

Open Access Fund University of North Carolina at Chapel Hill

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Director of Planning and Staff Development
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Charleston Conference

First, a few facts about UNC at Chapel Hill then I'll talk about our open access fund. If time permits, I'll talk briefly about what we learned from interviews with UNC authors.

The University of North Carolina at Chapel Hill is the oldest publicly funded research university in the country. In 2012, the University had nearly \$800 million in extramural funding.

HSL's Kate McGraw was instrumental in getting our Faculty Council to hold a scholarly communications symposium in 2005 and pass two resolutions 1) encouraging OA publishing and 2) studying feasibility of an institutional repository. We advocate for OA through our website, programs, classes, faculty meetings, student research fairs, and informal conversations.

UNC Open Access Fund

- March 2005 – June 2013
- Funding
 - First \$20K from VC Research
 - Libraries funded after pilot until June 2013 suspension
 - Health and Academic Libraries shared costs
- Distributed \$79,000 Total
- Managed by Health Sciences Library for UNC

In March 2005, the Libraries asked UNC Vice Chancellor for Research to provide the initial funding for the UNC OA Fund he agreed to fund it as a pilot project.

The libraries have shared the costs after the Vice Chancellor's \$20,000 ran out.

According to SPARC records, UNC was the first to establish an OA fund, and sustain it, which we did until June 2013.

We distributed \$79,000 total over the life of the fund.

\$78,939.71 to be precise

Kate McGraw managed the fund for UNC and members of the Health Sciences Library's Scholarly Communications Committee reviewed and approved applications, mostly by email. We resolved any issues in discussions at our monthly meetings

Eligibility and Criteria

Eligibility

- Open to all – students, faculty, staff
- If No other funds available
- Open Access – Gold and Hybrid

Award Criteria

- \$1,000 Maximum per article
- One article per author funded per year

- **Funds were available to all UNC authors regardless of their status.**
- **We provide funds only if no other funds are available.**
- **We've used the Directory of Open Access Journals to check whether the journal is indeed OA, and we have funded costs of taking an open access option in hybrid journals.**

[Award criteria]

- **In 2012, we started to limit OA funding for only one article per year for each individual author.**
- **From the beginning we placed a \$1,000 maximum contribution to the total costs of Open Access article processing charges.**

Use of Fund

89 UNC articles funded by 76 UNC authors

40 Faculty

23 Students

9 Post-Doctoral Fellows

4 Staff

Since the beginning, the UNC OA Fund has subsidized 89 articles. The average award was \$730.

**The 76 UNC authors who received funds included
40 faculty and 36 others including
23 students
9 Post-Docs, and
4 Staff**

[Info if question arises]

Denied submissions – 8

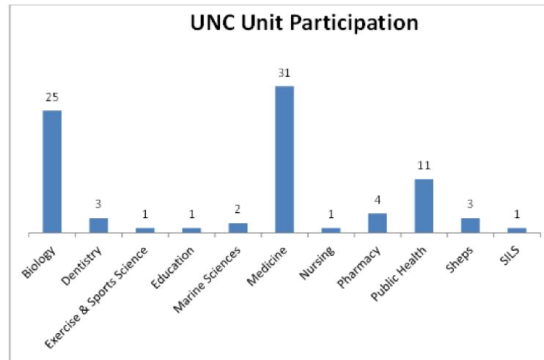
+Not accepted – 6

+Unable to Fund (due to lack of funds) – 2

Reasons for “not accepted”:

- article was not accepted by publication
- found funding from alternate source

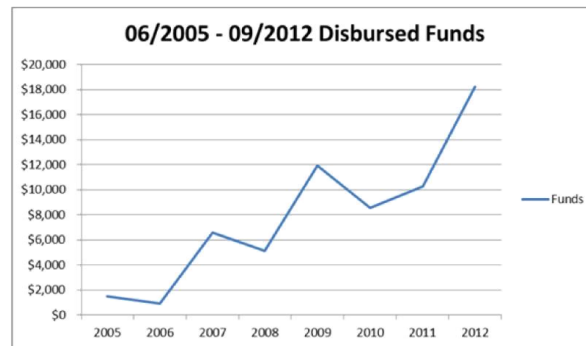
UNC Unit Participation



Applicants were from 11 unique University units

- **Biomedical sciences represented 68% of the total number**
- **Each of the 5 Health Affairs units had at least one**
 - **School of Medicine, the largest school had 37% of the total number**
- **Academic Affairs had 36%.**
 - **Biology had 25 or 30% of total #**
 - **Exercise & Sport Science**
 - **Education**
 - **Marine Sciences**
 - **School of Information and Library Science**

Funds Disbursed Since 2005



As you can see, it took about four years for us to get more than a few applications. Since we didn't have much money, we've been cautious about advertising. We know from interviews that many were not aware of the fund. Those who did know, had heard by word of mouth - from departmental colleagues or librarians.

