OAK Fund Annual Report:

2013-2015

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What are the Goals of the Program?

The Open Access to Knowledge (OAK) Fund at Texas A&M underwrites publication charges for scholarly journal articles, book chapters, and monographs published in open access publications. The OAK Fund was established to help fulfill Texas A&M University's commitment to the Compact for Open-Access Publishing Equity (http://www.oacompact.org/). The Texas A&M Libraries and the Vice President for Research committed $25,000 each to fund Open Access publications for the 2013-2015 academic years, with additional funding of $20,000 added for the second academic year. This document reports on the outcomes for the two years of the OAK Fund program.

The goals of the OAK Fund at Texas A&M University are to support and encourage:

(1) Texas A&M faculty and research staff that want to publish in open-access venues but who do not have other sources of funding to cover open access publication charges.

(2) Innovative scholarly publishing that takes advantage of the opportunities of distribution and open access presented by digital and networking technologies; and

(3) Increased access to Texas A&M research and scholarship.

How is the Program Managed?

Eligibility

Any current member of the faculty or full-time research staff at Texas A&M University and the Texas A&M Health Sciences Center are eligible to apply to the OAK Fund, including researchers at the Galveston or Qatar campuses or affiliated State Agencies who hold joint appointments at Texas A&M University. OAK funds apply to Open Access publication charges fees for peer-reviewed articles and book chapters or scholarly monographs published in journals or monographs that provide free online access to all peer-reviewed articles they publish. Manuscripts published in journals or monographs with a hybrid open-access model or delayed open-access model are not eligible for support from the OAK Fund.

Application review Process

The Office of Scholarly Communications (OSC) in the Sterling C. Evans Library administers the OAK Fund. OSC has advertised the program through campus-wide emails, a website, and presentations to various groups around campus. The OAK Fund application review process is as follows:

1. Eligibility for funding can be found at http://scholarlycommunication.library.tamu.edu/oak-fund/. Applications are submitted to http://scholarlycommunication.library.tamu.edu/oak-fund/application.html.
2. Author(s) status verified against campus LDAP database. Publication OA and peer review status are verified using: Directory of Open Access Journals, Ulrich's Periodicals Directory, or Open Access Scholarly Publishers Association member list. Publication fees checked against fee schedule on publisher's website.
3. If eligibility criteria met, Project Manager calculates individual author allocation based on total OA fee divided by number of eligible TAMU authors. Cumulative allocations to authors are tracked. Each author can request a maximum of $3000 per annum.
4. If the application is approved and ready for payment, an acceptance letter is sent to applicant and TAMU co-authors with directions for payment/reimbursement via Library Business Office.
5. If application declined, an explanatory letter is sent detailing reasons and, where necessary, pointers to relevant resources provided in support of successful future application.
6. The article is archived in the faculty publications collection in Oak Trust, Texas A&M's institutional repository.

What are the Program Outcomes?

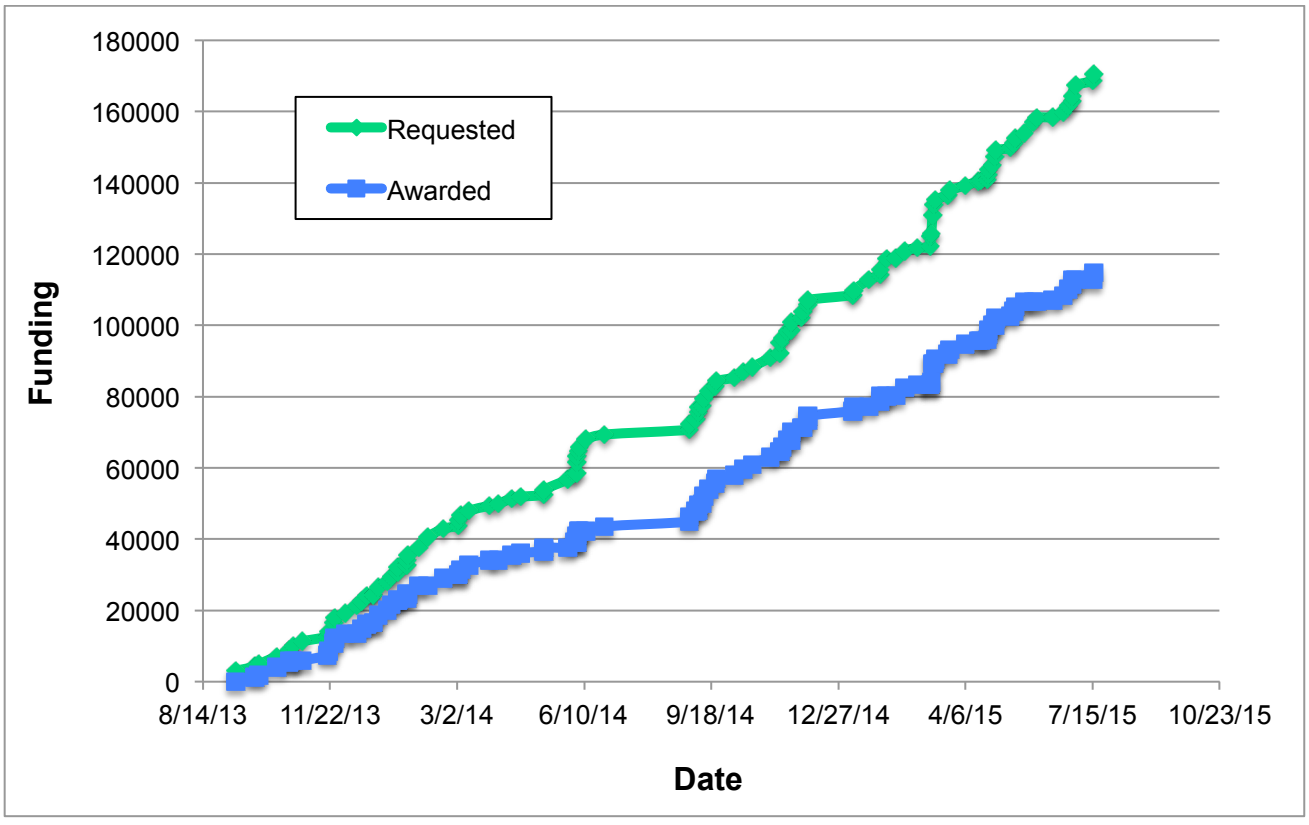
Support Publishing in Open Access Venues

