

## UC Open Access Fund Benchmarking Survey Results

On February 8, 2022, Allegra Swift (UCSD) and Anneliese Taylor (UCSF) emailed a survey to the UC's Scholarly Communication CKG to collect data from all UC libraries about open access funds at each campus. Open access funds were described as a pool of funds where individual faculty, students, or other campus individuals can request funds to help them pay for article processing charges, book processing charges, or open educational resources.

Each campus was asked to respond even if they did not currently have an operating OA fund. One individual from each UC library was asked to complete the survey on behalf of that campus and was directed to consult with others in the library if necessary to gather all the pertinent information.

We are grateful to our colleagues at all 10 campuses who gathered the information and completed the survey:

UCB	Timothy Vollmer	Scholarly Communication and Copyright Librarian
UCD	Michael Ladisch	Scholarly Communications Officer
UCI	Mitchell Brown	Scholarly Communications Coordinator
UCLA	Martin Brennan	Scholarly Communication Education Librarian
UCM	Donald Barclay	Deputy University Librarian
UCR	Michele Potter	Collection Strategist for Science, Technology, Engineering & Mathematics (STEM)
UCSB	Lidia Uziel	Associate University Librarian for Research Resources and Scholarly Communication
UCSC	Martha Stuit	Scholarly Communication Librarian
UCSD	Allegra Swift	Scholarly Communications Librarian
UCSF	Anneliese Taylor	Head of Scholarly Communication

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# Fund History and Current Status

In 2012-13, CDL provided \$10,000 'seed funding' to all UC libraries in order to establish open access funds to support direct requests from the campus community for article processing charges (APCs), book processing charges (BPCs), and/or open educational resources (OERs). This funding was to be matched by campus funding.

**Q1. Did your campus have an open access fund in place prior to the seed funding provided by CDL in FY 2012-13?**

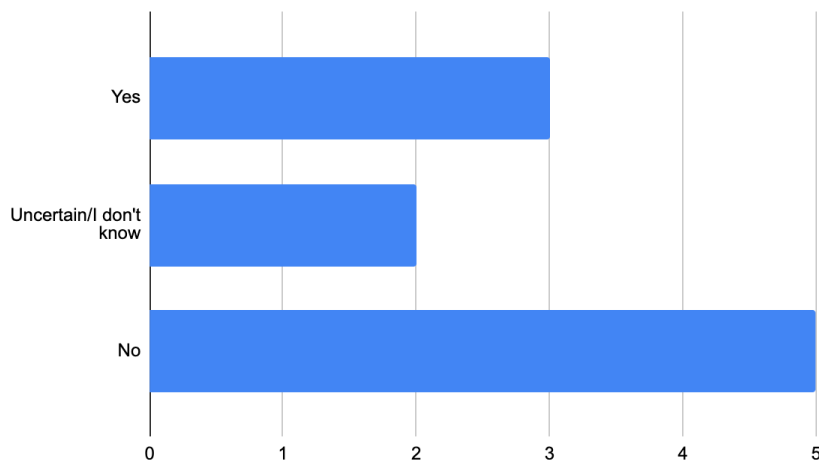
**Q2. Did your campus use the seed funding to set up and/or continue to run a fund?**

**Q3a. Does your campus currently have an open access fund to support any kind of OA publication or OER funding requests?**

**Q3b. ('Yes' responses) When did your current fund begin? (provide month and year or your best estimate)**

Three campuses had an open access fund prior to the CDL seed funding: UCB, UCI, and UCR. The remaining seven either did not have a fund in place, or do not have records of such a fund.

Fund prior to 2012?



	Fund before seed funding?	Use of 2012 seed funding from CDL*	Current OA fund?	Current fund active since
UCB	Yes	Other	Yes	January 2008
UCD	Uncertain	Yes, continuous	Yes	November 2012
UCI	Yes	Yes, and replenished through 2014	No	
UCLA	No	Other	No	
UCM	No	Yes, until it ran out	No	
UCR	Yes		No	
UCSB	Uncertain	Uncertain	Yes	July 2016
UCSC	No	Yes, until it ran out	No	
UCSD	No	Yes, and replenished for 3 years	Yes**	2016
UCSF	No	Yes, and replenished for 2 years	Yes***	May 2015

\* Survey response options for this question were:

- No, my campus declined the funding and did not establish an OA fund
- Yes, but only until the seed funding ran out
- Yes, and we replenished and kept the fund running for the following number of years \_\_\_\_
- Yes, and we've kept our fund running continuously since then
- Uncertain/I don't know
- Other \_\_\_\_\_

\*\* UCSD ran the OA fund for APC from 2012-2015. Initially the money ran out in the first 3-4 months and then the UL added more money to the fund to get us through the year. The supplemental funds were quickly dispersed and this model was found to be unsustainable. The fund was adjusted in 2016 to non-APC initiatives and models in response to the growth in these areas and the unsustainability of APC funds. The fund continues to support Luminos BPC.

