

# UC Santa Barbara

## Reports

### Title

Forum Planning Committee's Report to UC Council of University Librarians on Choosing Pathways to Open Access (CP20A)

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# FORUM PLANNING COMMITTEE'S REPORT TO UC COUNCIL OF UNIVERSITY LIBRARIANS ON CHOOSING PATHWAYS TO OPEN ACCESS (CP2OA)

UNIVERSITY  
OF  
CALIFORNIA

Prepared and submitted by members of the CP2OA Planning Committee to the UC Council of University Librarians (CoUL) as a report back to CoUL regarding CP2OA forum outcomes.

Approved for publication by CoUL on 19 April 2019.

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# EXECUTIVE SUMMARY

On October 16-17, 2018, [University of California \(UC\) libraries](#) hosted a working forum in Berkeley, California entitled “Choosing Pathways to Open Access” (“CP2OA”) (see <https://cp2oa18.com/>). Sponsored by the University of California’s Council of University Librarians (“CoUL”), the forum was designed to enable North American library or consortium leaders and key academic stakeholders to engage in action-focused deliberations about redirecting subscription and other funds toward sustainable open access (“OA”) publishing.

This report was prepared by members of the forum’s Planning Committee<sup>1</sup> as a way to update CoUL on forum outcomes, and to synthesize these outcomes into recommendations for further collective (UC multi-institutional) action to advance OA. The recommendations reflect the opinions of the report drafters; they are not an official statement by CoUL, nor should publication of this report signify CoUL’s endorsement of our recommendations. We (the Planning Committee) instead hope that CoUL will consider the recommendations in due course, particularly as some of them reflect efforts already underway within various UC libraries.

## CP2OA Outcomes

Two months after the forum, we surveyed participants about their perceptions of the forum, and any actions they had taken as a result of having participated. Our survey response rate was approximately 48% (58 responses), and revealed the following:

- Perceptions of the forum were almost universally positive, with some participants describing the forum as “exceptional,” “highly effective,” “energizing and motivating,” and a “model for how we should be engaging professionally.” Participants found the forum structure particularly conducive to enabling action.
- Though just two months had passed between the CP2OA forum and the time when we polled participants, more than 75% of responding participants reported having taken action toward advancing open access. Fifty percent (50%) of those who took action embarked upon what we categorized as “concrete” actions—that is, express steps such as starting pilots, undertaking publishing data analyses, negotiating with publishers, etc. The remaining 50% undertook conversations and outreach within or external to their libraries.
- Some examples of concrete next steps included: (1) formation of a group providing consultations and support for transitioning society publications to open access (<http://www.tspoa.org>); (2) first OA investment by an institution that had not yet formally engaged with OA; (3) commitment to requiring OA in upcoming license negotiations with a STEM publisher; (4) formation of OA values

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<sup>1</sup> The full CP2OA Planning Committee included: Rachael Samberg, Co-chair (UCB); Maria Gould, Co-chair (CDL/UCB); Allegra Swift (UCSD); David Schmitt (UCSD); Eunice Schroeder (UCSB); Sherri Barnes (UCSB); Anneliese Taylor (UCSF); Stephen Kiyoi (UCSF); Mathew Willmott (CDL); Lisa Schiff (CDL); Donald Barclay (UCM); John Renaud (UCI).

statements to guide institutional investment; (5) pursuit of transformative (e.g. offsetting or “read and publish”) agreements through which an institution’s publications are made OA as part of an overall subscription license agreement; (6) building OA publishing into promotion and tenure considerations; and (7) increased institutional repository deposits and outreach.

## Planning Committee’s Recommendations to CoUL

Based on the forum’s efficacy, and participants’ requests for ongoing resources and community support—as well as our own ongoing environmental scan of OA investment opportunities consistent with recommendations made in the *Pathways to OA Toolkit*<sup>2</sup>—the CP2OA Planning Committee recommends that CoUL consider undertaking the following:

### I. Resource Creation & Community Support

- A. *Support related to CP2OA:* 1. Make this report and all related CP2OA public-facing documentation available to the public as a blueprint enabling other institutions or communities to replicate or tailor CP2OA to their needs; 2. Engage in a second round of CP2OA surveying and reporting, in order to continue supporting participants’ commitments, keep the community informed about progress updates, and reinforce forum outcomes; 3. Support the CP2OA Planning Committee in pursuing opportunities to offer presentations or workshops that detail CP2OA outcomes and offering guidance about solution-driven meeting structures.
- B. *Support related to negotiations:* 1. Continue efforts to develop a public toolkit to support other institutions seeking to engage in “big deal” (large subscription journal package) re-negotiations that include OA components, and/or to engage more generally in transformative (e.g. offsetting/read-and-publish) agreements; 2. To facilitate implementation of the OA negotiations toolkit, CoUL should also make available consultation services for academic libraries.
- C. *Support related to journal transitions:* CoUL could consider the feasibility of offering workshops that support journal editors in transitioning their journals from subscription to open access. Alternatively, CoUL could promote the work of the UC Office of Scholarly Communication (OSC), which has created guides and resources that support journal transitions.
- D. *Engage UC academic senate with OA in promotion and tenure:* CoUL could explore whether the UC academic senate has interest in a faculty-driven statement regarding considering OA publishing in departmental promotion and tenure reviews.

### II. Infrastructural and/or Financial Investments

- A. *Expand institutional support for identification and evaluation of, and decision-making relating to, OA publishing investments and transforming the scholarly publishing landscape:* CoUL could

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<sup>2</sup> Released by the UC libraries in March 2018, the *Pathways to OA toolkit* analyzes strategies to achieve OA under a variety of funding models, and makes recommendations to the UC libraries regarding possible next steps. See <https://libraries.universityof-california.edu/about/initiatives/scholarly-communication>.

consider funding additional FTE to support system-wide OA evaluation and strategy, or dedicating additional existing staff to participate in system-wide groups. Further, CoUL could realign the scopes and charges of decision-making teams to reflect an increased focus on strategic investment in OA resources across the scholarly publishing ecosystem.

- B. *Dedicate portion of Shared Content Leadership Group (SCLG)-approved investments or any central collections funds to support OA publishing:* If SCLG's remit is expanded to encompass support for and/or evaluation of OA publishing investments, CoUL could consider requiring a base percentage of any multi-campus investments or central collections funds to support OA.
- C. *Fund new CDL data analyst position:* An additional data analyst could provide further inward-facing support for data-driven OA investments by UC libraries as well as outward-facing consultative support to the community beyond UC.
- D. *Collective investment in UC Press OA publishing:* CoUL could engage UC Press in conversations about acting as funding partner of the Press' OA publishing efforts.
- E. *Support UC authors with monograph subventions:* CoUL could expand campus offerings for monograph subventions through greater individual campus investments or by a centralized pool if appropriate.
- F. *Collective investment in a transformative cooperative or non-APC approach to OA publishing:* CoUL could consider investing in transformative cooperatives, such as Annual Reviews' "Subscribe to Open," Libraria's "Library + Funders", etc. Alternatively, CoUL could explore campus libraries' abilities to "adopt" a discipline or set of journals as a way to sustainably fund them on a non-APC basis. This recommendation extends equally to considering a cooperative approach for supporting transformation of UC-affiliated journals.
- G. *Commit to enhancing eScholarship, including expansion of OA publishing services:* CoUL should invest additional resources into eScholarship to support the development and/or improvement of services such as editorial support, publication customization, peer review, indexing, metric gathering/visualization, and overall journal professionalization. Investments should also make possible ongoing platform improvements to ensure eScholarship can offer a robust and high-quality publishing alternative to commercial platforms for authors and editors who are pursuing alternative publishing models.
- H. *Explore opportunities for collective investment in open source infrastructure to support OA publishing:* CoUL could monitor this emerging landscape and seek opportunities to collaborate with open source developers and service providers.

