University Libraries Committee Minutes
Library West – Room 429
August 29, 2019
2:00pm-4:00pm Meeting

Members Present: Angelos Barmpoutis, Jane O'Connell, Lily Pang, Eric Potsdam, Czerne Reid, Mark Ritenour (by phone), Christine Voigt, Judith Russell, Perry Collins, Melody Royster

Also Present: Lela Johnson (taking the minutes)

Members Absent: Richard Hill, Mario Poceski

Call to Order

- The meeting was called into order at 2:00pm.

Introduction of New Members

- Jane O'Connell – Associate Dean for Legal Information and a Legal Skills Professor at the University of Florida Levin College of Law
- Xuan (Lily) Pang – Library Access Services
- Christine Voigt – English Language Institute

UFOAP Monthly Update

- Presentation by Perry Collins (handout attached)
    - Discussion: Perry started out with giving the new members an overview of what the UFAOP (University of Florida Open Access Publishing Fund) is. She also went on to update the group that the changes in the policy made last year have helped extend the availability of funds. She reported that four applications were approved this month already and that the funding is projected to last until October.
    - Question: What is going on with outreach? A: Outreach is ongoing, but word of mouth has been the greatest way to get the word out. Judy will share the report to the Provost letting him know the money will run out in October. Things we can do/change are:
        - Ask the provost to release the upcoming year's allocation for the fund in October instead of waiting until January, so there is no lapse in funding
        - Approach the graduate school about a possible partnership that provides funding to continue serving graduate students when the current OAP funding arrangement ends
        - Pursue funding options for various possible arrangements with publishers (e.g. Wiley/Springer), such as paying a set institutional fee that then allows individual authors to get a discount.

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- Conclusion: The group agreed that an immediate course of action to be taken is that Dean Russell should approach the graduate school regarding a partnership that provides funding for graduate students and ask the provost to advance the money that would otherwise be provided in January so there will be no gap in funding.

Dean's Report

- Judy reported that she has no new update on the Library Budget. The library should get additional non-recurring funding to supplement the materials budget, but she is not yet sure of the amount. The library is doing contingency planning and hopes to update members at September meeting.
- Library West has had some remodeling of the first floor entrance and the adjacent seating space ("café") and new signage is now on display.
- The Foundation is not going to shorten the Capital Campaign as of this date.
- The Library Leadership Board members are increasingly focused on assisting the Libraries with fundraising. Their past efforts funded the plans for the Colonnade project. The LLB mission statement has changed, Judy will send everyone out the new bylaws for review. Judy also reported that Chris Machen is now a member of the LLB.
- Homecoming social event will be held in Library West on Friday, October 4th from 11am-2pm. Invitations will be sent to ULC members.
- Hurricane preparations are underway at the Libraries.

Scheduling/Future Meetings

- Dates/Times
  - Discussion: It was discussed that Thursdays are a possibility for regular meetings, and that meeting duration and start and end times should be adjusted slightly to align with UF class meeting times. This allows members who teach immediately before or after meetings to have the break between class periods to get to their next location in time. So, for example, instead of a two-hour meeting from 2 p.m. to 4 p.m., the meeting could run for 1 hr 55 minutes, from 1:55 p.m. to 3:50 p.m.
  - Conclusion: Lela Johnson will send out a doodle poll getting everyone's availability for the rest of the fall semester.
- Meeting Locations
  - Discussion: There was interest in visiting the Special Collections area of Smathers Libraries. Jane O'Connell also invited members to tour/meet at the Law School Legal Information Center.
  - Conclusion: Lela Johnson will send out a doodle poll to members to see what their interests are in locations for future meetings.

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Wrap-Up/Other Topics (Open Discussion)

- Chair/Co-Chair
    - Discussion: Czerne, who chaired the ULC during the spring 2019 semester, volunteered to continue serving as ULC chair for fall 2019 and Angelos volunteered to continue as co-chair.
    - Conclusion: members accepted these offers and agreed to discuss the arrangements for spring 2020 later in the semester.

Agenda Topics for September Meeting

- UFOAP Discussion
- Internal Marketing Campaign
- Discussion about inviting Library Staff to meetings to showcase their areas.

