

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

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Group Panel

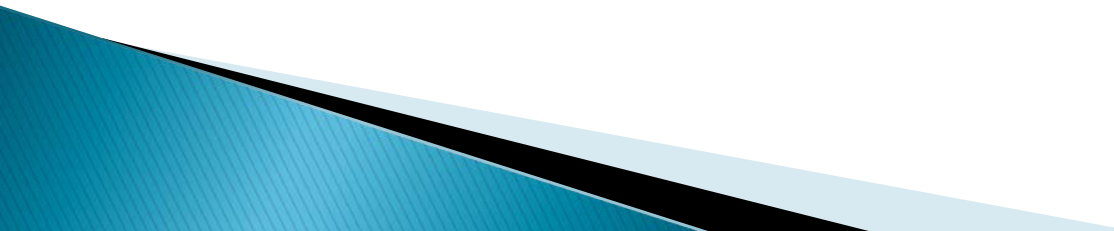
San Diego, January 8, 2011



# 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.
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# institutional open access funds (IOAF)

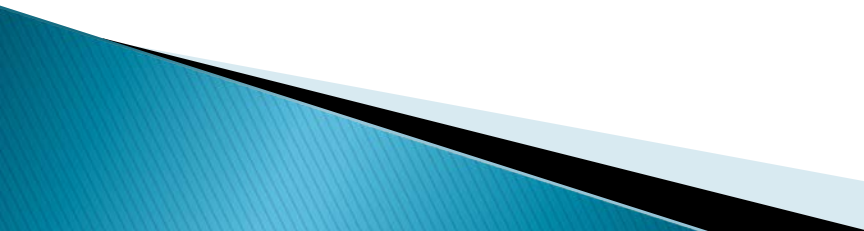
- ▶ steady growth in numbers
- ▶ generally based within library
- ▶ complement external funding sources
  - CIHR, RCUK, HHMI, Wellcome Trust...

# case study: UC Berkeley

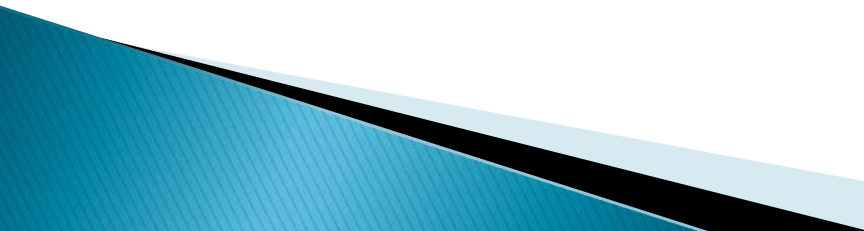


- ▶ 1868
- ▶ students
  - 25,540 undergraduate
  - 10,298 graduate
- ▶ 1582 faculty
- ▶ THE World University Ranking – 8
- ▶ RPI = .7466 (#5 worldwide)
- ▶ largest number of highly ranked graduate programs in US per latest NRC study

# 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
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# UCB stakeholder findings