# REPORT

## Summary of Forum

### Participation

The Planning Committee issued a call for participation to North American library or consortium leaders and key academic stakeholders, inviting them to engage in substantive deliberations and to develop plans for how they will repurpose budgets and subscription spends to support a transition to open access publishing.<sup>3</sup> We expressly sought attendance by participants with relevant decision-making responsibilities involving subscriptions, licensing, collection development, publication policy, research funding, and other strategic areas. This could have encompassed more than one individual attending on behalf of an institution or community.

Given the discourse-based approach to forum sessions (discussed below), we capped participation at 125 people. The attending representatives came from 81 institutions, 27 states, and 4 Canadian provinces. Participants were largely from university libraries and consortia, though some university presses, advocates, and consultants also attended (see Figure 1).

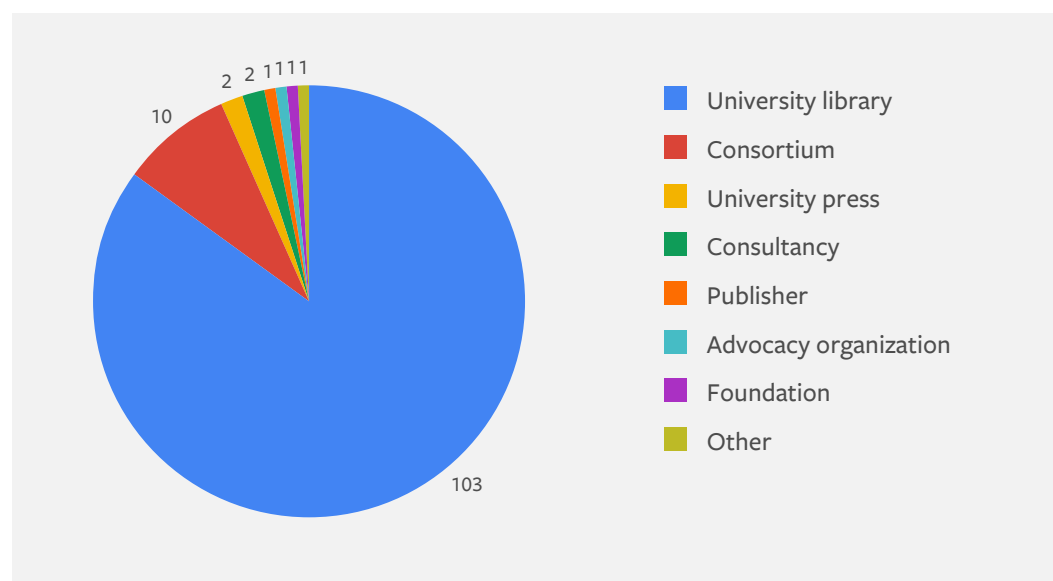


Figure 1: Participants by Affiliation

Participants from educational institutions were largely from Carnegie classification<sup>4</sup> “R1” (very high research activity) universities, though there was comparatively diverse representation from other types of higher educational institutions given the relatively small size of this forum overall (see Figure 2).

<sup>3</sup> See the call for participants: <https://cp2oa18.com/about/>

<sup>4</sup> The Carnegie Classification of Institutes of Higher Education was developed to classify institutions by factors like size, degree or field focus, research output, and more. See: [http://carnegieclassifications.iu.edu/classification\\_descriptions/basic.php](http://carnegieclassifications.iu.edu/classification_descriptions/basic.php)

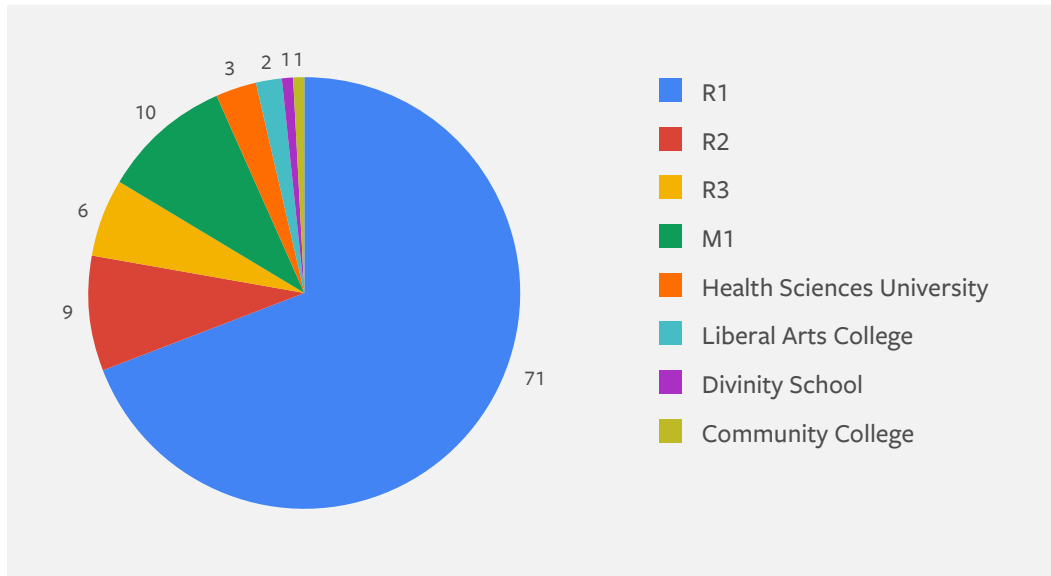


Figure 2: Participants by Type of Educational Institution

## Design Foundations

Given that institutions throughout North America are at different stages of discussing next steps for their OA investments, we believed that the best way to facilitate action-oriented deliberations and commitments to next steps was to ensure first that all participants had a clear understanding of what OA funding strategies existed, as well as the pros and cons of each when applied to their own communities. We therefore needed to implement a forum design that promoted: (1) knowledge sharing about funding strategies, (2) dialogue about localized implications, and (3) foundations for the development of personalized action plans.