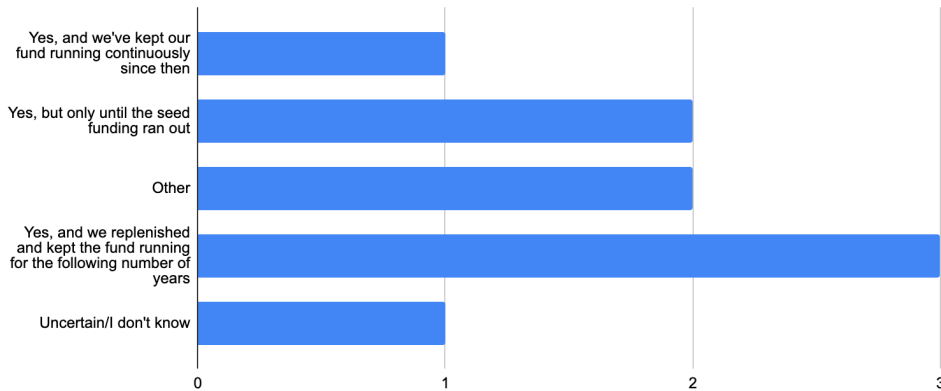
\*\*\*UCSF shut down its fund in April 2022, after this survey was conducted.

Other responses:

UCB: UCB already had the Berkeley Research Impact Initiative (BRII) fund, setup in 2008 through a joint sponsorship between the Library and Vice Chancellor for Research. I believe UCB put that \$10,000 into the BRII fund at that time.

UCLA: We used the funds to create a grant program to encourage use of open materials in courses

Did your campus use the seed funding to set up and/or continue to run a fund?



**Q4a. ('No' responses) Is your campus planning to establish or thinking about establishing an OA fund to support APCs and/or BPCs?**

**Q4b. If No, please briefly describe why your campus decided not to have an APC/BPC fund.**

**Q4c. If Maybe, please tell us briefly about your considerations.** *[no responses]*

**Q4d. If Yes, what is the anticipated start date for your fund?** *[no responses]*

**Q5. If you do not have an active fund, select the option below to skip to the end and complete the survey. Or, if your campus' fund is not yet active but you'd like to provide responses about planned policies, budget, staffing & resources, select advance to the next section.**

None of the 5 campuses without a current subvention fund plan to establish an OA fund to support APCs and/or BPCs. The deciding factors echoed across the campuses were the lack of administrative support, staffing concerns, and sustainability.

Campuses answering "no"	Reason for not planning to set up an APC- or BPC-based fund
UCI	Experience with the 2013-14 pilot suggested that the amount of money would not cover the anticipated number of requests. When the fund was supplemented and still ran out the fund was closed.
UCLA	We thought it was not a good return on investment for APCs. We have [been] supporting Book/OER funding in recent years.
UCM	The library would certainly be interested, but it would take external support that just is not there. Establishing [an] APC/BPC fund is not something that campus leadership considers a priority.
UCR	Cost and administrative overhead

UCSC	UCSC is investing in the systemwide approaches to OA through transformative agreements, publisher discounts, subscribing to open access books, and UC OA policies for green OA in eScholarship.
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All campuses that did not have an active open access fund skipped to the end of the survey after this question and completed their response. The 5 campuses with active funds (UCB, UCD, UCSB, UCSD, and UCSF) completed the rest of the survey.

## Policies

Five campuses responded that they had an active OA fund and answered the questions that follow.

### Q6. What OA material types does your campus fund? Select all that apply, and please provide the maximum dollar amount per publication per category

Most funds support publication of peer-reviewed scholarly articles, books, and book chapters. One campus fund supports open educational resources (OER), though no funding went towards that category in the latest fiscal year. Funding support for journal articles is either \$1,000, \$2,000, or \$2500. UCSB funds journal articles only and stated that there was “no max dollar amount at the moment”.