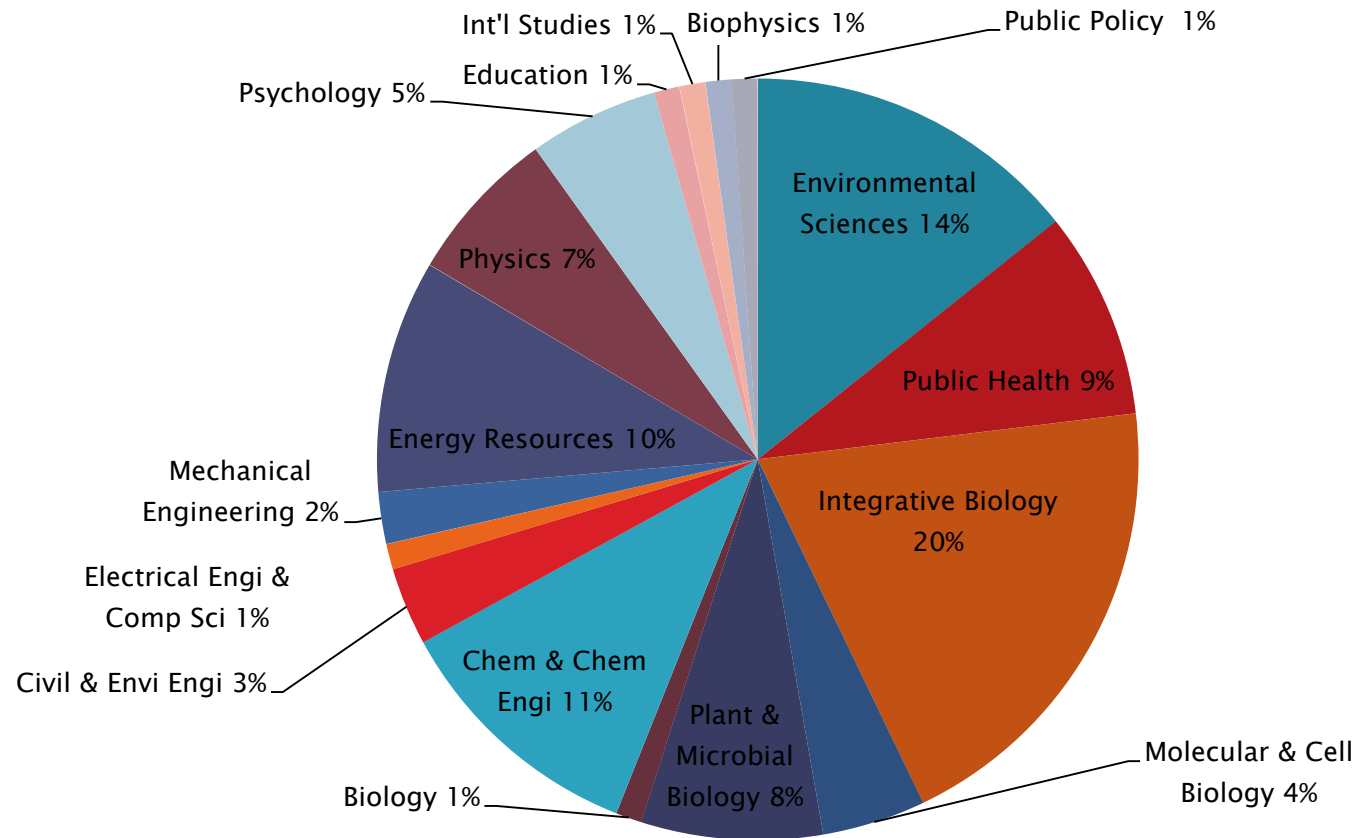
- ▶ desire for hybrid support
    - society editors (experimentation and transition to OA)
    - senate committee (useful to junior faculty who need support and exposure)
  - ▶ compromise @ US \$1500 cap (half of the OA journal article cap) to exert cost control
  - ▶ Berkeley OA fund goes live January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

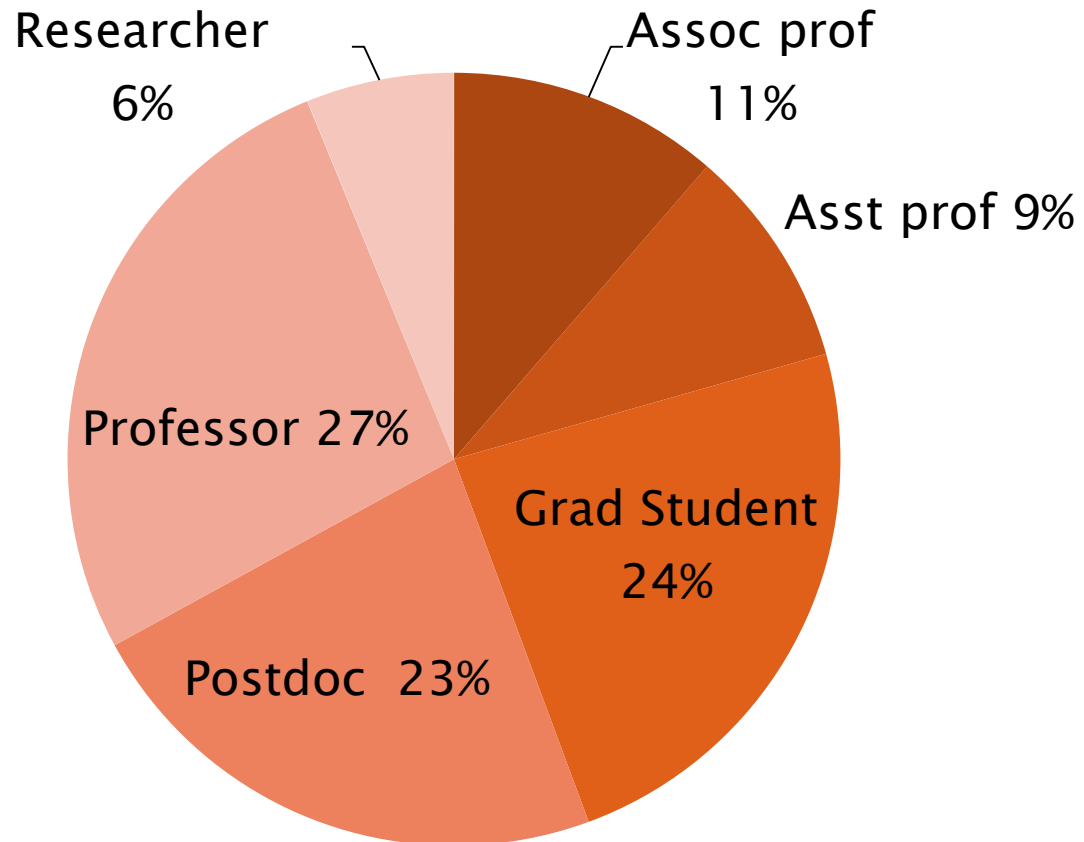
- ▶ 60 articles funded
  - 30 OA articles; average US \$1500
  - 30 hybrid articles; average US \$1280
- ▶ value of hybrid component
  - conversation w/ faculty (why not full reimbursement)
  - conversation w/ CDL and some publishers re expenditures
- ▶ only 25% UCB OA publishing requires use of the fund
- ▶ budget US \$50k per annum
  - well under 1% of budget



