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## Featured Speaker: Facilitating OA Transformation through Publisher Engagement: The UC Experience

Ivy Anderson  
*California Digital Library*

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## Featured Speaker: Facilitating OA Transformation through Publisher Engagement: The UC Experience

### Presenter 1 Title

Director, Collection Development and Management Program

### Session Type

Event

### Abstract

Libraries across the globe have been pursuing open access for decades, but until recently, progress has continued to be painfully slow. Transformative open access agreements with publishers have begun to change this, as institutions in Europe and increasingly in the US as well are now negotiating open access agreements with major publishers. By transitioning major journal license expenditures from 'read access' to support open access publishing, we can begin to achieve open access at scale, supporting our authors in all of the journals in which they choose to publish. This talk will discuss UC's experience in negotiating transformative open access agreements with existing publishers, including how native OA publishers can be integrated into this model to create a truly level playing field across all publishers.



# Facilitating OA Transformation through Publisher Engagement: The UC Experience

Ivy Anderson  
California Digital Library  
[ivy.anderson@ucop.edu](mailto:ivy.anderson@ucop.edu)



DIGITAL INITIATIVES SYMPOSIUM

April 28, 2021

### History of Open Access

#### 1991–2003: Beginnings of the Open Access Movement

The open access movement has been with us for some 30 years

The following timeline lists important milestones in the history of open access; it is not intended to be exhaustive. The focus is on events in the German-speaking area and on major international events.

#### 1991

Paul Ginsparg founds the [arXiv archive for physics preprints](#) at Los Alamos National Laboratory (LANL) to make preprints in physics freely available.

#### 1995

During what becomes known as the **serials crisis** in the 1990s, the rising costs of acquiring scholarly literature lead to a burden on the acquisition budgets of scholarly libraries, and thus, in many cases, to a deterioration in the supply of literature. Besides rising journal prices, the crisis has also been caused by the fact that more and more universities and scientific societies have outsourced the publishing of their publications to commercial publishers. Journal literature is particularly affected, which is why this development is also referred to as the serials crisis. Later, the crisis also takes hold in the area of monographs.

#### 1999

**Biomed Central** (BMC), the first open access publisher, is founded by Vitek Tracz. In 2008, BMC is sold to Springer.

The **Open Archives Initiative** (OAI), which promotes the development of technical standards for the interoperability of metadata, is founded.

#### 2001

The first version of the **Open Archive Initiative Protocol for Metadata Harvesting** (OAI-PMH), an interface for the harvesting of data from repositories, is released.

CERN and the University of Geneva hold the first **OAI Workshop**. This gives rise to an important conference of the same name in the area of open science, which has been organised every two years in Geneva since then.

