

UNT Libraries

Open Access Fund Research Report

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I. Overview

In support of the University of North Texas (UNT) and the UNT Libraries' commitment to providing access to the research and scholarship of our university community and promoting open access (OA), the UNT Libraries are proposing an initiative that would allow UNT authors to apply for reimbursements related to OA publishing fees. This report presents research findings in order to help us better understand OA funds and how UNT could work toward our own OA fund.

A growing number of OA journals require authors to pay a fee, an Article Processing Charge (APC), in order to have their articles published in their journal. In addition, many traditional, subscription-based journals are beginning to offer the option to make an article OA if authors pay an additional fee, the APC. This practice of charging an APC in order to provide open accessibility to the articles is seen by many publishers as a transitional method from subscription-based models to more inclusive models of funding to incorporate OA initiatives.

The UNT Libraries' proposed UNT Open Access Fund would assist the UNT community by covering a portion of the APC for qualified, published works. This UNT Open Access Fund would heighten and further our university's commitment in promoting OA and providing access to our university's valuable research and scholarship.

In order to better understand the logistics of how the proposed UNT Open Access Fund can best meet the expectations of the UNT community and support the mission of the UNT Libraries, a thorough investigation and subsequent plan for next steps is required.

II. Definitions

1. Open Access Journal

- Open Access journals publish articles, typically electronically, and provide free, immediate access to the article with minimal or no access restrictions ("Selective list of open access," 2010).
- The Directory of Open Access Journals (DOAJ) defines an OA journal as one that "uses a funding model that does not charge readers or their institutions for access" (About DOAJ, 2012).

2. Hybrid Journal

- Traditional, subscription-based publishers are increasingly offering authors the option to pay an additional publishing fee, an APC, to allow OA availability to their article, which has coined the phrase "hybrid journal."
- The Scholarly Publishing and Academic Resources Coalition (SPARC) defines a "hybrid journal" as one in which papers may be considered OA upon financial sponsorship of the author. This is seen by some publishers as a transition method from subscription-based access to OA.

III. Open Access Funding Models

1. Overview

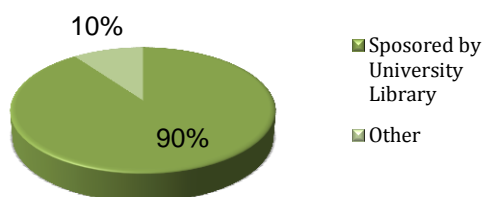
Building on the research initiatives of SPARC, thirty North American universities' OA fund initiatives were reviewed on their sponsors, eligibility, reimbursement criteria, and stipulations related to the fund. In addition, fifteen OA journal funding models and twelve hybrid journal funding models were reviewed on their average APCs and their licensing

policies. The review included consulting research by SPARC (Open-access funds in action, 2012), the University of California Berkeley (Selective list of open access, 2010), BioMed Central (Comparison of BioMed Central's, 2012), Virginia Tech University Libraries (Open access subvention fund, 2012), Tufts University (Provost's open access, 2010), and the University of Connecticut Health Center (Open access author fund, 2012). This review serves as a framework for building upon emerging best practices and outlining possible approaches and considerations for UNT.

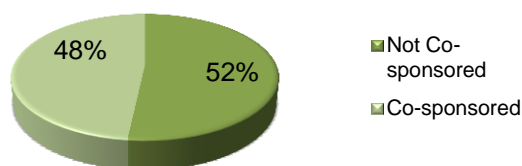
General Trends

- Of the thirty universities reviewed, twenty-seven have OA funds that are sponsored completely, or in part, by their university's library. Fourteen of the thirty universities reviewed receive co-sponsorship through other administrative or institutional initiatives.

Library Sponsorship

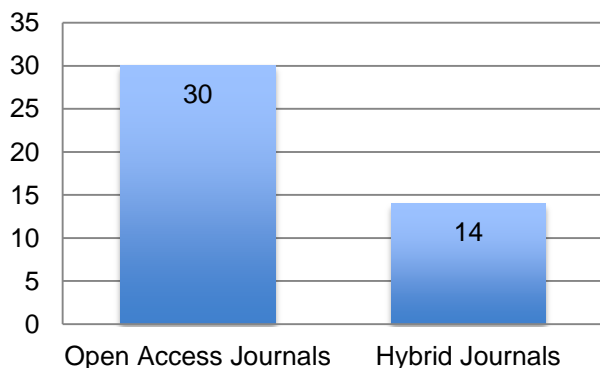


Co-Sponsorship

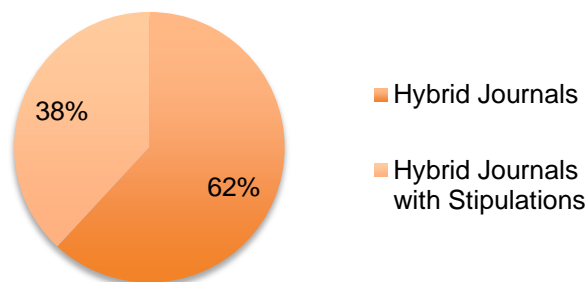


- All thirty universities reviewed accept submissions to their OA reimbursement fund only from authors affiliated with their university. Of the thirty universities reviewed, all accept submissions from faculty, twenty-six accept submissions from students, nineteen accept submissions from researchers, and fifteen accept submissions from staff.
- Of the thirty universities reviewed, all support OA journals. Fourteen also support hybrid journals, in some capacity. Of the fourteen universities reviewed that also include hybrid journals in their OA reimbursement fund, eight include specific stipulations that must also be met.

Supported Journal Types



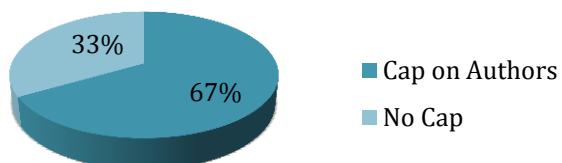
Hybrid Journals and Stipulations



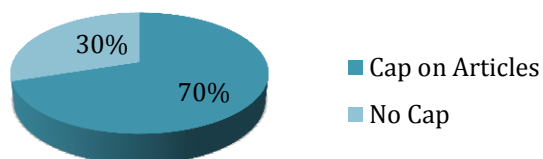
- All thirty universities reviewed stipulate that articles considered for their OA reimbursement fund be published in peer-reviewed journals. Sixteen of the universities stipulate that the journal be listed in the Directory of Open Access Journals (DOAJ) and fourteen of those also require additional stipulations for the journal.

- Of the fifteen open access journal publishers reviewed, the average OA publishing fee is approximately \$2000. Of the twelve hybrid journal publishers reviewed, the average OA publishing fee is approximately \$2600.
- Twenty of the thirty universities reviewed include a specific cap on how much funding one author may receive in a given period of time, or how many times one author may apply for reimbursement.
- Twenty-two of the thirty universities reviewed include a specific cap on the funding awarded to each article.

Caps on Author Funding



Caps on Article Funding



- Four of the thirty universities reviewed require authors who are awarded an OA reimbursement fund to also include the article in the university’s institutional repository. One university also stipulates that the university be listed as the primary affiliation of the author in order for the article to be eligible for the OA reimbursement fund.
- All thirty of the universities reviewed specify that the OA reimbursement fund will be allocated on a first-come first-serve basis, and they offer a submission form for authors to fill out either electronically or in a downloadable format. In addition, all thirty universities have established a web presence for their reimbursement funds with information on the funds.