# who has benefited



# status



# 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)

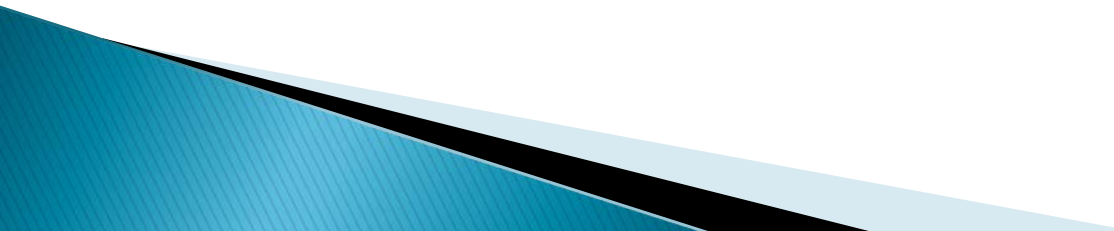
# SFU fund history

- ▶ 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)
- ▶ OA Memberships: PLoS; BMC; Hindawi.
- ▶ Fall 2009 discussion initiated with Senate Committee
- ▶ OA strategies document prepared
- ▶ OA Strategies approved January 2010 and Fund goes live February 2010

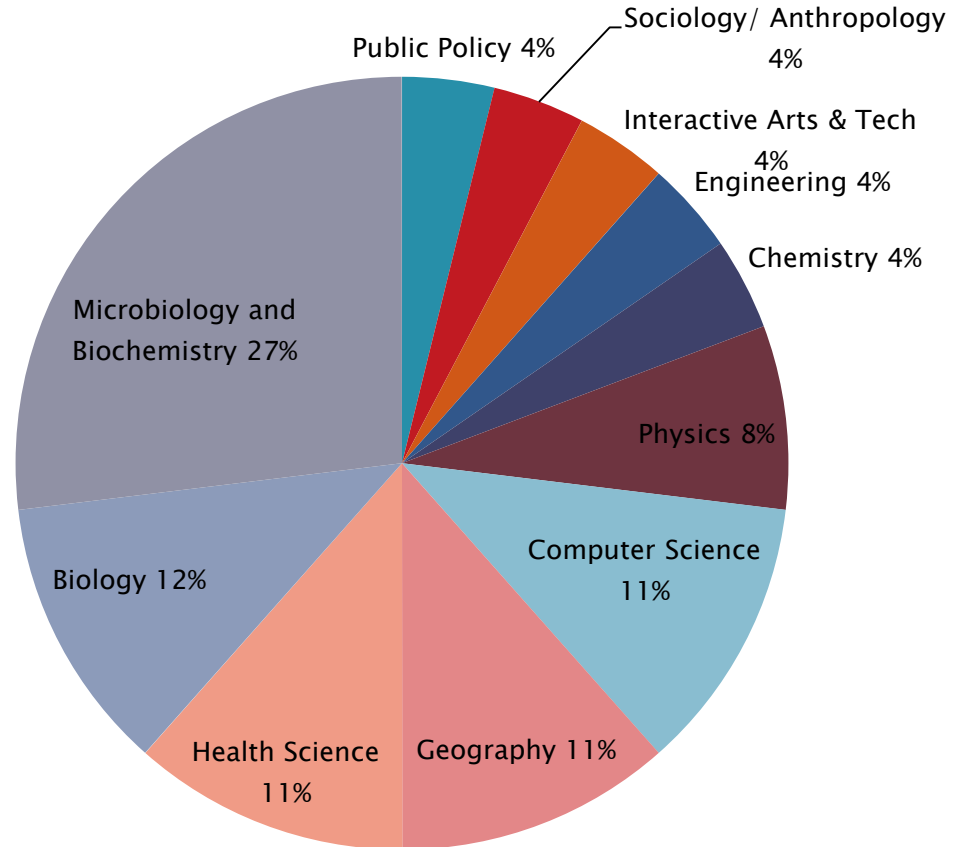
# SFU and hybrid support

- ▶ 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 jrnl