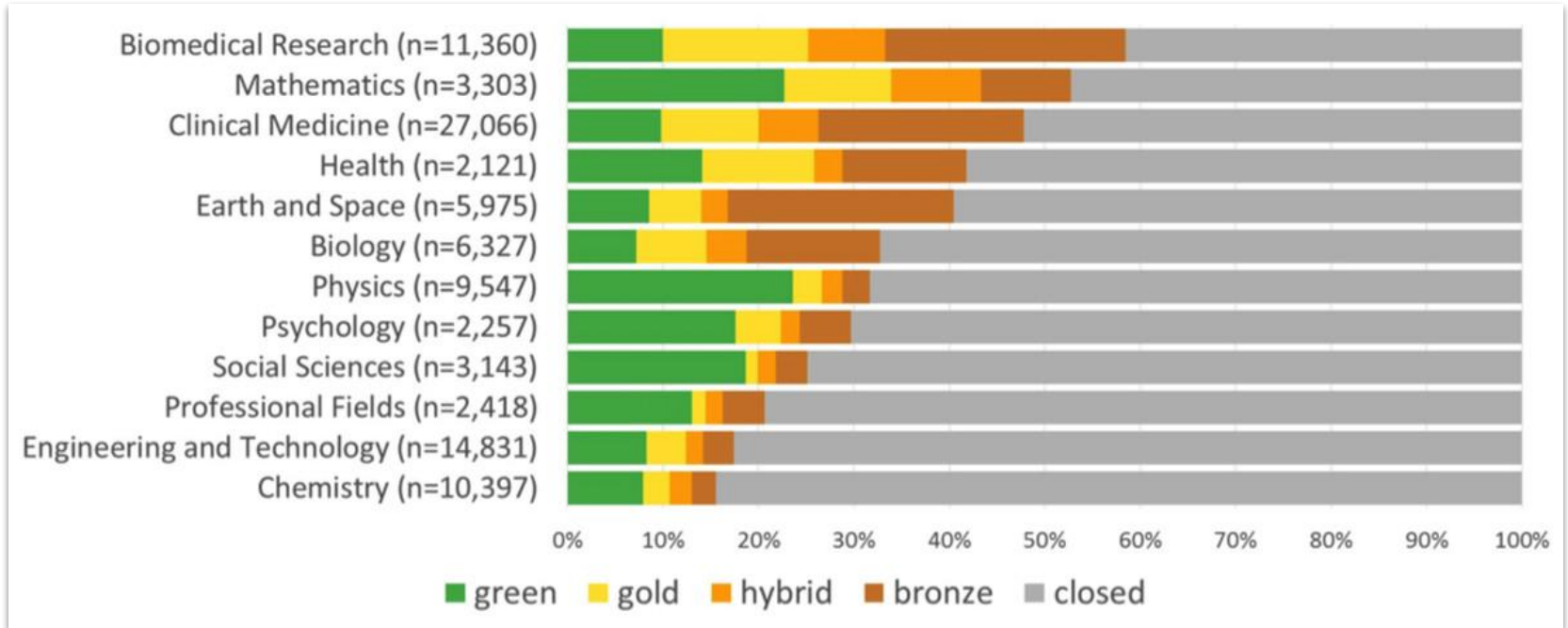
#### 2002

Scholars and scientists join forces in the international and transdisciplinary **Budapest Open Access Initiative** (BOAI), which has arisen from a meeting of the Open Society Institute (OSI) in Budapest. The 2002 BOAI Declaration states that "the literature that should be freely accessible online is that which scholars give to the world without expectation of payment".

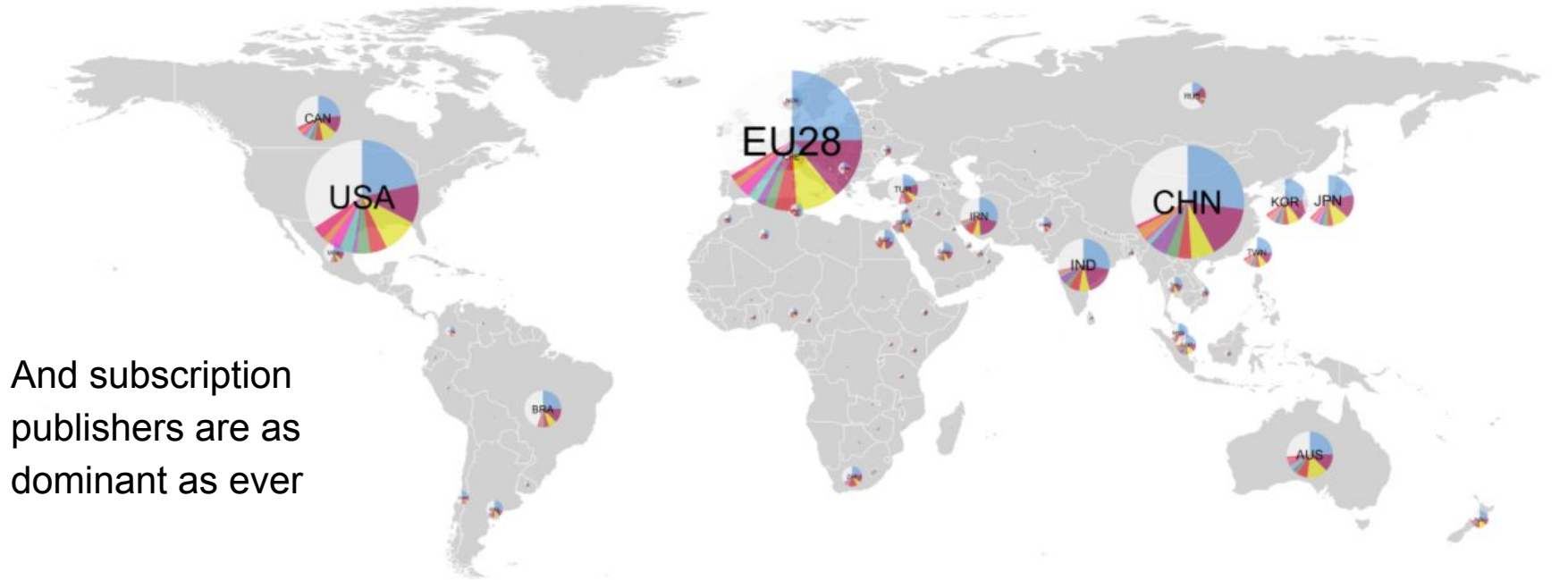
The nonprofit organisation **Creative Commons** is founded in the United States by Lawrence Lessig and others. It makes several copyright licences, known as Creative Commons licences, available to the public free of charge.

**Open Journal Systems**, an open source software application for managing and publishing scholarly journals, is released by the Public Knowledge Project in Canada.

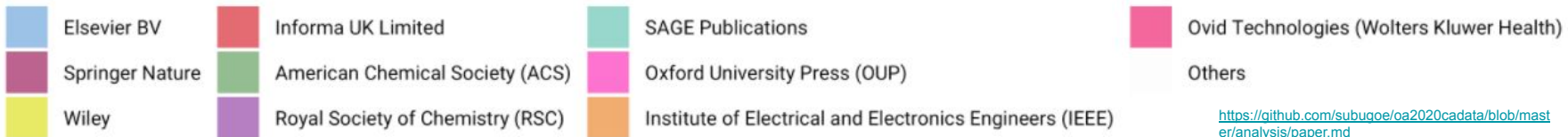
Yet despite decades of global effort, only ~ 15% of papers are published as OA today