Adjournment

- Meeting was adjourned at 3:16pm

University of Florida Open Access Publishing Fund

AUGUST 2019

Perry Collins, Scholarly Communications Librarian, George A. Smathers Libraries

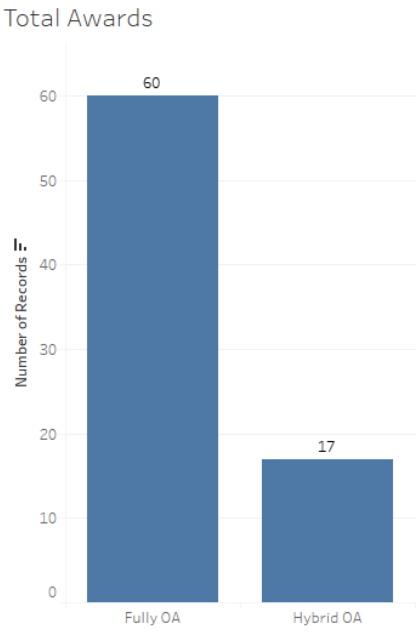
Year-to-Date 2019 Summary Report

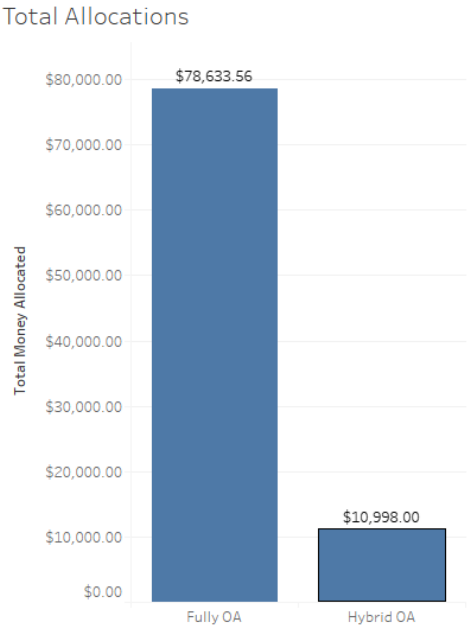
Overview

This short report summarizes funding distribution, impact, and demonstrated need for the UF Open Access Publishing Fund based on awards made from January 1 through August 9, 2019. Overall, findings are consistent with previous years (see 2017-2018 report). Changes to the program, particularly the reduction in maximum award amount, have been successful in increasing the number of awards and ensuring funding availability later in the calendar year. Total allocations are represented below:

Available funds as of 1/1/2019	$125, 778
Allocations YTD 2019	$89, 632
Total remaining funds	$36, 146

As of August 9, **77 awards total** had been made through the program in 2019, including 60 for publications in fully open access journals (where all articles in the journal are immediately open) and 17 in hybrid open access journals (where only some articles in the journal are made openly available).





Impact of Lower Maximum Award

For 2019, the maximum award amount for the program was lowered from $2000 to $1500 for fully open access publications and from $1000 to $750 for hybrid open access. The intention behind this change was to encourage a greater number of awards and to make funding available as long as possible throughout the calendar year.

The change in award amount helped meet both of these goals. The number of awards made so far in 2019 is nearly identical to total awards made in 2018 (78 total), with significant funding still available for those who apply in August or September. The average fully OA award in 2019 is $1311 (a decrease from the $1540 average in 2018), while the average hybrid OA award is $647 (an increase from $579 in 2018).

Reduction in Applications and Likely Causes

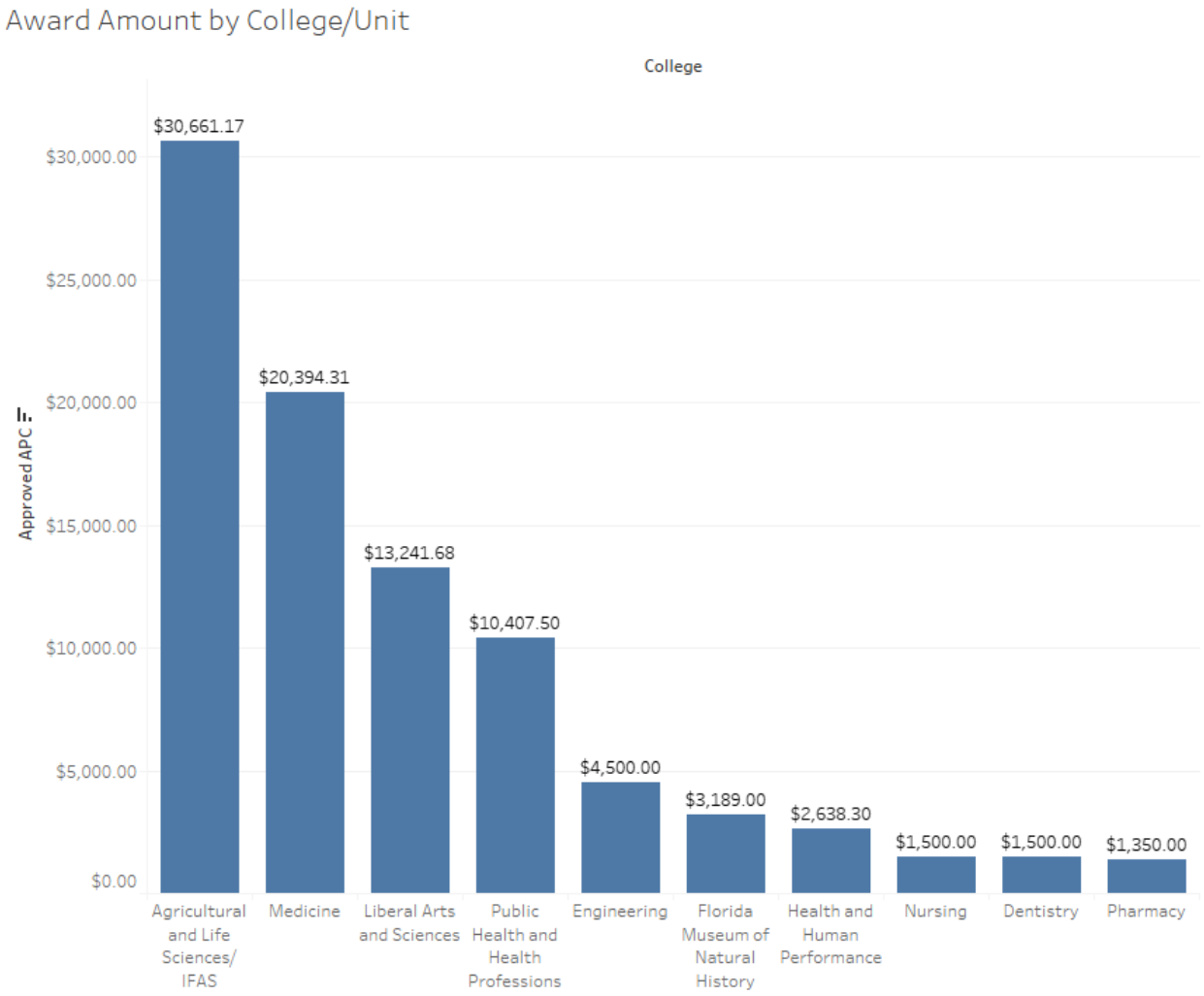
Applications to the UFOAP decreased 34% during the same period from 2018 to 2019. This is a positive development overall, as previously demand for funding was overwhelming. The UFOAP is meant to provide funding only where sources are not available elsewhere from external funders, departments, etc. Applicants are also not eligible if the research underlying the publication was supported by a funder with a public access mandate, since there is an expectation that the funder will provide open access fee support. UF-authored publications are increasingly subject to such policies, and there is likely increasing awareness of the need to incorporate requests for open access funds into grant budgets.

