

Transformative Scholarly Communication Initiatives Questionnaire

University of California Libraries

Scholarly Transformation Advice & Review Team

Please respond to all applicable questions below, and include links to publicly available information where relevant. **We will rely on your answers to make fully informed decisions about supporting your product or service, and thus it is essential that your responses be full, complete, and accurate.** By transmitting your responses to us, you are indicating that you have completely and accurately represented the requested facts about your product or service. Your responses will be kept confidential within UC, and primarily used by the task force for evaluation, and by UC decision makers.

Send your responses via email to: [NAME, EMAIL ADDRESS]

Product name: [ENTER HERE]

Responses provided by: [your name, email address]

Date submitted:

A. Potential for Transformative Influence

1. Describe how your resource is meant to be used and explain how this resource improves access to the content/services to more potential users and uses.
2. What is your business model and how are costs distributed amongst stakeholders?
3. What growth or expansion plans do you have for the next 2-3 years?
4. Who do you consider your competitors? What advantages do you consider your resource offers over your competitors?
5. Describe how your product creates efficiencies in production and distribution of content.
6. Does your product use an open architecture? Please describe. Does it integrate with other information tools (e.g., for purposes such as data transfer via API)? If so, describe the functions it supports.
7. How would users who are unfamiliar with your resource discover your content (DOAJ, DOAB, Search engine optimization, etc.)?
8. Do you allow text and data mining of your full-text article corpus (within an institutional subscription for non OA-content)? If yes, please describe how this works, how you facilitate it, and any restrictions that apply.
9. Has your product been endorsed by any organizations? Which ones?

10. Does your product provide any alternative methods for sharing, commenting on, and discussing research results? Please list all relevant such methods or services, including connected or embedded social networking tools such as Twitter, Facebook, and link savers.
11. Does your product provide non-traditional measures of use or impact such as altmetrics (article level usage, tracking of social network sharing, etc.)?
12. Do you employ any open peer review practices? If so, please describe.
13. How can libraries get involved with your initiative (forums, governance, advisory boards, etc.)?
14. Please describe the kinds of unique content that your service makes available.
15. Which measures of usage, adoption, and rating do you provide? Please list which specific standards you follow.
16. Do you use Creative Commons Licenses? If so, which one(s)?
17. Who owns the copyright?
18. Do you facilitate identification of author contributorship roles in a machine readable way, e.g. through employing the [CRedit taxonomy](#) and/or implementing code for contributorship badges?
19. How do you integrate ORCID or other author/contributor identifier systems into your workflows?
20. How are data sets supporting article findings or digital objects supported and licensed? (e.g. are they archived, assigned a DOI, and/or linked from the article or object?)
21. Does this product provide additional value to the scholarly community beyond that of the core resource or initiative (e.g. setting aside a portion of revenue to engage in other transformative activities; publishing source code to allow replication of operations; supporting other society operations)?

B. Scholar Engagement

1. Does this product represent a grassroots resource or service designed and/or managed by practitioners? Do prominent scholars and/or practitioners serve as executives, board members, editors, or other key roles for your organization? If so, please describe and/or provide a link to this information.
2. Do University of California scholars participate in your business as founders, authors, editors, or other roles? Please describe and/or provide a list of UC scholars engaged in shaping your

initiative. Going forward, if we were to invest in your product or service, would you be able to provide this information annually or on request?

3. Please provide yearly data describing the campus-level usage or uptake of your product by UC scholars for each of the past three years. Please provide data in COUNTER-compliant format.
4. Please provide yearly data describing the campus-level usage or uptake of your product by UC scholars for each of the past three years, and available. Please provide data in COUNTER-compliant format.
5. What methods and standards do you use to quantify the scholarly output of your resource or service (e.g., number of articles per year or quantity of data made available)?
6. Using that metric, how does the overall level of output from your resource or service compare to other similar providers in the field? Please provide metrics for the last three years.
7. Can you provide information about investments currently being made by peer institutions?
8. Does this product provide an opportunity for UC to actively partner with other national or global institutions in transforming research output to OA?.

C. Economic Sustainability

1. Would you say that your fees to libraries and/or end users are above, at, or below the industry average for your type of resource? Please provide data to document your response.
2. What percentage of these fees covers operational and strategic development costs, and what percentage goes to generating a profit or surplus that is allocated to other purposes?
3. Does your organization have a financial statement that we can review? If a formal statement is not available, please provide what information you can regarding your finances.
4. Please provide information about any discounts or other financial benefits (e.g., publication fee discounts) that are available to members of the UC community as a result of this arrangement.
5. Have your prices or business model changed over the past three years? If yes, please provide details of these changes.

D. Operational Sustainability

1. How long has your organization been in business? Please explain, including any external partnerships you have that are relevant to understanding your operational environment.
2. What industry technical standards do you follow? Please explain.

3. Do you have a financial plan that you can share or that is publicly available? If so, please attach your plan or provide a link to it.
4. What plans do you have for business continuity and ongoing stewardship of your content and/or services? Please describe the status of your participation in trusted archives services (such as Portico).
5. Describe the workflows needed for the university to provide support for this initiative, particularly in a consortial environment. Please include information about any funding, administrative, technical, or instructional workflows that may need to be implemented or supported.
6. What methods and/or processes do you employ to ensure trustworthiness of your content or service and that it meets appropriate ethical standards?

E. Disclosure & Transparency

1. Do you regularly disclose your revenue and operating costs publicly or upon request? If so, please provide the location or a copy of this information.
2. Do you require non-disclosure statements within licenses or formal agreements? Are any provisions of these licenses or agreements able to be shared?
3. Do you publicly document your editorial policies relevant to authors and/or end users? If so, please provide the location of this information.
4. Do you provide reports or information to customers and the public about how much content is supported by different funding methods (e.g. APCs, grants, etc.)?
5. How do you measure the impact of this resource on scholarship? How do you report this information (e.g., alternative metrics, COUNTER use reports, or other standard methods)? Please provide the most recent three years (if available).
6. Do you have a formal written data use policy (not limited to GDPR)? Is the policy prominently displayed on your website (please include a link)?

F. Financial Risk

Our decision to invest in your product or service will factor into account the financial health of your organization or services. Accordingly:

1. Please advise of any existing encumbrances or issues that your company, product, or service faces that could jeopardize your ongoing operations or support.
2. Please identify any business relationships or ownership/subsidiary concerns or constraints that could create risk to ongoing support for or development of your product or service.
3. If applicable, to what degree have you become self-supporting since your initial reliance on grant funding?
4. Do you have a published schedule or plan that shows how fees or investments will be adjusted downward if self-sufficiency improves based on specific measurable criteria? How will these changes be communicated and disclosed?
5. If your resource has been available for several years, how have your fees changed over that time? Do you offer a multi-year funding commitment or some other mechanism for managing funding expectations?
6. If applicable, do you guarantee that upfront investments will be returned if the venture fails?
7. Do you use a formal participation agreement or MOU that clarifies the financial obligations of the parties? If so, does it include any provisions for cost control over time?
8. Is perpetual access to purchased content guaranteed regardless of the life of the platform?

G. Costs

1. Please provide a price quote for the cost of this resource to the University of California system, as well as detailed information about your overall cost model. If needed, UC enrollment data are available at: <https://cdlib.org/resources/vendors/enrollment/> . Please let us know what other information you require to provide a price quote.