2. Sponsors

Of the thirty universities reviewed, twenty-seven (90%) of the OA funds are sponsored by their university’s library. Fourteen of these university’s OA reimbursement initiatives are co-sponsored through other university funding entities. Table 1 below includes the specifics of the sponsorship of these universities, as well as their geographic location in North America.

Table 1: North American University OA Fund Sponsors

	University – Location	Library Sponsor	Co-Sponsor or Sponsor
1	Brock University (Canada)	Brock University Libraries	
2	Carleton College (Canada)	Carlton Library	Office of the Vice President (Research and International)
3	Columbia University (USA)	Columbia University Libraries	Information Services
4	Concordia University (USA)	Concordia University Libraries	Office of Research
5	Cornell University (USA)	Cornell University Libraries	
6	Dartmouth College (USA)	Dartmouth College Libraries	
7	Duke University (USA)	Duke University Libraries	Office of the Provost; School of Medicine

8	Grand Valley State University (USA)	G.V.S.U. Libraries	
9	Harvard University (USA)	Harvard University Libraries	Office of Scholarly Communication
10	Massachusetts Institute of Technology (USA)	MIT Libraries	
11	Memorial University of Newfoundland (Canada)	Memorial University Libraries	
12	Simon Fraser University (Canada)	Simon Fraser University Libraries	
13	Southern Illinois University (USA)	Carbondale Morris Library	
14	Tufts University (USA)		Office of the Provost
15	University of Calgary (Canada)	Libraries and Cultural Resources	
16	University of California Berkeley (USA)	U.C. Berkeley Librarian (Research Impact Initiative)	Vice Chancellor for Research
17	University of Connecticut Health Center (USA)	Lyman Maynard Stowe Library	
18	University of Florida (USA)		Office of the Provost
19	University of Michigan (USA)	University of Michigan Libraries	Office of the Provost
20	University of North Carolina Chapel Hill (USA)	Continued by UNC Chapel Hill Libraries	Office of the Vice Chancellor
21	University of North Carolina Greensboro (USA)	UNC Greensboro Libraries	
22	University of Oregon (USA)	University of Oregon Libraries	Office of the Provost
23	University of Ottawa (Canada)		
24	University of Pittsburgh (USA)	University of Pittsburgh Libraries	
25	University of Tennessee Knoxville (USA)	University of Tennessee Knoxville Libraries	Office of Research
26	University of Utah (USA)	University of Utah Libraries	
27	University of Wisconsin Madison (USA)	University of Wisconsin Madison Libraries	
28	Utah State University (USA)	Utah State University Libraries	
29	Virginia Tech University (USA)	Virginia Tech University Libraries	Office of the Vice President for Research
30	Wake Forest University (USA)	Wake Forest University Libraries	

3. Eligibility

To determine eligibility for OA funding, there are two main considerations to take into account: 1) author eligibility, 2) article eligibility. These involve careful attention to a number of individual factors.

3.1 Author Eligibility

University Affiliation and Rank

- Eight general ranks have been identified through this research study as possible candidates eligible to apply for the OA publishing reimbursement funding: 1) faculty, 2) visiting faculty, 3) adjunct faculty, 4) staff, 5) students (undergraduate, graduate, and/or doctoral), 6) researchers, and 7) alumni.
- For the eight given ranks above, the following bar graph may be obtained; Figure 1 below illustrates the current trend in author type sponsorship for the thirty universities reviewed. The complete listing of each university's policies is included in Appendix A.

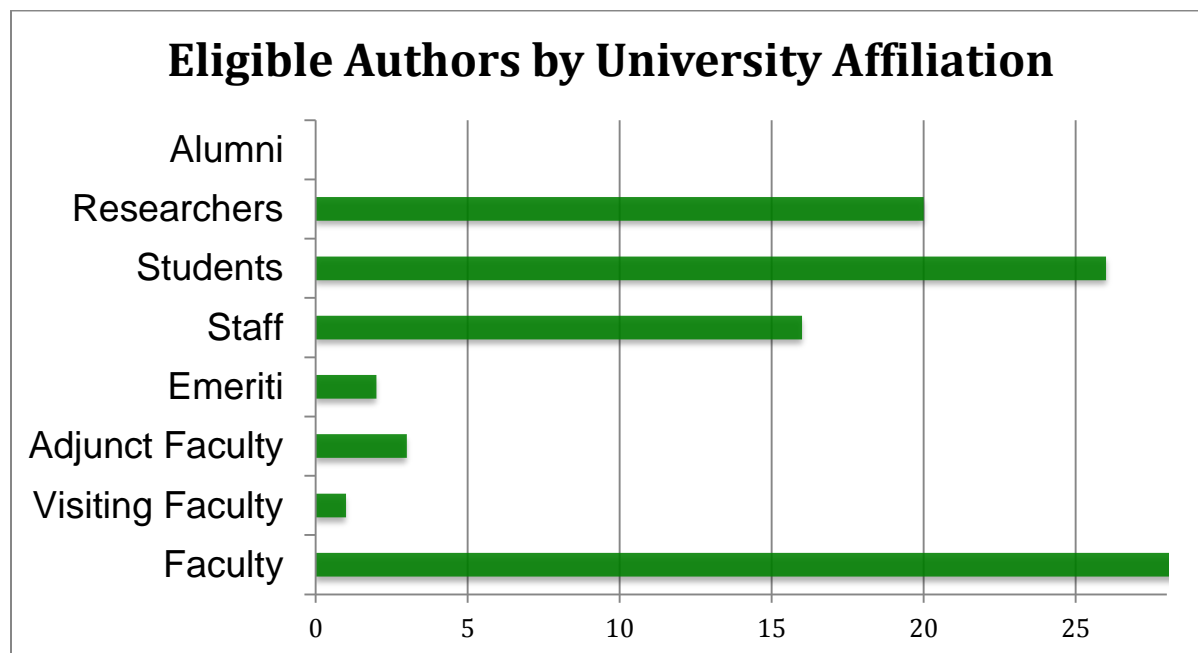


Figure 1: Eligible authors by university affiliation

- All thirty universities surveyed accept OA fund reimbursement applications from faculty and none of them allowed alumni to apply. Students are grouped together; however some universities only allow graduate or post-doctoral students to apply for the OA fund. Appendix A includes the complete listing of these and the breakdown of student eligibility.

Submissions

- All thirty of the universities reviewed accept applications for the reimbursement fund from individual authors affiliated with their university, but not for co-authors from other institutions. The authors must **individually** apply for the reimbursement fund for **each** article accepted for publication.

Funding Specifics

- If there is more than one author, it is common for the amount granted for reimbursement to be equally divided among the authors. For example, three authors facing an APC of \$1500 may individually apply for OA reimbursement funding for a total of \$500 each (i.e. the prorated amount of the total APC and number of authors). Extending this example, consider the case where one of the three authors is from a different

institution. In this second case, only the two authors at the sponsoring university are eligible for a reimbursement of \$500 each (and as before, they must still individually apply and the APC will be prorated).

- The total amount allowed to be received for a given author over a given time period varies among the universities studied. Most of these universities include in their criteria a cap amount for each author, in order to distribute the funds fairly. The cap amount appears to be related to funding, in that larger funding sources tend to result in higher caps. This is somewhat obvious in that limited funding means that not everyone will be able to get very much if this limited resource is to be distributed fairly.

