

An Open Access  
tipping point



# Transformative Agreements as an Open Access Accelerator

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University of California

NASEM Aligning Incentives for Open Science Roundtable

**Advancing Open Science Practices: Stakeholder  
Perspectives on Incentives and Disincentives:  
A Symposium**

**September 20, 2019 – Washington DC**

# Why transformative agreements?

“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



# What is a transformative agreement?

## ESAC Definition:

Transformative agreements are those contracts negotiated between institutions (libraries, national and regional consortia) and publishers that transform the business model underlying scholarly journal publishing, moving from one based on toll access (subscription) to one in which publishers are remunerated a fair price for their open access publishing services.

*My take: Although these are agreements negotiated with publishers, the focus is not on publishers, but on transitioning library expenditures to support open access on behalf of authors.*

# Context: Transformative Agreements are just one element in UC's open toolkit

The screenshot shows the eScholarship website interface. At the top, the eScholarship logo (a green circular pattern) and the text "eScholarship University of California" are on the left. A search bar on the right contains the text "Search over 200,000 items". Below the header, navigation links include "About eScholarship", "Campus Sites", "UC Open Access Policies", and "eScholarship Publications". A "punctum books" logo is also visible. The main content area features a large article titled "Next Gen Library Publishing partnership awarded \$2.2M Arcadia grant to improve scholarly publishing infrastructure" by Catherine Mitchell, dated August 28, 2019. The article text states: "Educopia Institute and California Digital Library are pleased to announce an award in the amount of \$2,200,000 from Arcadia—a charitable fund of Lisbet Rausing and Peter Baldwin". To the left of the article is a sidebar with a blue header "Open Access Publications" and a photo of a building. To the right is another sidebar with a grey header "OF SCHOLAR" and a green "Browse" button. The background of the article area shows a collage of book covers, including "MEDIEVAL HACKER", "THE", "hope in the present. 5 From education for citizenship to love for the world.", "CLINICAL ENCOUNTERS in SEXUALITY", "Staying Alive", and "L.O. Arango Fradenberg".

eScholarship  
University of California

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## Next Gen Library Publishing partnership awarded \$2.2M Arcadia grant to improve scholarly publishing infrastructure

By Catherine Mitchell / August 28, 2019

Educopia Institute and California Digital Library are pleased to announce an award in the amount of \$2,200,000 from Arcadia—a charitable fund of Lisbet Rausing and Peter Baldwin

Open Access Publications University

OF SCHOLAR

Browse

# PATHWAYS TO OPEN ACCESS

Toward an open  
access future  
for research  
journals:

UC and Cambridge  
University Press enter  
into transformative  
agreement

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ing and engaging with disciplines for flipping their journals to OA  
ing memberships and crowd-funding  
ing opportunities to leverage eScholarship as a publishing platform\  
ing commitment to open scholarly publishing infrastructure  
ing transitional offsetting agreements, in which current subscription spends  
ver open article processing charges for hybrid journals—and potentially  
g up offsetting negotiations with cancellations for publishers who refuse to

