deposits the article	7	23%
Authors may <i>voluntarily</i> deposit their articles in the institutional repository	6	19%
Other process	4	13%

Please briefly describe the other process. N=4

Articles are noted as supported by HOPE in our repository.

Authors are required to do it, but in practice, about half of the articles are collected by library staff.

Authors can submit or someone at the institution will submit for them.

Authors may voluntarily deposit their articles AND someone at the institution retrieves and deposits them.

Additional comment N=1

I've indicated that articles supported by our COAP fund are not archived by our institution. I think this response comes closest to the situation here: we are not currently tying our APC subsidy program to the deposit of articles in our IR, nor are we tracking whether authors who receive the subsidies are depositing their articles locally. However, we do manage an IR and funded authors are free to deposit their articles there.

APC FUND FINANCING AND ADMINISTRATION

8. Which unit(s) in your institution contribute money to the APC fund? Check all that apply. N=36

Library	35	97%
Administration (provost, president, or chancellor)	10	28%
Office of research	5	14%
Individual academic departments or colleges	2	6%
Central budget office	0	0%
University press	0	0%
Other unit	6	17%

Please specify the other unit. N=6

It was both the main library and the medical library contributing money to the fund.

Office of research has contributed in the past.

OhioLINK contributed some funding to the project.

Provost Office

School of Medicine; School of Nursing

The pilot was funded by the University Libraries and the Health Sciences Library.

9. Which unit(s) in your institution controls or administers the APC fund budget? Check all that apply. N=36

Library	35	97%
Office of research	1	3%
Individual academic departments or colleges	0	0%
Central budget office	0	0%
Administration (provost, president, or chancellor)	0	0%
University press	0	0%
Other unit	1	3%

Please specify the other unit. N=1

OhioLINK

10. If you answered “Library” above, which unit or position within the library administers the budget? N=35

Acquisitions manages the APC fund budget.

Associate Dean, Scholarly Resources & Services

Associate University Librarian Collections and Research and EResources Librarian

Associate University Librarian for Collections and Scholarly Communications as part of the Scholarly Publishing Team.

AUL Collections but delegated to Research Services Librarian

Collection Development

Collection Development Librarian and Coordinator, OpenSIUC

Collection Management Librarian

Collections

Copyright Office

Decisions about allocating funds to the OARS project are made by the Libraries’ management team in consultation with the university’s Faculty Council Committee on Libraries (FCCOL). FCCOL has been very involved in helping determine policies for distributing OARS funds and guidelines for funding eligibility. The application approval process is managed by a liaison librarian, who creates documentation about OARS policies and procedures, answers questions about the fund, and works with an administrative professional to get applications approved. The administrative professional screens applications to insure they are compliant with the guidelines, tracks how much money has been allocated, and compiles fund statistics. Payments are managed by the Libraries’ Director of Fiscal Services.

Digital Collections and Strategies

Digital Scholarship Librarian, who is a part of the Digital Programs & Initiatives unit in the libraries.

Director of Collections and Liaison Services

Director, Scholarly Communications & Instructional Support (position no longer exists)

During the time the fund existed, the Health Sciences Library administered it.

I administer the program as Director of Collections, with assistance from our Scholarly Communications Librarian and a Digital Programs Associate.

Now administered by committee with people from several areas across the library.

Office for Scholarly Communication

Publishing and Curation Services

Publishing and Repository Services

Research Support Standing Committee Library Information Resource Management Unit
(technical services)

Scholarly Communication and Collections & Technical Services

Scholarly Communication Coordinator

Scholarly Communication Department. Recently transitioned the fund to a new position, the “Open Access and Institutional Repository Librarian.”

Scholarly Communication Librarian reviews fund applications under the Associate Dean for Research and Scholarly Communication. Library administration allocates funds.

Scholarly Communications and Copyright Office

Scholarly Communications Librarian

Scholarly Communications Librarian administered the fund.

Scholarly Communications Office

Scholarly Resource Development Department

The Office of Copyright and Scholarly Communication, Outreach Coordinator for Open Access
(interim; may remain permanently)

The Scholarly Communications Committee

The scholarly communications group

There’s a team that evaluates proposals and maintains a spreadsheet to make sure we don’t over-commit. The money itself is administered out of the Admin Office, which is where Fiscal Services is housed.

APC FUND ALLOCATION

11. How is the money allocated within the budgeting process? N=34

A separate line item in the budget	28	82%
Included in other funding lines	2	6%
Other process	4	12%

Please briefly describe the other process. N=4

Currently, the money is allocated from funds considered contingency to the collections budget.

Designated from available gift funds in the Libraries’ endowment portfolio.

Discontinued

Pulled out of collection budget, which is jointly managed. We will be bringing a request to supplement funding soon.

12. What is the fund allocation for FY16? Please specify in US dollars. Please enter a whole number without commas or a \$ sign. N=25

Minimum	Maximum	Mean	Median	N
15,000	263,750	49,600	40,000	25

13. How was this funding level determined? N=25

15,000	Historical requests and what the budget allows
15,000	Not known
20,000	It was what we managed to scrape together!
20,000	Somewhat arbitrarily. The director was able to put up \$10K, and we could match that amount from the collections budget.
20,000	Soft funding based on pilot requested total
20,000	Somewhat arbitrarily. HSL declared that they would contribute a little under \$10,000, and the main library system contributed enough to round the fund up to \$20,000.
25,000	The available funding was kept consistent with the previous year's in order to meet demand.
25,000	\$50,000 allocated over two years: \$25,000 from Libraries and \$25,000 from other units (Admin/Research).
25,000	A combination of predicted need and availability of funds from budget
30,000	Based on prior fiscal year expenditures and projected number of requests expected.
30,000	Historical spending trend, demand
40,000	Based on previous years' allocations and an annual consultation with the head of collection management.
40,000	Based on prior year's applications and budget availability.
42,000	Past financial commitments were agreed upon by each of the funding units in previous fiscal years and were carried through to this year. The Head of Collections decides how much to allocate for the Libraries. The Vice Provost for Academic Affairs allocates the funds from the provost's office. The deans of the Schools of Medicine and Nursing allocate funds for their schools.
45,000	This funding level was determined by the Libraries' management team.
45,249	\$60,000 CAD. Funding was retained at the same level as the previous year's budget allocation.
48,000	The Libraries contributed \$23,000 and additional funds were requested from the provost (\$5,000) and the deans of the colleges/schools on campus (ranged from \$2,000 to \$3,000 from each dean).
50,000	The initial funding for the program pilot was \$50,000 and part of the experiment was to see what the level of use would be and how long the funds would last. The initial funds were depleted in 3.5 years, with the rate of new applications accelerating over this time. Funds were renewed at the same level in 2014, but were depleted after only one year. The \$50,000 has been an annual allocation since then and has been fully expended each year; in the 2015–16 academic year, funds were depleted mid-year and the program was put on hiatus until the new fiscal year. Program funding is reviewed each year with no guarantee of ongoing support.
50,000	The increase in requests from our users for open access funds.
60,000	Qualifying authors got up to \$3,000 depending on the policies of their journal. If a journal was hybrid or delayed access, then the amount went down.
70,000	Based on past performance of and demand on fund

75,000	It's unclear how the funding model was selected prior to 2014. After 2015 we allocated additional funds to target support for book chapters and monographs.
80,000	The decision was made between administration and the library in 2010, and has been continued.
86,000	By the Dean of Libraries
263,750	Based on FY15 expenditures

14. How does the FY16 allocation compare with previous years? N=30

Smaller	6	20%
Larger	9	30%
About the same	15	50%

Comments N=10

Smaller N=4

Although budgeted at the same amount as previous years, we have historically allowed the fund to be over-spent. This will not be possible for this year.

Fund was discontinued.

The funding in the last year was almost exactly the same amount as it had been the year before.

The service was postponed due to budget issues halfway through FY16.

Larger N=2

The fund didn't exist before FY16.

We anticipate that the growth of the fund will become unsustainable.

About the same N=4

Allocation has been \$40,000 since 2013.

Fund was \$25K for first and second year. Fund was pilot program for those two years. Additional \$10K added after second year to continue fund until exhausted or more funds approved.

Initially \$30,000 was approved, but due to demand, an additional \$15,000 was released later in the year.

We are still in beta and trying to determine the right amount of funding. Usage is increasing.

15. If you answered "Larger" above, has an increase in funding led to an increase in staffing to handle the requests for funds? N=9

Yes	0	0%
No	9	100%

Comments N=2

Handling the requests is not too time intensive.

No additional staffing has been added. We are planning to hire a Scholarly Communications Librarian to manage the fund.

16. If you know your FY17 fund allocation, please specify it in US dollars. Please enter a whole number without commas or a \$ sign. N=17

Minimum	Maximum	Mean	Median	N
15,000	415,000	67,346	40,000	17

Allocation	N
15,000	2
20,000	1
25,000	3
40,000	3
49,880	1
50,000	2
75,000	1
80,000	2
100,000	1
415,000	1

ARTICLES FUNDED BY APCS

17. What have been the highest and lowest APCs paid? Please enter an amount in US dollars for each, if known. Please enter a whole number without commas or a \$ sign. N=32

Amount	Minimum	Maximum	Mean	Median	N
Highest	1,000.00	5,200.00	2,461.66	2,303.50	32
Lowest	74.00	650.00	276.47	230.00	31

Highest	Lowest	Comments
1,000	300	We had a \$1,000 cap on awards
1,000	300	\$1,000 per article (maximum \$3,000 over period of the pilot)
1,200	500	
1,250	500	\$500 (total charge for that article)
1,500	90	We have a \$1,500 cap per individual per year but definitely have authors who are paying above that amount in total APCs.
1,500	300	According to the rules of the fund, \$1,500 was the maximum award amount from the fund. Many authors had funding requests that exceed \$1,500 and the fund was able to pay the first \$1,500 for those authors.
1,500	600	The fund's allocation limit is \$1,500/article. The highest APC for an approved article was \$3,000.
2,000	80	First two-year pilot cap was \$2,000; it's since been adjusted down to \$1,500.
2,000	100	
2,000	150	
2,000	185	
2,000	300	We placed a cap on the amount we are willing to pay for an APC at \$2,000, so while we have had applicants who have sought more (up to \$5,200), we have only offered up to \$2,000.

Highest	Lowest	Comments
2,000	650	
2,045	200	
2,226.24	600	Over the years the maximum amount faculty may apply for has been decreased as demand for the fund has increased.
2,272	300	The limit for a single grant from the fund is \$3,000 CAD.
2,335	300	
2,545	99	
3,000	74	
3,000	96.43	
3,000	99	
3,000	99	
3,000	100	Our records include amount allocated, not necessarily what the APC was. Discounts or requests for partial funds are not known for all years.
3,000	225	For papers with multiple authors, we cover APCs only for those authors affiliated with our university. We divide the fee evenly by the number of authors and pay for the university share.
3,000	230	This is based on requested allotments, as that is how we interpreted the question. This doesn't necessarily "map" to APCs that journals actually charge, which on average would be closer to the "highest" figure. There is substantial data already on APCs charged by publishers.
3,000	300	
3,000	500	Approximation
3,000	500	
3,000	595	We have established a \$3,000 limit per article.
3,000		Average reimbursement per article = \$1,266.48
5,200	119	
5,200	149	Our funding limit per article is \$1,500. If the APC exceeds that amount the author or author's department has to make up the difference.

18. How many requests for funding were received in FY16? N=27

Minimum	Maximum	Mean	Median	N
10	83	34.31	33.00	26

19. How many articles were funded in FY16? N=26

Minimum	Maximum	Mean	Median	N
9	125	27.96	24.00	27

Received	Funded
10	10
12	9
14	13
15	13
17	14

Received	Funded
18	11
20	17
20	20
22	19
28	20
28	25
32	25
32	28
34	27
35	32
38	25
39	30
40	28
41	24
41	38
43	24
47	23
47	36
55	16
81	43
83	66
n/a	125

20. Were any requests for funding denied in FY16? N=30

Yes 27 90%
No 3 10%

If yes, how many articles were denied funding in FY16? N=25

Minimum	Maximum	Mean	Median	N
2	24	7.28	4.00	25

21. Why were articles denied funding? Check all that apply. N=26

Hybrid journals	21	81%
Other sources of funding available (e.g., NIH, NSF grants)	11	42%
Co-authors from other universities	2	8%
Other reason	21	81%

Please briefly describe the other reason. N=21

Article not completed.

Fund over-expended by third quarter of FY16.

Fund was exhausted for the fiscal year.

Hybrid or not listed in DOAJ

Illegitimate journals

Journal author agreement or licensing requirements did not meet our criteria.

Limit to one per fiscal year. First author from another university (though co-authorship is fine).

Not up to scholarly standard

One was a delayed-access model publication; two did not meet fund policy requirements.

Our aim is to have authors self-screen for eligibility. In order to submit a funding application, authors must check a box to attest to having no alternative funding, for example. Applications for hybrid journal APCs end up with the majority of rejections, because the “pure” vs. hybrid distinction is not necessarily obvious to authors. Having co-authors from other universities does not disqualify our authors from receiving funds from our program (we divide the fee evenly by the number of authors and pay for the university share).

Our fund was exhausted.

Out of money.

Predatory publisher, journal not listed in an OA directory, author submitted an article but it was not submitted for publication.

Problem meeting fiscal year deadline for submitting paperwork.

Request was withdrawn; article not accepted by journal; co-author had already received funding from OA fund in same fiscal year; publisher failed to meet fund criteria

Suspected predatory journals

The author is no longer affiliated with the university.

The request was actually for page charges, not APC.

There were a variety of reasons. In some cases the faculty member submitted an application for a hybrid journal, which was not allowed in this funding cycle. Faculty who had already been allocated funds reapplied, and there were several submissions for non-OA journals.

We looked for these qualities in a journal: The author retained their own copyright; the journal was fully open access; access was immediate, not delayed.

When an author uses their departmental card to pay for APC it disqualifies them from receiving reimbursement from the COAP fund.

22. How many articles has the fund supported in total (since inception through FY16)? N=29

Minimum	Maximum	Mean	Median	N
13	957	106.90	75.00	29

Articles
13
13
20
23
27
30

Articles
34
38
38
40
43
43
55
66
75
79
81
87
91
93
100
104
112
131
153
176
178
200
957

23. Have any academic disciplines received more funding than others in FY16? N=28

Yes	28	100%
No	0	0%

If yes, which disciplines received the most funding in FY16? N=28

Sciences	28	100%
Arts and Humanities	0	0%
Social Sciences	0	0%

Comments N=10

12 of the 13 articles were from the medical sciences.

Biology

Especially medical and life sciences

Faculty of Health (especially kinesiology and psychology)

Faculty of Medicine (70% of funding); Faculty of Science (10% of funding)

Medicine

Sciences: 9; Social Science: 4; Arts & Humanities: 6

The majority of awards have been in the life sciences and engineering, but we have seen significant numbers in the social sciences and a few in the humanities as well. We have funded authors in a total of 33 academic departments/programs. Last year, on an experimental basis, we extended funding to authors of two OA monographs published in the Press's Luminos program. This year, we have revised our funding criteria to provide ongoing support for OA book publishing. We expect that this will help broaden the disciplinary reach of the program.

The sciences dominate funding requests. Only linguistics and law had applicants outside of the sciences.

Vast majority of applicants are from the sciences.

APC POLICIES: ELIGIBLE AUTHORS

24. May any member of your institution's community (including faculty, staff, students, researchers, postdoctoral students, etc.) receive support? N=33

Any author affiliated with the institution may receive support	20	61%
Only specific categories of authors may receive support	13	39%

If only specific categories of authors may receive support, please specify which category(ies). N=13

All categories of authors (faculty, postdoc, staff, and graduate and undergraduate students) affiliated with the local campus may receive support. However, we do not currently extend support to authors affiliated with other campuses.

All except undergraduates

Current faculty member, instructor, post-doctoral researcher, staff member, or graduate student author. Faculty includes librarians.

Current faculty, post-doc, resident, or staff member who has had an article, book chapter, or book accepted for publication. Currently enrolled student or graduate student who has had an article, book chapter, or book accepted for publication.

Faculty and graduate students

Faculty, post-doctoral associates, graduate students.

Faculty, post-doctoral fellows, graduate students, librarians, archivists

Faculty, staff, and enrolled students

Full-time faculty members and research scientists

Our materials specify all members of the university community except undergraduate students. However, I believe that undergraduate proposals would be considered.

Standing and associated faculty

Tenure track faculty, non-tenure related career faculty, post-docs, currently enrolled graduate students

The author can be a faculty member, post-doc researcher, graduate, or professional student and any staff whose articles accepted for publication in a peer-reviewed, open access publication.

Additional comment N=1

[Any affiliated author, but] they cannot have received funding from elsewhere to publish.

25. Describe any members of your institution's community who are excluded from receiving support.

N=13

Classified staff, undergraduates

Everyone besides the above

Former students, faculty, and staff

Graduate students, undergraduates, non-faculty

Hospital employees who are not also affiliated with the university.

Members of affiliated institutions who are excluded from COAP include: Barnard College, Teachers College, or Union Theological Seminary or Jewish Theological Seminary of America (JTS) are excluded from receiving support.

Nobody is specifically excluded, but undergrad researchers are not included; neither are temporary staff.

Staff members

The Health Sciences Library did not have formalized criteria for funding and considered each request on a case-by-case basis.

Undergraduate students

Undergraduate students; staff; faculty, students, post-doctoral fellows from affiliated colleges

Undergraduates

Visiting scholars, researchers who are part of institutes but are not affiliated with the university.

26. Are APC awards distributed or prorated among multiple authors? N=31

Yes, prorated among authors at the same institutions	7	23%
Yes, both of the above	3	10%
Yes, prorated among all authors regardless of affiliation	0	0%
No	21	67%

Comments N=10

Yes, prorated N=4

Each author will be responsible for a prorated portion up to a total per-article cap of \$3,000.

Proration occurs if the authors request.

We have supported some papers with authors at other institutions, where the author had a previous but not current affiliation with the university. In those cases we have allowed the institution to fund the non-university authors' shares.

We prorate reimbursements based on the number of authors on a paper. Only university-affiliated authors are eligible for reimbursement.

No N=6

A university-affiliated author is eligible for up to \$1,500 per year to be applied to a single paper. Multiple authors on the same paper don't matter. For example, two local authors wouldn't get \$3,000 for a single

paper. But one of the two authors could apply for one article, and the other on a second article. The presence of an already-funded author wouldn't eliminate the paper from eligibility.

Awardees were eligible for up to \$1,000 per year, and \$1,000 per article. In the case of articles with multiple local authors, all authors were considered awardees and the \$1,000 cap per article still applied.

Funds are distributed in a single award to the applicant (one applicant per publication). For papers with multiple authors, we can cover APCs only for those authors affiliated with the local campus (we divide the fee evenly by the number of authors and pay for the university share).

New guidelines are being drafted that address this.

Only first or corresponding author on a paper may apply for funding.

Only one author per article can apply.

APC POLICIES: FUNDING LIMITS

27. Is there a cap on the amount that will be funded per article? N=33

Yes 30 91%
No 3 9%

If yes, please specify the per-article funding limit. N=30

Minimum	Maximum	Mean	Median	N
1,000	3,000	2,175	2,000	30

Amount	N
1,000	3
1,250	1
1,500	8
2,000	4
2,500	2
3,000 CAD	1
3,000	11

Comments N=2

\$3,000 per article in a fully open access journal, up to \$1,500 per article for hybrid journals and has a cap of one article per author per year.

New guidelines in draft specify a cap of \$2,000 per single article.

28. Is there an annual limit on the amount of funding an individual author may receive? N=33

Yes 28 85%
No 5 15%

If yes, please specify the annual funding limit. N=27

Minimum	Maximum	Mean	Median	N
1,000	6,000	2,666.66	3,000	27

Amount	N
1,000	2
1,500	5
2,000	2
2,500	1
3,000	15
5,000	1
6,000 CAD	1

Comments N=18

Answered Yes N=14

\$3,000 per author per FY

\$3,000 is the maximum any one applicant may be awarded in one year. There is a cap of one award per author per year.

50% of the APC for one article for up to \$1,500. The amount of funding per article has been decreased as the popularity of the fund has grown.