3.2 Article Eligibility

Journal Types

- There are two types of publication channels to be considered for article eligibility: 1) OA journals, and 2) Hybrid journals.
- Findings from the thirty universities reviewed show that all accept applications for reimbursement for **OA** journals. Fourteen of these universities also accept applications for reimbursement for **hybrid** journals.

Hybrid Journal Stipulations

- Out of these fourteen universities that accept applications for reimbursement for hybrid journals, eight have restrictions on how these funds may be used for hybrid journal APCs. These include: 1) no embargo period, 2) allowing the author to retain certain rights to the work, 3) reduced subscription fees for the sponsoring university 4) allowing the authors to self archive work, and 5) a reduction in available reimbursement funds for hybrid journals. Table 2 below lists these university policies on OA reimbursement funds for hybrid journals.

Table 2: Restrictions on OA Fund reimbursement of hybrid journal publications

University		Hybrid Journal Restrictions			
		Embargo Period	Authors' Rights	Reduced Subscription Fee	Other
1	Southern Illinois University	No embargo	Author retains distribution rights		
2	University of Calgary			Publisher must reduce subscription fee	
3	University of California Berkeley	No embargo			
4	University of Florida				Smaller stipend paid for hybrid journals
5	University of Michigan	No embargo	Author retains copyright		Author can self-archive and fee is less than \$1500
6	University of North Carolina Chapel Hill	No embargo			
7	University of Ottawa	No embargo			Author can self-archive published

					PDF
8	University of Utah	No embargo		Publisher must reduce subscription fee	

Journal Criteria

- Of the thirty universities reviewed, all of them required that the articles eligible for their reimbursement fund be published in peer-reviewed journals.
- Of the thirty universities reviewed, sixteen stipulate that the article be published in a journal listed in the Directory of Open Access Journals (DOAJ).

DOAJ – The Directory of Open Access Journals (DOAJ) is an online database which aims to be comprehensive and include “all open access scientific and scholarly journals that use a quality control system to guarantee the content” (About DOAJ, 2012). [<http://www.doaj.org>]

- Fourteen out of the sixteen universities that require a listing in DOAJ also require the publisher of the journal to: 1) be a member of the Open Access Scholarly Publishers Association (OASPA), or to adhere to their Code of Conduct, 2) have a publicly available standard fee schedule, and 3) have a policy to waive fees in the case of economic hardship.

OASPA – The Open Access Scholarly Publishers Association (OASPA) aims to “represent the interest of OA journal and book publishers globally in all scientific, technical and scholarly disciplines. This mission will be carried out through exchanging information, setting standards, advancing models, advocacy, education, and the promotion of innovation” (Welcome to the open access, 2012). [<http://oaspa.org>]

Outside Funding Sources

- The criterion for article eligibility also requires the sponsors to decide how to handle articles with some outside funding source, such as gifts or grants. Twenty-seven of the thirty universities reviewed state in their reimbursement criteria specific policies on outside funding, such as grants.
- The three primary options that sponsors must decide are whether to stipulate that: 1) Authors must exhaust all outside funding sources first, and are then eligible to apply for reimbursement, 2) Authors with outside funding sources are not eligible to apply for reimbursement, and 3) Authors with outside funding sources who agree to match the available funding through the OA reimbursement fund are eligible for reimbursement.

Additional Publishing Costs

- Eight of the thirty universities reviewed also stipulate that the OA reimbursement fund does not cover costs for reprints, color illustrations, non-open access page charges, submission fees, administrative charges, or excess page charges.

4. Reimbursement Criteria

The reimbursement levels and amounts depend greatly on the allotted funding available. In addition, it is important to consider average publishers’ APCs, licensing options available to authors through these publishers, and discounts that publishers may offer for subscribing members and/or institutions.

Creative Commons Licensing

Creative Commons (CC) is a non-profit organization that allows authors and creators of works to place a copyright license on how the work may be used. These CC licenses enable the “sharing and use of creativity and knowledge through free legal tools” (About the licenses, 2012). There are six CC licenses available, each with its own stipulations on access, distribution, and use of work. Table 3 lists these CC licenses for reference in the next section.

Table 3: Creative Commons (CC) Licenses

	Creative Commons License	CC License Details
1	CC BY [Attribution]	Allows others to distribute, remix, tweak, and build upon your work, even commercially, as long as they credit the author(s) for the original creation
2	CC BY-ND [Attribution-NoDerivs]	Allows for redistribution for commercial and non-commercial use as long as it is passed along unchanged and in whole with credit to the author(s)
3	CC BY-NC-SA [Attribution-NonCommercial-ShareAlike]	Allows others to remix, tweak, and build upon the authors' work non-commercially, as long as they credit the author(s) and license their new creations under the identical terms
4	CC BY-SA [Attribution-ShareAlike]	Allows others to remix, tweak, and build upon author(s) work even for commercial purposes, as long as they credit the author(s) and license their new creations under the identical terms
5	CC BY-NC [Attribution-NonCommercial]	Allows others to remix, tweak, and build upon authors' work non-commercially, and although the new work must acknowledge the author(s), they do not have to license their derivative works on the same terms
6	CC BY-NC-ND	Allows others to download authors' work and share it with others as long credit is given to the author(s) and no changes are permitted for reuse

- Of the fifteen OA journal publishers reviewed, fourteen allow an author to place a CC license on their article. Eight of these OA journal publishers have specific CC licenses that are eligible.
- Of the twelve hybrid journal publishers reviewed, eight allow authors to place a CC license on their article; however these eight hybrid journal publishers do not specify which type of CC license must be used by the author.

OA Journal APCs

- Figure 2 below shows typical APCs for fifteen different **OA** journal publishers. Table 4 below further clarifies the publishers' policies on licensing. Similarly, Figure 3 below shows the typical APCs for a sample listing of twelve **hybrid** journal publishers, and is followed by Table 5, which elaborates on their licensing policies. Appendix B includes a table with these OA and hybrid journals' APCs and their policies on licensing.

OA Journal APCs

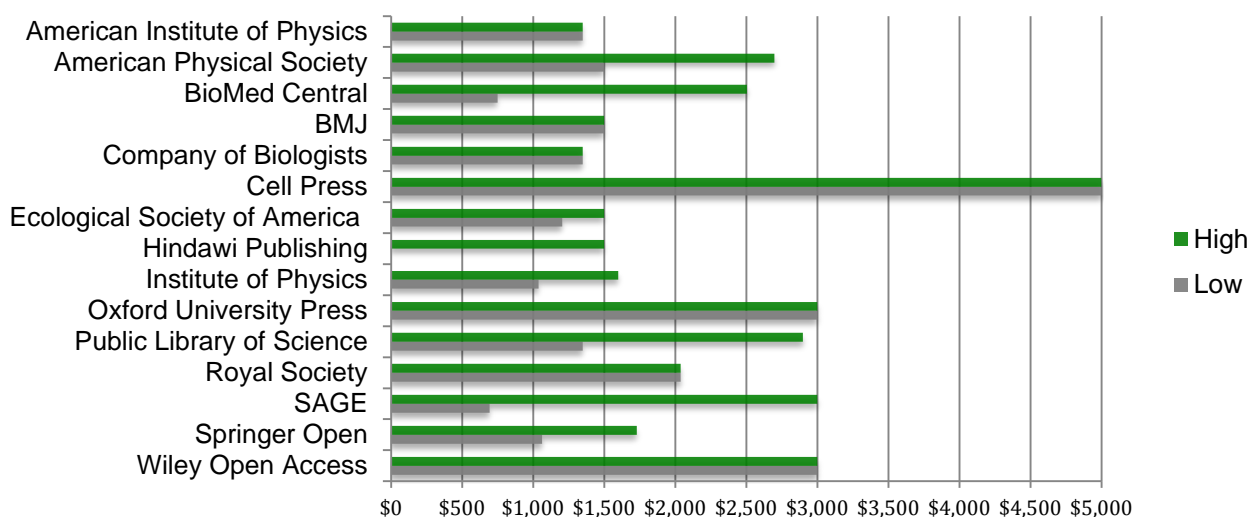


Figure 2. A sample of fifteen OA journal publishers and their corresponding OA Article Processing Fees (APCs).