# Article share by publisher, 2014-2018



And subscription publishers are as dominant as ever



# Why: “Faculty love their journals”

## Importance of Factors When Selecting Where to Publish\*

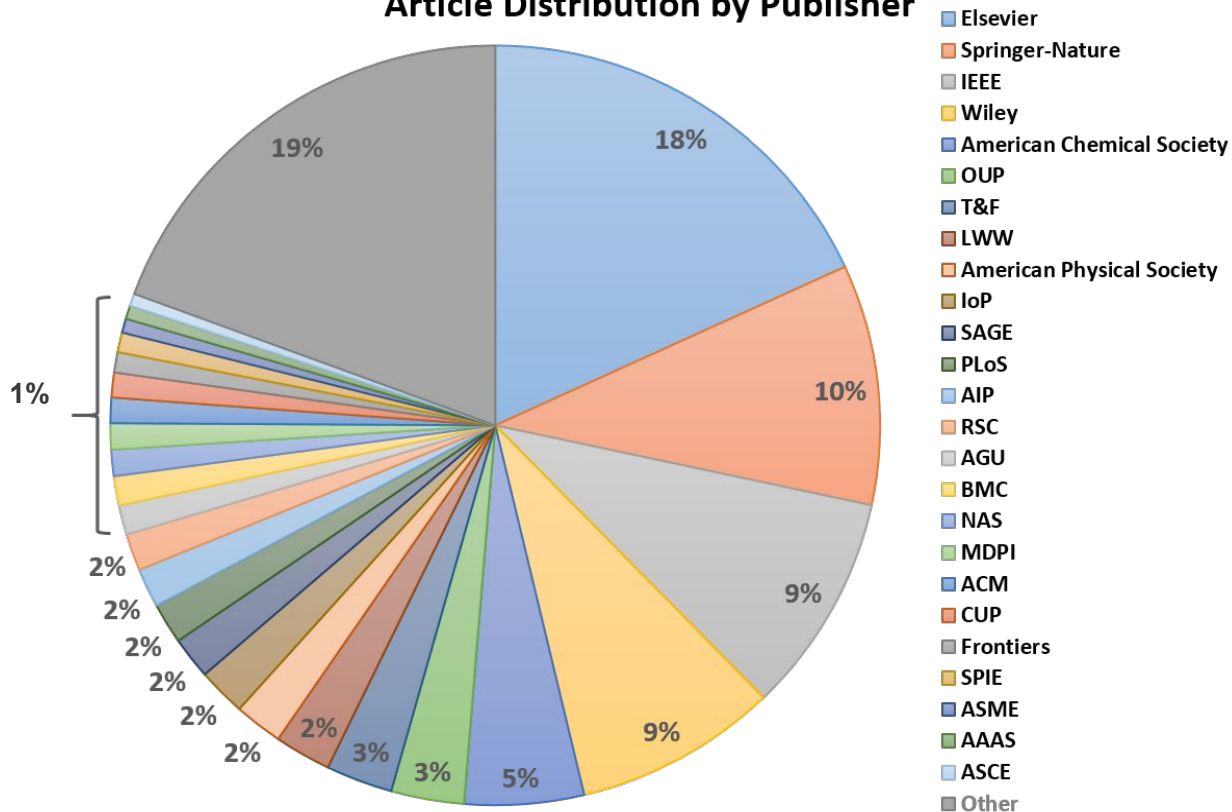
1. Quality and reputation of journal
2. Fit with Scope of journal
3. Audience
4. Impact Factor
5. Likelihood of acceptance
6. Time from submission to publication
7. Editor or editorial board
8. Open Access



***“Reputation building within a specific field is at the heart of what matters most to academic scholars.”***

# UC's article output reflects this reality

Article Distribution by Publisher



81% of UC articles are published by just 23 publishers

50% of our output is published by 5 publishers

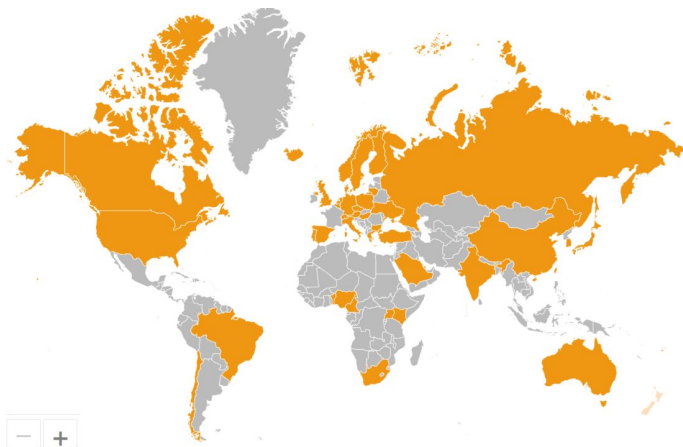
We cannot achieve OA at scale by ignoring the gravitational pull of the existing literature

*This is our challenge, but also our opportunity!*





a global initiative to transform scholarly publishing to open access



UC faculty desire for OA in the existing journals led to interest in OA2020, and to transformative agreements as a key on-ramp to OA

**Statements on**  
open access  
2020  
by U.S. Signatory Campuses

This site was created by an informal group of U.S. institutions who have signed Max Planck Digital Library's OA2020 Expression of Interest ("EoI"). These institutions offer perspectives here about why they signed and how OA2020 can help transition scholarly journals to open access.