Based on these three requisites, we believed “design thinking”<sup>5</sup> to be an appropriate framework for the forum. Design thinking is a problem-solving approach involving active discourse to develop ideas and solutions. It employs the following five recursive steps: (1) *empathizing* (gaining an understanding of the problem from the user’s perspective), (2) *defining* (synthesizing observations gleaned to distill and define the core problems to be solved); (3) *ideating* (exploring and conceiving potential solutions to the problem); (4) *prototyping* (creating or theorizing services and plans to implement their chosen ideas); and (5) *testing* (creating a service based on prototypes and rigorously testing it). Results of the testing phase inform subsequent iterations of the cycle until a problem is solved to satisfaction.

To emulate these stages, we designed progressive CP2OA sessions to guide participants through the design process for their own unique environments, helping them to understand and identify: (1) what subscription-based publishing problems they were aiming to solve (*empathizing*); (2) what open access funding strategies exist and their relative degree of efficacy for different problems (*defining*);

<sup>5</sup> See, e.g., <https://dschool-old.stanford.edu/sandbox/groups/designresources/wiki/36873/attachments/74b3d/ModeGuideBOOT-CAMP2010L.pdf>

(3) which strategies or solutions could be appropriate for a given institution's needs (*ideating*); and, (4) what next steps they could take to advance these ideas (*prototyping*). The fifth and final “testing” phase was intended to occur post-forum, after the participants returned to their institutions and began implementing their next steps. We also mapped these design thinking stages temporally to the course of the forum (Fig. 3).

### The Arc of the Forum

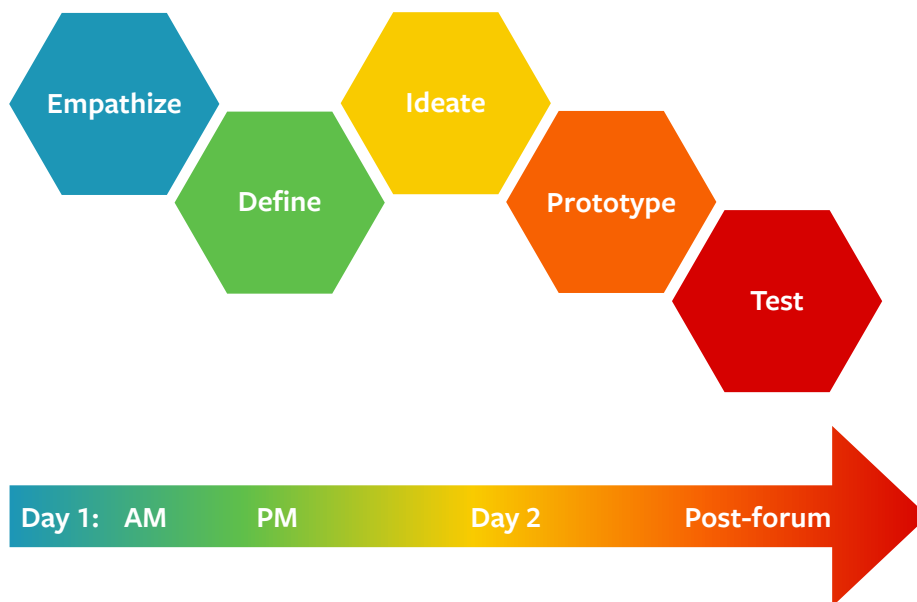


Figure 3: Temporal Progression of Forum's Design Thinking Stages

### Pre-Forum Analysis

Given the limited time to execute the design thinking stages during the two-day forum, we asked participants to complete an optional “strengths, weaknesses, opportunities, threats” (SWOT) analysis<sup>6</sup> prior to the forum — so that they could begin to crystallize their thinking about their own communities’ needs and challenges when funding an OA transition. Completion of the SWOT exercise also entitled participants to be selected to share their analysis as part of a storytelling session, described below. We also asked that, as a pre-read, all participants review the UC’s *Pathways to OA* toolkit so that they would be familiar with the OA funding strategies that the forum would address.

### Forum Sessions

In keeping with a design thinking approach, we organized a progressive series of sessions that laid a foundation for problem understanding and then created space for ideas to emerge organically. The forum sessions also naturally highlighted opportunities for participants’ alignment or partnership with similarly-interested institutions or communities. Following a consultation with a storytelling expert, we decided to

<sup>6</sup> The SWOT analysis exercise may be downloaded at [https://cp2oa18.files.wordpress.com/2018/08/cp2oa\\_swot\\_template1.docx](https://cp2oa18.files.wordpress.com/2018/08/cp2oa_swot_template1.docx).

loosely base the sessions on Lipmanowicz and McCandless' *Liberating Structures*,<sup>7</sup> which outlines meeting frameworks intended to foster inclusion and participation. Interactive and egalitarian sessions would support participants' overall ability to understand and assess which OA strategies might be appropriate for repurposing spends at their own institutions, and then empower them to commit to next steps.

To help guide discourse within each session, we invited 14 facilitators<sup>8</sup> from Europe and the United States. Each facilitator was an expert open access publisher, advocate, or funder, and each served a role as representing a distinct OA funding "strategy" from within the *Pathways to OA* toolkit (see Table 1). So that facilitators were adequately prepared to share operations-level details regarding their represented strategies, they also completed a SWOT analysis prior to the forum.

| <b>Gold: Collectives &amp; crowd-sourcing</b> | <b>Gold: Offsetting</b>             | <b>Gold: Scholar-led</b>     | <b>Green/Gold: Funders, pools, &amp; platforms</b> | <b>Universal: Faculty engagement</b>                  |
|-----------------------------------------------|-------------------------------------|------------------------------|----------------------------------------------------|-------------------------------------------------------|
| Catherine Anderson; Kamran Naim               | Ivy Anderson                        | Eileen Joy                   | David Sweeney                                      | Rich Schneider; Eric Bakovic                          |
| <b>Universal: Infrastructure investments</b>  | <b>Gold: Consortial investments</b> | <b>Gold: Book strategies</b> | <b>Green: Preprint servers</b>                     | <b>Green/Gold/ Universal: Multipronged strategies</b> |
| Kristen Ratan; David Lewis                    | Jill Grogg                          | Mary Francis                 | Rusty Speidel                                      | Ellen Finnie; Danny Kingsley                          |

Table 1: Facilitators by Strategy

We adopted several strategies to support robust discourse and articulable outcomes. First, we implemented Chatham House Rules<sup>9</sup> to create a safe and encouraging space for idea sharing. Under Chatham House Rules, participants' identities would not be disclosed in any public discussions of forum conversations. Additionally, we engaged a forum moderator (Günter Waibel, Associate Vice Provost and Executive Director of the California Digital Library, University of California Office of the President) to offer reflections and reinforce understandings throughout each day and to help build connections between participants.

The core substantive sessions<sup>10</sup> included:

### Day 1:

- *Fishbowl Storytelling*<sup>11</sup>: Facilitators and participants shared their experiences with, and perspectives on, represented OA funding strategies. Participants had opportunities to ask questions of the

<sup>7</sup> See <http://www.liberatingstructures.com/>.

