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# Campus Open Access Funds: Experiences of the KU “One University” Open Access Author Fund

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**INTRODUCTION** In the summer of 2012, librarians from the Lawrence and Kansas City campuses of the University of Kansas (KU) proposed the creation of a KU “One University” Open Access Fund (OA Author Fund) to support open access publishing for its faculty, students, and staff. KU is a major public research and teaching institution of 28,000 students and 2,600 faculty on five campuses (Lawrence, Kansas City, Overland Park, Wichita, and Salina) (<http://ku.edu/about>), and has been a leader in open access initiatives for many years. A working group of librarians came together to create and implement a pilot project to explore the administration and impact of an open access publishing fund on KU authors, and the fund was launched in October 2012. **DESCRIPTION OF PROJECT** This report documents the group’s experience in developing eligibility criteria and administering the OA Fund. Here we provide insight into our efforts implementing the project, funding results, and plans for continuation. We share the results of the first two years of the OA Author Fund pilot and the lessons learned about open access fund administration. **NEXT STEPS** At the close of the pilot in May 2014, the OA fund review team solicited feedback from a faculty advisory group regarding grant recipients, allocation of funds by discipline, and the application process. Based on our findings, we revised eligibility criteria to create a more equitable funding opportunity for the second pilot. The fund was re-launched using these new criteria in Fall of 2014.

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## INTRODUCTION

In signing the Berlin Declaration<sup>1</sup> on October 2011, University of Kansas (KU) Chancellor Bernadette Gray-Little committed KU to “supporting the transition to the Electronic Open Access Paradigm” in part by “encouraging our researchers/grant recipients to publish their work according to the principles of the open access paradigm” (Max Planck Society, 2003).

The University of Kansas has been active in scholarly communications reform for over a decade, with significant progress made in recent years to expand opportunities for faculty and students to disseminate their scholarship via open access publishing; to inspire faculty to assert their author rights to provide broad, free access to their journal articles; and to assert KU’s place as a leader in supporting open access initiatives. KU faculty on the Lawrence campus passed an open access policy in February 2010 “asserting the rights of KU faculty to provide broad, free access to their journal publications to colleagues around the world” (<https://openaccess.ku.edu/>). In varied conversations with faculty, the university (and libraries) knew that a next step in supporting this goal would be the establishment of an open access author fund. Open access policies rely on “green open access,” or authors self-archiving each of their scholarly papers published in closed or open access journals, and rely on publication agreements and licenses granted to the university to secure the rights to do so. Open access author funds support “gold open access” by providing authors with financial support when choosing to publish in open access journals that charge an article processing fee.<sup>2</sup> With this in mind, during the summer of 2012 librarians from the main campus in Lawrence and the KU Medical Center (KUMC) campus in Kansas City formed a working group and proposed the development of a KU “One University” Open Access Author Publishing Fund (OA Author Fund) to showcase KU’s continued leadership in open access initiatives. This proposal made two key recommendations to university administration: establish a fund to underwrite article processing fees associated with publishing in open access journals that require authors to pay an “author processing charge” (APC) when the paper is accepted and to develop a pilot project, administered by the KU/KUMC Libraries, to test the creation, administration, and effects of a fund that all KU authors could use when publishing in open access journals that require fees. The librarians sought \$50,000, over a two-year period, in order to launch the pilot project.

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<sup>1</sup> The Berlin Declaration promotes the Internet as a vehicle for disseminating freely accessible knowledge, and signatories support the transition to electronic open access of research through methods listed within the document. See <http://openaccess.mpg.de/Berlin-Declaration>

<sup>2</sup> See Peter Suber’s Open Access Overview for more detail regarding green vs. gold open access: <http://legacy.earlham.edu/~peters/fos/overview.htm>

During Open Access Week,<sup>3</sup> October 2012, with financial support totaling \$50,000 from the offices of the KU Provost, KU Vice Chancellor for Research & Graduate Studies, KUMC Executive Vice Chancellor, and KUMC Vice Chancellor for Research, the KU “One University” OA Author Fund was launched. The fund’s primary goal was to expand open access publishing opportunities and heighten the visibility and accessibility of KU scholarship. In addition, our sponsors continually expressed the need to ensure that funds were paid to articles being published in journals adhering to responsible publishing practices, as outlined below. Funding was divided evenly between each year of the two-year pilot project.

## DESCRIPTION OF PROGRAM

### The open access context

Before implementing the KU OA Author Fund, the working group initiated discussions with several universities with existing open access author funds and consulted The Scholarly Publishing and Academic Resources Coalition’s (SPARC) online resources. This preliminary work provided guidance on engaging stakeholders, establishing fund guidelines, promoting the fund and its awardees, and interpreting lessons learned. (Scholarly Publishing and Academic Resource Coalition, 2010; 2014). The working group also reviewed the Compact for Open-Access Publishing Equity (COPE) website. COPE is a consortium of universities committed to supporting scholarly communication by “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” (COPE, n.d.). A COPE signatory “...commits to the timely establishment of durable mechanisms for underwriting reasonable publication charges for articles written by its faculty” (COPE, n.d.). COPE defines “durable mechanisms” as: “...the mechanisms developed by compact institutions [that] would not be short-term, experimental deployments but programs with an expectation of continuity for multiple years.”<sup>4</sup> At this time the KU OA Author Fund abides by COPE principles, but is not a COPE signatory as our sponsors have not yet identified ongoing, continuous funding.

