

OAKFund Annual Report:

2015 – 2016

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OAKFund Goals

The Open Access to Knowledge Fund (OAKFund) at Texas A&M University is a program for underwriting publication fees for scholarly journal articles, book chapters, and monographs in fully Open Access publications. OAKFund was established in 2013 to help fulfill Texas A&M University's commitment to the "Compact for Open Access Publishing Equity."¹

The goals of OAKFund at Texas A&M University are to support and encourage:

1. Texas A&M University faculty, research staff, and graduate students (as of fiscal year 2015/2016) who lack another source of funding to publish in Open Access venues;
2. Innovative scholarly publishing that takes advantage of digital networking technologies for distribution and Open Access;
3. Greater public access to Texas A&M University research and scholarship.

OAKFund has been available to Texas A&M University authors for three years. In the 2015/2016 fiscal year, the Vice President for Research (VPR) and the Texas A&M University Libraries committed \$35,000 and \$50,000 to the fund, respectively. For the first time, additional funds were allocated to support graduate student authors; the Office of Graduate and Professional Studies (OGAPS) and the VPR each committed \$2,500.

This document reports on outcomes of the 2015/2016 OAKFund program. For more information about program administration, please see the Appendix.

OAKFund Outcomes

Awards to Faculty and Researchers

Over the last three years, the OAKFund has distributed a cumulative total of \$198,780 to Texas A&M University faculty and full-time researchers. Below, Figure 1 charts the funds distributed during this period, showing the accumulation month by month.

Each fiscal year OAKFund has been exhausted earlier, and it is evident that the need for support continues to outstrip available funds. In the program's inaugural year—the 2013/2014 fiscal year—funds lasted until July 2014. The following year, they lasted until June 2015. This past fiscal year, all available funds were awarded by April 2016.

In 2015/2016, OAKFund received 73 requests for funding. Funds continued to be requested after OAKFund depletion in April, but these were no longer counted. OAKFund supported the publication of 65 articles. Only seven requests were denied, because they did not meet OAKFund eligibility requirements (Table 1). Six of these denied requests asked to cover publication fees for hybrid Open Access journals. These journals also charge subscription fees and therefore do not meet the fully Open Access criteria for eligibility. This year, awards averaged \$1,293 (Table 2). This is slightly lower than the last two-year average of \$1,304

¹ <http://www.oacompact.org/>

Figure 1. Cumulative amount requested and payment awarded, September 2013 – April 2016.

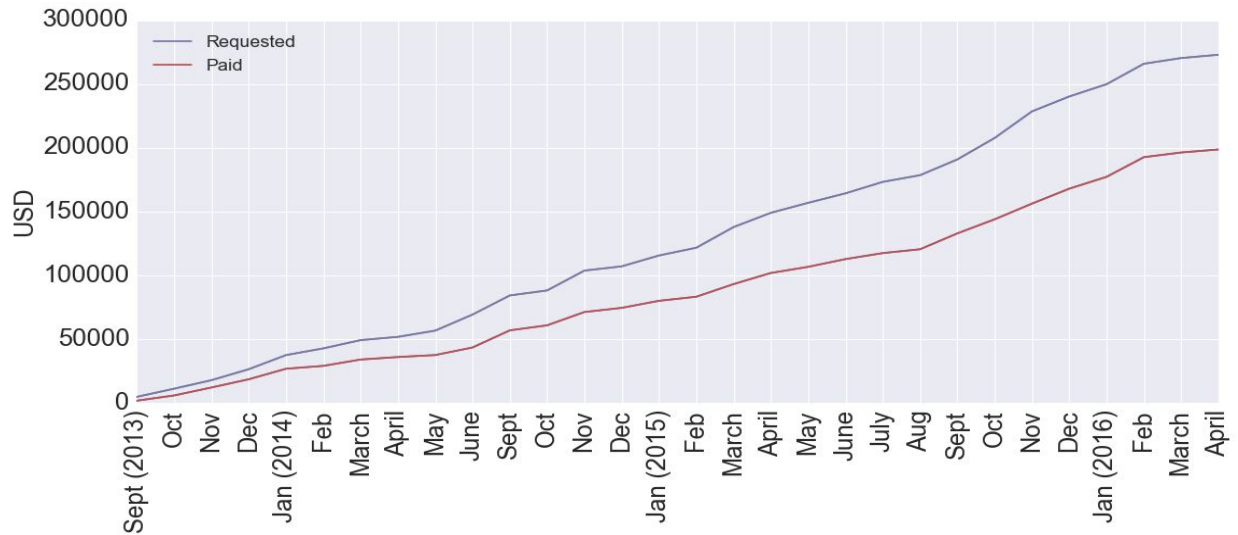


Table 1. OAKFund requests, 2015/2016.

Requests	
Total	73
Approved	65
Denied	7
Withdrawn	1

Table 2. Payment awarded for approved OAKFund requests, 2015/2016.

Payment	
Total Awarded	\$84,022*
Largest Award	\$3,000
Smallest Award	\$100
Mean Amount Awarded	\$1,293

* Based on payments made to authors as of July 2016.

