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July 18, 2017

**JANET NAPOLITANO, PRESIDENT**  
**UNIVERSITY OF CALIFORNIA**

**Re: Support for the University's Open Access Mission**

Dear Janet:

The past year has seen significant progress in our commitment to and fulfillment of the University's Open Access mission, "providing long-term societal benefits through transmitting advanced knowledge ... and functioning as an active working repository of organized knowledge" (<http://ucop.edu/uc-mission/>). In a recent letter to Academic Council, the University Committee on Library and Scholarly Communication (UCOLASC) has drawn our attention to three key areas of progress in this mission. Council endorsed these items at its June 28, 2017 meeting.

(1) A joint statement from the Office of Scholarly Communication and the UC Libraries reasserting our commitment to free and open information, scholarship, and knowledge exchange in the face of potential political interference. The statement's key principle is that access to information is an essential public good. It goes on to say that the unfettered exchange and careful preservation of information are fundamental to democracy and intellectual freedom, and that the participation of UC faculty and staff in the University's open access policies is fundamental to ensuring public access to scholarly data and research. Both UCOLASC and Academic Council endorse this statement as a signal of our continued collective commitment to this core mission of the University and to validate our support for continuing efforts to make the products of UC research as freely and as openly available as possible.

(2) An update on the status of the Academic Senate's Open Access policy for faculty publications approved by the Academic Senate in 2013. After three years of full implementation across all ten campuses, our Open Access policy's twin goals of making UC research freely available around the world and making policy compliance as convenient for faculty as possible have been met; the policy now serves as a model for many other institutions looking to implement similar policies. The support infrastructure that has made this all possible is poised to integrate with other UC campus systems, further raise participation levels, and facilitate implementation of the Presidential Open Access policy approved in 2015 that applies the provisions of the Senate policy to non-Senate UC authors. Progress will halt, however, if the University does not commit ongoing funds for the support infrastructure. These costs have been absorbed into the California Digital Library's budget

in 2016-2017; without further, sustained funding from UCOP, our license for the critical publication management system tool will lapse at the end of January 2018.

(3) Three UC campuses (Berkeley, San Francisco, and Davis) have thus far signed on to an international effort, dubbed OA2020, that seeks to establish universal open access for scholarly journal publications and convert the dominant subscription-based scholarly journal publishing model to Open Access. As the nation's largest public research institution and a source of two percent of the world's research literature, the University of California is uniquely positioned to further this goal for the benefit of people all over the world who currently do not have access to the vast majority of scholarly research articles. OA2020 is consistent with the Senate's Open Access Policy and also aligns with UC's larger mission to conduct research in the public interest and to serve society by "transmitting advanced knowledge, discovering new knowledge, and functioning as an active working repository of organized knowledge." UCOLASC and Academic Council support all efforts by UC campuses to promote Open Access to scholarly research, both in the service of the University's Open Access mission and in the service of similarly-oriented global missions such as OA2020.

We hope these statements will have value as you represent the University in conversations about open access and the free exchange of scholarly information. Please do not hesitate to contact me if you have additional questions.

Sincerely,

A handwritten signature in blue ink that reads "Jim Chalfant". The signature is fluid and cursive, with a long horizontal stroke extending to the right.

Jim Chalfant, Chair  
Academic Council

Encl

Cc: UCOLASC  
Provost Dorr  
Academic Council  
Senate Director Baxter  
Senate Executive Directors



UNIVERSITY COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION  
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June 13, 2017

JIM CHALFANT, CHAIR  
ACADEMIC COUNCIL

**Re: Future of the Open Access Mission of the University of California**

Dear Jim,

On behalf of the University Committee on Library and Scholarly Communication (UCOLASC), I am writing to bring three items to the attention of Academic Council. These three items concern Open Access, “the free, immediate, online availability of research articles coupled with the rights to use these articles fully in the digital environment” (<https://sparcopen.org/open-access/>). We believe that a commitment to Open Access is central to UC’s mission of “providing long-term societal benefits through transmitting advanced knowledge ... and functioning as an active working repository of organized knowledge” (<http://ucop.edu/uc-mission/>).

