### OPEN ACCESS FUNDS IN ACTION

<table>
<thead>
<tr>
<th>Sponsor</th>
<th>Value</th>
<th>Date Established</th>
<th>Date Limit, If Any</th>
<th>Who is Eligible?</th>
<th>What is Eligible?</th>
<th>Reimbursement Levels</th>
<th>Progress/Success To Date</th>
</tr>
</thead>
</table>
| University of Oregon Libraries, Office of the Provost | Up to $50,000 | Spring 2009 | Extends through winter 2010 | - Applicant must be a UO tenure-related faculty member, non-tenure-related career faculty member (including ranked officers of instruction, research, or administration), post-doc, or currently enrolled graduate student ready to submit a completed article for publication.  
- Applicant must be listed as one of the authors, and article must indicate UO affiliation. | Reimbursement will cover only direct costs for open access publication (not the cost of reprints, color illustration fees, non-OA page charges, web hosting for self-archiving, etc.). Manuscript must be a peer-reviewed scholarly article or monograph (including original research, review articles, etc.). Funding is available for publication in open access peer reviewed scholarly journals that charge a publication fee. Funding is also available for peer reviewed scholarly monographs. Articles must be made freely available on the web at the time of initial publication (no embargo periods). At this time funding is not available for articles published using an "open choice" option in journals that are primarily subscription based rather than open access. Journals listed in the Directory of Open Access Journals (http://www.doaj.org/doaj) are assumed to qualify. For publication in a journal not listed there, additional information to allow assessment of whether the journal meets our criteria will be required as part of the application process. | - Up to 100% of author fee for publishing a peer-reviewed manuscript in an open access journal. Maximum reimbursement will be $1,000 per article.  
- Maximum reimbursement will be $3,000 per person over the period of this pilot project.  
- Reimbursement will cover only direct costs for open access publication (not the cost of reprints, color illustration fees, non-OA page charges, web hosting for self-archiving, etc.)  
- Reimbursement will be available only in cases where the authors do not have adequate grant or contract funding specifically designated to cover author fees. Authors with funding designated to cover publication costs such as author fees from grants, contracts, or other institutional funds are asked to use those funds first and to allow others to share in the benefit of open publications. | # Articles Approved: 19  
# Articles Reimbursed: 14  
# Unique Submitting Authors: 13  
# Unique Departments: 5  
# Unique Journals: 11  
# Unique Publishers: 5  
NOTES: Data through January, 2011. |
<table>
<thead>
<tr>
<th>Institution</th>
<th>Funded by</th>
<th>Date</th>
<th>Description</th>
<th>Notes</th>
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<tbody>
<tr>
<td>University of Wisconsin – Madison Libraries</td>
<td>Supported by unrestricted gift funds to library</td>
<td>July 2005</td>
<td>Open-ended subject to internal resource constraints</td>
<td>- Any University of Wisconsin-Madison faculty and researchers who publish Open Access articles with no embargo periods.</td>
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<tr>
<td>University of Tennessee, Knoxville Office of Research and the University Libraries</td>
<td>$20,000</td>
<td>October, 2008</td>
<td>Extends through June 2009 or until funding is exhausted and will be evaluated</td>
<td>Any UTK faculty member, post-doctoral associate, or currently enrolled graduate student.</td>
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<tr>
<td>UC Berkeley Research Impact Initiative (co-sponsored by UC Berkeley's Vice Chancellor for Research and the University Librarian)</td>
<td>$60,000</td>
<td>January 21, 2008</td>
<td>None</td>
<td>UC Berkeley faculty members, post-docs, and graduate students</td>
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</tbody>
</table>

# articles approved: 8
# articles reimbursed: 8
# unique submitting authors: 8
# unique departments: 6
# unique journals: 7
# unique publishers: 6

NOTES: Data above cover date range from 2/8/08 - 1/31/11

### SPARC - Open Access Funds in Action – [http://www.arl.org/sparc/openaccess/funds](http://www.arl.org/sparc/openaccess/funds) Updated 11/30/11

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## Libraries and Cultural Resources, University of Calgary

- $100,000 (CAN)
- June 2008
- None. The Fund is in its second year and is expected to continue.
- University of Calgary faculty, staff, graduate students, and postdocs.
- Publication fees for peer-reviewed articles that have been accepted in journals which are fully open access. Charges for journals which are not fully open access but allow individual articles to be made freely available online immediately upon payment of the submission fee ("hybrid") are eligible if the publisher reduces subscription costs in response to the take-up of the OA option.
- If eligible, the entire fee is covered.
- Authors must exhaust other funding avenues (e.g., grants) before turning to the Fund.