Characteristics of Faculty and Researchers

In the first two years, 2013/2014 and 2014/2015, OAKFund distributed funds to a total of 161 faculty and researchers in support of publication fees for 91 articles. This year alone, OAKFund distributed funds to a total of 115 faculty and researchers. Full professors made up 27% (31) of funded faculty and researchers, associate professors 30% (34), assistant professors 25% (29), and post-doctoral researchers 10% (12) (Table 3). This shows a fairly even distribution of awards by rank.

Funds were distributed to faculty from 9 different colleges and three campuses: TAMUCS, TAMUG, and the Health Sciences Center (TAMHSC) (Table 4). In the first year of the fund, more than half of the awards were made to faculty in the Colleges of Agriculture, Veterinary Medicine & Biomedical Sciences, and Engineering. By the third year of the program, funds are more widely distributed. The greater spread across disciplines, and early depletion of the fund, are likely a result of Library outreach and professional development programs having highlighted OAKFund.

Table 3. Faculty and researchers approved for funding, 2015/2016.

Faculty and Researchers	
Total Approved	115*
Full Professors	31
Associate Professors	34
Assistant Professors	29
Non-Tenure Track Professors	1
Lecturers	1
Full-Time Research Staff	7
Post-Doctoral Researchers	12

* Many requests involved multiple approved collaborators. Faculty and researchers involved in more than one approved request are counted once.

Table 4. Numbers of Faculty Supported by OAKFund, by campus and college, 2015/2016.*

Campuses and Colleges	
TAMUG	5
TAMHSC	31
TAMUCS	79
College of Agriculture and Life Sciences	14
College of Architecture	6
College of Education & Human Development	11
College of Geosciences	2
College of Liberal Arts	7
College of Science	12
College of Veterinary Medicine & Biomedical Sciences	21
Dwight Look College of Engineering	5
University Libraries	1

* Many requests involved approved collaborators in different colleges. In such cases, each college is counted once.

Awards to Graduate Students

This year, OAKFund was able to support graduate student authors for the first time. OAKFund received 10 requests for graduate student funding, all of which met eligibility criteria (Table 5). In all cases, coauthors also included Texas A&M University faculty. The funds were distributed to graduate students from five colleges (Table 6).

Table 5. OAKFunds awarded to graduate students, 2015/2016.*

Payment	
Total Funded	\$3,564
Largest Funded Request	\$1,121
Smallest Funded Request	\$150
Mean Funding	\$509

* Based on payment made to authors as of July 2016, 3 out of 10 requests have yet to receive payment.

Table 6. Numbers of graduate students supported by OAKFund, by campus and college, 2015/2016.*

TAMUCS Colleges	
Total Approved	16*
College of Agriculture & Life Sciences	1
College of Architecture	0
College of Education & Human Development	3
College of Geosciences	0
College of Liberal Arts	5
College of Science	0
College of Veterinary Medicine & Biomedical Sciences	1
Dwight Look College of Engineering	6

* Many requests involved multiple approved collaborators. Students involved in more than one approved request are counted once.

Scholarly Impact of Open Access Publications

Research published in Open Access venues using OAKFund awards is reasonably distributed across academic disciplines. However, the distribution across scholarly areas is not matched by an even distribution among Open Access journals (Table 7). Sixty-seven percent (67%) of the articles supported by OAKFund were published in journals from five high quality publishers, including Nature, BioMedCentral, Science, and PLOS (Public Library of Science).

So far, PLOS has published the majority of articles awarded funds through OAKTrust. However, the percent of article published by PLOS has gone down over the years, from 39% last year to 23% this year. It should be

noted that the PLOS family of journals are in the first quartile of journal impact factors, as measured by Web of Science.

Taking a closer look, the PLOS ONE journal is the primary venue used by funded scholars to publish their work Open Access. This year, 12 of the 15 articles published by PLOS appeared in PLOS ONE; that is, 18% of all approved funding requests. Articles published in PLOS ONE involved 11 full professors, 7 associate professors, 5 assistant professors, and 5 post-doctoral researchers as Texas A&M University collaborators.

Table 7. Major publishers for approved OAKFund requests, by fiscal year.

Publisher	2013/2014	2014/2015	2015/2016
BioMed Central	3 (9%)	4 (7%)	7 (9%)
Frontiers	5 (14%)	9 (16%)	8 (12%)
Nature	1 (3%)	3 (5%)	4 (6%)
Science	0 (0%)	0 (0%)	1 (1%)
PLoS	14 (40%)	22 (39%)	15 (23%)

Bibliometric research has shown that publishing as Open Access likely has a significant, positive impact on citation rates and global access to Texas A&M University research. This relationship appears to be significant for research published in Open Access 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. The impact of Open Access publishing on citation rates is thought to be due to Open Access articles being more accessible to a larger group of scholars.²

Open Access publishing at Texas A&M University

Publishing Texas A&M University’s research in Open Access venues, where our scholarly and creative works are “digital, online, free-of-charge, and free of most copyright and licensing restrictions”, can be an important means of meeting our strategic goal of placing the needs of the public good at the forefront of our mission. In Table 8, Open Access publishing at Texas A&M University is compared to peer institutions. This one method for evaluating the impact of library programs and initiatives, including the OAKFund.

