Library Open Access Funds in Canada: review and recommendations

A report of the CARL Open Access Working Group
Library Open Access Funds sub-committee:

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Executive Summary

This report was prepared by a sub-committee of the CARL Open Access Working Group struck to examine library open access funds in Canada and develop guidelines for successful management of these funds. The sub-committee surveyed 14 CARL institutions in Canada with OA funds in March and April 2015, asking for information about histories of each fund, criteria used to award OA grants, how workflows are managed and how funds are assessed. All institutions responded to the survey and their responses were compiled into this report.

Overall, this report reveals that diversity is the most uniform characteristic of OA funds in Canada and that most libraries are still experimenting with these ventures. While institutions demonstrate consistency in some areas, particularly eligibility criteria, a wide variety of approaches are exhibited in many other aspects, including funding amounts, workflows, and assessment measures. The survey data also highlight that individual institutional characteristics make a "one size fits all" approach to fund management inappropriate. Accordingly, the sub-committee did not develop a set of guidelines; instead, the report offers some recommendations and suggestions for further exploration and research.

Major findings and recommendations

Part 1: Fund history

OA funds vary greatly in size across the 14 institutions, ranging from $10,000 at Brock University to $350,000 at the University of Calgary, with a mode of $50,000. Generally, larger, more research-intensive universities have larger OA funds. Most funds draw on library collections' budgets, while some include monies from research offices or other units.

Part 2: Criteria for the fund

Most OA funds are open to all faculty and staff at an institution on a first-come, first-serve basis. Funds usually cover journal articles as well as other forms of scholarship including books and creative works. Journal eligibility criteria focuses on fully open access publications, but varying definitions of "open" are used.

Part 3: Workflow

Funds are most often managed by librarians in scholarly communication or public services role. There is no common approach to paying APCs, with some institutions paying publishers, others reimbursing authors and some doing both. While authors may be required to submit funded works to their institutional repository, in most cases libraries assume that duty for them.

Part 4: Fund assessment and changes

Most institutions do not practice systematic assessment. Quantitative measures, such as budget expenditures, numbers of applications and articles funded, etc., are commonly used. Seven institutions (Brock, Memorial, Calgary, Manitoba, Regina, Ottawa and Toronto) made major changes to their funds while this report was underway due to financial pressures; some suspended their funds outright, while others reinvested monies into supporting strategic OA initiatives such as publisher memberships and institutional repository development.

Recommendations

As noted, this project did not generate any universal guidelines for OA author funds. However, data from the survey provides the basis for several practical recommendations:

- Adopt a more evidence-based approach to fund amounts: Data on past fund usage and current information on number of eligible applicants would help institutions determine whether the amounts considered are adequate, as well as to help predict how far a fund can "stretch".
- Monitor time spent on managing OA funds: tracking the time spent on this work will allow libraries to more clearly evaluate the staffing costs involved.
- Provide clear, openly accessible fund documentation: supporting documentation will make it easier for authors to successfully navigate the application process and reduce time spent by library staff adjudicating applications.
- Ensure eligibility criteria for applicants are transparent and objective, and can be adjusted as needed
- Develop eligibility criteria that encourage authors to consider best practices in OA publishing: Libraries could increase clarity and accountability by adopting uniform criteria for assessing the openness of journals – and of their business practices.
- Clarify the rights of authors and users: Libraries can more fully support open scholarship and authors' rights by recommending that funded authors retain full rights to their work, as well as by specifying that funded materials be freely and immediately available to all users.

- Facilitate automatic deposit of funded articles in a repository: Requiring grant recipients to archive their funded work in the institutional repository - if available - further enhances dissemination of their research, in addition to strengthening the researcher's ties to the library
- Develop systematic assessment measures to allow comparative analysis within and between institutions: CARL could adopt the foundational measures of fund activity used by SPARC, for example, to create its own set of benchmarking tools to facilitate aggregate data collection and analysis.

Introduction

Many Canadian universities have demonstrated their support for open scholarship by offering funds to support authors who choose to publish research in open access (OA) journals. Canada's new Tri- Agency Open Access Policy on Publications,[1] which requires recipients of funding from the Natural Sciences and Engineering Research Council of Canada (NSERC), the Social Sciences and Humanities Research Council of Canada (SSHRC) or the Canadian Institutes of Health Research (CIHR) to make their research outputs publicly accessible, will likely make this type of support even more necessary in the future.

SPARC, the Scholarly Publishing and Academic Resources Coalition, defines an OA fund as:

"a pool of money set aside by an institution to support publication models that enable free, immediate, online distribution of, and access to, scholarly research."[2]

These funds are generally used to pay for article processing charges (APCs) in OA journals and/or institutional membership fees charged by OA publishers such as BioMed Central or Hindawi.

A review of criteria used by libraries and institutions across North America which administer OA funds reveals wide variation in who and what is eligible for these grants[3]. There is also a lack of common standards for fund management issues such as workflow, budgeting and accountability. To assist libraries in maximizing the return on their investment in these funds, the Canadian Association of Research Libraries (CARL) Open Access Working Group established a subcommittee to investigate OA funds in Canada and offer suggestions for successful fund operations.

The subcommittee's work is meant to help libraries:

- Assess fund successes and challenges;
- Clearly demonstrate return on investment;

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[1] Tri-Agency Open Access Policy on Publications. http://www.science.gc.ca/default.asp?lang=En&n=F6765465-1.

[2] SPARC. Campus-based Open-Access publishing funds. http://www.sparc.arl.org/resources/funds.

[3] Yates, E. (2014). Library Open Access publishing funds. http://www.slideshare.net/ElizabethYates/library-open-access-publishing-funds.

- Improve clarity when communicating with internal and external stakeholders, including researchers, university administrators, and publishers; and,
- Simplify the process for institutions wishing to establish new OA funds.

While this work focuses on OA funds at Canadian academic libraries, the results could also be valuable for institutions in the US and other locations which manage similar funds.

To gather evidence for this project, information was collected using a web-based survey (see Appendix B) circulated to the 14 Canadian institutions known to have OA publishing funds. All of these institutions are also CARL members. All 14 institutions answered the survey, which was administered in March and April 2015. See Appendix A for a list of all institutions and a brief overview of their funds.

Results of the survey

Part 1: History of fund (Q.1-7)

Origin and intent of fund (Q.1-3, 5)

Most of the 14 OA funds have been established within the last three years, although some are much older: for example, the University of Calgary has had a fund since 2008. Typically, these funds are referred to as an Open Access Author Fund or Publication Fund.

A common theme emerged that these OA funds were established to promote openness to academic research. Most respondents mentioned that the fund was established to support faculty, staff and students to publish in fully OA journals. At the University of Regina, being published in an OA journal was an opportunity to showcase faculty research findings, while for Brock University, the OA fund is an educational initiative and a way to encourage alternate forms of publishing. At least three other universities mentioned that these funds were established to support alternate business models in journal publishing, as described by SPARC:

> *"By setting aside resources for the express purpose of encouraging authors to publish in open-access journals, open-access funds demonstrate an institution's concrete support for reshaping the economics of scholarly communication."*[4]
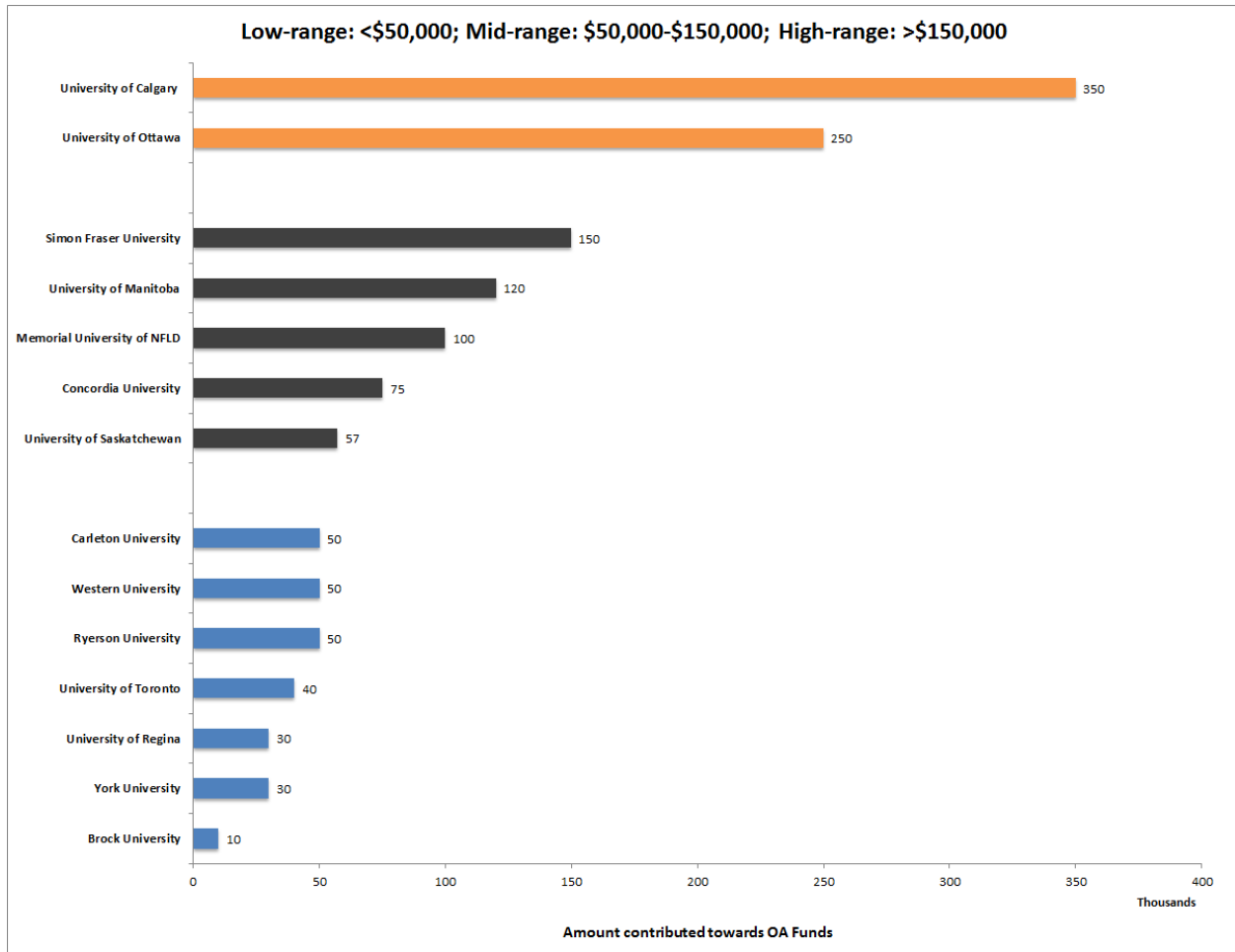
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[4] SPARC. Funds introduction. http://www.sparc.arl.org/resources/funds/intro.