Also maximum of two awards per lab per year

As funds allow, exceptions will be considered for requests above this annual cap.

Cap was \$2,000, lowered to increase number of awardees.

Limit of two successful applications/year (instituted September 2015). Funding/application limits put in place in September 2015 in response to overwhelming demand for limited funds.

One article per author per fiscal year

One per author per year (but could be a co-author on another funded article)

Only one article for up to \$1,500

Our limit is on the number of successful grants, rather than on the total amount of funding. So, an author may receive up to \$6,000 CAD in funding, but most authors receive less, since many grants are for less than the maximum amount.

Preference given to authors who have not been previously funded.

The \$3,000 maximum was based on the typical range for journal APCs. As mentioned above, we have recently extended the scope of our program to cover processing charges for OA book publishing. Of course, these fees are much higher than journal APCs, but we are maintaining the \$3,000 contribution limit in order to contain our costs.

This was not formally codified, but in practice it was \$1,0000 per article.

Answered No N=4

New guidelines in draft specify a cap of \$3,000 per author per year.

One article maximum per researcher per fiscal year may be funded. We have refused for high costs but have no officially set maximum dollar amount limit.

There is no hard annual limit, but due to limited funds, the library has discretion to approve only one award per author per year from the fund.

We have been considering limiting the funding in additional ways. For now, though, we only limit by the per-article cap.

APC POLICIES: JOURNAL CRITERIA

29. Does your institution fund APCs in hybrid journals? N=32

Yes	5	16%
No	27	84%

Please briefly explain why your institution has made this decision. N=26

Answered Yes N=4

But only at half the rate allowed for gold OA journals.

If a journal was hybrid or delayed access, then the approved amount went down.

The question did not come up, but we did not want to exclude any form of journal from the outset, but rather to make considerations on a case-by-case basis.

We want to provide as much support as possible to authors publishing in OA journals.

Answered No N=22

Double-dipping; low amount of money in fund each year (\$15,000)

Hybrid journals were covered by the Open Access Author's Fund for several years in cases when the publisher indicated they were reducing subscription costs in response to the take up of their hybrid open access programs. It was decided that there was not sufficient evidence that publishers were actually making these reductions, so the decision was made in 2014 not to continue funding APCs in hybrid journals.

If the Libraries has a paid subscription to a journal we would be paying twice if we paid to make a single article OA. Although for FY16 and FY17, as part of a special promotion to attract more authors from the humanities, we will pay hybrid journal APCs for authors affiliated with the College of Arts & Humanities. So far, we have had no applications for hybrid journals from this group.

In most cases the university already pays for subscriptions to the journals so reimbursing authors to publish in hybrid journals would effectively be paying them twice.

In the beginning we funded OA costs for hybrid journals, but as the fund became more popular, we eliminated that option.

It is a form of double dipping by publishers.

Limited funding, so we have to make choices. We choose not to support the hybrid journal economic model. Also, those OA fees are more expensive, on average and in the specific requests we've seen.

Our VP for Research provides funding for hybrid and delayed-access journals.

See other comments on the lack of set criteria. There was an inclination not to fund hybrid journal APCs, but there was no formal statement forbidding it.

Since we pay subscription fees for these journals from the collections budget and the OA fund also comes from the collections budget, paying for articles in hybrid journals is essentially paying twice for the same content. Also, there is no transparency and no obligation on the part of these publishers to lower subscription fees in proportion to the APC fees they collect.

The HOPE fund is our implementation of the Compact-for-Open-Access-Publishing-Equity, through which we carry out our mission to underwrite reasonable publication charges for articles published by faculty and researchers in all-open-access journals.

The Open Access Fund is a program to support our scholars who wish to make their journal articles openly available immediately upon publication, and to support gold open access publishers around the world.

The purpose of the fund is to increase OA and full OA publishing; and articles/books must be fully available open access at time of publication. It is also to prevent large commercial academic publishers from co-opting the Gold OA model by charging exorbitant APCs.

They do not contribute to the goals of open access.

We changed our policy during FY15 to suspend support for hybrid journals. We support fully open access publications.

We consider it “double dipping.” Seeing as we already paying subscriptions to the journals, we are not seeking to fund their open fees as well. We also want to discourage the hybrid model and therefore won’t support it.

We did until 2015; decision to stop was partly budgetary, partly philosophical.

We don’t consider the hybrid model a good practice to support. “Double dipping,” or paying twice for the same content, would hurt our budgets even more.

We don’t want to support publisher “double dipping,” and do want to encourage alternative business models that are fully open access for the reader.

We prefer to direct our support to publishers of fully open access journals, rather than those who are simultaneously charging authors for open access and libraries for subscriptions.

We want to incentivize publishing in, and support for, fully OA journals.

We wanted to support fully open access journals first.

If yes, do your guidelines require that the publishers reduce institutional subscription fees? N=4

Yes	1	25%
No	3	75%

30. Do your guidelines require that journals be listed in the DOAJ (Directory of Open Access Journals) or other OA registry in order to be eligible for APC funding? N=33

Yes	25	76%
No	8	24%

31. Do your guidelines require that publishers be members of OASPA (Open Access Scholarly Publishers Association) or adhere to a similar code of conduct to be eligible for APC funding? N=33

Yes	21	64%
No	12	36%

32. Do your guidelines require that journals be peer-reviewed to be eligible for APC funding? N=33

Yes	23	70%
No	10	30%

33. What other criteria are used to evaluate publications for funding APCs? Check all that apply. N=20

Beall's List	6	30%
Journal Impact Factor	1	5%
Other criteria	18	90%

Please briefly describe the other criteria. N=18

All journals that meet DOAJ's criteria

All the above criteria were considered, but none were formally required. Another informal factor was staff assessment of the merit and need of the particular researcher and his or her access to other funds. For example, post-docs and assistant professors were more likely to receive funding than full professors. A requestor who had received funding in the previous year would be less likely to receive funding again in the near future.

Articles may not still be under review; they must be accepted. The journal is published in a fully open access format based on a published schedule of article processing fees.

Articles or books for which alternative funding is available are not eligible for reimbursement from this fund. This includes articles reporting research funded by a gift or a grant from a granting agency, foundation, or other institution (including the university itself) that allows grant funds to be used for open access publishing fees (whether or not the particular grant had budgeted for such fees), and articles funded by an institution that itself pays article processing fees on behalf of the author. An author must have exhausted all other grant and other funding sources to be eligible for this fund.

Beall's List isn't listed publicly as one of the criteria, but it's something we check if there's a question about legitimacy of a journal. Journal/publisher on Beall's List doesn't necessarily lead to denial, but if we can independently verify why a journal is included there, that will lead to denial of funding.

COPE, Directory of Open Access Books

DOAJ inclusion OR published by an OASPA member

Eligible journals must provide free, immediate, online access to the full text of research articles upon publication without restrictions. Eligible journals include those listed in the Directory of Open Access Journals, or publishers that are generally compliant with the Open Access Scholarly Publishers Association's Code of Conduct. Journals must be peer-reviewed. Journals must make their standard fee schedules publicly accessible. "Hybrid" open-access publishing, such as subscription-based journals that make some articles available after an author pays fees are not eligible for funding. Any journals or publishers listed in Beall's List of predatory scholarly open-access publishers require greater scrutiny by authors and the University Libraries.

Favorable author agreements in which authors retain the copyright to their work.

If we think the publisher may be predatory based on comments from Beall or other sources, we may advise the author to review their choice to publish with that journal.

Must allow posting in repositories without embargo; also review process, reputation, presentation, marketing techniques, acceptance rate, and other factors as needed.

New draft guidelines require that the journal be vetted by author's department chair.

Publications must have a standard policy to waive fees in case of economic hardship.

There are significant concerns regarding Beall's List. The Open Access Fund aims to encourage authors to retain copyright so they can release their work under Creative Commons licensing. For that reason, another condition of the Open Access Fund is that the journal must allow the authors to retain copyright.

We had one instance this year where a journal was not listed in DOAJ but the publisher was a member of OASPA. We funded that request.

We looked for these qualities in a journal: The author retained their own copyright; the journal was fully open access; access was immediate, not delayed.

We review each journal and publisher to ensure it's ethical and not "predatory." We search the Internet, including Beall's List, to get informal feedback about faculty experiences with particular journals or publishers.

While we don't require listing in the DOAJ, journals must conform to the DOAJ criteria in order to be acceptable. This avoids the problem of new journals not being listed yet, and the fact that the DOAJ was not being updated for several years.

APC FUNDING PROCEDURES

34. To which department do authors apply for APC funding? Check all that apply. N=33

Library	33	100%
Office of research	2	6%
Individual academic departments or colleges	1	3%
Central budget office	0	0%
Administration (provost, president, or chancellor)	0	0%
University press	0	0%
Other unit	0	0%

35. In which department are APC invoices paid? Check all that apply. N=33

Library	28	85%
Individual academic departments or colleges	6	18%
Office of research	2	6%
Central budget office	1	3%
Administration (provost, president, or chancellor)	0	0%
University press	0	0%
Other unit	0	0%

36. How are APC invoices paid? Check all that apply. N=33

Author or author's department pays, then is reimbursed from the fund	17	52%
Check	13	39%
Credit card	11	33%
Deposit account	6	18%
Other method	13	39%

Please briefly describe the other method. N=13

APC is paid by author using their personal card. The university then reimburses the author (if they meet our criteria).

Currently making adjustments to allow for credit card payment.

Institutional reimbursement system—the same one used for payroll.

Interdepartmental transfer

Invoice processed through library's finance department like an acquisition.

Payment can also be made in the form of a reimbursement through a departmental fund transfer.

Purchase order created in library finance department.

This depends on the publisher and whether the library is paying directly (preferred) or if the costs were paid for some other way and we have to reimburse the department.

University financial system (Kuali)

We try to encourage the author to have his/her department pay and we can easily transfer the money to that account. Pay the publisher directly with credit card is the next preferred form of payment and a check is issued only as a last resort (as a state institution this can take weeks if not months).

We used a variety of methods based on the needs of the author and the journal.

Wire payments

Wire transfer; in cases where the APC exceeds \$1,500, we pay the full amount and the author's department reimburses us the difference.

OUTREACH FOR PUBLIC AWARENESS

37. How is your institution's community made aware that an open access fund is available? Check all that apply. N=33

Library liaisons	32	97%
Website	30	91%
Word of mouth	30	91%
Through related activities, such as Open Access Week or Open Education Week	27	82%
Email list	11	33%
Newsletter or flyer	9	27%
Blog	7	21%
Other method	12	36%

Please briefly describe the other method. N=12

Because our grant was so modest, we deliberately relied on the liaisons for much of the advertising. In reality, word of mouth among researchers was the biggest factor in who applied.

Bookmark describing the Open Access Fund

LibGuide

Mentioned frequently as part of related outreach and presentations.

Outreach to Academic Senate Council on Research, Computing, and Libraries (CORCL)

Rotating slide on video displays in the library

The Faculty Council Committee on Libraries is comprised of representatives from all the colleges, and they have communicated to the colleges.

Through workshops for faculty and graduate students

Visits to Faculty Councils

We're finding that many publishers are listing institutions that have funds on their sites or they refer their authors to us. We find that we have to do little promotion and we end up using all funds long before the fiscal year ends.

We provide our data to SPARC, which includes the information in it's annual report and on it's website.

Workshops

38. Does your institution formally recognize authors who receive OA funds? N=33

Yes 12 36%

No 21 64%

If yes, how does your institution recognize authors? Check all that apply. N=12

Website	7	58%
Ceremony or event, such as during Open Access Week	4	33%
Annual report	2	17%
Library or institution marketing	1	8%
Other method	6	50%

Please briefly describe the other method. N=6

In a collection of the supported materials in the institutional repository

In addition to listing their article on our Scholarly Communication website, we deposit their articles to our institutional repository.

OA-funded submissions are listed in the institutional repository under a specific heading of OA-funded articles.

Posting author names and article titles on a library website and providing links to their articles in the repository.

Through SPARC

We are planning an event to occur during this year's Open Access Week.

39. Is specific data about the fund shared openly? N=33

Yes 15 46%

No 18 54%

If yes, please indicate how the data is shared. Check all that apply. N=15

Institution or departmental website	8	53%
Annual report	4	27%

Online spreadsheet	1	7%
Other method	7	47%

Please briefly describe the other method. N=7

Library blog

Monthly reports to the Scholarly Communication Committee, reports to the library liaisons

Occasional reports and blog posts; presentations to stakeholder groups (e.g., our Faculty Library Board)

Reports to the Faculty Council Committee on Libraries

Shared through the annual Canadian Association of Research Libraries statistics process since 2013.

Upon request. Also presented in a poster session at a conference.

We prepare reports as requested by the provost and the University Libraries Committee.

APC FUND BEING PLANNED

40. In how many months will the fund be implemented? N=6

12

24

6–8 months

To be determined. This initiative depends on the availability of funding.

We are currently in discussions to determine the amount in the fund, how it will be distributed, policies, etc. We anticipate that we would implement the fund in the fall of 2016 or spring of 2017.

Within next 12 months

NO APC FUND

41. Please indicate why your institution has no APC fund. Check all that apply. N=33

Lack of funding	15	46%
Lack of administrative support	15	46%
Lack of faculty interest	5	15%
Other reason	16	49%

Please briefly describe the other reason. N=16

APCs are not particularly a cost-effective or scalable mechanism for furthering open access.

In general we have author interest but at the moment the TriAgency policy allows authors to use some grant funding for APCs so that may minimize the requests we receive.

Instead of “Lack of author interest” I would say it’s “lack of demonstrable author requests.”

It is for different reasons such as funding and the unsustainability of it, but the main reason is that we do not believe that this should be part of the mission of the library to pay for author’s APC.

More pressing priorities require attention at this time, however, there is author interest.

No requests for this have been made and therefore no funding sources have been explored. There are no funds in the library budget to pursue this.

Our library has, thus far, opted not to establish an APC fund for several interrelated reasons. Broadly speaking, these reasons can be said to fit the category of “the hybrid OA problem.” In other words, during a period of stagnating and contracting budgets, the library cannot justify redirecting funds from resources with clear, large-scale impact to an APC fund with uncertain or questionable impact. Our prevailing sense, as a library and more broadly as an institution, is that APC-funded Gold Open Access still presents substantial drawbacks for researchers and for libraries. The following list of drawbacks is excerpted from the “Report of the University of Illinois Open Access to Research Articles Task Force.” There are many concerns about APC-funded Gold Open Access. For example: 1. The cost structure of APCs continues to be highly volatile, and varies widely in a manner not directly related to the quality of the journal. For example, in mathematics, APCs vary from \$750 to \$3,000 for reputable journals. 2. Subscription journals remain very important and active venues for publication of academic research, resulting in a situation where libraries cannot reduce subscription costs to cover faculty APCs without also reducing the number of subscriptions. Thus, APCs are a new and additional cost in the system. 3. Payment of APCs from authors to journals may create an incentive for a publisher to publish the work of those who can pay rather than publishing the highest quality research, thus lowering standards of publication. Indeed, we have seen the emergence of “predatory” or fraudulent open access journals that have no reputational value and capitalize on revenue from APCs. 4. Because of this extraordinary variability in quality of journals that receive APCs, an institutional commitment to APCs will also require institutions to review journals for quality, a practice that will be problematic and expensive. Based on the above drawbacks, the task force tendered the following recommendations: 1. That the University of Illinois not adopt a university-wide policy on institutional support for APCs. 2. That the University monitor the adoption of APCs by Gold open access journals, as widespread adoption of this model will result in institutional support for APCs becoming an important component of competing with our peers. (Wilkin, John, Mary Case, Matthew Ando, Doug Beck, Danilo Erricolo, Anna Lysakowski, Joyce Tolliver, et al. “Report of the University of Illinois: Open Access to Research Articles Act Task Force,” October 15, 2014. pp. 15–16, 18. <http://www.trustees.uillinois.edu/trustees/agenda/November-13-2014/r-OARAATF-and-Minority-110314.pdf>). Thus, while the University of Illinois has adopted an open access policy, it has not mandated a specific route to open access, nor has it adopted a university-wide policy for supporting a specific route. Costs for any APC support funding would therefore be solely the library’s budgetary responsibility. The library continues to feel any viable approach to supporting journal subventions requires a systematic approach to categorizing and assessing each potential publication or external OA initiative for quality and potential contribution to establishing a true path to offsetting future library costs. A library study group will continue to assess external opportunities (especially larger-scale experiments like the Open Library of the Humanities, etc.) and recommend strategic investments based on rigorous criteria.

Some authors include APCs in grant applications and fund publishing via 3rd-party funding agencies. Some authors might receive APC support through their academic colleges, but this approach isn’t coordinated between colleges or formalized within colleges, but rather handled primarily on a case-by-case basis.

The library does not have plans to subsidize employees’ contributions to scholarly publications.

The University Libraries actively support open access. The decision to not support APC’s was made consciously, on principle.

The university is large, with decentralized centers of authority. APC funding on campus may be handled by units (departments, colleges) or via grants. The grant funding and APC climate varies substantially across disciplines, of course.

There is currently no centrally administered fund planned. Our current plan is for the deans to determine and provide appropriate APC funding. The criteria and processes are still being established and documented.

There is interest in creating an APC fund among librarians, faculty, and graduate students, but it is beyond the budget of the library and we do not currently have institutional support from university administration.

This is a topic that has been discussed but it hasn't been determined where it belongs on this campus. We have several new upper-level administrators, including a new dean in the library, and an interest in increasing research funding so I expect the topic to continue being discussed.

We are currently investigating how this is being handled on our campus and the feasibility of supporting an APC fund.

We've not had many requests coming from faculty or students for help with APCs and we've not heard from our administration that this should be a library focus. At the same we believe that funding for APCs is going on but in a distributed way outside of library operations. The library does contribute to open access projects (SSRN, Stanford Encyclopedia, ArXiv, etc.) but we don't currently support OA through APC funding out of library money.

FUNDING OF EXTERNAL OA INITIATIVES

42. Does your institution allocate funds to OA initiatives that are external to the institution? N=72

Yes	58	81%
No	14	19%

If yes, which initiatives are allocated funds? Check all that apply. N=58

Memberships (for example, PeerJ)	48	83%
Open access monograph publishing	40	69%
Journal subsidies (for example, Open Library of Humanities)	38	66%
Open educational resources, such as textbooks	21	36%
Other initiative	18	31%

Please briefly describe the other initiative. N=18

Also projects like SCOAP and Reveal

arXiv: We have a supporter membership for this preprint service. SCOPE3 supporter. We weren't sure where HathiTrust fit into all of this since it is OA after the fact.

HathiTrust; OAIster

Knowledge Unlatched

Member of Open Access Network, Open Textbook Network

NB: These funds come from the Libraries' collections budget and not from COPE funds.

OA Monographs: we have supported both phase 1 & 2 of Knowledge Unlatched. OER: as a member of the Boston Library Consortium we support the Open Textbook Network. Journal subsidies: we participate in SCOAP3.

Provide support to the Library Publishing Coalition (LPC), SCOAP3, and the Stanford Encyclopedia of Philosophy, among others.

Reveal Digital

SCOAP, Knowledge Unlatched, CRL offering “Independent Voices”

SCOAP3 (2 responses)

SCOAP3 (same as journal subsidies?)

Support includes: PKP: we are a full development partner and so we offer both financial and human resources as part of our commitment; Knowledge Unlatched; DOAJ; Erudit; SCOAP; ArXiv

The Libraries are also involved with discussion on campus regarding Open Educational Resources, but have not allocated funds to this initiative at this point.

The Libraries is a supporter of general OA initiatives and specific publisher programs that include SPARC, arXiv, the Royal Society of Chemistry Gold for Gold Program, Knowledge Unlatched, Science Advances (AAAS), HathiTrust, Nucleic Acids Research, Reveal Digital, and BioMed Central.

We participated in the pilot and round two of Knowledge Unlatched, and we provide funding support for the SCOAP3 initiative, which will convert 10 key journals in the field of high-energy physics to open access at no cost for authors. We also provide funding support to arXiv.

