

Accelerating the Transition to Open Access at the University of California

Kristin Antelman, University, UC Santa Barbara
PRRLA, Seoul
September 2, 2019



The University of California

BERKELEY

DAVIS

IRVINE

UCLA

MERCED



10

CAMPUSES

RIVERSIDE

SAN DIEGO

SAN FRANCISCO

SANTA BARBARA

SANTA CRUZ

The University of California



240,000

STUDENTS



200,000

FACULTY AND STAFF

The University of California



10%

**U.S. PEER-REVIEWED
RESEARCH BY UC AUTHORS**



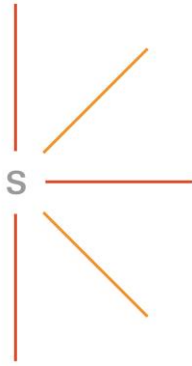
\$50M

**TOTAL JOURNAL SPEND
(INCLUDING APCs)**

Transforming Scholarly Communication =
Speeding up change

o p e n
2 0 2 0

a c c e s s



VISION

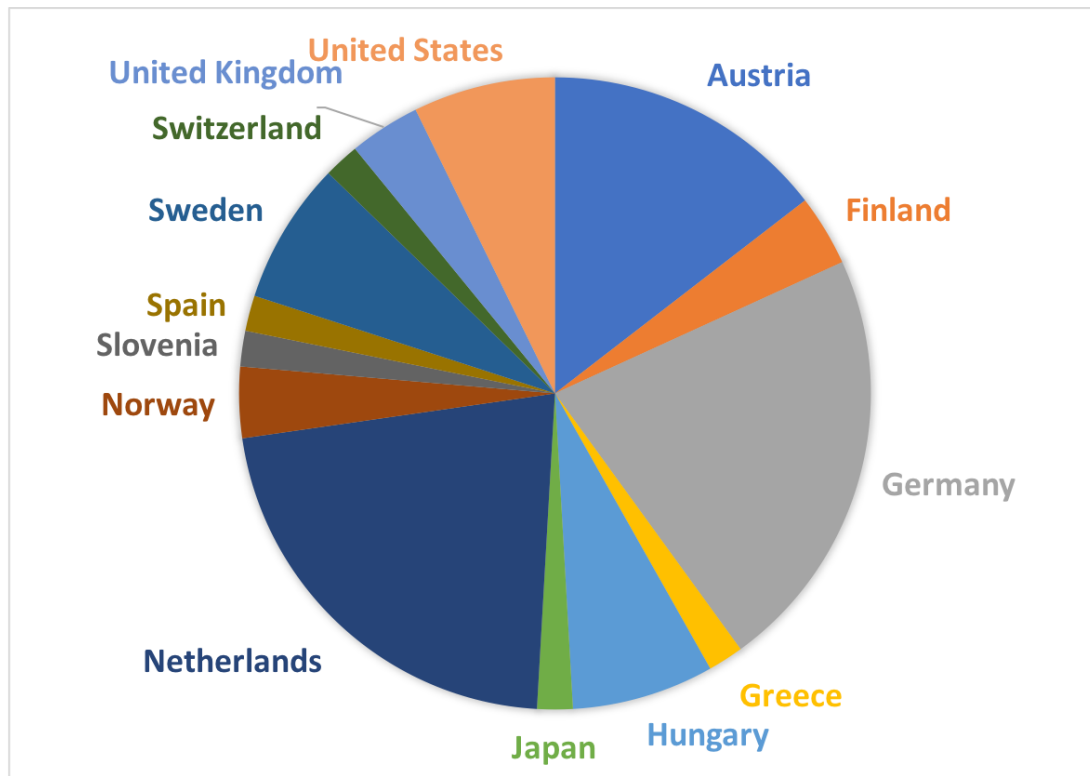
OA2020 is a global alliance committed to **accelerating the transition to open access.**

MISSION

We collaborate to transform the current publishing system, **replacing the subscription business model** with new models that ensure outputs are **open and re-usable** and that the costs behind their dissemination are transparent and **economically sustainable.**