	2018	2019
Number of applications 1/1-8/9 (including those denied due to lack of funding or ineligibility)	128	85

Funding Distribution across Colleges

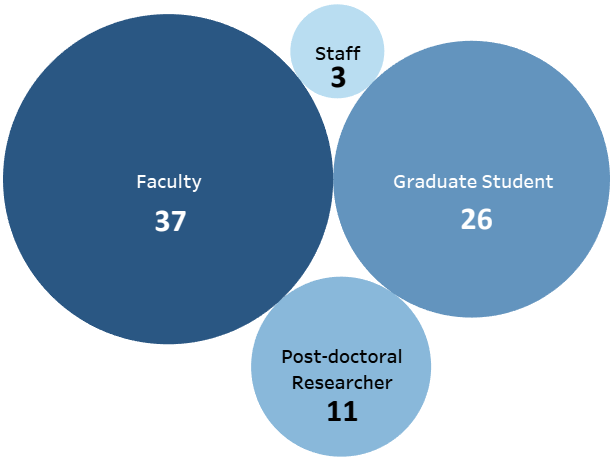
Funding distribution across colleges has been strikingly consistent since UF relaunched the fund in 2017. Despite efforts to promote the fund with help from subject liaisons in the Smathers Libraries, there are still colleges such as Business, Education, and Law that lack representation. This is likely due to a lack of awareness and varying trends in open access publishing across disciplines (e.g. choosing not to publish open access scholarship or publishing in open access journals that do not charge author fees). Nevertheless, outreach to a wider set of colleges and departments will be a program priority in future years.

As the figure below demonstrates, there is exceptional demand for UFOAP funding from the College of Agriculture, indicating both positive attitudes toward open access publication from researchers and a lack of other available funding sources. This may change in the near future as publications based on USDA grants awarded after January 1, 2016, are subject to the agency's public access policy and will not be eligible for UFOAP funding.



Distribution across Career Status

As in previous years, UFOAP funding has greatly benefited not only faculty, but also graduate students, postdoctoral researchers, and staff who frequently lack available funding.



2017-2018 Summary Report

Overview

The University of Florida Open Access Publishing fund, supported through an annual $120,000 commitment from the Provost's Office for four years in 2017-2020, incentivizes faculty, students, and research staff to publish journal articles in open venues available for anyone to read and share worldwide, without charge. The UFOAP fund subsidizes costs for article processing charges (APCs), fees that support open access publication by offsetting costs journals have traditionally received from institutional subscriptions.

While not all open access journals charge such fees—only 36% of the 12,646 journals indexed in the Directory of Open Access Journals list an APC—many journals have turned to a fee-based approach to ensure sustainability. UF's peer universities have responded to this need with initiatives similar to UFOAP; in a 2016 survey of 77 Association of Research Libraries (ARL) members, 23 indicated an existing fund.[1] Other major public research universities with an open access fund include UC-Berkeley, UC-Davis, and Indiana University-Bloomington, among others.

Overseen by the University Libraries Committee and managed by Libraries faculty, the UFOAP fund awarded grants to 193 total applicants in 2017 and 2018, resulting in publication of 222 open access, peer-reviewed research articles. This scholarship is now freely accessible in a range of publications, including prestigious journals such as *Nature Communications* and the *Journal of Dairy Science*.

Building from a pilot conducted in 2010-2012, the current program has benefited from increased faculty and graduate student awareness of open access and has seen very strong demand in both 2017-2018. The initial Provost's grant of $120,000 in 2017, plus $100,000 additional funding later in the year ($220,000 total), funded 144 awards. In 2018, $120,000 led to 78 total awards, with 66 additional applications denied due to lack of funding. Lower caps on award amounts (from $3000 in 2017 down to $1500 in 2019) and stricter eligibility requirements for those receiving external grant funding should help the UFOAP meet future demand from authors most in need of support.

Below we have summarized some major findings regarding the ways in which UF authors have leveraged the fund and recommendations for future outreach, as well as estimated projections of UFOAP spending over the next two years.

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1 McMillan, G., O'Brien, L., & Young, P. (2016). SPEC Kit 353: Funding Article Processing Charges (November 2016). SPEC Kit. doi:10.29242/spec.353

Funding promoted publication and investment in open access journals

To encourage authors to make their articles openly available in a wide range of journal publications, the UFOAP fund subsidizes APCs in both "fully open access" and "hybrid open access" journals. Where fully OA journals make all published content accessible immediately upon publication, hybrid journals make only some content available upon payment of an APC; articles published without this fee remain accessible only to subscribers.

While UF is in the minority of institutions offering any funding for hybrid OA publication—84% of the respondents in the ARL survey cited above restricted eligibility to publication in fully OA journals—hybrid subsidies may encourage authors to apply even if their preferred journals are not fully OA. UF offers reduced funding for such publications (up to 50% of APC, capped at $750 in 2019).