While most of the fund is used to support journal articles, COAP fund administrators are willing to consider different types of open-access publications such as open-access conference presentations and monographs. For example, COAP fund resources were used to license a translation of a Dante text for use in the Digital Dante project, <http://digitaldante.columbia.edu/> and to pay a nominal fee to a German publisher to maintain access to geoscience articles in our institutional repository Academic Commons, <http://academiccommons.columbia.edu/>.

Additional comment N=1

As previously responded, we have a lack of funding, but we would be interested in funding other OA initiatives like OLH, PeerJ, etc.

ADDITIONAL COMMENTS

43. Please enter any additional information regarding open access funding practices at your institution that may assist the authors in accurately analyzing the results of this survey. N=22

Authors apply individually to the Office of the Vice Provost for Research for funding for article processing charges.

For FY17 we are only funding 50% of an article's fees, which is why the total amount for the fund has been reduced compared to FY16. In past years we have requested additional funds from the deans on campus and not all contributed. Since we tend to have a larger number of applications from the sciences, we wanted to make it more equitable across all college/schools. When we open up the application process in the fall we are going to encourage authors to reach out to their department heads and deans for additional funds as well as use grant funding if it is available. If the deans are not more receptive to the authors, at least they will be aware of how important the fund is to the researchers in their departments.

July 25, 2016 DRAFT / Kent State University Open-Access Publishing Fund Guidelines: The Kent State University Open-Access Publishing Fund will support reasonable article processing charges (APC) for open-access journals when funds are not otherwise available. The fund is supported by

University Libraries. Requirements Eligible Authors: The Open-Access Fund is available to any Kent State University faculty, postdoc, staff member, or student who is the lead or corresponding author. Eligible Articles: Funds apply to APCs for scholarly peer-reviewed articles. Eligible Publications: Are open-access journals that: § are approved by the applicants' Academic Unit § Are peer reviewed § Are listed in the Directory of Open Access Journals § Have policies and practices consistent with the Open Access Scholarly Publishers Association Code of Conduct § Make their standard fee schedules publicly accessible § Waive their APCs in cases of the authors' financial hardship Not eligible: § Articles in journals that charge an annual subscription fee, including journals that use a delayed open-access model, or offer an "open choice" option to make a particular article open access. § The Open-Access Publishing Fund does not cover: Color charges, Page Charges, Illustration Fees, Submission Charges. Article Reimbursement Cap: Funding allowance for a single article is capped at \$2,000. Author Reimbursement Cap: Authors may receive funding for up to \$3,000 per year for all APCs. Unused amounts do not roll over to future years. § We encourage authors reporting on research that was supported by funders (e.g., NIH) to use research funds to cover publication fees. If possible the costs for APCs should be specifically included in the grant. Multiple Authorship: In the case of an article with multiple Kent State authors, they may opt to split the APCs among themselves. For example, for an article with three authors that is to appear in a journal with a \$3,000 publication fee, each author could receive funding for \$1,000 of that fee. Application Process: § Articles submitted for publication after July 1st, 2016 are eligible. § University Libraries will administer the fund and process APC payments.

Main obstacle to APC fund establishment is institutional budget. The state government has instituted a budget recision this FY and state budget outlook is bleak for the next several years. If we had funding available, the APC project would have been implemented already.

Our support of external OA initiatives is funded through collections funding.

See analysis of the impact of our OA fund at "Library Funding of Open Access Publication Fees: Effects on Faculty Behavior and Attitude," http://opensiuc.lib.siu.edu/morris_confs/22/

See COAP Fund Frequently Asked Questions, <http://scholcomm.columbia.edu/services/coap-fund/coap-fund-frequently-asked-questions/>.

The fund has evolved over the years, so the answers that have been provided apply to the last round of funding.

The Open Access Author's Fund was suspended from November 2015 until July 2016. A new and expanded funding model has recently been announced that includes contributions from the provost and individual academic departments in addition to funds allocated from the library collections budget. Another change in July 2016 is that responsibility for the administration of the OAAF is moving from collections staff to the recently hired scholarly communications librarian.

The statistics from the fund in operation for two years show that there is demand for this kind of fund and the pilot was a success from that perspective. Discussions are in process about how best to move forward and whether the OA Fund is the best approach.

The University of Alberta Libraries' Collection Policy includes the following statement: "The University of Alberta Libraries are committed to the principles of open access, as outlined in the IFLA Statement on Open Access to Scholarly Literature and Research Documentation. In addition to collecting and making available open access materials, we are committed to furthering knowledge through online open access journal hosting, digital repository, and research management data management services. The Libraries are also engaged in ongoing digitization and digital preservation projects aimed at ensuring open access to historical material for current and future generations of students and researchers." The Open Access page on the Libraries' website routes to Open Access initiatives: <https://www.library.ualberta.ca/research-support/open-access>

The University Research Office has a Scholarship Facilitation Fund that awards grants of \$2,000, a portion of which may be applied to OA publishing, but that is just one category among many, and not its primary purpose. <http://research.uconn.edu/funding/scholarship-facilitation-fund/>

There is currently no centrally administered fund planned. Our current plan is for the deans to determine and provide appropriate APC funding. The criteria and processes are still being established and documented.

UCI participates in the Royal Society of Chemistry “Gold for Gold” program <http://osc.universityofcalifornia.edu/scholarly-publishing/open-access/uc-discounts/>

We (the library) put together a proposal for a modest fund when the campus open access policy was passed and implemented. However, we were never able to get funding in the budget allocated for APCs.

We also participate in/subscribe to Biomed Central, Royal Society of Chemists, and SCOAP3, all of which enable our faculty to have article processing charges paid for or they will get a significant discount. We have created a special fund to incentivize faculty to replace commercial textbooks with alternate learning materials or open textbooks. We are applying for an NEH open humanities book program

We are working on greater recognition and transparency about the fund. This includes plans for a web page listing funded articles. Regarding the retrieval of funded articles, we are looking to change to a model in which authors are required to deposit their articles in the repository.

We have also used the fund to support our open education initiative <https://scholarblogs.emory.edu/eoei/>.

We receive vouchers from publishers that we pass on (e.g., in the past Royal Society of Chemistry). Non-APC related: We expanded our institutional repository from ETDs only to accepting peer-reviewed OA articles. In other words we fund the IR and support author deposit into it. We fund events for Open Access Week in terms of staff time organizing events, expenses for speakers, refreshments, advertising of the events.

We review our policies annually and make adjustments.

We traditionally look at investment level, viability of model, and responsibly adding to the support of OA.


While the Libraries budget contributes funding toward a variety of memberships and programs that support OA publishing, these efforts do not revolve around a library-controlled APC fund mechanism. Our contributions tend to lead to cost reductions for authors, rather than direct dollar support.

Responding Institutions

University of Alabama	University of Miami
University of Alberta	University of Michigan
Boston University	Michigan State University
Brigham Young University	University of Nebraska—Lincoln
University of Calgary	University of New Mexico
University of California, Irvine	New York University
Case Western Reserve University	University of North Carolina at Chapel Hill
University of Chicago	North Carolina State University
University of Cincinnati	Northwestern University
University of Colorado at Boulder	University of Notre Dame
Colorado State University	Ohio University
Columbia University	Ohio State University
University of Connecticut	University of Oklahoma
Cornell University	Oklahoma State University
Duke University	University of Oregon
Emory University	University of Pennsylvania
University of Florida	Pennsylvania State University
Florida State University	Purdue University
Georgetown University	University of Rochester
University of Georgia	Rutgers University
Georgia Institute of Technology	University of South Carolina
Harvard University	University of Southern California
University of Houston	Southern Illinois University Carbondale
University of Illinois at Urbana-Champaign	University at Albany, SUNY
Indiana University Bloomington	Syracuse University
University of Iowa	Temple University
Iowa State University	University of Tennessee
Johns Hopkins University	University of Toronto
University of Kansas	Vanderbilt University
Kent State University	University of Virginia
University of Kentucky	Virginia Tech
Université Laval	University of Washington
Library of Congress	Washington State University
Louisiana State University	Washington University in St. Louis
University of Louisville	University of Waterloo
McGill University	Western University
University of Manitoba	University of Wisconsin—Madison
University of Maryland	York University
University of Massachusetts, Amherst	

Representative Documents

Open Access Fund Descriptions



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Open Access Authors Fund

The Open Access Authors Fund pays article processing fees (APCs) for articles in open access (OA) journals that use this funding method. Certain criteria apply.

Who is eligible?

- The fund is open to graduate students, faculty, staff, adjunct faculty, and postdoctoral researchers at the University of Calgary.
- Applicants must exhaust other funding sources (e.g. grants) to pay for APCs before applying.
- The first author on the article must be from the University of Calgary though we will sometimes make an exception to this.

What is eligible?

- The fund will pay APCs for articles that have been accepted for publication in fully OA journals that are listed in the [Directory of Open Access Journals](#). Journals listed in the Directory have made a certain level of commitment to quality. Fully OA journals are journals where all of the content (articles, editorials, letters, appendices, data, etc), in all formats (HTML, pdf, etc), in all issues (current and older), is openly accessible. We will consider applications for Canadian OA journals that are new and haven't had a chance yet to register with the [Directory of Open Access Journals](#).
- Articles that have been accepted for publication in hybrid OA journals will not be eligible for coverage by the fund. (A hybrid open access journal is a journal that only makes some articles open access upon payment of an additional fee.)
- Journals/publishers that have differential charges for Creative Commons (CC) licenses will not be eligible.

What are the limits on the Fund?

- The fund will pay for two successful applications per fiscal year (April 1 - March 31)
- The fund will limit grants to a maximum of \$2,500.00 USD per successful application.
- Libraries and Cultural Resources is committed to supporting open access publishing and ensuring opportunities for scholars and disciplines across the University to publish in open access journals. This support continues despite the decline in value of the Canadian dollar.

Other information:

- Authors who are submitting to the fund will need to complete the [application form](#).
- Normally, applicants will know if their funding request has been approved within five business days.
- One application covers one accepted paper.
- Payments are made on behalf of authors by [Libraries and Cultural Resources](#) (LCR) directly to the publisher. Applicants should keep all relevant paperwork and correspondence.
- Libraries and Cultural Resources will deposit a copy of funded articles into [PRISM](#), the University of Calgary's institutional repository.

Please see also:

[Open Access Authors Fund FAQ](#)

[Payment by the Open Access Authors Fund](#)

[Articles published in BioMed Central \(BMC\) and Hindawi journals](#)


[Memberships with OA publishers](#)

[Planning for publishing OA](#)

[A brief history of the Open Access Authors Fund](#)

For more information, please contact:

Christie Hurrell, MA, MLIS
Digital Initiatives and Scholarly Communication Librarian
University of Calgary | Taylor Family Digital Library| 2500 University Drive | Calgary AB T2N 1N4
christie.hurrell@ucalgary.ca
403-210-6103



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Open Access Fund

The University Libraries support the goal of making CU-Boulder research findings immediately and freely available worldwide via publication in open access journals.

The Open Access Fund is intended to support that goal by providing a means for authors without access to funds from other sources to pay for reasonable article processing or publishing fees charged by full open access publishers. Initially, this limited fund will be self-funded by the Libraries and will not come from the campus budget to the Libraries. The Libraries are interested in exploring more sustainable means of funding for open access publications if there's broader support for such efforts across campus.

Articles that comply with the eligibility criteria (below) will be funded on a first-come, first-served basis until available funds are exhausted.

Funding doesn't imply an endorsement of any journal, nor does it imply an assessment of the quality or research value of any article.

Eligibility Criteria

Authors

Current CU-Boulder faculty, staff and students may request funding up to \$2,000 per year to pay for article-processing or publishing fees for full open access journals.

Articles

Any peer-reviewed research article accepted into a journal meeting the criteria is eligible.

Journals

Any journal that provides free, immediate, online access to the full text of all research articles and follows accepted best practices for open access publishing is eligible. This includes, but isn't limited to, journals listed in the [Directory of Open Access Journals](#). At a minimum, journals must be compliant with the [Open Access Scholarly Publishers Association's Code of Conduct](#).

In accordance with the [Compact for Open Access Publishing Equity](#), so-called "hybrid" open access journals that provide free online access for only some articles will not be eligible for funding.

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Alternative Funding Options

This fund is intended to support open access to research articles where publication fees are not covered by grants or other funding sources. The CU-Boulder Libraries encourages authors to include publication fees in grant requests whenever possible. This fund isn't intended to replace such funding sources.

Multiple Authors

Funding is limited to \$2,000 per article regardless of the number of authors. Funding for articles with multiple CU-Boulder authors will be prorated (e.g., if there are two CU-Boulder authors on the same article, each author can request up to \$1,000 or they can submit one joint application). Funding for articles with authors from other institutions will not be prorated unless the non-CU authors have secured funding from their institutions or other sources. Applicants may be asked to solicit funds from non-CU authors.

Institutional Repository Submission Requirement

Applicants who receive funding are expected to [submit a copy of the published version](#) of the article to CU-Boulder's institutional repository at the time of publication. Please [contact Gabrielle Wiersma](#) for assistance with submissions.

Attribution

In the author's acknowledgements, please include the statement: *Publication of this article was funded by the University of Colorado Boulder Libraries Open Access Fund.*

Application Process


If the above criteria are met, the [Open Access Fund Application Form](#) can be used to request funds. Requests for publisher payment may be made as soon as an article is accepted and a statement or invoice for publication charges is received.

Authors will be notified via email upon approval of funding (typically within seven business days). Payment will be made directly to the publisher.

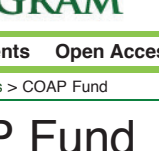
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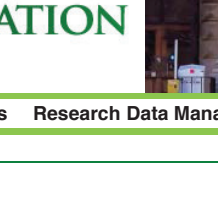
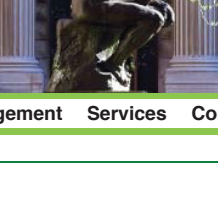
Contact [Gabrielle Wiersma](#) for more information or questions about the application process.

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COAP Fund

The Columbia Open-Access Publication (COAP) Fund will underwrite reasonable article-processing fees for open-access journals when funds are not otherwise available. The fund is supported by Columbia University Libraries/Information Services (CUL/IS). CUL/IS has established the COAP Fund in fulfillment of Columbia's commitment to the Compact for Open-Access Publishing Equity.

Read the [fund guidelines](#) below.

View [frequently asked questions](#).

Apply for COAP reimbursement by following the [instructions for application and reimbursement](#).

Browse a [list of articles](#) supported by the COAP Fund.

Goals

The goals of the COAP Fund are to support innovative models of scholarly publishing; Increase access to Columbia's research and scholarship; and aid Columbia faculty, students, and staff who want to publish in open-access journals but who do not have other sources of funding to cover article-processing fees.

Guidelines

Eligible Authors

The COAP Fund is available to any Columbia faculty member, post-doctoral researcher, staff member, or student author. Authors who were at Columbia while the research was conducted may also qualify for reimbursement. The fund is not currently available to Columbia affiliates including Barnard College, Teachers College, or Union Theological Seminary.

Eligible Articles

COAP funds apply to article-processing fees for scholarly peer-reviewed articles.

Eligible Publication Venues

COAP funds may be used to pay article-processing fees in open-access journals (i.e., journals that do not charge readers or their institutions for access to the peer-reviewed articles they publish). Eligible journals must:

- Provide unfettered access to all peer-reviewed articles. Journals with a hybrid open-access model or delayed open-access model are not eligible.
- Be a member of the [Open Access Scholarly Publishers Association](#) OR adhere to its [Code of Conduct](#).
- Have publicly available a standard article fee schedule.
- Have a policy to waive fees in cases of economic hardship (though some exceptions to this requirement may be allowed).

Many, though not all, eligible journals will be listed in the [Directory of Open Access Journals](#).

No Other Sources of Funding Available

The COAP Fund is a limited resource intended to support open access publishing across the university. We expect researchers to request funding for open access publication from their funding agency if they can do so (the National Institutes of Health, the Wellcome Trust, and the Howard Hughes Medical Institute will all fund open access publication as part of their research grants). If such funds are not available, we welcome your application to the COAP Fund.

No Departmental Funds were used

The COAP Fund can only be used to reimburse individuals and not departments. Only researchers who paid

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- [How do you know a journal is legitimate?](#)
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their article processing charges with personal funds may be eligible for reimbursement. Researchers who paid with a departmental card will be rejected.

Article Reimbursement Cap

The maximum dollar amount that the COAP Fund will reimburse for a single article is \$3,000.

Author Reimbursement Cap

Authors may receive funding for up to \$3,000 per year for all article-processing charges. Unused amounts do not roll over to future years.

Multiple Authorship

In the case of an article with multiple authors, each eligible author can apply for reimbursement for a prorated portion of the publication fee. An example: An article with three authors, two of whom are from Columbia, is to appear in a journal with a \$3,000 publication fee. Each Columbia author may apply for reimbursement for \$1,000. In the hypothetical case of an eligible journal with a \$6,000 publication fee, each Columbia author could apply for reimbursement for a prorated portion of the \$3,000 funding cap per article, or \$1,000.

Application and Reimbursement Process

Please submit your request for funds immediately upon your article's acceptance for publication by following the instructions for application and reimbursement.

Funded Articles to Academic Commons

We deposit copies of the final published version of articles supported by the COAP Fund in **Academic Commons**, Columbia's online research repository. Academic Commons staff will also contact funded authors and encourage them to deposit all their eligible research outputs into the repository.

Fund Cap

CUL/IS has committed \$25,000 for the program for the 2015-16 academic year. Funding for articles that comply with the eligibility criteria will be distributed on a first-come, first-served basis.

Regular Review

All aspects of this program, including the amount of funding committed to the program, will be analyzed and reviewed on a regular basis.

Contact

Email coapfund@columbia.edu or call 212-851-2818.

Scholarly Communication Program



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Cornell University
Library

Cornell Open Access Publication Fund

The COAP program has been funded again for the 2016-17 academic year and we are accepting applications for reimbursement of eligible publishing and processing charges. Please note that we have made a few changes to the scope and criteria of the program for the new academic year.

Open access scholarly publishing

Open access scholarly publishing is gaining ground as an alternative to conventional means of disseminating the results of academic research, dispensing with cost barriers and use restrictions for readers. Open access publishing makes peer-reviewed scientific and scholarly work freely available online to a worldwide readership. Open access journals are now firmly established in many fields of research and robust open access publishing programs for scholarly books have begun to take hold.

While open access publications are free to read, it costs money to manage the peer-review process and produce and distribute electronic journals and books. Since open access publishers do not charge subscription or other access fees, they must cover their operating expenses through other sources. This may include foundation support, subventions, and in-kind support, as well as processing fees paid by authors – or on behalf of authors by their institutions.

The Cornell Open Access Publishing fund

The Cornell Open Access Publishing (COAP) fund underwrites reasonable publication charges for articles and books written by Cornell faculty, students, and staff, and published in fee-based open access journals when other funding sources are not available.

From and from its inception in 2010 through the 2016 spring semester, the COAP program has contributed to publication and processing charges for more than 100 open access publications by more than 80 Cornell authors from more than 30 academic departments

CONTACT



Use our form to send us comments (NetID required). Or contact the program director:

Kizer Walker
Uris Library, Room 309
Cornell University Library
Ithaca, NY 14853
(607 254-1375)

and programs on Cornell's Ithaca campus.


The Compact for Open-Access Publishing Equity

The COAP fund was established in the context of the Compact for Open-Access Publishing Equity, a multi-institutional initiative in support of a sustainable transition to open access, to which Cornell is a signatory. The universities participating in the Compact “recognize the crucial value of the services provided by scholarly publishers, the desirability of open access to the scholarly literature, and the need for a stable source of funding for publishers who choose to provide open access to their journals’ contents.”



Compact for Open Access Publishing Equity (COPE) Fund

The **Compact for Open-Access Publishing Equity (COPE)** is a program by universities to support equity in business models used for scholarly publishing. Each participating university commits to “underwriting reasonable publication charges for articles written by its faculty and published in fee-based open-access journals and for which other institutions would not be expected to provide funds.”