<sup>8</sup> For a list of facilitators, see: <https://cp2oa18.com/details/facilitators/>

<sup>9</sup> See <https://www.chathamhouse.org/chatham-house-rule>. In sum, participants "are free to use the information received, but neither the identity nor the affiliation of the speaker(s), nor that of any other participant, may be revealed

<sup>10</sup> A detailed schedule may be found at <https://cp2oa18.com/details/structure-and-schedule/>.

<sup>11</sup> The premise was based on <http://www.liberatingstructures.com/18-users-experience-fishbowl/>.

storytellers, enabling everyone in attendance to get a more personalized understanding of these OA funding options. [Design Thinking Stage: Empathize]

- *Strategy Stations*: Participants circulated at 20-minute intervals through 14 “strategy stations” in which they worked with facilitators to delve more deeply into each funding strategy’s strengths, weaknesses, opportunities, and threats (that is, risks inherent to an OA strategy that could undermine its implementation). The point of this dialogue was for participants to better understand localized implications of pursuing each strategy. At their discretion, participants could remain at any station to continue engaging with that strategy. [Design Thinking Stage: Define]
- *Ideating & Networking Reception*: This working reception was an opportunity for participants to connect and debrief with each other. The forum moderator offered reflections on the day, and participants were also asked to envision what their next steps would be in funding OA if they were 10% bolder than they currently were. This “25/10 liberating structure”<sup>12</sup> was employed to generate significantly ambitious ideas that were then used to guide work on Day 2. (Ideas included: Canceling big deals, mandating non-disclosure agreements, investing in open infrastructure, working with consortia or collectives to fund society journal flips, and more.) [Design Thinking Stage: Ideate]

## Day 2:

- *Strategy Free-Write*: Participants reflected upon which ideas from Day 1 resonated with them. [Design Thinking Stage: Ideate]
- *Implementation Mapping — Institutional/Community*: Facilitators helped guide discussion at their Strategy Stations regarding the following issues:
  1. What does your institution or community need or need to do to move forward with this strategy?
  2. If you need or desire to work with partners, who would they be and how will you initiate relationships or collaborate with these partners?
  3. What must your institution or community stop doing to move forward with this strategy?
  4. What concrete next steps can your institution or community take to implement this strategy?[Design Thinking Stage: Prototype]
- *Implementation Mapping — Personal*: Participants convened at assigned tables to articulate and discuss their next steps regardless of strategy — enabling them to reinforce personal accountability while also gaining a greater understanding of which strategies others are pursuing. Participants were asked to reflect on and then discuss with their neighbors and the entire table:
  1. What do you personally need to move forward with all of the strategies you’re interested in?
  2. What obstacles do you personally face for implementing the strategies?

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<sup>12</sup> See <http://www.liberatingstructures.com/12-2510-crowd-sourcing/>

### 3. What are your individual next steps after this forum?

[Design Thinking Stage: Prototype]

- *Closing Celebration*: Coordinated by the forum moderator. Participants in a plenary session shared final reflections and commitments to next steps for implementing various OA funding strategies.

Between each forum session identified above, the forum moderator led a plenary reporting-back session to further disseminate and reinforce insights and commitments. The sequence of sessions meant that the early portions of the forum relied quite heavily on facilitators driving the discussion and helping participants to learn, while the later portions required participants themselves to drive the conversations as they worked to determine their own personal and institutional strategies for moving forward.

Additionally, participants had free rein to (and did) make use of break-out rooms to continue discussions and develop plans for implementing particular OA funding strategies. For instance, there were break-out sessions on consortial investments, Canadian collaborations, “big deal” cancellations, and more.

## Outcomes

### Forum Commitments

During the forum’s closing celebration, participants shared their reflections and commitments to next steps, which included (among others<sup>13</sup>):

1. Formation of a working group to invest collections budgets in open source infrastructure to reduce open access publishing barriers;
2. Working toward “big deal” cancellations;
3. Setting aside five percent of the library’s budget to support open access publishing (including open access book publishing by the university press, so-called offsetting deals in which open access publishing charges are counted toward the library’s overall subscription payment, and investment in open infrastructure);
4. Investment in library-led/scholar-led open access publishing and data publishing programs;
5. A task force to work with scholarly societies to provide funding or guidance to support a “flip” from subscriptions to open access publishing;
6. Leveraging metadata within campus research information management (or “profiling”) systems to identify faculty journal editors with whom to collaborate.

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<sup>13</sup> For more, see “CP2OA: Participants from across North America converge to move the needle on open access”, <https://news.lib.berkeley.edu/CP2OA>.

## Post-Forum Data Collection & Analysis

We developed a post-forum survey<sup>14</sup> to: (1) gauge participants' reactions to and perceptions of the forum; (2) help us track forum outcomes and discover participants' next steps; and (3) elicit issues for which participants desired ongoing support or guidance from the University of California Libraries. While we report both quantitatively and qualitatively on survey responses below, we must note that we did not (and do not) intend our survey design and subsequent analysis to be scientifically rigorous; rather, we have interpreted results as a narrative to inform our recommendations to CoUL about potential next steps.

We distributed the survey to participants and facilitators two months after the forum. To maximize response rate, we followed up individually with all non-UC-affiliated forum participants plus all forum facilitators. In total, we received 58 responses. In addition, we received direct feedback outside of the survey by email and social media, which we have incorporated into the outcomes analysis below.

### Perceptions

Participants' and facilitators' reactions to the forum were almost universally positive. Some of the reactions were shared via social media, as shown in Figure 4.



Figure 4: Sample social media reactions

Survey question eight asked whether participants had any feedback about the forum. We received 50 responses to that question, 45 of which were entirely positive. Ten of these 45 responses specifically commended the value of the forum's format. Some sample responses provided to that question via the survey or direct email, include:

*"I thought it was really special at the time, but it's become clear to me in the months since just how exceptional it was. It's been on my mind nearly every workday since. As a result, I feel pressure to move forward on my OA-related work (which is great)."*

14 A copy of the survey may be downloaded at <https://drive.google.com/open?id=1VuZErdclAqfoKfKYkumVTDToljXG4SNd>

*“It was just terrific to be involved in this energizing and highly effective event, which was a model for how we should be engaging professionally. I very much look forward to working together on the ideas and issues that were raised.”*

*“I feel energized and motivated following this meeting, which I certainly can’t say for many of the conferences I’ve attended! I look forward to continuing the spirit of collaboration, and working with you all in the months ahead.”*

*“[W]hat a great forum, fantastically organized, and with such amazing people! I also left completely energized, and have in fact already begun with the first steps of implementing the plan that I committed to. That’s not something I can say of any other such event that I’ve ever attended.”*

*“Still far and away one of the best and most useful events I’ve been to in quite some time. Thank you so much.”*

*“It was great. I was worried that it would be too big for meaningful discussion but that was not the case—kudos to the organizers for seeding lots of conversations and giving folks the space to have them.”*

*“I thought it was an excellent event and while I think the development of a particular ‘pathway’ at my institution will take time to develop, it was a great exercise in thinking. The fishbowl activity was particularly useful in understanding different approaches (in particular, anything about a multi-pronged approach, hearing the publisher and faculty perspective).”*

Of the five of 50 respondents who expressed at least some concern: three felt the forum was geared towards larger (R-1) institutions, one suggested that they did not like the opportunity to change tables every 20 minutes, and one felt that it would have been nice to have a welcome event to meet everyone first.