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<sup>3</sup> Open Access Week, organized by the Scholarly Publishing and Academic Resources Coalition (SPARC), “is an opportunity for the academic and research community to continue to learn about the potential benefits of Open Access, to share what they’ve learned with colleagues, and to help inspire wider participation in helping to make Open Access a new norm in scholarship and research” (<http://www.openaccessweek.org/page/about>).

<sup>4</sup> <http://www.oacompact.org/faq/#durable>

As a result of this preliminary work, the KU OA Author Fund adopted many of the core guidelines found in other institutions' open access funds. These core guidelines include using the Directory of Open Access Journals (DOAJ) and/or the Open Access Scholarly Publishers Association (OASPA) criteria in evaluating an open access journal, excluding hybrid journals,<sup>5</sup> depositing the funded articles into an institutional repository, and encouraging grant-funded authors to request funds from their funding agency if possible. If a journal is not listed in DOAJ and the publisher is not a member of OASPA, the working group consults Jeffrey Beall's Scholarly Open Access site to determine if the publisher has been identified as a "predatory" open access publisher.<sup>6</sup> As stated in the charter, one of the goals of this project is to join KU with other signatories of COPE. The working group supports this aim by prioritizing the use of limited funds to support authors publishing in journals adhering to the responsible and sustainable publishing practices prescribed by the above mentioned organizations. While the KU OA Author Fund shares many of the same guidelines used by other universities' open access funds, there are some differences to note. First, the fund differs in that it is administered by a working group rather than single personnel. Another significant difference is that the source of funds comes solely from university administration, not the libraries' budgets. It is hoped that this approach to funding, over the long term, might insulate the OA Author Fund from the recurring budget cuts which have impacted libraries both in Kansas and nationwide.

### **Establishing the fund**

KU is fortunate to have strong leaders who actively support and champion open access initiatives. During the summer of 2012, library leadership engaged the Vice Chancellor of Research & Graduate Studies (KU), Vice Chancellor of Research (KUMC), and KU Open Access advisory board in discussions regarding the establishment of an open access author fund at KU. Librarians representing KU Libraries, KU Wheat Law Library, and KUMC-Dykes (medical) Library organized into a working group during this time, with the purpose of administering the fund. By September 2012, the working group presented a set of recommendations and a proposed implementation plan to library leadership and the KU/KUMC Vice Chancellor of Research. The recommendations and proposal were accepted, and the fund was officially launched in October 2012 during Open Access Week.<sup>7</sup>

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<sup>5</sup> Hybrid open access journals are considered to be those "that require a supplemental payment for open access on an article-by-article basis" (<http://www.oacompact.org/faq>). This practice is sometimes referred to as "double dipping" in that libraries pay for a journal subscription, and the hybrid open access journal model asks authors to pay again for access to an individual article.

<sup>6</sup> See Beall's Scholarly Open Access site at <http://scholarlyoa.com/> or his criteria at <https://scholarlyoa.files.wordpress.com/2015/01/criteria-2015.pdf>

<sup>7</sup> See Appendix A: KU "One University" Open Access Publishing Fund Working Group Charter.

## Pilot fund criteria

The recommendations and proposal presented by the working group included a set of criteria outlining author eligibility for funding. As noted earlier, these criteria were influenced by best practices at other institutions. These criteria remained in effect throughout both years of the program pilot, and are still in effect as of this writing. They are as follows:

### *Author eligibility*

- To be eligible for “One University” Open Access funds, authors must be KU, KUMC, or KU Law faculty, graduate students, post-docs or staff. The fund was limited to the KU Lawrence and KUMC Kansas City campuses during Phase I to keep the scope of the project small while the working group developed the parameters and processes for managing the fund. For Phase II, it is available to authors on all KU campuses including the main campus in Lawrence, Edwards campus, and the Medical Center campuses in Kansas City, Wichita, and Salina.
- The lead, or primary, author (if applicable) of the publication must be a KU employee or student, but any co-author affiliated with KU may submit a request for funds.

### *Article & journal eligibility*

- Eligible articles must be peer-reviewed, submitted to an open access journal, and must have a publication status of “ready to submit,” “submitted-for-publication,” or “accepted-for-publication.”
- Funds are not encumbered for articles that are still being written.
- Articles must not have been published prior to the authors’ request for funds. Already-published articles are ineligible.
- 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.
- Journals must also be published by a member organization of the OASPA or adhere to its Code of Conduct (<http://oaspa.org/membership/code-of-conduct/>).
- Journals are expected to have a standard article fee schedule publicly posted and to be listed in the DOAJ.
- Exceptions to DOAJ listing may be made if, through comparison, the journal

meets the directory's and OASPA's guidelines and the working group reviewers verify that the journal meets the eligibility standards held to all other open access publications funded.