At the University of Ottawa, one of the objectives of the OA fund was to support federal grant-funding bodies and their policies on OA to research. Some faculty members at the University of Calgary were early adopters of the BioMed Central's format of paying to publish, which led to the establishment of a more formalized model to support faculty and students publishing in other OA journals, including PLoS. York University's OA fund was started initially with a small amount and later doubled to support OA publishers in addition to BMC & Hindawi. Other reasons given for establishing an OA fund by institutions were to support faculty members and authors publishing in Gold OA journals, and to assist authors by paying for "reasonable article processing or publishing fees".

Fund amounts (Q.4)

There is a great range in amount and distribution of funding across the institutions surveyed, with monetary support for the OA funds ranging from $10,000 at some of the smaller universities to over $250,000 at a couple of the larger ones. Seven universities established funds between $10,000 and $50,000, five universities had funds over $50,000 but less than $150,000, and two universities contributed more than $150,000 towards their funds.

Fig. 1: Canadian Library OA Funds: Funding Amounts

Low-range: <$50,000; Mid-range: $50,000-$150,000; High-range: >$150,000

Amount contributed towards OA Funds

Since OA fund management is still in an experimental phase, amounts have not remained constant over time. Some institutions have made an initial investment and chosen to monitor activity in subsequent years. For example, at Concordia University, the fund was allocated an initial amount of $50,000 to be spent over multiple years, and in the fall of 2014, the Office of the Vice-President, Research & Graduate Studies allocated another $25,000 to the fund. Both Western University and Carleton University had initial investments of $50,000. Carleton University used up its funds within the first three years, while Western University invested another $70,000 after the first year. Both universities are waiting to hear if these monies will be renewed. Some university libraries launched large OA funds and have been fortunate enough to be able to top up their funds after the initial funds were expended. On the other hand, the University of Manitoba created its Open Access Authors' Fund in 2010 with an initial annual

amount of $120,000, but later terminated its fund entirely in April 2015. Finally, other institutions have established open access funds as initial investments and then adopted a wait-and-watch approach.

Observation

Most of the Canadian university libraries surveyed are experimenting with their OA funds. They are trying to understand how much funding is necessary and how soon certain amounts will be expended. As the benefits of open access publishing become clearer, more publishers are promoting open access journals that charge APCs. We believe that the trend to publish in these journals will increase. It remains to be seen how library open access funds can best support this trend.

Fund Accounting & Reporting (Q.6)

Most universities reported that, since the fund was a part of the library budget, fund administration and reporting were under the purview of the library. For example, at the University of Toronto, a Scholarly Communications Committee - administered by the library's Scholarly Communication and Copyright Office- is responsible for managing the fund. At Carleton University, funding came from the library and the Office of the Vice-President (Research & International) (OVPRI), and the library reports on the fund's status to the OVPRI biannually. At Simon Fraser University, OA fund money came from the library collections budget while the fund was ultimately responsible to the Office of the Vice-President, Research. One notable exception is the University of Saskatchewan, where the fund is overseen by the Office of the Vice-President of Research.
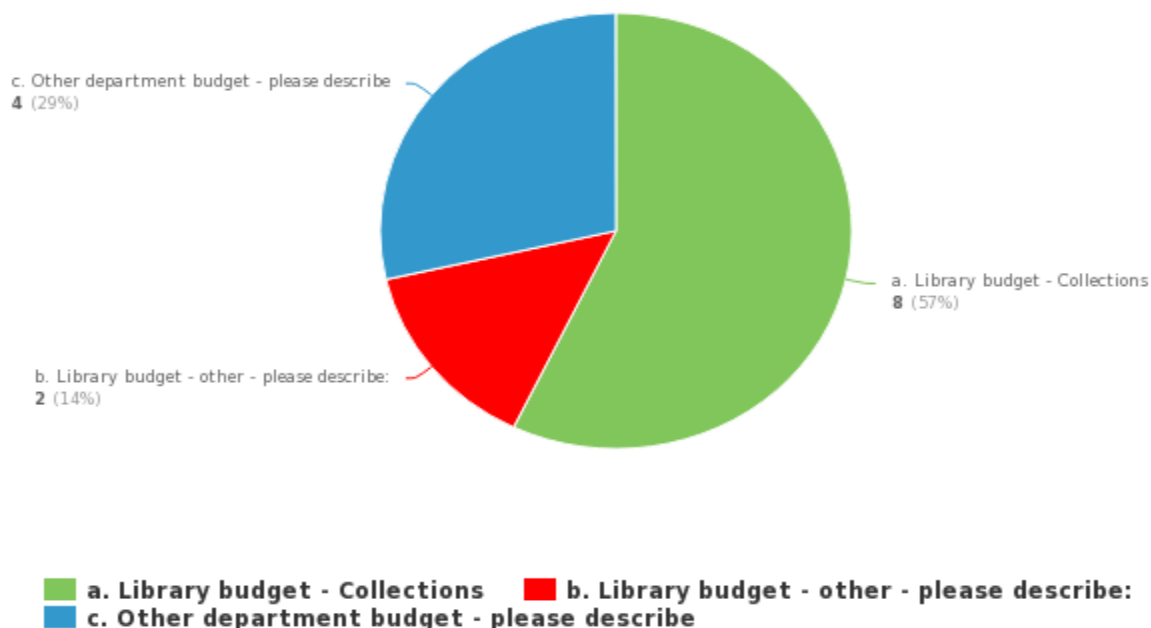
Observation

As more players are involved in establishing and advancing money towards OA funds, there will be a greater need for accountability and transparency of the funds, as well as clear policies about who and what is eligible. Most Canadian libraries have been at the forefront of supporting their researchers by offering a wide range of academic resources and formats. Creating informative resources such as Libguides, which include detailed policies and an OA application checklist, helps make the OA funding process transparent and manageable.

Funding allocation: Where does the money come from? (Q.7)

Canada's new Tri–Agency Open Access Policy on Publications highlights the question of "where will the money come from to support publishing in fully OA journals?".[5] The policy specifies that grant recipients must make any peer-reviewed journal articles resulting from funded research openly accessible within 12 months of publication by either depositing the article in a repository or publishing in a journal that offers immediate OA options. The cost of publishing in OA journals is an eligible expense for federal research grants in many cases.

Fig. 2: Origin of monies supporting OA fund

c. Other department budget - please describe
4 (29%)

a. Library budget - Collections
8 (57%)

b. Library budget - other - please describe:
2 (14%)

a. Library budget - Collections   b. Library budget - other - please describe:
c. Other department budget - please describe

Most of the Canadian universities surveyed drew money for their OA funds from the library collections budget. It was not clear whether this money was drawn from the existing collections budget or whether additional money was added to the budget to make these funds possible. In the case of Brock University, the money came from a pool of research-related funds received by the library; for its final year, monies were drawn from the monograph budget.

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[5] Tri-Agency Open Access Policy on Publications. http://www.science.gc.ca/default.asp?lang=En&n=F6765465-1.

A few unique cases were also seen:

- The University of Toronto established a general fund under the library budget.
- The Office of the Vice President of Research provided money from the University of Saskatchewan budget.
- At the University of Ottawa, the fund received financial support from the university, the library and most faculties. A working group represented by the Office of the Vice-President, Research, the Library, and all contributing faculties jointly developed initial implementation procedures and policies.

Observation

OA funds tend to be more substantial when supported by other entities in addition to the library, such as university research offices. This reflects shared financial contribution and is an important indicator of shared responsibility for supporting institutional scholars as they encounter APCs when pursuing OA publication.
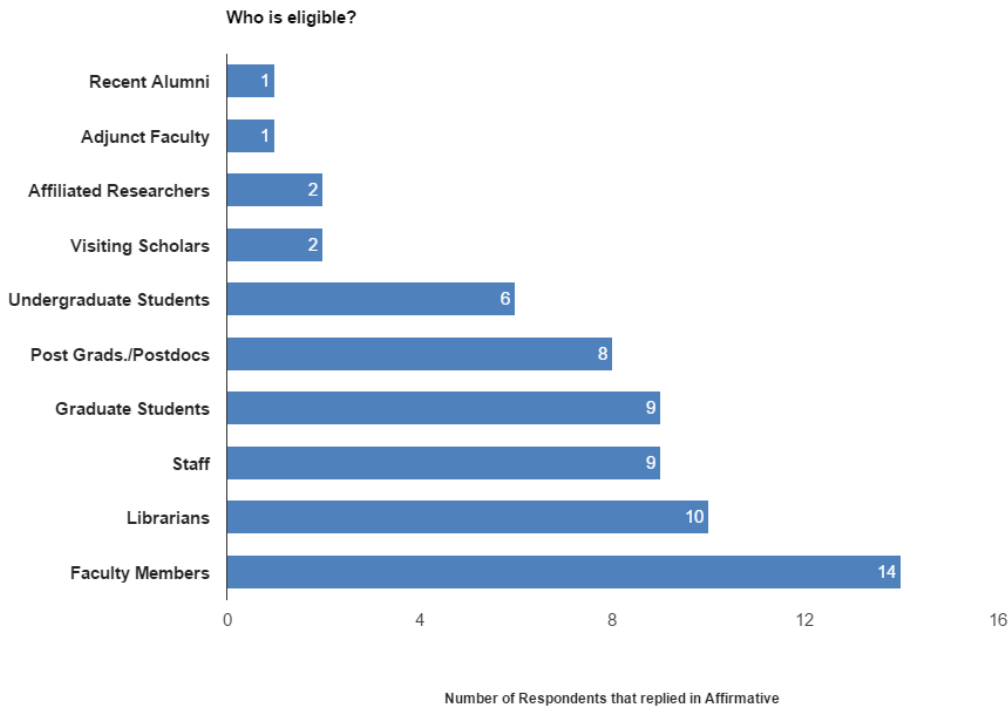
Part 2: Criteria for the fund (Q.8-16)

Who is eligible? (Q.8-9)

In most universities, faculty members, librarians, staff, graduate students and postgraduate students were eligible to apply for the OA funds. In some cases, undergraduate students, visiting scholars, part-time faculty, sessional members, and researchers affiliated with research institutes could also use these funds. One respondent mentioned that if research for an OA article had been completed by an alumnus while he/she was still at the institute, it would be eligible for funding. Of the 14 universities surveyed, at least six also allowed undergraduate students to apply for OA funding.