**Berkeley**  
UNIVERSITY OF CALIFORNIA

**UC DAVIS**  
UNIVERSITY OF CALIFORNIA

**UCSF**  
University of California  
San Francisco

UNIVERSITY OF CALIFORNIA  
**MERCED**

**CSUN**  
CALIFORNIA  
STATE UNIVERSITY  
NORTHBRIDGE

**IOWA STATE UNIVERSITY**  
University Library

**UNT**  
UNIVERSITY  
OF NORTH TEXAS

**UC RIVERSIDE**  
UNIVERSITY OF CALIFORNIA

**UCLA**

**WAYNE STATE UNIVERSITY**

**UC San Diego**

**UC SANTA BARBARA**

Why? The people of California would like to know...



This is a question I've been getting ... These are public dollars going into a public university – knowledge is being created – and we can't share that with the general public?

UC Regent Eloy  
Ortiz Oakley

# Project Transform

Formed by UC Libraries + Faculty Senate summer 2018

To advance *one tactic* in shared strategic plan to **accelerate the transition to open access:**

## Converting subscription licenses to open access publishing agreements

- Joint library / faculty working Group & negotiating team
- Goals
  - Comprehensive OA for UC authors
  - Cost reduction / control

## Championing Change in Journal Negotiations

By admin / June 21, 2018

<https://osc.universityofcalifornia.edu/2018/06/championing-change-in-journal-negotiations/>



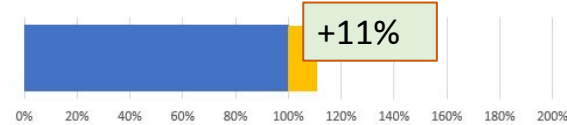
Over the past year, the University of California's Systemwide Library and Scholarly Information Advisory Committee (SLASIAAC), in partnership with our university libraries and the systemwide academic senate's Committee on Library and Scholarly Communication (UCOLASC), has

been considering the twin challenges of journal affordability and the moral imperative of achieving a truly open scholarly communication system. Making

# A growing challenge: APC spend 'in the wild'

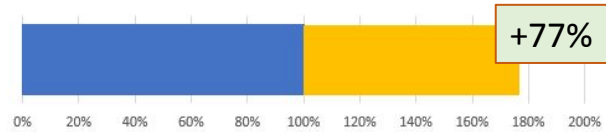
Elsevier:

Large, multidisciplinary  
Traditionally subscription  
Relatively few OA journals



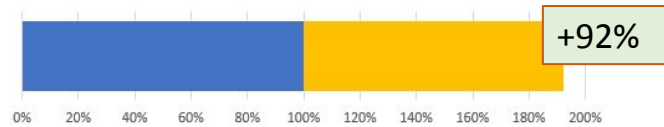
SpringerNature (+ BMC):

Large, multidisciplinary  
Traditionally subscription  
Many OA journals, including megajournals

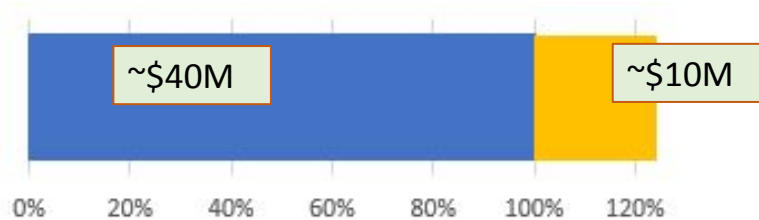


AAAS:

Small, mission-driven  
One large OA journal (Science Advances)



Across UC



# Key element: *Aligning goals and strategies*

## Library, Faculty, Administration

Libraries roadmap ([Pathways to OA](#)) - Feb 2018

Senate (Library committee) [Declaration](#) - April 2018

UC Provost advisory [Call to Action](#) - June 2018

Only then, Libraries announce [negotiations project](#)  
- June 2018

## PATHWAYS TO OPEN ACCESS

UNIVERSITY OF CALIFORNIA

BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO



SANTA BARBARA • SANTA CRUZ

UNIVERSITY COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION  
Assembly of the Academic Senate, University of California

13 April 2018

### DECLARATION OF RIGHTS AND PRINCIPLES TO TRANSFORM SCHOLARLY COMMUNICATION

*To align our institutional policies and practices toward the goal of replacing subscription-based publishing with open access (OA), we propose that the University of California assert the following rights and principles when negotiating with publishers during journal license renewals:*

1. **No copyright transfers.** Our authors shall be allowed to retain copyright in their work and grant a Creative Commons Attribution license of their choosing.

2. N

ti

3. N

Ir

4. N

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5. N

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6. N

a

7. N

e

p

8. N

## Negotiating Journal Agreements at UC:

### A Call to Action

June 2018

6. N *Issued by the UC Systemwide Library And Scholarly Information Advisory Committee*

a *Endorsed by the UC Council of University Librarians*

7. N *Endorsed by the UC Academic Senate University Committee On Library And Scholarly Communication*

8. N *As the University of California Libraries plan for journal renewal negotiations in 2018 and beyond,*

*UC faces dual imperatives in its approach to acquiring scholarly content:*

# Our initial target: Elsevier

That didn't work out so well at first...