### **Fund cap & disbursement**

- Funding is distributed on a first-come, first-served basis.
- Funds are used to pay article processing charges up to \$2,000 per article, but not color, page, or image charges. (Please refer to Table 6 on pages 17-19 for updated criteria regarding funding first-come, first-served disbursement and APC cap).
- A requesting author may use the fund once in a one year period.
- Fund disbursement requests may be made upon article submission or immediately upon acceptance. Once a request is approved, the requesting author directs the journal to send the invoice to the designated library contact, or to send a publisher's invoice to a KU email account established specifically to manage author and journal correspondence.
- Funds are paid only to publishers' invoices. Individual authors are not reimbursed or paid for retroactive publications.

### **Additional criteria**

Articles are considered eligible for funding only if there is no other source of funds available. The fund is treated as 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 agencies if they can do so. While we did fund, either fully or partially, some articles during the pilot for which the researcher received external funding, we also distributed an email response to applicants stating this expectation: "If possible, in the future please consider designating funds through your grant applications to pay for article processing fees for open access journals." The National Institutes of Health is one of several funding agencies that will now fund publication costs as part of their research grants (National Institutes of Health, 2015). If such funds are not available, we welcome applications from interested faculty, students, or staff. If funds are encumbered for a submitted manuscript that is later not accepted, those funds are then released back to the fund for disbursement to accepted articles. As a condition of acceptance, KU Libraries staff uploads the published version of each funded article to the university's digital repository, KU ScholarWorks (<http://kuscholarworks.ku.edu>).

## Marketing

- A webpage about the fund was created and complements the University's previously developed Open Access page (<http://library.kumc.edu/authors-fund.xml>; <https://openaccess.ku.edu/>).
- OA Author Fund published papers are posted at The “One University” Open Access Fund Report and in the KU Scholarly Papers Funded by the Open Access Fund KU ScholarWorks community (<http://library.kumc.edu/authors-fund-awards-report.xml>; <http://kuscholarworks.ku.edu/dspace/handle/1808/11675>).
- Library staff send periodic reminders to their liaison departments about the fund.
- Ongoing promotion and outreach occurs on the KU/KUMC Libraries' web sites .
- “KU Today” news releases (University of Kansas, 2012, 2013).

## Application procedure

Applicants are directed to apply for funding support through a web application<sup>8</sup> that collects a set of information and deposits applicant data into a shared Google spreadsheet (<http://library.kumc.edu/oa-funding-request-form.xml>). That data includes personnel information about the applicant, publisher and journal in which the paper will appear, title of the article, total APC, supporting grant information if applicable, and amount requested from the OA Author Fund. The spreadsheet allows notes to be input and saved by the working group, and tabs are available for recording review and accounting information. During the pilot, the data reported and recorded in these spreadsheets informed many of the results reported by the working group and helped to inform strategies for continuation of the fund not only into the second year of funding, but also as a permanent funding source for authors seeking to publish in open access journals.

## RESULTS

The working group sent quarterly reports to our funding sponsors, annually reported results and challenges to the Open Access Board, and responded to administrative queries throughout the pilot. Results were generated through analysis of applicant reported information, and working group data tracked within the Google spreadsheet. Final results of the two year (October 2012–May 2014) pilot program are presented on the following pages.

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<sup>8</sup> See Appendix B: KU “One University” Open Access Funding Request Form.



	<b>KU (Lawrence and Edwards)</b>	<b>KUMC (all campuses)</b>	<b>Total</b>	<b>Percent of Total</b>
Requests Funded	21	14	35	49%
Requests Denied*	19	17	36	51%
<b>Total Request Received</b>	<b>40</b>	<b>31</b>	<b>71</b>	

\* It is necessary to point out that applications that were accepted to receive OA Funds may have later been rejected by publishers and here are included in 'Requests Denied.' Requests would also be denied based on the prescribed criteria in Table 2.

**Table 1.** Results of OA Author Funds Funded or Denied, October 2012–May 2014

<b>Reason Denied</b>	<b>Number of Articles</b>
Article still in writing process	1
Article not accepted for publication	6
Hybrid journal	6
Retroactive request	1
Journal did not meet DOAJ or OASPA criteria	7
Funds encumbered at time of request	10
Incomplete application	1
Author withdrew application	1
Article in submission with traditional publisher	2
Did not respond to emails regarding article status	1
<b>Total</b>	<b>36</b>

**Table 2.** Reasons Funding Denied

	KU-Faculty/Staff	KU-Graduate	KUMC-Faculty	KUMC-Graduate
<b>Requests funded by population</b>	16	5	10	4
<b>Percent</b>	46%	14%	29%	11%
<b>Total amount spent of \$50,000</b>	\$20,318.39	\$6,324.14	\$16,789	\$4,807

**Table 3.** Results of OA Funds Used, October 2012–May 2014

- Total amount expended from OA Author Fund: \$48,238.53
- OA Author Fund expended amounts range from \$281.36 to \$2,046<sup>9</sup>
- Average amount expended: \$1,378
- Median amount expended: \$1,350

	Pre-tenure	Post-tenure	Graduate Student	No tenure status given
Requests funded	6	15	6	8
Percent	17%	43%	17%	23%

**Table 4.** Results by Tenure Status of Funded Authors (where applicable)

<sup>9</sup> The additional amount expended over the \$2,000 funding cap was due to publishers' administrative fees charged to process check payments. The OA Author Fund paid these rather than penalizing the author for our accounting practices.

