



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

February 28, 2023

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Director, Content Procurement

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)

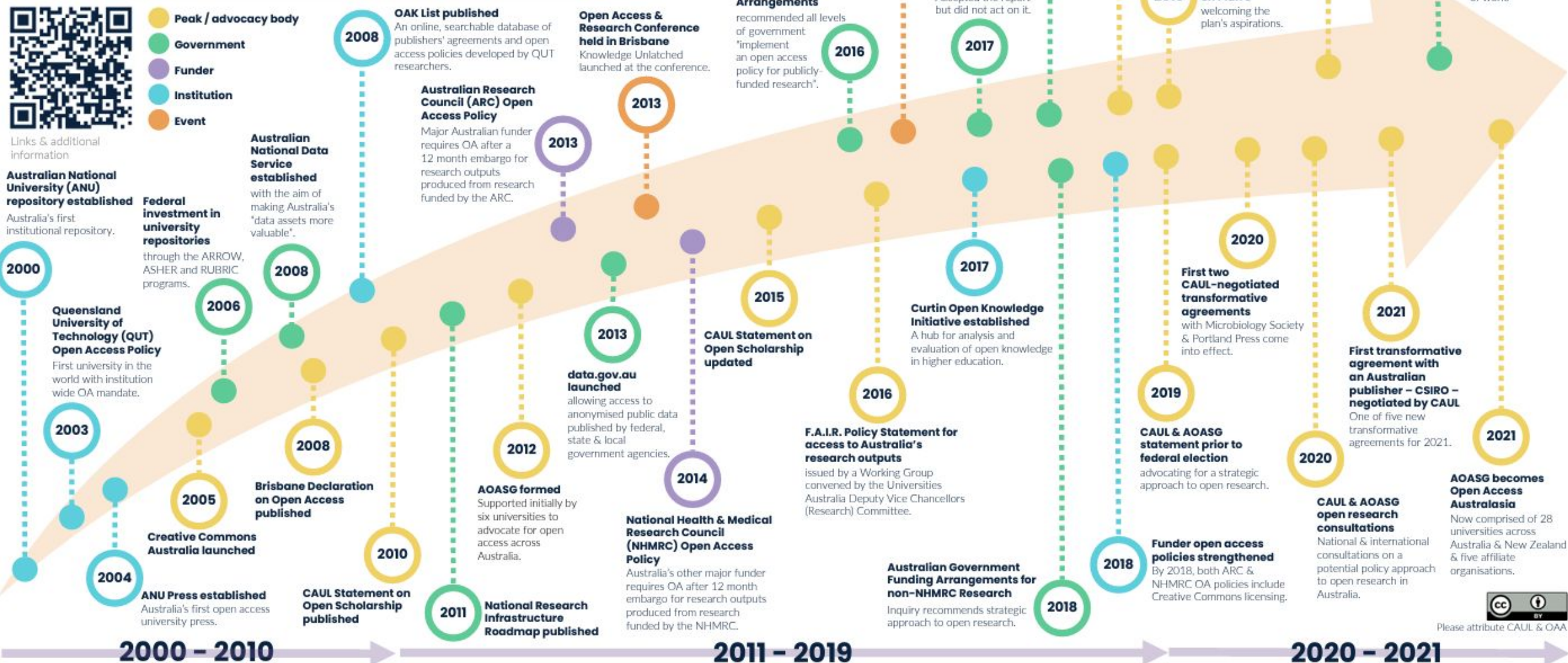


Photos (left to right) Jane Angel, Kate Davis, Angus Cook, Arthur Smith, Alisha Ashley, Cicy Zheng, Rani McLennan

CONNECTING THE DOTS

20+ years of open in Australia

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.



**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 key 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 agreements 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 agreements 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 work alongside targeted projects keeps us focused on the broader open research agenda.