- Note the range from free (Hindawi Publishing) to \$695 (SAGE) to \$5000 (Cell Press). The average cost of these fifteen sample open access publishers is \$1400.

Table 4. Licensing policies for the fifteen sample OA journal publishers

	Publisher	Creative Commons Policy
1	American Institute of Physics (AIP)	CC-BY
2	American Physical Society (APS)	CC-BY
3	BioMed Central	CC-BY
4	BMJ	CC-BY-NC
5	Company of Biologists	CC-BY-NC-ND
6	Cell Press	CC-BY or CC-BY-NC-ND
7	Ecological Society of America	Yes [No specific CC]
8	Hindawi Publishing	Yes [No specific CC]
9	Institute of Physics (IOP)	No license allowed
10	Oxford University Press	Yes [No specific CC]
11	Public Library of Science (PLoS)	CC-BY
12	Royal Society	CC-BY
13	SAGE	Yes [No specific CC]
14	SpringerOpen	Yes [No specific CC]
15	Wiley Open Access	Yes [No specific CC]

Hybrid Journals' APCs

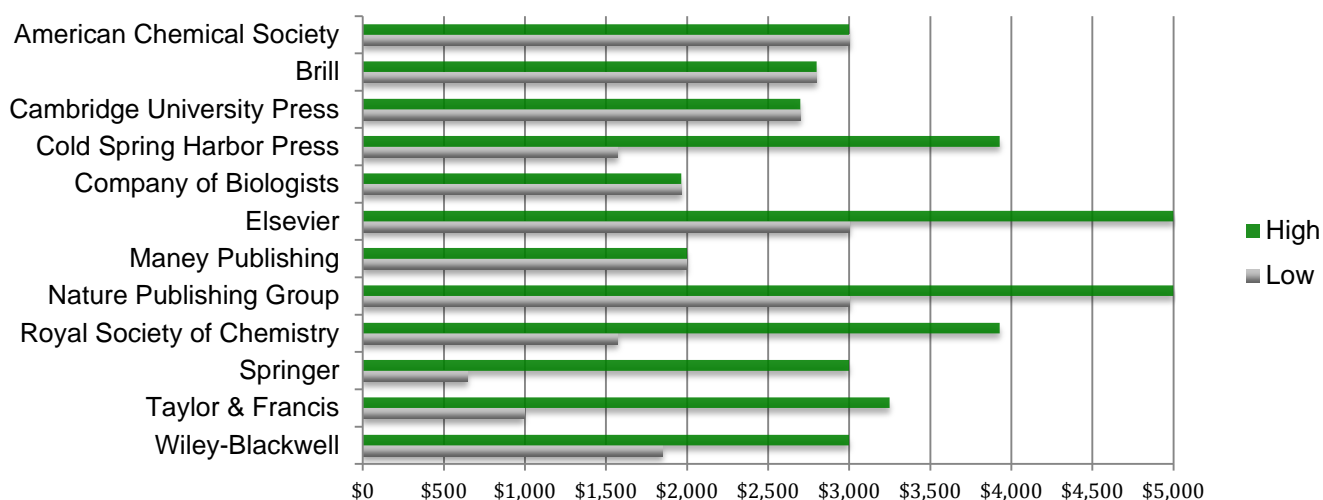


Figure 3. A sample of twelve hybrid journal publishers and their corresponding OA Article Processing Fees (APCs).

- Note the range from \$645 (Springer) to \$5000 (Elsevier and Nature Publishing Group). The average cost of these fifteen sample open access publishers is \$2000.

Table 5. Licensing policies for the twelve sample hybrid publishers

	Publisher	Creative Commons License
1	American Chemical Society	Unspecified
2	Brill	Yes [No specific CC]
3	Cambridge University Press	Unspecified
4	Cold Spring Harbor Press	No license allowed
5	Company of Biologists	Yes [No specific CC]
6	Elsevier	Varies
7	Maney Publishing	Yes [No specific CC]
8	Nature Publishing Group	Yes [No specific CC]
9	Royal Society of Chemistry	No license allowed
10	Springer	Yes [No specific CC]
11	Taylor & Francis	Yes [No specific CC]
12	Wiley-Blackwell	Yes [No specific CC]

- Publishers often offer a discounted APC to either individual authors who are members and/or institutions with subscriptions or memberships. These discounts vary, but are generally a reduced percentage of the total APC.

4.1 Reimbursement Criteria per Author

Caps on Funding

- Twenty of the thirty universities reviewed include some cap on the amount of funding disbursed either to one author or for one article. For example, an author may only be eligible to apply for a reimbursement once during the fiscal year, may only be eligible for up to \$3000 total per fiscal year, or may receive up to \$1000

per each article submitted for approval. Appendix C includes the thirty universities reviewed and their specific policies on author eligibility for reimbursement.

- The reimbursement criteria of eligible authors must be considered based on the funding available, typical OA APCs, and stipulations determined by the sponsoring entities.

4.2 Reimbursement Criteria per Article

Caps on Funding

- Twenty-one of the thirty universities reviewed include some cap on the amount of funding dispersed per article. For example, there may be a maximum limit of \$3000 that can be paid toward one article. This cap may also be determined on the APC being charged and the number of authors, depending on the established policies of the funding university. Appendix C includes the thirty universities reviewed and their specific policies on article eligibility for reimbursement.
- The reimbursement criteria of eligible articles must be considered based on the funding available, typical OA APCs, and the stipulations determined by the sponsoring entities.

5. Stipulations

Institutional Repositories

- Five of the thirty universities reviewed require authors awarded money through the reimbursement fund to also deposit their articles in their university's institutional repository. Two universities reviewed only *encourage* authors to also submit their article to their university's institutional repository and have found it a challenging part of their OA reimbursement fund project (Kevin L. Smith and Kristina Eden, personal communication, July 31, 2012). They recommend making this a stipulation (Kevin L. Smith and Kristina Eden, personal communication, July 31, 2012).

University Affiliation

- Two of the thirty universities reviewed included a stipulation that for the article to be accepted for the reimbursement fund, it must list the name of the university dispensing the fund as the author's affiliated university. For example, if the author is writing an article and is affiliated with UNT and Texas Woman's University (TWU), the author must list UNT first, as his or her affiliated university.