Department/Center	Request funded: Faculty/Staff	Requests funded: Graduate*
Biochemistry & Molecular Biology	2	
Biostatistics	1	
Bioinformatics and Molecular Biosciences	1	
Chemistry	1	
Curriculum and Teaching	1	
Ecology & Evolutionary Biology	4	
Electrical Engineering and Computer Science	2	
Endocrinology		1
Family Medicine	1	
Global and International Studies		1
Geology		1
Higuchi Biosciences Center	1	
History and Philosophy of Science	1	
Internal Medicine	2	1
Linguistics		1
Mathematics	1	
Molecular and Integrative Physiology	1	
Molecular Biosciences	2	
Oncology		1
Pharmaceutical Chemistry	1	
Physical Therapy and Rehabilitation Science	1	
Psychology	1	2
Psychology and Linguistics	1	
Surgery-Orthopedics	1	1
<b>Total</b>	<b>26</b>	<b>9</b>

\* Includes 2 residents & 1 fellow

**Table 5.** Funded Requests by Discipline

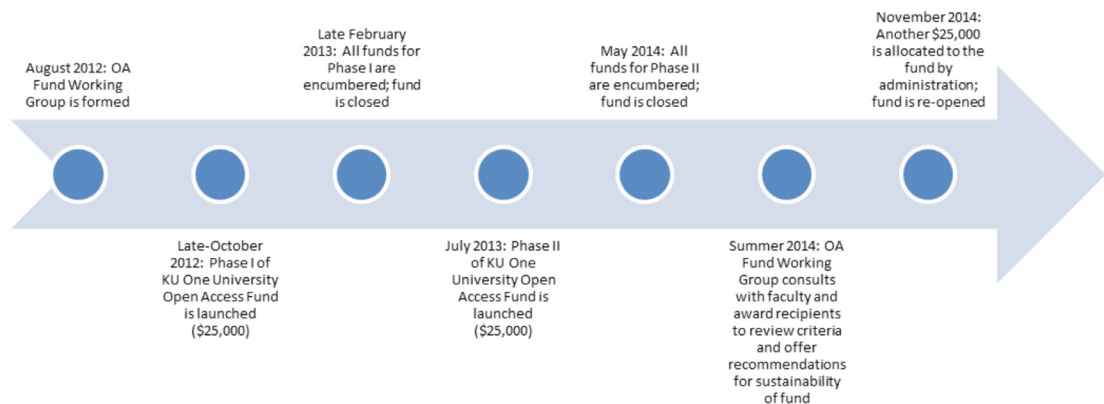
## Applicants Reporting Grant Funding

- 30 applicants reported partial or entire grant funding for research.
- 15 applicants who reported grants received OA Author Fund award.

## Results by Funding Phases

- Phase I \$25,000 was encumbered as of February 25, 2013, four months after the fund opened, with 18 KU authors receiving funding out of a total of 32 requests.
- Phase II \$25,000 was encumbered as of May 28, 2014, six months after the fund opened, with 17 KU authors receiving funding out of a total of 39 requests.

## Project Timeline



## LESSONS LEARNED

### “One University” initiatives

The working group was charged with implementing and administering an open access author fund that benefits all KU campuses and departments. Our administrative sponsors collaborated to agree upon proposed criteria and provide funding while the working group brought together librarians from three autonomous libraries with a single purpose of providing all constituents with education on open access publishing and opportunities to pursue those avenues of scholarly communication. The working group’s efforts were guided along the way by a project charter that was drafted just prior to launching the fund. The charter

served a key role in helping the group stay focused on fund implementation rather than larger discussions regarding scholarly communications reform.<sup>10</sup>

The group of librarians frequently met via teleconference, collaborated on policy matters, and convened faculty of diverse disciplines to increase understanding of their needs and practices. Because this group contained multiple and changing members in locations over 45 miles apart, diligent organization and collaborative technologies were essential to effective project administration. Benefiting from the KU Libraries subscription to Basecamp, group members actively collaborated on documents, constructed to-do lists, uploaded files, and posted messages (<https://basecamp.com/>). Almost all meeting minutes, reports, and drafts can still be found in that hub, which has facilitated data reporting and the writing of this article. The group also relied heavily on Google Drive in which application responses were directly deposited into a spreadsheet (<https://www.google.com/drive>). Group members were then able to add tabs to the spreadsheet for tracking accounting, metrics, and other data. During the assessment of the pilot project group members also collaborated on a Google Doc version of the criteria allowing for comments and real-time chat within the document.

### **Grant recipients**

It was not our intent to fund any grant recipients during the pilot, but due to multiple applications received from authors who held grants we chose to exercise flexibility in enforcing this. The applicants made compelling cases for why they needed this assistance in order to publish their work in open access journals. Authors reported remaining grants funds were needed to continue research through lab maintenance or wages for research assistants or that their funding had previously closed prior to publication of results. Through the faculty advisory committee, discussed later, we learned a great deal more about grant administration and restructured the application form in turn. The original external funding questions of the application asked, “Was grant funding used to produce this research? Does grant funding cover article processing charges?” and requested the source of grant funding. After feedback from the faculty advisory committee the form was edited to still request the source of grant funding, if it was used, but more specifically asked, “Does that grant funding allow for article processing charges or open access publishing charges? How much of the publication costs are you able to cover through grant funding or another source?” The language of the external funding questions specifically targets whether or not funding agencies are allowing awards to be budgeted for publication charges and, if so, how much of the award the author can apply to publication charges.