# Why is it taking so long?



Mis-aligned incentives

- Authors
- Libraries
- Funders
- Publishers

# Author Incentives (Pay It Forward study)

## Importance of Factors When Selecting Where to Publish

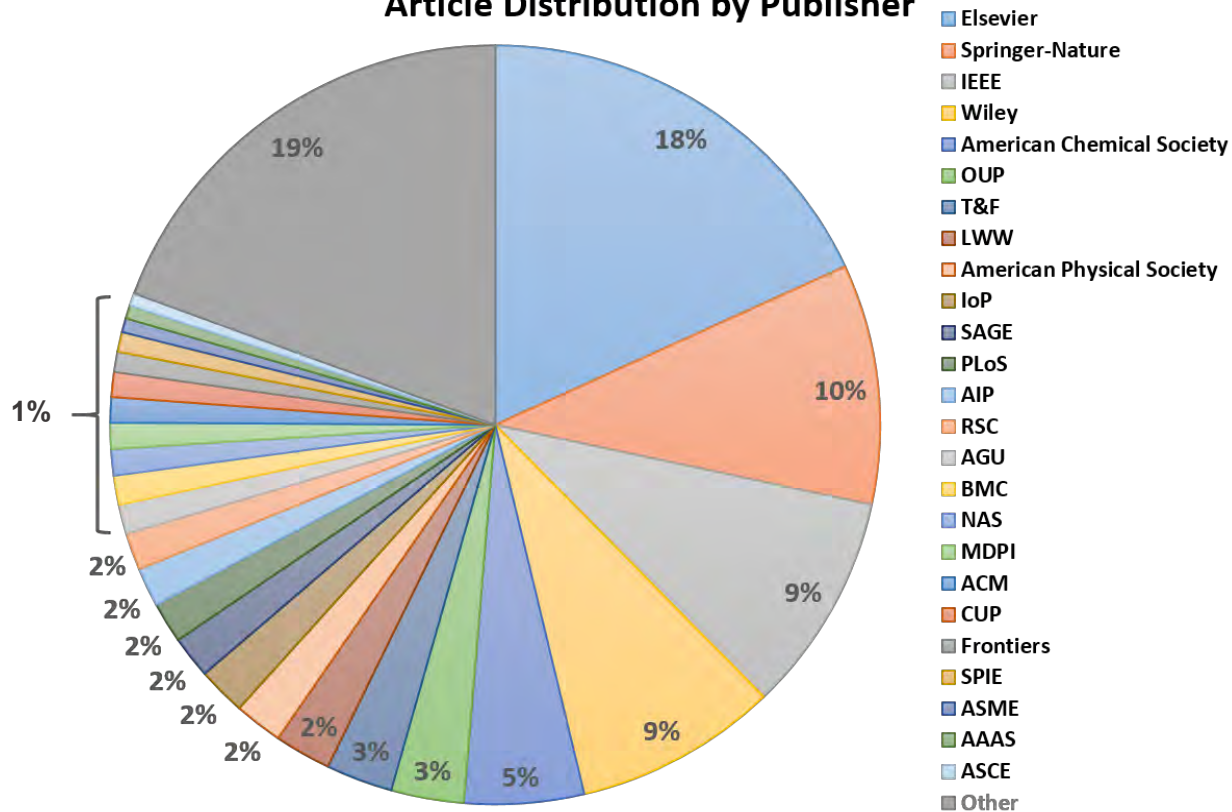
1. Quality and reputation of journal
2. Fit with Scope of journal
3. Audience
4. Impact Factor
5. Likelihood of acceptance
6. Time from submission to publication
7. Editor or editorial board
8. Open Access



***“Taken together, it is evident that reputation building within a specific field is at the heart of what matters most to academic scholars.”***

# Ergo...

Article Distribution by Publisher



81% of UC articles are published by just 23 publishers

50% of our output is published by 5 publishers

- Elsevier
- SpringerNature
- Wiley
- IEEE
- ACS

Key Takeaway:

**We will not get to OA at scale by ignoring the gravitational pull of the existing literature**

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

# Library incentives

- Collections librarians want to make their users happy and provide as much content as possible
  - COUNTER statistics reinforce the sense of insatiable demand (Trusting the fox to count your hens?)
- Scholarly communication librarians want to break down the old order (and fill their repositories)
- Library managers worry about costs



Moffitt Library, UC Berkeley

# Funder incentives

## North America

- **Funding Agency Green OA Policies**
  - White House OSTP Directive
  - FASTR
- **University Faculty OA Policies**

## Europe / UK

- **Finch Report**
- **Horizon 2020**
- **OA2020**
- **APC Offset Agreements**
- **Plan S**

# Publisher incentives



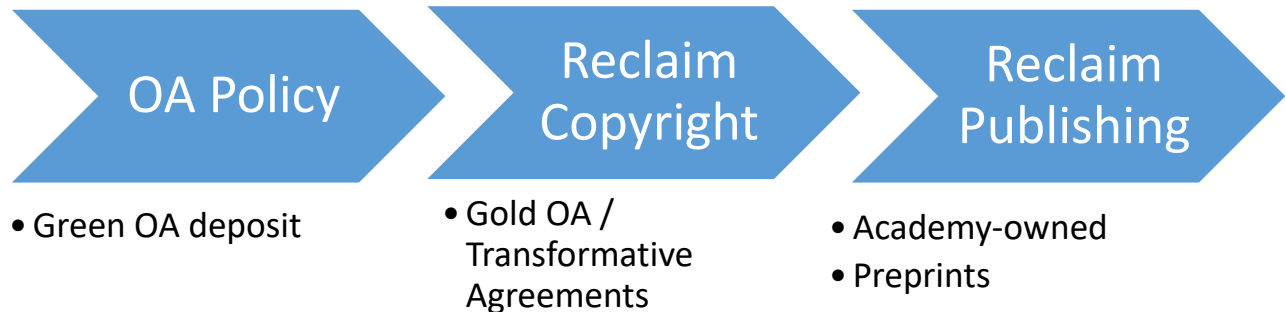
Double dipping • Uncontrolled, independent spending • Unsustainable