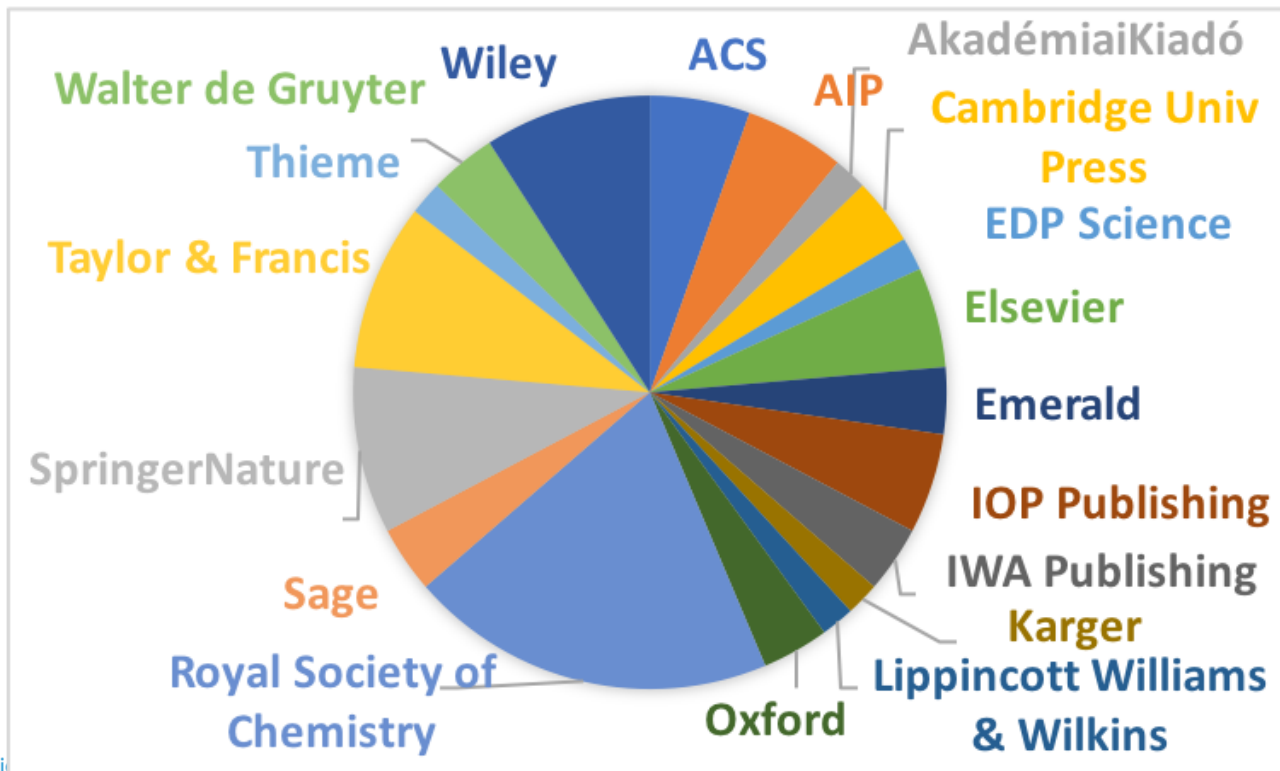


Transformative agreements (55)



Source: ESAC

Diversity of publishers



Source: ESAC

Statements on open access 2020 by U.S. Signatory Campuses

In the U.S.
the University of
California took a
leadership role

This site was created by an informal group of U.S. institutions who have signed Max Planck Digital Library's OA2020 Expression of Interest ("Eoi"). These institutions offer perspectives here about why they signed and how OA2020 can help transition scholarly journals to open access.

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UCSF
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CALIFORNIA
STATE UNIVERSITY
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IOWA STATE UNIVERSITY
University Library

UNT
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OF NORTH TEXAS



WAYNE STATE
UNIVERSITY

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UNIVERSITY OF CALIFORNIA

UCLA

UC SANTA BARBARA

UC San Diego

UT Southwestern
Medical Center

UC Irvine

UC SANTA CRUZ

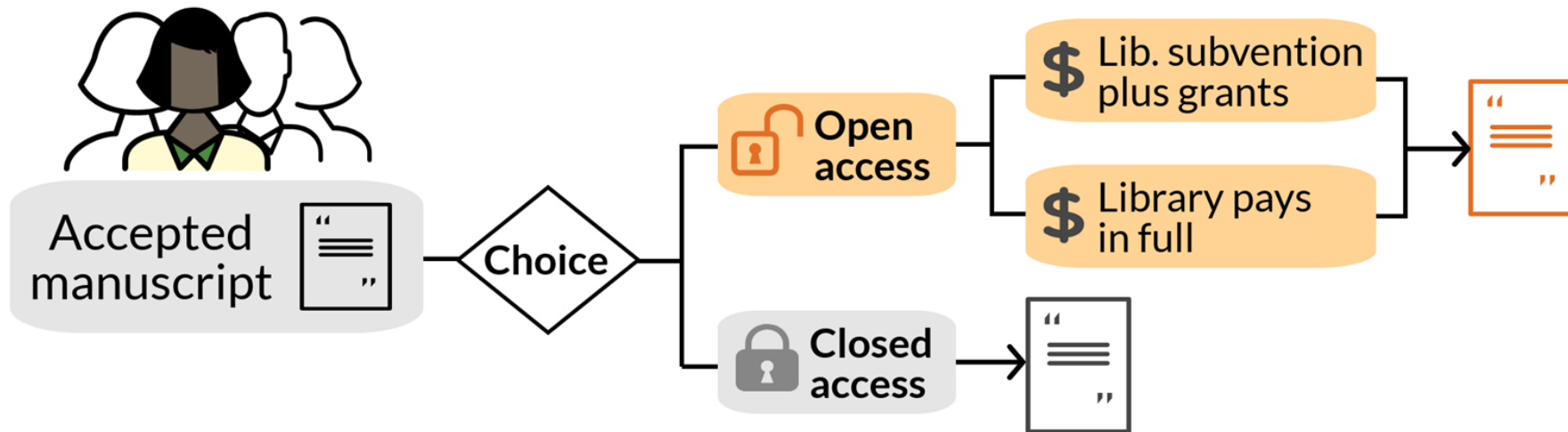
A transition model for research-intensive institutions in North America