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<sup>10</sup> See Appendix A: KU “One University” Open Access Publishing Fund Working Group Charter.

## Accounting and expense tracking

A critical aspect of administering the OA Author Fund is accurate recording of encumbered funds and expenses paid. The working group created a second Google spreadsheet to note each applicant, whether or not funding was approved, and the amount expected to be paid as an encumbrance. As publishers' invoices are paid, the actual amount paid and payment confirmation are noted in the spreadsheet. Funds remaining for awards are tracked based on these encumbrances and expenses.

Despite frequent review of applicants and available funds, various issues contributed to difficulty in accurate tracking and disbursement of funds. First, KU has its own set of accounting and purchasing rules with which the OA Author Fund account managers must comply. This resulted in differences between how publisher invoices are handled for U.S. publishers and international publishers. Second, because international payments are subject to the monetary exchange rate the article processing amount at the time of invoice payment will likely be different than the amount the author requested. Consequently, if the amount is over the \$2,000 cap, and not due to international payment issues, a split-fund process takes place so that the authors' department can contribute the remaining amount. Split funding requires the OA Author Fund accountant to coordinate with the author's department account administrator to transfer funds from the author's department into the OA Author Fund account so that a single payment can be sent to the publisher. In other words, the publisher will not create two invoices nor can the OA Author Fund account pay only its part of the split fund on the total invoice. One solution explored was to have the author pay the total invoice and the OA Author Fund account reimburse the author. In trying this, the steps involved in complying with institutional guidelines were deemed too numerous and time consuming for this to be a viable option.

The key to resolving account tracking issues is close communication with KU's accounting and purchasing staff, and staff with this expertise must participate in the administration of the fund as members of the working group. While maintaining the OA Author Fund outside of the library budget may seem complex and rigid, its advantage is that the funding can remain there until spent rather than being subjected to fiscal year start and end dates. This has proven to be beneficial and stable for maintaining the fund.

## Quality of open access publishing

Overall, the guidelines put into place to review applications worked well. There were two instances, however, that highlighted the importance of guidelines for quality review of open access journals. At the time of reviewing an applicant for open access author funds, the reviewer will check to see if the journal's publisher is a member of OASPA, listed on DOAJ,

or adheres to the codes of conduct prescribed by those institutions. Reviewers may also check Jeffrey Beall's Scholarly Open Access list for identification of predatory practices. (<http://scholarlyoa.com/publishers/>). These checks may not always provide the full picture of a publisher's quality, such as for new open access journals. In various instances we will consider funding an article based on the author's experience with, and opinion of, a journal that has not yet been listed in OASPA or DOAJ or that has been defined as "predatory." In one example, an author wished to publish his article with a respected mathematics journal publisher that developed two new open access journals, one of which accepted the applicant's paper. This publisher was not yet listed in OASPA, nor its two OA journals listed in DOAJ; however, the journal did meet the other eligibility criteria outlined by the OA Author Fund for journals, the author made a strong case for the reputation of the publisher, and the request was funded.

Although reviewers are rigorous in ascertaining the quality of any open access journal, the working group did encounter a quality issue regarding one publisher. An article appeared in *Science* that questioned the quality control practices of open access publishers. (Bohannon, 2013). We initiated a review of all the open access journals OA Author Fund recipients published with after the Bohannon article caught the attention of our research administrative sponsors and provost, who inquired whether or not faculty were publishing in predatory journals. One of the publishers mentioned in Bohannon's article had been funded through the OA Author Fund. The author of the article published by the same journal that accepted Bohannon's article was contacted to alert him of the issue, give him the option of withdrawing his article if he chose, and solicit feedback on the peer-review process that the author experienced with that journal. The author reported back that he felt very confident with his choice of journal considering its high impact factor and commented that the peer review process "appeared normal" and that he "received a pretty fair and thorough review, and the comments from 2 reviewers were professional and constructive" (A. Reeve, personal communication, November 1, 2013). In response to the administrative sponsors, our group submitted a statement reiterating our best practices and the application review process. Due to the strenuous review already taking place to discern journal quality, there was no need for processes to change as a result of the Bohannon article or the inquiry from our sponsors.

Seven other authors were denied funding due to their chosen open access publishers not adhering to the criteria of DOAJ or OASPA. In some cases those authors went on to publish with that journal via other funding mechanisms or chose to publish in alternate journals.

## Personnel

When the working group was convened in 2012, we were unsure of how much personnel time would be needed to lead this initiative and manage the application process across

multiple campuses. The working group began with six members, but as time went on it became clear that a smaller working group to handle the application reviews could be just as effective. In moving forward, a small core OA Author Fund administration team of 2-3 members is in place that includes the accountant who oversees the funds and one librarian from both KUMC and KU Libraries to verify criteria and handle application reviews each month. Additional librarians still serve on the OA Author Fund working group to provide consulting and reporting, while other OA Author Fund project team members were added to maintain the website and application form.

