

The One University Open Access Author Fund at the University of Kansas Review Team Report – Pilot 2, Phase 1

Submitted by Ada Emmett on behalf of the OA Author Fund Review Team, July 1 2015

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

The One University Open Access Author Fund (OAAF) is administered by KU, KU Law, and the KUMC Libraries, with oversight from the sponsors who made contributions to the fund – KU's Provost, KU's Vice Chancellor for Research & Graduate Studies, and KUMC's Vice Chancellor for Research.

The purpose of the OA Author Fund is to encourage and support quality open access publishing for KU faculty and student research by underwriting article-processing fees associated with publishing in open access journals. KU faculty and graduate students from the Lawrence, Edwards, and Kansas City Medical campuses are eligible for funding. Pilot 2 (the second two-year pilot) of the Open Access Author Fund opened in November 2014, using revised criteria and fund distribution workflows developed after in-depth discussions with faculty stakeholders who had worked with the OAAF Review Team during the first two-year pilot.

Open Access Author Fund Criteria

Criteria for applicants and the journals in which they publish were revised based on experiences of the group during Pilot 1 and on the advice of a Faculty Consultation Group. They are summarized below.

1. Author Eligibility

All faculty, graduate students, post-docs, and staff employed by KU who work on the KU main campus in Lawrence, on KU's Edwards campus, or on a KU Medical Center campus in Kansas City, Wichita, or Salina are eligible to apply for funding. The lead author of the paper for which funds are being requested must be a KU employee or student.

2. Article Eligibility

Eligible articles must be peer-reviewed and have a publication status of "ready for submission," "submitted for publication," or "accepted for publication." Manuscripts in progress are eligible. Already paid for articles are ineligible; authors cannot be reimbursed for fees that have already been paid.

3. Journal Eligibility

Eligible journals must...

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

All detailed criteria, an online application, and additional information is at

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

Timeline

This is the first fiscal year of the second two-year pilot. After a delay in refunding and criteria revisions, the first applications, accepted in November 2014, received funding in early December 2014.

Marketing

The OA Author Fund has been marketed to faculty and graduate students in a variety of ways, mainly through direct emails and in presentations to faculty. Press releases were also posted on library websites; see an example here – <https://lib.ku.edu/news/2014/oafund>

Reviews Done Under the New Criteria

During the first pilot (FY2012-2014), applications were reviewed on a first-come, first-served basis. This resulted in the entire year's worth of funds being dispersed within four to six months of the opening of the fund. In order to ensure that funds would be available for an entire fiscal year during this second pilot, the OAAF Review Team consulted with faculty to develop additional criteria, new eligibility standards, and different review periods.

With the start of the reviews in November 2014 (second pilot for FY2014-16), the funding was distributed through a monthly competitive review process and various levels of weighted priority were assigned to applicants based on:

- A. Author's status (graduate student, pre-tenured faculty, early career research staff, etc.)
- B. Author's access to grants or other funding
- C. Author's record of previous OA funds awarded

Applications received during one month were reviewed within the first seven business days of the subsequent month. Typically, two to three applications were received each month (though the number varied from one to nine). On average, one to three requests were awarded.

Open Access Author Fund Awards, November 2014 – June 2015

	KU (Lawrence and Edwards)	KUMC (all campuses)	Total
Applications Funded (awards granted whether used or not)	8	12	20
Applications Denied	6	8	14
Total Applications Received	14	20	34

Of the 34 applications, 18 received funding, 10 were denied funding because publisher/journal did not meet OAFF criteria, 6 were rejected by the publisher, were duplicate request submissions, or had low point totals allotted in our weighted system.

Awards by Status of Author

	Grad Students	Pre-Tenure, tenure track	Early Career, non-tenure track	Mid-career, non-tenure track	Tenured
Applications Funded	7 out of 8 applications	4/10	5/5	2/4	2/7

Awards Listed by Discipline (excludes those awards we agreed to fund, but for which the funds were never utilized; i.e. the paper was not accepted, the award expired unused, etc.)

Department or Research Center	Journal Title	Amount Paid	Amount Reserved Outstanding
Applied Behavioral Science	PLoS One		\$1,350.00
Biology (EEB)	PLoS One		\$1,080.00
Chemistry	Biosensors	\$ 297.00	
Curriculum and Teaching	English Language Teaching	\$ 400.00	
Ecology and Evolutionary Biology	PLoS Genetics	\$1,500.00	
Ecology and Evolutionary Biology	BMC Genomics	\$1,575.00	
Family Medicine and Center for American Indian Community Health	International Journal of Environmental Research and Public Health	\$1,500.00	
Neurosurgery	JNLS Reports	\$ 180.00	
Pediatrics	PLoS One	\$1,350.00	
Physical Therapy / Rehabilitation	Nature and Science of Sleep	\$1,500.00	
Physiology	PLoS One	\$1,350.00	
Preventive Medicine and Public Health	Open Journal of Preventive Medicine	\$ 999.00	
Preventive Medicine and Public Health	BMC Public Health	\$1,500.00	
Psychiatry and Behavioral Sciences	International Journal of Molecular Sciences	\$ 500.00	
Psychology	Frontiers in Psychology	\$ 977.41	
Sociology; Kansas Biological Survey	BMC Complementary and Alternative Medicine	\$1,202.50	

Surgery	Journal of Emergencies, Trauma & Shock		\$ 600.00
Urology	Urology Case Reports	\$ 600.00	
Total		\$15,430.91	\$3,030.00

Distribution of Funding by Campus and Faculty/Graduate Student Status

	KU- Faculty/Staff	KU-Graduate	KUMC-Faculty	KUMC-Graduate
Awards Funded	3	5	8	2
Total Amount Paid/Outstanding	\$2,830	\$5,551.91	\$9,299	\$780

Out of the \$25,000 provided by the sponsors for the 2014-2015 competition year:

\$ 10,079.00 > KU Medical Center (all locations)

\$ 8,381.91 > KU Lawrence / Edwards

Total Amount Spent from the OA Author Fund (Nov. 2014 - June 2015): \$18,460.91

The OA Fund Review Team has decided to apply the remaining balance of \$6,539.09 to FY16.

Future Plans

After awarding the remaining money to authors each month through the end of this second two-year pilot, we hope to move this fund from its current annually subsidized pilot stage to a permanent base-funding model. We plan to have additional conversations with our sponsors this coming fiscal year on how best to achieve line-item funding for this award which supports open-access efforts at KU by assisting KU's faculty/researchers and students to publish in top-notch venues that allow for open sharing.