In its two years of operation, the OAK Fund distributed funds to 161 faculty in support of publication fees for 91 articles for a total amount of funding distributed of $114,758 (Fig. 1). Awards averaged $1,304 per application (Table 1). Twenty-one applications were denied because they did not meet the fund's guidelines. Most of the declined awards requested support to cover publication fees for hybrid Open Access journals that also charge subscriptions.

Table 1. OAK Fund awards, 2013-2015.

Award Characteristics	Amount
2013-2015 Applications Funded	91
2013-2015 Applications Declined	21
2013-2014 Applications Funded	35
2014-2015 Applications Funded	56
Average Award Amount	$1304
Highest Award	$3000
Lowest Award	$200
Total Funds Awarded 2013-2014	$43,583
Total Funds Awarded 2014-2015	$71,175
Total Funds Awarded 2013-2015	$114,758

Figure 1. OAK Fund cumulative requests and awards, 2013-2015.



In the first year of the program, 42% of the faculty funded were assistant professors indicating that the OAK Fund was serving as a useful seed funding mechanism to help support early career scholars at Texas A&M (Table 2). We can speculate on explanations for the percentage of requests from assistant professors in the program's first year. First, younger scholars may have greater awareness of Open Access issues or have internalized Open Access as a value. Second, younger scholars may also be more open to publishing in new journals with new publishing models, like PLOS One (http://www.plosone.org/), that have been created to publish Open Access scholarship. Finally, assistant professors may also have greater need for seed funding to cover the costs of publication fees. It is likely that all of these reasons are true to some extent. In its second year, though, a greater percentage of the awards were made to authors of full professors rank, indicating the development of buy-in for open access publishing among this group of faculty.

Table 2. Number of Faculty funded by the OAK Fund, 2013-2015.

Faculty	Number	Percentage
2013-2013 Faculty Funded	62	
2014-2015 Faculty Funded	99	
Total Faculty Funded	161	
Assistant Professors Funded	44	27%
Associate Professors Funded	49	30%
Full Professors Funded	50	31%
Other	18	11%

OAK Funds were distributed to faculty from 10 different colleges and three campuses: TAMU, TAMUG, and the Health Sciences Center (Table 3). In the first year of the fund, more than half the awards were made to faculty in the Colleges of Agriculture, Veterinary Medicine & Biomedical Sciences, and Engineering. In the second year of the program, there were marked increases in applications from other Colleges likely in direct response to Library outreach and professional development programs targeting the Colleges of Liberal Arts, Education, Geosciences and Medicine. This resulted in a more even distribution of the awards by College.

Table 3. Number of OAK Fund awards by college, 2013-2015.