# Transformative Agreements re-align these incentives in important ways

- Brings OA to researchers where they work and live
- Places 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.
- Allows 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.
- Places library funding in the service of authors, not publishers
  - As author behavior and preferences evolve, institutional support can evolve along with it

# Transformative agreements as agents of future change

- Libraries cannot directly change author behavior, but we can change how we spend our money
- TA's align our money with researcher behavior
- As researcher behavior changes, our money can follow



# There are structural challenges to overcome as well

## **Political**

- North American political and funding context is highly decentralized and oriented toward green OA

## **Financial**

- While there may be 'enough money in the system,' shifting the financial burden from reading institutions to publishing institutions poses affordability challenges

## **Market-based**

- If institutions continue to pay for publication instead of authors, market dynamics cannot take hold to drive down costs

# Not just why, but *how*

We are not simply trying to exchange our bulk subscription payments to certain large publishers with another bulk payment for OA.

Our vision is fundamentally different and, we believe, more transformative.





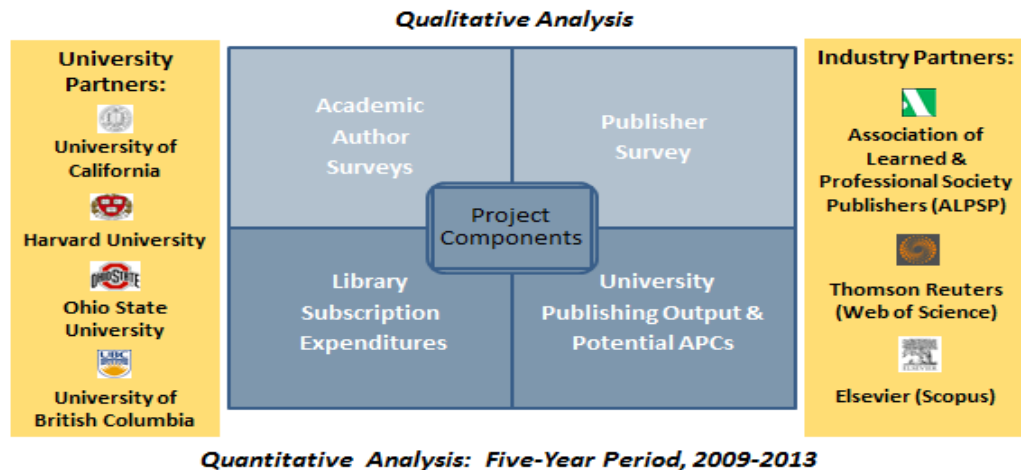
[http://icis.ucdavis.edu/?page\\_id=713](http://icis.ucdavis.edu/?page_id=713)

*These institutions would assume the bulk of the financial burden in an APC-driven OA model*



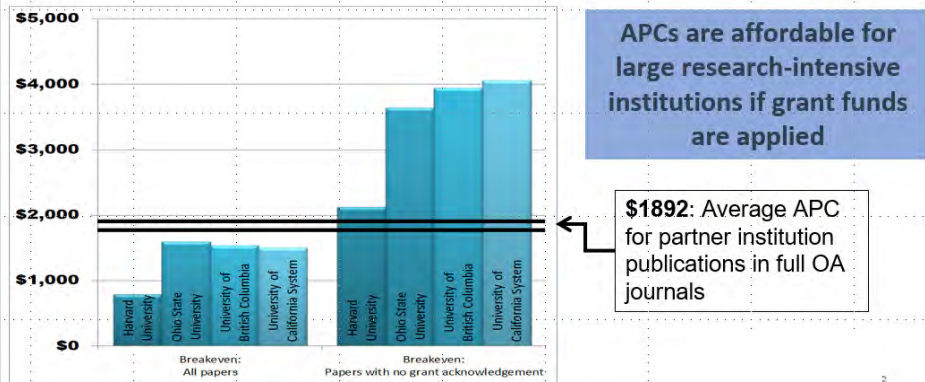
## UC's Pay It Forward Study

*To study the impact of a largescale conversion of the literature via APCs on large North American research institutions*



# Key findings

## Affordability



Combining institutional and grant funds can lower the financial burden for both parties

## Sustainability

**Premise:** Involving authors is the most promising route to long-term cost control

- Authors will choose a preferred platform for their article based on price of access, availability of publication funding, and quality and readership considerations
- Publishers will respond to *elastic* author demand by competing for submissions
- Under *ideal* conditions, competition in an OA environment will *lower* the cost of scholarly communication