The program is intended to reduce barriers to open-access publishing – to support the ability for scholarly authors who wish to make their work open access to do so, even in cases where they do not otherwise have funding available to cover article processing charges (APCs). This program is not intended as a subsidy for publishers or simply as subvention for authors, but aims to provide support for Duke authors to choose the venue for their work that best suits their needs, to make Duke research as broadly available as possible, and to reduce financial disincentives for publishing in open access journals.

At Duke, the fund is supported by Duke University Libraries, the Office of the Provost, the School of Medicine and the School of Nursing.

Can COPE funds support my work?

Duke University provides COPE funds to reimburse authors for article-processing fees accrued when publishing in peer-reviewed journals that are:

- listed in the **Directory of Open Access Journals**
- members of the **Open Access Scholarly Publishers Association**
- published in a fully open-access format based on a published schedule of article processing fees

COPE funds **cannot** :

- support reimbursements for placing articles in “hybrid” open-access publishing, such as subscription-based journals that make some articles available after an author pays fees, but continue to charge subscriptions and prevent open access to the rest of the journal.
- support reimbursements for article processing fees that can otherwise be covered by a gift or grant from a foundation, institution or agency. In other words, if you have funding from another source that will cover APCs, you should use that source instead of requesting COPE funds from Duke, to allow us to conserve the limited COPE funding for authors who have no other options.

Do I qualify for COPE funds?

The following people qualify for COPE funds:

- Duke faculty members
- Graduate or professional students
- Postdoctoral researchers

In addition:

- You must be the author of an article that has been accepted for publication in a peer-reviewed, open-access journal.
- You must attest that the journal complies with eligibility requirements.
- You can submit your application for funding at any time, but we cannot reimburse you until an eligible journal has accepted your article.

Are there any limitations?

- Reimbursements will be considered on a first-come, first-served basis up until the funding for a given year is exhausted.
- In an academic year, you can receive a maximum reimbursement of \$3,000 for article processing fees. The maximum reimbursement for any single article is \$2,000.
- You cannot roll over unused funds to future years.

How are funds divided among multiple authors?

- Multiple, eligible Duke authors of a single article are responsible for a prorated portion of article processing fees.
- All eligible authors can be reimbursed, up to the annual cap, for their prorated portion.

How do I apply for COPE funds?

- Complete an application.

EMORY UNIVERSITY LIBRARIES

Emory University Open Access Publishing Fund

<https://open.library.emory.edu/authors/oa-fund/>

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Emory University Open Access Publishing Fund

Emory University's Open Access Publishing Fund provides funds to make it easier for Emory authors to publish in eligible open access (OA) journals and books when no alternative funding is available, thereby fostering the exploration of new and innovative publishing models across research communities.

Emory strives to create positive transformation in the world, and one approach is for Emory authors to make their research available as open access. Emory joins other universities in the United States and Europe in offering its authors access to funding to assist with publication charges for open access journals and books.

Emory University faculty and currently enrolled students may apply for the Open Access Publishing Fund by filling out an [Open Access Fund Request](#). Please see guidelines below for eligibility requirements.

Guidelines

Who is eligible to receive funds?

Emory University faculty, post-docs, researchers and currently enrolled graduate and undergraduate students are eligible to apply for funds for open access fees for articles and books connected with their research activities at Emory. Preference is given to authors who have not been previously funded. Due to limited funds, any given author is limited to one fund reimbursement per fiscal year.

Any open access article published with support from this fund must be submitted to OpenEmory. If OpenEmory expands to include open access books or book chapters, then the book or book chapter must be submitted as well.

What publication venues are eligible?

The article or book must be published with an open access publisher that does not charge readers or institutions for access to the publication. To be eligible, journal publishers must be listed in the Directory of Open Access Journals ([DOAJ](#)) and book publishers may be listed in the Directory of Open Access Books ([DOAB](#)). Also, a publisher must be a member of Open Access Scholarly Publisher's Association (OASPA) or meet its [Code of Conduct](#).

Journals or books with a hybrid model (some content by fee and some content open access) or delayed open access are not eligible for this fund. Articles and books must be fully available open access at the time of publication. Currently, the major open access publishers BioMed Central, Public Library of Science (PLOS) and Hindawi meet these requirements, as do many other smaller open access publishers.

Please note that choosing where to publish is an individual decision and should be based on a clear understanding of the advantages and disadvantages the publishing venue may present to the author's career development. We trust that Emory authors will assess the impact of the publishing venue and consult with a department chair, mentor or senior colleague when appropriate.

What fees can the fund reimburse?

Open access publishing funds are awarded on a first come, first serve basis to a maximum reimbursement of \$1,500.00 per article or book and up to \$100.00 for [data archiving](#) costs. You can also deposit your research data in [Emory's Dataverse](#) for free.

Due to limited funds, any given author is limited to one fund reimbursement per fiscal year. Funds may be used for open access publishing and processing fees, including open access page charges. Funds may not be used for reprints, color illustration fees, non-OA page charges, permissions fees, web hosting for self-archiving, or other expenses not directly related to open access fees.

What is data archiving?

For more information about data archiving, please see our [Data Archiving](#) page. If you have questions about Data Archiving, please contact the Research Data Management Team at dataplan@emory.edu.

What if the research was grant-funded?

The Open Access Publishing Fund is a fund of last resort. Articles or books for which alternative funding is available are not eligible for reimbursement from this fund. This includes articles reporting research funded by a gift or a grant from a granting agency, foundation, or other institution (including Emory itself) that allows grant funds to be used for open access publishing fees (whether or not the particular grant had budgeted for such fees), and articles funded by an institution that itself pays article processing fees on behalf of the author. An author must have exhausted all other grant and other funding sources to be eligible for this fund.

How do I apply for funds?

Articles or books published after September 1, 2012 are eligible for this fund. You may apply for Open Access Publishing Funds by completing an [Open Access Fund Request](#).

At what point in the publication process should I apply for funds?

You may apply for funds prior to submission for publication, after acceptance, or immediately after publication. Your request will be evaluated against the above guidelines. If you have not yet submitted for publication, your request will be conditionally approved awaiting official acceptance by the publisher. All conditional approvals expire 6 months after notification of approval. After expiration, you are welcome to reapply.

PeerJ - New beginning November 2013

Beginning in November 2013, the Open Access Fund will pay for the basic publishing plan for Emory authors (faculty and current students) who publish in [PeerJ](#), an open access journal focusing on the biological and medical sciences. PeerJ uses a membership model rather than article publication charges, and Emory's Open Access Fund is supporting this new open access funding model.

The institutional membership Emory has with PeerJ will pay the cost of a Basic PeerJ publication plan for each Emory author on a paper that is accepted for publication in PeerJ. This PeerJ Basic plan remains yours for life, even if you leave Emory! Please see the [Emory page at PeerJ](#) for more information. Please contact [Lisa Macklin](#) with questions.

Administration of the fund

The Scholarly Communications Office of the Emory University Libraries administers the fund. The fund began as a pilot in September 1, 2012 and was renewed for FY 1314 and FY1415. The fund is evaluated at the end of each fiscal year. The fund may be suspended if sufficient funding is not available. The parameters of reimbursement may be changed as appropriate with the advice and counsel of the University Senate's Library Policy Committee.

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HOPE Fund

The Harvard Open-Access Publishing Equity (HOPE) fund provides funds for the reimbursement of reasonable article processing fees for articles authored or co-authored by Harvard researchers published in [eligible open-access journals](#) for which no alternative funding is available.

Members of the Harvard Community can apply for HOPE funds by completing a [webform](#).

The HOPE fund is Harvard's implementation of the [Compact for Open-Access Publishing Equity](#).

Funded Articles

Visit DASH for to read all the [papers funded by HOPE](#).

APPLY FOR HOPE FUNDS


This program reimburses Harvard researchers for OA journal page charges.

HOPE FUND FAQs

Eligibility and amount for HOPE awards, and more.

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Publishing Models

Iowa Research Online (IRO)

Open Access Fund

Measuring Scholarly Impact

What Faculty Can Do

Library Services

Resources

Libraries and Provost's Office Open Access Fund

To encourage the University community to publish their research in Open Access platforms, the Office of the Provost and University Libraries have established a fund to pay the processing fees related to open access publishing. The open access publishing model allows free, immediate access to research and allows authors to retain intellectual property rights to their research. To recoup publishing costs, many open access publications charge article processing fees to make the work freely available online.

The fund, administered by University Libraries, will pay publication fees up to \$3,000 for the open access publication of journal articles or book chapters, and up to \$5000 for monographs. The article or book must be published with an open access publisher that does not charge readers or institutions for access to the publication. When reviewing applications, Libraries' staff will work to determine the credibility of the publisher by consulting the [Directory of Open Access Journals \(DOAJ\)](#), the [Directory of Open Access Books \(DOAB\)](#), the [Open Access Scholarly Publisher's Association \(OASPA\)](#), the [Committee on Publication Ethics \(COPE\)](#), and other resources as needed.

Eligibility

- Current UI faculty, post-doc, resident, or staff member who has had an article, book chapter, or book accepted for publication.
- Currently UI-enrolled student or graduate student who has had an article, book chapter, or book accepted for publication.

Guidelines

- The publications must be peer-reviewed, and allow free and immediate access to all the content upon publication.
- Journals or books with a hybrid model (some content by fee and some content open access) or delayed open access are not eligible for this fund. Articles and books must be fully available open access at the time of publication.
- Funding limits: up to \$3,000 for a journal article or books chapter, up to \$5,000 for a monograph.
- The journal title must appear in the [Directory of Open Access Journals](#) or the [Directory of Open Access Books](#) or the publisher must be a member of the [Open Access Scholarly Publishers Association](#).
- Authors must have exhausted all available grant funds that may be used for article publishing charges.
- Preference is given to authors who have not been previously funded.
- *Please do not pay an invoice in advance.* The Libraries prefer to pay from an invoice.
- University of Iowa Libraries will submit your open access publication to [Iowa Research Online](#).

Questions on the process may be directed to Carmelita Pickett (carmelita-pickett@uiowa.edu), Associate University Librarian, Collections and Scholarly Communication.

Application for OA Funding

SUBMIT AN ONLINE FORM

Processing your application usually takes 1-3 days.

Questions about your application may be directed to [Carmelita Pickett](#)

Resources for Help

- [Contact a Librarian for Assistance Selecting an OA Publication](#)
- [Directory of Open Access Books](#)
- [Directory of Open Access Journals](#)
- [How Open Access Affects Research Impact: A Bibliography](#)
- [Journals and Publisher's Copyright Policies](#)
- [Publishers who allow final versions to be posted on the web](#)
- [Sherpa RoMEO - check publishers copyright policies](#)
- [What Does Open Access Mean?](#)

Evaluating Open Access Journals

While Open Access publishing has a variety advantages for authors, publishers, and readers, unfortunately the model also presents opportunities for exploitation and deceit. Organizations claiming to run peer-reviewed, open access publications are sometimes fronts operated to collect production fees from authors in the absence of a quality journal. The web has proven fertile ground for these outfits, and although there are individuals committed to exposing them, their proliferation can be difficult to track. Additionally, there is debate around what constitutes a predatory Open Access journal, and this lends an element of subjectivity to their classification. The links below are good resources but should not be considered authoritative. When consulting them, it is important to complement their information with your own scrutiny. For assistance with this, contact the [subject specialist librarians](#) for your academic field.

[Jeffrey Beall's List](#) attempts to be comprehensive but has drawn criticisms of overzealousness from, for example, Joseph Esposito in *The Scholarly Kitchen* (December 16, 2013).

[Beyond Beall's List: Better Understanding Predatory Publishers](#) by Monica Berger and Jill Cirasella. *College & Research Libraries News*, vol. 76 no. 3, March 2015.

[How to Avoid Predatory Journals -- a Five-Point Plan](#) by Jocelyn Clark. *The BMJ* (January 19, 2015)

[CRS Standards Forum: Predatory Publishing and the ISSN Center's Response](#) by Annaliese Taylor. *ALCTS news*.



Last Updated: Sep 9, 2016 9:40 AM | URL: http://guides.lib.uiowa.edu/scholarly_publishing | [Print Page](#)

Subjects: Copyright, Health Sciences, Interprofessional, Scholarly Publishing | Tags: copyright, institutional repositories, journal costs, open access, publishing, scholarly communication


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The One University Open Access Author Fund at The University of Kansas

KU's One University Open Access (OA) AuthorFund is designed to heighten the visibility and accessibility of the University's scholarship and to support faculty, staff and graduate students in all KU/KUMC disciplines who choose to publish in open access journals that require author-fees for accepted manuscripts. It is intended for authors with limited sources of funding that allow for open access publication charges. \$25,000 of funding has been approved for distribution over one year.

The OA Author Fund is made possible by contributions from the offices of KU Provost, KU Vice Chancellor for Research & Graduate Studies, and KUMC Vice Chancellor for Research.

Due to the significant number of applicants, but limited funds during the two-year pilot of this fund, considerable evaluation of award results and consultation with KU faculty and researchers resulted in changes to the application process, criteria, and awarding of funds. Please read all criteria below to ensure your successful application.

The awarding will now be a monthly competitive process reviewed within the first 5 business days of each month. Priority will be given to graduate students, early career research staff, pre-tenure faculty, those with little or no research funding to support their open access publishing, and first time OA Author Fund applicants. However everyone that meets the basic criteria (see below) are welcome to apply.

PLEASE NOTE: Applications for FY16 opened up July 1, 2015. Requests from each month are reviewed, prioritized, weighted for need and approved or denied within the first week of the following month and authors are notified of the decision.

Please review the application requirements and apply here: [Complete the OA Author Fund request form](#)

See the [OA Author Fund Awards Report](#) for a list of previous awardees.

Author eligibility

All faculty, graduate students, post-docs and staff on the KU main campus in Lawrence, the Edwards campus, and the Medical Center campuses in Kansas City, Wichita, and Salina are eligible to apply for funding.

Authors applying for funds along with the primary authors of the publications must be KU

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The One University Open Access Author Fund

<http://library.kumc.edu/authors-fund.xml>

employees or students. Preference is given to research or scholarship primarily conducted by KU employees or students.

We expect researchers to use appropriate research grant funds to pay such publication charges where applicable. For example, the National Institutes of Health and the Howard Hughes Medical Institute will fund open access publications as part of their research grants. For questions related to research funds and your application please email us at authorsfund@ku.edu.

Journal eligibility

Inquiring authors are encouraged to consult with the OA Author Fund reviewers regarding the eligibility and quality of open access journals prior to submitting manuscripts. Email your questions to authorsfund@ku.edu.

Authors applying for open access author funds must be publishing in journals that meet the below criteria:

- Provide unfettered access to all peer-reviewed articles -- be an entirely open access journal. Journals with a hybrid open-access model or delayed open-access model are not eligible. Hybrid open access journals are defined here: <http://libraries.mit.edu/scholarly/hybrid-journals/>.
- Be published by a member organization of the [Open Access Scholarly Publishers Association](#) OR adhere to its [Code of Conduct](#).
- Have a standard article fee schedule publicly posted.
- Be listed in the [Directory of Open Access Journals](#). Exceptions to a DOAJ listing may be made if the journal meets other criteria and the OA funding review members verify journal credibility.
- Reviewers may also consult [Beall's List of "predatory publishers"](#) to determine publisher quality.

Authors are encouraged to review the journal for quality indicators such as those listed here, <http://guides.library.kumc.edu/content.php?pid=407256&sid=3333318>, especially for those journals and publishers for which they are unfamiliar. Reviewers of the application may also use those indicators when deciding whether a journal meets the quality criteria for funding.

Article eligibility

Articles must:

- Be a peer-reviewed article submitted to an open access journal.
- Have Publication Status of, "ready for submission," "submitted-for-publication" or "accepted-for-publication". Funds will not be encumbered for manuscripts that are still being written.
- Not have been published prior to the authors' request for funds. Already-published articles are ineligible.

Fund Cap, Disbursement and Administration

Fund Cap

Funds may be used to pay article processing charges up to \$1,500 per article, but not color, page, or image charges. **Please NOTE -- the cap has been lowered in order to**

fund more KU authors. This amount is slightly higher than the average payment amount during the Fund's 2-year pilot.

A requesting author may be awarded funding once in a fiscal year period. There is no funding rollover.

Fund Disbursement

- Requests may be made upon article submission or immediately upon acceptance.
- Articles that are ready for submission to the journal and are awarded funds will have four months to complete the peer review process. If the paper is not accepted by the publisher or a PO not received for payment within four months of funding approval, the award will expire. The author will be contacted and may later reapply for funds.
- Once a request has been approved, the requesting author may direct the journal to send the invoice to the KU Libraries contact, or you may send a publisher's invoice to authorsfund@ku.edu.
- Funds will be divided into one-month portions. Applications received during the previous month will be reviewed within the first 5 business days of the next month, prioritized, weighted for need, and awarded.
- Funds may be paid only to publishers' invoices. Individual authors will not be reimbursed or paid for retroactive publications.
- Funds will only be awarded directly to the publisher of the journal identified in the application.
- If not awarded, an author will be notified and may be eligible to apply the following month. Applicants reapplying are not guaranteed funding awards.

Competitive Review

Funding will be distributed through a monthly, competitive review process. Weighted priority will be based on: 1) author status (graduate student, pre-tenure faculty, early career research staff); 2) those who lack funding for open access publication charges; 3) those who have not previously applied for open access author funds.

Additional Criteria

The fund is a limited resource intended to support open access publishing across the university. We expect researchers to request funding for open access publication from their funding agency if they can do so. For example, the National Institutes of Health and the Howard Hughes Medical Institute will fund open access publications as part of their research grants. If such funds are not available, we welcome your application.

If funds are encumbered for a submitted manuscript that is later not accepted, those funds will then be released back to the fund for disbursement to accepted articles.

KU Libraries will upload the published version of each funded article to [KU ScholarWorks](#), KU's open access digital archive of the scholarly work of KU faculty and graduate students.

Fund Administration

KU, KU Law, and KUMC libraries administer and assess the program with oversight provided by the KU Provost, KU Vice Chancellor for Research & Graduate Studies, and KUMC Vice Chancellor for Research.


If this fund is a valuable service to you please let us know by emailing us - authors-fund@ku.edu - with your comments and suggestions.

Last modified: Sep 15, 2015

Related Info

- [The One University Open Access Author Fund at The University of Kansas](#)
- [Publishing and Author Rights](#)
- [One University Open Access Author Fund Report](#)
- [Guide to Open Access Publishing](#)
- [Open Access at KU](#)
- [Read OA Funded Work at KU ScholarWorks](#)
- [Electronic Theses and Dissertations \(ETD\)](#)

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Open Access Publishing Fund

Open Access Week Events

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Copyright Guide

UMD Libraries' Open Access Publishing Fund

The UMD Libraries' Open Access Publishing Fund improves access to research produced at the University of Maryland and:

- enables authors to retain their copyrights
- accelerates the online availability of peer-reviewed scholarly journal articles generated by UMD researchers
- raises campus awareness about the benefits of open access
- covers article processing charges (APCs) levied by peer-reviewed open access journals

Maximum Levels of Reimbursement

Starting with 2016-2017, **only 50% of an article will be funded**. In order to include as many authors as possible while covering typical costs, the following limits apply to support awards for each author:

Article cap – maximum funding per article is 50% of the article processing charges

Author cap – one funded article per fiscal year

Who is eligible?

Any UMD faculty member, post-doctoral researcher, or currently enrolled graduate or undergraduate student whose article has been accepted may apply for funding.

What articles are covered?

Funds are available for open access journals, which are journals that do not charge a fee for institutions, libraries or readers for access to the content, and do not have an embargo period for access. This includes:

- All journals in the [Directory of Open Access Journals](#) that allow authors to retain distribution rights
- Members of the Open Access Scholarly Publishers Association (OASPA) or demonstrate its adherence to the [Code of Conduct](#)
- Journals that have publicly available a standard article fee schedule
- Journals that have a policy to substantially waive fees in case of economic hardship

Journals with a hybrid open-access model or delayed open-access model are not eligible. Subscription-based journals that charge a fee, sometimes called an "author's choice" or "open choice" fee, to make single articles available by open access are also not eligible. Any authors who are unsure as to whether or not a particular journal is eligible should contact Terry Owen, towen@umd.edu or (301) 314-1328, prior to submitting an article for publication.