IV. Workflow

1. Submission Process

Criteria

- All thirty universities reviewed include a policy that states that submissions for their OA reimbursement fund will be awarded on a first-come first-serve basis. In some cases, universities also stipulate that greater consideration will be given to articles published that meet certain preferred eligibility requirements. For example, if the university's fund accepts submissions for articles published in OA journals and hybrid journals, they may include a statement that they prefer articles in OA journals and these will be given higher importance.

- Universities sponsoring an OA reimbursement fund may choose to accept articles for submission: 1) After an article is submitted and before it has been accepted for publication, 2) immediately upon acceptance for publication, 3) once the article has been published.

Forms

- The majority of universities accept reimbursement submissions electronically, and typically authors are required to log-in with their university identification. Concordia University accepts submission forms in Word format and these are downloaded and sent through internal university mail. Appendix D is the Concordia University Submission Form, as an example.

2. Reimbursement Process

Payments

- Each university handles its OA reimbursement fund process differently and this will depend greatly on the funding sponsors and whether payments can be made to individual authors, directly to publishers, or through other means.
- It is common for universities to request a copy of the publisher's invoice from the author once an article has been approved to have the OA publishing cost reimbursed.

III. Pilot Survey

1. Overview

An exploratory pilot survey was conducted in order to gain a better understanding of the UNT community's experience with OA journal and hybrid journal APCs. For this pilot survey, 170 UNT faculty members were sent a brief email questionnaire.

Twenty-eight respondents offered input on their knowledge and experience with OA journal and hybrid journal APCs. However, it is recommended that a more formal survey be created and distributed to a broader range of UNT community members with more specific questions aimed at gathering statistically sound qualitative and quantitative data.

2. Statistics

See Appendix E for the email survey sent out for this pilot survey. Appendix F includes the comments received from the twenty-eight respondents.

- Of the twenty-eight respondents, eight noted that they typically pay APCs to publish in OA journals and nine noted that they noticed more traditional, subscription-based publications charging APCs to make an article openly accessible.
- The respondents were asked if they had noticed any specific publishers charging APCs and the response includes: 1) Public Library of Science (PLoS), 2) BioMed Central (BMC), 3) Springer, 4) Elsevier, 5) Oxford University Press, and 6) Omics Group Incorporated. In addition, certain journals were noted as charging OA publishing fees including: 1) Plant Physiology, Annals of Botany, Molecular Plant, Journal of Geosciences.

- Typical fees that the twenty-eight respondents noted for APCs ranged from \$200 to \$3000.
- Seventeen of the twenty-eight respondents stated that they would be more likely to publish in OA journals, or make their work OA if they received some financial assistance from UNT.

IV. Personas

1. Overview

For the purpose of this research, four personas were created to better understand the specific needs of the UNT community in relation to OA APCs. These four personas are loosely based on the feedback from the pilot survey.

Persona 1

	Name	Interest and Need	Characteristics
Faculty Philosophy and Religious Studies	Dr. Gary Allen	<ul style="list-style-type: none"> • Very interested in open access • Very interested in financial assistance with OA publishing fees 	<ul style="list-style-type: none"> • 33 years old • Assistant Professor • Publishes 8-10 articles per year
<p>"I would love to make all of my publications OA. Having the money to do so is another matter. I would like to have financial assistance with these fees from our university."</p>			

Gary has been working as an assistant professor at UNT in the Philosophy and Religious Studies department for six years. He is involved with a great deal of interdisciplinary research and for the last three years, his research has focused on the peer review process. He supports OA initiatives and includes all of his work in the UNT institutional repository, UNT Scholarly Works. He publishes approximately eight to ten articles a year and prefers to publish his articles in OA journals because he wants his work to be openly accessible. He has been asked to pay APCs by two OA journal publishers and five hybrid journal publishers over the past year and a half. Once, one of his co-authors was able to pay with the help of his university's OA Fund reimbursement program. The other times, he was simply not able to pay the APC and had to seek other journals to publish in.

Persona 2

	Name	Interest and Need	Characteristics
Faculty World Languages, Literatures, and Cultures	Dr. Sarah Tillotson	<ul style="list-style-type: none"> • Has not been asked to pay a publishing fee • Has not published in an OA or hybrid journal. 	<ul style="list-style-type: none"> • 37 years old • Associate Professor • Publishes 5-6 articles per year
<p>"I think this is a very worthwhile endeavor, and I am pleased to learn that there might be possibilities for faculty to receive reimbursements for open access publishing expenses. I do not have any personal experiences with this, however. I have never been asked to pay a fee to publish in a journal, and I don't believe that the journals to which I typically submit are Open Access (but I could be mistaken as these things change regularly)."</p>			

Sarah is an associate professor in the World Languages, Literatures, and Cultures department at UNT. She has been working at UNT for eight years and prior to that, she taught for six years at the University of Barcelona. She publishes five to six articles per year, on average, and a third of these are in Spanish-language journals. She primarily publishes in traditional, subscription-based journals because those are the publications in her field. Also, the subscription-based journals that she typically publishes in are considered prestigious among her peers. She supports open accessibility to her work and would like wider dissemination, but she wants to ensure that she still publishes in journals that are reviewed favorably for the purposes of promotion and tenure.

Persona 3

	Name	Interest and Need	Characteristics
Faculty Geography	Dr. Ahmed Mosih	<ul style="list-style-type: none"> • Very interested in open access • Very interested in financial assistance with OA publishing fees 	<ul style="list-style-type: none"> • 47 years old • Professor • Publishes 8-10 articles per year
"Payment has influenced my publication outlets. I would publish in the most suitable outlet if payment wasn't an obstacle."			

Ahmed has been a professor in the Geography department at UNT for seventeen years. He publishes eight to ten articles per year, on average, and includes them in the UNT institutional repository, UNT Scholarly Works when permitted by the publisher. He would like more people to read and cite his articles and feels that OA will only help in achieving this goal. He has been asked by many OA journal publishers and hybrid journal publishers to pay an APC to make his work OA and he has paid this fee twice in the last year. When he cannot afford to pay the APC, he is forced to either find another publication or not provide OA for the article.

He is very interested in some assistance with these APCs through UNT. He has noticed that a few of his colleagues at other institutions have been able to receive assistance with APCs through their university and he thinks that it is important for UNT to do the same. Ahmed thinks that if UNT is going to strive to be a top tier research university, it must promote access to its research work and offer initiatives similar to other top tier research universities.

Persona 4

	Name	Interest and Need	Characteristics
Post-Doc Researcher Materials Science and Engineering	Dr. Leslie Envall	<ul style="list-style-type: none"> • Has noticed OA journals charging publishing fees • Would be more likely to publish in OA journals with financial assistance for fees 	<ul style="list-style-type: none"> • 31 years old • Post-Doc Researcher • Publishes 5-6 articles per year
"I don't publish in open access journals because the cost is high."			

Leslie is a post-doctoral researcher at UNT in the Materials Science and Engineering department. She thinks that her field is lagging behind in terms of OA publications, but that OA issues have been catching more and more attention. Leslie has found that the Materials Science and Engineering discipline as a whole is starting to move toward having more OA journals. Leslie has been asked to pay APCs for OA journals and hybrid journals and has not paid these because the cost is too high. She would be able to publish in OA journals and provide greater access to her work if she received some financial assistance with the APCs.

