
UC's Open Access Publisher Agreements

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Why open access?

- **Aligns with our public mission:** “The [distinctive mission of the University](#) is to serve society... providing long-term societal benefits through transmitting advanced knowledge.”
- **Empowers social, scientific, and economic innovation:** “Immediate public access to COVID-19 research is a powerful case study on the benefits of delivering research results and data rapidly to the people. The insights of new and cutting-edge research [...] should be immediately available—not just in moments of crisis, but in every moment.” ([White House OSTP](#))
- **Promotes global equity:** Removes barriers and makes knowledge free to the world.
- **Supported by our faculty:** “The faculty-led Academic Senate of the University of California strongly recommends that all UC authors choose the open access publishing option.” ([UCOLASC statement](#))
- **A matter of compliance:** Most US funders increasingly expect, and many mandate, the open availability of their funded research

UC's Pathways to Open Access

UC is pursuing [many pathways](#) to advance a sustainable, large-scale transition to open access, including:

- **Publisher-based open access.** The final article is freely and permanently available upon publication; an article processing charge (APC) or alternate business model covers production costs (in lieu of subscription charges).
- **Repository-based open access.** The author's manuscript is deposited into a repository, sometimes after an embargo, and freely available to all. [eScholarship](#) is the UC institutional repository.
- **Institution-led open access publishing.** The UC Libraries offer a comprehensive [open access publishing platform](#) and UC Press has an [open access portfolio](#).

UC's open access coalition

UC faculty, libraries and administrators have built an active coalition to *transform scholarly publishing through publisher contracts*.

- **Author focused:** We support our authors where they chose to publish.
- **Scalable:** We utilize pre-existing subscription funds.

We're guided by the [principles](#) articulated by our faculty.

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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.

National Policy: White House OSTP Nelson memo (2022)

- **GREEN:** Articles become **immediately** accessible through deposit
 - “[A]ll peer-reviewed scholarly publications [...] resulting from federally funded research are made freely available and publicly accessible by default in agency-designated repositories without any embargo or delay [...]” ([guidance](#))
- **GOLD:** Federal funders support for publication costs (e.g., APCs)
 - “[F]ederal agencies should allow researchers to include reasonable publication costs [...] as allowable expenses in all research budgets.” ([guidance](#))
 - “Importantly, adherence to and implementation of the policy guidance in the 2022 Memorandum does not require expense on the part of the researcher.” ([FAQ](#))

Policy implications

- The policy further erodes the viability of the paywall (subscription) business model by making approximately 40% of US articles immediately available, per OSTP estimate.
 - Publishers are under increasing pressure to transition to business models that remunerate full open access publishing.
 - Particularly for large publishers, the most logical available business model remains gold OA or APC-based publishing.
- US federal policy may be **green on the outside**, but it is **gold on the inside**.

UC's multipayer model

The past: the subscription model

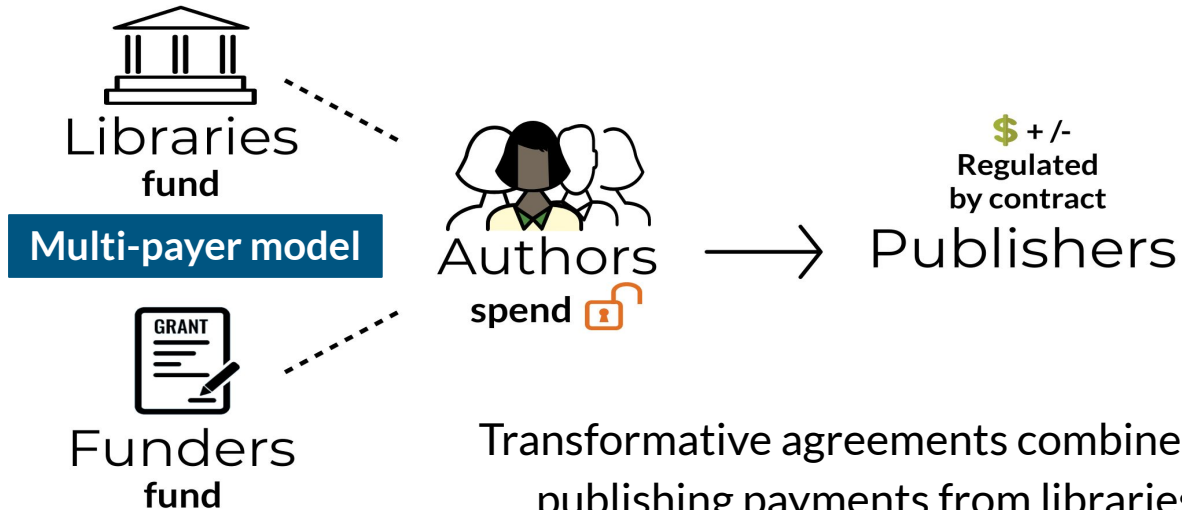
Under the subscription model, UC paid publishers \$50M with the left hand (\$40M libraries) and the right hand (\$10M authors/funders).



