Project TRANSFORM: Overview and charges

Introduction

In September 2017, the Council of University Librarians (CoUL) established an Offsetting Planning and Implementation Task Force, chaired by the California Digital Library (CDL) and reporting to the UC Libraries Shared Content Leadership Group (SCLG). The task force was charged to advise CoUL on the development and implementation of potential Open Access Offsetting pilot agreements with publishers with whom UC had 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, 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 publishing, and support CDL in the negotiation. CoUL provided oversight and final approval due to the extraordinary nature of the effort and its significant impact on the University community.

The Elsevier-specific Task Force quickly evolved into an ongoing working group with broad responsibility for advancing open access through publisher negotiations, assuming the work held by the Offsetting Planning and Implementation Task Force and eventually being renamed "Project Transform." Between 2018 and July 2024, Project Transform led negotiations with UC's top publishers and built a UC-wide coalition to support advances in Open Access and expanded author publishing rights. In early 2024, Project Transform began exploring additional OA models including a systemwide OA monograph fund, a systemwide non-transformative agreement journal fund and pathways to supporting the implementation of the White House OSTP Nelson memo. Throughout this period the Project Transform Working Group (PTWG) membership changed, including the retirement of long-standing PTWG co-chair Jeff MacKie Mason in July 2024.

This document provides an updated charge for PTWG to more accurately reflect the groups current work in a changing open access landscape and the current focus of the Council of University Librarians (CoUL).

Project Transform

The objective for Project Transform is to create opportunities for all UC authors (including students) to maximize the impact of their scholarship by publishing using open licenses. This work includes (1) advancing open access through publisher negotiations based on a variety of business models, including for journals and OA monograph (2) advancing awareness and adoption of key OA principles including author rights and researcher rights (3) assessing the intersection of federal public access policy and UC author support and (4) bending the curve on cost for reading and publishing for the UC Libraries as well as UC authors.

The governance structure for Project Transform employs UC Libraries Advisory Structure (UCLAS) best practices as developed through SILS and other systemwide projects.

Project Transform Working Group Charge

The Project Transform Working Group (PTWG) is charged to advance UC's OA strategy on the pathway of publisher negotiations for systemwide agreements; guide and support CDL throughout negotiations; provide

general oversight for any open access publisher agreements that are adopted. 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 for new agreements and renewals of existing open access contracts include:

- Develop specific negotiation and OA goals, targets, and acceptable fallback outcomes for potential agreements and for cases in which an agreement may not be reached
- Advise CDL on publishers to engage with in negotiations, and advise on context (e.g., engaging with other universities, defining the nature of the open access business 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.
- Assess UC's progress in advancing its OA goals through publisher negotiations.
- 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, for instance through the OA Forward initiative and the Berlin Open Access events.

Coordination

A PTWG Steering Committee, comprised of the Executive Director of the California Digital Library and the co-Chairs of PTWG and PTNT, coordinates the work of PTWG.

To ensure effective collaboration between SCLG and PTWG, a shared PTWG/SCLG Shared Steering Committee (SSC) composed of the PTWG-SC as well as the chair and vice-chair of SCLG holds responsibility for sharing information and coordinating agendas and needed consultations on topics of interest to both PTWG and SCLG. Additionally, this group discusses and makes decisions on where open access work should be handled (i.e. PTWG or SCLG). The chair of the PTWG/SCLG steering committee is the CDL Director of Shared Collections. On an annual basis this group will also be responsible for developing augmentation fund use plans for CoUL's review and approval. The SSC will work with PTWG and SCLG members as needed to develop and refine these plans.

Communications

PTWG Communications are supported through a collaborative effort managed by CDL's OA Publisher Agreements Manager (Mark Clemente) and directed by PTWG using the following guidelines. When needed PTWG will engage CoUL members to request additional resources for high-stakes or complex communication efforts.

1. General content creation relating to UC's open access agreements will be managed by CDL's OA Publisher Agreements Manager (Mark Clemente). The content managed in this way includes blog posts, messages to campus communication liaisons and transformative agreement liaisons, website documentation about UC's agreements, email templates and other targeted outreach assets, and press releases signifying individual agreement announcements.

   While the OA Publisher Agreements Manager will have general responsibility for developing and finalizing such content, they may consult with campus librarians as needed to review such materials, particularly through the Transformative Agreements Implementation Group (TAIG). A communications professional is included in TAIG to provide support as needed. The Publisher Agreements Manager is already a member of PTWG and would now be responsible for connecting with PTWG about communications efforts as needed.