## Actions

### Quantitative Review

The survey’s main goal was to surface actions that participants had taken — either individually or at an institutional level — in the two months between the forum and survey administration.

At the institutional or community level, more than 75% of respondents reported taking action since the forum; only 12% of respondents reported taking no action.<sup>15</sup> However, these percentages should not be extrapolated to the entirety of CP2OA attendees; selection bias implies that non-respondents may be more likely not to have taken any action since the forum. Of the 75% of respondents who took

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<sup>15</sup> We also polled participants about actions in their personal capacities, but the survey question failed to elicit meaningful distinctions between institutional vs. personal next steps. As a result, we just highlight here institution-level actions for our quantitative data analysis.

action, approximately 50% took what we categorized as “concrete actions” — that is express steps such as starting pilots, undertaking analyses, negotiating with publishers, etc. The remaining 50% focused mainly on conversations and outreach within or external to their libraries, which we termed “furthering conversations and outreach” (Figure 5).

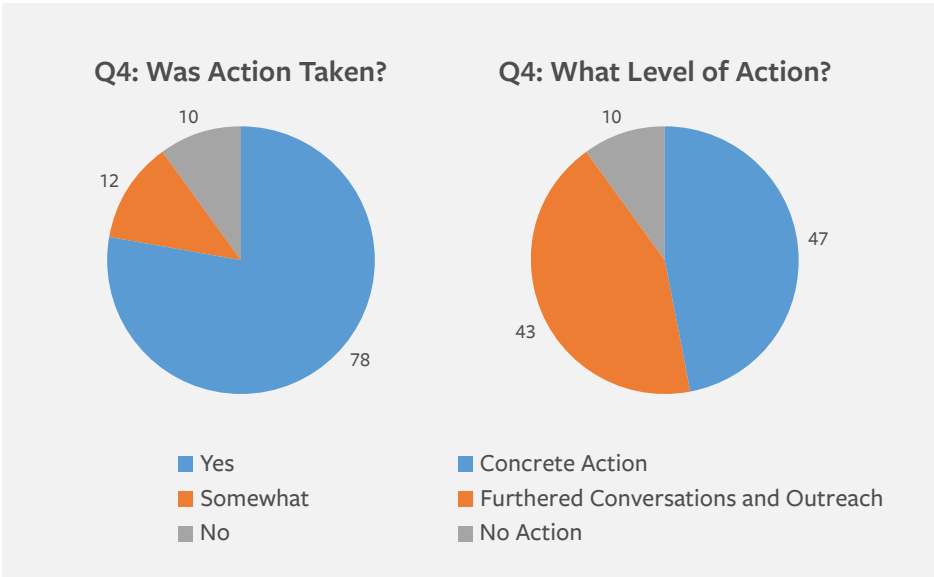


Figure 5: Institution- or community-level action taken post-forum

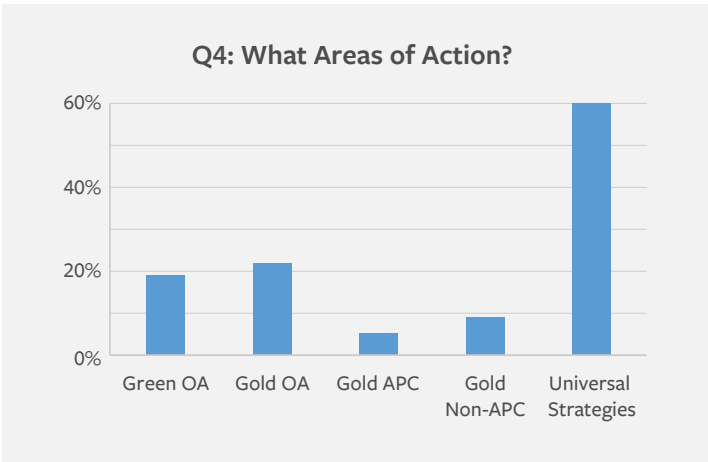


Table 2: Model/strategy types of next steps undertaken

We also endeavored to map the particular actions taken to their corresponding OA funding models and strategies, as those were set forth in the *Pathways to OA* toolkit (Table 2). More than 50% of responding participants took an action categorized under “Universal Strategies” (e.g. library-led outreach to provide funding for author communities’ preferred transition modes; engaging the campus author community, research office, and academic departments). Of the approximately 55% of respondents who took action relating to a particular OA approach, around 35% undertook Gold OA strategies (either APC or non-APC), and about 20% took steps related to Green OA.

## Qualitative Review

Participants described having undertaken a number of concrete actions. The following examples demonstrate the spectrum of strategies pursued:

1. **Formation of Group Providing Consultations and Support to Transition Society Publications to OA:** Shortly following the forum, a group of participants formed *Transitioning Society Publications to Open Access* (TSPOA),<sup>16</sup> which was “organized to connect society journal editors and publishers (and any libraries or consortia that support them) with support and useful resources related to transitioning society publications to open access (OA).”<sup>17</sup> TSPOA’s year one priorities, which are already underway, include: consultations with learned societies and society journal editors; advocacy and outreach, particularly within professional organizations; proposals for society market segmentation research to inform OA publishing strategy guidance; and efforts to support or pilot a collective approach to funding OA society publications.
2. **First OA investment:** One institution that had not yet engaged with OA made their first transitional OA investment: “We have made a relatively modest, first-time purchase (a.k.a. a contribution toward OA release of content) from the Knowledge Unlatched frontlist. It’s a somewhat timid, but important first step for us. Next steps are to evaluate this purchase (e.g., average price per title; quality of content; etc.) and to craft an argument to repeat it, hopefully at a higher level.”
3. **Requiring OA in License Negotiations:** One consortial participant advised a STEM publisher that they would be requiring an OA commitment in an upcoming negotiation.
4. **Formation of OA Value Statements:** One academic librarian participant described how their library changed their approach to OA since CP2OA. The forum helped them decide that they needed to articulate their OA values before deciding on OA investments. Following the forum, they engaged in OA values-related design thinking work during an employee professional development and goal-setting event, which was followed by a couple of focus groups. Their scholarly communication team is now in the process of drafting an open values statement to guide external infrastructure investments as well as internal organization, focus, and goal setting.
5. **Pursuit of “Transformative” Agreements:** Several respondents decided to, and then did, begin active negotiations with scholarly publishers to enter into transitional offsetting or “read & publish” agreements. These negotiations were dependent, in part, on additional data analysis of institutional publishing practices that participants began to undertake.
6. **Building OA into Promotion & Tenure Considerations:** Several participants commenced steps to engage their disciplines and scholarly societies in building OA publishing statements or indicia into promotion and tenure considerations. These steps included: involvement with an ARL working group that will survey linguistics scholars about promotion requirements vis-a-vis OA publishing;

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<sup>16</sup> See: <https://tspoa.org/>.