The data were compiled using Web of Science bibliometric data for articles published from 2013 to 2015. TAMU, like its peers, recorded increasing publication of research in open access venues. This is indicative of a the shift in scholarly communication practices.

² 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.

Table 8. Open Access journal articles published at major research institutions, 2013–2015.

Institution	Mandate	Fund	2013*			2014*			2015		
			Journal Articles	Open Access	(%)	Journal Articles	Open Access	(%)	Journal Articles	Open Access	(%)
UC San Diego	2013	Yes	6,294	687	(11%)	6,131	749	(12%)	6,190	839	(14%)
Florida	No	Ended 2013	5,461	588	(11%)	5,437	636	(12%)	5,609	680	(12%)
UNC	2016	Ended 2013	5,251	576	(11%)	5,434	622	(11%)	5,273	633	(12%)
UC Davis	2014	Yes	5,448	606	(11%)	5,494	611	(11%)	5,283	687	(13%)
UC Berkeley	2013	Yes	7,051	683	(10%)	7,383	788	(11%)	7,271	861	(12%)
Wisconsin	No	Ended 2014	5,989	511	(9%)	6,070	589	(10%)	5,968	635	(11%)
UCLA	2013	No	7,446	676	(9%)	7,596	748	(10%)	7,679	892	(12%)
TAMU/HSC**	Only ETDs	Yes	4,353	323	(7%)	4,354	394	(9%)	4,440	448	(10%)
TAMU	-	-	3,953	267	(7%)	3,975	337	(8%)	4,075	391	(10%)
TAMHSC	-	-	479	67	(14%)	466	76	(16%)	445	79	(18%)
Illinois	CA	No	4,400	336	(8%)	4,802	430	(9%)	4,675	467	(10%)
Ohio State	No	Yes	5,837	452	(8%)	6,233	563	(9%)	6,256	618	(10%)
Minnesota	2015	Yes	6,379	500	(8%)	6,484	564	(9%)	6,591	681	(10%)
Purdue	CA	No	3,797	231	(6%)	3,936	319	(8%)	3,981	378	(9%)
Michigan	CA	Ended 2012	8,840	725	(8%)	8,975	743	(8%)	9,045	888	(10%)
Penn State	No	Yes	5,435	388	(7%)	5,499	400	(7%)	5,492	532	(10%)
UT Austin	No	No	4,407	249	(6%)	4,743	300	(6%)	4,615	375	(8%)
Georgia Tech	2013	No	3,084	166	(5%)	3,088	182	(6%)	3,195	257	(8%)

All counts were gathered using Web of Science searches.

* The 2013 and 2014 counts were updated April, 2016. They are higher than previously reported. This change may be due to many reasons, including Web of Science adding more Open Access journals over time.

** This count combines TAMU and TAMHSC in a single search and removes duplicates (TAMU/HSC co-authored articles).

CA = Copyright Addendum

Appendix: Program Management

Eligibility

Any current members of the faculty or full-time research staff at Texas A&M University and the Texas A&M Health Sciences Center (TAMHSC) are eligible to apply for funding. This includes researchers at the Galveston (TAMUG) and Qatar (TAMUQ) campuses, or affiliated State Agencies who hold joint appointments at Texas A&M University.

OAKFund supports graduate students applying for this fund if they are co-authoring with faculty mentors. The fund prioritized funding papers where the graduate student is first author.

OAKFund awards may be used to cover Open Access publication fees for peer-reviewed articles, book chapters, or scholarly monographs published in fully Open Access venues. In order for applicants to receive funding, the publisher must make their entire publication freely available online; meaning that the publisher distributes all articles in a journal, or chapters in a book, as Open Access. Manuscripts published in journals or monographs with a hybrid Open Access model, or delayed Open Access model, are ineligible for support from the OAKFund.

Application Review Process

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

1. Eligibility for funding is described on the OSC website, and applicants submit requests via an online form. Both are found at: http://library.tamu.edu/services/scholarly_communication/oakfund.html.
2. Submitted requests are reviewed. The eligibility of the applicant, and of his or her collaborator(s), is verified using the Texas A&M University LDAP database. The publication's Open Access and peer review status are verified using several data sources, including the Directory of Open Access Journals, Ulrich's Periodicals Directory, and/or Open Access Scholarly Publishers Association member list. Finally, the amount of funding requested is checked against the publisher's fee schedule.
3. If eligibility criteria are met, funding allocation is calculated. The total Open Access fee is divided by the number of eligible Texas A&M University collaborators. Cumulative allocations to each collaborator are also tracked. Eligible collaborators may participate in multiple funding requests and can receive a maximum of \$3,000 per annum.
4. If the application is approved and ready for payment, an acceptance letter is sent to the applicant and collaborators with directions for payment/reimbursement via the Library Business Office.
5. Funded articles are archived in the faculty publications collection in OAKTrust, Texas A&M's institutional repository.
6. If the application is denied at any point, an explanatory letter is sent detailing the reasons, and highlighting relevant information for successful future applications.