# Our first agreement: Cambridge University Press

## Signed in April 2019

- First large OA deal in North America
- UC is largest US source of CUP articles

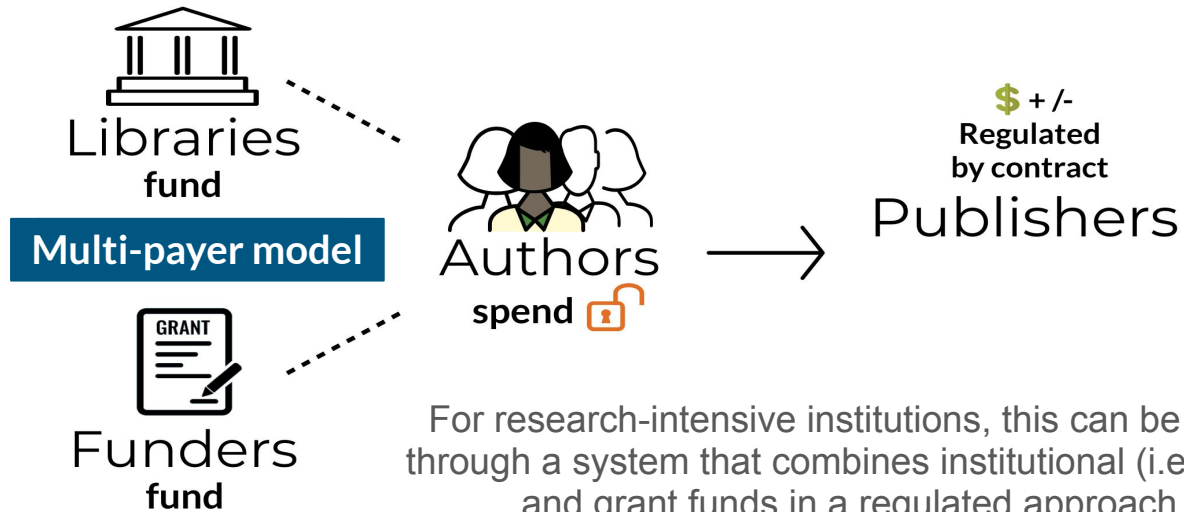
## Collaborative development of multi-payer workflow

- Workflow designed with CUP and CCC
- Extensible to other publishers and institutions



# UC's multi-payer OA model: designed for research-intensive institutions

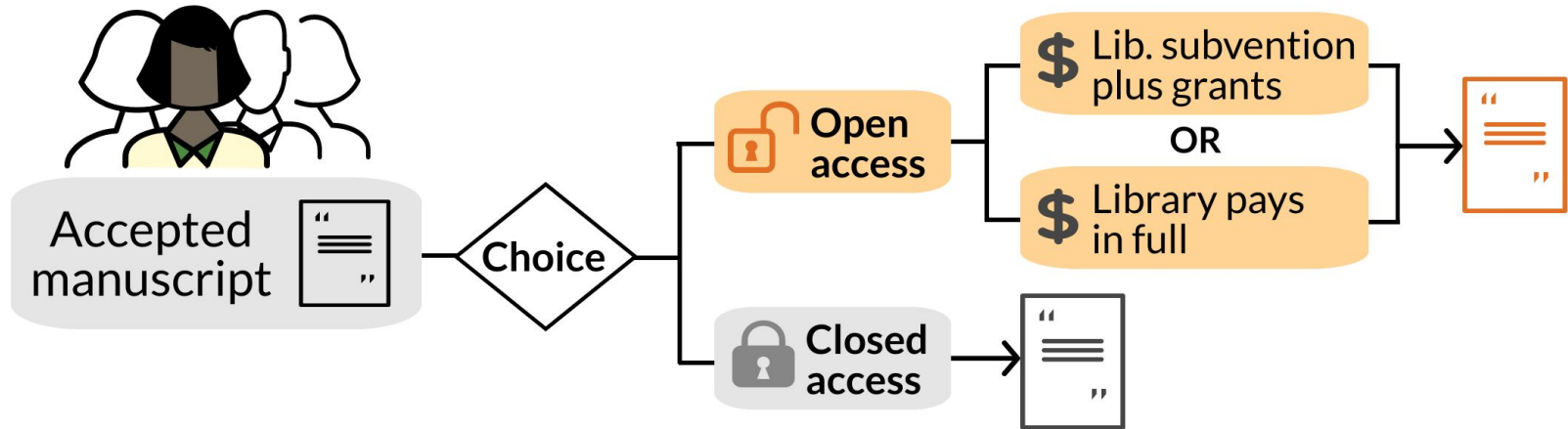
Open access shouldn't cost more; the transition can happen with existing funds within the publishing ecosystem.



For research-intensive institutions, this can be accomplished through a system that combines institutional (i.e. subscription) and grant funds in a regulated approach. We call this a 'multi-payer' model.



# Multi-payer author-centered workflow

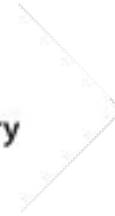


- Authors determine where and with whom they publish
- Authors determine whether to publish open access
- All authors can publish open access, whether they have grant support or not

# Our second agreement:



Association for  
Computing Machinery



A multi-library collaboration among UC, MIT, Iowa State University, Carnegie Mellon, and the University of Minnesota resulted in a new, tiered “read and publish” OA business model that ACM is now pursuing globally.

## **The ACM OPEN Model**

Over the past year, ACM has been working closely with a group of top-tier research institutions to develop a unique and innovative variation on the basic “Read + Publish” model that many of the large commercial publishers and university presses are now piloting with universities around the world. We are calling this new model ACM Open and we believe it has the potential to completely transform ACM's Publications Program in a dramatic way over the next 5-10 years.