2. For high-stakes or complex communication efforts, campus-level communication professionals in addition to the communications professional on TAIG will be consulted in an ad hoc fashion to develop communication plans, craft and refine messaging, and build assets as needed PTWG SC and the OA Publisher Agreements Manager will consult to determine when an upcoming outreach effort rises to the level of consulting with communications professionals, and PTWG SC will consult with CoUL to identify available candidates for staff to manage these ad hoc projects.

Duration

The working group is charged as a standing group. The charge will be reviewed every three years, to affirm continued CoUL support (see Reporting Line), unless there is significant cause to carry out this assessment sooner.

Reporting Line

The working group reports directly to CoUL and provides regular updates 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 efforts and responsibilities of the Project Transform Working Group (and affiliated subgroups and teams) are high-engagement and time-sensitive. All group members are expected to make active contributions and represent the interests of the University. The working group membership will consist of designated members of CoUL, CDL licensing staff, SCLG, and campus libraries, the vice-chair, chair and past chair of UCOLASC and other

invited UC faculty. 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.

Voting or non-voting?	Member category	Name	UC Location, if applicable
Voting member	CoUL	Mitchell, Erik* (PTWG / PTNT Co-Chair)	UCSD
Voting member	CoUL	CDL AVP/ED*	CDL
Voting member	CoUL	Scott, Kerry	UCSC
Voting member	SCLG	SCLG Chair*	
Voting member	SCLG	SCLG Vice Chair	
Voting member	Faculty representative	UCOLASC Chair*	
Voting member	Faculty representative	UCOLASC Vice Chair	
Voting member	Faculty representative	UCOLASC Past Chair	
Voting member	Faculty representative	Schneider, Rich* (UCOLASC Past Chair at-large)	UCSF
Non-voting member	CDL	Bennett, Miranda* (PTWG Co-Chair)	CDL
Non-voting member	CDL	Clemente, Mark	CDL
Non-voting member	CDL	Willmott, Mat* (PTNT Co-Chair)	CDL
Non-voting member	CDL	Yonehiro, Jade	CDL

*PTWG membership, including voting and non-voting members, as of FY 25-26. The * denotes PTNT membership.*

PTWG is non-representative. To ensure operational effectiveness, PTWG co-chairs are empowered to actively steward the overall composition of the group in alignment with the responsibilities and terms outlined in this charge.

The following principles are applied to all PTWG members/appointments:

1) Appointments to PTWG are guided by background and expertise (not purely a volunteer-basis) and require endorsement of the PTWG co-chairs as well as CoUL;

2) Appointed members are in alignment with PTWG's charge to "advance UC's OA strategy on the pathway of publisher negotiations for systemwide agreements;"
3) Appointments to PTWG are open-ended to ensure the group benefits from the growing experience of members both with regards to process and the minutiae of negotiations;
4) As with other groups, appointments to PTWG should proceed with consideration of other systemwide roles that members are serving in.

Project Transform Negotiating Team Charge

The Project TRANSFORM Negotiating Team is charged with engaging in negotiations with the guidance of PTWG and CoUL. PTNT may include individuals outside of PTWG/PTNT as needed to support negotiations (i.e. experts to facilitate conversations on commercial and non-commercial topics)

PTNT's responsibilities include:

- Develop and advance specific negotiation strategies and tactics that are in alignment with the PTWG and CoUL's identified OA goals
- Coordinate and conduct negotiations with publishers
- Consult with stakeholders as needed to inform negotiation strategies and tactics
- Report out to PTWG and CoUL as needed

Duration

The working group is charged as a standing sub-group of PTWG

Reporting Line

PTNT reports directly to PTWG

Membership

PTNT is comprised of selected members of PTWG based on role:

- PTWG CoUL Liaison (Co-Chair)
- CDL Assistant Director for Open Access Agreements (Co-Chair)
- CDL Director of Shared Collections
- California Digital Library Executive Director
- UCOLASC Chair
- SCLG Chair
- Additional faculty may be appointed to PTNT based on needed expertise

Transformative Agreements Implementation Group Charge

The Transformative Agreements Implementation Group is charged to advance the success of open access transformation at UC by advising the Project TRANSFORM Working Group (PTWG) - and by extension, SCLG and CoUL - on the development and implementation of transformative open access agreements with publishers with whom UC has a systemwide or shared license, and to coordinate systemwide implementation efforts for all such agreements that are piloted at UC.