Reimbursement will cover only direct costs for open access publication (not the cost of reprints, color illustration fees, non-OA page charges, web hosting for self-archiving, etc.).

Guidelines

Applicant must be listed as one of the authors and article must indicate UMD affiliation.

Reimbursement will be made once the article has been accepted for publication and the author has been invoiced for the submission fee. Once the application is approved, authors are encouraged to pay the full amount with department funds and the Libraries will transfer 50% of the fee to that account. Authors must provide a copy of the publisher's paid invoice along with the department account number and object code.

Author must also provide a full bibliographic citation plus a copy of the funded article, either author's final version or the published version, for deposit in DRUM ([Digital Repository at the University of Maryland](#)).

Acknowledgment

Authors shall add an acknowledgment to all articles sponsored by the fund, such as "*Partial funding for open access provided by the UMD Libraries' Open Access Publishing Fund.*"

[Submit Application](#)

Contact Terry Owen, towen@umd.edu or (301) 314-1328, if you have any questions about the Open Access Publishing Fund.

Last update: Sep 08, 2016

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SOAR Fund

◦ SOAR Fund FAQs

◦ SOAR Fund Guidelines

◦ Proposal to Create an Open Access Fund (Approved, April 18, 2014)

◦ SOAR Fund Annual Reports and List of Supported Research

Theses & Dissertations Digitization

Writing Center

SOAR Fund

The UMass SOAR ("Supporting Open Access Research") Fund supports open access publication of University of Massachusetts Amherst peer-reviewed scholarship. A pilot program of \$25,000 is available to support researchers on a first-come, first-serve basis. To apply for funds, contact **Erin Jerome** at ewjerome@library.umass.edu.

The SOAR Fund is compatible with the [Compact for Open-Access Publishing Equity \(COAPE\)](#).

- [Application](#) (This is an online application; if you have problems working with it, please contact Erin Jerome at ewjerome@library.umass.edu)
- [SOAR Fund Guidelines](#)
- [Frequently Asked Questions](#)
- [Annual Report and List of Supported Research](#)
- [Open Access Fund Proposal](#) (approved, Senior Management Group, April 18, 2014)
- [Press Release](#) (Oct. 16, 2014)

For more information, contact **Erin Jerome** at ewjerome@library.umass.edu or the Scholarly Communication Dept. at 413-545-2174.

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Open Access Fund

The Northwestern Open Access Fund supports Northwestern scholars who wish to make their journal articles openly available immediately upon publication and to support gold open access publishers around the world. The gold open access journal model publishes all of a journal's articles as open access and allows for freely available access immediately upon publication.

Award eligibility and stipulations

The Fund will help cover an article processing charges (APC) to publish in open access journals if a Northwestern author does not have other sources to pay these charges.

- The author can be a faculty member, post-doc researcher, graduate or professional student and any staff whose articles accepted for publication in a peer-reviewed, open access publication.
- The funding is intended to pay for article processing costs or publishing fees. It does not cover the costs for peripherals, such as images or color enhancement of images.
- The Northwestern Open Access Fund is available for authors who do not have other sources of funding to cover publication costs, such as research grants, or departmental funds.
- There is a limit of up to \$3000 per award per author for each fiscal year (September through August).
- Fund policy stipulates that there be no embargo on any part of the published content.

To apply, please complete the [Northwestern Open Access Fund Request](#). Email any questions to [Northwestern Open Access](#).

Frequently asked questions

▼ What content types are eligible?

Articles accepted for publication in peer-reviewed open access journals. Articles may not still be under review; they must be accepted.

▼ What constitutes an acceptable open-access journal?

Any peer-reviewed journal that meets each of the following criteria:

- The journal is listed in the [Directory of Open Access Journals](#) or is a member of the [Open Access Scholarly Publishers Association](#);
- The journal's publisher is conducting business in a manner consistent with the [OASPA Code of Conduct](#); and
- The journal is published in a fully open access format based on a published schedule of article processing fees.

▼ Are any access restrictions acceptable?

The fund cannot be used to support "hybrid" open access publishing, or to cover publishing fees where an embargo is required. The hybrid model is used to make individual articles available in journals that require paid subscriptions to access the remainder of articles.

▼ Are there any additional requirements for authors who receive funding?

Authors must deposit a digital copy of their article with one of the official Northwestern libraries. The library will preserve and make these works available in an institutional digital repository.

▼ How are intramural collaborations handled?

Each author will be responsible for a prorated portion up to a total per-article cap of \$3,000.

▼ Who funds and administers the Northwestern Open Access Fund?

The fund is supported by the Northwestern University Libraries. The fund is administered by a group of scholarly communication experts in the libraries, and funds disbursed by the libraries' acquisitions department.

http://guides.library.upenn.edu/oa/library_support_for_openaccess_publication

68 Representative Documents: Open Access Fund Descriptions

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Penn's Open Access Publication Fund

http://guides.library.upenn.edu/oa/library_support_for_openaccess_publication

Yes, if you are publishing with a peer review publisher who publishes open access monographs or conference proceedings, the Penn Libraries Open Access Publication Fund will support costs according to the same guidelines and same limits as for journal articles.

Are there limits on the amount that can be requested?

An author may request up to \$3,000 per article (or alternative publication format—see above) and no more than \$3,000 in any academic year.

What fees are eligible for reimbursement?

Publication charges can encompass some or all of the fees charged by a publisher for article processing services, such as submission fees, article processing fees proper, page charges, and illustration fees (both for color and black and white).

At what point in the author's publishing process does the Open Access Fund become available?

The Open Access Fund is intended to be a funding source of last resort. Articles whose underlying research was funded by grants that allow funds to be used for open access publication fees are not eligible for funding. Because funding is limited, the libraries see the fund as filling in the gaps not otherwise provided for by research grants.

How are applications funded?

The Penn Libraries will provide Open Access Publication Fund subsidies to eligible applicants on a first-come, first-served basis until all of the designated funds for the academic year have been used. Successful applicants will have up to \$3000 per article reimbursed upon the submission of a receipt and proof of payment. The [Director for Collections and Liaison Services](#) leads the distribution process. Please contact him for additional information.

Do funded authors also need to place their article in ScholarlyCommons@Penn?

Yes, we require publications funded by the libraries' Open Access Fund be submitted to Penn's institutional repository, [ScholarlyCommons@Penn](#). ScholarlyCommons highlights Penn-authored publications, provides a permanent URL for each work deposited therein, and provides easy discoverability.

Is Fund likely to be funded permanently?

All aspects of this program, including the amount of funding committed to the program, will be analyzed and reviewed on a regular basis. If the pilot project proves to be valuable to scholarly communication and the Penn community, the Open Access Publication Fund may receive continued funding.

Why is this initiative needed?

There are many models for open access within the world of journal publication. "Green" open access is one of these models, and is largely supported through submitting content to institutional repositories (see [Penn's ScholarlyCommons](#)). There are multiple experiments in Green open access underway in humanities and social sciences publishing. The Penn Libraries support several of these initiatives, which are noted in this guide's right-hand column.

Many open access journals, especially in the sciences and among commercial publishers, rely on article processing fees (APCs). Small societies that rely on membership dues or subscriptions for survival as well as the large commercial journal aggregators wish to maintain a revenue stream, and they seek to do this through APCs. This is a form of "Gold" open access. Penn's Open Access Publication Fund, along with publication subsidies from granting agencies, will support Gold open access under specific conditions noted below. The [Sherpa Romeo](#) site provides more information on Open Access archiving and color designations.

governed, community-supported resource. The Penn Libraries was one of the institutions worldwide to join the collaborative effort to realize this new model of support for arXiv. Penn has been a continuously supporting member since 2010. [More information.](#)

HathiTrust.org

HathiTrust began as a collaboration of the universities of the Committee on Institutional Cooperation and the University of California system to establish a repository to archive and share their digitized collections. It quickly expanded to include additional partners and to provide those partners with an easy means to archive their digital content. The initial focus of the partnership has been on preserving and providing access to digitized book and journal content from the partner library collections. This includes both in-copyright and public-domain materials digitized by Google, the Internet Archive, and Microsoft, as well as through in-house initiatives. The University of Pennsylvania is a HathiTrust partner institution.

Authors who maintain control over the copyright of their published books may complete a ["Rights Holder Permission Agreement"](#) to make their work openly accessible through HathiTrust.org.

Knowledge Unlatched

Knowledge Unlatched (KU) is an initiative to create a sustainable route to open access books. This pilot collection of Humanities and Social Science books are made available under a Creative Commons license through [OAPEN](#). The Penn Libraries are a participant in the Knowledge Unlatched open access project. KU is beginning to build its second round of open access publications. [More information.](#) Find KU open access books through the [Franklin catalog](#). As of Fall 2015, KU is launching phase two with 78 new titles from more than 20 publishers.

Open Book Publishers (OBP)

All OBP books are peer-reviewed publications in the Humanities and Social Sciences. Publications are free to read online or can be bought in hardback, paperback, PDF, or ebook format. Find Open Book Publishers editions through the [Franklin catalog](#). [More information.](#)

Open Library of the Humanities

The Open Library of the Humanities (OLH) is a gold open access, peer-reviewed, internationally-supported, academic-led, not-for-profit, mega-journal, multi-journal and books platform for the humanities. It is funded by an international library consortium and so has no author-facing charges. Open access refers to peer-reviewed academic research that is available freely to read and reuse online. The Penn Libraries supports Open Library of the Humanities. [The Journal of British and Irish Innovative Poetry](#) is the first journal to convert to 100% open access through the support of OLH. The platform officially launches in September of 2015. [More information.](#) OLH launched on September 28 with 7 academic journals from across the humanities disciplines, including OLH's own multidisciplinary journal.



Is author self-archiving sufficient?

Author self-archiving is an important part of the scholarly communication process. The Penn Libraries support several repository initiatives (see right-hand column), including Penn's own institutional repository, [ScholarlyCommons](#). Authors can post published and accepted manuscripts as well as other scholarly and supporting materials to their departmental areas within ScholarlyCommons. Because many publishers embargo recent publications or require authors to post pre-publication versions to their personal websites or institutional repositories, published journals are still an important part of the academic landscape. (Be sure to retain your pre- and postprints!)

Are Penn authors being told where they can publish?

No. Penn authors are free to publish wherever they want. Their choice is only restricted if they wish to apply for the Open Access Publication Fund to support the open-access publication of their articles. If Penn scholars wish to use the Open Access Publication Fund, then they must select a journal that complies with the program's eligibility requirements.

The Open Access Network: OAN


OAN has formed to implement a new open-access (OA) business model for all academic disciplines, beginning with the humanities and social sciences. The OAN provides a broad and transformative solution for sustainable OA publishing and archiving that is complementary to, not competitive with, other OA funding approaches. It proposes that all institutions of higher education contribute to systemic support of the research process itself, including its scholarly output. [Read the whitepaper](#) for more information. The Penn Libraries are supporting this exploratory endeavor.



Open Access Publishing

ScholarlyCommons: Penn's Institutional Repository

[ScholarlyCommons](#) is a repository for the scholarly output of researchers at the University of Pennsylvania. It promotes dissemination of their work, and preserves it in a freely-accessible, long-term archive. An effort to alleviate recent pressures to restrict access to new knowledge, ScholarlyCommons allows researchers and other interested readers anywhere in the world to learn about and keep up to date with Penn scholarship. Administered by the Penn Libraries, ScholarlyCommons contains materials chosen by participating units -- departments, schools, centers, institutes -- at Penn.



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Scholars' Collaborative

Open Publishing Support Fund

Increasing the Impact of UT Research through Open Access
Co-sponsored by the Office of Research and Engagement and UT Libraries

The Open Publishing Support Fund improves access to research produced at the University of Tennessee, Knoxville and can:

- enable authors to retain their copyrights.
- accelerate the online availability of peer-reviewed scholarly journal articles generated by UT researchers.
- raise campus awareness about the benefits of open access.
- cover article processing charges (APCs) levied by peer-reviewed open access journals.

Before you apply, please read through the guidelines below.

Eligibility Guidelines

- Funds are available on a first-come, first-served basis to a maximum of \$2500 per request. When the annual allocation is exhausted, no additional funds will be available until the following fiscal year.
- Peer-reviewed journals listed in the [Directory of Open Access Journals](#) are eligible, as are those published by members of the [Open Access Scholarly Publishers Association](#). Peer-reviewed open access journals that are listed in the [Journal Citation Reports \(JCR\) database](#) are also eligible; however, hybrid journals that make only selected articles open access are not eligible for funding.
- Authors should request a waiver or reduction of charges from the publisher before applying for open publishing support.
- Requests for funding should be made immediately after an article is accepted for publication.
- Any UT Knoxville faculty member, post-doctoral associate, or currently enrolled graduate student whose article has been accepted may apply for funding.
- Authors may apply for funds more than once per year, but should submit separate applications.
- Authors with sufficient funding from grants or contracts are encouraged to use those funds to allow others to share in the benefit of open publications.
- Support for open access ebooks will be considered on a case-by-case basis and must follow the above eligibility and guidelines.
- Complete the [online application](#).

SERVICES

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University of Virginia Library

Copyright and Scholarly Communication Resources

UNIVERSITY OF VIRGINIA LIBRARY

Open Access Fund

The purpose of the U.Va. Library Open Access Fund is to support U.Va. faculty, researchers, staff, and students who wish to maximize their research impact by publishing in peer-reviewed open access journals. By choosing to publish in [OA journals](#), authors make their articles free to all readers immediately upon publication. The fund can be used to underwrite all or part of the article processing fee (APF) that is charged by the open access publisher and will be paid directly to the publisher.

Eligible individuals may receive up to \$2000 per article, and \$3000 total per academic year. Funds will be allocated on a first-come, first-served basis, with preference for applicants who have not received funding in the past. Eligible authors include all faculty, researchers, staff and students served by the U.Va. Library system (this excludes those served by the Health Sciences, Law and Business libraries). For papers with multiple University of Virginia co-authors, the program would still subsidize the same total amount of up to \$2000 per article, prorated among each of the authors for the purposes of calculating amounts towards the year limit for individuals (e.g. 1 article at \$2,000 with 4 U.Va. authors is counted as \$500 toward each authors' yearly limit).

Authors seeking to reapply to the OAFund must be in good standing with the OAFund in order for new applications to be considered (e.g. articles supported by past OAFund disbursements must have been deposited in Libra).

Support for Open Access Publishing

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[Open Access Fund Past Recipients](#)

News and Recent Developments

Policies and Guidance

Copyright Resources on the Web

Support for Open Access Publishing

Libra (UVA Institutional Repository)

Use of Materials from the Library's Collection

Search

Search

Need assistance?

These pages provide access to recommended sources of information on copyright and related issues. UVA students, faculty and staff who need more assistance may [contact the Copyright Team](#).

Guidelines

- The journal must be peer-reviewed and listed in the [Directory of Open Access Journals](#).
- The journal should generally adhere to the Open Access Scholarly Publishers Association (OASPA) '[Code of Conduct](#)'.
- [Hybrid](#) journals will not be eligible for funding at this time.
- The article must be available immediately upon publication, with no embargo.
- Other content types such as books are eligible, if they are peer-reviewed.
- The author must agree to submit a copy of the post-review publication to UVA's institutional repository, Libra.
- Only publishing fees will be covered.
- Authors must have exhausted all available grant funds that may be eligible to be used for the APF.

UVA Eligibility

- Faculty
- Post-doctoral researcher
- Fellows
- Graduate students
- Undergraduate students
- Staff

Procedure

Eligible individuals may immediately apply for funding upon acceptance of their article by a peer-reviewed open access journal.

Apply Now

If you have questions about the procedures please feel free to contact us:

OAFund@virginia.edu

Attribution

We request that authors who receive APF monies from the OA Fund please include this statement in your acknowledgements:

This article was published in part thanks to funds provided by the University of Virginia Library Open Access Fund.

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Open Access / Open access subvention fund

Virginia Tech Libraries are pleased to offer an open access (OA) subvention fund to subsidize article processing fees for scholarly peer-reviewed articles accepted for publication in open access or hybrid OA journals.

A primary goal of the program is to enable authors to engage in new transformational open publishing environments. We hope to raise awareness among Virginia Tech authors of the benefits of open publishing and to encourage new ways of thinking about digital scholarship and information access.

The program aligns with the University Libraries strategic direction to support the research endeavors of our faculty and students, including the process of providing unrestricted access to digital research and scholarship.

OA fees are often reduced through discounts offered by University Libraries' memberships and subscriptions.

Interested authors should begin by reviewing the [VT OASF Guidelines](#) and then completing the Open Access Subvention Fund request form

See also the Provost's book publishing subvention information.

Gail McMillan
Director, Scholarly Communication

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560 Drillfield Drive
Blacksburg, VA 24061

Virginia Tech open access services

- » Open access subvention fund
- » Discounts available to authors
- » VTechWorks
- » Journal publishing
- » Copyright guidance

Open Access resources

- » Open Access Overview
- » Open Access Network
- » SPARC on open access
- » Open access 101 from SPARC
- » Glossary of OA terms

Open access news

- » California HHS Open DataFest III (2016) - YouTube Sep 22, 201612:10 PM
- » An Overview of Open Education Policy and Practice in Scotland | Open Education Working Group Sep 22, 201612:09 PM
- » United States of America Midterm Self-Assessment Report - Third Open Government National Action Plan 2015-2017 Sep 22, 201612:02

74 Representative Documents: Open Access Fund Descriptions

subscription-fee and processing-fee models on a more level playing field.

COPE commits a university to "the timely establishment of durable mechanisms for underwriting reasonable publication charges for articles written by its faculty and published in fee-based open access journals and for which other institutions would not be expected to provide funds."

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personality-risk factors and
sex

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- Food cravings, appetite, and snack-food consumption in response to a psychomotor stimulant drug: the moderating effect of "food-addiction"

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Open Access Authors Fund FAQ

1. Are there any limits to the article processing charge (APC) amount that can be requested?

The fund is limited to a maximum of \$2,500.00 USD per article. The cap has been put in order to ensure that funding is available to more open access authors. Despite the decline in value of the Canadian dollar, Libraries and Cultural Resources is committed to ensuring that scholars and disciplines across the University have access to support for publishing in open access journals.

2. Are there any limits to the number of times an author can submit to the Open Access Authors Fund?

Authors are limited to two successful applications per fiscal year (April 1 – March 31).

3. Why limit support to journals that are listed in the Directory of Open Access Journals?

Journals listed in the [Directory of Open Access Journals](#) are committed to transparency and best practice in scholarly open access publishing. The fund will consider funding in start up Canadian open access journals, that have not yet had a chance register in the directory.

3. Can the OA Authors Fund be used to cover formats other than journal articles that are openly accessible, such as conference presentations and monographs?

The Fund has mostly covered journal articles but it has paid APCs for monograph chapters a few times. Libraries and Cultural Resources (LCR) is interested in hearing from authors who have support needs for OA content in formats other than journals. Please contact the [Digital Initiatives and Scholarly Communication Librarian](#).

4. Are other charges, such as illustration and colour fees, covered by the fund?

Some publishers of OA content do not charge extra fees, nor do they incorporate them into OA fees. Others charge both as two distinct amounts. Because the fund is designed to cover OA fees alone and because double charging by publishers is discouraged, the Open Access Authors Fund will not support those publishers who charge extra fees. The OA fee will be paid; any other charges will not.

5. Why are hybrid OA journals excluded?

Hybrid journals were covered by the Open Access Authors Fund for the first several years of the Fund, where the publisher stated that they were reducing subscription costs in response to the take-up of their hybrid OA programs. The problem is that there is insufficient evidence that publishers are actually doing this.

As well, hybrid OA journals were initially thought of as a short-term measure that would allow publishers to ease into a fully OA environment. This has not really happened; there is an increasing number of hybrid OA titles, often featuring charges that are more expensive than for fully OA journals.

6. Do funded authors need to place their article in the University of Calgary institutional repository (IR)?

Yes, if possible. In the first several years of the Fund, deposition in the institutional repository was an option, one that almost all authors selected. Because of this wide acceptance, this was made a required element of the funding process, bringing the Calgary fund in line with OA funds at other institutions. For more information about the institutional repository, please contact the [Digital Initiatives and Scholarly Communication Librarian](#).