Incorporate authors and research funding to support transition

While **using the library budget** to enable all authors to publish open access



The Author Experience



Why Elsevier?



UC principles in Elsevier negotiation

Open access for UC articles

Total cost reduction

Coalition strategy: building and execution

[◀ Back to Search Results](#)

RESEARCH



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

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

Faculty as partners in strategy development

- University Librarians roadmap (*Pathways to OA*) - Feb 2018
- Senate (Library committee) *Declaration* - April 2018
- UC Provost advisory *Call to Action* - June 2018

- Only then, CoUL announces *negotiations project* - June 2018

Keeping faculty informed

- Faculty Senate meetings (full & committee)
- Town halls
- Broadcast emails
- Website banners and portal page
- with FAQs
- Public media



Faculty as partners in execution

Faculty on negotiations team (3 of 6)

Faculty as communicators

UC case study: **Sequencing communciations** on termination day
(28 Feb 2019)

1. Faculty Senate letter of endorsement
2. President's office press release
3. Broadcast letter to faculty from Provost + campus Senate chair + UL

Post-cutoff public statements

Council of University Librarians

Faculty Senate

UC President

Office of Scholarly Communication

University of California

The screenshot shows a website header with navigation links: Home, Open Access @ UC, Open Data, Guides for Authors, and UC OSC Blog. A left sidebar contains a breadcrumb trail: Home > Open Access @ UC > Publisher Negotiations > UC and Elsevier. The main content area features the article title "Open Statement: Why UC Cut Ties With Elsevier" dated March 20, 2019. The article text states that the University of California has taken a firm stand on open access to publicly funded research and fiscal responsibility by deciding not to renew its subscriptions with Elsevier, the world's largest scientific publisher. It also notes that under Elsevier's proposed terms, the publisher would capture significant new revenue on top of the university's current multimillion-dollar subscription while significantly diminishing UC's rights to Elsevier content.

Post-cutoff public statements

UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

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SANTA BARBARA • SANTA CRUZ

Robert C. May
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Email: robert.may@ucop.edu

Chair of the Assembly of the Academic Senate
Faculty Representative to the Regents
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

February 28, 2019

Council of University Librarians

Faculty Senate

UC President

University of California Academic Council Statement on the University's Negotiations with Elsevier Publishing

The Academic Council of the Academic Senate of the University of California (UC), hereby signals its collective and resolute commitment to support UC's negotiating position with Elsevier in order to advance UC's mission as a public institution, make the products of our research and scholarship as freely and widely available as possible, and ensure that UC spends taxpayer money in the most ethically, morally, and socially-responsible way when entering into agreements with commercial publishers.

Background

The University of California has been negotiating with Elsevier, the largest commercial publisher of scholarly journals. As part of the [current negotiations](#), UC has been seeking sustainable cost controls as well as a novel transformative agreement in which our Elsevier authors would retain their copyrights, their articles would become completely and immediately open access, and the payments for open access publishing would offset our Elsevier subscription expenditures. By design, such a transformative agreement would be transitional and accelerate a shift to full open access for all our Elsevier authors within a very few years. Most significantly, a successful agreement would align closely with the mission of the University to provide "*long-term societal benefits through transmitting advanced knowledge, discovering new knowledge, and functioning as an active working repository of organized knowledge.*"

At the present time, UC and Elsevier have reached an impasse in their negotiations and our contract has lapsed. Nonetheless, the Academic Council of the Academic Senate stands firm in its conviction that a comprehensive transformative agreement that covers all Elsevier titles is required to achieve the aspirations embodied in the Academic Senate's [Open Access Policy](#), and articulated by the University Committee on Library and Scholarly Communication (UCOLASC) in its [Declaration of Rights and Principles](#), and by the Systemwide Library and Scholarly Information Committee (SLASIAC) in its [Call to Action](#). We support the unified strategies of the UC libraries to ameliorate the negative effects of the impasse on faculty, researchers, and students, and applaud their efforts to closely monitor alternative access along with the impacts it may have on research and teaching.