## NEXT STEPS

This pilot project provided a valuable opportunity for librarians to showcase and leverage their skills in facilitation, collaboration, and expertise in open access publishing and scholarly communication. At the end of each phase of the pilot program the working group sent informal e-mail questions to authors who received OA Author Fund support. The purposes of these questions were to garner support for the program and to receive feedback on the administration of the fund. We asked:

- “How has publishing your article in an open access journal benefited you?”
- “Has the open access fund made a difference in your ability to publish your work in an open access journal?”
- “Regarding the One-University Open Access fund, do you have any suggestions for how the application process can be improved?”

Responses were positive with statements regarding the wider audience that articles were able to reach and expanded publishing opportunities. Any critiques included the need for additional funds, increased support for authors looking for reputable open access journals, and improvement of the payment process.

As the pilot program closed, the working group established an ad hoc faculty advisory committee to discuss and offer criteria change recommendations for continuation of the OA Author Fund. In the spirit of “One University” the working group hosted a discipline-diverse, three-campus videoconference for the faculty advisory committee meeting. Librarians identified faculty stakeholders representing schools and disciplines from each campus, and also previous OA Author Fund recipients. Additional feedback was collected via e-mail response. The faculty advisory committee was asked to consider the following questions: should the fund *a)* only give consideration to articles with the status ‘accepted for publication’, *b)* expand equitability of funding for authors in the humanities and social



sciences,<sup>11</sup> *c*) define criteria separately for each KU entity (KU and KUMC), and *d*) reject any applicant who reported grant funding for the research being published (we were seeking faculty comment on our decision to exercise flexibility on awarding funds to those with grant funding, or explore other ideas they had about how to approach this issue)? The committee also offered comments on the funding cap, scheduling of applicant reviews, weighted prioritization of applicants, and campaigning for fund development. The meeting with the faculty advisory committee was informative and valuable, and allowed the group to strategize a more equitable funding program as a result.

The issue of whether to provide open access publishing funds to grant recipients commanded a great portion of the discussion with the faculty advisory committee. We learned that this criteria may inadvertently penalize certain faculty and bar them from open access publishing as some grant funds really may not last to the point of publication or be budgeted for such a purpose. Additionally, various grant types and amounts are only able to be used for specific purposes within a research project. Consideration of grant recipients for funding is now weighted on the prioritization scale (see Table 6, following page), asking only, does your grant allow publication costs in the budget? This allows the OA Author Fund working group to better understand which funding agencies allow APCs as an element in their awards. The working group concluded that the nuances of various grant funding sources and their awarding institutions require more flexibility in determining whether some grant-funded applicants should be eligible for the OA Author Fund.

On the topic of promoting and growing use of the fund for humanities and social science open access publishing, the faculty advisory committee agreed that as a “One University” fund, authors in all disciplines should have equal opportunity to benefit from the fund. While our initial suggestion was to allocate dedicated funds for certain disciplines to ensure availability, the faculty recommended as a potential and experimental solution that the fund be administered following a monthly budget of \$3,000. This allows for availability of funds throughout the year hoping to catch authors at all seasons of the publishing cycle (under the assumption that the volume and regularity of STEM publishing in general might quickly expend an annual budget).

Only slight changes were made to funding criteria. During the pilot, applications were reviewed on a first-come, first-served basis, and funds were fully encumbered within four

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<sup>11</sup> The group raised the question of how to expand open access publication funding opportunities for humanists and social sciences after noting lower use of the OA Author Fund by members of those disciplines. The reasons for the lower use are not certain (possible reasons include different publishing cycles for HSS, lower APCs for HSS journals, fewer OA HSS journals, et al.), but we wanted to remove potential barriers under our control.

to six months of each phase. In order to ensure that funds would be available for an entire fiscal year, and in response to the faculty advisory committee, the OA Author Fund Review Team developed additional criteria, new eligibility standards, and different review periods (Table 6). Feedback received from the faculty advisory committee also led the OA Author Fund working group to lower the funding cap based on the pilot average APC.

	Pilot – Phase I & II	Re-Launch in Fall 2014	Reasons for change
<i>Eligibility: Authors</i>	<ul style="list-style-type: none"> <li>• Authors must be KU, KUMC, KU Law</li> <li>• Faculty, graduate students, post-docs, or staff</li> <li>• Lead author must be affiliated with KU, but any author can submit funding request if they are affiliated with KU</li> </ul>	Author eligibility remained the same	No changes
<i>Eligibility: Articles</i>	<ul style="list-style-type: none"> <li>• Peer-reviewed</li> <li>• Submitted to an open access journal</li> <li>• Have publication status of “ready to submit,” “submitted for publication,” or “accepted for publication”</li> <li>• No funds encumbered for articles still being written</li> <li>• No funds encumbered for already-published articles</li> </ul>	Article eligibility remained the same	No changes
<i>Eligibility: Journals</i>	<ul style="list-style-type: none"> <li>• 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: <a href="http://libraries.mit.edu/scholarly/hybrid-journals/">http://libraries.mit.edu/scholarly/hybrid-journals/</a>.</li> <li>• Be published by a member organization of the <a href="#">Open Access Scholarly Publishers Association</a> OR adhere to its <a href="#">Code of Conduct</a>.</li> <li>• Have a standard article fee schedule publicly posted.</li> <li>• Be listed in the <a href="#">Directory of Open Access Journals</a>. Exceptions to a DOAJ listing may be made if the journal meets other criteria and the OA funding review members verify journal credibility.</li> </ul>	Journal eligibility remained the same, with the addition of: <ul style="list-style-type: none"> <li>• Reviewers may also consult <a href="#">Beall's List of “predatory publishers”</a> to determine publisher quality.</li> </ul>	This was incorporated to state that we do consult this source and because Beall's List has had impact on applicants' publishing decisions.