<sup>17</sup> See introductory blog post at <https://intheopen.net/2019/02/transitioning-society-publications-to-open-access/>.

putting forward a proposal for a professional society to adopt a statement valuing or requiring OA publishing; and revising department faculty review procedures to include reading all scholarly publications rather than just those published in a select few closed-access journals.

7. ***Institutional Repository Deposits & Outreach:*** A few participants deposited their outstanding publications in their local institutional repository after the forum and rallied their colleagues to do the same.

The above actions, as well as others reported to us, can be grouped into the following themes: a. institutional and professional engagement; b. data analysis; and c. negotiation preparation. As to next steps related to these themes, participants expressed a parallel desire for resources and leadership by the UC to support their work at the individual, local institutional, and community levels as detailed below:

### Institutional & Professional Engagement

By far, the majority of actions people described taking were related to community engagement. These included activities such as reporting back to library colleagues and others at the home institution; speaking, planning and strategizing with library leadership about their OA direction; and doing further or renewed outreach around a particular OA approach or strategy. At a minimum, the forum prompted participants to think about how to approach OA at their institutions. Participants created working groups, reorganized staff, or started local discussions to determine their institutions' priorities around collections expenditures and OA. In many cases, this work was already underway at the institution, but the forum prompted individuals to re-think and revise their plans. Several respondents also stated they reported out about CP2OA at professional meetings in order to broaden engagement and understandings beyond the relatively small number of forum participants.

In order for participants to continue such engagement, respondents asked that the UC make available the following types of resources within a regularly-maintained clearinghouse:

1. CP2OA summary report and presentation materials to facilitate regional extensions and implementation;
2. Ongoing tracking and reporting on continuing CP2OA outcomes to help participants stay connected and learn of others' progress;
3. Collocation of UC's strategic OA documents (e.g. "Pay It Forward," "UC Academic Senate statement," etc);
4. Sample communications to help engage high level administrators, such as deans and directors;
5. A new version of the "Pathways to OA" toolkit aimed at researchers/faculty rather than librarians (i.e. overviewing the benefits of OA and various OA strategies in lay terms for a more general audience);
6. Guides for establishing a scholarly communication office or building internal library capacity for OA assessment;

7. A speakers bureau of topical experts willing to provide guidance or come present on their campuses; and
8. General news and update reporting (e.g. UC activities, developments from Europe, etc.).

They also desired the following types of ongoing leadership, either by the UC or others:

1. Convening CP2OA-like follow-up meetings as addenda to other library/professional conferences;
2. “Franchising” CP2OA to both expand and regionally localize the audience;
3. Hosting of even narrower or more focused CP2OA-like meetings on individual OA strategies, such as open infrastructure for libraries, transformative agreements, discipline-specific journal flipping strategy sessions, funding university presses, etc.

### Data Analysis

Various participants expressed intentions to begin data analysis of institutional publishing and spending before determining which OA funding strategies to support. Multiple respondents reported making plans to analyze data such as: institutional publications, OA APC payments, subscription packages (“big deals”), transformative (e.g. offsetting/“read and publish”) agreements, and faculty editorial roles. These participants also requested support and guidance from UC in helping them undertake this data analysis, such as: being provided with CDL’s methodology for calculating institutional article processing charge spends; consultations surrounding data analysis methodology; support for implementing STAR Team<sup>18</sup>-like OA investment evaluations.

### Negotiations Regarding Big Deals & Offsetting

Finally, participants expressed a desire for UC or others to share or offer: model offsetting agreements; guides to conducting OA negotiations with publishers; general support for undertaking “big deal” negotiations with OA components.

## Planning Committee Recommendations to CoUL

Though just two months had passed between the CP2OA forum and the time when we polled participants, CP2OA had already inspired a high proportion of participants to take next steps — including many actions with potentially great impact for institutional reapportionment of subscription spends. Based on the efficacy of the forum’s design thinking structure and participants’ requests for ongoing resources and community support (set forth above), we have developed the recommendations below for next steps or considerations by CoUL.

Our recommendations to CoUL are also informed by our own ongoing environmental scan of OA investment opportunities that are consistent with recommendations made in the *Pathways to OA* toolkit.

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<sup>18</sup> See <https://libraries.universityofcalifornia.edu/sclg/star>

When the toolkit was approved in February 2018, it laid the groundwork for individual UC library next steps and, where appropriate, potential collective efforts. In the intervening 14 months, the UC libraries have moved forward with OA “big deal” negotiations and are pursuing offsetting pilots. The remainder of the toolkit’s recommended next steps are as yet underexplored. We highlight below several that we believe are ripe for CoUL’s consideration, especially in light of what we have learned from the CP2OA forum.

## I. Resource Creation & Community Support

### A. Support related to CP2OA

#### 1. CP2OA in a Box

We believe the UC libraries should make this Report and all related CP2OA public-facing documentation available to the public as a blueprint enabling other institutions or communities to replicate or tailor CP2OA to their needs. This documentation should include, among other things: Presentations created for the public and facilitators; SWOT analysis templates; meeting schedules; logistical documentation and schedules; outreach materials and communications; and best practices for implementation. These should likely be collocated on the UC Office of Scholarly Communication (OSC) website.

*This requires:* 1) Charge from CoUL to CP2OA Planning Committee or other such subgroup. 2) Time investment from CP2OA group members and OSC members.

#### 2. Round Two CP2OA Survey Administration

To maximize the forum’s effectiveness, we believe CoUL should continue to support CP2OA participants’ commitments and community engagement by checking in on and reinforcing CP2OA outcomes. We recommend that the CP2OA report team engage in a second round of CP2OA surveying and share those outcomes and ongoing progress or needs broadly.

*This requires:* 1) Charge from CoUL to CP2OA Planning Committee or other such subgroup. 2) Time investment from CP2OA planning group members. 3) Second round of reporting on further actions taken, to be included in any charge.

#### 3. Promotion of CP2OA “Model”

CP2OA offered a transformative meeting structure that supported action-oriented discourse and yielded concrete outcomes. We believe it is important to share and promote this effective approach via presentations, workshops, and/or communications and publications detailing not only CP2OA outcomes, but also offering insights and guidance about the meeting structure itself, which can support solution-driven professional engagement in a variety of contexts. The CP2OA Planning Committee should pursue opportunities to share this guidance at library conferences, professional society meetings, professional blogs, and the like. We also believe there is value in

offering these presentations and workshops internationally, both to broadcast CP2OA ongoing impact and to geographically diversify the venues in which CP2OA-like forums can be held in the future. To the extent that international outreach exceeds Planning Committee members' professional budgets, CoUL or individual UC campus libraries could consider subsidizing these efforts through other funds.

