
University of California Transformative Agreements: Innovations and Challenges



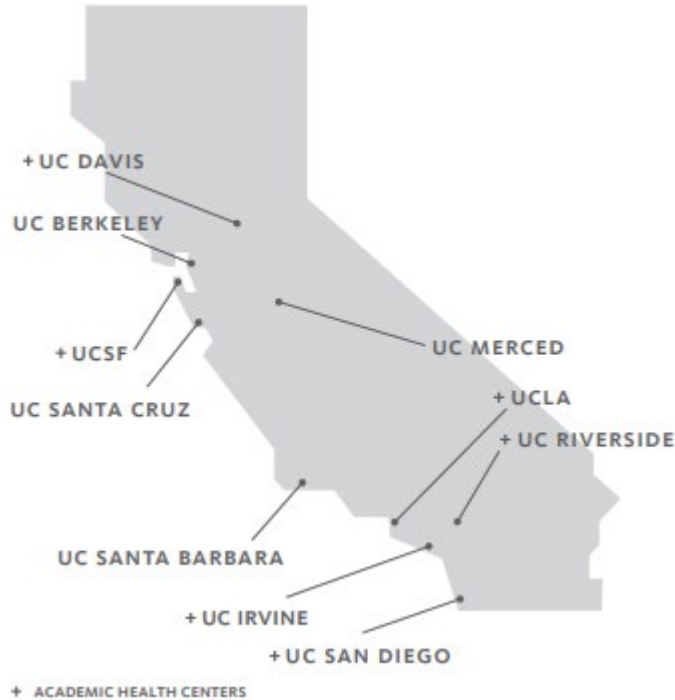
Mathew Willmott

Assistant Director for Open Access Agreements, CDL

16th Berlin Open Access Conference

June 6, 2023

University of California



Size and scope of our coalition:

- 10 campuses, 6 academic health centers, 1 national laboratory
- 73,800 faculty and academic staff; 290,000 students
- ~70,000 articles published each year, close to 10% of USA output
 - 30,000 articles with UC corresponding author

Transformative Agreements at UC/CDL

- **Guidance from faculty and administration:**
 - Pursue agreements which shift investments from subscriptions to OA support
 - Dual goal of cost containment and full transition to OA

OA2020 US Working Group Practice

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16. No deals without OA include offsets for our articles.
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18. No non-disclosure agreements.

Negotiating Journal Agreements at UC: A Call to Action

June 2018

Issued by the UC Systemwide Library and Scholarly Information Advisory Committee
Endorsed by the UC Council of University Librarians
Endorsed by the UC Academic Senate University Committee On Library And Scholarly Communication

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:

- The urgent need to reduce costs to levels that the University can sustain; and
- The desire to transform research production and dissemination in order to make research outputs openly accessible—leveraging the power of digital networks, accelerating beneficial research outcomes, and making the fruits of academic research more inclusivity and more widely available to all who may benefit for the good of society.

We believe the time has come to address these issues head-on through a combined strategy that places the need to reduce the University's expenditures for academic journal subscriptions in the service of the larger goal of transforming journal publishing to open access. Through our renewal negotiations with publishers, we will pursue this goal along two complementary paths: by reducing our subscription expenditures, and investing in open access support.

Such an undertaking will be neither easy nor without short-term pain for the University, its faculty and students. However, even if we were able to maintain all of our current subscriptions, the long-term prospects for beneficial change outweigh the merits of attempting to cling to an untenable and unsustainable status quo.

Context and Rationale: Why Now?

The escalating costs of academic journals are a well-known problem in higher education, far outpacing the growth in library budgets and squeezing our ability to invest in other content and services needed to support teaching and research. As public investment in higher education continues to decline, many of our campus libraries as well as the California Digital Library (CDL), face persistent budget shortfalls that impede their ability to continue these losses. These challenges are reaching a tipping point at UC and elsewhere, leading many of our peer institutions both nationally and globally to [cancel their journal subscriptions](#) that contain vast amounts of ill-used content in favor of selectively licensing only the materials most needed by their faculty and students.

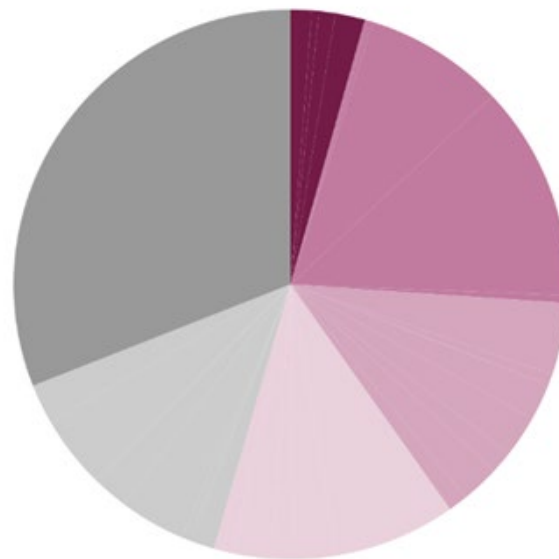
- **Part of a larger strategy for open access:**
 - OA Policy and institutional repository
 - Library publishing platform
 - Investments in other publishing models