As the figures below demonstrate, UFOAP applications reflect a strong interest from campus scholars in publishing in fully OA journals, with a smaller proportion taking advantage of funding for hybrid journals:

Figure 1: Total Articles Published and Funding Allocated in Fully OA and Hybrid OA Journals

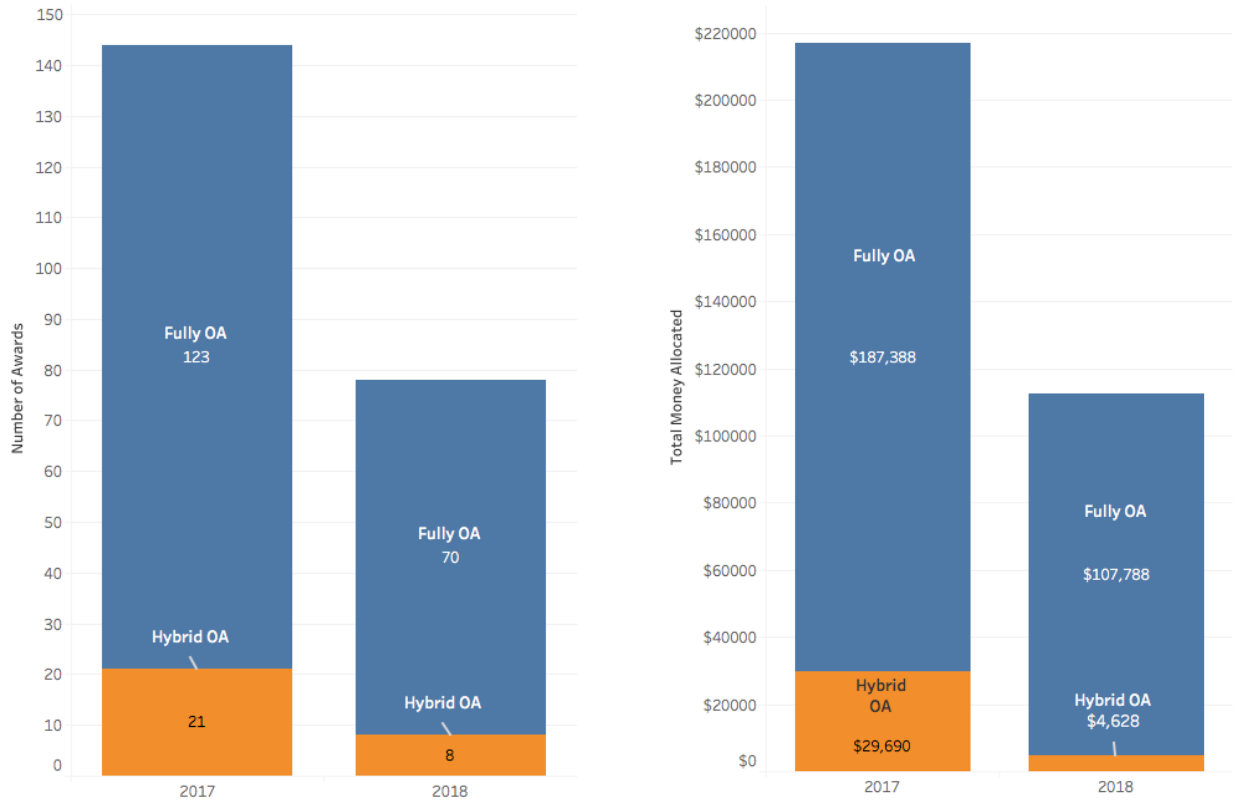


Table 1: Average hybrid and full OA APC in each year

	2017	2018
Fully Open Access	$1523	$1540
Hybrid Open Access	$1414	$579

Table 2: Journals in which authors published 3+ times each year

2017

Journal	*Number of Articles*	*Fully OA/Hybrid*
PLOS One	13	Fully OA
Scientific Reports	10	Fully OA
Ecology and Evolution	5	Fully OA
JAAD Case Reports	5	Fully OA
ZooKeys	5	Fully OA
Journal of Pain Research	4	Fully OA
Contemporary Clinical Trials Communications	3	Fully OA
Nature Communications	3	Fully OA
Sustainability	3	Fully OA

2018

Journal	*Number of Articles*	*Fully OA/Hybrid*
PLOS One	6	Fully OA
American Journal of Botany	3	Hybrid OA
BMJ Open	3	Fully OA
Scientific Reports	3	Fully OA
Sustainability	3	Fully OA

Though more research is needed to better understand UF authors' choice of journal when applying to the UFOAP, it's likely that the fund's ability to cover a larger proportion of a given APC for a journal is a factor. In 2017, 19% of requested APCs exceeded the maximum allowed by the UFOAP fund. In 2018, after a drop in the maximum award (to $2000 for fully OA publications and $1000 for hybrid OA), 45% of requested APCs exceeded approved funding.

Funding reached diverse constituencies with potential to broaden impact

Disciplinary Reach

As the figures below demonstrate, UFOAP funding had a strong impact in areas such as agriculture and medicine over 2017-2018, with a smaller number of awards distributed across 12 additional colleges and units such as the Florida Museum of Natural History. We anticipate these trends will persist to some extent due to demand and greater awareness of the UFOAP in a subset of departments; however, changes to eligibility criteria over the past two years should leave more funding available to distribute across the University.

Primarily, eligibility has changed through a prohibition on UFOAP monies going toward publication of articles funded by a federal agency or private foundation that requires public access to research outputs. Such articles may already be deposited in portals such as PubMed Central, or authors may include anticipated APCs in their grant proposal budgets. While we have always stressed that those with other available funding should use it rather than applying to the UFOAP fund, we adopted more explicit language beginning in 2018. Aside from NIH, which has had such a mandate in place since 2008, other federal agencies such as NSF and USDA have policies in effect for all publications based on research funded beginning in 2015 or 2016. We have already seen a reduction in UFOAP-supported articles that acknowledge federal agency support, from 42% of articles funded in 2017 to 32% of those funded in 2018, and we should see a further decrease in 2019-2020 as more publications fall within the scope of public access mandates. We are hopeful that this will enable us to encourage more applications from less represented disciplines in the College of Education and College of Business, among others.

