

Transitioning to Open Access: Opportunities and challenges for Libraries, Institutions, Publishers and Authors

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Council of Australian University Librarians

Agenda

- Introducing CAUL
- Open Access and CAUL
- CAUL Procurement and Open Access
- Challenges and Opportunities

Introducing CAUL

The Council of Australian University Librarians (CAUL) is the peak leadership organisation for university libraries in Australia and New Zealand.

Represents the interests of 39 Australian and 8 New Zealand university libraries

CAUL Procurement Service provides consortium agreements to all 47 Universities and 13 "external" members

110 agreements from 90+ publishers

21 Open Access agreements

Introducing CAUL

Our Staff

Jane Angel, Executive Director
Kate Davis, Director, Strategy & Analytics
Angus Cook, Director, Content Procurement
Arthur Smith, Associate Director, Content Procurement
Alisha Ashley, Finance & Procurement Officer
Cicy Zheng, Engagement & Administration Officer
Rani McLennan, OER Collective Project Officer (Part-time)





CONNECTING THE DOTS

20+ years of open in Australia

Peak / advocacy body

Government

Funder

Event

Institution

There have been open research initiatives in Australia since the very beginning of global discussions on open access to research publications in the early 2000s. The initiatives in Australia have come from a range of actors. including the federal government, funders, institutions, and peak and advocacy bodies. This arrow illustrates some of the key initiatives over the past 20 years. In 2020, the Council of Australian University Librarians (CAUL) and the Australasian Open Access Strategy Group (AOASG, now Open Access Australasia) facilitated a national discussion on open research. In 2021, there is increased momentum towards open access to research publications driven by work from the Office of the Chief Scientist, Dr Cathy Foley.



in Brisbane Productivity Commission Report on Intellectual Property

Arrangements recommended all levels of government "implement 2016 an open access policy for publicly funded research".

Open Repositories

Conference held

CAUL Statement on Open Scholarship updated

2019





Version 2 | 27 September 2021

2019

2018

Government response to Productivity Commission report

Australian Research Data

Commons established

as a provider of digital

research infrastructure.

2017

Accepted the report but did not act on it.

2017

2017

Curtin Open Knowledge

evaluation of open knowledge

Initiative established

A hub for analysis and

in higher education.



supports the development of an open science strategy for Australia.

2021 **CAUL & AOASG**

joint statement on Plan S welcoming the plan's aspirations

2021 on open access Dr Cathy Foley noted

that open access was one of her four pillars of work.



information

Australian National University (ANU) repository established

Australia's first institutional repository.

2000

Australian **National Data** Service established

with the aim of making Australia's 'data assets more valuable*.

2008

through the ARROW.

Federal investment in university repositories

ASHER and RUBRIC programs.

2006 Queensland University of Technology (QUT)

First university in the world with institution wide OA mandate.

2004

Open Access Policy

2003

Brisbane Declaration on Open Access published

2008

Creative Commons Australia launched

2005

ANU Press established Australia's first open access university press.

CAUL Statement on Open Scholarship published

2010

OAK List published

2008

An online, searchable database of publishers' agreements and open access policies developed by OUT researchers.

> **Australian Research** Council (ARC) Open **Access Policy**

Major Australian funder requires OA after a 12 month embargo for research outputs produced from research funded by the ARC.

Open Access & Research Conference

Knowledge Unlatched

2013

held in Brisbane

launched at the conference.

2013

CAUL Statement on Open Scholarship

updated data.gov.au

2014

National Health & Medical

(NHMRC) Open Access

Australia's other major funder

embargo for research outputs

requires OA after 12 month

produced from research

funded by the NHMRC.

Research Council

Policy

launched allowing access to anonymised public data published by federal. state & local government agencies.

2013

AOASG formed

2012

Supported initially by six universities to advocate for open access across Australia.

National Research Infrastructure Roadmap published

2015

F.A.I.R. Policy Statement for access to Australia's

research outputs issued by a Working Group convened by the Universities Australia Deputy Vice Chancellors (Research) Committee.

2016

Australian Government Funding Arrangements for non-NHMRC Research

Inquiry recommends strategic approach to open research.

2020

First two **CAUL-negotiated** transformative agreements

with Microbiology Society & Portland Press come into effect.

2019

2018

2018

CAUL & AOASG statement prior to federal election

advocating for a strategic approach to open research.

Funder open access policies strengthened By 2018, both ARC &

NHMRC OA policies include Creative Commons licensing. 2021

First transformative agreement with an Australian publisher - CSIRO negotiated by CAUL

One of five new transformative agreements for 2021.

2020

2021

CAUL & AOASG open research consultations

National & international consultations on a potential policy approach to open research in Australia.

AOASG becomes Open Access Australasia

Now comprised of 28 universities across Australia & New Zealand & five affiliate organisations.