We ask all publishers to work with UC in good faith to meet our short- and long-term goals for transforming scholarly communication, and we encourage our faculty to weigh these goals when deciding where to send their work for publication, when agreeing to review manuscripts, or when performing editorial duties. Moreover, we urge all UC authors to utilize our [open access policies](#) to make their final pre-publication manuscripts publicly and immediately accessible in our [institutional repository](#).

Post-cutoff public statements

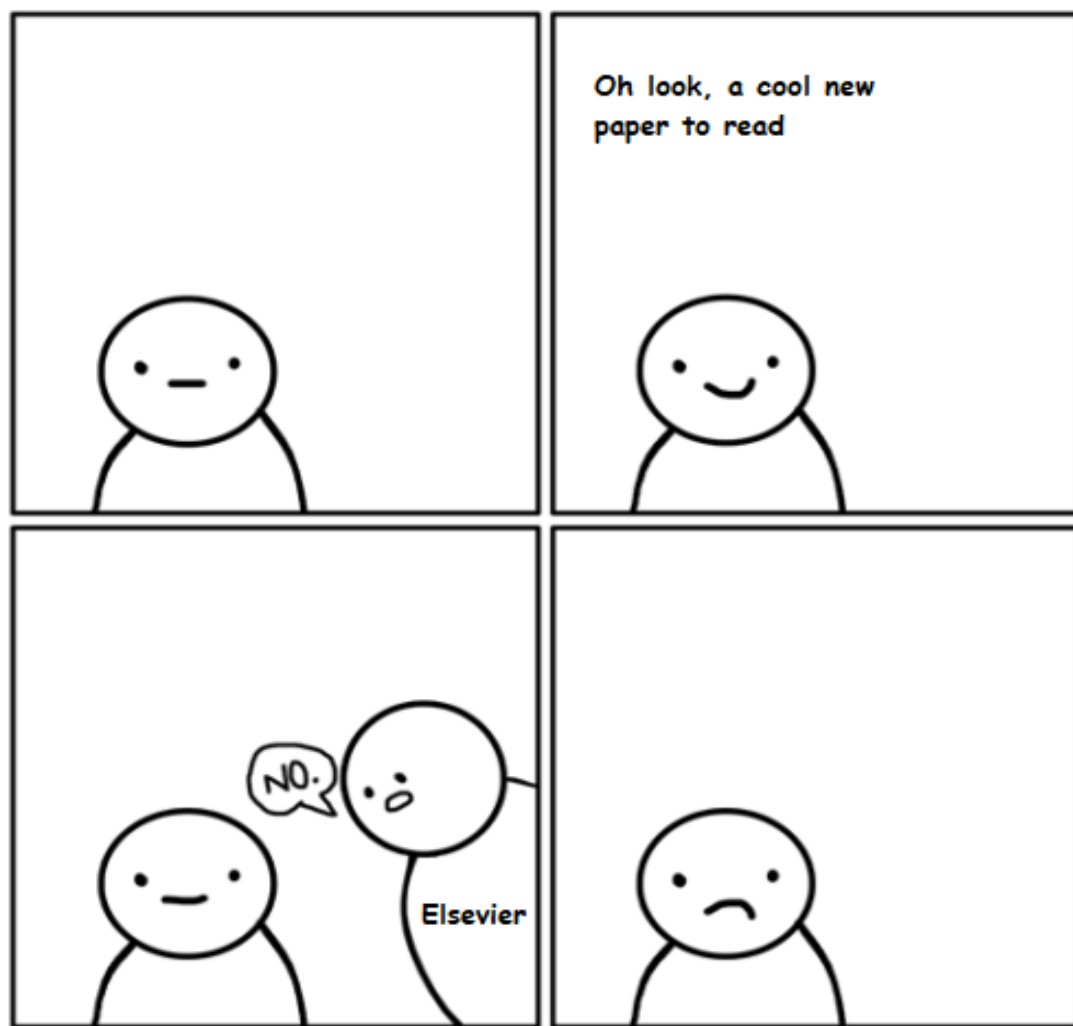
Council of University Librarians

Faculty Senate

UC President

The screenshot shows the University of California Press Room page. At the top, the University of California logo is on the left, and navigation links for NEWS, PRIORITIES, UC SYSTEM, and Admissions are on the right. Below the logo, a breadcrumb trail reads: News > Press Room > UC terminates subscriptions with world's largest scientific publisher in push for open access to publicly funded research. The main heading of the article is "UC terminates subscriptions with world's largest scientific publisher in push for open access to publicly funded research". Below the heading, it is dated "UC Office of the President, Thursday, February 28, 2019". The article text begins with: "As a leader in the global movement toward open access to publicly funded research, the University of California is taking a firm stand by deciding not to renew its subscriptions with Elsevier. Despite months of contract negotiations, Elsevier was unwilling to meet UC's key goal: securing universal open access to UC research while containing the rapidly escalating costs associated with for-profit journals." The text continues: "In negotiating with Elsevier, UC aimed to accelerate the pace of scientific discovery by ensuring that research produced by UC's 10 campuses — which accounts for nearly 10 percent of all U.S. publishing output — would be immediately available to the world, without cost to the reader. Under Elsevier's proposed terms, the publisher would have charged UC authors large publishing

Alternative Access