7. Do University of Calgary authors need to exhaust other funding sources that can be used to pay for submission fees before applying to the Open Access Authors Fund?

Yes. Applicants must exhaust other funding sources (in most cases, grants) before applying. This is common to every open access fund worldwide. If an author has no grant money or the grant money is all gone or the grant money is all allocated or the funder does not allow monies to be used for publication costs, then the Open Access Authors Fund is available.

8. Will the Fund do reimbursements for already-paid article processing charges?

The preferred method is invoice payment by LCR on behalf of authors. Reimbursements bring more paperwork for all involved and can take up to two months to occur, during which time authors have to cover potentially large APC charges themselves. On occasion, however, reimbursements are allowed. Reimbursements need to be approved by the the [Digital Initiatives and Scholarly Communication Librarian](#) or their designate and must meet the [criteria](#) for the Open Access Authors Fund.

9. Where can I learn more about Creative Commons (CC) licenses?

Creative Commons licenses are frequently associated with open access content. There are six main licenses, ranging from the most liberal, CC BY, the the most conservative, CC BY-NC-ND. There are good descriptions of the licenses at the [Creative Commons site](#). The [CC license page](#) from Wikipedia is also informative.

UNIVERSITY OF CALGARY LIBRARIES AND CULTURAL RESOURCES

Open Access Authors Fund FAQ

<http://library.ucalgary.ca/open-access-authors-fund-faq>

10. What is a predatory journal and where can I learn more?

Predatory publishers are those that lack discernible scholarship, academic rigour or credibility. They use aggressive practices to recruit authors and editors. You can find more information from the [ThinkCheckSubmit](#) website. If you have any doubts about the credibility of a journal, please talk to your colleagues or consult with the [Digital Initiatives and Scholarly Communication Librarian](#).

Back to the [Open Access Authors Fund](#).

For more information, please contact:

Christie Hurrell, MA, MLIS
Digital Initiatives and Scholarly Communication Librarian
University of Calgary | Taylor Family Digital Library | 2500 University Drive | Calgary AB T2N 1N4
christie.hurrell@ucalgary.ca
403-210-6103

Libraries & Cultural Resources

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Cornell University
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COAP Funding

The COAP program has been funded again for the 2016-17 academic year and we are accepting applications for reimbursement of eligible publishing and processing charges. Please note that we have made a few changes to the scope and criteria of the program for the new academic year.

The Cornell Open-Access Publication Fund will underwrite reasonable processing fees for open access publications by Cornell authors when funds are not otherwise available. The fund is supported jointly by the Provost and the Cornell University Library.

Reimbursement for processing fees that conform to the requirements below may be requested using this form.

Requirements

Eligible Authors: The COAP Fund is available to any faculty member, post-doctoral researcher, staff member, or student author affiliated with Cornell's Ithaca campus.

Eligible Publication Types: COAP funds apply to publication and processing fees for scholarly, peer-reviewed articles, book chapters, and books.

Eligible Publication Venues: COAP funds may be used to pay processing fees associated with publishing peer-reviewed scholarship on an open access basis. Eligible open access publishers may operate on a not-for-profit or a commercial basis, but the entire publication where the COAP-supported work appears must be freely available online, with no charge to readers or readers' institutions for access.

Journals

- To be eligible, a journal must meet these additional requirements:
- Listed in the Directory of Open Access Journals.
- Publisher is a member of the Open Access Scholarly Publishers Association or adheres to its Code of Conduct.
- Provides immediate, unfettered access to all peer-reviewed articles. In other words, journals with a hybrid open access model (some articles in the journal are open, some are not) or delayed open access model (articles become open after an embargo period) are not eligible.
- Has publicly available a standard article fee schedule.

- Has a policy to waive fees in case of economic hardship.

Books

Because the open access environment for books is still evolving, eligibility will be decided on a case-by-case basis. In general, books supported by COAP funds should be openly accessible immediately upon online publication. In the case of contributed chapters to a multi-author volume, the entire volume must be published on an open access basis in order for individual chapters to be considered for COAP funding.

No Alternate Funding Available: Articles, chapters, or books for which alternate publication funding is available are not eligible for COAP funds. This includes works whose underlying research was funded by grants or gifts that allow grant funds to be used for publishing and processing fees (regardless of whether such fees were included in the budget of the particular grant that supported the research). COAP funds are intended to support open access as a funding source of last resort.

Per-work Reimbursement Cap: The most that the COAP Fund will reimburse for a single article, chapter or book is \$3,000.

Per-Author Reimbursement Cap: An author may receive reimbursement for up to \$3,000 per year for all submission and publication charges. Unused amounts do not roll over to future years.

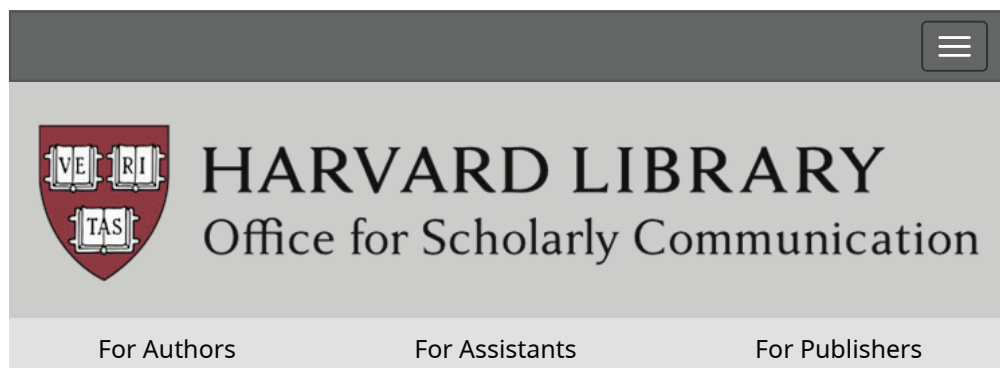
Multiple Authorship: In the case of an article, chapter or book with multiple authors, each author is responsible for a prorated portion of any publishing fees. For example, for an article with three authors that is to appear in a journal with a \$3,000 publication fee, each author is responsible for \$1,000 of that fee. If two of the authors are Cornellians, each may enter an application for \$1,000. If both apply, \$2,000 will be sent to the journal. If the journal has a \$6,000 publication fee, the \$3,000 per article cap will apply and each Cornell author may only apply for \$1,000.

Reimbursement Mechanism: Once a request has been approved, the author should forward a copy of the publisher's invoice to the COAP contact. The Library can either pay the publisher directly for the amount of the award or reimburse the author. For reimbursement, the author must provide a Cornell departmental account to which the funds can be transferred.

Fund Cap. The Provost and the Library have committed a total of \$50,000 to fund the COAP program in the 2016-2017 academic year. Funding for works that comply with the eligibility criteria will be distributed on a first-come, first-served basis; if funds are depleted before end of the fiscal year (June 30, 2017), the program will be closed to new submissions for the rest of the funding period.

Application Process: Articles, chapters, and books accepted for publication up to a year prior to the funding request are eligible for this program. Requests for funding should be made after a work is accepted for publication. Requests should be made using this form.

Regular Review. All aspects of this program, including the amount of funding committed to it, will be analyzed and reviewed on a regular basis. The COAP program is an experiment and continued funding is decided year to year.



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HOPE Frequently Asked Questions

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- [Who is eligible to receive funds?](#)
- [What fees can the fund reimburse?](#)
- [What publication venues are eligible?](#)
- [What if the research in the article was grant-funded?](#)

AWARD AMOUNTS

- [What limits on reimbursement are there?](#)
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OTHER

- [What is the tax status of reimbursements?](#)
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All our FAQs

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[Author Addenda FAQ](#)

[OA Policy FAQ](#)

[DASH FAQ](#)

[Depositing FAQ](#)

[HL Digital Reproductions FAQ](#)

[HOPE Fund FAQ](#)

[Publisher FAQ](#)

Still have questions?

Contact the [OSC](#) or the [Open Access Liaison](#) for your community.

Q: How do I apply for funds?

Articles submitted for publication after Sept. 1, 2009 are eligible for this program. Requests for funding may be made before an article is accepted or immediately upon acceptance, by completing [this form](#). You'll also need to make sure that you have deposited a copy of the article in [the DASH repository](#) before the reimbursement can be made.

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Q: Who is eligible to receive funds?

Funds are available for researchers at Harvard schools that have instituted an [open-access policy](#). Faculty, researchers, staff, and students may request reimbursement for articles connected with their research activities at these schools. Funds for HMS affiliates are limited to quad-based faculty, researchers, staff, and students.

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Q: What fees can the fund reimburse?

Reimbursable article-processing fees may include publication fees (charges levied on articles accepted for publication, including page charges), and submission fees (charges levied on articles submitted for publication). Eligible fees must be based on a publication's standard fee schedule that is independent of the author's institution.

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Q: What publication venues are eligible?

The venue of publication must be an established open-access journal, that is, a journal that does not charge readers or their institutions for unfettered access to the peer-reviewed articles that it publishes.

Journals with a hybrid open-access model or delayed open-access model are not eligible. To be eligible, a journal must meet these additional requirements:

- Be listed in the Directory of [Open Access Journals](#) (unless the journal is too new for DOAJ eligibility),
- Be a member of the [Open Access Scholarly Publishers Association](#) or adhere to its [Code of Conduct](#),
- Have publicly available a standard article fee schedule,
- Have a policy to substantially waive fees in case of economic hardship. Currently, all of the major open-access publishers satisfy these conditions.

We trust requesters to make appropriate decisions about the quality of the publication venue and the value of its services in relation to the fees it charges. As we gain experience with administering the fund, we may institute further procedures for vetting venues.

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Q: What if the research in the article was grant-funded?

Articles for which alternative funding is available are not eligible for reimbursement. This includes articles reporting research funded by a gift or a grant from a granting

agency, foundation, or other institution (including Harvard itself) that allows granted funds to be used for article processing fees (whether or not the particular grant had budgeted for such fees and whether or not sufficient grant funds remain), and articles funded by an institution that itself pays article processing fees on behalf of the author (such as [Wellcome Trust](#)).

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Q: What limits on reimbursement are there?

There is a nominal limit on the total reimbursement per article of \$3,000, though there are no known eligible journals with fees that reach the cap. The average publication fee for fee-based open-access journals is approximately one-third of the cap.

There is no limit on the number of articles reimbursed, except that authors may receive reimbursement for up to a total of \$3,000 per fiscal year for all article processing fees. Reimbursement can cover 100% of fees up to the cap. Unused amounts do not roll over to future years. Exceptions to the \$3,000 cap may be made based on availability of funds.

We expect, based on the experience of similar funds, that the total outlay of funds in the near term will be minimal, and do not expect to have to limit disbursements further. However, should demand for funds exceed expectations, we may limit access to funds on a first-come-first-served basis. As we gain experience with the process, the method for calculating reimbursement and limitations thereon may be changed over time.

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Q: What if there are multiple authors on an article?

In the case of an article with multiple authors, each author is responsible for a prorated portion of any publishing fees. For example, for an article with three authors that is to appear in a journal with a \$3,000 publication fee, each author is responsible for \$1,000 of that fee. If two of the authors are eligible for reimbursement, they may enter an application for \$2,000. If the journal were to have a \$6,000 publication fee, the \$3,000 per article cap will apply and the two eligible authors may only apply for \$2,000 each.

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Q: What is the tax status of reimbursements?

For Harvard employees, such as faculty members or paid researchers, the payment or reimbursement of open-access publication fees may reasonably be viewed as a "working condition fringe" (defined in Internal Revenue Code Section 132 as any property or service provided by an employer to an employee to the extent that, if the employee paid for the property or service, the payment would represent a deductible employee business expense). Since working condition fringe benefits are excludible from income, amounts reimbursed to employees from the HOPE Fund would not be includible in income on the employee's Form W-2, and would not be subject to any reporting or withholding.

For non-employee students, the payment or reimbursement of the fees would not be deemed a "working condition fringe", but rather, scholarship or fellowship payments, which are subject to tax under Code [Section 117](#) unless used for qualified tuition and related expenses. Reimbursements thus may be taxable. For U.S. persons, there is no requirement for Harvard to withhold on, or report the amount of, such fellowship payments; any required reporting is done by the recipients on their individual returns. For non-U.S. persons, taxable amounts are subject to reporting on a Form 1042-S, and are subject to withholding, subject to any income tax treaties with the recipient's country of residence, in the same manner as any other fellowship payment to such individuals provided by the University.

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Q: Who decides other aspects of the fund's implementation?

Implementation of the fund and reimbursement process is handled by the Office for Scholarly Communication, operating under the advisement of the [OSC Faculty Advisory Committee](#).

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Q: Is information about the fund's use available?

Yes, information about fund reimbursements will be made publicly available by the OSC through this web site. A list of HOPE-funded articles is maintained at <https://osc.hul.harvard.edu/programs/hope/awards/>.

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SOAR Fund

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SOAR Fund Guidelines

Proposal to Create an Open Access Fund (Approved, April 18, 2014)

SOAR Fund Annual Reports and List of Supported Research

SOAR Fund Guidelines

"Supporting Open Access Research" (SOAR) Fund
at University of Massachusetts Amherst
(SOAR Fund at UMA)

The University of Massachusetts Amherst (UMA) Supporting Open Access Research (SOAR) Fund underwrites reasonable article-processing fees for open access journals when funds are not otherwise available. The fund is supported by the University Libraries, which have contributed \$25,000 for FY 2014-2015.

The goals of the UMA SOAR Fund are to:

- build innovative models of scholarly publishing, in particular publications that are not supported by subscription revenue models or user-access fees;
- increase access to research and scholarship from the UMA; and
- support UMA faculty, students, and staff who choose to publish in open-access journals but lack other sources of funding for article processing fees.

Process

Authors with a manuscript accepted in the current fiscal year (determined on a rolling basis) for publication in an eligible journal or venue may apply for funds by submitting an application; documentation of the peer review and acceptance; and proof of payment of the article page charge. Applications will be accepted on a rolling basis throughout the year until funds are fully expended.

Eligibility

Up to \$3000 in UMA SOAR funding per applicant may be available annually on application from:

- Any current UMA faculty member, post-doctoral researcher, staff member, or graduate student author
- who has no other source of funding for open access publication charges, for
- publication charges for scholarly peer-reviewed articles, chapters, or published contributions, in
- eligible publication venues.

UMA SOAR is a funding source of last resort, available only to authors for publications for which no other sources of funding are available. Authors whose grants include funding for publication charges, or who have support from other venues, must apply those funds first.

For example, the National Institutes of Health, the Wellcome Trust, and the Howard Hughes Medical Institute all provide funding for open access publication. Authors must apply to those sources of funding first. Only if those funds are exhausted or not available for some other reason will UMA SOAR support be available. Authors must document their funding sources and efforts.

Eligible applications will support open access publication of **completed manuscripts, reviewed and accepted for publication, but not yet published**. This can include:

- scholarly peer-reviewed journal articles;
- chapters or contributions to peer-reviewed scholarly monographs (not textbooks); and
- scholarly peer-reviewed monographs.

Eligible publications and publishing venues must be fully and immediately open access. Publications in "hybrid open-access" (which also charge subscription fees) or "delayed open-access" journals and monographs are not eligible.

- Journals must be **fully and immediately open access**, in their entirety.
- Monographs must be **fully and immediately open access**, in their entirety.
- Journals or monograph publishers must be members of the Open Access Scholarly Publishers Association (OASPA), <http://oaspa.org/>, OR demonstrably adhere to the OASPA Code of Conduct (many of these journals are listed at the Directory of Open Access Journals, <http://doaj.org/>);
- Journals or monograph publishers must have a standard article fee schedule, publicly accessible, and a policy to waive fees in cases of economic hardship or economic equity.

Additional Restrictions and Limitations

- Funding is available **annually** for any one author up to \$3000.
For example, a faculty member may apply for two separate awards of \$1500 each for two publications, or one award totaling \$3000.
- Funding is available for any one paper up to a maximum of \$3000.
For example, a paper with two UMA authors may be the subject of only one application for UMA SOAR support. The funding may be counted against either author's allocation, or both, as the authors choose.
- Support for non-UMA collaboratively authored papers will be available on a prorated basis.
For example, if a UMA author collaborates with a non-UMA author, the UMA author may submit an application for support for up to \$1500 for a single publication.
Financial hardship on the part of non-UMA collaborators may be considered but will not in any case increase funding beyond the \$3000 annual and per-article maximums.
For example, a UMA author collaborates with a non-UMA author from a developing nation, who has no access to funding sources. The UMA author may apply for a waiver of the proration calculation on that article, citing financial hardship in support of a request to pay the entire fee. Please note: Journals should have a policy to waive fees in case of financial hardship, and this should be the first approach.
- All works will be deposited on UMA Amherst ScholarWorks.

NOTICE: UMA SOAR will provide funds on a first-come, first-serve basis, apportioned equitably to those with eligible publications, until UMA SOAR funds are exhausted. UMA SOAR cannot guarantee funding in advance, and authors should only consider themselves funded after their application is approved and they have received a notice of award.

Administration

The UMA SOAR is administered by the Scholarly Communication Department at the UMA Libraries. Applications are reviewed by an ad hoc team of reviewers, including librarians and faculty not affiliated with the application. Awards and lists of publications will be accumulated annually and posted at the University Library website. Funding for future years will be dependent on number of applications, available funds, and evaluations of the program. We encourage feedback about the program. Please contact ScholarWorks@library.umass.edu.

UMass Amherst Libraries--July 2014.
revised: Feb. 10, 2016.

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Northwestern Open Access Fund

The Northwestern Open Access Fund is a program to support Northwestern scholars who wish to make their journal articles openly available immediately upon publication, and to support gold open access publishers around the world. The Fund will help cover an article processing charges (APC) to publish in open access journals if a Northwestern author does not have other sources to pay these charges.

The gold open access journal model publishes all of a journal's articles as open access and allows for freely available access immediately upon publication. The Fund policy also stipulates that there be no embargo on any part of the content. The funding is modest and is intended to pay for article processing costs and not costs for peripherals, such as images, or color enhancement of images. The Northwestern Open Access Fund is available for authors who do not have other sources of funding to cover publication costs, such as research grants, or departmental funds. There is a limit of up to \$3000 per award per author for each fiscal year (September through August).

To apply for support from the Northwestern Open Access Fund, please fill out [this form](#). Questions may be submitted via email to [Northwestern Open Access](#).

FAQ

As members of the Northwestern community submit questions about the fund, these questions and their answers will be collected [here](#).

What charges does the fund cover?

Article processing fees or publishing fees. The fund does not cover submission fees or personal or institutional subscriptions or sponsorships.

Digital Scholarship Services

Northwestern University Libraries
www.library.northwestern.edu/research/scholarly/digitalscholarship@northwestern.edu

John Dorr

Head, Digital Scholarship Services

Contact

Cunera Buys

Data Management Librarian

Contact

Josh Honn

Digital Humanities Librarian

Contact

Liz Hamilton

Intellectual Property Specialist

Contact

SPEC Kit 353: Funding Article Processing Charges

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What content types are eligible?

Articles accepted for publication in peer-reviewed open access journals. Articles may not still be under review; they must be accepted.

Are any access restrictions acceptable?

The fund cannot be used to support "hybrid" open access publishing, or to cover publishing fees where an embargo is required. The hybrid model is used to make individual articles available in journals that require paid subscriptions to access the remainder of articles.

What constitutes an acceptable open-access journal?

Any peer-reviewed journal that meets each of the following criteria:

- the journal is listed in the [Directory of Open Access Journals](#) or is a member of the [Open Access Scholarly Publishers Association](#)
- the journal's publisher is conducting business in a manner consistent with the [OASPA Code of Conduct](#).
- the journal is published in a fully open access format based on a published schedule of article processing fees.

Who is eligible?

Faculty members, post-doc researchers, graduate or professional students and any staff who are authors of articles accepted for publication in a peer-reviewed, open access publication.

With what requirements must subsidized authors comply?

Authors must deposit a digital copy of their article with one of the official Northwestern libraries. The library will preserve and make these works available in an institutional digital repository.

What considerations are given to external funding?