**Table 6.** Criteria Changes Between Pilot and Re-Launch of OA Author Fund with Weighted System  
(table continues on following pages)

	Pilot – Phase I & II	Re-Launch in Fall 2014	Reasons for change
<i>Fund cap</i>	\$2,000 cap; do not cover color, page, or image charges	\$1,500 cap; do not cover color, page, or image charges	Lowered cap amount in order to fund more KU authors. The amount decided upon was based on average cost of funding request during Phase I & II (which was \$1,378).
<i>Fund disbursement</i>	<ul style="list-style-type: none"> <li>• Distributed on first-come, first-served basis</li> <li>• Requesting author may use the fund once in a one year period</li> <li>• There is no funding rollover</li> <li>• Disbursement requests may be made upon article submission or immediately upon acceptance</li> <li>• Funds only paid to publishers' invoices</li> </ul>	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.	This weighted priority system was implemented to award up to \$3,000 each month to those applicants most in need of funding. Eligible applicants who are not awarded in one month may reapply. A monthly distribution cap also ensures funding available throughout the year.
<i>Application review: Schedule</i>	Applications were reviewed every Monday, Wednesday, and Friday.	Monthly—applications reviewed during 1 <sup>st</sup> five business days of each month	Monthly review of applications allows reviewers to complete eligibility check and compare each applicant of the prior month by points awarded.
<i>Fund agreement with sponsors</i>	\$50,000, distributed over a two-year period (Phase I = \$25,000; Phase II = \$25,000)	Fund agreement renewed and funding amount remained the same	No changes

**Table 6 (cont'd).** Criteria Changes Between Pilot and Re-Launch of OA Author Fund with Weighted System

	Pilot – Phase I & II	Re-Launch in Fall 2014	Reasons for change
Weighted Priority Point System	N/A	Author Status: <ul style="list-style-type: none"> <li>graduate student = 5 points</li> <li>Non-tenure track, early career researcher (first 5 years) = 3 points</li> <li>Tenure-track, untenured = 3 points</li> <li>Non-tenure track (midcareer or later, longer than 5 years) = 1 point</li> <li>Tenured = 1 point</li> </ul> Does grant funding allow for APCs or open access publishing fees? <ul style="list-style-type: none"> <li>Yes = 0 points</li> <li>No = 1 point</li> </ul> First time applicant = 2 points	

**Table 6 (cont'd).** Criteria Changes Between Pilot and Re-Launch of OA Author Fund with Weighted System

A proposal with recommendations for revised funding criteria and administration was submitted to our administrative sponsors in late October 2014. That proposal was approved and \$50,000 for two years of funding reopened on December 1, 2014. In preparation for the re-launch of the OA Author Fund, the working group collaborated to establish the weighted prioritization checklist, edit the fund website, revise the application, and assign a schedule of review. A press release was distributed and librarians contacted their constituents to market availability of the OA Author Fund. Results of the fund will continue to be reported by the working group and analyzed for feasibility of the revised criteria and administration with changes to be implemented if and when necessary to maintain eligibility of responsible and sustainable open access publishing across the University of Kansas.

## CONCLUSION

The working group has consistently maintained a schedule of applicant review, generated project reports, presented to the KU Open Access Board, partnered with related campus departments such as grant administrators, posted OA Author Fund sponsored papers to the

Awards Report page and KU ScholarWorks, and remained abreast of open access publishing best practices. Moving forward the working group hopes to maintain funding support as a line item in the university's annual budget and assess the personnel time expended by these group members. Ongoing efforts to engage faculty and other stakeholders will continue in order to develop strong working relationships, so that the OA Author Fund remains a resource for KU authors for years to come. Librarians, as experts in scholarly publishing practices and fund administration, are well equipped to continue open access advocacy and inform and assist authors on publishing in responsible journals. The working group specifically embraces the learning opportunities provided through our work on such an important project and strives to meet all stakeholder needs and maintain an equitable fund across campuses and disciplines.

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## APPENDIX A

### KU “One University” Open Access Publishing Fund Working Group Charter

#### Background

In signing the Berlin Declaration\* in October 2011, Chancellor Gray-Little committed KU to “supporting the transition to the Electronic Open Access Paradigm” in part by “encouraging our researchers/grant recipients to publish their work according to the principles of the open access paradigm.”