What is alternative access?

Alternative to library subscriptions

Access - browsing, reading + ? ?

Value of subscription is now **speed of access**

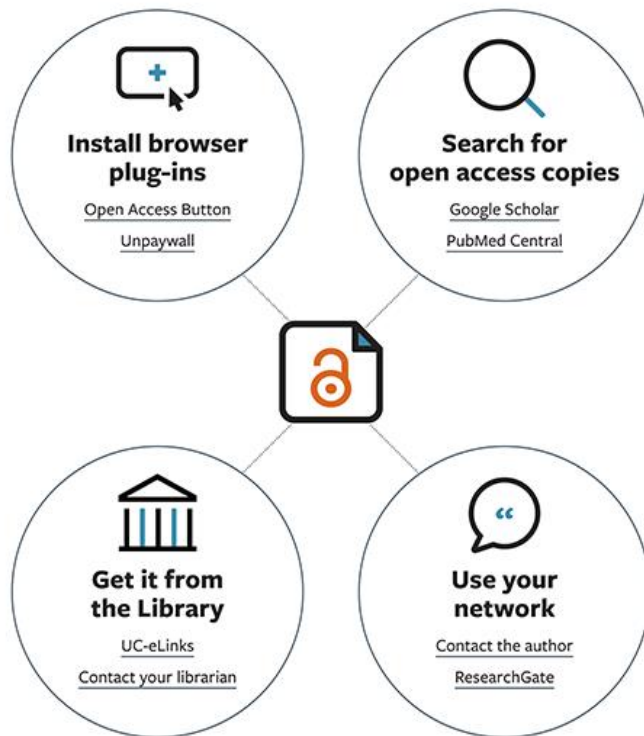
Elsevier Alternative Access Team

Minimize the impact of access disruption by

Developing and communicating an **alternative access plan**

- Promote open access alternatives
- Implement document supplier and ILL requesting workflow
- Serve as on-campus experts on alternative access
- Create an assessment plan

ALTERNATIVE ACCESS TO ELSEVIER ARTICLES



Note: The UC Libraries do not endorse using Sci-Hub for article access.



The poverty of journal publishing

[A Beverungen](#), [S Böhm](#), [C Land](#) - Organization, 2012 - [journals.sagepub.com](#)

The article opens with a critical analysis of the dominant business model of for-profit, academic publishing, arguing that the extraordinarily high profits of t...

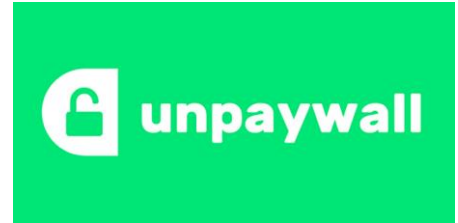
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nature
International weekly journal of science

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Archive > Volume 500 > Issue 7460 > Letters > Article

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Editor's summary العربية

NATURE | LETTER

日本語要約

Nanometre-scale thermometry in a living cell

G. Kucsko, P. C. Maurer, N. Y. Yao, M. Kubo, H. J. Noh, P. K. Lo,
Affiliations | Contributions | Corresponding authors

Nature 500, 54–58 (01 August 2013) | doi:10.1038/nature12373
Received 19 March 2013 | Accepted 10 June 2013 | Published online 27 July 2013

[Citation](#) | [Reprints](#) | [Rights & permissions](#) | [Article metrics](#)

Sensitive probing of temperature variations on nanometre scales is a key challenge in many areas of modern science and technology¹. In particular, a thermometer with subdegree temperature resolution over a large range of temperatures could provide a powerful new tool in many areas of biological and medical research. Here we report a living system could provide a powerful new tool in many areas of biological, physical and chemical research. Possibilities range from the temperature-induced control of gene expression².