These payments resulted in **only about 15% open access.***

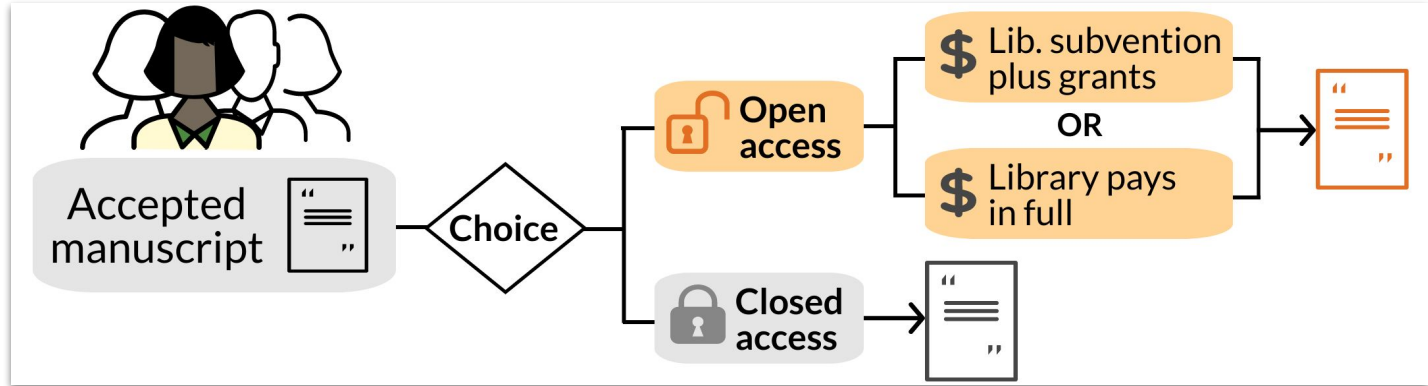
The present/future: transformative agreements

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



Transformative agreements combine reading and publishing payments from libraries and author research (grant) funds into a **single financial flow**.

UC's multi-payer model: the author experience



- 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

Elsevier case-study (2018-2021)

UC's negotiation timeline with Elsevier

Round 1: Negotiations Summer 2018 – Feb. 2019

- Elsevier discontinued UC's access on July 10, 2019; alternative access for UC scholars commenced
- We documented our experience in [Negotiating with scholarly journal publishers: A toolkit from the University of California](#)

Round 2: Summer 2020 – February 2021

- Council of University Librarians (CoUL) and the Academic Senate University Committee on Library and Scholarly Communication (UCOLASC) **unanimously approved the agreement on Feb. 19, 2021**
- [Public announcement](#) | [Interview with UC negotiation co-chair](#)

Impact of walking away

- Elsevier turned off direct access to *new* content on July 10, 2019 (we own perpetual access to the vast majority of pre-2019 content).
- In winter 2020, UCOLASC and the Libraries co-sponsored a poll to gauge the impact. Over 7,300 faculty, researchers, students and clinicians responded:
 - Only 14% (24% of health sciences respondents) selected, “This is very frustrating... [UC should] finalize an agreement as quickly as possible.”
- Alternative access was very successful (about 90% of requests to libraries were delivered within 24 hours; every article could be legally accessed).

Elsevier agreement meets all goals

After nearly 3 years:

1. 100% open access publishing
2. Cost reduction and cost controls for the University
3. Provisions responsive to UCOLASC [principles](#) to transform scholarly communication
4. Reading rights to all previously subscribed Elsevier content

**UC's transformative
agreements today**

Institute of Electrical and Electronics Engineers (IEEE)

SAGE

American Chemical Society

Wiley

Biochemical Society / Portland Press

2021

PNAS

The Royal Society

Elsevier

Company of Biologists

Canadian Science Publishing

Springer Nature

Public Library of Science (PLOS)

JMIR Publications

Association for Computing Machinery (ACM)