Some respondents specifically mentioned that undergraduates and graduates not currently enrolled in courses were ineligible (e.g., University of Ottawa). In another university, librarians, undergraduate students and visiting scholars were excluded, though the fund administrators had the ability to change eligibility criteria and make accommodations as needed (Brock University).
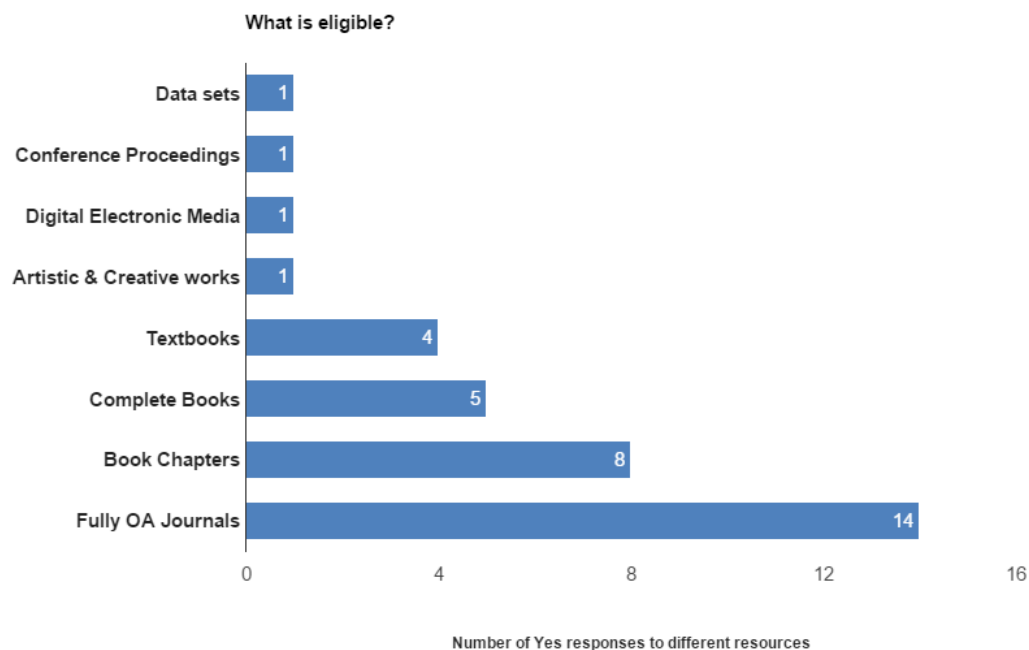
Fig. 3: Who is eligible for OA funding?

Who is eligible?

Category	Number
Recent Alumni	1
Adjunct Faculty	1
Affiliated Researchers	2
Visiting Scholars	2
Undergraduate Students	6
Post Grads./Postdocs	8
Graduate Students	9
Staff	9
Librarians	10
Faculty Members	14

Number of Respondents that replied in Affirmative

What is eligible? (Q.10)

Most OA funds cover journal articles published in fully OA journals and book chapters. OA funds could also usually be applied towards complete books, textbooks and even artistic, creative, or literary works. If funds were applied to a digitized collection, then the entire collection was to be made freely available online. One respondent stated that conference proceedings, monographs and data sets were also covered.

Fig. 4: Materials eligible for funding

What is eligible?

Category	Value
Data sets	1
Conference Proceedings	1
Digital Electronic Media	1
Artistic & Creative works	1
Textbooks	4
Complete Books	5
Book Chapters	8
Fully OA Journals	14

Number of Yes responses to different resources

Criteria to evaluate applications (Q.11-12)

Two common criteria emerged regarding how applications were evaluated:

1. a journal should be fully OA (that is, the journal makes its entire contents freely available immediately upon publication); and,
2. authors must use their grant funding before applying for the OA funds.

In most cases, funding is offered on a first-come, first-served basis. Four respondents mentioned that a journal must be listed in the [Directory of Open Access Journals](http://doaj.org);[6] three stated that the journal must make fee statements publicly available. Other criteria included:

- first-time applicants only;
- new faculty (less than five years at the university);
- one application per person per fiscal year; and,
- monetary limits on the amount refundable.

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[6] Directory of Open Access Journals. http://doaj.org.

Only one university allowed authors to submit two articles per fiscal year (University of Ottawa). University of Ottawa also supported publications in hybrid OA journals, as long as all other criteria were met. A number of institutions also mentioned that the criteria could be waived based on the discretion of the fund administrator, subject to availability of funds; allowing, for example, more than one application from a faculty member, or a higher reimbursement.

One university specified that journals must comply with the Open Access Scholarly Publishers Association's Code of Conduct.[7] It further stipulated that, even though a paper might be authored by a group of researchers, only one author would be eligible for funding, and this author must be affiliated with the university. At least five respondents mentioned that a paper's first author needed to be the primary grant applicant. Libraries also generally wanted authors to acknowledge OA funding support in their final published paper. Other required elements touch on fund administration and billing. For example, Brock University required the final invoice be submitted within four months of grant approval, and also that funding recipients deposit the article in Brock's institutional repository within one month of publication. These types of additional requirements will be discussed further below.

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[7] Open Access Scholarly Publishers Association. Code of Conduct. http://oaspa.org/membership/code-of-conduct/.

Fig 5: Elements required of funded works and applicants
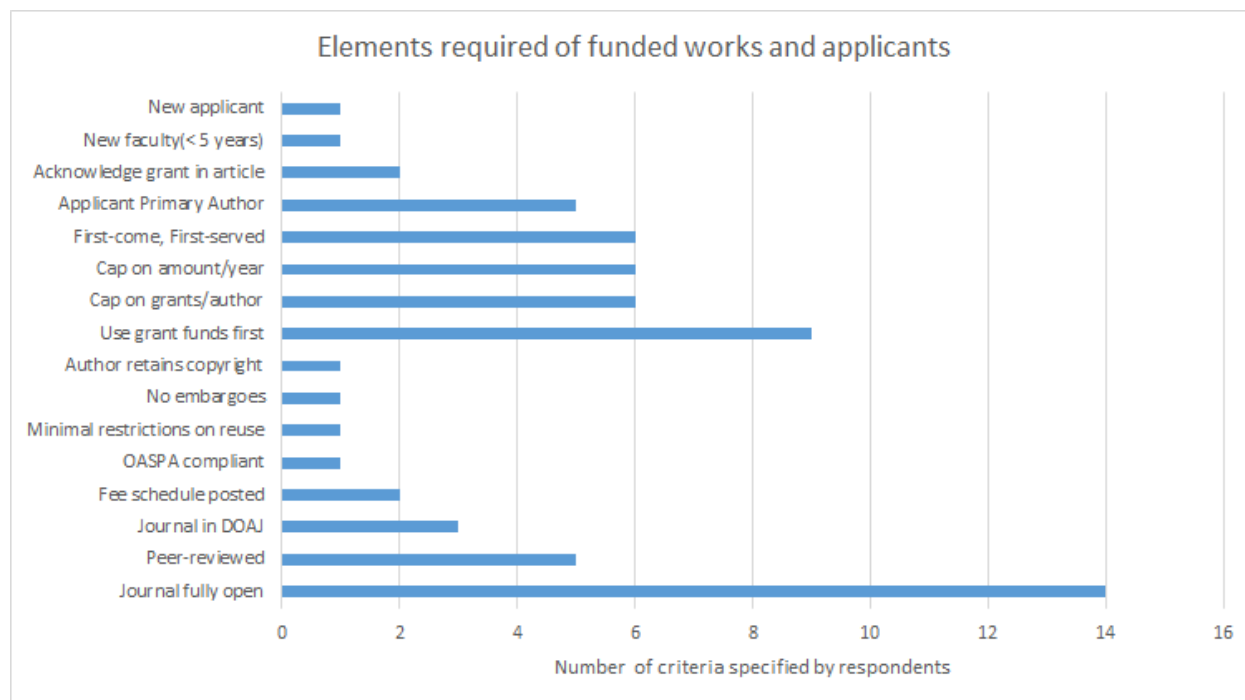

Assessing openness (Q.13-16)

OA usually means authors have more control over their content, and readers have greater freedom to reproduce and reuse these materials. This tenet is embraced at most institutions surveyed, requiring fund recipients to ensure their work carries minimal restrictions on re-use. Two institutions require that funded materials be published with Creative Commons (CC) licensing, which permits greater reuse of content. Western University specifies use of the least restrictive CC-BY, which calls for attribution only. York University permits the full range of CC licensing, from CC-BY to the most restrictive option of CC-BY-NC-ND, which permits only non-commercial, non-derivative use with attribution.

While most institutions do not specify that CC licensing is required, other criteria speak to the importance of author-retained copyright and reader freedom. Two institutions specified that authors must retain rights to their material. Other criteria require "minimal restrictions" on redistribution or reuse, and state that content must be made publicly accessible immediately, without any embargo periods.

Deposit of funded materials in an institutional repository (IR) is mandated by nine institutions; however, compliance may be a challenge. As one institution reported, "We require it, but reimbursement does not depend on it, so we rarely see the authors depositing."

At one university, funded works are automatically deposited in the IR; another university has agreements with individual publishers - in particular, PLoS and Hindawi - to facilitate automatic deposit.