Figure 2: Number of Awards by UF College, 2017

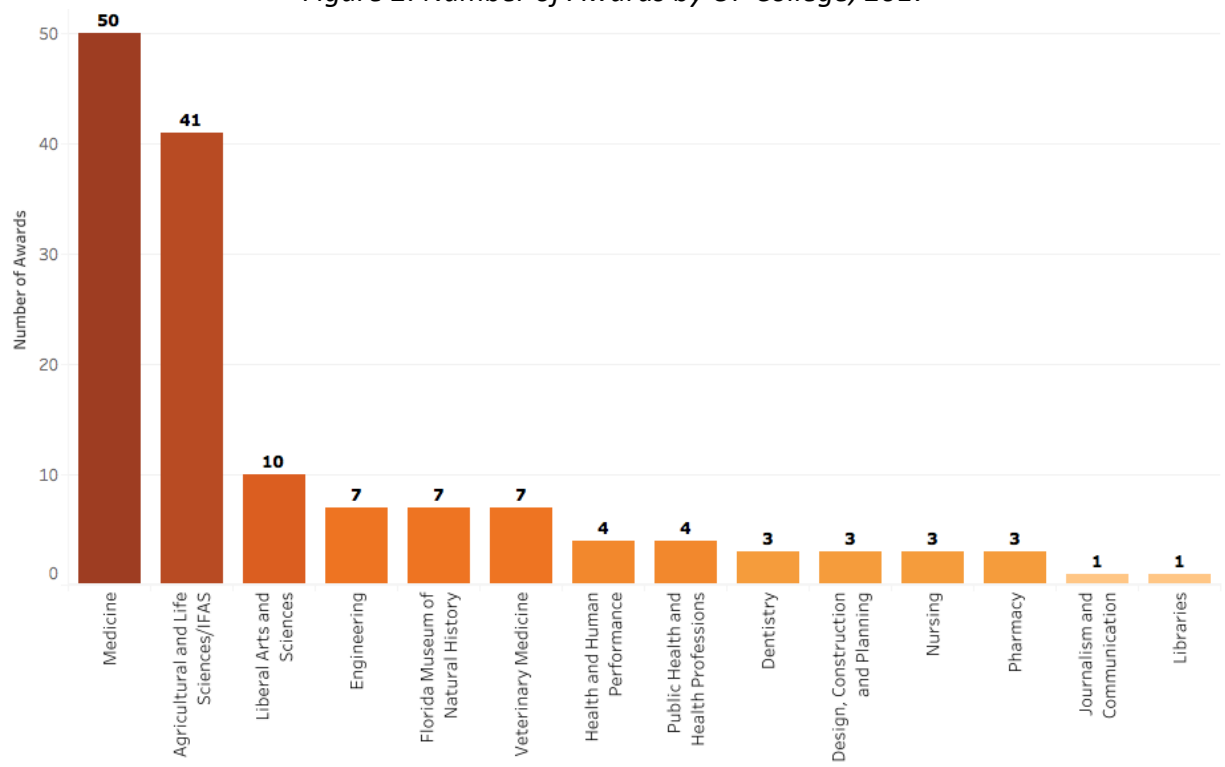


Figure 3: Number of Awards by UF College, 2018

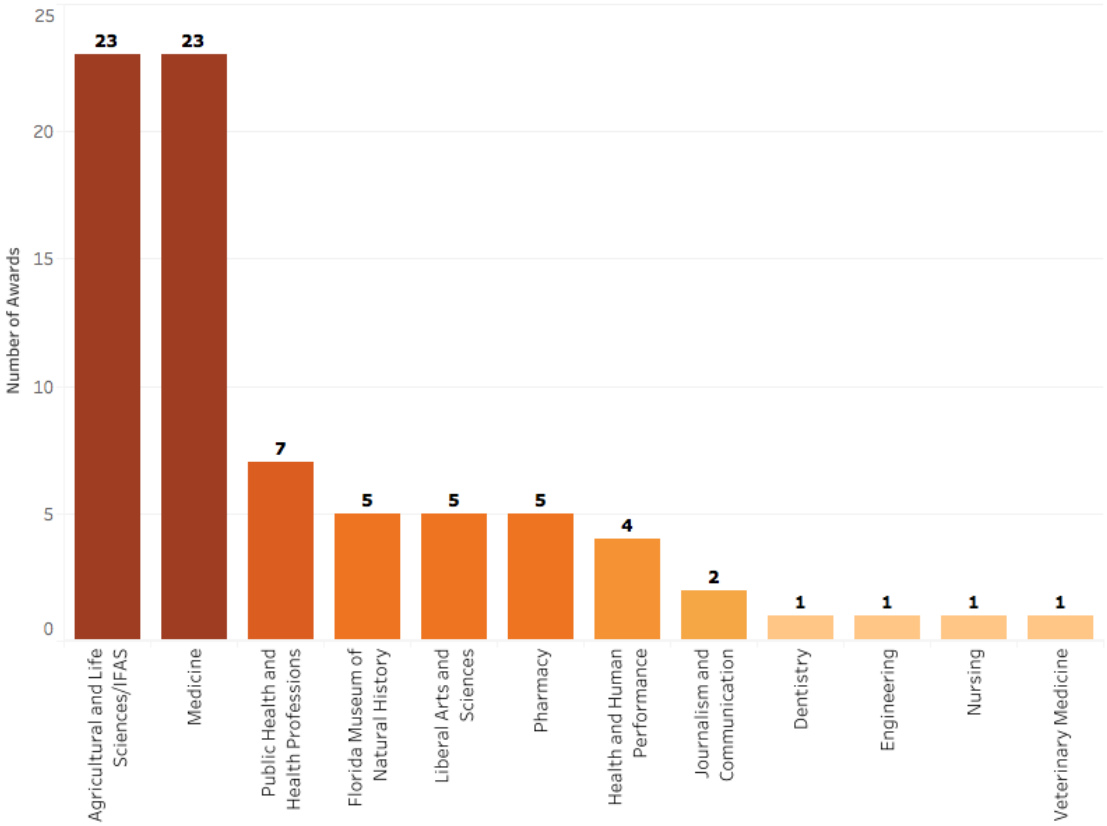


*Table 3: Departments receiving 2+ UFOAP awards each year**

2017

Department	*Number of Articles*
Entomology & Nematology	10
Medicine	7
Neurology	6
Agronomy	5
Anesthesiology	4
Neuroscience	4
Research & Education Centers	4
Pharmaceutical Outcomes and Policy	3
Radiation Oncology	3

**This table does not account for articles published by authors who did not list a specific academic department*

2018

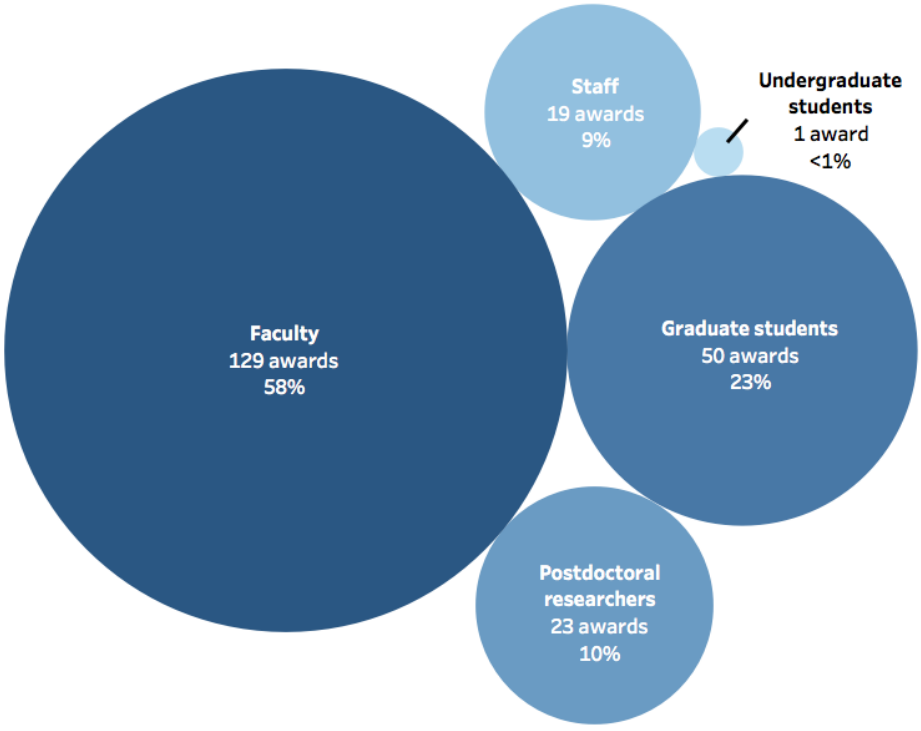
Department	*Number of Articles*
Entomology & Nematology	8
Health Outcomes & Policy	6
Agronomy	4
Medicine	4
Anesthesiology	2
Neurology	2
Pharmaceutical Outcomes and Policy	2
Radiation Oncology	2