# Putting these ideas into action: modeling transformative agreements

A model designed to work in the decentralized North American context:

*Incorporate authors into the process* of paying for journal publication, while still providing robust institutional support

*Incorporate research funding* into the payment stream

# Multi-payer transformative agreement design

**Off-setting:** Subscription fees should decrease as OA publishing fees increase

- addresses the issue of uncontrolled independent spending by two actors

**Multi-payer:** Library subscription funds + researcher grants fund APCs

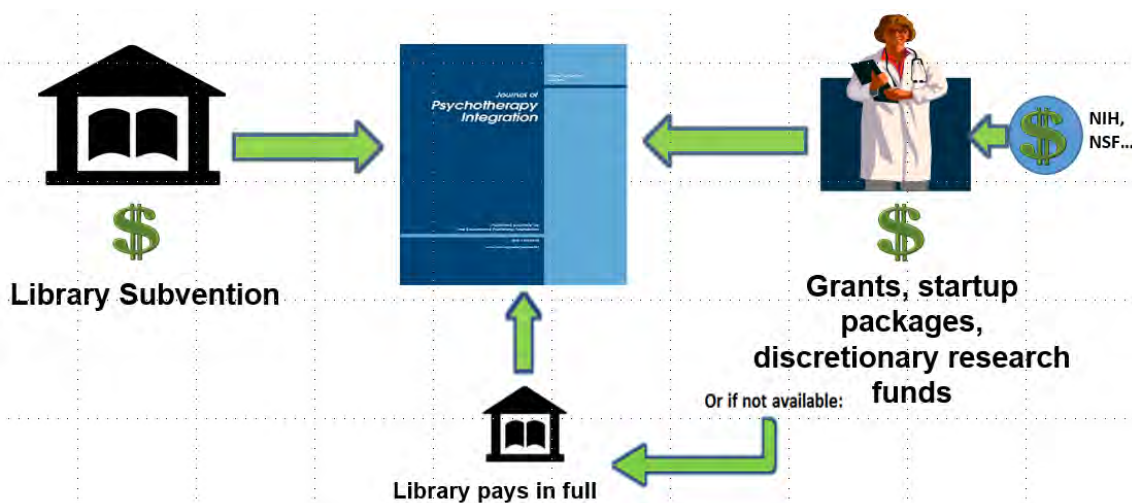
- addresses the issue of sustainability

Library pays a baseline subvention on every article

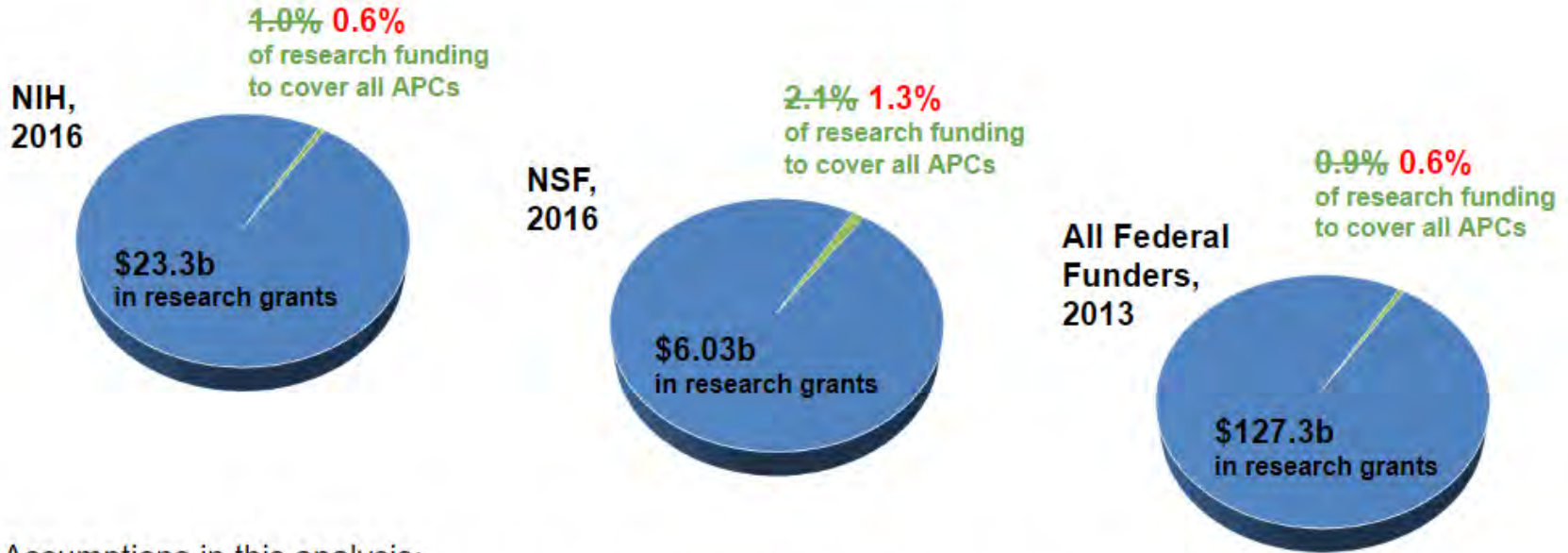
Authors contribute grant funds toward the remainder, if available