2020

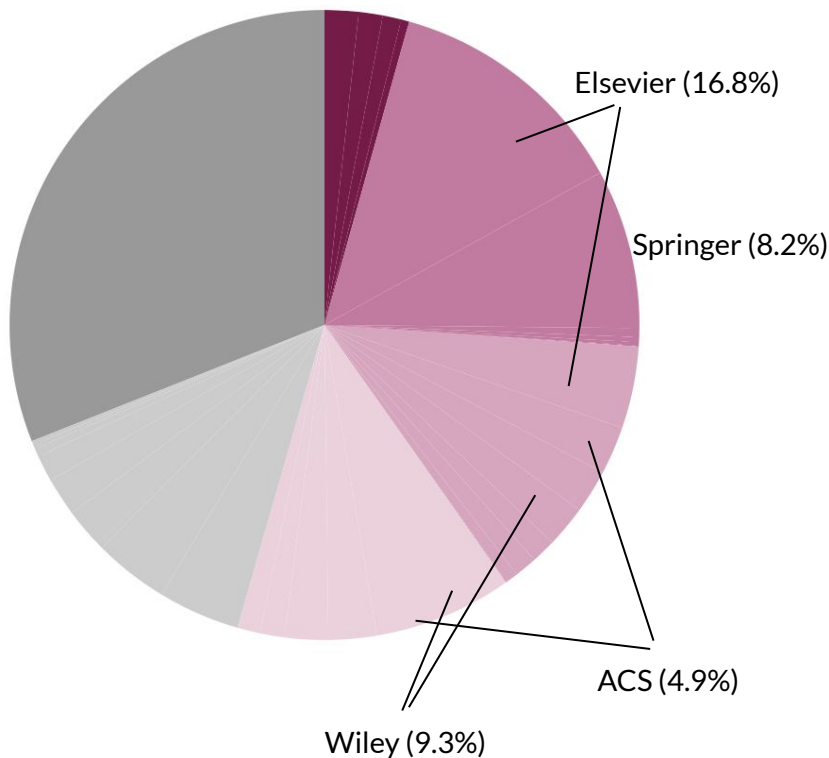
2019

Cambridge University Press

2022

Progress: UC's open access agreements

UC's 15 existing publisher agreements make 54% of UC articles (\approx 14,000 articles) eligible for OA publishing.



Additional agreements targeted for 2023-24 will increase that percentage to \sim 70%.

- Covered starting 2020 or earlier (4.3%)
- Covered starting 2021 (21.7%)
- Covered starting 2022 (14.1%)
- Covered starting 2023 (14.2%)
- Target list for 2023-24 (14.5%)
- Not yet targeted (31.0%)

Agreement performance, financial (2021)

Cost avoidance compared to subscription model ...

Libraries expenses: **-\$1.4M**



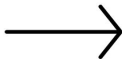
Libraries fund

Multi-payer model



Author expenses: **-\$900K**

Funders fund

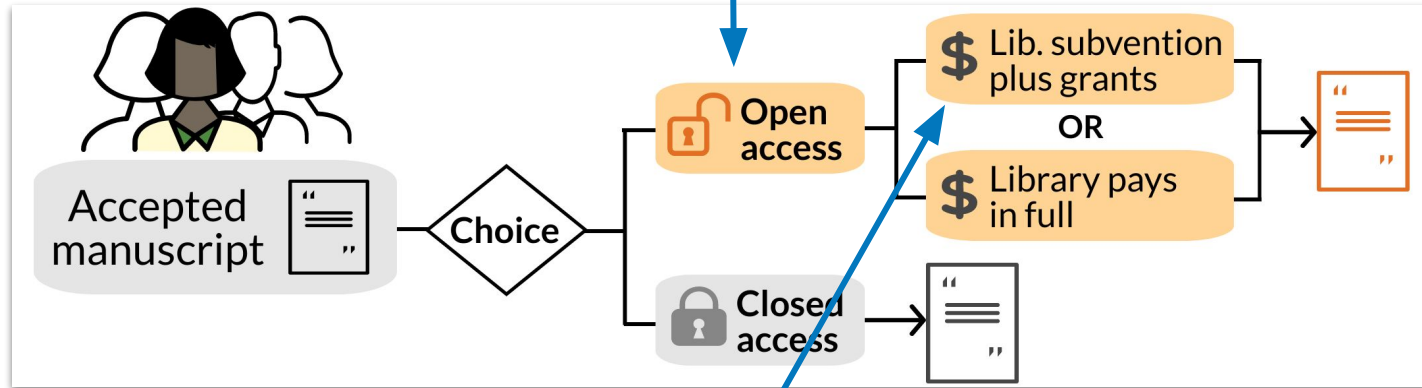


Publishers

\$ +/-
Regulated
by contract

Agreement performance, author choices (2022)

67% of eligible publications made open access



42% of authors publishing OA brought grant funding

Implementation: a work in progress

Working within publisher's framework of systems

- Inconsistent systems from publisher to publisher
- Differing levels of technical capacity and customization
- Complexity for authors and library staff

Communications balance

- Keep authors aware without inundating them
- Provide information as close to the time of decision-making as possible
- Encourage them to publish OA, encourage them to use grant funds when available (but not required if not available)

Licensing and agreement administration

- Custom licensing work; usually start from MOU
- Requires additional financial oversight and reconciliation
- Data collection lacks standardization

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 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!

Questions?

Some resources:

- List of UC publisher [open access agreements and discounts](#)
- UC Academic Senate committee on library and scholarly communication
 - [Statement](#) regarding open access publishing
 - [Declaration of Rights and Principles](#)