Project TRANSFORM: Transformative Agreements Strategy, Negotiation, and Oversight

Introduction

In September 2017, the Council of University Librarians (CoUL) charged an *Offsetting Planning and Implementation Task Force*, chaired by CDL and reporting to SCLG, to advise CoUL on the development and implementation of potential Open Access Offsetting pilot agreements with publishers with whom UC has a systemwide or shared license, as well as to develop implementation plans and oversee implementation and assessment. The task force was initially charged through December 2018 and was subsequently extended for 12 months through December 2019.

In May 2018, the Council of University Librarians (CoUL) charged a separate senior-level *Elsevier Strategy and Negotiation Task Force* (including UCOLASC representation) to guide the Libraries' negotiation strategy with Elsevier for cost reduction and open access and support CDL in the negotiation, with CoUL providing oversight and final approval due to the extraordinary nature of the effort and its significant impact on the University community.

As the University's commitment to redirect its journal subscription investments toward open access has deepened through statements and calls to action by UCOLASC and SLASIAC, and as negotiations for transformative agreements have broadened to encompass an increasing number of publishers and, potentially, agreement types, it has become clear that these efforts form part of a single overarching strategy that will benefit from unified guidance and strategic oversight.

The Project

Project TRANSFORM will commence immediately. It will be reviewed by CoUL near the end of its second year, or sooner at CoUL's discretion.

The objective for the project is to negotiate and implement a set of transformative agreements with publishers of scholarly journals. A transformative agreement is one that contributes in a direct way to converting subscription spending into open access publishing spending, in a finite period of time. A variety of forms of agreements are encompassed, including but not limited to offsetting agreements that transition hybrid OA journals (with APCs) into full OA journals, and subscribe-to-open agreements or other community support models that accomplish the same goal but without APCs. The number of such agreements Project TRANSFORM will seek to implement is not fixed, and will depend on the size of the publisher, the type of agreement (and difficulty of implementing it), and other considerations. CoUL has already authorized up to three

agreements with publishers other than Elsevier, plus an agreement with Elsevier; the number will be reviewed and revised as conditions warrant.

The governance structure for Project TRANSFORM will be modeled on the structure employed by the Project SILS. In broad outline, CoUL, through this document, charges and names a Working Group to lead the project, and the Working Group will create a variety of teams to carry out specific tasks.

Charge to Working Group

The Project TRANSFORM Working Group is charged to provide strategic guidance and oversight to the UC Libraries' transformative license negotiations with publishers with which UC has a systemwide agreement, including Elsevier and other publishers; guide and support CDL throughout negotiations; and provide general oversight for any transformative agreements that are adopted.

For now, Elsevier negotiations will remain the working group's primary focus and first priority and the negotiation in which it will have the deepest engagement. In addition, working group members will provide strategic guidance and support to CDL in pursuing transformative negotiations with other publishers, and oversight to various teams to ensure that goals, strategies, messaging, and implementation plans are properly aligned and mutually-reinforcing. Specific guidance will include advice on which publishers to prioritize for negotiation and possible agreement, negotiation objectives and outcomes, communication and outreach activities, implementation, and assessment.

The working group will consult with CoUL, SCLG, DOC, UCOLASC, SLASIAC, OSC and other UC administrative leaders as needed. Some campus-based working group members may participate directly as members of specific negotiation teams in addition to CDL.

Specific activities to be undertaken by the working group include:

- Develop specific negotiation and OA goals, targets, and acceptable fallback outcomes for potential deal(s) and for cases in which a deal may not be reached, and confirm that CoUL supports these.

- Advise CDL on publishers to engage with in negotiations, and advise on context (e.g., engaging with other universities, defining the nature of the transformative model).

- Develop and/or oversee project plans and timelines for negotiation, and determine who should participate directly in negotiations.

- Review analytical materials and value analyses prepared by the CDL, and identify additional analyses to be performed.

- Consult with CoUL on overall project plans, timelines, negotiation strategies, OA goals, targets, acceptable fallback outcomes, and recommendations for additional members.

- Consult with provosts & executive vice chancellors, SLASIAC, and/or other UC administrative leaders.

- Consult with UCOLASC and other relevant Academic Senate committees.

- Oversee public and internal communication strategies, and engage with campus library leaders and the Office of Scholarly Communication (OSC) on communications implementation.

- Establish subgroups as appropriate, potentially with members from outside of this team, to address critical issues in greater depth. For example, an Alternative Access Assessment Team (for the Elsevier project), and a Transformative Agreements Implementation Task Force (reconstituted from the Offsetting Agreements Task Force)

- Engage and collaborate with external constituencies such as other US and international libraries, consortia, and negotiating groups (e.g. Projekt DEAL).

Duration:

The working group will be charged for an initial two year period, through June 2021.

Reporting Line

The working group will report directly to CoUL and will provide regular updates to CoUL at the Council's standing monthly meeting and/or through email updates when no substantive discussion is required. CoUL representatives on the working group will confirm that CoUL supports major goals, targets, and acceptable fallback outcomes before any agreements are struck. The working group will also consult regularly with SCLG via its shared membership.

Membership

The working group membership will consist of designated members of CoUL, CDL licensing staff, SCLG, and campus libraries, and will invite UC faculty leaders appointed by UCOLASC to participate on its roster. The working group may form teams to carry out or support various activities, including but not limited to content evaluation, communication, and outreach, and may engage additional UC library staff or faculty to participate on such teams.

The initial membership shall be:

Ivy Anderson, co-chair (CDL, Director Licensing)

Jeff MacKie-Mason, co-chair (UCB, CoUL, UL and faculty)

Kristin Antelman (UCSB, CoUL, UL)

Sarah Houghton (CDL, Director Discovery and Delivery)

Tiffany Moxham (SCLG, UCR)

Karen Otteman (UCSC, Vice Chair UCOLASC, faculty)

Rich Schneider (UCSF, by designation of UCOLASC, faculty)

Alison Scott (SCLG Chair, UCLA)

MacKenzie Smith (UCD, CoUL, UL)

Dennis Ventry (UCD, Chair UCOLASC, faculty)

Guenter Waibel (CDL Exec Dir, CoUL)

Communications Director TBD[i]

Staff to working group:

Nga Ong (CDL, Collections Assessment Analyst)

Mathew Willmott (CDL, Data Analyst)

Danielle Westbrook (CDL, System Analyst)

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[i] The Communications Team will include the Communications Directors from UCB (Grandstaff), UCD (Jessica Nusbaum) and UCSF (Kemi Amin); they will choose a member to sit on the working group.