# UC's 9 transformative open access agreements today

Explicit focus on supporting publisher diversity (including society, non-profit, and native OA publishers):

- [Cambridge University Press](#)
- [Association for Computing Machinery \(ACM\)](#)
- [JMIR Publications](#)
- [Public Library of Science \(PLOS\)](#)
- [Springer Nature](#)
- [Canadian Science Publishing](#)\*
- [Company of Biologists](#)\*
- [The Royal Society](#)\*
- Elsevier\*

All agreements with the exception of ACM use the multi-payer approach

\* New in 2021

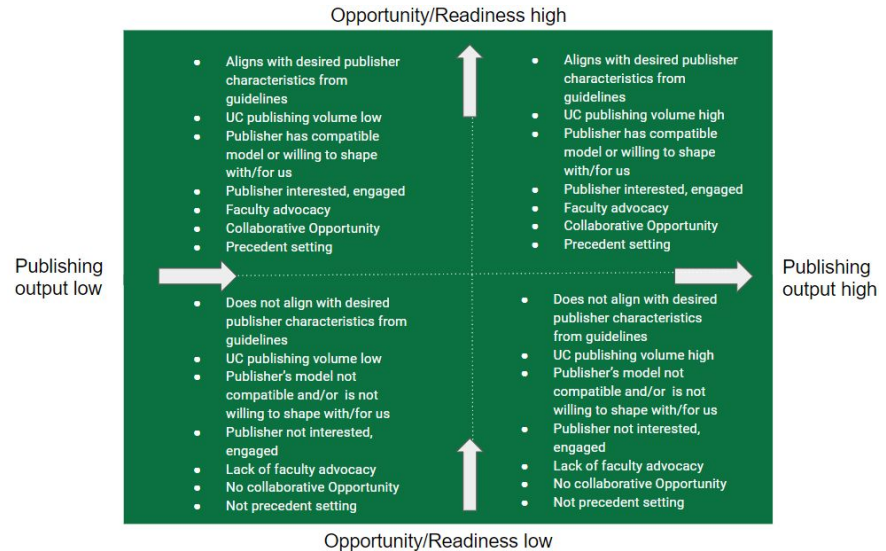
# Guidelines and prioritization matrix for TAs

## Guidelines for Evaluating Transformative Open Access Agreements

In this document we set forth guidelines that the University of California (UC) applies when evaluating systemwide transformative agreements with publishers. Transformative agreements are those that substantially shift payments for subscriptions (reading) into payments for open access (publishing). By intention and design, most such agreements are transitional and thus these guidelines are intended to be used during the years of transition to full open access.

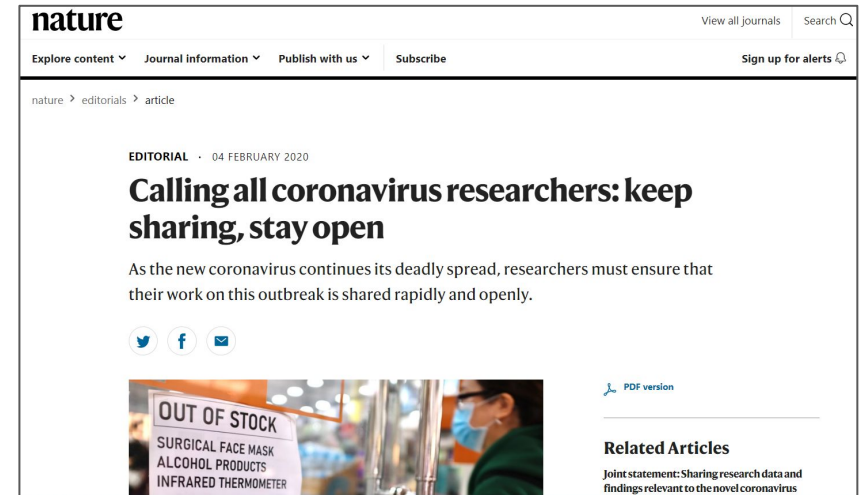
Transformative agreements – and behavior by publishing partners – should exhibit these characteristics for an agreement to be recommended for adoption at UC.

UC's goal of overall expenditure reduction for its journals portfolio provides important context for these guidelines. Within that overall goal, our assessment