## University of North Carolina-Chapel Hill

(Sponsored by the Office of the Vice Chancellor for Research and Economic Development until fall 2009; subsequently continued via library funding)

- $20,000 From the Vice Chancellor for Research; $8,000 From Health Sciences Library
- March 2005
- Until money expended; hope to raise more
- UNC-CH faculty, post-doctoral researchers, and graduate or professional students without grant funds to cover publication fees
- Publishing charges related to journals offering free immediate open access to articles. Journals offering "open choice" or "hybrid" options are eligible provided the articles are immediately accessible.
- Award maximum is $1000 per article.
- Authors must exhaust other funding avenues (e.g., grants) before turning to the Fund.

## Cornell University Library

- $50,000
- September, 2009
- All aspects of this program, including the amount of funding committed to the program, will be analyzed and reviewed on a regular basis. If the pilot project proves to be valuable to scholarly communication, COAP may receive continued funding.
- Available to any Cornell faculty, post-doctoral researcher, staff member, or student author.
- Publication and processing fees for scholarly peer-reviewed articles in open-access journals meeting these requirements:
  - * Listed in the Directory of Open Access Journals
  - * Member of the Open Access Scholarly Publishers Association or adherent to its Code of Conduct
  - * Provide unfettered access to all peer-reviewed articles (journals with a hybrid open-access model or delayed open-access model are not eligible)
- Articles for which alternate publication funding is available are not eligible for COAP funds. This includes articles whose research was funded by grants or gifts that allow grant funds to be used for article processing fees (regardless of whether that particular grant had budgeted for such fees).
- Reimbursement cap for a single article is $3,000.
- Authors may receive reimbursement for up to $3,000 per year for all submission and publication charges.
- Multiple Authorship: In the case of an

**NOTES:** Data as of January 3, 2011.
* indicates that this figure encompasses both applications for the fund that have been accepted, as well as those that have been rejected by fund administrators as out of scope.
<table>
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<tr>
<th>Institution</th>
<th>Funds</th>
<th>Year</th>
<th>Notes</th>
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<tbody>
<tr>
<td>Wake Forest University Z. Smith Reynolds Library</td>
<td>$6,500 (library contribution; 1/3 of total fund)</td>
<td>Early 2008</td>
<td>None, although program is regularly assessed and evaluated. Priority is given to faculty who do not have grant funding to pay for these expenses. Under the current agreement, the costs are split three ways among the library, the Office of Research, and the author’s home department. Authors who receive external funding support that could be used for publishing costs (e.g., NIH grants or contract awards) are still eligible for WFU funds, but must use all available funds from the grant or contract before seeking WFU funds. Open only to Reynolds Campus faculty; excludes WFU Health Sciences and School of Medicine faculty. Articles must be publicly available immediately upon publication. Articles may be published in either Open Access or hybrid journals (traditional journals that offer a per-article Open Access option for an additional fee). - No limit on size of request faculty can make.</td>
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</table>

* Publicly available standard article fee schedule. * Policy to waive fees in case of economic hardship. Article with multiple authors, each author is responsible for a prorated portion of any publishing fees. For example, for an article with three authors that is to appear in a journal with a $3,000 publication fee, each author is responsible for $1,000 of that fee. If two of the authors are Cornellians, each may enter an application for $1,000. If both apply, $2,000 will be sent to the journal. If the journal has a $6,000 publication fee, the $3,000 per article cap will apply and each Cornell author may only apply for $1,000. |

# Articles Approved: 7  
# Articles Reimbursed: 7  
# Unique Submitting Authors: 7  
# Unique Departments: 6  
# Unique Journals: 7  
# Unique Publishers: 6

NOTES: Data through of January, 2011.
<table>
<thead>
<tr>
<th>Harvard University Library/Office of Scholarly Communication</th>
<th>None</th>
<th>Fall, 2009</th>
<th>None</th>
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<tr>
<td>Funds are available for researchers at Harvard schools that have instituted an open-access policy. Currently, these are: FAS (including SEAS), HLS, HKS, HGSE. Faculty, researchers, staff, and students may request reimbursement for articles connected with their research activities at these schools.</td>
<td>- Reimburseable article-processing fees may include publication fees (charges levied on articles accepted for publication, including page charges), and submission fees (charges levied on articles submitted for publication). Eligible fees must be based on a publication’s standard fee schedule that is independent of the author’s institution.</td>
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<tr>
<td>- All authors agree to post a copy of their article in the institutional repository.</td>
<td>- Articles for which alternative funding is available are not eligible for reimbursement.</td>
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<tr>
<td>- The venue of publication must be an established open-access journal, that is, a journal that does not charge readers or their institutions for unfettered access to the peer-reviewed articles that it publishes. Journals with a hybrid open-access model or delayed open-access model are not eligible. To be eligible, a journal must meet these additional requirements: * Be listed in the Directory of Open Access Journals, * Be a member of the Open Access Scholarly Publishers Association or adhere to its Code of Conduct, * Have publicly available a standard article fee schedule, and * Have a policy to substantially waive fees in case of economic hardship.</td>
<td>- There is no limit on the number of articles reimbursed, except that authors may receive reimbursement for up to a total of $3,000 per academic year for all article processing fees. Reimbursement can cover 100% of fees up to the cap. Unused amounts do not roll over to future years. Exceptions to the $3,000 cap may be made based on availability of funds.</td>
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<tr>
<td>- In the case of an article with multiple authors, each author is responsible for a prorated portion of any publishing fees.</td>
<td>- $3,000 per article</td>
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**NOTES:** Data through January, 2011.
**Columbia**