### Q7. Approximately how many publications or other resources does your fund support per fiscal year? Please provide the number of paid funding requests by category for the most recent full fiscal year.

	UCB	UCD	UCSB	UCSD	UCSF
<b>Scholarly articles (peer-reviewed) cap</b>	\$2500	\$1000	No cap		\$2000
# of articles funded	83	291	55		93
<b>Book cap</b>	\$10,000	\$15,000		\$5000	\$5000
# of books funded	3	4		2	

<b>Book chapter cap</b>	\$2500	\$1000			\$2000
# of chapters funded		5			
<b>Open educational resources cap</b>	\$5000				
# OERs funded					

**Q8. Does your fund overlap with the UC Transformative Agreements?**

The five campuses with current OA funds do not fund articles covered by the UC Transformative Agreements (TA). UCB gave a caveat that they do cover articles for journals that are excluded or not yet covered by the TAs. While it was not called out by UCD, UCSB, or UCSF in their responses, all three campuses also cover qualifying articles in journals that are excluded or not yet covered by a TA.

**Q9. What categories of individuals may apply for funding? (select all that apply)**

	UCB	UCD	UCSB	UCSD	UCSF
Faculty	✓	✓	✓		✓
Emeritus faculty		✓			✓
Postdoctoral scholars	✓	✓	✓		✓
Research fellows	✓	✓	✓		✓
Staff	✓	✓	✓		✓
Resident physicians		✓			✓
Librarians	✓	✓	✓		✓
Graduate students	✓	✓	✓		✓
Professional students	✓	✓			✓

(schools of medicine, nursing, etc.)					
Undergraduate student		✓			N/A
Other	any employee categorized as "academic staff"	all affiliated UCD authors		this would be for Luminos - so probably only authors who were [accepted] and in scope	

**Q10. Does your fund support marginalized researchers and scholars(based on race, gender, sexual orientation, ability, discipline, career-stage, or otherwise)in any way?**

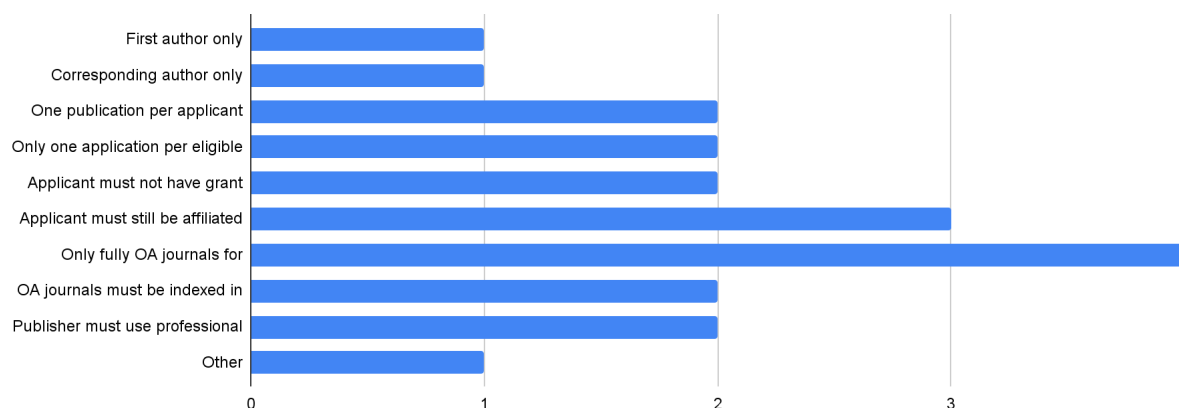
**Q11. Please tell us more about your response to the question above.**

Campus	Response	Explanation
UCB	Yes	We say on the website that "The BRII program especially encourages applicants from the humanities and social sciences; graduate students and assistant faculty are also encouraged to apply."
UCD	Uncertain	The fund does not specifically support marginalized authors, but funding is approved for any UCD affiliated author.
UCSB	Uncertain	We don't have those criteria in place for our OA fund.
UCSD	No	not directly, there is no policy or criteria
UCSF	Yes	UCSF's fund began accepting funding requests from students and staff (postdocs, staff researchers, etc.) in 2019 when the Library began funding it (previously it was funded by Academic Senate and limited to faculty applicants). At the end of 2021 we excluded faculty from applying for funds due to budget reductions, so we now target students, staff, and early career researchers. We also fund all applicants who are in the eligible job series and whose publication meets the criteria, thereby providing support to all authors who need funding assistance.