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Title: Interventional Radiology Management of Tracheal and Bronchial Collapse

Source: The Veterinary clinics of North America. Small animal practice [0195-5616] Clarke, D

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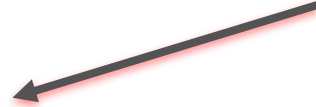
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What is the estimated cost?

Campus	2019 Total Estimated Demand (Sub + Unsub) - Adj for dups	2019 Total Estimated Demand (% of systemwide) - Adj for dups	Estimated Cost (2019) @ 100% Reprints Desk, \$23 each article
UCB	22,988	14%	\$ 528,730
UCD	16,368	10%	\$ 376,466
UCI	11,558	7%	\$ 265,832
UCLA	33,414	21%	\$ 768,518
UCM	3,725	2%	\$ 85,671
UCR	5,347	3%	\$ 122,974
UCSD	38,696	24%	\$ 890,013
UCSF	19,921	12%	\$ 458,194
UCSB	5,654	3%	\$ 130,038
UCSC	4,643	3%	\$ 106,798
	162,314	100%	\$3,733,232

Assessment post shut-off

Assessment and service improvement

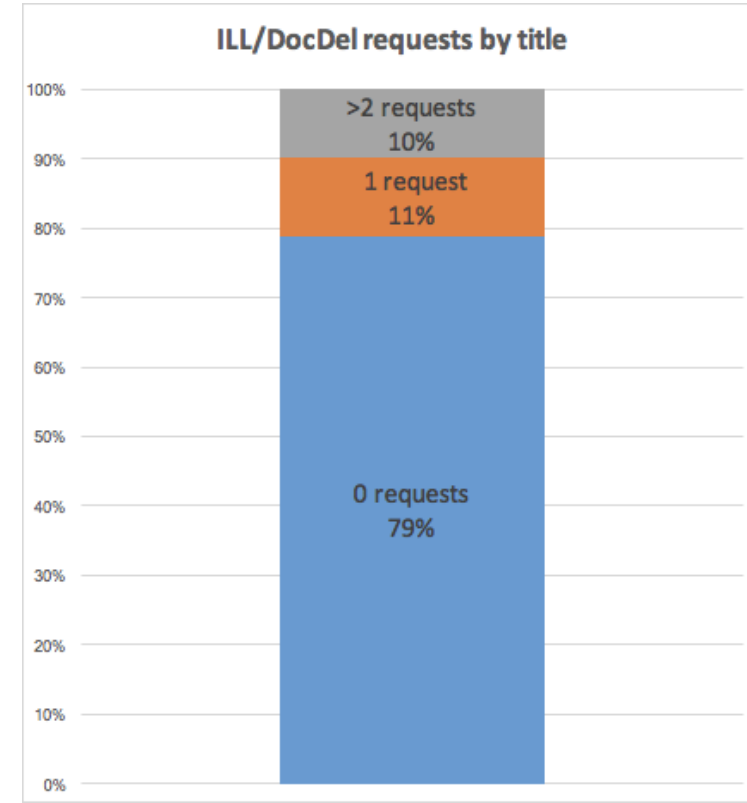
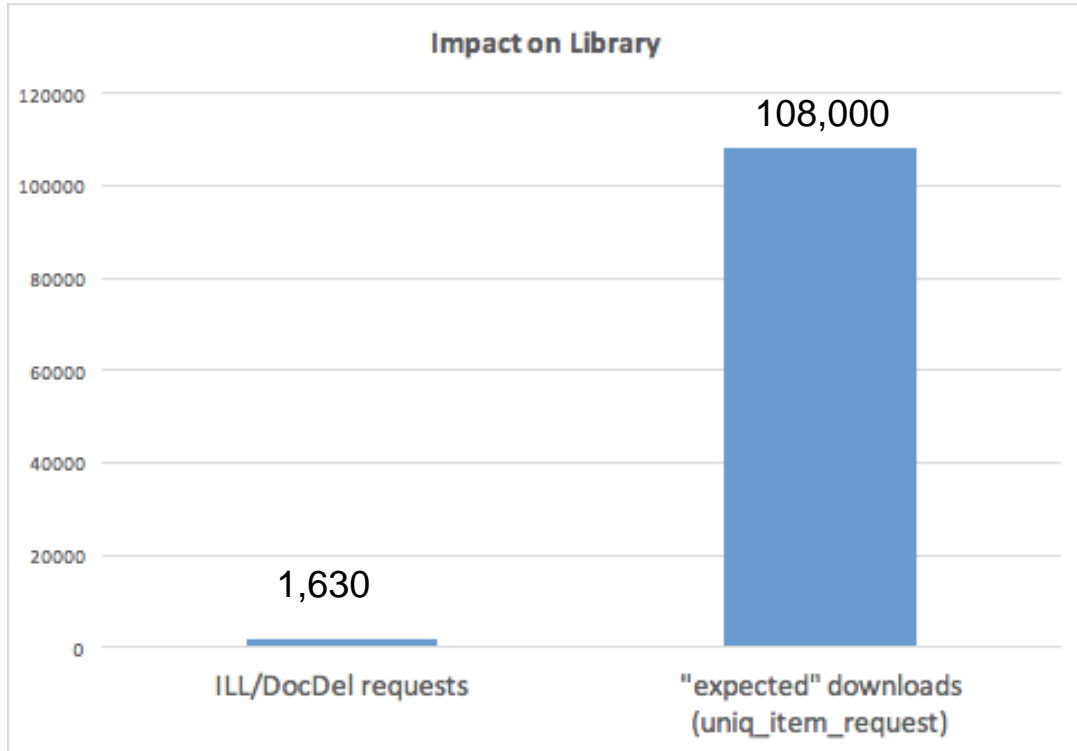
What is the **impact** on research and learning?
on library services?