Please attribute CAUL 2020 - 2021

2011 - 2019

2000 - 2010

OCTOBER 2019

First transformative agreement signed with the UK-based Microbiology Society.

LATE 2020

CAUL's Fast Track to Open Access Toolkit published

Based on the SPA-OPS Transformative Agreement Toolkit and amended based on the pilot CAUL agreements.

FEBRUARY 2021

CAUL Position on the End Goal of Open Access to Journal Articles published

CAUL's rationale & strategy to achieve the end goal of universal, immediate & perpetual open access to the version of record.

AUGUST 2021

Read & Publish Agreements Negotiated by CAUL guide

CAUL published a guide containing kev information about CAUL-negotiated R&P agreements including information for libraries & authors.

MAY 2022

Read & Publish publishing dashboards

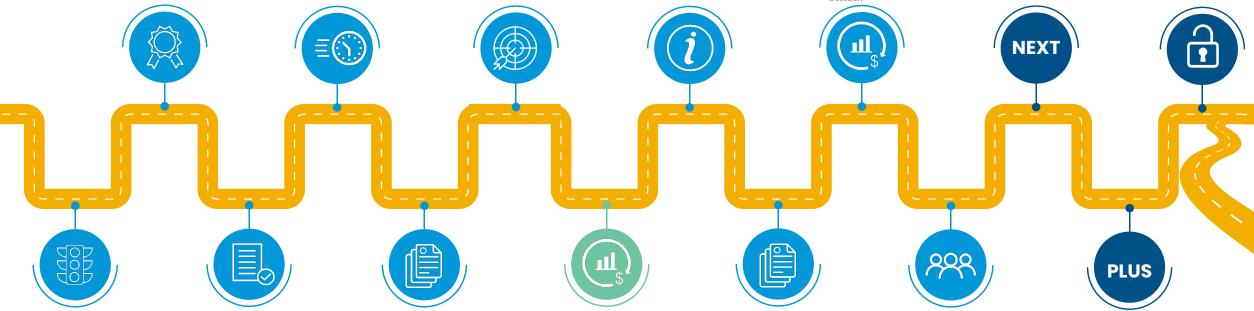
CAUL begins providing access to data about publishing under capped agreements via Tableau Online dashboards. Project to scale up reporting commences October

JANUARY 2023+

Five new Read & Publish gareements expected in 2023

Two with large publishers and three with mid-sized publishers.





MARCH 2019

Green light for transformative agreements

CAUL Members indicated support for CAUL to pursue transformative agreements

JANUARY 2020

First two transformative agreements commenced

CAUL-negotiated agreements with Microbiology Society and Portland Press commence.

JANUARY 2021

Five additional transformative agreements commenced

including the first with an Australian publisher, CSIRO.

MAY 2021

Return on investment project

Early indications of strong financial ROI plus increased downloads, Altmetrics, & citations for articles published under CAUL transformative agreements.

JANUARY 2022

Four new gareements commenced

with Wiley, Springer Nature, Oxford University Press & Cambridge, CAUL begins managing OA publishing approvals for the three capped agreements.

MID 2022

Transformative Agreements **Implementation Community of Practice** established

A forum for discussion of issues and sharing practice related to the implementation of transformative and Read & Publish agreements.

JANUARY 2023+

CAUL's strategic engagement and advocacy continues

Strategic engagement & advocacy wor alongside targeted projects keeps us focused on the broader open research agenda.

THE ROAD TO OPEN THROUGH STRATEGIC PROCUREMENT

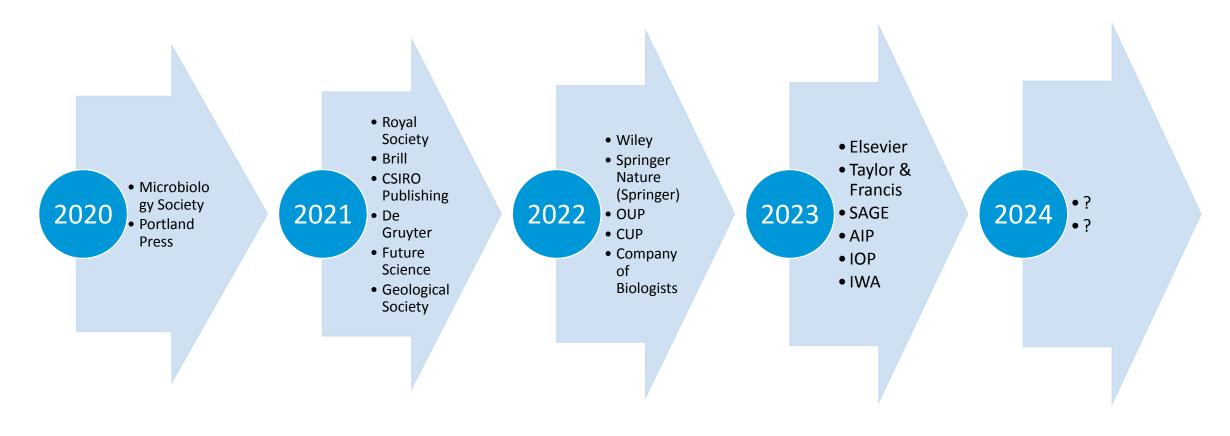
The Council of Australian University Librarians