The University of Kansas has been active in scholarly communications reform for over a decade, with significant progress made in recent years to:

- **Expand opportunities for faculty and students to disseminate their scholarship via open access publishing** (KUMC campus – funding support to cover author fees for publication in BioMed Central and PLOS (open access) journals; KU and KUMC campus – OA journal publishing through ScholarWorks, Open Journal Systems (OJS) and Archie, where over 11 journals are hosted.)
- **Inspire faculty to assert their author rights to provide broad, free access to their journal articles** (KU – Open Access Policy; Scholarly Communications Program)
- **Assert KU’s place as a leader in supporting open access initiatives** (multiple submissions by KU/KUMC faculty, staff, and administrators to the OSTP’s Request for Information regarding public access to federally-funded scientific publications and digital data; KU’s founding of the Coalition of Open Policy Institutions, COAPI)

*Given this progress, KU still lags behind its peers in one key area: providing financial assistance to cover author processing fees for faculty and students who wish to publish with open access journals.*

#### Recommendations

As a natural progression of efforts already underway...Develop a KU “one university” Open Access Publishing Fund program, to showcase KU’s continued leadership in open access initiatives.

1. Establish a fund to underwrite article processing fees associated with publishing

in open access journals that require authors to pay an “author processing charge” when the paper is accepted

2. Develop a pilot project, administered by the KU/KUMC Libraries, to test the creation, administration and effects of a fund that all KU authors could use when publishing in open access journals

### **Implementation**

1. Secure funds through contributions from grants, endowment, Provost’s Office, Research and Graduate Studies, Research Institute, and KU/KUMC Libraries. *Target amount of \$50,000, contributed by groups listed, to be used during the pilot for a two-year period.*
2. Develop an FAQ and web form to facilitate faculty and student requests for funding
3. Eligibility limited to KU-Lawrence and KUMC-Kansas City faculty and graduate students during pilot period, who do not have existing grant funding

### **Criteria for author participation**

1. Current faculty or graduate students, limited to KU-Lawrence and KUMC-Kansas City during pilot period, not currently receiving grant funding
2. Payment of “author processing fees” limited to peer-reviewed, open access journals

### **Best practices/Case studies**

1. Compact for Open-Access Publishing Equity - <http://www.oacompact.org/compact/> is a consortium of universities committed to supporting scholarly communication by “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.”
  - a. By establishing OA Author Funding for KU scholars, KU can join other signatories of COPE. Among these signatories are Cornell, Harvard, Columbia, Michigan, and Duke.
  - b. Each COPE signatory manages an OA Author Funding process that contains website information on how to request funding, guidelines for eligibility and an established article reimbursement cap.

## Options for fund distribution

1. Cover author fees on a journal-by-journal basis, provided that journals meet standards for open access publishing
  - a. Establish cost ceiling: per person, per article, per year
2. Purchase annual institutional memberships to Open Access publishers: e.g. BioMed Central, PLOS, Hindawi
3. Purchase lifetime memberships for authors: e.g. peerj.com/

\*Text of Berlin Declaration: <http://oa.mpg.de/lang/en-uk/berlin-prozess/berliner-erklarung/>



**APPENDIX B**

**KU “One University” Open Access Funding Request Form**

University of Kansas faculty, staff, and students should use this form to request funds to pay for article processing charges required by Open Access publishers. The KU “One University” Open Access Fund is supported jointly by University of Kansas and University of Kansas Medical Center.

*Author and Administrative Contact Detail*

Please provide contact details for the requesting author and the administrative contact or proxy.

Author Name:

Author Email:

Author Address:

Author Phone:

*Administrative Contact Details*

Please provide contact information for personnel submitting requests on the author’s behalf.

Administrative Contact Name (Person who will work with us on the author’s behalf.):

Administrative Contact Email:

Administrative Contact Phone:

Author Status:

- Faculty
- Graduate Student, Enrolled
- Post-Doc
- Staff
- Other:

Author’s Tenure Status:

- Pre-tenure track
- Post-tenure track
- None

*Author Status*

Please tell us about this author's academic status and appointment.

KU Campus:

- Lawrence
- Edwards
- KUMC Kansas city
- KUMC Wichita
- KUMC Salina

*Author School and Department*

Department or Research Center (e.g. Biology, History):

Is this Author also the Lead Author of the publication?:

- Yes
- No

KU 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

*Lead Author Details*

Lead Author's Name:

Lead Author's Status:

- Faculty
- Post-Doc
- Staff
- Student
- Other:

*Article and Grant Detail*

Article Title:

Journal Title:

Journal Publisher (Tip: Find journal details at <http://worldcat.org>):

Article Status:

- Ready to submit
- Submitted
- Accepted for publication
- Other:

*Grant Funding*

Was grant funding used to produce this research?

- Yes, entirely
- Partially
- No

*Grant Details*

Please tell us more about the grant that funded this research.

Source of the grant funding:

Does grant funding cover article processing charges?

- Yes, entirely
- Partially
- Not at all
- Not sure

If grant funding partially covers charges, how much does it cover? (U.S. dollars):

*Publisher Charges and Amount Requested*

Total article processing charges (U.S. dollars) (Total amount charged by the publisher):  
Amount you are requesting from the Fund (U.S. dollars):

*And, finally...*

If your request for funds is approved, we will retrieve the published version of your paper for deposit into KU's ScholarWorks or KUMC's Archie, our institutional repositories. Thank you for your interest in the KU "One University" Open Access fund. We are currently reviewing your request for funding, and expect to make a decision within two weeks. We will be in touch again via email when that process is complete.

**KU "One University" Open Access Fund Review Committee**

Contact us at - [authorsfund@ku.edu](mailto:authorsfund@ku.edu)