V. Recommendations

1. Role of the UNT Libraries

The findings from this research thus far suggest that there is a need among our UNT community for an Open Access Fund and this would be a logical extension of the core services provided through the UNT Libraries and our university. The UNT Open Access Fund would serve to promote the open availability and accessibility to the valuable research and scholarship of our university and heighten our university's status in promotion of Open Access initiatives. The question is not whether the UNT Libraries should provide this service and support, but how we can efficiently and effectively implement this into our workflow with smart approaches and sustainable strategies.

To better understand the critical decisions that must be made in order for this Open Access Fund to be successful, there are several key considerations:

- Funding availability and need
- Eligibility of authors and articles
- Stipulations placed on the funding
- Workflow for submissions and communications
- Responsibility for managing this fund

2. Approaches

Sponsors

- The UNT Libraries' commitment to support the free dissemination of our university community's valuable research and scholarship through the promotion of Open Access align with the goals of the Open Access Fund. In support of these objectives, the UNT Libraries would be an ideal sponsor for this project.
- The UNT Open Access Fund serves to strengthen and heighten our university's commitment to its valuable research and scholarship by providing the UNT community with a resource tool to make these works more accessible. These works also serve to showcase our university. It is therefore recommended that the UNT Libraries join with a co-sponsor for the funding of this initiative.

Eligibility

Eligibility requirements for this fund will depend greatly on the funding available and the goals and missions established by the sponsors for this UNT Open Access Fund. There are two main factors to consider: 1) Author eligibility, and 2) Article eligibility, each with their own specific details and criteria. It is recommended that all of these details be taken into careful consideration during this planning process.

Author Eligibility

- It is recommended that we include UNT faculty applicants for this Open Access Fund. Once the logistics and workflow have been established and we gain a better understanding of available funding, the submissions can be expanded to include a greater representation of our university's community. This recommendation will largely depend on available funding and resources.
- In consideration of the fact that many articles include multiple authors from differing institutions, it is recommended that each individual author from the UNT faculty be eligible to submit an application for reimbursement.
- In order to provide fairness and an even disbursement of available funds, it is recommended that there be a prorated amount for articles with multiple authors. This prorated amount of funding will be dependent on the total OA publishing fee and how many authors are responsible for paying this fee.
- It is recommended that there be a cap amount placed on the total availability of monetary funds per each author. This will allow for a greater disbursement of funding among the disciplines and authors of our university.

Article Eligibility

- In light of this research and findings on best practices, it is recommended that only articles published in peer-reviewed journals be considered eligible for this fund.
- Subject to available funding and resources, it is recommended that only OA journals, listed in the DOAJ and meeting specific criteria established by the sponsors be considered eligible for this fund. Once the logistics and workflow have been established and we gain a better understanding of available funding, this policy may be reevaluated.
- It is recommended that there be a cap amount placed on each article eligible for this fund. This will depend greatly on the available funding and may be reevaluated annually, based on the policies established and available funding.

Stipulations

Stipulations that may be required for the eligibility of this UNT Open Access Fund must be considered based on their overall impact on the goals developed for this initiative.

- In alignment with the goals of this pilot project and the mission of the UNT Libraries and UNT, it is recommended that each author's article that is awarded a reimbursement through the Open Access Fund must also be included in UNT's open access repository, UNT Scholarly Works.

3. Next Steps

- It is recommended that the UNT Open Access Fund be evaluated annually based on clearly defined specifications determined by the sponsors. This measure will ensure that the Open Access Fund is being fairly distributed and continues to function with efficiency and ease. In order to comply with this recommendation, an advisory committee must be appointed in order to ensure the success and sustainability of this initiative.
- It is recommended that the UNT Open Access Fund establish a web presence with information on eligibility, submission requirements, and Frequently Asked Questions (FAQs).

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Appendix A: University Policies on Author Affiliation Criteria

	University	Author Affiliation Eligibility
1	Brock University	University faculty (full- and part-time), graduate students, post-doctoral fellows
2	Carleton College	University faculty, post-doctoral fellows, graduate students; full-time professional staff named as author of research and with the lead responsibility of submitting it for publication
3	Columbia University	University faculty, post-doctoral researchers, staff, and student authors
4	Concordia University	University faculty (full- and part-time), staff, graduate students, post-doctoral fellows
5	Cornell University	University faculty, post-doctoral researchers, staff, or student authors
6	Dartmouth College	University faculty and graduate students
7	Duke University	University faculty, post-doctoral researchers, and graduate or professional students
8	Grand Valley State University	Current University tenure-track, visiting, affiliate, and adjunct faculty; staff and graduate students
9	Harvard University	Researchers at University schools that have instituted an open access policy. Faculty, researchers, staff, and students
10	Massachusetts Institute of Technology (MIT)	University faculty
11	Memorial University of Newfoundland	University faculty, graduate students, staff, post-doctoral researchers, emeriti, and honorary research professors
12	Simon Fraser University	University faculty, staff, and graduate students; Undergraduate students working under a faculty member
13	Southern Illinois University	University faculty (including tenure and non-tenure track), and graduate students
14	Tufts University	University faculty
15	University of Calgary	University faculty, staff, graduate students, and post-doctoral researchers
16	University of California Berkeley	University faculty, post-doctoral researchers, and graduate students
17	University of Connecticut Health Center	University faculty, staff, post-doctoral researchers, and graduate students
18	University of Florida	University faculty, staff, post-doctoral researchers, and students
19	University of Michigan	University faculty, post-doctoral researchers, graduate and professional students, staff, and students
20	University of North Carolina Chapel Hill	University faculty, post-doctoral researchers, graduate or professional students
21	University of North Carolina Greensboro	University faculty, full-time EPA employees, and graduate students
22	University of Oregon	University tenure and non-tenured faculty (including ranked officers of instruction, research, or administration), post-doctoral researchers, and graduate students
23	University of Ottawa	University faculty (full- and part-time), staff, graduate students, post-doctoral fellows, and adjunct professors; Researchers working with the university centers, institutes, and affiliated research institutes
24	University of Pittsburgh	University faculty, staff, post-doctoral researchers, and students (served by all University schools except the 6 schools in health sciences)
25	University of Tennessee	University faculty, post-doctoral researchers, and graduate students
26	University of Utah	University faculty, staff, post-doctoral researchers, graduate and undergraduate students
27	University of Wisconsin Madison	University faculty and researchers
28	Utah State University	University faculty and graduate students
29	Virginia Tech University	University faculty, graduate, and undergraduate students

30	Wake Forest University	University faculty
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Appendix B: OA and Hybrid Journal Publishing Fees and Licensing

OA Journal Publisher	Open Access Publishing Fee	Creative Commons License
American Institute of Physics (AIP)	\$1350	CC-BY 3.0
American Physical Society (APS)	\$1500-\$2700	CC-BY 3.0
BioMed Central	\$750-\$2505 (discount for members)	CC-BY
BMJ	\$1500	CC-BY-NC
Company of Biologists	\$1350	CC-BY-NC-ND
Cell Press	\$5000	CC-BY or CC-BY-NC-ND
Ecological Society of America	\$1205-\$1500 (discount for members)	Yes
Hindawi Publishing	Free-\$1500	Yes
Institute of Physics (IOP)	\$1040-\$1600 (varies widely)	No
Oxford University Press	\$3000	Yes
Public Library of Science (PLoS)	\$1350-\$2900 (discount for members)	CC-BY
Royal Society	\$2040	CC-BY
SAGE	\$695-\$3000	Yes
SpringerOpen	\$1065-\$1730 (discount for members)	Yes
Wiley Open Access	\$3000 (some exceptions apply)	Yes