Version 3 | 24 October 2022

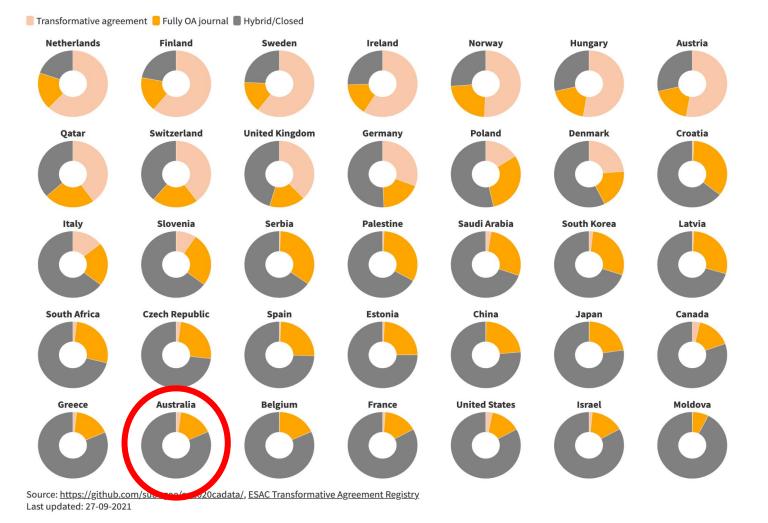


CAUL and Open Access

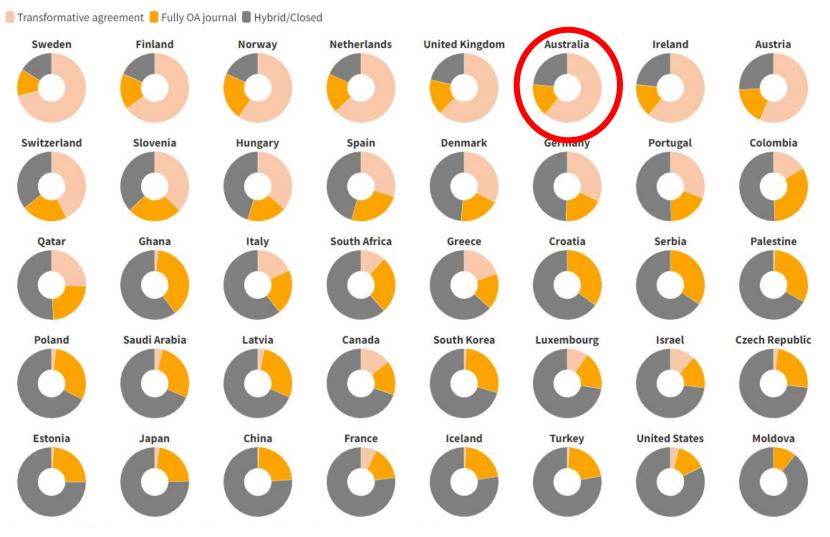
Open Access Agreements introduced since 2020:



September 2021



February 2023



Benefits of Open Access Agreements

- Increased access to scholarly content
- Increased citations and altmetrics
- Increased downloads

Plus:

- Opportunity for libraries to be more engaged in scholarly communication
- Opportunity to achieve more value from existing agreements
- Institutional savings on previous APC spend

- Funded by repurposing library agreements from subscription to "read and publish".
- Cost Neutral on subscription costs
- "Opt-in" not "all-in"
 - "Read Only" agreements available and run concurrently to R&P
- Uncapped preferred
- Focus has been on hybrid journals
- CAUL Provided Infrastructure
 - LibGuides
 - Tableau Article Reporting
 - Transformative Agreement Implementation Community of Practice

95%

Typical participation rate of University Libraries in large CAUL OA Agreements

READ & PUBLISH AGREEMENTS Key information for library staff



Will CAUL be updating the Read & Publish guide? When will this happen?

Yes, a page about each agreement will be added to the R&P guide as each new agreement is finalised. CAUL National Office will be working on this throughout late October and November.

What additional support will CAUL provide for implementation of the agreements? What is the timeline for this?

CAUL National Office is working on additional infographics and other content for the R&P guide to support you with communicating within your institution about the R&P agreements. This work will be ongoing throughout the rest of the year. The priority will be developing a page on the LibGuide for each agreement with other resources to follow.

What titles are included for publishing in each agreement?