**University Libraries/Information Services**

Up to $25,000 for fiscal year 2010; up to $50,000 for fiscal year 2011

**January 2010**

All aspects of this program, including the amount of funding committed to the program, will be analyzed and reviewed on a regular basis.

**Any Columbia faculty member, post-doctoral researcher, staff member, or student author. Not currently available to Columbia affiliates including Barnard College, Teachers College, or Union Theological Seminary.**

**Columbia Open-Access Publication (COAP) funds apply to article-processing fees for scholarly peer-reviewed articles. Only articles that are published in open-access journals are eligible. Journals with a hybrid open-access model or delayed open-access model are not eligible. Articles submitted for publication after January 1, 2010 are eligible for this program.**

**COAP funds are intended to be a funding source of last resort and to support open access to articles whose research was not grant funded. Articles for which other publication funding is available are not eligible for COAP funds. This includes:**

-- Articles reporting on grant-funded research where the granted funds can be used for publication fees (whether or not the particular grant had budgeted for such fees and whether or not sufficient grant funds remain);

-- Articles funded by an institution that itself pays publication fees on behalf of the author (such as Wellcome Trust).

Authors may receive funding for up to $3,000 per year for all article-processing charges. Unused amounts do not roll over to future years. The most an author can request for a single article is also $3,000.

In the case of an article with multiple authors, each eligible author can apply for reimbursement for a prorated portion of the publication fee. An example: An article with three authors, two of whom are from Columbia, is to appear in a journal with a $3,000 publication fee. Each Columbia author may apply for reimbursement for $1,000. In the hypothetical case of an eligible journal with a $6,000 publication fee, each Columbia author could apply for reimbursement for a prorated portion of the $3,000 funding cap per article, or $1,000.

**MIT Libraries**

Pilot funding for FY2011

**June 2010**

This is a pilot project subject to periodic evaluation

**Current MIT faculty**

Open-access journals that:

* Are peer reviewed

The subsidy is limited to $1,000 per article, regardless of the number of authors.

**# Articles Approved:** 2
**# Articles Reimbursed:** 1
**# Unique Submitting Authors:** 2
**# Unique Submitting Departments:** 2
**# Unique Journals:** 2
**# Unique Publishers:** 2

NOTES: Data through January, 2011.
<table>
<thead>
<tr>
<th>Institution</th>
<th>Funding Description</th>
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</thead>
<tbody>
<tr>
<td>Duke University Libraries and the Office of the Provost</td>
<td>Up to $20,000, half from the Libraries and half from the Provost</td>
</tr>
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</table>

**Articles:**
- Subject to periodic evaluation

**Duke faculty members, post-doc researchers, and graduate or professional students:**
- Articles accepted for publication in a peer-reviewed, open access publication, as determined by:
  - Are listed in the Directory of Open Access Journals
  - Have policies and practices consistent with the Open Access Scholarly Publishers Association Code of Conduct
  - Make their standard fee schedules publicly accessible
  - Waive their fees in cases of financial hardship
- Articles in journals that charge an annual subscription fee, including journals that use a delayed open-access model, or offer an “open choice” option to make a particular article open access are not eligible.
- Articles reporting on research that was supported by funders that allow research funds to be used for publication fees (e.g., NIH) are not eligible for this funding, whether or not publication costs were specifically included in the grant. This fund is intended to be a last resort for use when no alternative source of funding is available.

**Individual authors:**
- May receive a maximum of $3,000 reimbursement of article processing fees in an academic year, with a maximum per-article reimbursement of $2,000. Unused funds do not roll over to future years.