In 2009, we distributed \$12,000. In contrast, we disbursed nearly \$25,000 in FY2013. In the last several years of the fund, we ran out of budgeted funds before the end of the fiscal year, but we were able to fund all approved applications. It looked like the demand would top \$25K in FY2014, the Library's budget were cut again, so the University Libraries decided to suspend the fund.

Open Access Fund Suspended

The University of North Carolina at Chapel Hill does not currently pay author's fees for open access publishing... The University Libraries support barrier-free access to the scholarly output of its students, faculty, and staff through a wide range of resources and services including:

- Carolina Digital Repository
- Carolina Digital Library and Archives
- Electronic Theses and Dissertations
- Membership in BioMedCentral
- Support for public access to federally funded research

Anne Gilliland, MSLS, JD, as UNC Scholarly Communications Officer, is available to advise ...

We posted this notice on HSL's Open Access and Scholarly Communications web pages in July 2013–

Open Access Author's Fund Suspended

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- Carolina Digital Repository**
- Carolina Digital Library and Archives**
- Electronic Theses and Dissertations**
- Membership in BioMedCentral**
- Support for public access to federally funded research**

Anne Gilliland, MSLS, JD, as UNC Scholarly Communications Officer, is available to advise on copyright and fair use, authors' rights, privacy rights, open access, and other information policy issues important to the creation and use of scholarly material.

OA Study 2010-2012

- Semi-Structured Interviews with 20 UNC researchers
- Similar study was done in 2006
- Interviews conducted in 2011 academic year and then analyzed

If time permits, talk about the study (slides 10-13)

We interviewed 20 authors at UNC to try to better understand researcher perspectives on open access and choices on where to publish.

A similar study was done in 2006 by Stephanie Warlick who was then a library school graduate student.

Interviews were conducted and transcribed by library school faculty and students in the 2011 academic year and then coded and analyzed.

There's not enough time today to cover what we learned, but I'd be happy to talk with anyone after this presentation.

Is Open Access a Factor in Choosing where to publish?

- No! Not for most
- Four exceptions:
 - The Idealist
 - The Realist
 - The “Payer”
 - The Broadcaster

Open access is not a factor for most interviewees in choosing where to publish even given that 70% were selected based on publishing at least one article in an OA Journal.

Open access was a factor for four authors. We labeled them Idealist, Realist, Payer, and Broadcaster

Idealist - *“I’m a big open access fan”* and in author’s field, the OAJ was the best J. (P1)

Realist – Important for him that his South American colleagues there have access to his work (P7)

Payer - *“I value OA enough to put \$ to it.”* (P14)

Broadcaster – *“I fundamentally believe in Open Access - it’s the right thing to do, but it’s also not completely altruistic, there are going to be more people who read your OA article - there are institutions who otherwise wouldn’t have access to it and those scientists aren’t going to see it -- so it’s also a way for getting your story out there.”*

Attitudes Toward Open Access

	Cohort 1 OA Fund	Cohort 2 BMC	Cohort 3 OA – No \$	Cohort 4 Not OAJ	Total #	Percent
Positive	3	1	2	5	11	55%
Mixed	0	2	3	1	6	30%
Negative	2	1	0	0	3	15%
Total	5	4	5	6	20	100%

What were UNC authors' attitudes towards open access overall?

Over half of the twenty people we talked with were positive towards open access, and only three were negative. 30% had mixed views.

Study Conclusions

Fund and discounts are useful and appreciated

Authors' OA views are both variable and mixed

Researcher and librarian frameworks differ

Further analysis and research are needed

Our OA fund and the discounts are useful and appreciated.

As a result of this pilot study, we gained a much more nuanced understanding, and we got a better sense of open access and scholarly communications from the author's perspective.

Authors have mixed views and they vary.

While librarians are concerned with costs, researchers come at scholarly communications issues from a different angle – getting their story out

More analysis of this data and further research is needed

Next Steps?

- Find money
- Use results for decisions, advocacy, resources, and services
- Do more analysis of this data
- Integrate our data with other studies
- Publish
- Expand study
 - Survey UNC authors, research managers
 - More interviews
 - Other universities?

We would like to find money outside the Library budget to support open access publishing charges.

I am not highly motivated to pursue the research, but there's a lot more analysis that could be done with this data and we could expand the study at UNC and beyond. We would like to publish our findings, integrating what we've learned with other findings.

Since two small qualitative studies have been done at UNC, we might want to conduct a survey, asking more specific questions of a larger group of people.

We'd like to check reality of interviewee perceptions of the differences between OA and traditional publishers in length of time to complete the review process and review process rigor.

Please contact us

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University Library Scholarly Communications
Officer, UNC at Chapel Hill

Susan Swogger, my colleague at the Health Sciences Library helped tremendously in the coding and analysis of our research. Both of us would be pleased to talk with you further about the research project.

Kate McGraw is the best person to talk with about our fund.

Anne Gilliland is the University's Scholarly Communications Officer