Research & Education Centers	2

**This table does not account for articles published by authors who did not list a specific academic department*

Reach to Faculty, Students, & Staff

As the figure below shows, faculty members were most likely to receive funding from the UFOAP. This was expected, given that eligibility is limited to the first named author or corresponding author on a publication. However, substantial numbers of awards were also granted to postdoctoral researchers, research staff, and graduate students. In particular, the fund's potential impact in promoting student awareness of open access publishing and in easing the burden of publishing fees for students merits further exploration.

Figure 4: Awards by Career Status, 2017-2018



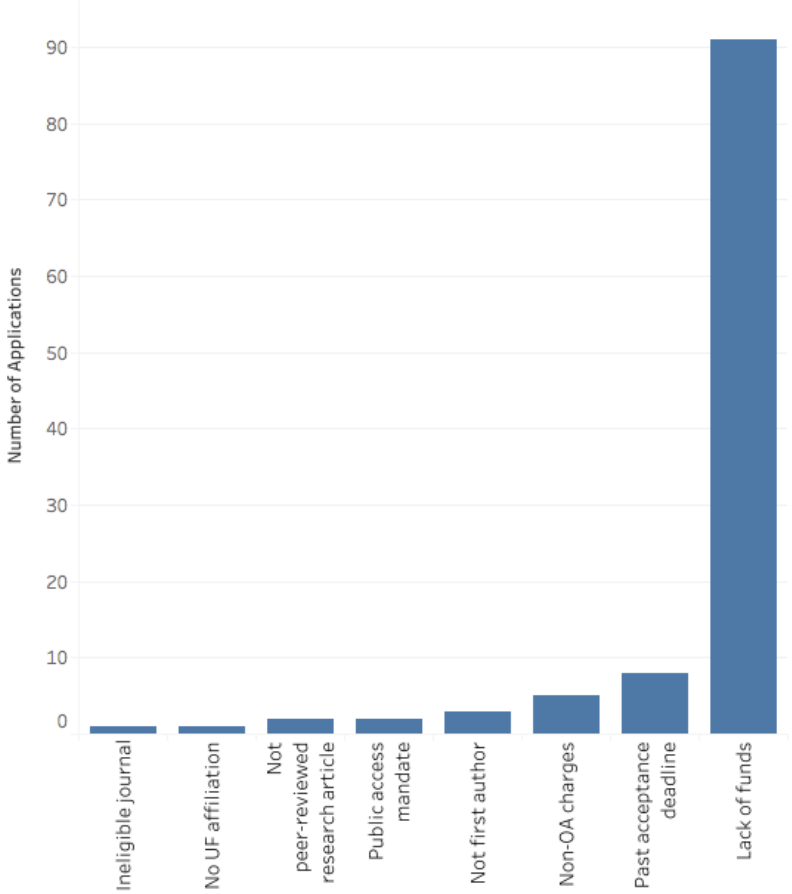
Examining article-level citation metrics