Fig. 6 : Do you require funded works to be deposited in your institutional repository?
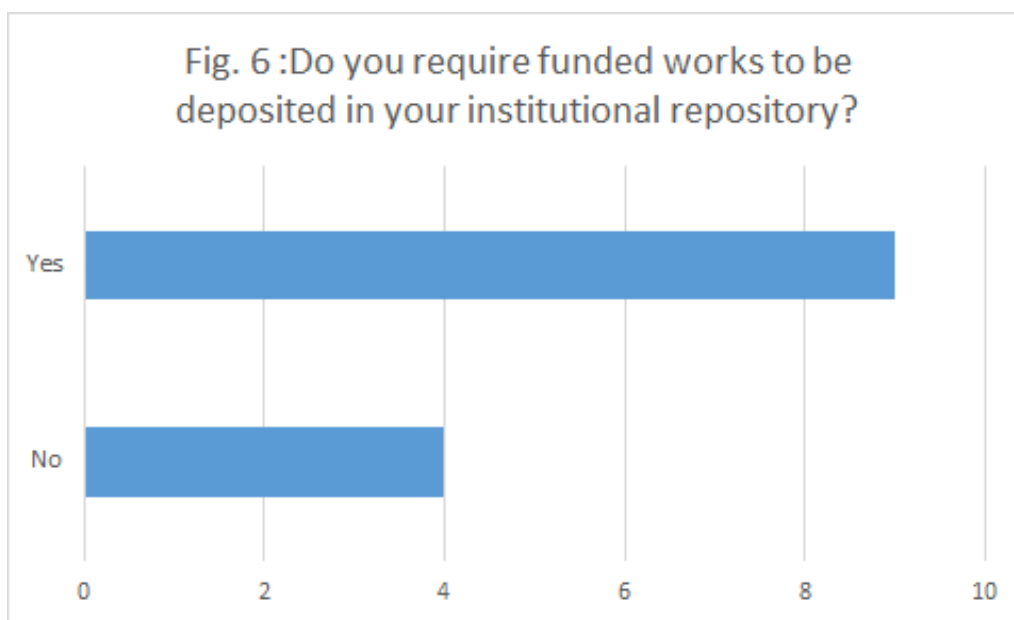
Observation

Canada's new federal OA policy creates a strategic opportunity to pursue more automatic deposit agreements, which offer positive benefits for researchers, universities, funding organizations and publishers. Automatic deposit workflows remove the onus from researchers who may see deposit as just one more duty on an already overflowing to-do list, while still increasing the global reach of their research and enhancing their institution's prestige. Forging agreements between NSERC, SSHRC and journal publishers would create a standardized deposit process with terms agreed upon by both parties. Libraries could assist in promoting the creation of such agreements by working with our national organization, CARL, to advocate for negotiations between publishers and the funding agencies and by providing information about OA and repositories to all stakeholders. Fortunately, many deposit agreements are already in place elsewhere which serve as useful examples; e.g., more than 1,000 journals voluntarily submit papers to PubMed Central, thus allowing authors to comply with funding requirements from the U.S. National Institutes of Health. For example, a similar arrangement could develop in Canada to facilitate automatic deposit of articles funded by Canadian Institutes of Health

Research into PubMed Central Canada. More work is needed to pursue deposit partnerships benefiting researchers in a wide range of disciplines.

Some universities are currently evaluating their fund criteria and policies based on the Tri-Agency Open Access policy. At other institutions, funding programs have been so successful that monies have been expended sooner than anticipated. At the time of this survey, some universities were unsure if additional money would be invested in 2015-2016.

Additionally, some institutions are finding other ways to promote OA publishing. For example, Carleton University's library has awarded $5,000 to graduate students publishing research in OA journals on a yearly basis since 2011.[8] This is in addition to its regular OA fund, for which graduate students are also eligible.

Part 3: Fund workflow (Q.17-19)

Receiving and adjudicating applications (Q.17)

At 13 of 14 institutions, responsibility for receiving and adjudicating the applications to the OA fund rests at least in part with a librarian, though the exact position's title and place within the library's organizational structure differs from institution to institution.

Seven institutions reported that a Scholarly Communications Librarian or equivalent role is responsible for this review. Equivalent position titles include Head of Scholarly Communications and Copyright, Associate University Librarian for Scholarly Communications, and Digital Initiatives or Digital Scholarship Librarian.

At the University of Calgary, the review is done by the Book & Media Collections Librarian, while at York University, it falls to the Electronic Resources Librarian, and at the University of Manitoba, the Research Services Librarians. At some institutions, applications are reviewed jointly: for example, at the University of Regina, the review is done by a librarian along with the University Librarian, and at both Carleton University and Western University, by two librarians. At Saskatchewan, the fund is managed by the Research Services and Ethics Office, which is a separate university department outside the library.

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[8] MacOdrum Library. Graduate Student Open Access Award. https://library.carleton.ca/services/scholarly-communications/open-access/gsa-award

Observations

At institutions without a dedicated position for scholarly communications activities, responsibility for receiving and adjudicating the applications to author funds is most often managed by those librarians already in a reference or public services role, rather than by those working in technical services. This may be because these librarians are already in a liaison relationship with faculty, the primary beneficiaries of author fund payments, or may already be doing related scholarly communications activities, such as promoting open access models of publishing. One exception is Western, where the Metadata Librarian/Institutional Repository Coordinator and the Web Services Librarian co-adjudicate the applications.

Fund management and administration (Q.18)

Ten institutions reimburse or pay the grant recipient directly, while nine pay invoices directly to the publisher. For institutions that pay the recipient directly, it is most commonly the financial arm of the library's administration unit which pays the recipient (five institutions), with university finance being the second most common (three institutions), and the library collections department the third most likely (two institutions). For the institutions that pay invoices to publishers, payments are managed more or less evenly between library administration (four institutions) and library collections (three institutions) with only one institution (University of Manitoba) reporting that while invoices are processed with library collections, cheques to publishers are issued by university finance.

Observations

There is no common approach to paying APCs. A third of the institutions employ both strategies to cover the APC costs (i.e., paying either the author or the publisher directly), while the remaining two-thirds either only pay publishers directly, or leave it to the author to pay the APC and then reimburse the author directly. Most institutions that employed only one strategy cited institutional regulations or policies for preferring that particular method.

Institutions that reimburse the author are more likely to channel the process through a central library or university finance department. This distribution is not surprising, as it likely this group would have access to the recipient's payroll or direct deposit information in order to complete the transaction. That many libraries pay the publisher invoices is also likely due to the fact that libraries usually already have regular workflows which include the paying of publisher invoices. There is a relatively even split between library collections and library administration in paying publisher invoices.

Monitoring and tracking funded articles (Q.19)

The monitoring section comprised two questions related to responsibility for monitoring fund balance and tracking payouts. All 14 institutions reported performing both activities.

At seven institutions, a librarian was specifically tasked with monitoring the balance of the fund, at four institutions, a librarian and library finance jointly performed this task, and at three institutions, the library or university finance alone monitored the fund balance. For tracking payouts, four institutions reported a librarian was individually tasked, and six reported the responsibility resided with a librarian in conjunction with library finance, while at two other institutions, the equivalent of the collections department was the reported responsible group, and at the remaining two, the responsibility lay with library/university finance.

Thirteen institutions submitted a response about how they recorded and tracked funded articles. Almost half (46.2%) stated that they used a spreadsheet or Google docs for this process.   This finding is not surprising due to the ubiquity of both programs in the workplace. Responses included regularly monitoring of the status of submitted articles and documenting APCs. Three respondents indicated they contacted OA publishers where their institution held a membership account (e.g. PLoS and BioMedCentral) to get updates.

Fig. 7: Recording and Tracking of Funded Articles
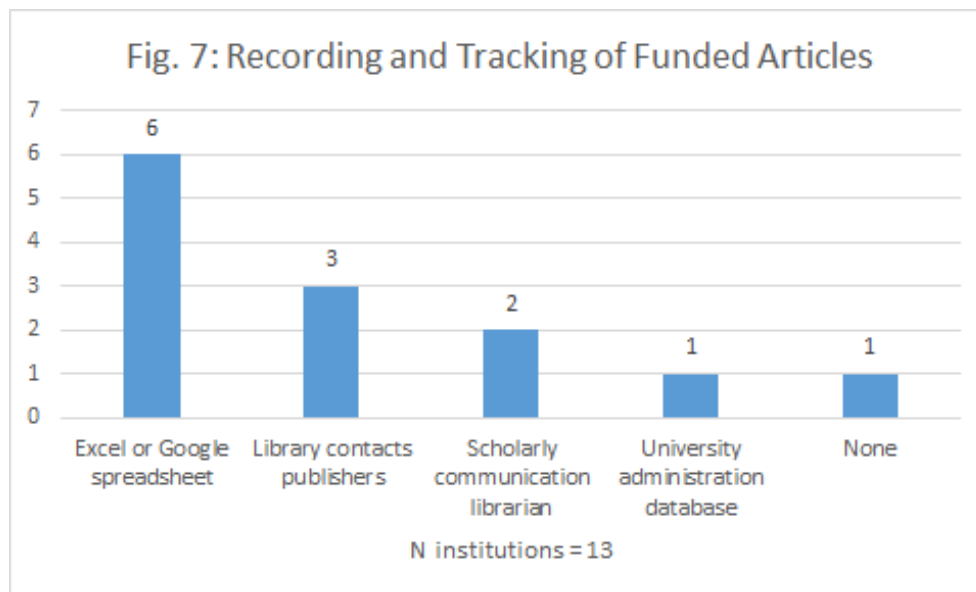
N institutions = 13

A majority of respondents (53.8%) stated that the library was responsible for ensuring content was uploaded to the institutional repository. One interesting comment was that one institutional repository was currently not self-serve; a librarian was commonly the lead for

depositing and coordinating with other staff and the authors. Four libraries stated that the author was responsible for self-deposit, but that the library was available to provide assistance. At least one library (Western University) reported that, while it requests authors upload their materials to the institutional repository themselves, few authors actually do, and so the library often ends up with this task.