**Additional Notes:**
- When there are multiple eligible Duke authors for an article, each author is responsible for a prorated portion of article processing fees and can be reimbursed for that amount, up to the annual cap.
- Articles that are supported by a gift or

**Data Through:**
- January, 2011.
<table>
<thead>
<tr>
<th>University of Michigan Library and the Office of the Provost</th>
<th>$30,000</th>
<th>September, 2010</th>
<th>2 years, continuation based on evaluation</th>
<th>Peer-reviewed scholarly articles that are published in open-access journals are eligible. Anyone may apply, but the Library prefers to support work:</th>
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<tbody>
<tr>
<td>*where the author retains copyright.</td>
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<tr>
<td>*which will appear in fully open journals, and is accessible immediately upon publication.</td>
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<td>*for which grant funding could not be applied to publishing costs.</td>
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<td>*that the author commits to depositing in open access repositories (e.g. Deep Blue).</td>
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<td>*for which the open access publication fee is less than $1500.</td>
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<td>Up to $3000 per submission. However, if some requirements are not met, then a smaller portion will be provided based on the following criteria:</td>
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<tr>
<td>*Retaining Rights: if you will not retain copyright or the right to distribute the work we will fund the lesser of $1000 or 50% of the publisher’s open access fee.</td>
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<tr>
<td>*Publish in fully open journals: An open journal is one for which all peer-reviewed content is available freely to readers. If the work will appear in a “hybrid” journal — one for which some of the peer-reviewed work is only available to paid subscribers — we will fund the lesser of $1000 or 50% of the publisher’s fee.</td>
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<td>*Assure access is immediate upon publication: If access to the published article is not immediate we will fund the lesser of $1500 or 50% of the publisher’s fee. If the publisher will delay access longer than 12 months, we will not provide any funding.</td>
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<td>* Use grant funding wherever possible: If your grant funding could have been applied to publishing charges, we will fund the lesser of $1500 or 50% of the publisher’s fee. We will only do</td>
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<td>University of Florida Provost’s Office</td>
<td>$120,000 over 18 – 24 months</td>
<td>July 1, 2010</td>
<td>The project will be reviewed after 18 months according to a set criteria.</td>
<td>All University of Florida faculty, post-doctoral researchers, staff members, and students.</td>
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</tbody>
</table>
| Southern Illinois University Carbondale Morris Library | $25,000 for the first year | Fall 2011 | The Fund is a pilot project which will be reviewed at the end of FY12, and annually thereafter. Grants are available to faculty, including non-tenure track faculty, and graduate students. | - Funding is available for open access journals that do not charge a fee for institutions, libraries or readers for access to the content, This includes: - For fully open access journals: $3000 per article and per year per author - For hybrid journals: $1500 per article and per year or 50% of the Open Access }
<table>
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<tr>
<th>University Libraries</th>
<th>$7,500 for the fiscal year 2011-2012</th>
<th>Fall 2011</th>
<th>The Fund is a pilot project which will be reviewed at the end of FY12.</th>
<th>The author/applicant must be a tenured or tenure-track faculty member at UNCG.</th>
<th>- The article must be published in a peer-reviewed open-access journal.</th>
<th>- Reimbursement will not exceed $750 per article.</th>
<th>- Reimbursement will be limited to one award per fiscal-year per author.</th>
<th>- Authors are expected to exhaust all other grant or contract funding sources available to them before applying for support from the Open Access fund.</th>
<th>- Authors with grant support or external funding to cover publishing fees are ineligible.</th>
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<tr>
<td>Grand Valley State University Libraries</td>
<td>$25,000/yr</td>
<td>Fall 2011</td>
<td>The Fund will be reviewed annually adjustments made as necessary.</td>
<td>- Applicant must be a current GVSU tenure-track, visiting, affiliate and adjunct faculty, staff, or currently registered graduate student.</td>
<td>- Funding is available for newly published (within the past six months), peer reviewed articles in open access or hybrid journals that charge a publication fee associated with the cost making an article freely available.</td>
<td>- There is no limit to the per article amount that can be funded, but an author may not receive more than $3,000 in one year.</td>
<td>- Authors with grant support or external funding to cover publishing fees are ineligible.</td>
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<td>affiliation.</td>
<td>fees, non-open access page charges, administrative charges and other fees are not applicable.</td>
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<td>- Articles must be made freely available on the web at the time of initial publication, with no embargo period.</td>
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<td>- Eligible journals must be listed in the Directory of Open Access and Hybrid Journals or meet the DOAJ's selection criteria. The Libraries has a selective list of open access and hybrid publisher fees for quick reference.</td>
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<td>- Eligible journals must make their fee schedule publicly available online.</td>
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<td>- For articles with multiple authors, each author is responsible for a prorated portion of any publishing fees. For example, for an article with three authors that is to appear in a journal with a $3,000 publication fee, each author is responsible for $1,000 of that fee. If two of the authors are from GVSU, each may separately apply for $1,000. If both apply, up to $2,000 of the fees will be reimbursed, with $1,000 being applied to each person’s $3,000 annual award limit.</td>
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