Which titles are most critical to readers?
and which are less?

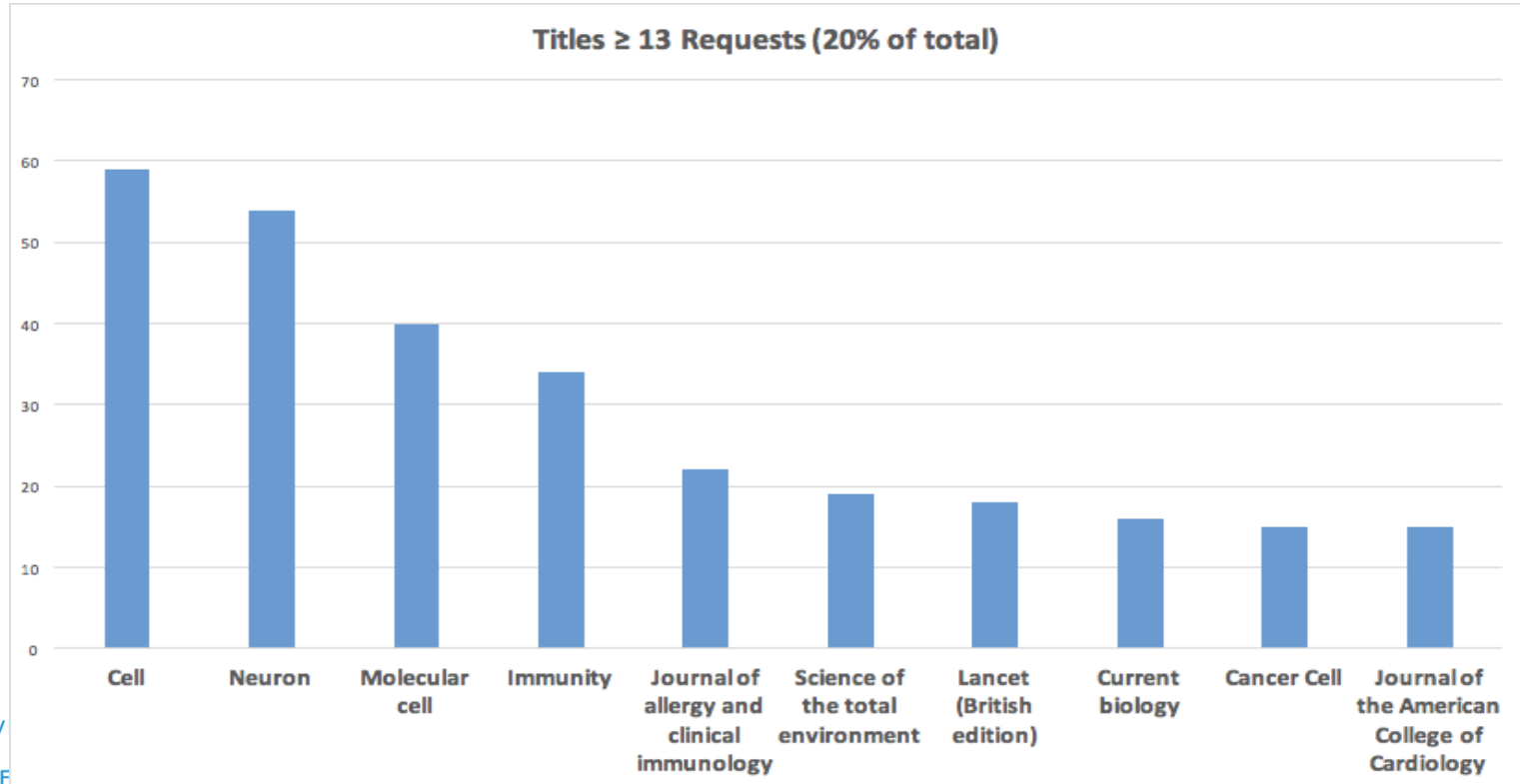
How can we **improve alternative access**: improve
discovery of open access and the speed of library
ILL/document delivery