## Q12. What limitations does your fund place on applicants and publications to receive funding? (select all that apply)

All four campuses that fund OA articles require that they be published in full OA journals. At three campuses (UCB, UCD, and UCSB), the applicant must still be affiliated with the university to receive funds. There were two campuses each that use the following limitations: one publication per applicant, one application per publication, application must not have a grant, OA journals must be indexed in DOAJ, and publisher must follow professional and ethical publishing practices. Only one campus limits funding for first authors only (UCSF) or for corresponding authors (UCSB).

Criteria for Funding



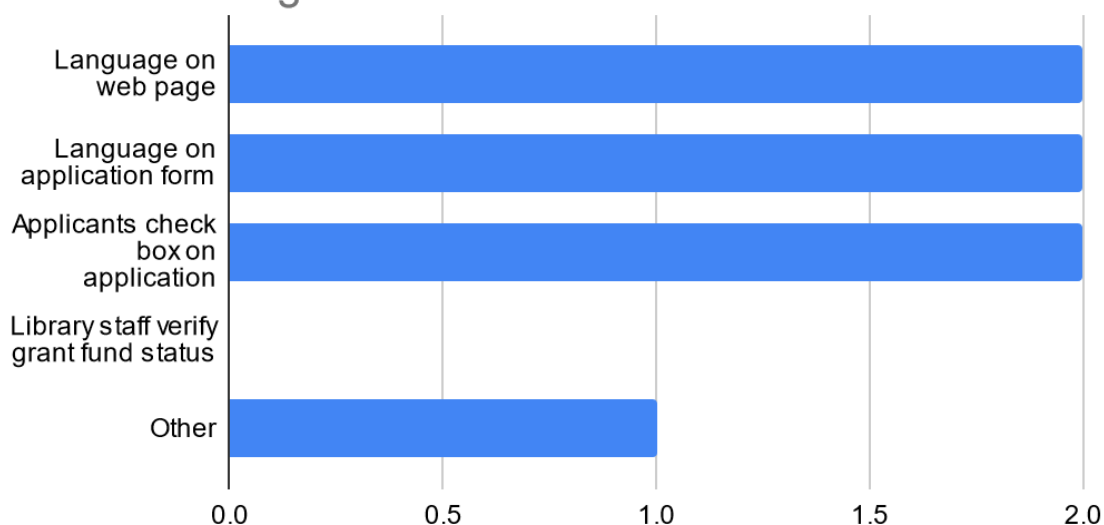
“Other” response, UCSD: acceptance by Luminos and a case-by-case basis as we can get fund approval.

## Q13 - If your fund is intended only for authors without grant funds, what steps do you take to ensure applicants with grant funds do not get funding? (select all that apply)

Two campuses (UCB and UCSF) limit their fund to authors without grant funds. Both campuses have language about funding restrictions on the web page and well as on the application form. Applicants must also attest that they do not have grant funds for OA on the application form. Neither campus verifies whether or not the applicant has funds beyond their application.



## Steps taken so that grant funded authors do not receive funding



“Other” response, UCSF: Our application form asks them to indicate whether or not they have an alternate funding source, and if they select 'yes', language pops up asking them not to apply. We know that many applicants do in fact have grant funds despite our efforts otherwise. They justify the request based on their budget being low or insufficient, or the publication coming out after the previous grant expires, though they often have a new grant.

### Q14. Do you ask applicants how they pay the APC or BPC remainder if your fund only covers a portion?

All five respondents selected “No”.

### Q15. What trends have you observed with your fund over time? For example, has the number of applications increased or decreased, have more students started applying, or any other relevant changes?

- Campuses have seen an increase in applications. UCSF had a surge in FY2020-21 because of the pandemic.
- Faculty and students are increasingly interested in local support for OA. UCSB and UCSF mentioned interest from students in particular.
- It can take a while for demand to build after the launch of the fund.
- Despite hybrid OA journal articles not being eligible, funds receive and have to reject applications for them.

- The transformative agreements (TA) have led to applications to the campus OA funds due to confusion by authors about how funding works for the agreements. These applications get rejected. Questions about the TAs now surpass those about the OA fund at UCB.

#### **Q16. What adjustments, if any, have you made to your fund since its inception?**

- UCB and UCSF stopped funding hybrid OA journal articles and now only fund fully OA journals
- UCSB Increased its fund allocation from \$100K to \$150K
- UCB increased its BPC cap from \$7500 to \$10,000
- UCSF decreased its APC cap for a period due to a surge in applications.
- UCSF modified which author position could apply for funding, and disallowed faculty from applying in December 2021 after budget reductions
- UCSF also temporarily required articles to be published under one of two CC BY licenses, but ended the requirement due to the difficulty of enforcing it
- All campuses moved to exclude journals that are covered by a UC transformative agreement once the TA was implemented.