Articles are not eligible if the research is funded by a gift or grant from an organization that allows funds to be used for APC, regardless of whether these were actually budgeted for or if the grant budget is exhausted, or if the research was funded by an organization that pays APC.

How are intramural collaborations handled?

Each author will be responsible for a prorated portion up to a total per-article cap of \$3,000.



Are there restrictions for repeat usage?

The fund will provide up to \$3,000 per Northwestern researcher per fiscal year. As funds allow, exceptions will be considered for requests above this annual cap.

Fund Size

In any given year funding is limited and may be adjusted at the discretion of the Northwestern University Libraries. Funding for articles that comply with the eligibility criteria will be distributed on a first-come, first-served basis.

Date limit on fund/fund expiry date, if any

There is no date limit on the fund at this time, but the support and impact of the fund will be evaluated on an annual basis during the normal budget cycle.

Who is currently funding the Northwestern Open Access Fund?

The fund is supported by the Northwestern University Libraries.

Who will administer the fund?

The fund is administered by a group of scholarly communication experts in the libraries, and funds disbursed by the libraries' acquisitions department. Request funding by filling out this form.

Questions?

For more information contact us at Northwestern Open Access.



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To apply for a grant, please follow the link to the online application. Once received, the application will be reviewed for eligibility by the Penn State Libraries Publishing Board based on the criteria listed below.

Grants have been distributed. Watch this space for updated information in the new budget year.

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During the pilot program, any current Penn State faculty member, researcher, post-doc, graduate student, or staff member may apply for a grant of up to \$2000 per article to pay for article processing fees. Undergraduate authors may also be considered for grant awards with the endorsement of a faculty adviser directly involved in the research project.

- Authors are limited to one award per academic year.
- First-time applicants will get preference for funding.
- Authors may apply for funding at any time from article submission to acceptance by the publisher. The application must include a funding request based on published fees of the journal.
- Funding for the pilot is limited and awards are under the Board's purview for selection and funding. A successful applicant may not receive the entire amount requested. Applications will be reviewed in the order in which they are submitted. Funds are released after the article is accepted by the publisher and provided a publication date.
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- At this time only scholarly peer-reviewed journal articles will be considered for funding.

Journal Eligibility:

- Eligible publications must provide free, immediate, online access to the full text of the research article upon publication without restrictions. Access may be provided by an available pre-print or post-print version of the article.
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- Journals must be peer-reviewed.
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- Any journals or publishers whose legitimacy is in doubt or are listed in Beall's List of predatory scholarly open-access publishers require greater scrutiny by authors and the University Libraries.
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The SIU COPE (SIU Carbondale Open-Access Publishing Equity) Fund seeks to advance the use of open access as a means of distributing the research and creative work of the Southern Illinois University Carbondale community by providing financial support to cover the fees charged for open access publication.

REQUIREMENTS

Author Eligibility

Journal Eligibility

Grants are available for open access journals, which are journals that do not charge a fee for institutions, libraries or readers for access to the content, and do not have an embargo period for access. Journals are subject to review based upon review process, reputation, presentation, marketing techniques, acceptance rate, and other factors as needed. In addition, journals must meet at least one of the following criteria:

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Maximum Support Limits

In order to include as many authors as possible while covering typical costs, the following limit applies to support awards for each author:

- \$1500 per article and per year

Review Process

Disbursement is determined on a first come first served basis, provided all guidelines are met. The SIU Cope Fund review committee will confirm eligibility.

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The SIU COPE Fund is part of Morris Library's commitment to support open access, which also includes management of the SIU institutional repository, OpenSIUC. **Acceptance of open access grants requires submission of the supported article to OpenSIUC within three months of publication.** Questions about OpenSIUC, including details about the submission process, can be emailed to opensiuc@lib.siu.edu.

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- » Funding is limited and will be disbursed to authors upon approval and in the order in which they were received.

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Start by completing an Open access subvention fund request form , 1) immediately upon acceptance or 2) after an article is accepted. The application is sent to a team in University Libraries that reviews applications and vets and prioritizes them based on criteria for eligibility, guidelines, and available funding. The program is administered by University Libraries and is under the guidance of the Faculty Senate's University Library Committee.

Reimbursement

After the application is accepted and the author is sent notification of approval, the author sends University Libraries an invoice or other proof of payment, and University Libraries reimburses the department or sends payment directly to the publisher.



Gail McMillan
Director , Scholarly Communication

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1. Fund Size

1.1 The value of the fund will be determined by Western Libraries each fiscal year. For 2016/2017, the total value of the fund is \$60,000 Canadian.

1.2 The Fund is available to successful applicants on a first-come-first-served basis.

1.3 The Fund will provide up to \$2,400 (Canadian) per article, book, or book chapter.

2. Author Eligibility

2.1 At the time of application, an eligible applicant must be a current

- faculty member (full-time or part-time) at Western; or
- postdoctoral fellow at Western; or
- graduate student at Western; or
- librarian or archivist at Western; or
- research assistant; or
- other staff member

2.2 People from the affiliate colleges are not eligible.

2.3 The applicant must be either the first author or the corresponding author of the article.

2.4 In the case of an article with multiple authors, if both the first and corresponding authors are Western researchers, either one of them but not both can apply for the funding support.

2.5 If the applicant has received a grant from a research funding agency, s/he must declare that the publication fee for the article has not already been covered by the grant.

2.6 Applicants are eligible for up to two grants per year.

2.7 Retrospective applications for articles for which the authors have already paid the OA charges are not eligible.

2.8 Funds are available for the fiscal year in which the application is approved and for the subsequent fiscal year. Following that, the funds will be withdrawn. (For example, an application approved on February 9, 2015, during the 2014/15 fiscal year, will be available until the end of the 2015/16 fiscal year: April 30, 2016.)

3. Eligible Types of Publications

3.1 Peer-reviewed journal articles accepted for publication into open access journals that are listed in the [Directory of Open Access Journals](#), or meet the DOAJ's [selection criteria](#). In particular, "hybrid" journals, which normally require a subscription to read, but provide an "open access option" for a supplementary author fee, are not eligible for funding.

3.2 Books, or book chapters (no textbooks), which are published by a publisher that is a member of the [Open Access Scholarly Publishers Association](#) or meet their [Code of Conduct](#).

3.3 Funded articles, books, or book chapters will be freely available online immediately upon publication.

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3.4 The journal does not require that the author(s) to transfer copyright to the publisher, and the author(s) retain control over the future use of the work. In particular, if the journal makes articles available under a CC-BY-NC (non-commercial use only) license, and it is the **publisher** who controls future commercial use of the content, rather than the author, then that is unacceptable.

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<input type="text"/>	
Publisher *	
<input type="text"/>	
Publisher URL *	
<input type="text"/>	
Article, Chapter or Monograph Title *	
<input type="text"/>	
Co-Authors and Affiliations	
<input type="text"/>	
Anticipated Publication Date (if known)	
<input type="text"/> 	
Where is the Article, Chapter, or Book in the Publication Process? *	
<input type="radio"/> Submitted for Review	
<input type="radio"/> In Revision	
<input type="radio"/> Accepted for Publication	
<input type="radio"/> Other <input type="text"/>	
Article Processing Fee *	
\$ <input type="text"/>	
Amount Requested from OA Fund *	
\$ <input type="text"/>	
When does the Publisher Require Payment?	
<input type="text"/> 	
Please attach the invoice if you have received one:	
<input type="button" value="Browse..."/> No file selected. Accepted file types: doc, docx, pdf.	
<hr/>	
The University of Iowa Libraries will submit a copy of your publication to Iowa Research Online.	
Do you agree to this? *	
<input type="checkbox"/> Yes	
I confirm that adequate alternate funding, including grants or department funds, is not available. *	
<input type="checkbox"/> Yes	
Comments or Additional Information	
<input type="text"/>	


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Applicant's Name *

Applicant's KU/KUMC Email *

ex: myname@ku.edu

Applicant's Phone *

Applicant's Status *

☐ Tenured

☐ Non-tenure track (midcareer - longer than 5 years)

☐ Tenure-track, untenured

☐ Early career researcher/staff (first 5 years), non-tenure track

☐ Graduate Student

Campus *

☐ Lawrence

☐ Edwards

☐ KUMC Kansas City

☐ KUMC Wichita

☐ KUMC Salina

School or College *

☐ Architecture, Design, and Planning

☐ Arts

☐ Business

☐ Education

☐ Engineering

☐ Health Professions

☐ Journalism and Mass Communications

☐ Law

☐ College of Liberal Arts and Sciences

☐ Medicine

☐ Music

☐ Nursing

☐ Pharmacy

☐ Social Welfare

☐ Other

Related Info

The One University Open Access Author Fund at The University of Kansas

Publishing and Author Rights

One University Open Access Author Fund Report

Guide to Open Access Publishing

Open Access at KU

Read OA Funded Work at KU ScholarWorks

Electronic Theses and Dissertations (ETD)

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Department or Research Center *	<input type="text"/> <small>e.g. Biology, History</small>
Administrative Contact Name	<input type="text"/> <small>Person who will work with us on the author's behalf.</small>
Administrative Contact Email	<input type="text"/>
Administrative Contact Phone	<input type="text"/>
Is this Applicant also the Lead Author of the publication? *	<input type="radio"/> Yes <input type="radio"/> No
Was the majority of the research/scholarly work conducted by KU faculty/staff? *	<input type="radio"/> Yes <input type="radio"/> No
Article Title *	<input type="text"/>
Article Status *	<input type="radio"/> Manuscript ready to submit pending funding approval <input type="radio"/> Manuscript submitted <input type="radio"/> Manuscript accepted for publication
Journal Title *	<input type="text"/>
Journal Publisher *	<input type="text"/> <small>Tip: Find journal details at http://worldcat.org</small>
Does the publisher meet the general required criteria listed on the Open Access Fund site? Please review the requirements to be sure your journal/publisher meets requirements. Link *	<input type="radio"/> Yes <input type="radio"/> No
Total article processing charges (U.S. dollars) *	<input type="text"/> <small>Total amount charged by the publisher.</small>
Was grant funding used to produce the research this article is reporting? *	<input type="radio"/> Yes <input type="radio"/> No
How much of the publication costs are you able to cover through grant funding or another source? (U.S. dollars) *	<input type="text"/>
Amount applicant is requesting from the Fund (U.S. dollars) (up to the Fund cap of \$1,500) *	<input type="text"/>

One University Open Access Author Fund Request Form
<http://library.kumc.edu/oa-funding-request-form.xml>

Have you been awarded funds from KU's OAAF in the current fiscal year (July 1 - June 30)? *

☐ Yes
☐ No

Other special circumstances about your grant funding or your need for funds for this open access article.

0/150

Is this your first time ever applying for this Fund? *







☐ Yes
☐ No

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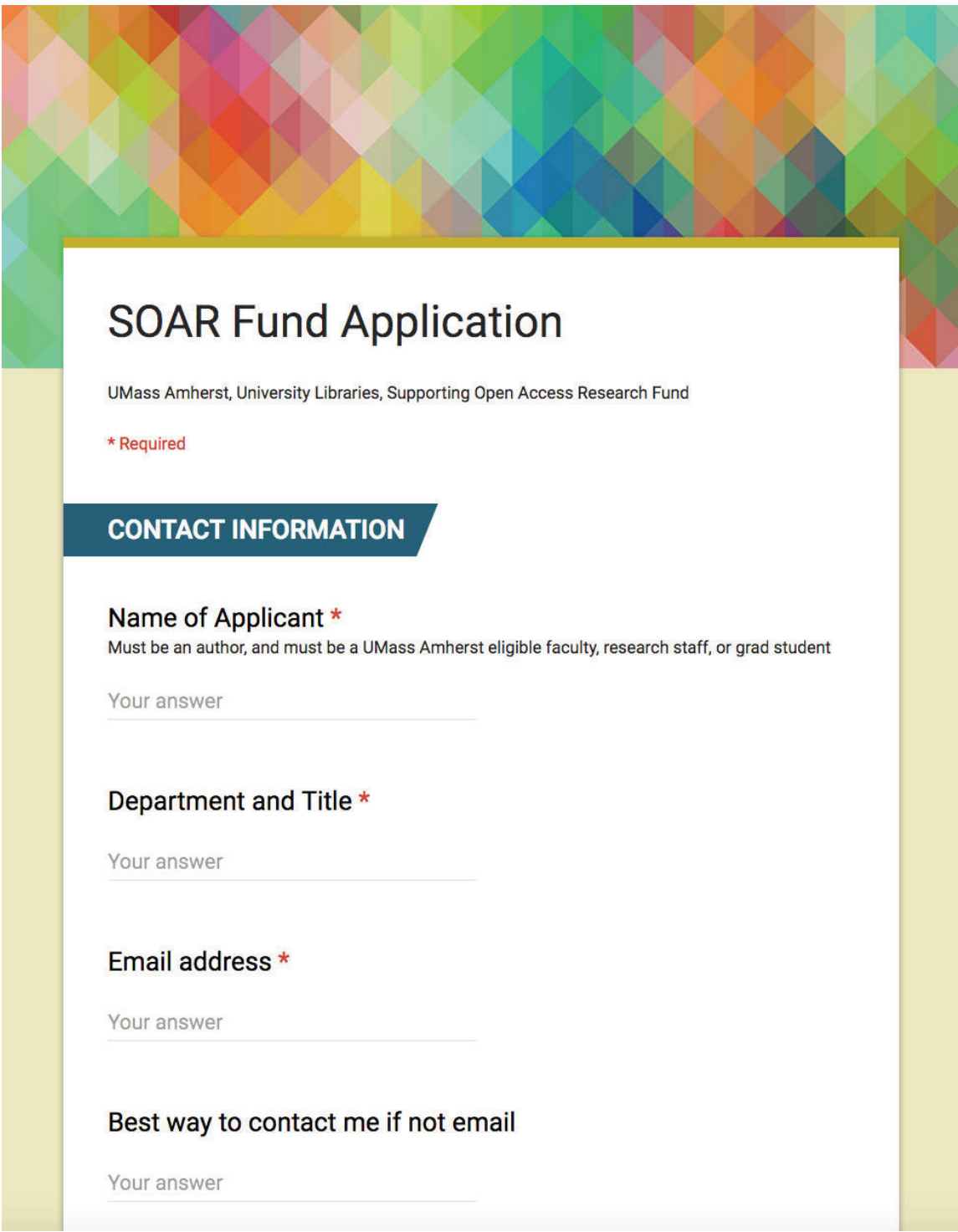




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SOAR Fund Application

UMass Amherst, University Libraries, Supporting Open Access Research Fund

*** Required**

CONTACT INFORMATION

Name of Applicant *
Must be an author, and must be a UMass Amherst eligible faculty, research staff, or grad student

Your answer

Department and Title *

Your answer

Email address *

Your answer

Best way to contact me if not email

Your answer

UNIVERSITY OF MASSACHUSETTS AMHERST LIBRARIES

SOAR Fund Application

<https://docs.google.com/forms/d/1wK1DQm4Oik1vPg2YvsOt-JxGHDAyG8U06YN8LFldmg/viewform?c=0&w=1>

Contact information for departmental bookkeeper / financial manager *

The Libraries' SOAR Fund will transfer payment to your department, permitting you to follow any reimbursement procedures your department sets. Please provide contact information for your department's bookkeeper / financial manager, and we will take it from there.

Your answer

Department ID and Fund Name / ID

Optional; if you know it, this will expedite transfers

Your answer

PUBLICATION INFORMATION

Full citation for your work. Include (1) title of your work; (2) all co-authors & institutional affiliations; (3) full name of journal or full name of book and its publisher; (4) anticipated date of publication. *

Your answer

NEXT

Page 1 of 3

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Northwestern Open Access Fund Request

Your Name *

First

Last

Your Email *

Your Northwestern Department, School or Unit Affiliation *

Does the article or paper for which you are requesting funds have additional authors? *

☒ Yes

☐ No

Title of your Article *

Title of the Journal that has Accepted Your Article for Publication *

Name of the Journal Publisher

Amount of Money Being Requested *

Expected Publication Date for Article

 / /

MM

DD

YYYY



Do you have a Grant or Access to Other Funds that can be used for Publishing Costs? *

☒ Yes


☐ No

Is the Research on Which you are Publishing Supported by a Grant? If so, Please Supply the name of the Funder:

Please Verify that you are Willing to Deposit a copy of your Article with the Library *

☒ Yes, I will email the final copy of my article to the library.

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Penn Libraries has established a limited fund to support open-access publication. For more information regarding your eligibility, please see the [FAQ](#).

Name*

Email*

1. I am an employee of the University of Pennsylvania.*
☐ Yes
☐ No

2. I attest that I do not have either grant or department funds to pay article processing fees. If research for the article was supported by gifts or grants, the granting agency, foundation, or other institution supporting the research (including the University of Pennsylvania itself) does not allow granted funds to be used for article processing fees (whether or not the particular grant had budgeted for such fees)*.
☐ Yes
☐ No

3. My article will appear in this peer-reviewed journal*.

4. The journal named above is an established "pure" open-access journal that doesn't charge readers or their institutions for access to any of the peer-reviewed articles that it publishes. The journal is listed in the Directory of Open Access Journals (doaj.org) and the publisher is a member of the Open Access Scholarly Publishers Association (oaspa.org) or adheres to its Code of Conduct (oaspa.org/membership/code-of-conduct)*.
☐ Yes
☐ No

5. The funds I am requesting will be used for publication fees (including page charges) and submission fees*.
☐ Yes
☐ No

6. The fees charged by the journal are based on a publicly available standard fee schedule*.
☐ Yes
☐ No

* required

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SPEC Kit 353: Funding Article Processing Charges

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<https://libraries.psu.edu/services/research-data-services/scholarly-publishing-services/open-access-publishing/penn-state-1>

120 Representative Documents: Fund Application Procedures

PENNSYLVANIA STATE UNIVERSITY LIBRARIES

The Penn State Libraries Open Access Fund Grant Application

<https://libraries.psu.edu/services/research-data-services/scholarly-publishing-services/open-access-publishing/penn-state-1>

Publication Status

☐ Submitted to journal

☐ Not yet submitted to journal

☐ Accepted for publication by journal

☐ Other (please specify):

Open Access Fee Amount *

Have you obtained open access publication funding from any other funding source? *

☐ Yes

☐ No

Please upload a draft of the article *

All articles submitted for funding will be confidential during the selection process.
Files must be less than **20 MB**.
Allowed file types: pdf doc docx.

Browse...

No file selected.

Upload

Faculty Advisor

If the applicant is an undergraduate student, please provide the name and Penn StateAccess ID of the student's faculty advisor directly involved in the research project.

Written Endorsement

If the applicant is an undergraduate student, please upload a written endorsement from a faculty advisor directly involved in the research project.
Files must be less than **10 MB**.
Allowed file types: rtf pdf doc docx.

Browse...

No file selected.

Upload

Publicity *

We plan to publicize grant recipients' names and article information on a Libraries web page as an additional way of providing visibility for your work. Please indicate if you agree to being listed. (Your answer to this question will not be considered in the decision whether or not to provide funding.)


☐ Yes

☐ No

Comments

Brief additional comments to the selection committee.

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SPEC Kit 353: Funding Article Processing Charges

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<http://lib.siu.edu/cope-application>

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Thank you for your interest in the SIU Carbondale Open-Access Publishing Equity (SIU COPE) Fund. Please read the [Guidelines](#) to verify the eligibility of your article before applying.

Name: *

Email Address: *

Phone Number: *

Status: *

☐ Tenured / Tenure-track Faculty
☐ Nontenure-track Faculty
☐ Full-time Graduate Student

Department: *

Co-authors' Names (If Applicable):

Title of Article : *

Title of Journal: *

122 Representative Documents: Fund Application Procedures

SOUTHERN ILLINOIS UNIVERSITY CARBONDALE LIBRARY

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<http://lib.siu.edu/cope-application>

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Carbondale
MC 6632
Carbondale, IL 62901

Information Desk: 453-2818
Administrative Office:
453-2522
Circulation Services: 453-1455

Web Administrator

Enter URL where information about the journal's Author Processing Fees or Open Access Charges can be found: *

Status of Article:

- ☐ Preparing submission
☐ Submitted
☐ Accepted

Total charges related to providing open access to this article: *

Amount Requested from SIU COPE Fund: *

Maximum of \$1500.