Hybrid Journal Publisher	Open Access Publishing Fee	Creative Commons License
American Chemical Society (ACS)	\$3000 (discount for members)	Unspecified
Brill	\$2800 (+\$695 per color page)	Yes
Cambridge University Press	\$2700	Unspecified
Cold Spring Harbor Press	\$2000	No
Company of Biologists	\$1965	Yes
Elsevier	\$3000-\$5000	Varies
Maney Publishing	\$2000	Yes
Nature Publishing Group	\$3000-\$5000	Yes
Royal Society of Chemistry	\$1570-\$3930	No
Springer	\$645-\$3000	Yes
Taylor & Francis	\$995-\$3250	Yes
Wiley-Blackwell	\$1850-\$3000	Yes

Appendix C: University Policies on Author and Article Reimbursements

	University	Author Reimbursement Policies	Article Reimbursement Policies
1	Brock University	1 grant per author	Up to \$2500 per article
2	Carleton College	Up to \$5000 per year per author	Up to \$2500 per article
3	Columbia University	Up to \$3000 per year per author	Up to \$3000 per article
4	Concordia University	Up to \$3000 per year per author	No policy
5	Cornell University	Up to \$3000 per year per author	Up to \$3000 per article
6	Dartmouth College	Up to \$3000 per year per author	Up to \$3000 per article
7	Duke University	Up to \$3000 per year per author	Up to \$2000 per article
8	Grand Valley State University	Up to \$3000 per year per author	No policy
9	Harvard University	Up to \$3000 per year per author	Up to \$3000 per article
10	Massachusetts Institute of Technology (MIT)	No policy	Up to \$1000 per article
11	Memorial University of Newfoundland	Up to \$3000 per year per author	No policy
12	Simon Fraser University	Up to \$10,000 per year per author	No policy
13	Southern Illinois University	Up to \$3000 per year per author	Up to \$3000 per article (OA Journals); Up to \$1500 per article (Hybrid Journals)
14	Tufts University	1 award per fiscal year per author	No policy
15	University of Calgary	No policy	No policy
16	University of California Berkeley	Up to \$6000 per year per author	Up to \$3000 per article (OA Journals); Up to \$1500 per article (Hybrid Journals)
17	University of Connecticut Health Center	\$2500 per author or research group per fiscal year	Up to \$1250 per article
18	University of Florida	Up to \$3000 per year per author	Up to \$3000 per article (OA Journals); Up to \$1500 per article (Hybrid Journals)
19	University of Michigan	No policy	Up to \$3000 per article
20	University of North Carolina Chapel Hill	No policy	Up to \$1000 per article
21	University of North Carolina Greensboro	1 award per fiscal year per author	Up to \$1000 per article
22	University of Oregon	Up to \$3000 per author during the period of the pilot project	Up to \$1000 per article
23	University of Ottawa	Up to 2 awards per fiscal year	Up to \$2500 for OA book fees
24	University of Pittsburgh	No policy	No policy
25	University of Tennessee Knoxville	No policy	Up to \$3000
26	University of Utah	No policy	Up to \$3000 per article
27	University of Wisconsin Madison	No policy	Up to 50% (OA Journals); Up to 30% (Hybrid Journals); Up to \$1500 per article
28	Utah State University	No policy	No policy
29	Virginia Tech University	Up to \$3000 per year per author	Up to \$1500 per article
30	Wake Forest University	No policy	No policy

Appendix D: Concordia University Request for Reimbursement Form



Concordia Open Access Author Fund Request for Reimbursement

Author:

Name:	
Concordia Status:	<input type="checkbox"/> Full-time faculty member <input type="checkbox"/> Part-time faculty member <input type="checkbox"/> Postdoctoral fellow <input type="checkbox"/> Currently registered graduate student <input type="checkbox"/> Staff
Department:	
Email address:	
Phone number:	

Open Access Article:

Title of Article:	
Name s of co-author(s):	
Name of journal:	
Author's fee paid to journal:	Amount: Currency: <input type="checkbox"/> CDN <input type="checkbox"/> US <input type="checkbox"/> EUR <input type="checkbox"/> OTHER
Date article was accepted for publication:	
Date article will be published (if known):	

Please check all boxes that apply.

- I am the corresponding author of this article.
- I am currently affiliated with Concordia.
- To the best of my knowledge, I am publishing this article in a fully Open Access journal.
- I agree to deposit a copy of this article in Spectrum, Concordia's research repository.

Signature

Date

Please submit this form and additional required documentation to:

Annie Murray
VL-101-3

Appendix E: Pilot Survey Email

Pilot Survey Email

Dear _____,

The UNT Libraries are researching a potential pilot project that would allow UNT Faculty to apply for reimbursements related to open access publishing fees. A growing number of open access journals require authors to pay a fee, and many traditional journals are beginning to offer the option to make an article open access if authors pay a fee. We are working on helping to cover some of these fees.

We are currently entering the initial research phase of this project, and we would greatly appreciate any input you may have as it relates to these open access publishing fees. If you have had experiences with publishing and paying open access fees, please tell us more about it.

For example:

1. Do you typically pay fees to publish in Open Access journals?
2. Have you noticed more traditional journal publications charging additional fees to make your article openly accessible?
3. Are there specific publishers that you have noticed charging you Open Access fees?
4. Approximately how much are these Open Access fees per article/book/chapter, etc.?
5. Do you typically pay the Open Access fee? Why or why not?
6. Would you be more likely to make your article Open Access if you had financial assistance with the associated fee?
7. Have you noticed that colleagues at other institutions are offered assistance paying open access fees by their university?
8. Is there anything else that you could tell us to help us better understand your experience with this or need? Are there specific scenarios that you could tell us a little about? Any other information that you think would be helpful?

Thank you for your time and assistance with this. We hope to gather our research on this, present a proposal in the coming weeks, and would welcome the opportunity to keep you informed once the project details are finalized and we are able to accept submissions for reimbursement.

If you have any questions or would like to contact us about specifics, please email
Laura.Waugh@unt.edu

Thank you again and we look forward to hearing from you.

Appendix F: Pilot Survey Comments

Pilot Survey Comments

1. ID: 009

Assistant Professor
Biological Sciences

Comments:

1: "Yes, typically meaning that maybe 50% of my recent publications have been in open access journals."

3: "I have used PLoS and BMC, which have always had the business model of the author pays. Other journals I have used Plant Physiology, Annals of Botany, Molecular Plant, etc., will have the option to pay for open access so the article is immediately available to readers who do not have a personal or institutional subscription. I generally do not use these since the article is usually publically available after 6 months anyways."

4: "BMC is about \$1600 per article while PLoS is around \$1200. I recall 'regular' journals are charging up to \$2000 if you want your article to be open access."

5: "If I am publishing in PLoS or BMC, yes I pay the fee. In other journals I usually do not since the article is available right away to subscribers and will be available to everyone usually in six months, or they can ask me for a digital copy."

6: "Yes, it is a good thing to have it open access. The cost is what prevents me from making an article open access. \$2000 is a month of wages for a graduate student."