The Implementation Group will:

- Review and/or participate in the development of transformative agreement proposals under consideration by PTWG and provide relevant input on next steps, with particular reference to their feasibility and implementation requirements;
- Present implementation plans and procedural infrastructure to PTWG and SCLG for review and endorsement'
- Advise CDL on policy-related implementation details; and work with publishers, PTWG and UC campuses to develop necessary procedural infrastructure (e.g. communication plans, implementation strategies) at the systemwide and local level for any new agreements that are undertaken;
- In conjunction with CDL and at the direction of PTWG, advise and interpret appropriate assessments, both to define and measure the success of agreements and to gather other valuable insights relating to author behavior, financial impact, and other characteristics; and
- Coordinate with appropriate staff across the UC libraries to determine how to address specific issues raised by PTWG relating to the implementation and promotion of transformative agreements at UC.
- Support communications efforts as managed under the Project Transform Communications approach

Reporting Line

The Implementation Group will report to the Project TRANSFORM Working Group and will consult with SCLG and campus stakeholders as needed in the course of its work.

Deliverables

Implementation Group deliverables will include:

- Prepare and present implementation plans to PTWG and SCLG for review and consideration, and at its direction, to CoUL for final approval
- Working in conjunction with the PTWG communications team, develop communications and outreach to support campus libraries and authors in agreement implementation
- Provide campus implementation liaisons with direction to ensure appropriate distribution of information regarding agreement implementation
- Provide regular progress reports to PTWG, and as requested, to CoUL
- In conjunction with CDL and at the direction of PTWG, advise and coordinate feedback on assessment plans, outcomes, and reporting infrastructure
- Establish subgroups as needed to support various aspects of implementation

Duration

The appointment term of the Implementation Group is contingent on the direction of PTWG and the duration of UC's transformative agreement terms.

Membership

The Implementation Group membership will consist of library staff from CDL and campus libraries who interface and engage with authors about transformative agreements and the publishing process, including but not limited to campus transformative agreement liaisons and library staff with leadership roles in scholarly communication. The group may form teams and subgroups to carry out or support various activities and may engage additional UC library staff to participate on such teams. Changes in membership, including the identification of new members and roles, will be done in conjunction with PTWG and at its direction.

TAIG-L@listserv.ucop.edu

Mark Clemente, CDL (convener)
Mat Willmott, CDL
Tim Vollmer, UC Berkeley
Michael Ladisch, UC Davis
Lidia Uziel, UC Santa Barbara
Anneliese Taylor, UC San Francisco
Kerry Scott, UC Santa Cruz
Mitchell Brown, UCI
Marty Brennan, UCLA
Nikki Kolupailo, UC San Diego - Communications liaison

Appendix A: 2020 Project TRANSFORM charge and PTWG roster

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

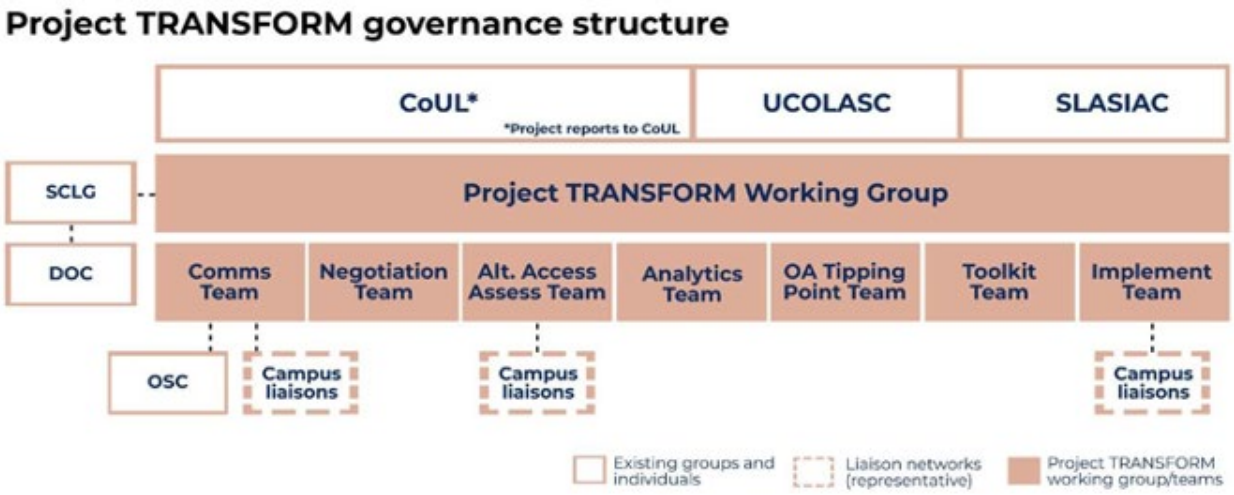
fallback outcomes before any agreements are struck. The working group will also consult regularly with SCLG via its shared membership.

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[1]
- Staff to working group:
- Nga Ong (CDL, Collections Assessment Analyst)
- Mathew Willmott (CDL, Data Analyst)
- Danielle Westbrook (CDL, System Analyst)



Project Transform governance structure (July 2019).

[1] 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.