Fig. 8: Uploading content into an institutional repository
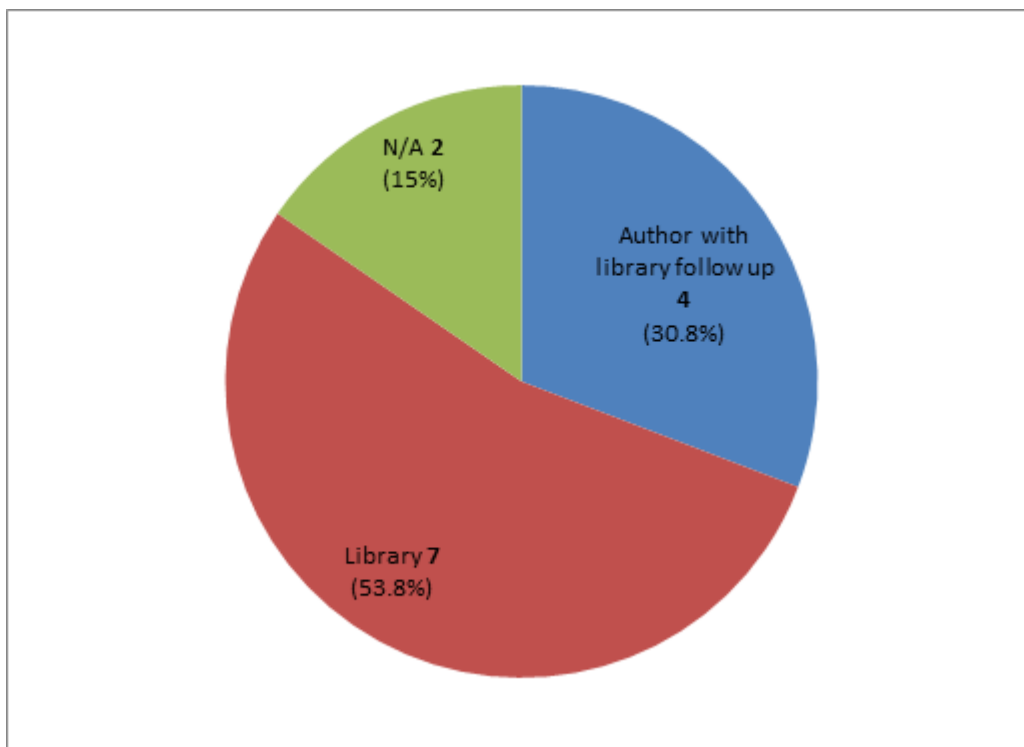
Three additional responses were listed under "other tasks". These comments were interesting, as they pointed to additional tasks that universities could undertake with monitoring funded works. A majority of institutions have an OA site, so the task of linking funded articles and promoting them on social media (as mentioned in one response) is a possibility. Another comment was that payments were tracked in an ILS, and so, as more libraries start migrating to more powerful next-gen systems, the process of managing OA funds there could occur. The third comment received indicated that reports were sent annually to SPARC using the same spreadsheet for article submission tracking. This function could become a standard practice if Canada's research funding agencies or CARL requests it for statistical purposes.
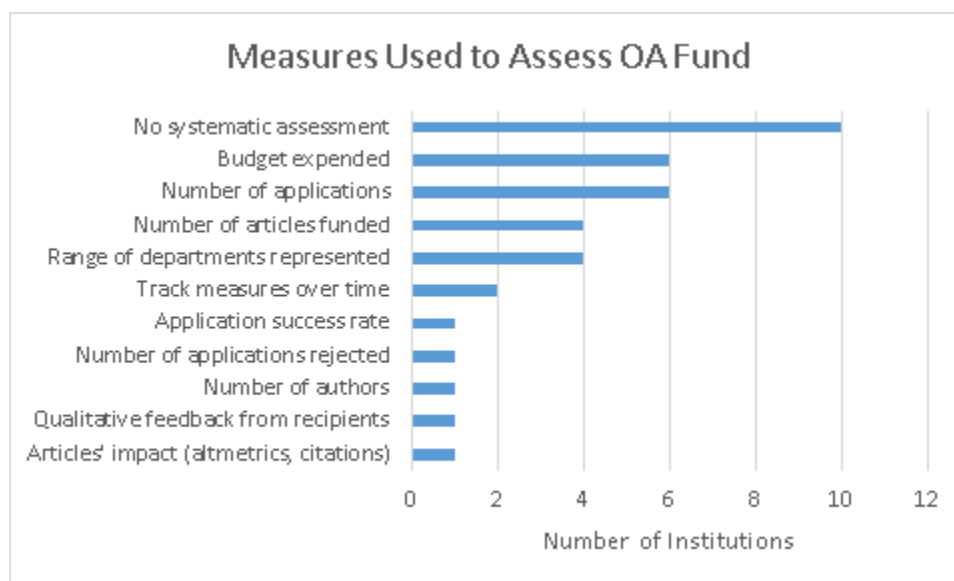
Observations

Some inconsistencies were received in the responses to this question, leading us to believe that some responders interpreted the recording and tracking questions differently. A few indicated the position responsible but did not indicate the process for completing the task. It is possible that those institutions also use spreadsheets or Google Docs to record and track funded articles. Article submissions need to be documented somehow. Another factor to consider is the growth of publicly funded OA article submissions due to the recent release of the new Tri-Agency Open Access Policy on Publications. To meet capacity, recording and tracking of funded works could shift from the library to another department or unit (e.g., financial services, research office, etc.) that uses a more centralized administrative tool.

Part 4: Fund Assessment (Q.20-26)

Fund Assessment Measures (Q.20)

In general, respondents measured fund activities in various ways, but had no systematic form of fund assessment. Measures used were primarily quantitative, with only one institution (Brock University) reporting collecting qualitative information. While 10 of 14 respondents indicated they lacked systematic assessment of their fund, 13 respondents referenced one or more measures of fund activity being tracked. Specific measures mentioned are included in the table below.

Fig. 9: Measures used to assess OA fund

Observation

Responses indicate institutions are uncertain how to assess their fund's success. This survey gathers the variety of measures being used among all 14 institutions and establishes a base of the types of measures to gather both for individual institutions as well as for collective reporting and benchmarking. Collective reporting of data would also allow for analysis of a larger set of transactions and provide aggregated results. SPARC has published details of OA fund activity from a number of institutions in North America[9]. Using the SPARC reporting data allows for not only aggregate but also international reporting and comparison. SPARC's October 1, 2014 report includes the following data:

- name of institution;
- dollar value of fund;
- date established;
- any limit on date (such as pilot end date);
- eligibility criteria for authors;
- eligibility criteria for publications;
- reimbursement levels;

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[9] SPARC. OA Funds in Action. http://www.sparc.arl.org/theme/open-access-funds.

- specific statistics on fund activity, such as number of articles approved and number reimbursed, number of unique submitting authors, departments, journals, and publishers.

In addition to the SPARC data, measures mentioned by respondents in Figure 11 above are also important, with one exception. Measuring the impact of funded articles by such means altmetrics and citations was mentioned by one respondent. Research has been published establishing that OA publications receive more citations.[10] Tracking article metrics may not be practical for all institutions; therefore, other than for institutions with a specific reason to track such information, it would not be necessary to include these metrics as part of ongoing OA fund assessment.

Measures to assess the success of the fund must relate to the fund's purpose. In many cases, the OA fund was established to support the institution's authors; therefore, measuring the number and variety of authors funded, as well as the amount of money spent, is important, and, indeed, these are among the most common measures being tracked. However, qualitative data is not gathered by most institutions. Such data is necessary, both to assess the success of the fund from the "user" (i.e., authors') perspective and to determine if the fund is meeting its purpose. For example, if the fund was established to support or encourage authors to publish articles as OA, did receiving money from the fund make the difference between the author publishing the article as OR or not? That is, did the author decide to submit their article to an OA journal because this funding money was available? Consideration should be given to gathering such qualitative information from authors, either at time of funding or through a later survey.

Here and elsewhere in the survey, respondents mention that demand on the fund exceeds funding available. However, no respondent stated that they track the number of eligible requests received that could not be funded due to budget limitations. Adding such a measure would provide fund administrators an indication of how much additional funding is required to meet demand.

Two institutions mentioned that they track measures over time. Such a practice allows institutions to monitor trends, such as changes in demand or changes in departments participating.

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[10] SPARC Europe. The Open Access Citation Advantage Service. http://sparceurope.org/oaca/.

Reporting on OA Fund Activity (Q.21)

The most common means of reporting fund activity was through annual reports, either internally within the library or elsewhere on campus. Seven respondents indicated they provided such reports. Three respondents indicated no formal reporting process for their fund. Three respondents indicated that funds were discussed at university administrative meetings (Carleton University, University of Regina, and Western University). Two institutions provided information about fund activity via their website and one via RSS feed. Respondents mentioned a variety of other reporting, formal and informal.

Fig. 10: Means of Reporting on OA Fund
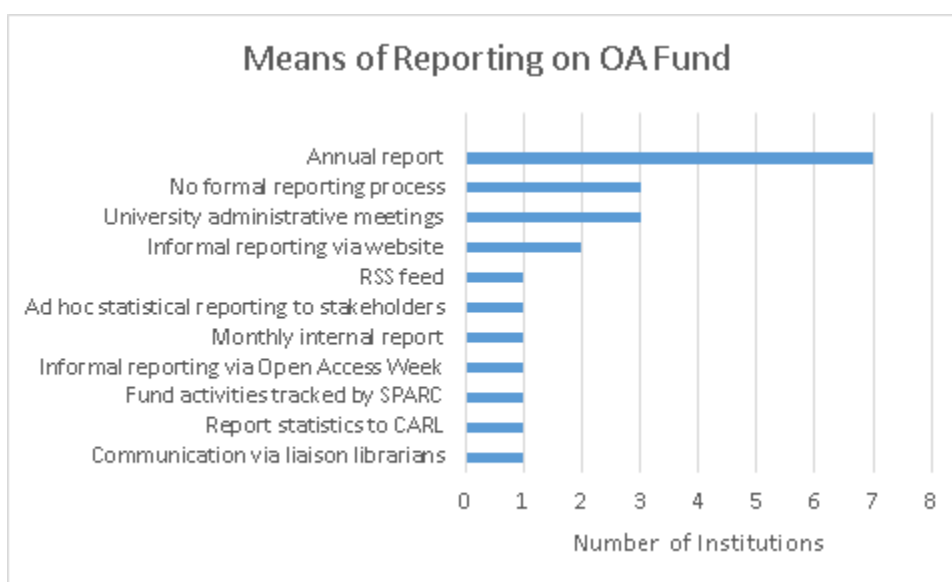
Observation

Annual reporting on funds is the preferred method of reporting, used by half of respondents. Reporting to several administrative parties may be required. As funds establish common assessment measures, such as those used by SPARC, reporting to a common external source becomes possible.