#### **Q17. How is your fund assessed?**

- UCD provides an annual report to Library Collection Strategy Group and UL
- UCSF has surveyed fund recipients at a couple of points, runs annual reports, and has done demographic analysis of recipients in preparation for eligibility modifications.
- The other three campuses do not have a regular assessment practice in place

## **Budget**

#### **Q18. What is the annual budget for your fund?**

#### **Q19. Where does the funding come from?**

#### **Q20. If funding comes from the library, please provide any additional information you can about which library unit(s) the funding comes from (e.g. collections budget, general fund)**

#### **Q21. Is your funding stable and sustainable for the next 2-3 years?**

#### **Q23. If your campus is not planning to continue funding your fund for the near future, what, if anything, are you shifting your funds towards instead?**

Campus	Budget	Source	Stable?	Redirect funds
UCB	No set budget, annual spend is \$100-\$150K	multi-year philanthropic grant that supports the library's general fund	Yes	
UCD	\$175K (overages are accommodated; \$271K spent in 2020-21)	Library/Collections fund	Yes	
UCSB	\$150K	Library/Collections fund	No	
UCSD	\$20K	Library/Collections fund	Uncertain	Uncertain
UCSF	\$80K	Library/General fund	Uncertain	Uncertain

**Q22. What is your process for securing funding each year? Who do you work with across the library, campus, or beyond to secure funding?**

All five campuses coordinate their budget with library administration, finance, and/or collection teams according to their local structure and budget.

Campus	Process for securing funding
UCB	RE: sustainability, if the library continues to believe that Gold OA is one of the viable pathways to support researchers, then there will be continued support for OA publishing funds (in addition to other ways that this manifests, such as transformative agreements).
UCD	Working with Collection Development and Library Finance Department
UCSB	It is allocated by the Library; so we don't have that issue
UCSD	Discussions with Collections AUL and fiscal managers about availability of funds and how to allocate them.
UCSF	Fund manager makes a request to the Library Leadership Team based on current patterns and budget availability

## Staffing & Resources

**Q24. What is the headcount of personnel contributing to management of the fund?**

**Q25. What are the job titles for the individuals who fulfill the following roles for managing your campus fund, and the average number of hours spent on a monthly basis?**

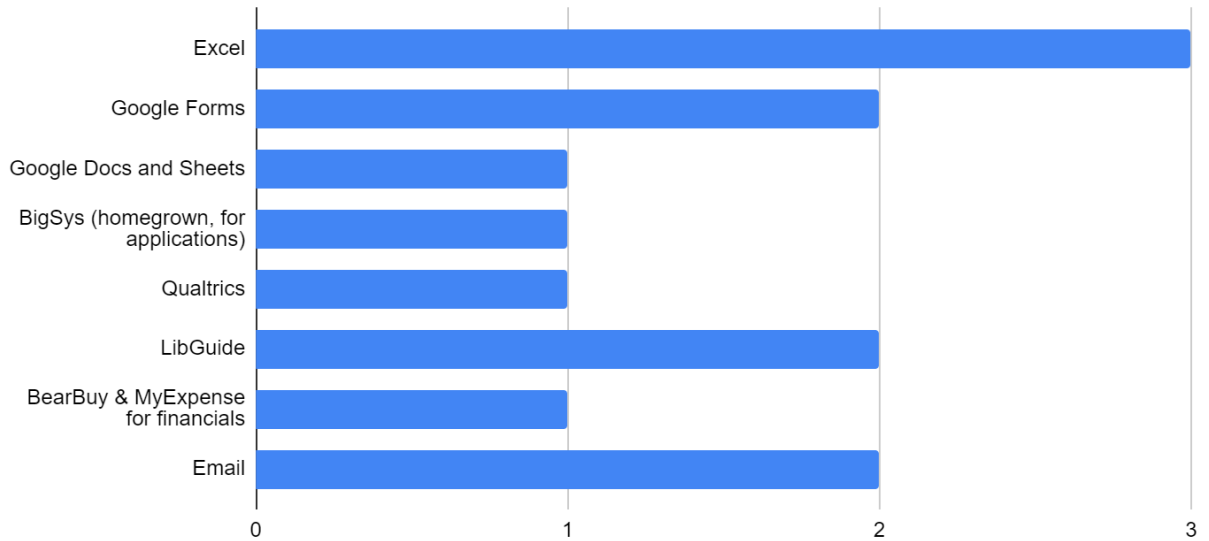
**Q26. What is the total monthly average number of hours spent managing your fund by all personnel? (sum of hours from question above)**