    - accountability questions

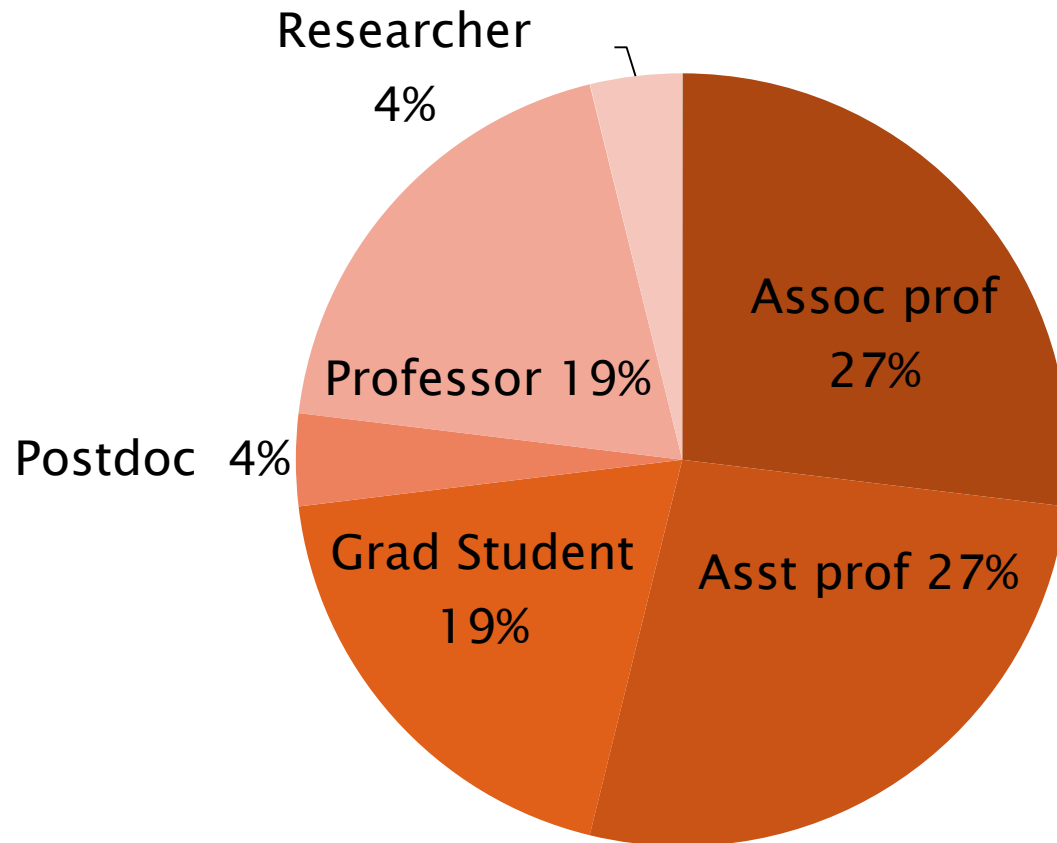
# SFU OA fund status (month 10)

- ▶ 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
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# who has benefited



# status





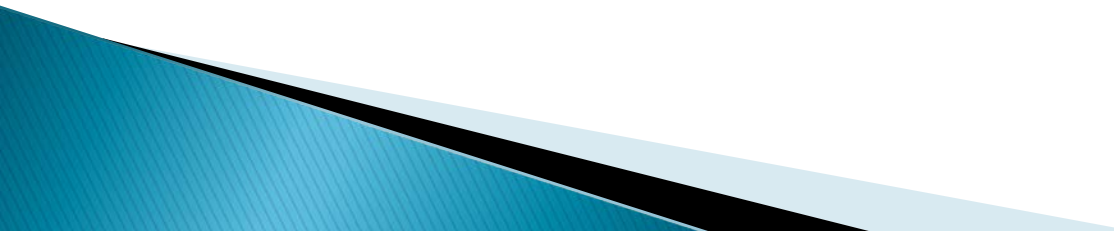
# general findings

- ▶ 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
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# 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