Fund Promotion (Q.22)

Respondents were asked about the means they use to promote the fund. Most respondents (10 institutions) mentioned promotion through Open Access Week activities. Seven promoted the

fund in instructional sessions or workshops. Faculty newsletters were not a common means of promotion, and promotional pamphlets were seldom used.

Fig. 11. Fund promotion
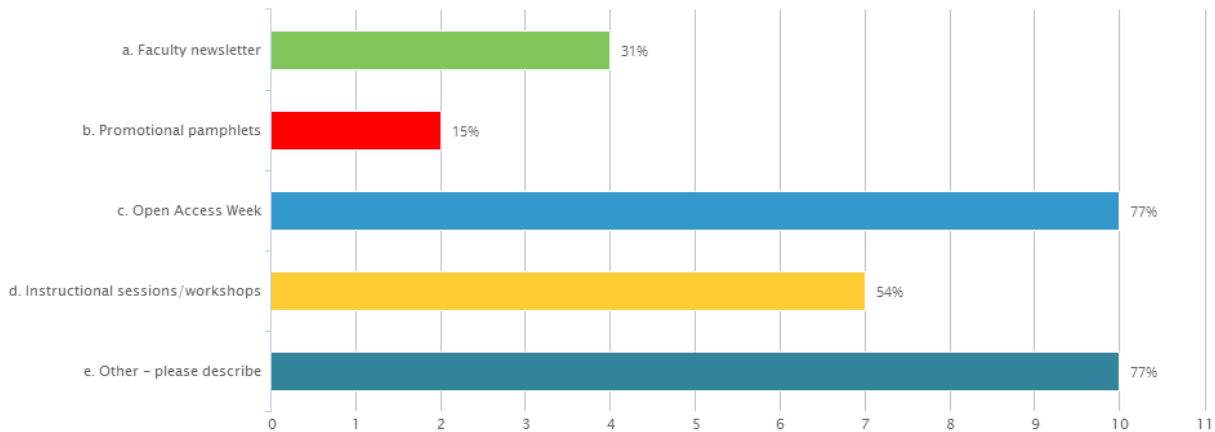
In addition to these means, 10 respondents identified other methods used to promote the fund. Five mentioned the website of the library and/or other university website. Four mentioned other electronic means: a library guide, listserv, blog post and Twitter were each mentioned by one respondent. Four also mentioned promotion by liaison librarians. Promotion by four other means were mentioned by one respondent each: college research facilitators, college Associate Deans of Research, new faculty orientation, and presentation to a university level committee.

Fig. 12: Other means of fund promotion
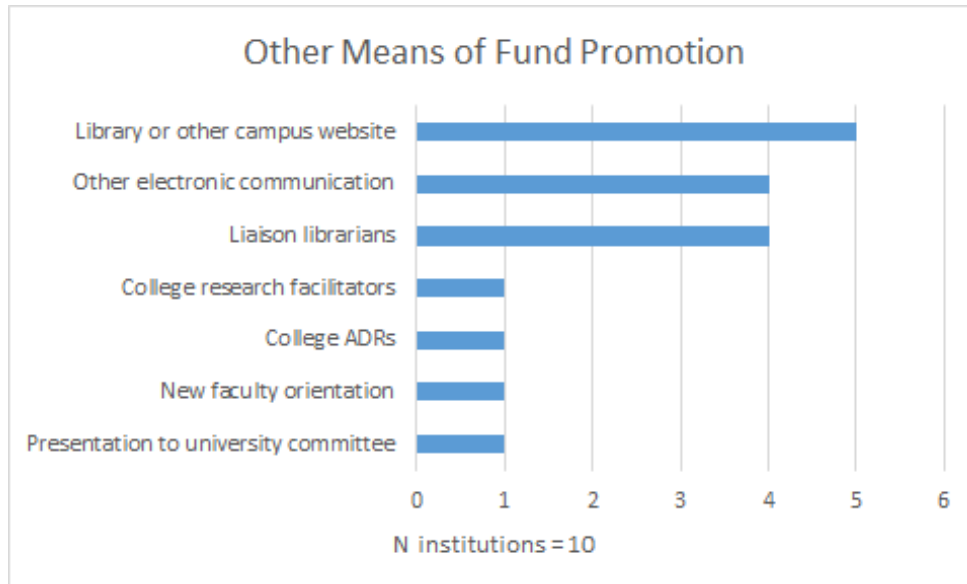
Observation

In general, the OA fund is promoted by means traditional to an academic library. However, statements made elsewhere in the survey suggest that fund promotion by the library or fund administrator may not have been a high priority. The restrictions libraries have placed on fund eligibility and criteria, moves to further restrict criteria, as well as some specific statements ("the fund is too successful," "[the fund was] suspended ... due to its popularity," and "we soft-launched this program ... We have surpassed our allotted budget in less than a year") indicate a concern about the ability of the fund to meet demand. Therefore, libraries may have been concerned that actively promoting a fund could quickly create an unsupportable level of requests.

Fund Management Recommendations (Q.23)

Respondents identified a wide variety of recommendations for successful management of funds with little overlap between responses. Recommendations addressed matters of policy, workflow, organizational structure, and communications. Three respondents recommended automation of processes. A categorized summary of recommendations from individual respondents follows:

Category	Recommendations
Workflow	- Direct quarterly invoicing with publishers. - Subscribe to OA fund administration services such as Open Access Key. - Include checks in workflow (to ensure funds are used, articles deposited, and fund balances are accurate). - Establish clear staff responsibilities for activities in workflow stages.
Criteria	- Have a clear policy. - Do not fund hybrid journals. - Consider criteria carefully; e.g., if accepting applications for fully OA journals only, will have to turn down otherwise very worthy applications. - Flexibility to adjust criteria to reflect user needs.
Financial	- Assess and base funding on need, demand, and future demand. - Allow unused funds to be retained for future use. - Ensure a clear financial reporting mechanism.
Organizational Structure	- Centralize scholarly communications activities, including OA fund management, in one or two jobs with scholarly communications as primary responsibility, as decentralized, part time roles do not scale well. - Can be managed by 1-2 employees or larger group, depending on size of institution.
General Principles	- Develop best practices. - Do not start one, as it's a poor use of limited funds.

Observation

OA funds are still a relatively new activity; as previously mentioned, most of the funds included in this survey were established within the last three years. Workflows are still being established, and will operate somewhat differently in each institution depending on local organizational structure and assignment of staff roles. Efficiencies such as direct consolidated invoicing with publishers are already being established and outsourcing options for APC processing services, such as Jisc's Open Access Key, are being developed.

Fund Changes Being Made or Considered (Q.24)

Four main areas were cited for upcoming changes to funds. Seven institutions mentioned changes to fund criteria. Six institutions were considering narrowing their eligibility criteria, including: disallowing hybrid journals, reducing the allowable number of requests per author, limiting the maximum allowable APC, narrowly defining eligibility of authors, not funding for Tri-Agency grant recipients (particularly now that most are able to include these types of dissemination costs in their grant application budgets), and requiring publication in DOAJ-listed journals. One respondent commented that their institution was examining widening the pool of eligible authors to include librarians who were currently excluded due to a perceived conflict of interest, and that this would then necessitate the inclusion of an adjudicator from outside the library when reviewing applications. Another respondent spoke to the need to update the wording in their institution's policies to make them more easily understood.
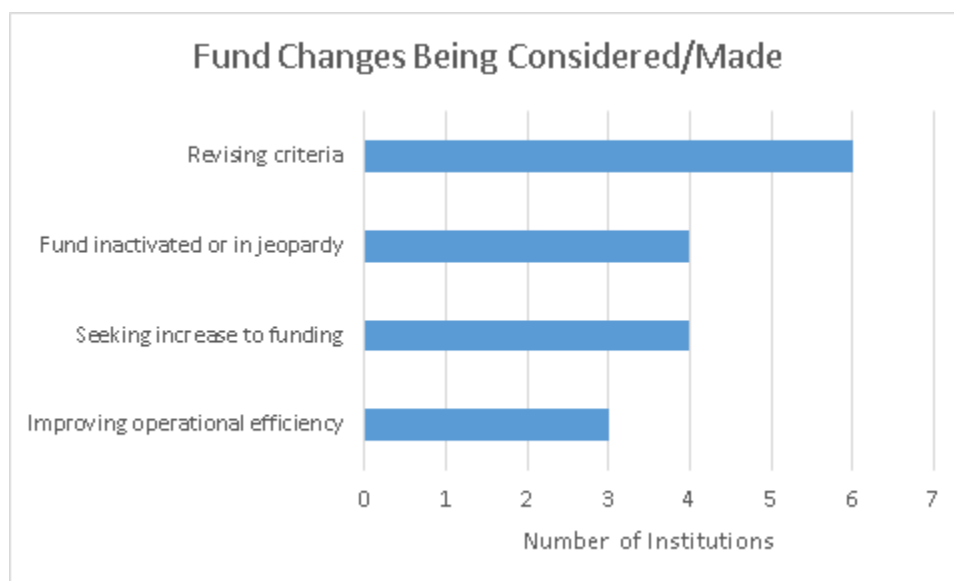
Four institutions' funds have been suspended, either temporarily or permanently, or are in jeopardy of suspension. Three of these suspensions are due to budgetary constraints (University of Regina, University of Manitoba, and Brock University), while the remaining institution, the University of Toronto, has eliminated its fund after concluding that higher return on investment could be achieved by reallocating funds to other ventures, such as memberships with OA publishers and supporting its institutional repository.

 A fifth institution (University of Ottawa), facing escalating demand on their OA fund, has discontinued funding individual APCs and refocused the fund, reduced in amount, on other types of OA publishing initiatives.