Confirmation: *

- ☐ I confirm that I do not have other sources of funding that could be used to cover open access publication fees.

Articles whose underlying research was funded by grants that allow funds to be used for open access publication fees are not eligible for funding.

Financial Interests Confirmation: *

- ☐ I confirm that neither I nor any of my co-authors have a financial interest in the publishing company that publishes the journal listed in this application.

Comments:

SUBMIT

CONTACT MORRIS

Morris Library
Southern Illinois University
Mailcode 6632
Carbondale, IL 62901

P: 618-453-2522
F: 618-453-3440

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Open Publishing Support Fund Application

Application Instructions

Follow these instructions to request funding for publishing charges for articles in journals listed in the DOAJ and that provide free, immediate access to the contents and unrestricted non-commercial use with no embargo periods. Hybrid journals that make only selected articles open access are not eligible.

[Partial list of publishers who provide open access.](#)

Please send general questions to AVCRD@utk.edu. Questions about publishing parameters should be sent to [Rachel Caldwell](#), Scholarly Communication Librarian.

1. Ask the journal publisher about the possibility of a waiver or reduction of publishing charges. Report the results of your request in the appropriate box on the application form.
2. Complete and submit the online application form. Requests for funding can be made at the point of acceptance.
3. You will receive an email from the UT Office of Research and Engagement regarding the decision.
4. Please have your college/department pay the invoice up front.
5. Submit the paid invoice with IRIS document number and a copy of the email confirmation to Melanie Murphy, mtaylo10@utk.edu, 1534 White Avenue, Knoxville, TN, 37996-1529 (email preferred).

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*All form fields are required. Some fields have specific formatting requirements.

Today's Date *

09

23

2016

MMDDYYYY

Other Funding Sources *

Priority will be given to applicants who do not have grants or other institutional funds to cover open access fees.

☐ I confirm that I have no other sources of funding that could be used to cover open access fees

UT Knoxville Author Information

Name

FirstLast

UT NetID *

Status with UT Knoxville *

☐ Faculty

☐ Postdoctoral Associate

☐ Enrolled Graduate Student

Campus Department *

Campus Address *

Phone *

Enter your phone number in the format (###)###-####

Email *

Enter your email address in the format xxx@xxxx.xxx

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Title of Article *

Accepted for Publication *

☐ I confirm that this article has been accepted for publication

Title of journal to which article has been submitted *

Publisher *

Please provide a link to this journal's open access policy and open access fees* *

Total charges related to providing free immediate access to this article *


What is the outcome of your request that the publisher waive or reduce the charges? *


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Open Access Fund Application

If you have any questions regarding our process or this form, please contact Ellen Ramsey (ecr2c@virginia.edu).

Applicant Information

Name *

U.Va. computing ID, e.g. mst3k *

Department *

College/School/Center *

Email *

Status *

Contact Person (if different)

Contact Person Title

Contact Person Phone Number

Contact Person Email

Publication Information

Type of Peer-Reviewed Publication *

Publication Title *

News and Recent Developments

Policies and Guidance

Copyright Resources on the Web

Support for Open Access Publishing

Libra (UVA Institutional Repository)

Use of Materials from the Library's Collection



SearchSearch


Need assistance?
These pages provide access to recommended sources of information on copyright and related issues. UVA students, faculty and staff who need more assistance may [contact the Copyright Team](#).

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<http://copyright.library.virginia.edu/open-access-fund-application/>

Publisher *	<input type="text"/>
Publisher URL	<input type="text"/>
<hr/>	
Article, Chapter or Monograph Title *	<input type="text"/>
Co-authors and Affiliations	<input type="text"/>
<hr/>	
Date item was accepted for publication *	<input type="text"/> 
Publication date (if known)	<input type="text"/> 
Citation (if known)	<input type="text"/>
Article Processing Fee *	<input type="text"/>
Amount Requested from OA Fund *	<input type="text"/>
<hr/>	
Authors must have exhausted all available grant funds that may be eligible to be used for the article processing fee.	
<hr/>	
<input type="checkbox"/> I agree to submit a copy of my article to Libra.	
<input type="checkbox"/> I confirm that adequate alternate funding, including from grants, contracts or department funds, is not available.	
Additional Information	<input type="text"/>
Comments	<input type="text"/>
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Forms and questions

Open access subvention fund request form

- » All faculty, staff, graduate, and undergraduate students are eligible.
- » Funds are available to underwrite article processing charges (APC) for scholarly peer-reviewed articles accepted for publication in an open access or hybrid OA journal.
- » Support is limited to \$1500.00 per article and \$3000.00 per author per year. For papers with multiple Virginia Tech co-authors, the program would still subsidize the same total amount of up to \$1,500 per article but it would be prorated among each of the authors for the purposes of calculating amounts towards the annual limit for individuals, for example, 3 Virginia Tech authors counted at \$500 each.
- » Authors must have no other sources of funding available. Funding is not available for papers resulting from research sponsored by agencies that allow allocations for OA fees, ex. NIH.
- » A journal's publisher must be a member of the Open Access Scholarly Publishers Association (OASPA) or comply with OASPA's Code of Conduct.
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- » For hybrid OA journals, the publishers must have reduced institutional (i.e. library) subscription prices, or plan to reduce prices this next year, based on the number of open access publications in the journals.
- » Funding is limited and will be disbursed to authors upon approval and in the order in which they were received.
- » The library makes every attempt to process requests within 10 business days.
- » Funded article invoices must be sent directly to the Libraries' head of acquisitions within 30 days of OASF notification. Otherwise, the funds will be returned to the OASF and authors must reapply.

All fields are required except "Other authors and their affiliations".

Submitter's information
Name
PID
Your PID is not your ID number.
Department and college
Please provide your email address or other means to contact you.

Submitter's status

Article information
Article title
Journal title and publisher
Other authors and their affiliations

Article status ☐ Submission accepted
Do you have alternative sources of funding (e.g., grant funds) available to subsidize article processing fees? ☐ Yes ☐ No
What is the publisher's fee?
What is the amount you are requesting?
Link to publisher's open access policy and APC information

☐ I have read and I acknowledge the terms and conditions of the Open Access Subvention Fund program.

130 Representative Documents: Fund Application Procedures

YORK UNIVERSITY LIBRARIES

Open Access Author Fund Request Form

<http://www.library.yorku.ca/web/collections/publishing-support/oafundrequest/>

Journal URL if available

Journal Publisher *

Author Fee if known

Currency

Are you the first author? *

☐ Yes ☐ No

Do you have any alternative sources of funding (such as grants) that can be used to pay the submission fee? *

☐ Yes ☐ No

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☐ Yes ☐ No

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University of Colorado Boulder Libraries
Position Announcement
Scholarly Communications Librarian

The University of Colorado Boulder Libraries invites applications for the position of Scholarly Communications Librarian. This is a tenure stream position reporting to the Director of Scholarly Resource Development (SRD). The Scholarly Communications librarian plays a significant leadership role in implementing, managing, and promoting the University's institutional repository. This position advocates for new scholarly communication models and partners with campus colleagues to build robust mechanisms for capturing and providing access to the university's intellectual assets. This position provides outreach and consultations on depositing content, publishing options, author rights, copyright, and Open Access. This position will work closely with the Research Data and Metadata librarian, the Scholarly Communications Working Group, subject librarians, and the SRD department to create a sustainable scholarly communications program. The program includes education, training, and the development of tools, guides, web resources, and services. The successful candidate participates in departmental initiatives and may assume subject specialist duties in an area of the candidate's expertise.

The position includes significant responsibilities for research, creative work, and service in keeping with the tenure standards of the University of Colorado Boulder.

Requirements:

Please address each of these qualifications in your application materials:

- Master's Degree in Library and Information Science from an ALA-accredited institution or equivalent advanced degree
- 2 years experience working with scholarly communications issues
- Demonstrated knowledge of institutional repository trends and best practices
- Demonstrated knowledge of the scholarly publishing landscape, including legal issues, Open Access, and author rights
- Demonstrated knowledge of copyright issues in an academic library
- Evidence of leadership, initiative, and creativity
- Experience planning and delivering workshops, presentations, or classes
- Demonstrated experience collaborating with faculty and other stakeholders
- Effective oral, written, and interpersonal communication skills
- Excellent analytical, organizational, and time management skills
- Ability to work collaboratively in a team environment
- Potential for research, scholarly work, and professional achievement

Preferred Qualifications:

- Experience at an academic library or research institution
- Demonstrated expertise with copyright
- Demonstrated ability to assess services or collections

- Demonstrated ability to manage and complete projects
- Experience working with institutional repository platforms

Appointment:

The successful candidate will be appointed as a full-time (12 month), tenure-stream faculty member. Depending upon professional experience and demonstrated accomplishments in scholarly activity, creative work, and service, appointment may be made at the senior instructor or assistant professor level. Benefits include 22 working days of vacation; 10 paid holidays; liberal sick leave; excellent University group health care plans; group life insurance; a variety of retirement/annuity plans; and support for scholarly/professional activities. Tenured faculty members are eligible for sabbatical leave.

Application Process:

Review of applications will begin immediately and continue until the position is filled. It is recommended that applications be submitted by **October 25, 2013** in order to receive full consideration. Application must be made online at <http://www.jobsatcu.com/postings/72357>, and must include a letter of application specifically addressing qualifications for the position; CV or resume; and names with postal addresses, email, and telephone numbers of three references. Questions may be directed to Dylan Wiersma, Search Coordinator, at Dylan.Wiersma@Colorado.EDU. The full position description can be viewed at <http://ucblibraries.colorado.edu/about/jobScholarlyCommLibrarian.htm>.

The candidate selected for this position must be able to meet eligibility requirements to work in the United States at the time the appointment is scheduled to begin. The University of Colorado is an Equal Opportunity Employer committed to building a diverse workforce. We encourage applications from women, racial and ethnic minorities, individuals with disabilities, and veterans. Alternative formats of this ad can be provided upon request for individuals with disabilities by contacting the ADA Coordinator at hr-ada@colorado.edu. In addition, the University of Colorado is committed to providing a safe and productive learning and living community. To achieve that goal, we conduct background investigations for all final applicants being considered for employment. Background investigations include reference checks, a criminal history record check, and, when appropriate, a financial and/or motor vehicle history.

Scholarly Communications Librarian

THE UNIVERSITY OF IOWA LIBRARIES
IOWA CITY, IOWA

Position Vacancy

Scholarly Communications Librarian
Expert Librarian (PLB3-5A)

Position Description: The University of Iowa Libraries seeks an enthusiastic and forward-thinking professional to guide the library's scholarly communication efforts. Reporting to the Associate University Librarian for Collections and Scholarly Communications, the Scholarly Communications Librarian provides leadership and instruction regarding author rights, copyright, open access publishing, and compliance with public access requirements for federally funded research. This position will be responsible for maintaining awareness of national and international publishing trends, intellectual property rights, copyright and information technologies that affect access to scholarly information. The Scholarly Communications Librarian is expected to work closely with University Librarians, University of Iowa's Office of General Counsel, faculty and staff.

Specific Duties and responsibilities include:

- Lead the Libraries' efforts to develop and promote copyright education programs and copyright best practices among faculty, researchers and students;
- Serve as the University of Iowa Libraries chief resource for copyright and permissions issues;
- Provide advice on e-reserves and open educational resources;
- Consult with faculty, staff, and graduate students about such issues as authors' rights, and fair use;
- Monitor national and international trends in open access and scholarly publishing;
- Provide consultation services for faculty and graduate students about publishing choices, understanding publishing agreements, and rights retention;
- Collaborate with liaisons/selectors involved with collection management and scholarly communication activities in the social sciences, humanities, sciences, and health sciences fields to develop educational materials to increase awareness among University of Iowa faculty, researchers, and students about scholarly communication issues in the digital environment and promote Iowa Research Online;
- Coordinate with the Libraries Digital Scholarship & Publishing Studio to advise faculty about traditional and alternative publishing models;
- Manage the Libraries' and Provost's Office Open Access Fund;
- Lead the Libraries' Scholarly Publishing Team;
- Maintain the Libraries' scholarly communication and copyright guides;
- Engage with national initiatives that shape scholarly communication, such as SPARC or HaithiTrust;
- Develop and manage activities to support Open Access and Fair Use Week.

Required Qualifications:

UNIVERSITY OF IOWA LIBRARIES

Scholarly Communications Librarian

<http://www.lib.uiowa.edu/employment/scholarly-communications-librarian/>

- ALA-accredited Master's degree in Library and Information Science or equivalent;
- A minimum of five years professional academic library experience or relevant work experience with evidence of increased responsibilities;
- Evidence of previous scholarly activities including creative works, publications, or presentations;
- Demonstrated ability to lead and initiate campus or library projects;
- Strong organizational skills, flexibility, and the ability to work with cross-functional teams;
- Effective oral and written communication skills and problem-solving ability;
- Demonstrated commitment to diversity in the workplace or community;
- Commitment to professional growth and the ability to engage in an appropriate level of professional activity and service.

Desired Qualifications:

- Two or more years' experience providing guidance on scholarly communication, copyright, intellectual property and fair use issues in research and/or university environments;
- Juris Doctor (J.D.) degree;
- Excellent interpersonal and presentation skills;
- Familiarity with learning and course management systems (i.e., Blackboard, Canvas, or Skillsoft).

Universal Competencies:

• Collaboration and Embracing Diversity

Ability to work with a variety of individuals and groups in a constructive and civil manner while appreciating the unique contribution of individuals from varied cultures, race, creed, color, national origin, age, sex, disability, sexual orientation, and gender identity.

• Positive Impact/Achieving Results

Ability to utilize existing resources and learning to achieve or exceed desired outcomes of current and future organizational goals/needs. Able to demonstrate ethical behavior in diverse situations while producing results.

• Service Excellence/Customer Focus

Ability to meet or exceed customer service needs and expectations and provide excellent service in a direct or indirect manner. Ability to effectively transmit and interpret information through appropriate communication with internal and external customers.

Salary and appointment: Appointment will be made at the Expert Librarian level with a salary range of \$47,000 to \$76,000, depending on qualifications and experience. Start date is negotiable. The University of Iowa offers an attractive package of benefits including 24 days of paid vacation per year, your choice between two retirement plans and two University of Iowa health insurance plans, dental insurance, pre-tax child and health care spending accounts, and additional options.

The University of Iowa Libraries: The University of Iowa Libraries system consists of the Main Library, the Hardin Library for the Health Sciences and a number of branch libraries. The Libraries has more than 5 million volumes including thousands of electronic resources and coordinates the development and maintenance of the University's locally-created open access digital resources including the Iowa Digital Library, featuring

close to a million digitized texts, images, and audio and video recordings, as well as Iowa Research Online, our institutional repository. Our Special Collections include over 200,000 rare books, ranging in age from the 15th century to newly created artists' books.

Library systems are built on a mix of open source, locally developed, hosted services, and vended applications primarily from Ex Libris, OCLC, and Microsoft. The University of Iowa is a member of the Committee on Institutional Cooperation (CIC), ARL, OCLC, CRL, SPARC, CNI, CLIR, LOCKSS, CLOCKSS, and Portico. The Libraries provides a program of support for professional development activities and its staff members are actively engaged in national cooperative efforts.

The University and Iowa City: A major research and teaching institution, the University of Iowa offers internationally recognized programs in a diverse array of academic, medical, and artistic disciplines, from otolaryngology to fiction writing, printmaking to space science, hydraulic engineering to dance. The University consists of a faculty of 2,000 and a permanent staff of 13,000 serving 30,500 students, more than 40% of whom are from out of state and close to 10,000 of whom are registered in graduate and professional degree programs. Approximately 9% of the University's faculty and staff and 10% of its student body are members of minority groups, and 8% of the students are from foreign countries.

The University of Iowa is home to the Writers' Workshop, the oldest graduate creative writing program in the country, and the blueprint for many of the creative writing programs that now thrive on campuses worldwide. It is also home to the International Writing Program where, since 1967, over a thousand writers from more than 120 countries have participated. The University has recently instituted a program in creative writing in Spanish. In 2008, UNESCO designated Iowa City as a world City of Literature.

Iowa City is a community of some 71,000 people (more than 150,000 live in the surrounding area) with excellent educational, recreational, and cultural advantages. It is consistently cited in the national media as a city with an excellent quality of life. The city is readily accessible via interstate highways and a major airport is only 30 minutes away. The community is growing in its diversity; within the Iowa City Community School District, 35.4% of the students are minority, with 19.8% identifying as Black, 8.4% as Hispanic, 6.7% as Asian/Pacific Islander, and .3% as Native American during the 2014/15 school year.

Application Procedure: To apply for this position, please visit the University of Iowa Jobs@UIOWA website at <https://jobs.uiowa.edu/pands/view/67101>. Applications must be received by Friday, September 4, 2015.

The University of Iowa is an equal opportunity/affirmative action employer. All qualified applicants are encouraged to apply and will receive consideration for employment free from discrimination on the basis of race, creed, color, national origin, age, sex, pregnancy, sexual orientation, gender identity, genetic information, religion, associational preference, status as a qualified individual with a disability, or status as a protected veteran.

For more information about the University of Iowa Libraries, please see <http://www.lib.uiowa.edu/>

For more information about the University of Iowa and community, please see https://jobs.uiowa.edu/why_ui/index.php

UNIVERSITY OF MASSACHUSETTS AMHERST LIBRARIES
Open Access and Institutional Repository Librarian

Erin Jerome

UNIVERSITY OF MASSACHUSETTS
CAMPUS: Amherst

JOB DESCRIPTION

OFFICIAL TITLE: This is the official title of the position.

Librarian I or II

FUNCTIONAL TITLE: This is the in-house title by which the position may be known. A functional title is usually a more descriptive title than the official title and may be required to identify very specific kinds of work. This title may be used in signing all correspondence.

Open Access and Institutional Repository Librarian

GENERAL STATEMENT OF DUTIES: Please provide a brief overview of the general functions of this position. Specific details of duties should be reserved for the Examples of Duties section.)

The Open Access and Institutional Repository Librarian is focused on the management, promotion, and support of the University of Massachusetts' digital repository, ScholarWorks @UMass Amherst, working closely with library staff to leverage the full range of expertise and resources in the digital repository service. This position will provide support for the administration of the UMass Amherst open access initiatives and manage communications and publicity regarding open access and scholarly communication in partnership with the W.E.B. Du Bois Library's Development and Communication Department.

SUPERVISION RECEIVED: Please indicate the title, but not the name, of the administrative employee or employees responsible for supervision or direction of work; describe the divergent extents of authority of each, indicating the degree, priorities, and relationships of the supervision or direction, which could range from close supervision to supervision with considerable freedom.

Report to Scholarly Communication and Special Initiatives Librarian. Exercise a high degree of independent judgment in performance of tasks.

SUPERVISION EXERCISED: Using descriptive non-numerical terms, identify the scope of supervision, training or direction exercised (i.e., whether the supervision is over a few employees, a small number of employees, a large number of employees, etc.); also, describe the degree of supervision, indicating whether close supervision or general direction is involved, and categorize the physical conditions under which the supervision is given, such as in a laboratory or an office. Supervision of student employees should not be included in this section, but may be listed under Examples of Duties, if applicable.

Hire, supervise, and evaluate student assistant employees.

EXAMPLES OF DUTIES: Please list and briefly describe several of the duties and responsibilities typically performed and assumed in this position. This list should not be restrictive but should be descriptive in such a manner as to provide concrete information representing examples of the actual work as well as the level of responsibility for the work being performed.

1. Direct the operations of the University's institutional repository, ScholarWorks @ UMass Amherst, a Digital Commons repository.
2. Provide the Library and University faculty and staff with information, training, and assistance in depositing materials into the institutional repository.
3. Monitor training and support needs for all staff in the Library as required in the changing environment of the institutional repository. Oversee accurate and timely availability of documentation for all procedures and processes.
4. Provide support for the administration of the UMass Amherst Open Access recommendation.
5. Manage communications and publicity regarding open access and scholarly communication in partnership with the University Library's Development and Communications Department. Maintain the scholarly communication web