

Project to Advance Open Monograph Opportunities at UC: Charge for Track B (Landscape Analysis)

Resubmitted for CoUL review on June 10, 2024 and endorsed by the council.

Roster confirmed October 2024

In February 2018, the University of California (UC) Libraries released the [Pathways to Open Access](#) toolkit to assist the campus libraries and California Digital Library (CDL) with individual and collective decision-making around which open strategies to pursue to achieve large-scale transition to open access. While the *Pathways to Open Access* analyzed open models, frameworks, and specific strategies that are applicable to many kinds of scholarly content outputs, the bulk of UC's collaborative efforts guided by *Pathways* have so far focused on advancing OA scholarly journals or articles.

In setting [the UC Libraries annual plans and priorities for FY 2023-24](#), the Council of University Librarians (CoUL) established a multi-track "Project to Advance Open Monograph Opportunities at UC" ("Project") to further pursue open monograph pathways and expand support for UC authors, at scale and through systemwide initiatives. The appended scope of work for the Project summarizes both tracks of work, including track A to deploy earmarked funds for open monograph investments in FY 2024/25. The following charge is specific to track B of the Project, to carry-out the necessary analysis to strategically expand and pursue new open monograph publishing opportunities for UC in FY 2025/26 and moving forward.

In identifying open monographs as requiring additional focus beyond the initial 2018 *Pathways* analysis, CoUL seeks to expand opportunities for UC authors to publish open monographs. However, CoUL also recognizes that, in order to best serve UC faculty, students, researchers and clinicians, the Project Track B effort must also seek to analyze and consider open access strategies and opportunities in the broader context of monographic scholarly needs and communications.

CoUL has earmarked ongoing (i.e., permanent) funds to begin expanding systemwide investment in open monographs for UC authors (both publishing and reading opportunities). These funds come from the third tranche of the UCOP budget augmentation for shared collections and open access transformation, which is currently utilized by the Project Transform Working Group (PTWG) and Shared Content Leadership (SCLG) with final approval from CoUL. As a further input to the Project Track B, CoUL still needs to determine the total funds that will be available for starting in FY 2024/25.

Two core objectives are outlined in this Project Track B charge: a landscape analysis and recommendations to inform open monograph investment and other decision-making, starting in FY 2025/26.

Scope of work and core responsibilities

CoUL has designated the Project Track B team to build on the original *Pathways to Open Access* toolkit and support UC decision-making and investments to advance open access monographs. This charge details objective 1 activities and goals (landscape analysis); while a high-level scope is proposed here for

objective 2 (recommendations), a more complete charge will need to be written following and based on the completion of objective 1.

The work of the Project will occur in parallel with the Project Track A, the CoUL and SCLG-led open monograph investments for FY 2024/25. Through membership overlap and proactive communication, the Tracks A and B will coordinate with and advise one another to best support the shared goal of strategically advancing open monograph publishing this coming fiscal year and beyond. Track A findings and decisions will serve as inputs to Track B.

Objective 1: Landscape and SWOT analysis

The Project Track B team will develop a landscape analysis.

Together, team members will co-build a shared, high-level understanding of the landscape of open monograph models and notable strategies that exist or are emerging. This broad landscape analysis should inform objective 2, which will include building out recommendations for specific models and strategies to explore in greater detail and pursue to benefit UC authors¹. The landscape should consider various perspectives, library and non-library as well as UC and outside of UC, including the libraries, authors, readers, administrators, and publishers.

To prepare the landscape analysis, the project team should engage in:

- Research, discussion, synthesis, and consultation needed to develop and evaluate (e.g. via SWOT analysis) a high-level landscape of open monograph approaches (i.e., current publishing landscape, funding models and frameworks) and strategies (i.e., specific actions or initiatives to achieve an approach).²
 - For each approach, the analysis could include: An overview of the nature of approach; prevalence and impact; strategies to achieve the approach; systemic challenges; and systemic opportunities.
 - The SWOT analysis will also be informed and shaped by other activities occurring as part of this landscape analysis (as noted below - e.g., the data-driven analysis, consultation, etc.).
- Data-driven analysis of recent UC scholarly monograph publications (exact timeframe for “recent” to be determined by the project team); to include publisher and disciplinary analyses and the extent to which UC authors are already publishing open monographs.
 - This analysis should guide future work around UC author needs and assessment.

¹ The goal of this work is to best advance and expand open monograph publishing opportunities for UC authors. However, to advance transformative paths and approaches, the full landscape will need to be considered. Additionally, to fully meet the needs and ambitions of UC authors, this may require support and investment in publishing and infrastructure at large; Track B will aim to grapple with this.

² Per the Pathways analysis framework, “approaches” to open monographs are the underlying framework or model to effectuate open access; and “strategies” are the specific actions or experiments that the UC libraries can/will undertake in an effort to achieve a given approach.