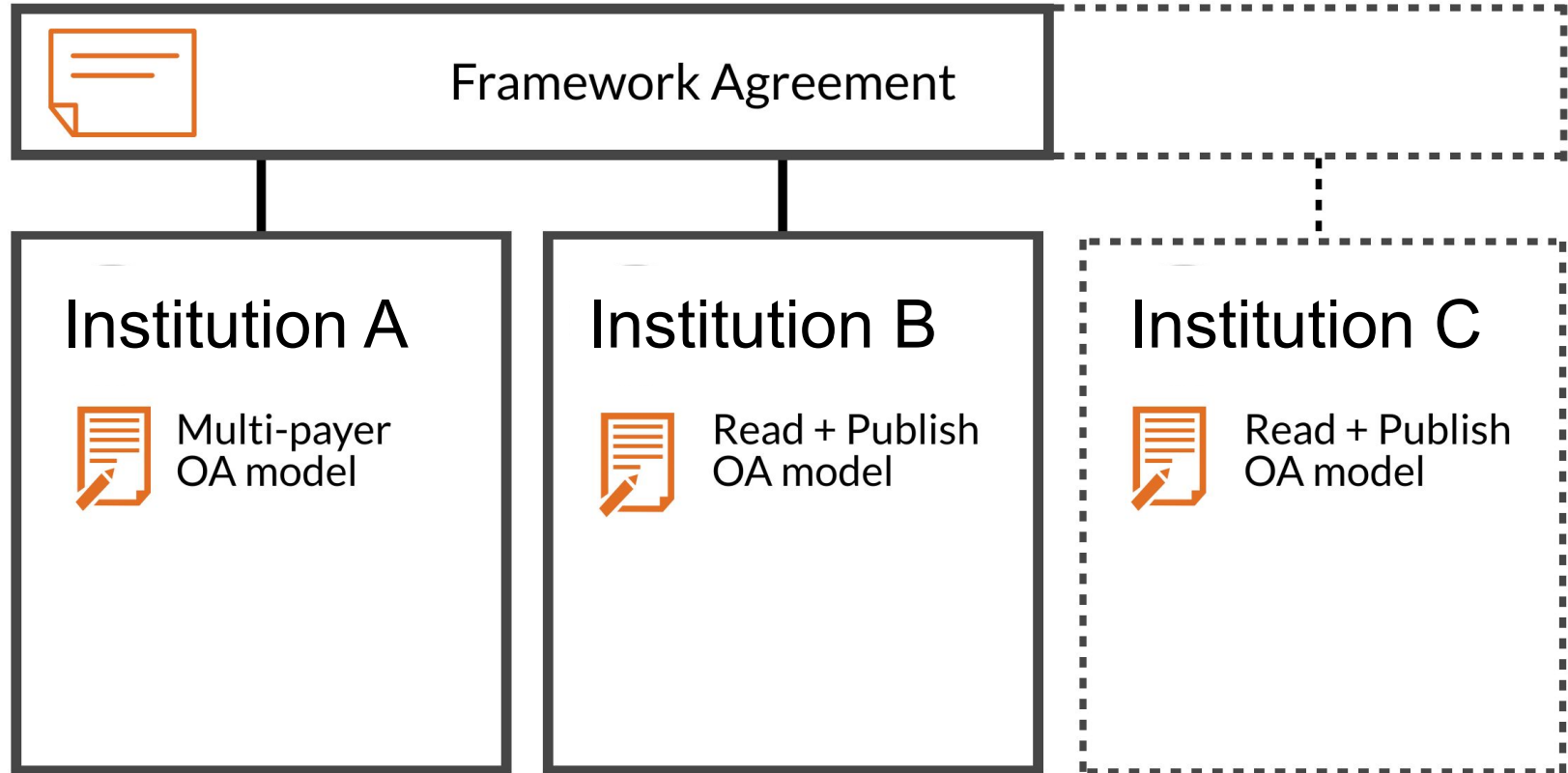
# Transformative Agreements re-align incentives in important ways; they

- Bring OA to researchers where they work and live, and accelerating the transition to OA
- Place the financial agency of libraries in the service of OA
  - Libraries can facilitate OA transition at scale by redirecting subscription expenditures and changing the business model from within
  - Authors are supported in publishing OA, and lack of funds need no longer be a barrier
- Allow more holistic financial management
  - By bringing subscription and OA expenditures together in a single agreement, institutions can manage and control costs in a more intentional and comprehensive way



- Place library funding in the service of authors, not publishers
  - As author behavior and preferences evolve, institutional support can evolve along with it

# A pitch: scaling efforts through Consortial agreements





UN Human Rights

@UNHumanRights



"#OpenScience is a fundamental matter of human rights" – UN Human Rights Chief @mbachelet makes a joint call with the heads of @UNESCO, @WHO and @CERN to ensure open, inclusive and collaborative science.

Learn more [ow.ly/9nRK50C45x7](https://ow.ly/9nRK50C45x7)

#StandUp4HumanRights



9:25 AM · Oct 27, 2020



171



30



Share this Tweet

## A word about equity...

Transformative agreements address a major problem of information equity - creating timely equitable access to published research across the entire world.

That is a big deal.

But do they create new problems of equitable access to publishing?

A few thoughts:

- Publishing fees and business models in higher-income and lower income economies need not be the same
- APC waivers should be provided where applicable
- How can we better understand, and address, the economic and sociological forces that impede access to publishing now?

We should continue to investigate and solve for these issues!

# For more information

<https://oa2020.us/>

## OA2020 US Working Group and Community of Practice

HOME ABOUT OA2020 & THE EOJ RATIONALE FAQs COMMUNITY OF PRACTICE RESOURCES & CONTACT

### Home

The OA2020 US Working Group serves as an information-sharing community for institutions that have signed the OA2020 Expression of Interest ("EOI"). These institutions offer perspectives here about why they signed and how OA2020 can help transition scholarly journals to open access.

