Institutional Open Access Funds and Hybrid OA Support: 2 Case Studies

Charles Eckman
ALCTS Scholarly Communications Interest Group Panel
San Diego, January 8, 2011
hybrid journals

- subscription-based journals that offer a fee-based option to the author enabling the publication of their article on an open access basis
OA journals

- journals that provide open access to their entire content upon publication
- business model can be based on article charges, membership fees, advertising, etc.
institutional open access funds (IOAF)

- steady growth in numbers
- generally based within library
- complement external funding sources
  - CIHR, RCUK, HHMI, Wellcome Trust...
case study: UC Berkeley

- 1868 students
  - 25,540 undergraduate
  - 10,298 graduate
- 1582 faculty
- THE World University Ranking – 8
- RPI = .7466 (#5 worldwide)
- largest number of highly ranked graduate programs in US per latest NRC study
UCB fund history

- collections budget of US$12.2m
- consortial licensing environment
  - California Digital Library
- OA memberships: PLoS; BMC
- SC conference 2005 urges faculty subventions for OA publication
- proposal to fund OA journal articles initiated in 2007
UCB stakeholder findings

- desire for hybrid support
  - society editors (experimentation and transition to OA)
  - senate committee (useful to junior faculty who need support and exposure)
- compromise @ US $1500 cap (half of the OA journal article cap) to exert cost control
- Berkeley OA fund goes live January 2008
UCB OA fund status

- 60 articles funded
  - 30 OA articles; average US $1500
  - 30 hybrid articles; average US $1280

- Value of hybrid component
  - Conversation w/ faculty (why not full reimbursement)
  - Conversation w/ CDL and some publishers re expenditures

- Only 25% UCB OA publishing requires use of the fund

- Budget US $50k per annum
  - Well under 1% of budget
who has benefited

- Environmental Sciences 14%
- Public Health 9%
- Integrative Biology 20%
- Molecular & Cell Biology 4%
- Plant & Microbial Biology 8%
- Chemistry & Chemical Engineering 11%
- Electrical Engineering & Computer Science 1%
- Civil & Environmental Engineering 3%
- Biology 1%
- Physics 7%
- Energy Resources 10%
- Biophysics 1%
- Public Policy 1%
- International Studies 1%
- Education 1%
status

- Professor: 27%
- Grad Student: 24%
- Postdoc: 23%
- Asst prof: 9%
- Assoc prof: 11%
- Researcher: 6%
case study: Simon Fraser University

- 1965
- THE World University Ranking –199
- RPI = .2603 (#289 worldwide)
- 942 faculty
- students:
  - 26332 undergraduate
  - 3981 graduate
- 133 doctorates awarded in 2009
- ranks third among Canadian universities in publication impact index (Research Infosource)
collections budget of Cdn $9m

consortial licensing environment
  ◦ Canadian Research Knowledge Network (CRKN)
  ◦ Council Prairie & Pacific University Libraries (COPPUL)
  ◦ BC Electronic Library Network (BC ELN)


Fall 2009 discussion initiated with Senate Committee

OA strategies document prepared

OA Strategies approved January 2010 and Fund goes live February 2010
proposed fall 2009 with hybrid question

senate cttee reviewed
  ◦ reviewed hybrid idea and ruled out funding
  ◦ double-dipping issue
    • declining/flat budgets
    • just coming out of serials cancellation project
    • could not see adding addl stream to existing jrnls
  • accountability questions
SFU OA fund status (month 10)

- 26 pure OA articles
- average cost Cdn $1384
- Cdn $36,000
- less than 1% of materials budget
- report due to Spring 2011 Senate Library Committee
who has benefited
general findings

- Faculty will publish OA when insulated from publication charges by funds from whatever source
  - Researchers will use extramural funds
  - An institutional OA fund safety net will be tapped
- Less than 1% of a library’s materials budget can make a big difference
- Experimentation is
  - Practiced by the publishing community
  - Valued by campus community and
  - Vital for libraries
findings regarding hybrid support

- campus stakeholder context matters
- many reasons to say “no”
  - imperfect knowledge
  - fiscal accountability
  - responsible budgeting
a gold OA transition?

- no reason in principle it couldn’t happen
- 2 of 13 COPE members support hybrid (Calgary, UCB)
- accelerate the research process
- ROI for library collection budgets
- society journals have a stake here
- studies suggest savings at systemwide level are possible
a tipping point?

- what would it look like?
- how would we know?
- what would the collection development context be?
**CD in a closed access journal publishing environment**

<table>
<thead>
<tr>
<th>Institutional Decision</th>
<th>(Local) Access</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subscription</td>
<td>access</td>
</tr>
<tr>
<td>No subscription</td>
<td>ILL/deferred access</td>
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</table>
### Developing the OA Article Collection

<table>
<thead>
<tr>
<th>Institutional Decision</th>
<th>Local Access</th>
<th>Universal Access</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OA Article</strong></td>
<td>Fund</td>
<td>Yes</td>
</tr>
<tr>
<td>Don’t Fund</td>
<td>Maybe</td>
<td>Maybe</td>
</tr>
<tr>
<td><strong>Hybrid Article</strong></td>
<td>Fund</td>
<td>Yes</td>
</tr>
<tr>
<td>Don’t Fund</td>
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## CD in a pluralist context

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<tbody>
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<td>Subscribed</td>
<td>Yes</td>
</tr>
<tr>
<td></td>
<td>Not Subscribed</td>
<td>Deferred/ILL</td>
</tr>
<tr>
<td>Hybrid Jrnl</td>
<td>Subscribed</td>
<td>Yes</td>
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barriers

- lack of trust
- principled opposition ("green" path)
- inertia ("subscription culture")
- lack of will/capacity to develop new flows, reports, practices
- imperfect information
- ambiguity
more data needed

- fund flow logistics
- cost per journal (package, consortial licensing factors)
- reports from publishers on uptake at
  - institutional and consortial levels
  - title level for both
    - subscribed journals &
    - unsubscribed journals
- better knowledge of institutional publishing pattern (article output, self-archiving, etc.)
- experience of OA funds that support hybrid
apply OA funds to new genres, conference proceedings, monographs, collected works
increased collections budgeting equity for pure OA across research universities as OA jrnls are viewed as rigorous and impactful
institutional demand for establishment of author funds (ROI)
increased structuring of collections budgets around closed/open commitment

Campus–Based Open Access Funds. http://www.arl.org/sparc/openaccess/funds/