8: "I do not think open access journals increase the speed of publishing or readership/citations. The established "regular" journals are still more prestigious, and can get your article reviewed faster, and have greater readership and citations. Once accepted, there is not much difference in the time it takes to get the digital version of the work out. Many journals will release the paper before final typesetting, and typesetting takes open access journals just as long as regular journals. The actual print version of a regular journal may come out sometime later, but no one reads the print version anyway."

2. ID: 135

Adjunct Faculty
Biological Sciences

Comments:

"Unfortunately, I have very limited experience with publishing or paying open access fees."

3. ID: 043

Regents Professor
Chemistry

Comments:

5: "No, higher quality society and private publishers do not charge these."

8: "In chemistry, most Open Access journals are lower quality journals, which as a rule we do not publish our work."

4. ID: 048

Professor
Biological Sciences

Comments:

"I usually go for open access, and for some journals I have paid fees to publish in that mode. They can be as high as \$1000 and it would be great if UNT helped us pay them. One of the ways that I get around paying these fees is to try to publish in scientific

society journals for societies to which I belong. They will waive fees for society members – for instance, the ASPB waives open access fees for the journal Plant Physiology.”

“Open access means that your paper will be more widely read, and thus cited more. I think we should support open access as much as possible.”

5. ID: 004

Assistant Professor
English

Comments:

“Unfortunately, I do not have experience paying open access fees, so I cannot respond to these questions.”

6. ID: 152

Associate Professor
Biological Sciences

Comments:

“Some journals are open-access only, so you don’t have any choice. For those with an option to pay open-access, I usually cannot afford for the high cost fee they charge.”

“Paying open-access fee by the library is effectively helping the library to reduce the cost of subscription journals that are not in the subscription list. It also increases the availability and access by other peer researchers, thus directly impacts on the citation impact-factor when it is open access, otherwise articles published in the non-popular journals are rarely cited by peers, reducing the citation impact-factor index.”

“If UNT were to increase its research productivity into the National Research ranked university, this citation impact-factor index is the key to put UNT on the map. Otherwise, publications are usually inaccessible due to library non-subscription, effectively bury high-quality publications that UNT faculty may have on research productivity.”

7. ID: 115

Associate Professor
Economics

Comments:

“I’m afraid I have no experience with open access fees.”

8. ID: 154

Assistant Professor
Biological Sciences

Comments:

“This is the future of publishing and so it is important for us as a university to research what other Research 1 universities are doing.”

9. ID: 098

Associate Professor
Political Science

Comments:

“No, I do not publish in open access journals because I go to another source.”

10. ID: 118

Associate Professor
Counseling and Higher Education

Comments:

"I have not published in open access journals nor have my colleagues. Within our profession, these publishing formats are not considered rigorous compared to our traditional peer-reviewed journals. In that context, they would not be reviewed favorably for purposes of merit or P&T."

11. ID: 120

Professor
Linguistics and Technical Communication

Comments:

"I have not heard of open access fees before this email. Costs of publishing on-line, open access articles are minimal compared with paper publishing."

"I make all of my publications open access simply by putting them up on my web site a short time after they have been published. No publisher has yet commented on it."

12. ID: 112

Assistant Professor
Political Science

Comments:

"I do not typically pay the open access fee because the cost is high. Most academic institutions have an access to the journals in which I publish my works."

13. ID: 065

Professor
Mathematics

Comments:

"The pilot project sounds great. Although mathematics is lagging behind in terms of publication of open access journals, the issue has caught more and more attention, and the whole discipline is starting to move toward having more open access journals."

"When I apply for research funding, we can now request funds for publication costs associated with open access journal fees. Thus in disciplines where open access journal publications are the norm, it makes sense for the university to assume the publication cost if no other funding is available. This is similar to reimbursements for faculty to travel to professional conferences."

"Nowadays it costs nothing to make the publication available to the general public, but the prestige associated with journals and series is still important in establishing the reputation of the researcher."

14. ID: 093

Professor-Chairperson
Economics

Comments:

"I have never had to pay an open access fee, so I don't have an opinion on this."

15. ID: 129

Professor
Geography

Comments:

“Such support will make me less selective in publication outlets. I would publish in the most suitable outlet if payment wasn’t an obstacle.”

16. ID: 168

Associate Professor
Engineering Technology

Comments:

5: “I usually do not publish papers in open access journals. I prefer to use preferred journals.”

6: “The financial assistance will promote publications in open access journals.”

8: “I do not publish massive journal papers yearly. The proposed financial assistance may help other faculty more.”

17. ID: 040

Professor-Chairperson
World Languages, Literatures, and Cultures

Comments:

“I think this is a very worthwhile endeavor and I am pleased to learn that there might be possibilities for faculty to receive reimbursements for open access publishing expenses. “

“I have never been asked to pay a fee to publish in a journal and I don’t believe that the journals to which I typically submit are open access, but I could be mistaken as these things change regularly.”

18. ID: 079

Assistant Professor
Finance, Insurance, Real Estate & Law

Comments:

“If UNT provides assistance in this area, I will personally apply for such reimbursement. Ultimately, when I publish an article, I would like more people to read and cite my article. Open access will only help in achieving this goal.”

19. ID: 160

Professor-Chairperson
Electrical Engineering

Comments:

“I have not participated in open access publishing in journals requiring a fee.”

20. ID: 159

Associate Professor
English

Comments:

“Honestly, this is all new to me. The journals in which I publish have never been charged such fees. I have never been asked to pay them.”

21. ID: 051

Assistant Professor
Biological Sciences

Comments:

"I do have to ask my department for help paying for some of the fee. However, department fund is very limited. It will be really great if the University can help."

22. ID: 035

Associate Professor
Kinesiology, Health Promotion and Recreation

Comments:

"I would not pay the open access fee because I believe all research should be publically disseminated and for free. I would be willing to offer my article to the public for free."

23. ID: 050

Assistant Professor
Geography

Comments:

1: "I was recently asked to pay a publication fee of \$1800. I have never used open access, mainly because I don't have a budget for it."

8: "Right now, I am hoping to get assistance for the publication fee of \$1800 mentioned in item 1 above. I spent many days for that editorial and I believe that many scientists in geosciences will be interested in the editorial."

24. ID: 082

Assistant Professor
Philosophy and Religion Studies

Comments:

"I used some of my IDCs from grants I had been awarded to make one article open access. I believe the amount was \$2500. I also know for a fact that Springer and Oxford are charging \$3000 to make articles in traditional journals open access."

"I would love to make all of my publications open access. Having the money to do so is another matter – I typically don't have it."

25. ID: 157

Assistant Professor
History

Comments:

"As it happens, none of the journals that I publish in (thus far) are open access, so I don't have much to pass along on the below. When that changes (that is, the history journals get on board) I will be sure to follow up."

26. ID: 102

Professor
Physics

Comments:

"Approximate charges are \$500 for a 10 page article. I have not paid so far. My co-authors (not from UNT) have paid."

"There is always an option to pay from a grant, if it is really necessary. In physics there are a few most important journals which are accessible practically at any university. Publishing in these journals you do not need to worry about accessibility to your research for others."

27. ID: 133

Assistant Professor
Chemistry

Comments:

“Lower tier publishers often have mandatory fees, higher tier the open access fees are optional. I have paid them, but only when required.”