University of California
Transformative Agreements: Innovations and Challenges

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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

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

<table>
<thead>
<tr>
<th>Period</th>
<th>Percentage</th>
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<tbody>
<tr>
<td>2020 and earlier</td>
<td>4.3%</td>
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<tr>
<td>New for 2021</td>
<td>21.7%</td>
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<td>New for 2022</td>
<td>14.1%</td>
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<td>New for 2023</td>
<td>14.2%</td>
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<td>Target for 2023-24</td>
<td>14.5%</td>
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<td>For future negotiations</td>
<td>31.0%</td>
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Critical area of innovation: funding flows

● Assertions from MPDL 2015 white paper:
  ○ “There is currently already enough money in the system. Adequate 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!