College	Number of Awards	Percentage of Awards
Agriculture & Life Sciences	15	16
Architecture	3	3
Education	12	13
Engineering	10	11
Geosciences	10	11
Liberal Arts	9	10
Medicine	9	10
School of Public Health	6	6
Science	3	3
Vet. Medicine & Biomedical Sci.	16	17

Increased Access to High Quality Texas A&M Research and Scholarship through Open Access

Research being published Open Access (OA) through support from the Open Access to Knowledge (OAK) Fund is reasonably distributed across academic disciplines. What is interesting is that the distribution among scholarly areas is not match by even distribution among OA journals (Table 4). Sixty seven percent (67%) of the articles supported the OAK Fund were published in four, very high quality journals including Nature, BioMedCentral, and PLOS One. PLOS One, by far, is the major publishing avenue used by TAMU scholars to publish their work OA. This likely reflects the quality of the journal as well as the rapid development of its scholarly reputation.

Table 4. Major publishers of papers supported by OAK Fund awards, 2013-2015.

Publisher		Number of Awards	Percentage of all Awards	Average Pub. Fee[1]
BioMedCentral			8	1917
	2013/14	3		
	2014/15	4		
Frontiers Media SA			15	1778
	2013/14	5		
	2014/15	9		
Nature			4	2633
	2013/14	1		
	2014/15	3		
PLOS			40	1350
	2013/14	14		
	2014/15	22		

[1] Publication fee funded through the OAK Fund depends on both the publisher's fee as well as the number of coauthors.

One of the authors supported by the OAK Fund, offered his experience of the recognition possible through publication in PLOS Genetics:

> *"In case you need a "poster-child" publication with OAK fund support that was widely recognized, I believe PMID 25521617 may be one. We published it last December. It was highlighted in Science (http://goo.gl/k09MRc), and numerous mass media outlets around the world (e.g., NBC News: http://goo.gl/DGgpWt, and many more). According to our University media outreach office, the exposure has been immense. In the first 6 weeks after publication, the story received 6.08 billion views from 197 million unique visitors, in the media outlets that covered it around the globe."*
>
> ***Dr. Michael Polymenis, Biochemistry and Biophysics***

Publishing as OA appears to have a significant positive impact on citation rates[1]. This relationship appears to be significant for research published in OA journals in many scientific and social science fields as well as scholarship made available through repositories that are routinely used by the disciplinary communities, such as ArXiv in the physics community.

[1] Harnad, S. and T. Brody. 2004. Comparing the impact of open access (OA) vs. non-OA articles in the same journals: D-Lib Magazine 10(June).
Moed, H. F. 2007. The effect of "open access" upon citation impact: An analysis of ArXiv's Condensed Matter Section. J. Am. Soc. Info. Sci. Technol. 58(13): 2145-2154.
Antelman, K. 2004. Do open-access articles have a greater research impact? College & Research Libraries 65:372-382.

The impact of OA publishing on citation rates is thought to be due to two reasons: OA articles are freely available to more scholars and/or available earlier than those available through print media. As an example, the Research Information Network, a British research center, recently analyzed the distribution and impact of articles published in the hybrid science journal *Nature Communications*[2]. After 180 days, OA articles were viewed more than twice as often as those articles accessible only to the journal's subscribers. A citation analysis of more than 2,000 papers published in Nature Communications between April 2010 and June 2013 revealed that OA articles were cited a median of 11 times, compared with a median of seven citations for subscription-only articles.

Open Access Publishing at Texas A&M University

Publishing Texas A&M's research as OA, where our scholarly and creative works are "digital, online, free-of-charge, and free of most copyright and licensing restrictions"[3], can be an important means of meeting our strategic goal of placing the needs of the public good at the forefront of our mission[4].

In Table 5, we compare OA publishing at Texas A&M to some of our peer institutions as one method to evaluate the impact of library programs and initiatives, including the OAK Fund using Web of Science bibliometric data for articles published in 2013 and 2014. TAMU recorded the second highest gain in percent of scholarly articles that were published open access reflecting, in part, the efficacy of our programs.

Table 5. Open Access publishing at major research institutions, 2013 & 2014[1].

Institution	Mandate	OA Fund	2013 Total	2013 OA	% OA 2013	2014 Total	2014 OA	% OA 2014	Change % OA
Purdue	C.A.[2]	No	3,757	228	6.1	3,872	316	8.2	+2.1
TAMU[3]	ETDs	Yes	4,307	315	7.3	4,292	386	9.0	+1.7
(TAMHSC)			(474)	(64)	(13.5)	(461)	(72)	(15.6)	+2.1
(TAMU)			(3,912)	(262)	(6.7)	(3,918)	(333)	(8.5)	+1.8
UC San Diego	2013	Yes	6,214	655	10.5	6,066	721	11.9	+1.4
Illinois	C.A.[2]	No	4,367	331	7.6	4,745	422	8.9	+1.3
Ohio State	No	Yes	5,790	439	7.6	6,122	538	8.8	+1.2
Florida	No	2013[4]	5,417	568	10.5	5,342	620	11.6	+1.1
Wisconsin	No	2014[4, 5]	5,953	506	8.5	5,981	572	9.6	+1.1
UC Berkeley	2013	Yes	7,002	674	9.6	7,297	773	10.6	+1.0
Minnesota	2015	Yes	6,334	493	7.8	6,373	547	8.6	+0.8
UNC	2016	2013[4]	5,237	551	10.5	5,331	600	11.3	+0.8
UCLA	2013	No	7,385	647	8.8	7,508	717	9.5	+0.7
UT Austin	No	No	4,360	248	5.7	4,689	294	6.3	+0.6
Georgia Tech	2013	No	3,049	163	5.3	3,058	177	5.8	+0.5
Penn State	No	Yes	5,384	381	7.1	5,440	390	7.2	+0.1
Michigan	C.A.[2]	2012[4]	8,761	696	7.9	8,780	693	7.9	0.0
UC Davis	2014	Yes[5]	5,410	598	11.1	5,408	600	11.1	0.0