Berkeley  
UNIVERSITY OF CALIFORNIA

UC DAVIS  
UNIVERSITY OF CALIFORNIA

CRL  
Center for Research Libraries  
GLOBAL RESOURCES NETWORK

UNIVERSITY OF CALIFORNIA  
MERCED

CSUN

CALIFORNIA  
STATE UNIVERSITY  
NORTHRIDGE

UCSF

University of California  
San Francisco

IOWA STATE UNIVERSITY  
University Library

UNT

UNIVERSITY  
OF NORTH TEXAS



WAYNE STATE  
UNIVERSITY

UNIVERSITY OF CALIFORNIA  
UC RIVERSIDE

UCLA

UC SANTA BARBARA

UC San Diego

UT Southwestern  
Medical Center

<https://esac-initiative.org/>

ES@C

NEWS MARKET WATCH TRANSFORMATIVE AGREEMENTS DATA ANALYTICS WORKFLOWS MORE RESOURCES

ESAC aggregates data and relevant facts for the [open access market](#) in general and a number of major publishers in particular in order to illustrate and better assess the development of the scholarly publishing market as it transitions to open access.

ESAC aims to provide context and share information with the broader community on the progress of [transitional license models](#) such as "Offsetting" and "Read & Publish," to increase the understanding of their scope and transformative power. In particular, we collect and share information on the uptake of transformative agreements around world, their transformative mechanisms and cost allocation schemes, the impact achieved in terms of open access, and the relevant workflows.

The ESAC Initiative – standing for Efficiency and Standards for Article Charges – was originally established in 2014 to keep up the discussion around the need to develop [workflow efficiencies](#) in the management of open access article processing charges, following an international workshop in 2013 and organized by the Max Planck Digital Library in cooperation with the German Research Foundation (DFG), PLOS and Co-Action Publishing.

In November 2016, ESAC moved under the roof of the DFG funded project [INTACT](#), together with OpenAPC and OAanalytics, with the aim of building infrastructure that would ensure the open access publishing market based on the APC-based business model would remain transparent and sustainable. While the INTACT project officially ended in October 2018, ESAC continues at the Max Planck Digital Library with the collaboration of an international network of partners and supporters.

### ESAC's collaborators and supporters

With its collaborative approach, ESAC relies on contributions from its partners, library consortia and research organizations from around the world.

- [Bilseam Consortium](#)

### Registry

[Agreement registry](#)

[Register your agreements!](#)

### News

- [New open resource: the ESAC Market Watch on key trends as scholarly journal publishing transitions to OA April 6, 2021](#)
- [How transformative agreements are enabling the open access transition March 24, 2020](#)
- [Negotiating with scholarly journal publishers: A toolkit from the University of California June 6, 2019](#)
- [EUA publishes 2019 Big Deals Survey Report May 14, 2019](#)
- [Analysis reveals a 67% price increase in BioMed Central APCs within one year May 1, 2019](#)

### Subscribe

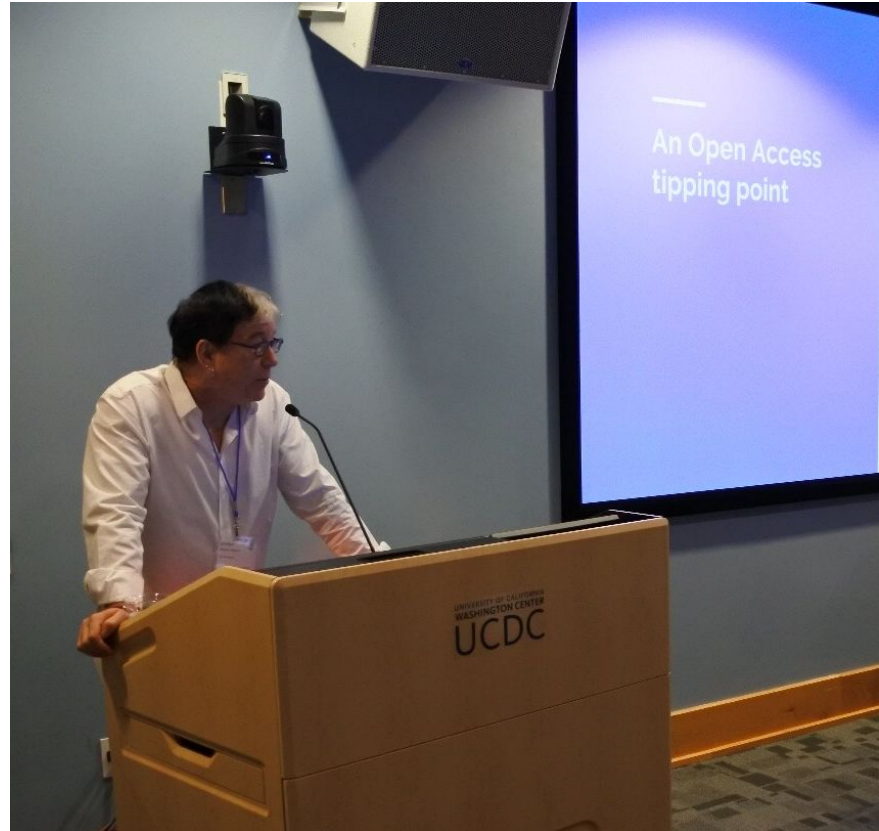
To receive updates and contribute to ESAC discussions, subscribe to our [listserv here](#).



# Summing up

“The open-access movement has been around for 25 years, and still just 15 percent of articles are fully open at the time of publication ... transformative agreements offer an opportunity to tip the scales towards full open access in our lifetime.”

Jeff MacKie-Mason, UC Berkeley, OATIP2019



*We are all on this journey together!*



OA Tipping Point Public Forum  
August 2019  
Washington, DC