Early indicators of impact

Impact on libraries looks manageable



Journals are *not* equal



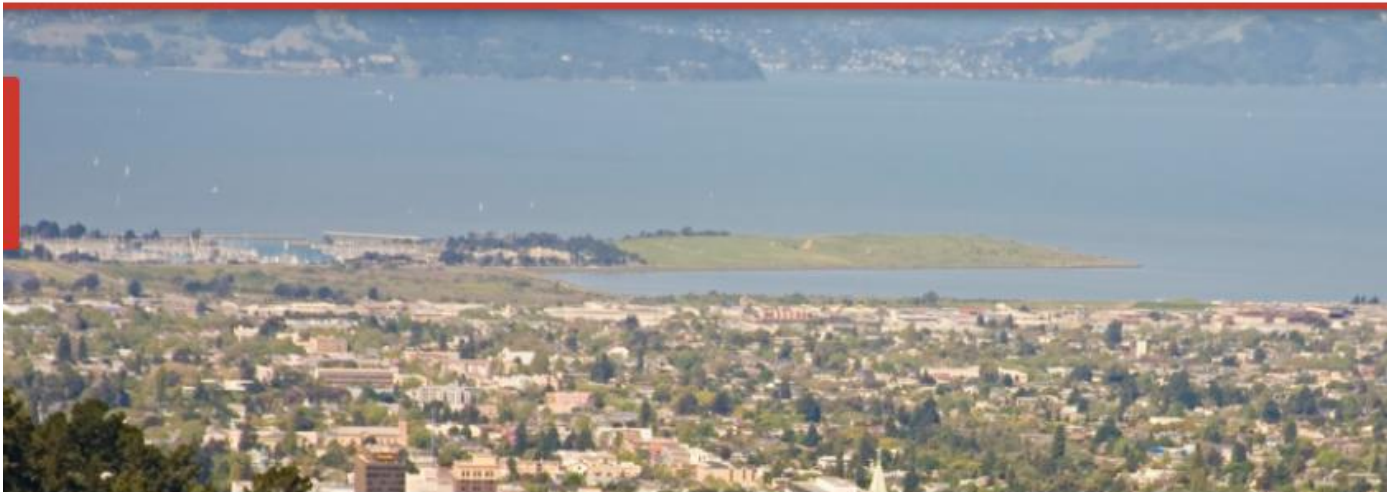
Faculty response

TheScientist
EXPLORING LIFE, INSPIRING INNOVATION

NEWS & OPINION

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SUBJECTS



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UC Faculty Protest Elsevier by Suspending Work for Cell Press

Broader community interest

 **Reddit Open Science** @OpenScienceR · Aug 12
Elsevier Tries To Lie About University Of California's Contract Negotiation;
UC Shows Its Receipts reddit.com/r/Open_Science...



Elsevier Tries To Lie About University Of California'...
You may recall that, back in March, we were excited to hear the news that the University of California h...
techdirt.com



Russell Vance @russelle Vance · Jul 10

UC no longer has access to new paywalled papers published in **Elsevier** journals. If you want us to read your work, make sure you deposit in biorxiv! news.berkeley.edu/story_jump/pub... via [@ucberkeley](https://twitter.com/ucberkeley) [@biorxivpreprint](https://twitter.com/biorxivpreprint)



simine vazire @siminevazire · Jul 13

I hope **UC** does the same w/ other publishers as they did w/ **Elsevier**.
Personally, I'd rather lose subscription access & have the university spend the money elsewhere.
Bonus side effect: makes us rethink giving free labor & copyright to our work to for-profit companies.



7



14



126



Our experience contains broad lessons

Understanding the changing value of subscriptions

– in general and to your community

Leveraging library budgets to effect change

Faculty engagement on principles and goals

Contributing back to the library community

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Negotiating with scholarly journal publishers

A toolkit from the University of California

A North American framework for creating transformative change in the scholarly publishing industry based on initial insights from the University of California's 2018-19 negotiations with Elsevier

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Prepared by the UC Publisher Strategy and Negotiation Task Force
May 2019



Tipping Point Workshop

26-27 August 2019, Wash DC