While it is difficult to assess the long-term impact of articles on their respective fields based on publications dates beginning just two years ago, UFOAP data offers an opportunity to analyze how a small subset of UF scholarship has circulated. As one starting point, Appendix B includes article-level citation metrics from the Clarivate Web of Science platform. WoS is not comprehensive, as it tracks citations among the journals indexed in its database; however, its strengths align closely with disciplines represented in the UFOAP. Of 222 articles supported in 2017-2018, 193 were indexed in WoS, with 73% of these cited at least once. Three articles were identified as "highly cited," meaning that WoS data indicates they are among the top 1% of articles cited in their fields.

Reasons for denied funding

When submitting the application form, authors must affirm that they meet specific eligibility criteria. This helps reduce ineligible applications, but Libraries faculty also screen incoming documentation to check for criteria such as author eligibility, maximum APC, and whether or not the article has been accepted within the past 60 days. But largely, applications have been denied funding due to lack of available funds.

Figure 5: Reasons for Denied Funding, 2017-2018



Appendix A: Scan of Peer Institution Programs

Implementation of centralized open access or article processing charge funds has varied widely across public institutions over the past decade. While some universities are currently sustaining such funds, others have retired funding or have not launched such funds. The overview below sheds light on 30 universities' approaches.

Of the 30 institutions reviewed as of August 2019, 13 have current open access publishing funds in place to cover or subsidize fees for open access journal publication. Of the institutions that do not have funds in place, at least seven offered funding at some point since 2010 but have since retired funding. A 2016 report from the Association of Research Libraries offers further rationale behind funding lapses, including the inability of funding to keep pace with demand and concerns that fee-based open access publishing is not sustainable.[2] It's worth noting that even where such funds are not in place, like UF other university libraries typically invest in other initiatives such as memberships that offer author fee discounts across all titles for a given open access publisher. Many institutions also invest in subventions for open access monograph publishing.

Universities With Current Funds

Florida State University
Indiana University, Bloomington
Purdue University
Texas A&M University
University of California, Berkeley
University of California, Davis
University of California, San Francisco
University of California, Santa Barbara
University of Kansas
University of Maryland, College Park
University of Massachusetts-Amherst
University of Pittsburgh
Virginia Tech University

Universities Without Current Funds

Georgia Institute of Technology
Michigan State University
North Carolina State University
Ohio State University
Penn State University
Rutgers University
University of California, Los Angeles
University of California, San Diego
University of Georgia
University of Illinois, Urbana-Champaign
University of Michigan
University of Minnesota-Twin Cities
University of North Carolina, Chapel Hill
University of Texas, Austin
University of Virginia
University of Washington
University of Wisconsin, Madison

[2] 2 McMillan, G., O'Brien, L., & Young, P. (2016). SPEC Kit 353: Funding Article Processing Charges (November 2016). SPEC Kit. doi:10.29242/spec.353

Hybrid Open Access

Of the 13 current funds, no institution offers support for publication in "hybrid open access" publications, where only some articles in a given journal are made openly available. Reasons for this policy include: 1) The difficulty of tracking publisher "double-dipping," where institutions may subscribe to journal content but also pay a second open access fee for the same content; and 2) The wide availability of alternative, legal options for sharing peer-reviewed "postprints" or accepted manuscripts through funder, institutional, or subject repositories.

More information about current open access funds

Florida State University
Maximum award: $1,500
Application deadline: Any time after Sept. 2017
Funding for monographs/book chapters: Up to $1,500
Fund website: https://www.lib.fsu.edu/page/open-access-publishing-fund

Indiana University, Bloomington
Maximum award: $2,000
Application deadline: Up to 1 year after acceptance
Funding for monographs/book chapters: Up to $15,000 available through Open Access Monograph Digital Publishing Initiative
Fund website: https://blogs.libraries.indiana.edu/scholcomm/2019/01/25/iu-bloomington-open-access-article-publishing-fund/

Purdue University
Maximum award: $2,000
Application deadline: After article acceptance
Fund website: https://www.lib.purdue.edu/openaccess/fund

Texas A&M University
Maximum award: $3,000
Total funding available: $100,000 faculty; $5,000 grad students
Application deadline: After article acceptance
Funding for monographs/book chapters: Allows book chapters and books up to $3,000
Fund website: https://library.tamu.edu/services/scholarly_communication/Open_Access/oakfund.html

University of California, Berkeley
Maximum award: $2,500
Application deadline: Up to 8 weeks after acceptance
Funding for monographs/book chapters: Up to $2,500 for chapters; up to $7,500 for books
Fund website: https://guides.lib.berkeley.edu/brii/guidelines