Title lists will be made available on CAUL's R&P guide as each agreement is added. This will be done progressively throughout October and November. In the meantime, Content Coordinators can access a full title list attached to the agreement section in ContentManager.

How will researchers know what titles are included

Is there a limit on the number of articles that can be published open access under the agreements?

Most CAUL-negotiated Read & Publish agreements provide unlimited publishing, with the exception of three of the new agreements expected for 2022.

How many articles can researchers at my institution publish under the agreements?

For capped agreements, a pool of articles is allocated to the consortium, not to individual institutions.

Will publishing patterns across institutions be monitored?

CAUL National Office will monitor publishing and report on patterns to participating institutions.

Is there a risk that some institutions (particularly larger institutions) will use more than their fair share of the quota?

It is not anticipated that these agreements will change publishing practices in terms of the proportion of Australian and New Zealand publications that come from each institution. It is expected that academics will continue to choose to publish in the venues that best suit their research, informed by disciplinary norms and local requirements.

vill approve ticles to bligation?



Version 1 | 22 Oct

COMMUNICATING WITH RESEARCHERS

What key messages should we share with researchers?

The following key messages may be useful as you craft communications with researchers:

- The library is repurposing its expenditure on the exist subscription to include both reading and publishing.
- The library participates in Read & Publish agreem negotiated and facilitated by the Council of Austr University Librarians (CAUL) Procurement Servic CAUL-negotiated Read & Publish agreements allowers researchers to publish direct to open access with no transactional article processing charges (ie at no access for you).
- If you have an article accepted for publication in a publisher's name] journal, you may be eligible to pryour article open access at no additional cost.
- There is no need to change your publishing practice.
 Publish where you would normally publish, and you alerted of the option to publish open access on an if your article is eligible.

MORE INFORMATION



7,132

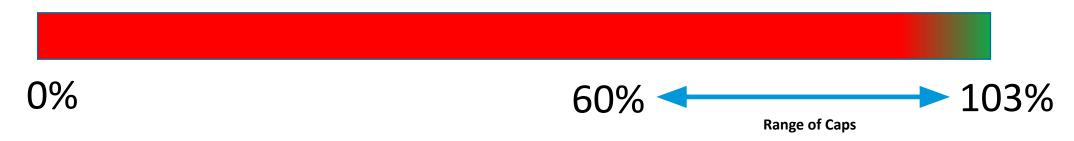
No. of Journal titles included in CAUL OA
Agreements

22,000+

Anticipated number of journal articles expected to be published

Capped Agreements at CAUL

- Cap of the previous publishing amount by article volume
- For publishers reduces "risk" where publication value exceeds subscription value
- Uncapped agreements much preferred (e.g Cambridge, SAGE)
- Selected Title List introduced for T&F and Elsevier to extend the cap for a full 12 month period.
- Articles in capped agreements need to be approved by CAUL
- 6 Agreements are "capped" (Elsevier, T&F, Wiley, Springer Nature, OUP and AIP)



How are we progressing

- ✓ Negotiate and commence Open Access Agreements with largest publishers.
- ✓ Implement infrastructure to support agreements
- ✓ Implement workflows to support article approvals
- Progress agreements to full OA ("Transformative, including all Gold publishing").
- Develop more comprehensive agreement assessment tools and processes for new and renewal agreements
- Commence mid-agreement reviews (Springer, Wiley, Elsevier)
- Continual improvement Approval workflows, communication, reports
- Improve transparency on agreements and pricing
- ☐ Improve equity locally (price redistributions) and internationally (impoverished nations)
- Negotiate new agreements (IEEE, ACS, Emerald, Nature, BMJ et al).
- Continually negotiate agreement aspects (Licence to publish, page charges, article types, rights retention)
- ☐ Provide toolkits for libraries to negotiate their own agreements with small publishers
- ☐ Support libraries in advocate for funding to increase publishing support (Gold, Pure OA).

Policy

- Institutional Policy
- ARC Policy
- CAUL: CAUL position on the end goal of Open Access to journal articles:

End goal of open access to journal articles:

Universal, immediate and perpetual open access to the version of record

- NHMRC:
 - September 2022
 - Route 1: "Version of Record open access (journal-based open access)"
 - Via APC or Read & Publish Agreement
 - Route 2: "Author Accepted Manuscript open access (repository-based open access)"

Challenges

- Capped agreements
- Author eligibility in capped agreements
- Cost increases on library spend when introducing publishing costs
- Move to pay for <u>publishing only</u> vs publishers still providing much paywalled content, articles, plus non article content (editorial, letters, features)
- OA new to library acquisition staff
- Regional differences
 - Local publisher staff are new to OA agreements
 - Overseas staff assume funding models are the same as Europe
- Constantly changing title lists
- Increased workload for Libraries and consortia

Questions



Further correspondence:

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