Green OA	Gold APC-based	Gold Non-APC-Based
Authors and/or institutions make otherwise toll-access works freely available in repositories. The right to deposit such works depends on publisher and institutional policy, and any rights that the author or institution retains under both. Copies uploaded to a repository are free to read. They may or may not carry re-use licenses for downstream use.	Author pays a fee to the publisher to cover production costs, and publications are made free to readers, potentially but not necessarily with downstream reuse licenses. The author fees may be covered in part or full from a variety of sources, and may be in addition to subscription fees already paid by the Library. Libraries may also negotiate for discounts/reductions in or waivers of those author fees through memberships or other arrangements.	Publisher provides permanent and free access to readers with neither author fees nor reader fees, and potentially but not necessarily with downstream reuse licenses. [Sometimes called Platinum OA, or Diamond OA.]
<ol style="list-style-type: none"> 1. Institution offers repository platform. (All) 2. Institutional policies / mandates (e.g. OA policies, promotion & tenure implications) (All) 3. Funder or third party creates (usually discipline-specific) repository. (All) (CDL, UCSP) 	<ol style="list-style-type: none"> 1. Authors pay APCs directly out of grant, departmental, or discretionary professional funds. APCs might be discounted due to library/consortium negotiated contracts or memberships (e.g. Taylor & Francis; MDPI). (UCSC, UCSD, UCSB, UCD, UCSF, CDL, UCLA, UCI, UCM) 	<ol style="list-style-type: none"> 1. Society, organization, government, or endowment covers entire costs of publication (e.g. Bellstein Journal of Organic Chemistry; SciELO; Americana; the Journal of American Popular Culture 1900 to present) (All)

Agreement progress

As of 2023:

- 15 UC-wide transformative agreements (including top five by volume)
- ~54% of UC publications will be eligible for OA publication under an agreement
- Working on negotiations with publishers covering another 15%

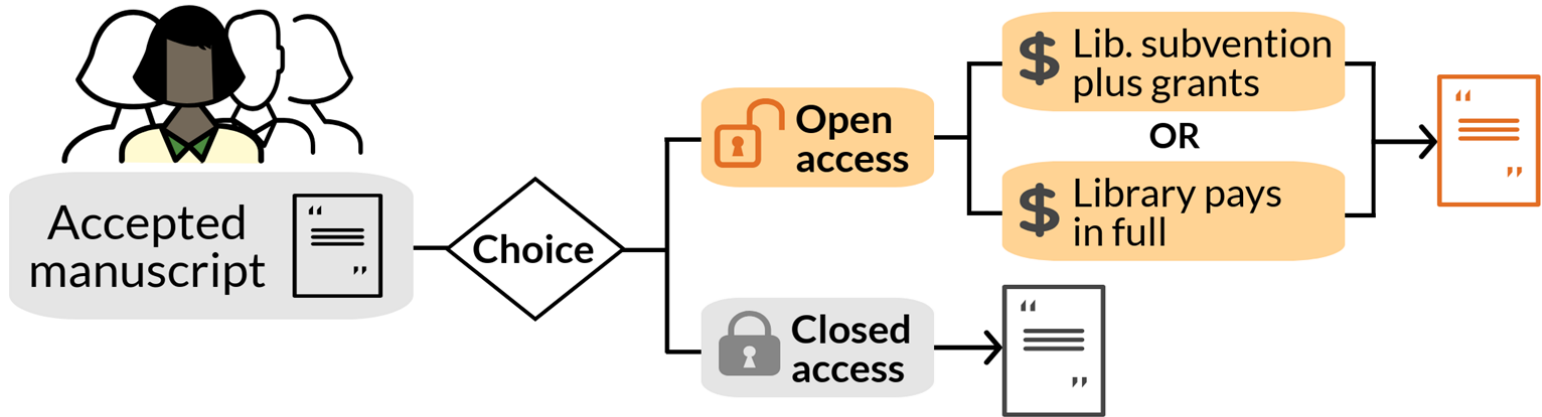


2020 and earlier	4.3%
New for 2021	21.7%
New for 2022	14.1%
New for 2023	14.2%
Target for 2023-24	14.5%
For future negotiations	31.0%

Critical area of innovation: funding flows

- Assertions from MPDL 2015 white paper:
 - *“There is currently already enough money in the system. A ~~large~~ transformation from subscription to open access publishing is possible without added expense.”*
 - *“The goal is to preserve the established service levels provided by publishers that are still requested by researchers, while redefining and reorganizing the necessary payment streams.”*
- **Innovation** needed to:
 - Ensure that costs are not increasing
 - Realign funding flows to a model more appropriate for OA world
- **Particular focus** for University of California:
 - US research funding context
 - Research-intensive institutions