Campus	Headcount	Hours monthly	Position titles
UCB	5	14	<ul style="list-style-type: none"> <li>● Scholarly Communication &amp; Copyright Librarian</li> <li>● Circulation Supervisor</li> <li>● Library business office personnel</li> <li>● Scholarly Communication Officer</li> </ul>
UCD	2	45 (estimated)	<ul style="list-style-type: none"> <li>● Scholarly Communications Officer</li> <li>● Financial Services Assistant</li> <li>● Head of Collection Strategy</li> </ul>
UCSB	3	10-12 (estimated)	<ul style="list-style-type: none"> <li>● Scholarly Communication Librarian</li> <li>● Library Business Manager</li> <li>● AUL for Research &amp; Learning</li> </ul>
UCSD	1	15-20	<ul style="list-style-type: none"> <li>● Scholarly Communication Librarian</li> </ul>
UCSF	5	126	<ul style="list-style-type: none"> <li>● Library Assistant 3 (two positions)</li> <li>● Library Assistant 4</li> <li>● Head of Scholarly Communication</li> <li>● Administrative/Finance Manager</li> <li>● AUL for Research &amp; Learning</li> </ul>

**Q27. What software and other tools do you use to manage the fund?**

Excel is used by three campuses (UCD, UCSD, and UCSF) whereas UCB and UCSB use Google Forms and other Google programs to manage their funds. UCD has a homegrown system, BigSys, for handling applications, whereas UCSF applications are submitted via Qualtrics. UCB and UCSF called out LibGuides for websites and the use of email to manage their funds. For financial payments, UCSF mentioned BearBuy and MyExpense.

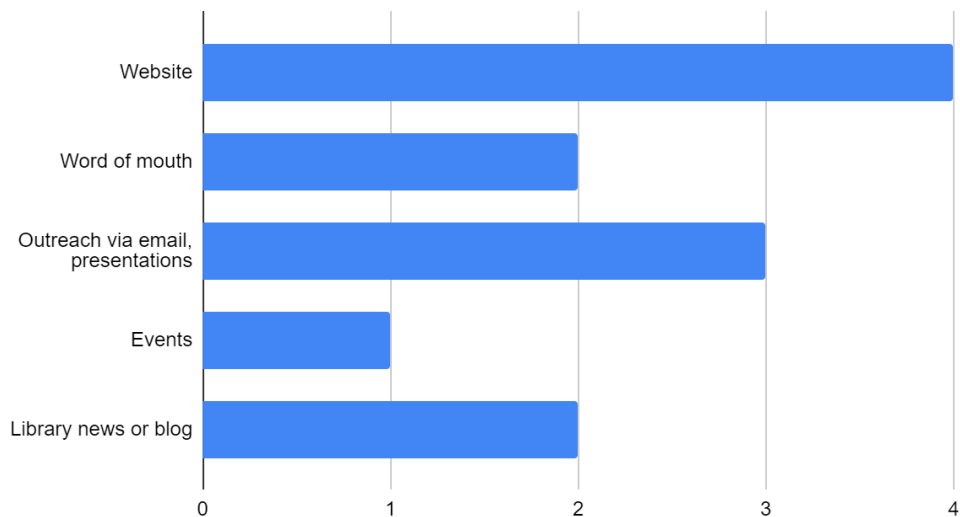
## Software used



## Q28. How do you promote your fund?

Four of the campuses promote their fund via a website. Other ways that UC campuses promote their funds include: direct outreach emails, presentations, workshops, events, blog posts, library newsletters, and word of mouth.

## How do you promote your fund?



## Q29. Finally, is there anything else you'd like to tell us about your fund?

UCSB:

Our main concern is long-term sustainability and funding. The fund is increasingly popular among faculty and students and our collection budget is limited. We will not be able to increase the current allocation. An alternative source of funding is needed to sustain it long term.

UCSF:

There has been a lot of confusion between our OA Fund and the UC transformative agreements, which has added to our workload and led us to updating our application form and the LibGuide to clarify for authors when to apply to our OA Fund.