University of California, Davis
Maximum award: $1,000

Application deadline: Published up to 12 months prior or anticipated publication up to 6 months after application date
Funding for monographs/book chapters: Up to $1,000
Fund website: https://forms.library.ucdavis.edu/oafunds/

University of California, San Francisco
Maximum award: $2,000
Application deadline: After article acceptance
Funding for monographs/book chapters: Up to $5000 every two years or up to $2000 every year
Fund website: https://guides.ucsf.edu/oafund/criteria

University of California, Santa Barbara
Maximum award: No maximum
Application deadline: Within 3 months of publication
Fund website: https://www.library.ucsb.edu/ucsb-open-access-publishing-fund

University of Kansas
Maximum award: $1,500
Total funding available: $25,000
Application deadline: Submitted or accepted article; fund only accepts applications during the first 5 days of each month
Fund website: https://library.kumc.edu/oa-fund-home.xml

University of Maryland, College Park
Maximum award: 50% of total fee
Application deadline: After article acceptance
Fund website: https://www.lib.umd.edu/oa/openaccessfund

University of Massachusetts-Amherst
Maximum award: $1,200
Total funding available: $10,000
Application deadline: Accepted during current fiscal year
Fund website: https://www.library.umass.edu/soar-fund/soar-fund-guidelines/

University of Pittsburgh
Maximum award: $3,000
Application deadline: After article acceptance
Fund website: https://www.library.pitt.edu/open-access-author-fee-fund-policy

Virginia Tech University
Maximum award: $2000/article; $4000 per author each year
Application deadline: After article acceptance
Fund website: https://guides.lib.vt.edu/c.php?g=716242&p=5096882

Appendix B: 2017-2018 Citation Metrics

Below are listed citation data for articles awarded UFOAP funding 2017-2018, with metrics collected from Web of Science as of February 2019.

*Listed as "highly cited article" in Web of Science

Article	*WoS Citations*
Oliveira, A. S., Weinberg, Z. G., Ogunade, I. M., Cervantes, A. A. P., Arriola, K. G., Jiang, Y., … Adesogan, A. T. (2017). Meta-analysis of effects of inoculation with homofermentative and facultative heterofermentative lactic acid bacteria on silage fermentation, aerobic stability, and the performance of dairy cows. Journal of Dairy Science, 100(6), 4587–4603. https://doi.org/10.3168/jds.2016-11815	21*
Mayor, S. J., Guralnick, R. P., Tingley, M. W., Otegui, J., Withey, J. C., Elmendorf, S. C., … Schneider, D. C. (2017). Increasing phenological asynchrony between spring green-up and arrival of migratory birds. Scientific Reports, 7(1). https://doi.org/10.1038/s41598-017-02045-z	17
Garcia, J. M., Stillings, S. A., Leclerc, J. L., Phillips, H., Edwards, N. J., Robicsek, S. A., … Doré, S. (2017). Role of Interleukin-10 in Acute Brain Injuries. Frontiers in Neurology, 8. https://doi.org/10.3389/fneur.2017.00244	16
Seay, H. R., Putnam, A. L., Cserny, J., Posgai, A. L., Rosenau, E. H., Wingard, J. R., … Brusko, T. M. (2017). Expansion of Human Tregs from Cryopreserved Umbilical Cord Blood for GMP-Compliant Autologous Adoptive Cell Transfer Therapy. Molecular Therapy - Methods & Clinical Development, 4, 178–191. https://doi.org/10.1016/j.omtm.2016.12.003	13
Potts, A. H., Vakulskas, C. A., Pannuri, A., Yakhnin, H., Babitzke, P., & Romeo, T. (2017). Global role of the bacterial post-transcriptional regulator CsrA revealed by integrated transcriptomics. Nature Communications, 8(1). https://doi.org/10.1038/s41467-017-01613-1	12
Mahmoud, A. N., Mentias, A., Elgendy, A. Y., Qazi, A., Barakat, A. F., Saad, M., … Elgendy, I. Y. (2018). Migraine and the risk of cardiovascular and cerebrovascular events: a meta-analysis of 16 cohort studies including 1 152 407 subjects. BMJ Open, 8(3), e020498. https://doi.org/10.1136/bmjopen-2017-020498	11*
Gitzendanner, M. A., Soltis, P. S., Wong, G. K.-S., Ruhfel, B. R., & Soltis, D. E. (2018). Plastid phylogenomic analysis of green plants: A billion years of evolutionary history. American Journal of Botany, 105(3), 291–301. https://doi.org/10.1002/ajb2.1048	11*
Yang, X., Song, J., You, Q., Paudel, D. R., Zhang, J., & Wang, J. (2017). Mining sequence variations in representative polyploid sugarcane germplasm accessions. BMC Genomics, 18(1). https://doi.org/10.1186/s12864-017-3980-3	11
Crowl, A. A., Myers, C., & Cellinese, N. (2017). Embracing discordance: Phylogenomic analyses provide evidence for allopolyploidy leading to cryptic diversity in a MediterraneanCampanula(Campanulaceae) clade. Evolution, 71(4), 913–922. https://doi.org/10.1111/evo.13203	10
Stockdale Walden, H. D., Slapcinsky, J. D., Roff, S., Mendieta Calle, J., Diaz Goodwin, Z., Stern, J., … McIntosh, A. (2017). Geographic distribution of Angiostrongylus cantonensis in wild rats (Rattus rattus) and terrestrial snails in Florida, USA. PLOS ONE, 12(5), e0177910. https://doi.org/10.1371/journal.pone.0177910	10
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