THE ROAD TO OPEN THROUGH STRATEGIC PROCUREMENT

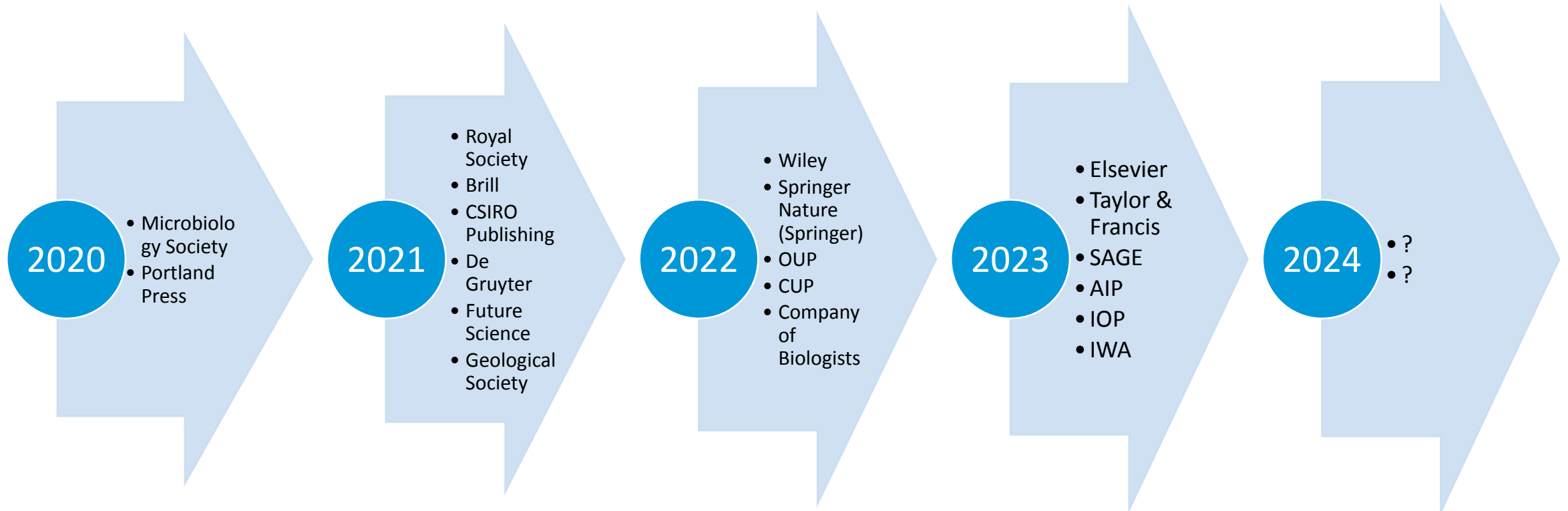
The Council of Australian University Librarians