- This analysis should likely be carried out in parallel with the research/SWOT analysis activities and shared with SCLG as soon as possible, to support their investment recommendations and activities in FY 2024/25.
- Documentation of current strategies (including financial support for open access monographs) being implemented by UC libraries, both at the local and systemwide levels, and criteria utilized to support decision-making; strategies and criteria implemented by non-library entities as well as other (non-UC) research institutions should also be considered and reflected in the analysis.
- Consultation and coordination with SCLG regarding recent, current and planned open monograph investments, including FY 2024/25 spend of the earmarked augmentation funds.
- Consultation with UC Press to understand its perspective and plans, and to identify opportunities for partnership (other presses may also be consulted with).
- Additional, initial consultation with key, high-level stakeholders (to be identified in partnership with CoUL), to inform assessment around sustainability and impact to UC authors (e.g., faculty consultation with the University Committee on Library and Scholarly Communication; deans of humanities, etc.).
- Consideration of potential values and principles to inform the recommendation-based work to be carried out for objective 2, around which models and strategies should be pursued; principles may begin to form an evaluation rubric.
- Consideration of the multi-payer philosophy and applicability to open monographs (e.g., who are the stakeholders, what are their roles, and what are the existing funding flows that support monograph publications?)
- Proposed scoping for objective 2, based on this objective 1 analysis.
- Additional project recommendations that emerge from this objective 1 analysis.

The depth of analysis should inform which approaches and strategies are recommended for detailed analysis, and potentially collective UC investment, as part of objective 2 work and beyond.

While user needs should be considered and part of this analysis, direct UC author engagement and assessment is not expected to take place as part of objective 1.

At the end of objective 1, which should take six months, the team will submit and present the landscape and data analyses to CoUL for their review and feedback. If needed, the Project Track B team can also hold a mid-point check-in with CoUL for guidance; in consultation with the CoUL liaison(s) - see Reporting line section - additional CoUL engagements can be scheduled.

Objective 2: Building recommendations

It is anticipated that objective 2 will focus on developing recommendations for how the UC libraries can advance open monograph publishing and reading opportunities for UC authors. These recommendations will be based on the landscape and data analyses, CoUL's response to the analysis, and UC's ambition to advance open access strategies and opportunities for UC authors and in the broader context of monographic scholarly needs and communications.

Objective 2 recommendations will specify strategies and investments to pursue, beginning in FY 2025/26 and beyond (i.e., likely short, medium and long-term opportunities); it may also include assessment of UC author needs and expectations, as well as broader consultations (though consultations may occur in a subsequent stage of work). Recommended open monograph paths will reflect CoUL and the UC Libraries' intention to assess methods and approaches pursued. Specifics for objective 2 will be set forth via a separate charge at the conclusion of objective 1.

Team, Commitment & Reporting line

Project Team

The Project Track B team is committee-based in structure, where all team members (regardless of their domain expertise and representation) participate in and contribute to executing the full charge.

Core characteristics of the team include:

- 6-7 team members total
- Expertise and knowledge in the following, across the team
 - Scholarly monograph publishing
 - Publishing funding models
 - Open access books funding
 - Licensing and shared collections
 - Humanities & social sciences research and publishing, and/or collections
- To include a UC Press representative, for one or both objectives, if the press wishes to have a staff member directly participate on the team

Team members likely include subject, scholarly communication, and collection experts or administrators. Representation from relevant UC-wide groups (e.g., SCLG) will be reflected in the team roster, though project team members are not serving as “representatives.” Rather, the Project Track B team members shall all be engaged in committee fashion, with each bearing responsibility for advancing the full project charge on behalf of the UC Libraries, not just as it relates to their home location and/or the groups/committees in which they may hold membership.

Roster

- Miranda Bennett, CDL and SCLG
- Michael Ladisch, UC Davis
- Erik Mitchell, UC San Diego, CoUL (co-chair)
- Scott Stone, UC Irvine
- Allegra Swift, UC San Diego
- Lidia Uziel, UC Santa Barbara and SCLG (co-chair)
- Erich van Rijn, UC Press

Time commitment

The Project Track B team will commence in fall 2024 and their work on objective 1 is expected to take 6 months to complete, inclusive of presentation to and feedback by CoUL. The track B project team may form subteam(s) and/or divide tasks internally. The full team will likely meet bi-weekly (e.g., 1-hour meeting every two weeks), though meeting frequency may change throughout this project based on the tasks at hand. The expected time commitment, including meetings, is 3-5 hours per week, depending on research, analysis and consultation needs. The total time commitment is not expected to surpass on average 0.1 FTE (10% time commitment) per team member.

While the specifics of the objective 2 charge still need to be determined, based on objective 1 work and outputs, it is anticipated that this final stage of work will take approximately 2-3 months to complete. The aim is for the Project Track B landscape analysis and recommendations to inform investment and other decision-making for FY 2025/26 and beyond.

Reporting line

This project is charged by CoUL and the Project Track B team will report to CoUL. To support communication and ensure the team receives timely guidance, CoUL member(s) will be designated as a liaison for the Track B team. The CoUL liaison(s) will also support engagement and communication with applicable systemwide governance groups, including the UC Office of the President (specific to augmentation funds), UC provost-charged Systemwide Library and Scholarly Communication Advisory Committee (SLASIAC) and Academic Senate University Committee on Library and Scholarly Communication (UCOLASC).

Related groups

Existing UC Libraries and related groups will need to be consulted with by the Project Track B team, including:

- Project Transform Working Group
- SCLG and the Scholarly Transformation Advice and Review (STAR) Team
- Office of Scholarly Communication
- Scholarly Communication Common Knowledge Group