Four respondents were hoping to increase funding (Brock University, York University, Carleton University and Western University), though one of those funds was also identified as being in jeopardy of suspension (Brock University). Two of these institutions indicated they also relied on receiving funding from outside of the library; for example, from the university's research office.

Finally, three institutions also mentioned they were looking at ways to automate and streamline some of the processes, such as through the use of deposit accounts or changes to work processes.

Fig. 13: Changes to OA funds

Fund Changes Being Considered/Made

(Horizontal bar chart — Number of Institutions)

- Revising criteria: 6
- Fund inactivated or in jeopardy: 4
- Seeking increase to funding: 4
- Improving operational efficiency: 3

Observation

Libraries are addressing the financial implications of their OA funds in several ways: by changing the focus or criteria for the fund (e.g., restricting the criteria to be able to support more authors), by seeking funding from outside the library, and, in some cases, by stopping the fund on a temporary or permanent basis. Libraries were also looking at ways to refine processes and reduce the administration time, both on their own and in cooperation with vendor services.

To examine more deeply those situations where OA funds were being suspended or significantly altered, follow-up conversations were initiated with Brock University, University of Toronto, University of Manitoba, University of Regina, Memorial University and University of Ottawa. The libraries' responses follow:

Brock University

Due to extreme financial pressures which forced the James A. Gibson Library to cancel a major journal subscription package and significantly cut its monograph budget, Brock was not able to offer a Library Open Access Publishing Fund for the 2015-16 budget year. A request to the Office of Research Services to contribute towards the OA fund was not acknowledged. Fortunately, due to recent budget relief from university finance, the library expects to open a $10,000 OA publishing fund for the remainder of fiscal 2015-16. Acquiring institutional memberships with OA publishers will also be a focus of the fund in addition to paying APCs.

Memorial University of Newfoundland

As of 1 August 2015, the Memorial University Libraries suspended its Open Access Author's Fund for the remainder of the 2015-2016 fiscal year. Authors were encouraged to take advantage of OA publishing opportunities available through our memberships. A new librarian has been appointed as Scholarly Communications Librarian recently. Operation of the Open Access Author's Fund will be reviewed before the 2016-17 fiscal year.

University of Calgary

As of November 27, 2015, the University of Calgary has suspended its Open Access Author's Fund for the remainder of the 2015-2016 fiscal year. This is unusual for us because in the past when we spent out our author fund, we always added additional money. This year, the pressure from the exchange rate was too much to keep the fund going. Every time the Canadian dollar declines 1 cent against the US dollar, our library collection budget needs another $100,000.00 Canadian just to maintain US dollar commitments before any increase in inflation. We couldn't keep the fund running the way the Canadian dollar has dropped this year. We hope that the fund can be restored in the next fiscal year.

University of Manitoba

Since terminating its OA Fund due to budget cuts, the University of Manitoba Libraries is subscribing to an institutional plan with BioMed Central (BMC) that gives University of Manitoba researchers a 15% discount on article processing charges (APCs). While it is difficult to make any new commitment at this point, it is important for us to offer this financial support since a significant number of our researchers are publishing in BMC journals. As a CRKN member, the Libraries receives OA fee discounts from NRC Research Press, Royal Society of Chemistry, and SAGE. The Libraries maintains an institutional plan with PeerJ and offers vouchers from SAGE Open. Our new focus is to promote self-archiving. We are encouraging our researchers to deposit post-prints into our institutional repository MSpace, and discussing how to retain authors' rights to copy, share, and preserve their scholarly works. Now that the Tri-Agency OA policy on publications is in effect, it is becoming a pressing issue for our researchers to make scholarly works OA, and we are trying our best to support them without the OA Fund.

University of Regina

In response to the University of Regina's 2015 Expenditure Constraint Program initiative, the University Library's Open Access Authors Fund was frozen in early 2015. In just over one year that the fund was in operation, 7 of 11 article submissions were accepted with a payout of approximately $12,000. There were also nine additional queries from faculty about the fund.

University of Ottawa

Since 2010, the library has administered the University's Open Access Author Fund to support researchers publishing in OA. From 2010 to 2014 the Fund saw steadily increasing usage, funding over 500 articles by 350 authors with money provided by the central administration and substantial additional financial support from the library's collections budget. In 2014, we received an unprecedented number of applications which fully committed the 2014-2015 fiscal year budget by October and as a result the Fund was suspended.

The recent announcement of the Tri-Agency OA policy and our new fiscal year has provided an opportunity to refocus and renew our commitment to OA in a responsible and ultimately more sustainable manner. As a part of the library's overall cost reduction strategy, announced in summer 2015, we have discontinued the Author Fund and redeployed $90,000 in base funding received from central administration to support strategic memberships in OA initiatives.

These initiatives will support our researchers in publishing their findings in quality research journals and innovative publishing platforms that reflect the changing nature of scholarly communication in the 21st century. Memberships are being pursued with BioMed Central, PLoS, Frontiers and PeerJ, among others. The membership investments are designed to complement the Library's existing OA strategy which includes discounts through CRKN on OA fees with the Royal Society of Chemistry, Sage and Canadian Science Publishing. Additionally, the library has committed over $21,500 to Érudit, Open Book Publishers, Knowledge Unlatched, and the Open Library of the Humanities to financially support monograph publishing and French journals in the transition to OA.

University of Toronto

The library has suspended its fund due to systemic over-subscription and is instead directing efforts towards compliance assistance, including but not only mediated deposit in the university repository, publishing strategy assistance, and assistance negotiating contracts.   The

library remains committed to OA, but, given the size of its faculty, it was impossible to scale purchases for APCs in a meaningful manner.

Respondents' General Comments (Q.25)

Respondents were invited to offer any further comments and seven respondents provided a variety of observations. Comments related primarily to matters of broad principles and to financial issues. Two respondents' comments related to purpose and goals surrounding OA funds. One respondent noted shortcomings of green OA: compliance rates; discovery; and lack of fundamental change to create a better, long term scholarly publishing model provided by gold OA. A second respondent, while stating that APCs were unsustainable and do not result in lowered journal subscription costs, highlighted several reasons that OA funds were still important: promoting positive relationships with faculty, educating faculty about OA, highlighting the library's role in research dissemination, and helping researchers support OA in scholarly publishing's current transitional state.

Two respondents addressed financial matters, pointing out that demand "outpaces" funding and that the price of APCs is high. In addition, APCs are typically charged in United States dollars and the fund was therefore negatively impacted by the falling value of Canadian currency relative to US.

One respondent noted a criteria-related issue: it was not possible to confirm that authors first expend grant funding because the fund administrators do not have access to grant information. One respondent noted that their fund was used primarily by medicine and biomedical research and expressed interest in finding ways to broaden the range of disciplines using the fund. One respondent stated the importance of communicating the impact of and advocating for the OA fund.

CARL's Role in the Canadian OA Funds Landscape (Q.26)

Nine respondents provided suggestions for CARL's role regarding OA funds. Four respondents saw CARL as an organization able to help establish best practices, toolkits or promotional literature regarding OA. One respondent recommended CARL become a liaison with the Tri-Council funding agencies and the national academic library community and suggested that the funding agencies be represented in CARL's Open Access Working Group. One respondent commended CARL's efforts to date on promoting OA and looked to CARL's OA working groups' continued assistance to the academic institutions and the scholarly publishing industry.

Some respondents identified an advocacy role for CARL. Two suggested that CARL advocate with universities and library directors to support OA publishing financially, including to develop funding models for their OA funds. One recommended CARL support alternative models of OA publishing that do not involve APCs, such as Open Library of Humanities. One recommended CARL take on a role to lobby for lower APCs.

Observation

Respondents looked to CARL as a venue for collaborations, advocacy and liaison outside the library community.

Conclusion and Recommendations

The information gathered from Canadian universities which currently offer, or have previously offered, Open Access author funds illuminates a very diverse landscape. It appears that diversity is the most uniform characteristic of OA funds in Canada. While institutions demonstrate consistency in some areas, particularly eligibility criteria, a wide variety of approaches are exhibited in many other aspects, including funding amounts, workflows, and assessment measures. The survey data also highlight that specific institutional characteristics make a "one size fits all" approach to fund management inappropriate. And, as already noted, most of these funds are relatively new, and libraries are in an experimental phase with these ventures.

Diversity was also reflected in many comments from survey respondents which were not easily categorized into themes or trends. However, this qualitative feedback does highlight some common concerns about OA and APCs: namely, author funds are costly and unsustainable, and have not yet significantly impacted subscription journal publishing or fundamentally changed scholarly communication systems. Author funds also tend to be more heavily used by STEM researchers, highlighting some of the challenges faced in supporting open access in the social sciences and humanities. On the other hand, positive trends associated with author funds included raising awareness of OA, building positive relationships with faculty, and highlighting the library's role in research dissemination.

While this project did not generate any universal guidelines or best practices for OA author funds, the authors of this report have provided their observations, most of which translate well into recommendations and suggestions for further investigation.

Recommendations

Adopt a more evidence-based approach to fund amounts

Fund sizes vary remarkably across institutions, from Canada's smallest - $10,000 at Brock - to $350,000 at the University of Calgary. It's not clear how these amounts were determined: whether on the basis of what monies were available or whether calculations factored in the number of researchers at the institution.

Data on past fund usage and current information on number of eligible applicants would help institutions determine whether the amounts considered are adequate, as well as to help predict how far a fund can "stretch". While SPARC does collect and share some data on fund usage, Canadian libraries may find it useful to gather additional types of evidence to guide their decision-making regarding OA funds. This information would also be helpful in attempting to persuade other campus partners - such as research service units - to assist the library in supporting researchers participating in OA publishing. This should be a shared responsibility, especially since research offices administer the Tri-Agency grants which now require recipients to publish their works in open access formats.

Monitor time spent on managing OA funds

As noted, there is no standard approach to managing OA funds. Workflows vary widely across institutions, incorporating different units both within and outside the library. Because library staff have expertise in working with publishers and invoices, managing OA funds has seemed to be a natural fit. However, tracking the time spent on this work will allow libraries to more clearly evaluate the staffing costs involved. It may also be useful for libraries – particularly those with small staff complements -- to "outsource" some fund management responsibilities to university finance departments or research service units.