Institutional Decision	(Local) Access
Subscription	access
No subscription	ILL/deferred access

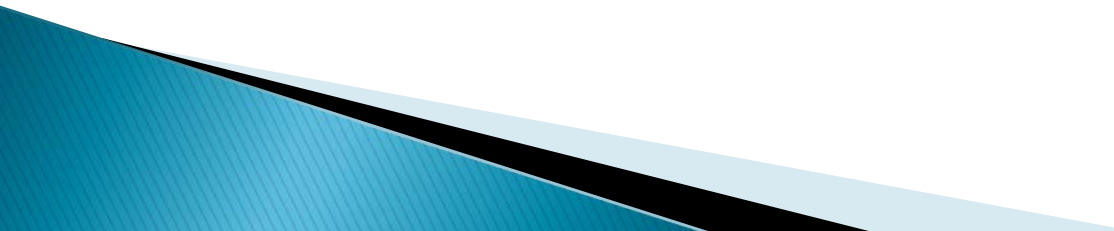
# developing the OA article collection

	Institutional Decision	Local Access	Universal Access
OA Article	Fund	Yes	Yes
	Don't Fund	<i>Maybe</i>	<i>Maybe</i>
Hybrid Article	Fund	Yes	Yes
	Don't Fund	<i>Maybe</i>	<i>Maybe</i>

# CD in a pluralist context

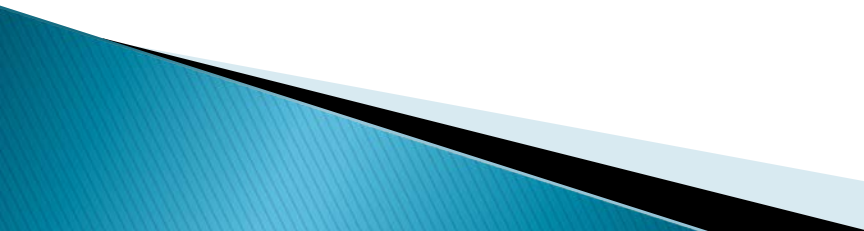
	Institutional Decision	Local Access	Universal Access
CA Journal	Subscribed	Yes	No
	Not Subscribed	Deferred/ILL	No
Hybrid Jrnl	Subscribed	Yes	<i>Maybe</i>
	Not Subscribed	<i>Maybe</i>	<i>Maybe</i>
Hybrid Article	Fund	Yes	Yes
	Don't Fund	<i>Maybe</i>	<i>Maybe</i>
OA Article	Fund	Yes	Yes
	Don't Fund	<i>Maybe</i>	<i>Maybe</i>

# barriers

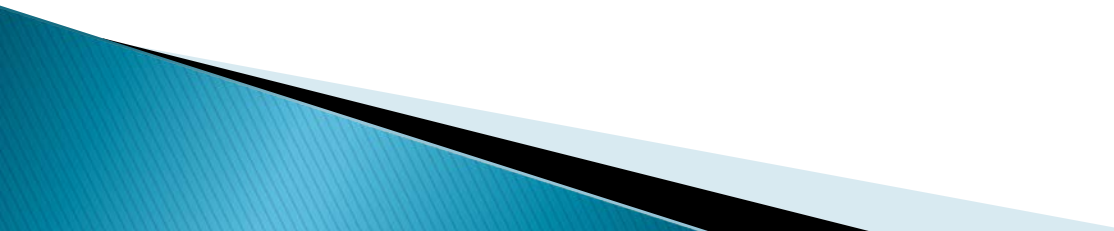
- ▶ lack of trust
  - ▶ principled opposition (“green” path)
  - ▶ inertia (“subscription culture”)
  - ▶ lack of will/capacity to develop new flows, reports, practices
  - ▶ imperfect information
  - ▶ ambiguity
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# more data needed

- ▶ 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
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# what's next?

- ▶ apply OA funds to new genres, conference proceedings, monographs, collected works
  - ▶ increased collections budgeting equity for pure OA across research universities as OA jrnl are viewed as rigorous and impactful
  - ▶ institutional demand for establishment of author funds (ROI)
  - ▶ increased structuring of collections budgets around closed/open commitment
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