*This requires:* 1) CoUL to encourage CP2OA Planning Committee members to promote CP2OA structure and outcomes through appropriate venues. 2) Potential subsidization for international outreach/travel. 3) Time investment from CP2OA planning group members.

## B. Support related to negotiations

### 1. OA Negotiations Toolkit

Participants expressed desire for the UC libraries to develop a public toolkit to support other institutions' ability to engage in big deal re-negotiations that include OA components, and/or to engage generally in transformative (e.g. offsetting or "read & publish") negotiations. We understand that the UC Elsevier Negotiations Team is currently assembling such materials. Based on participants' stated needs, we believe the toolkit should, among other things, include: example communication plans (including schedules and sample messages) to garner campus engagement; resources to support localized publishing and APC data collection and analysis; model offsetting agreements; high-level term sheets; etc. These should likely be collocated on the OSC website.

*This requires:* 1) Possible charge from CoUL. 2) Time investment from members of the Elsevier Negotiating Taskforce and/or the Offsetting Task Force pursuant to any such charge.

### 2. OA Negotiations Consultation Services

To further support other institutions in making use of the aforementioned OA Negotiations Toolkit, we believe CoUL could make available consultation services for university libraries looking to engage in OA offsetting negotiations. While this support may not show immediate direct benefits for UC, the resulting added pressure on publishers will likely pay dividends in UC's future negotiations. These consultations should include data collection/analysis support, as well as strategic considerations tailored to individual contexts. Offering such services likely necessitates additional staffing, likely appropriately positioned within CDL for access to current data and collections-related staff and resources. The financial commitment necessary to support another data analyst for this purpose is discussed in the Financial Investments section below (see "Funding new CDL data analyst position").

*This requires:* 1) Some time investment from members of the Elsevier Negotiating Taskforce and/or the Offsetting Task Force to help develop strategy. 2) Funding for additional data analyst position within CDL. 3) Confirmed capacity at CDL to manage a consulting service and dedicated staff person.

## C. Support related to journal transitions

### 1. Flipping Workshops or Roadshow

CoUL could consider the feasibility of offering workshops (for UC campuses or beyond) that support journal editors engaged or interested in the process of transitioning their journals from subscription to open access. UCSF, in collaboration with UC Press, held one such workshop in August 2018 and for which public documentation is being made available on the OSC site. CoUL could consider whether this stand-alone documentation is sufficient to support other institutions in conducting similar workshops or whether a “roadshow” format — in which UC representatives travel to lead such workshops — is preferred. A roadshow approach may necessitate new personnel commitments, perhaps fulfilled via grants, given that there is no existing sustainable pipeline for roadshow staffing and coordination. For instance, not all UC campuses have scholarly communication librarians or sufficient FTE levels to lead the workshop. OSC could theoretically offer up its members as workshop leaders, however participation works on a rotating basis, so there is no assurance that any particular OSC member has both availability and a long enough appointment to make such a commitment.

Alternatively, and in our view preferably, CoUL should promote the use of “DIY” journal materials that OSC members have already been developing. OSC has created a pragmatic and increasingly robust set of guides and tools to support the wider library and publishing community in transitioning journals from subscription to open access. These may be found at the “Transitioning Journals to OA” page on the OSC website (<https://osc.universityofcalifornia.edu/open-access-at-uc/transitioning-journals-to-oa/>). Where possible, CoUL should consider supporting and promoting the work of OSC to expand adoption and implementation of these self-supporting resources.

*This requires:* For roadshows: 1) Staffing, outreach, coordination/planning, and (potentially) assessment. 2) Potential need for grant-funded support to satisfy staffing. 3) Potential need for travel funding depending upon geographic focus. For DIY approach: CoUL familiarization with OSC tools, support for OSC work, and modest outreach.

## D. Engagement of UC Academic Senate with OA in promotion & tenure

One of the strategy stations at the forum focused on the *Pathways to OA* toolkit’s “universal strategy” of faculty engagement. In particular, many CP2OA faculty participants discussed incorporating considerations of OA publishing (Green and/or Gold) into promotion and tenure evaluations. Participants also reported taking next steps within their own communities on this issue. CoUL could engage with the UC Academic Senate to explore the Senate’s interest in a faculty-driven statement regarding consideration of open access publishing in departmental promotion and tenure reviews.<sup>19</sup>

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<sup>19</sup> They may also consider whether to move beyond a “metrics-focused” approach to publishing considerations (i.e. moving beyond focus on journals’ impact factor, CiteScore, etc.). A metrics focus and open access publishing are related and often connected issues, but to be clear: The focus of this report and, in turn, this recommendation is on OA.

To be clear, we view efforts in this regard to fall squarely within the realm of faculty Senate leadership. The libraries, however, can provide resources and support should it be needed and desired. For instance, the libraries could: develop talking points for faculty Senate/administration engagement, or help ensure that campus infrastructure or research information management systems support integration with and indicia of OA publication.

*This requires:* 1) Conversations with UCOLASC and potential resource-drafting as needed.

## II. Infrastructural and/or Financial Investments

We encourage CoUL to begin establishing collective decision-making protocols for repurposing subscription spends as a source for the below-recommended investments.

### A. Expand institutional support for identification, evaluation, and decision-making

The UC libraries have long worked to incorporate appropriate investments in open access into their overall strategy. This work is reflected in developments such as SCLG taking initiative to consider particular OA investments, even if it is not explicitly mentioned in their charge, and the creation of the STAR Team to evaluate transformative initiatives for possible collaborative investment. However, as the breadth and diversity of potential investments has exploded in recent years, the existing processes are beginning to show some limitations.

For example, the STAR Team, a small body of UC librarians that has developed rigorous and effective methodologies for evaluating potential investments in transformative scholarly communication initiatives, has significantly limited bandwidth; members are generally taking on their STAR Team responsibilities alongside significant local work, and recruitment as members rotate off the team has been a challenge recently. As another example, SCLG, the group that has adopted a notable role in considering and supporting many investments in OA and which charges the STAR Team, maintains a primary, charge-driven focus on content acquisition for multiple campuses. This focus potentially limits SCLG's ability to effectively commit their resources to considering OA-related investments in non-content areas (such as infrastructure) or smaller pilot investments that involve fewer than four campuses. Further, no group is currently charged with taking a full, strategic, system-wide view of OA investments across the scholarly publishing landscape.

In order to address these limitations, we recommend that CoUL:

- a. Provide increased institutional support for efforts to identify and evaluate investments in OA publishing and elsewhere that may support a transformation of the scholarly publishing landscape. This added support may be accomplished by expanding the STAR Team to increase bandwidth or by creating new groups with appropriate charges to work in parallel with the STAR Team, using similarly rigorous methodologies. In either case, such support would require additional resources from campus libraries, either in the form of funding to support positions

focusing on evaluation and strategy or in the form of more existing staff being afforded the time to participate in system-wide groups tasked with these responsibilities.