Multipayer model



At a macro level:

- Maintains research funder engagement in total investment with publisher
- Distributes library support across all articles
- Encourages additional funder engagement where possible
- Allows for up to 100% OA; cost is not a barrier

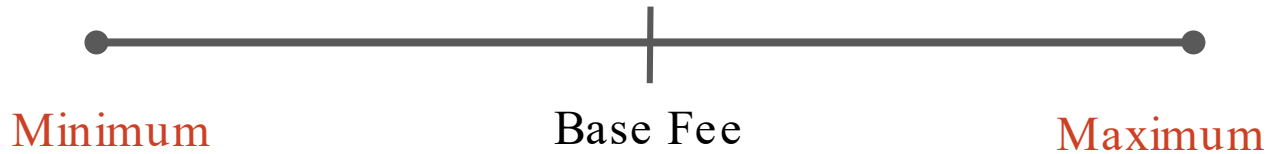
Multipayer model

- **Benefits**
 - Supplements library spend with funding from relevant research funding agencies
 - Engages authors in economics of publishing
- **Drawbacks**
 - Added author engagement requires more education and longer ramp-up
 - Reliance on publishers for implementation

Cost control corridor

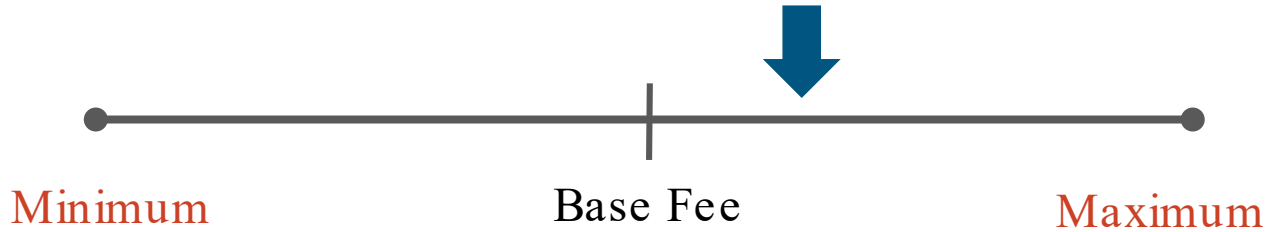
Main idea: set a maximum and minimum total expenditure to protect the library (and the publisher).

Reconciliation needed if outcomes mean total spend is outside of the corridor.



Cost control corridor

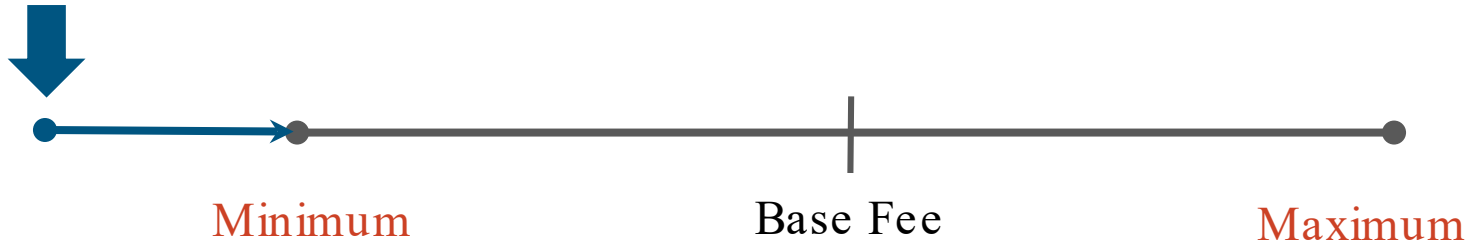
Case 1: Total UC expenditure (combined library and author payments) is **within** the cost control corridor



No reconciliation; total UC expenditure and publisher's revenue are within the cost control corridor

Cost control corridor

Case 2: Total UC expenditure is **below the minimum**



Total UC expenditure is below the cost corridor, so library pays a reconciliation amount that brings publisher's revenue up to the minimum.

Cost control corridor

Case 3: Total UC expenditure **reaches the maximum**



Cost correction needed during the year; **library** costs stop accruing once total UC expenditure reaches the maximum.

Author experience remains unchanged; all articles are published open access unless the author opts out.

Challenges to address

- **Author experience**

- Build strategies to simplify the space for authors
- Harmonize transformative agreement approach with other required compliance
- Improve education and support to increase uptake
- Ensure that authors are retaining the rights that they expect

- **Completing the transition**

- Long tail of smaller publishers
- Supporting full OA publishers
- Focus on humanities, social sciences
- Where are other models more appropriate?

Thank you!



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Mathew Willmott
mathew.willmott@ucop.edu