[1] The bibliometric data were collected from the Web of Science, August, 2015.

[2] Copyright addendum. As an example, see U Michigan Copyright addendum: http://guides.lib.umich.edu/content.php?pid=171549&sid=2465787

[3] TAMU and the TAMU Health Science Center. Inconsistencies in TAMU/HSC data reflect Web of Science.

[4] Date the program ended.

[5] Wisconsin OA Fund: http://www.library.wisc.edu/scp/openaccess/. UC System OA Fund: http://ucsd.libguides.com/openaccess

[2] The report: http://www.nature.com/press_releases/ncommsreport2014.pdf.

[3] Suber, P. *Open Access*. Cambridge: The MIT Press, 2012. Epub.

[4] http://provost.tamu.edu/initiatives/strategic-planning-2015-2020

Faculty Feedback on the OAK Fund Program

We have also collected faculty feedback for the 2014-2015 program. Selected comments are below.

My experience applying for the OAK Fund at Texas A&M University was incredibly straightforward and rewarding. Earlier this year we had a paper accepted in the open-access journal PLOS ONE, and when we heard the good news we immediately applied for the refund program for open-access articles published out of TAMU. I had heard about this program during a faculty development workshop last year and kept it in the back of my mind for when the opportunity became available. Once the paper got accepted, I remembered the OAK Fund and immediately requested a refund. Within a matter of a few weeks the process was completed and our hefty publication fees were reimbursed. I will undoubtedly use this program at TAMU for as long as it is available to faculty. I believe having this service available, especially for junior faculty of the TAMU system, is an incredible asset that should be maintained and grown over time. Thank you for your hard work in keeping this program up and running at our institution.

Dr. Juliana Rangel, Assistant Professor, Entomology

"I am writing to express my exceptionally strong support of the OAK fund. Open Access publishing has obvious benefits, both financial and ethical, for institutions and individuals, which I am sure have been outlined at length elsewhere. Specifically and on a personal level, in these difficult funding times, the OAK fund enabled me to publish my scholarly work in prestigious journals. In short, I am tremendously grateful for OAK fund support, proud that such support exists at my institution, and hopeful that it will not only continue to be offered to the TAMU academic community, but also that the support will be increased."

Dr. Michael Polymenis, Associate Professor, Biochemistry and Biophysics

"Financial support from the OAK Fund is particularly valuable for early career faculty and researchers who seek visibility through the open-access publishing model but may not have the grant funding to accomplish this. We are now in an era where there is increased emphasis on transparency, accessibility to scientific data and new knowledge, and communication to broader audiences. Programs like the OAK Fund therefore provide researchers with the opportunity to meet these demands."

Dr. Adam Naito, Visiting Assistant Professor, Geography

"The OAK Fund allowed my graduate student to publish her first paper in a high profile journal that has a very rapid time from submission to publication. This has brought attention to her work and laid a great foundation for her additional manuscripts that will be submitted soon.

Dr. Sarah Hamer, Assistant Professor, Veterinary Medicine & Biomedical Sciences

"With the assistance of the OAK Fund, my graduate students have been able to publish in open access journals which have high impact factors. This has not only enabled them to get their work disseminated in a broadly accessible forum but more importantly, given their work life long exposure to the community. Further, many open access journals provide rapid publication. For the two students papers that has received OAK fund supports, it has also lead to successful dissertation defenses and job opportunities."

Dr. Antoinetta Quigg, Professor, Marine Biology

"The OAK fund provided me the funds I needed to publish my work. I had no alternative and in all likelihood without OAK it would have been delayed or unpublished. This fund is one of the most effective and supportive programs I have come across at A&M, allowing academics and researchers to communicate their findings to other experts and to the public. It has not been long since the publication, but the paper has been downloaded 2700 times and cited 3."

Dr. Keith Maggert, Associate Professor, Biology

"Thanks so much! What a wonderful support fund you have created."

Dr. Gerianne M. Alexander, Associate Dean, College of Liberal Arts