If not available, library pays in full

Total fees are capped to manage risk



# Impact on grant funds



Assumptions in this analysis:

- Grants pay **remainder of APC after subvention** when acknowledged by an article
- Average APC cost is \$2,586\* (average hybrid APC cost in 2016)

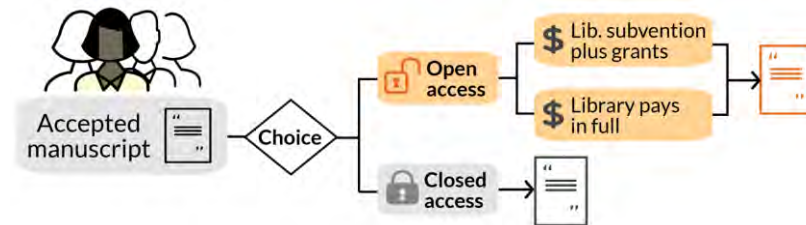
# What is needed to make this work?

- Libraries and Publishers
  - Integrate licensing and OA approaches, and support a cost-neutral transition that allows all stakeholders to manage financial risk and accommodate market shifts over time. Libraries and publishers will need to work in a true spirit of partnership.
- Funders
  - Create policies that support funding for research publication, and encourage authors to allocate funds for this purpose. Funding could be in the form of overheads, but where APCs are concerned a market-based approach is likely to be best served by placing those decisions where they have consequences – in authors' hands.



# What is needed to make this work?

- Systems
  - We need to develop new payment systems to support a shared funding workflow - this work may itself benefit from funder support to enable publishers to invest in the transition. Developing common infrastructure that can be used across publishers would be helpful to smaller publishers and societies.
- Authors
  - will have to accommodate new workflows in our model, and allocate research funds where they have them - we'll have a good sense of how this is working after we've had some experience with it.



# Two additional points

- Coalition-building
  - Publishing is a global enterprise. We need to encourage and engage with stakeholders both nationally and globally if we want OA to become the default. We're working hard at this now.
- Investing in innovation
  - Nurturing innovation that can allow newer dissemination models to emerge and thrive is equally integral to our thinking.
  - But we can't just wait for innovation to supplant traditional publishing if we want open access to take hold in our lifetimes.

How have we  
built our  
coalitions?



# Getting faculty and administrative buy-in

## Multiple successive presentations to systemwide leadership committees over the past three years

What: Pay It Forward, OA2020 pros/cons, multi-payer offsetting model

Who: Academic Senate Faculty Library Committee  
Provost's Scholarly Communication Committee  
Council of University Librarians

## Engaged faculty leadership has been key

Faculty desire to move from green OA policies to more immediate OA

OA2020 discussed and endorsed by all ten campus faculty library committees



# Crucial: *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

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

SANTA BARBARA • SANTA CRUZ

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
3. N
4. N
5. N
6. N
7. N

## 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:

# Focus on Mission

“The distinctive mission of the University is to serve society as a center of higher learning, **providing long-term societal benefits through transmitting advanced knowledge.**” - *UC’s mission statement*

“The University of California is committed to upholding and preserving principles of academic freedom. **These principles reflect the University’s fundamental mission, which is to discover knowledge and to disseminate it to its students and to society at large.**” - *UC Policy on Academic Freedom (APM-010)*

# Crucial: Faculty as *partners*, not merely audience

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RESEARCH



## A Lesson From UC's Split With Elsevier: Keep the Faculty in the Loop

By *Lindsay Ellis* | MARCH 01, 2019 ✓ PREMIUM

Participants in goal and  
strategy formulation

Faculty on negotiations  
team (3 of 6)

Faculty as  
communicators

# Making *Coalition-building* a priority





THANK YOU