Provide clear, openly accessible fund documentation

As highlighted in the discussion of criteria and workflows, OA funds are complex for both users and staff who manage the processes. Creating clear, easily accessible supporting documentation will make it easier for authors to successfully navigate the application process and reduce time spent by library staff adjudicating applications. As well, libraries – most of which currently face significant financial pressures -- must pursue transparency in reporting how their valuable resources are used to support researchers, including in the paying of APCs.

Ensure eligibility criteria for applicants are transparent and objective, and can be adjusted as needed

Adopting broad, inclusive eligibility criteria for applicants will increase support for OA across different levels of an institution. Retaining the flexibility to adjust criteria when needed can also be useful, particularly as libraries may not initially realize which populations are interested in OA publishing. Meanwhile, restricting the applicants to current members of the institution's community is an appropriate use of scarce resources.

Develop eligibility criteria that encourage authors to consider best practices in OA publishing

While most OA funds specify that journals must be "fully open access", there is room for confusion about that definition. Lack of specificity can also be problematic when a grant applicant wants to publish in a journal which may in fact be "fully open access" – but is actually a predatory journal. Libraries could increase clarity and accountability by adopting uniform criteria for assessing the openness of journals – and of their business practices.

As noted, many funds include inclusion of a journal in the Directory of Open Access Journals (DOAJ) as a criterion for eligibility. This can provide an important measure of quality control and objectivity when adjudicating applications. Although DOAJ has had quality control issues in the past, recent efforts to weed out problematic journals and enforce more stringent standards for inclusion have greatly increased its legitimacy. The Code of Conduct developed by the Open Access Scholarly Publishers' Association (OASPA) represents another set of useful quality control standards. Given that OASPA membership fees are quite costly, it may not be appropriate to require membership as an eligibility criterion – this would be especially challenging for smaller or non-profit OA journals. However, libraries could develop consensus regarding key areas in the Code of Conduct to develop fund criteria regarding openness and legitimate business practices.

Other useful suggestions include adjusting criteria to encompass emerging formats of scholarship, and requiring grant recipients to acknowledge the OA funding received, which enhances the profile of the library and reflects the practice of other research and publishing funding bodies.

Clarify the rights of authors and users

Libraries can more fully support open scholarship and authors' rights by recommending that funded authors retain full rights to their work, as well as by specifying that funded materials be freely and immediately available to all users. While Creative Commons licensing is a useful gauge, the range of licensing can be confusing. Recommending the least restrictive option – CC-BY – and excluding embargoed materials from funding are two key strategies for promoting the rights of both authors and readers.

Facilitate automatic deposit of funded articles in a repository

Requiring grant recipients to archive their funded work in the institutional repository - if available - further enhances dissemination of their research, in addition to strengthening the researcher's ties to the library (the entity which usually manages the IR). While a fund's criteria

may require deposit, compliance is problematic; developing automatic deposit workflows will enhance compliance, and lessen the need to "chase" authors.

Develop systematic assessment measures to allow comparative analysis within and between institutions

The current lack of systematic assessment of funds highlights the need for libraries to introduce measures of return on investment. CARL could adopt the foundational measures of fund activity used by SPARC, for example, to create its own set of benchmarking tools to facilitate aggregate data collection and analysis. Tracking quantitative measures over time, meanwhile, will allow libraries to assess changes in demand, identify trends, and understand the effect of changes to criteria and to funding. Tracking unmet needs - *e.g.*, the number of applications which were not funded - is another useful measure of fund capacity. Assessment measures should also take alternative metrics into account.

Conclusion and future directions

The report's authors have met their goal of investigating OA funds in Canada and offering suggestions for successful fund operations. We believe, though, that more work can be done by translating these general recommendations into specific guidelines which can be used to help standardize the operations of library open access publishing funds across Canada. For example, one future project could focus on developing a detailed, standardized list of eligibility criteria, which could then be adapted by individual institutions as needed. Adopting a unified approach to fund management and assessment will help libraries demonstrate their return on investment and to evaluate their efforts by comparing metrics with peers across Canada and internationally.

Some suggestions offered by survey respondents about how CARL could best support libraries with OA fund management:

- provide continuing opportunities for collaboration;
- support continuing research in this area;
- support development of detailed guidelines for OA fund management;
- create educational/outreach materials such as toolkits; and,
- take a stronger role in advocacy, including advocating for lower APCs.

While CARL's recent decision to conclude the Open Access Working Group leaves the future of this work uncertain, the need for libraries to support open scholarship continues to grow, and is sure to drive more collaborative projects focusing on open access in Canada.

Appendix A: CARL member institutions with open access publishing funds

Please note some dollar amounts and dates are approximate.

Name of institution	Name of fund	Date initiated	Amount per year
Brock University	Brock University Library Open Access Publishing Fund	2011	$10,000/year; suspended for 2015-16
Carleton University	Carleton University Research Impact Endeavour (CURIE) Fund	2012-13	$50,000 one-time investment, now expended; awaiting further funding (exact amount not yet known)
Concordia University	Concordia University Open Access Author Fund	May 2011	$50,000 initial investment to be spent over multiple years; $25,000 added by Office of the Vice-President, Research & Graduate Studies
Memorial University of Newfoundland	Open Access Author's Fund	September 2011	$100,000 in 2014-15
Ryerson University	Open Access Author Fund	Fall 2012	$50,000, which includes $10,000 on deposit at Hindawi, PLoS and Biomed Central, and $20,000 for single applications
Simon Fraser University	SFU Open Access Fund	February 2010	$150,000 for 2014-15; increased from initial investment of $50,000/year

University of Calgary	Open Access Author's Fund	Spring 2008	$250,000 for 2014-15; $100,000 added after original amount expended
University of Manitoba	Open Access Authors' Fund	September 2010; terminated April 2015	$120,000/year
University of Ottawa	Author Fund in Support of Open Access Publishing	2010	$250,000/year; suspended October 2014; replaced with $90,000 for strategic memberships
University of Regina	University of Regina Library Open Access Fund	October 2013; frozen early 2015	$30,000 one-time allotment
University of Saskatchewan	Publications Fund	1971*	$57,000/year
University of Toronto	University of Toronto Open Access Author's Fund	April 2012; recently cancelled	$40,000/year
Western University	Western Libraries Open Access Fund	February 2014	$50,000 initial investment; $70,000 in its second year; currently all spent and fund on hold
York University	Open Access Author Fund	August 2013	$20,000 for 2014/15; $10,000 for 2013/14

* The University of Saskatchewan's Publications Fund was a pre-existing fund established in 1971 to support various publication costs for faculty. Funding for OA publishing, including costs of APCs, were later added as another type of eligible expense.

Appendix B: CARL OAWG Library OA Fund Questionnaire

Introduction

This survey was developed to gather information from Library Open Access Publishing Funds across Canada as a [project of the CARL Open Access Working Group](). The information gathered will be used to develop recommendations for successful management of Open Access funds.

If you have questions about this questionnaire, please contact Elizabeth Yates, chair of the Library Open Access Publishing Fund subcommittee: [eyates@brocku.ca](); 905-688-5550 x4469.

Part 1: History of fund

1. Name of Institution
2. Name of fund
3. Date initiated
4. Amount of fund per year
5. What is the goal of the fund? Why was it established?
6. Which entity on campus does the fund report to e.g. Library, Office of Research Services, other?
7. Where do monies for the fund originate:
    a. Library budget - Collections
    b. Library budget - other - please describe
    c. Other department budget - please describe

Part 2: Criteria for the fund

8. Who is eligible for funding?
    a. Faculty members
    b. Staff
    c. Librarians
    d. Graduate students

    e.   Post-graduate students

    f.   Undergraduate students

    g.   Visiting scholars

    h.   Other - please name

9. Who is excluded from eligibility funding? e.g. sessional faculty

10. What materials are eligible for funding?

    a.   journal articles?

    b.   book chapters?

    c.   complete books

    d.   textbooks

    e.   other? >text box

11. What criteria are applied to evaluate publications selected for publication?

    a.   peer-review

    b.   fully open access - entire journal free to read immediately upon publication

    c.   hybrid open access - select articles in each issue are open access

    d.   journal must be listed in DOAJ

    e.   journal must list fee schedule publicly online

    f.   other - please specify

12. What other criteria are applied to evaluate author applications for funding?

    a.   use of grant funding before applying

    b.   first-come, first-served

    c.   cap on number of grants per author (specify number if possible)

    d.   maximum grant amount - funding cap

    e.   primary author

    f.   other - please specify

13. Are funded articles required to be openly available for reuse with CC licensing?

    a.   If so, which CC licence is used:

        i.   CC-BY

        ii.   CC-BY-ND

        iii.   CC-BY-NC-SA

        iv.   CC-BY-SA

        v.   CC-BY-NC

        vi.   CC-BY-NC-ND

14. If CC licensing is not used as a criteria, what other measures are used to assess openness?

15. Do you require funded works to be posted in your institutional repository? y/n

16. If possible, please link to the following information about your fund:
     a. Online criteria for the fund
     b. Online application form

Part 3: Fund workflow

This section covers information related to how the day-to-day operations of the fund are managed.

17. Who is responsible for receiving and adjudicating grant applications?
18. Who is responsible for financial administration of the grant? e.g. direct payment to grant recipient, paying invoice from publisher, monitoring fund balance and tracking payouts
19. How are outcomes monitored for funded articles?
     a. how are funded publications tracked and recorded?
     b. upload of article to institutional repository (if required)
     c. other tasks - please specify

Part 4: Fund assessment

20. What measures are used to assess the fund's success?
21. How is fund activity reported to your stakeholders, campus administration and others? >text box
22. What strategies are used for promoting the fund?
     a. faculty newsletter
     b. promotional pamphlets
     c. Open Access Week
     d. Instructional sessions/workshops
     e. Other?
23. What recommendations would you make for successful management of Library Open Access Publishing Funds?
24. What changes are being considered for your fund? e.g. how fund is managed, assessed, promoted, etc.
25. Any other comments?
26. What role should CARL-ABRC play in the Canadian OA Funds landscape?

Thank you very much for taking the time to answer these questions.