Version 3 | 24 October 2022

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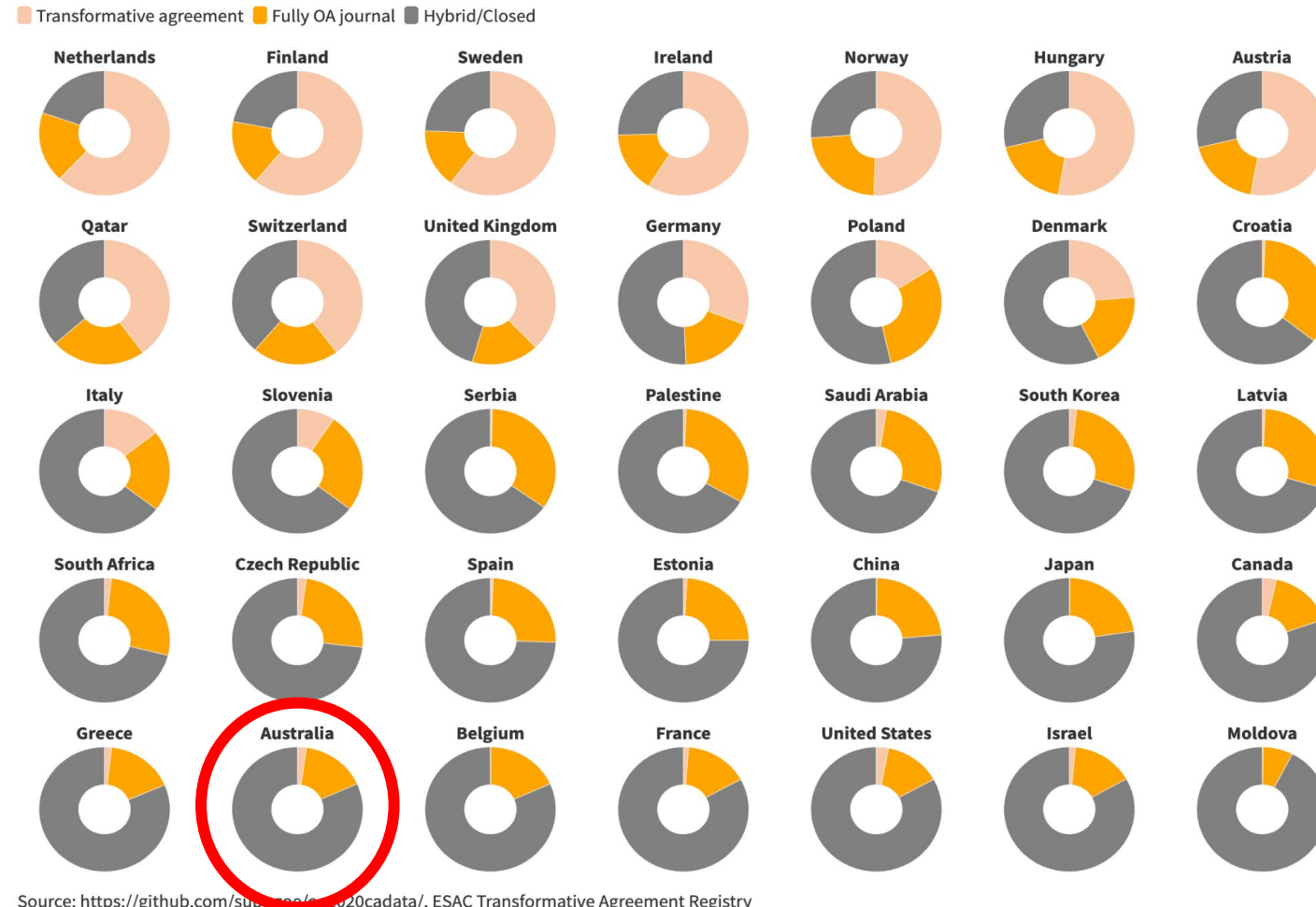
CAUL and Open Access

Open Access Agreements introduced since 2020:



Open Access Agreements at CAUL

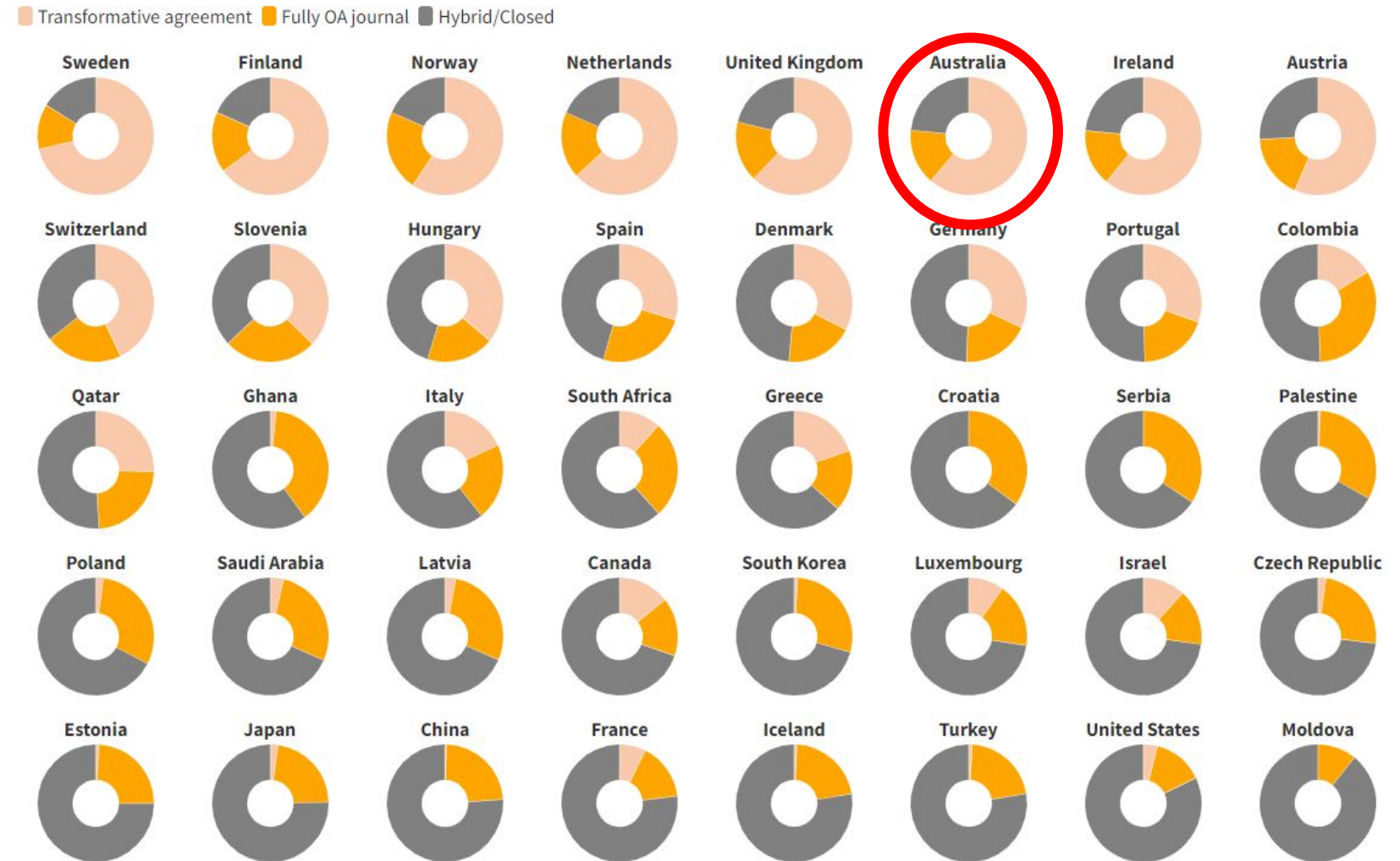
September
2021



Source: <https://github.com/sul-staff/2020cadata/>, ESAC Transformative Agreement Registry
Last updated: 27-09-2021

Open Access Agreements at CAUL

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

Open Access Agreements at CAUL

- 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

Open Access Agreements at CAUL

READ & PUBLISH AGREEMENTS

Key information for library staff



Version 1 | 22 Oct

FREQUENTLY ASKED QUESTIONS

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 in each agreement?

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.

Will approval be required for articles for publication?

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

MORE INFORMATION



Open Access Agreements at CAUL

7,132

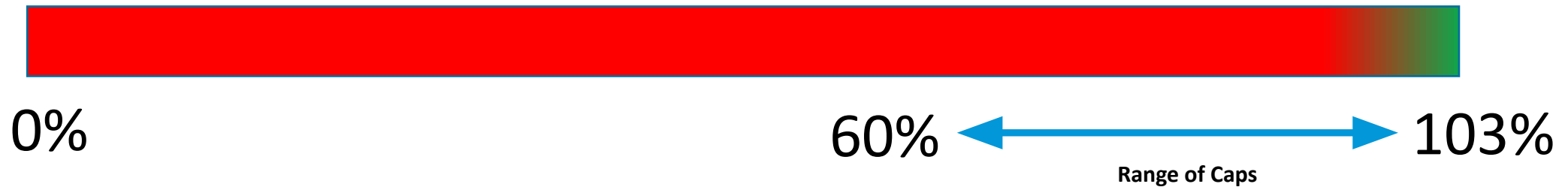
No. of Journal titles included in CAUL OA
Agreements

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

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- ☐ 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 publishing only 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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