- b. Realign the scopes and charges of existing decision-making teams to reflect an increased focus on strategic investment in OA resources and infrastructure across the scholarly communication ecosystem. For some teams this may only mean formalizing commitments that have already been valued or adopted (e.g. integrating OA investment into SCLG's charge). However, in other cases this may mean an expansion of scope to ensure that once identified and evaluated, potential OA investments are given full consideration by groups that are empowered to make strategic decisions around how and to what degree UC (or individual campuses) should engage with them.

*This requires:* 1) Revision of major committee charges and integration of new workflows. 2) Potential for multi-campus funding of additional an CDL position on a proportional (e.g. FTE) basis to facilitate data analysis necessary for OA decision-making (discussed below in II(C)). 3) Potential for campus-level commitments of additional staff resources to participate in system-wide evaluative committees, with corresponding release time from other local responsibilities.

## B. Dedicate portion of SCLG-approved investments or central collections funds

If SCLG's remit is expanded to encompass support for and/or evaluation of open access publishing investments, CoUL could also consider implementing a base (minimum) percentage of any multi-campus investments or use of central collections funds to support OA.

*This requires:* 1) Revision of SCLG charge and integration of new workflows.

## C. Funding new CDL data analyst position(s)

Similar to their need for proactive OA investment consideration, the UC libraries also have a need to expand their ability to support data analysis by the greater library community. Another data analyst could provide additional inward-facing support for data-driven decision-making by UC libraries, as well as outward-facing consultative support to the community beyond UC (discussed above in I(B)), enabling other institutions to evaluate opportunities with guidance on localized data collection.

*This requires:* 1) Campuses making proportional (e.g. FTE basis if appropriate) investment to support the additional CDL position(s). 2) Alternatively, the campuses or CDL could pursue cost recovery through charging consultation services fee or via securing both consultation fees and grant funding.

## D. Collective investment in UC Press OA publishing

University presses play a central role in supporting the dissemination of scholarship by disciplines and researchers not well served by large commercial publishers. This includes many scholarly society journals as well as the humanities and much of the social sciences, where monographs remain the essential expression of academic work. In addition, one way to accelerate the transition of society

journals to open access is by funding publishing operations of university presses that are well-equipped to offer societies lower-cost alternatives. UC Press has pioneered exploratory activity in this space with its Luminos program for books as well as with a limited number of OA journals. With subsidized funding from the UC campus libraries, UC Press may be able to expand their professional services in support of additional OA journals and monographs. We recommend that CoUL engage in conversations with UC Press about partnering as funders of the press' OA publishing efforts. Any such partnership would, of course, depend upon UC Press' strategic directions.

*This requires:* 1) CoUL time commitment with strategic conversations. 2) Interest on the part of UC Press in pursuing such a strategic direction. 3) Campuses making proportional (e.g. FTE basis if appropriate) investment on an ongoing basis in press operations.

## E. Support UC authors with monograph subventions

As discussed above, the scholarly monograph is a critical form of communication, especially within the humanities and social sciences. While some UC authors publish monographs with UC Press, others publish through a wide variety of other university presses and enterprises. Increasingly, presses are offering open access options through a subvention model--in which authors are asked to contribute roughly \$7,500-\$15,000 to defray publishing costs that presses would otherwise have recovered in print sales. Currently, through the nationwide TOME effort (<https://www.arl.org/focus-areas/scholarly-communication/toward-an-open-monograph-ecosystem>) and subvention funds like UC Berkeley's BRIL (<http://guides.lib.berkeley.edu/bril>), some UC libraries have been making limited subvention funds available to UC authors. These offerings could be expanded through greater individual campus investment or centralized if appropriate (depending upon cross-campus publishing needs).

*This requires:* 1) New and/or greater UC campus investment in subsidizing monograph publishing. 2) Establishment of mechanisms for managing and assessing subvention programs.

## F. Collective investment in a transformative cooperative or non-APC

Sustainable OA publishing necessitates a diversity of business models given the heterogeneity of financial support across the disciplines. CoUL should therefore consider investing in a transformative cooperative or non-APC publishing model, such as Annual Reviews' "Subscribe to Open" (<https://www.annualreviews.org/page/subscriptions/subscribe-to-open>) or Libraria (<http://libraria.cc/>). Alternatively, CoUL could decide that the libraries will collectively "adopt" a discipline or set of journals in order to sustainably fund them on a non-APC basis. Currently (in April 2019), Libraria is rolling out the "Library + Funders" model with anthropology publishers, libraries, and funders at an MIT meeting. There may be opportunities to support the anthropology pilot or to work with Libraria to expand this pilot to other disciplines. This recommendation extends equally to considering a cooperative approach for supporting transformation of UC-affiliated journals.

*This requires:* 1) Campuses make proportional (e.g. FTE basis if appropriate) investment. 2) Library staff coordination and outreach to engage libraries, funders, and publishers. 3) Possibly the creation of a task force via a charge from CoUL or SCLG; 4) Potential support and investment in existing task forces/working groups (e.g. OpenAIRE), including travel delegates, membership, etc.

## G. Ongoing enhancements to eScholarship, including expansion of publishing services

As our libraries take on an increasing role as funders of OA publishing (rather than procurers of content), UC libraries can expand our own library publishing services through the eScholarship platform. eScholarship is an affordable hosting option for OA journals seeking a platform and is developing a monograph program as well. With a greater investment of resources, eScholarship could develop services like editorial support, publication customization, indexing, journal professionalization, and more. This would inherently expand the range of potential OA journals that eScholarship could publish, including more learned society journals seeking to transition away from their subscription-based arrangements, but which expect dedicated support and robust infrastructure they have come to expect. MIT Press has recognized some recent successes under just such a model. In all events, eScholarship should continue to reinforce its position as both a platform and provider of services for high quality open access journals and books. To do so, ongoing improvements are necessary to ensure eScholarship can offer a robust and high-quality publishing alternative to commercial platforms for authors and editors who are pursuing alternative publishing models while remaining interoperable with a host of other publishing and metrics-based systems—improvements that would require additional dedicated staff.

*This requires:* 1) Campuses make proportional (e.g. FTE basis if appropriate) investment.

## H. Explore opportunities for collective investment in open source infrastructure

Emerging from discussions of the 2.5% commitment (<https://scholarworks.iupui.edu/handle/1805/14063>), many CP2OA participants expressed a desire for OA publishing to occur within an open source infrastructure landscape. A large group of participants coalesced around the need for guidance and organization within the open source OA publishing community so that libraries could better understand what their investment options were if they decided to recommit a portion of their subscription spends for this purpose. Given (1) the breadth of open source infrastructure for OA publishing (e.g. everything from Editoria for book workflows, to Libero for platforms and reviewer services, to eScholarship for repositories), and (2) the diversity of financial models on which development of these tools has been based, any UC decisions around investment in open source infrastructure for OA publishing will require ongoing significant review and attention. For this reason, we suggest only that this emerging landscape be actively monitored and that the UC libraries seek opportunities to collaborate and partner with open source developers and service providers.

*This requires:* 1) Charge to a group or entity within the UC to monitor, evaluate, and report on opportunities for investment in open source OA publishing infrastructure.