1. Commitment to Free and Open Information, Scholarship, and Knowledge Exchange

In March of this year, the UC Office of Scholarly Communication (OSC) and the UC Libraries jointly issued a Statement on Commitment to Free and Open Information, Scholarship, and Knowledge Exchange, “in response to recent actions by the new federal administration and in order to address resulting concerns about continued open access to and preservation of information, scholarship, and knowledge.” The full text of the statement is in [Appendix A](#), and is also available at <https://goo.gl/0VVV2E>.

The statement reminds us of the policies and services already in place at UC to support this commitment, and promises to “identify specific actions to be taken to ensure that research data, publications, and scholarship remain accessible and discoverable ... to make certain that these materials remain shielded from inappropriate political influence or suppression.”

**Action item:** UCOLASC endorses this statement and respectfully requests that Academic Council also consider endorsing it on behalf of all Academic Senate faculty. Such an endorsement would signal our continued collective commitment to the mission of the University and would validate support for our continuing efforts to make the products of UC research as freely and openly available as possible.

## 2. Review of the Academic Senate Open Access Policy

At its May 17, 2017 meeting, UCOLASC initiated the third year review process of the Academic Senate Open Access Policy (<https://goo.gl/4w1J1h>; henceforth, “the policy”) that was recommended by Academic Council when it voted to approve the policy on July 24, 2013. The policy grants a non-exclusive license to the University to make scholarly articles authored by Academic Senate faculty freely available to the public, and commits the faculty “to helping the University obtain copies of the articles ... for inclusion in an open access repository.”

The Academic Council vote followed two years of policy development within UCOLASC and policy review by Academic Senate committees systemwide. Then-Chair of Academic Council Robert L. Powell announced the policy in a memo to Provost Aimée Dorr (<https://goo.gl/6JnjJg>), indicating that the implementation of the policy would likely raise questions that would need to be addressed as its implementation rolled forward:

“I anticipate that this experiment will generate many questions and may have some unanticipated consequences. On behalf of my successors, I look forward to working with you and the CDL to continue the joint project of implementing and refining an open access policy for UC that serves all faculty as well as the larger research mission. We look forward to seeing this policy succeed, and welcome cooperation with the Office of the President in making open access work for faculty, the University, our research sponsors, and the public.”

In the interest of keeping a close eye on how the policy might serve the “faculty as well as the larger research mission,” policy framers included provisions to review its progress. Initially, this review was of the policy implementation itself. The California Digital Library (CDL) and the UC Libraries were asked to provide two reports to UCOLASC, each subsequently forwarded to Academic Council, indicating the plans during the first year for supporting the policy and the progress achieved in its implementation (6 Month Review Report: <https://goo.gl/SCnGYX>; Phase 2: <https://goo.gl/F4AObf>).

Beyond these implementation reports, the policy language itself stipulates that “[t]he **Academic Senate and the University of California will review the policy within three years, and present a report to the Faculty and the University of California.**” We are approaching three years since the policy was rolled out on all ten UC campuses (as of November 1, 2014), and the technical infrastructure for its implementation is now fully established. This seems like an appropriate time to review the outcomes of the policy, to determine whether they align with the expectations and desires of the Academic Senate, and to set goals for the policy going forward.

The timing of this review is particularly appropriate given the lack of ongoing funding from the Office of the Provost for the policy’s support infrastructure. This support infrastructure includes an automated publication management system and staffing costs, and is the means by which the Libraries have responded to the call for convenience made in the final paragraph of the policy:

“The Faculty calls upon the Academic Senate and the University of California to develop and monitor mechanisms that would render implementation and compliance with the policy as convenient for the Faculty as possible.”

While there may still be questions surrounding the implementation of the policy and rates of compliance with it, whether or not this call for convenience has been heeded is not one of them. The insecurity of this support infrastructure severely compromises this convenience as well as the Libraries' ability to continue to support the policy. This support infrastructure is not only vital to the success of the Academic Senate policy, it is also essential for the implementation of the separately-issued Presidential Open Access Policy (<https://goo.gl/lcYs99>) that applies to non-Senate employees of the University as of October 23, 2015.

The value of this support infrastructure goes beyond the concerns of our policy implementation efforts. As a report on policy implementation recently prepared for the Council of Vice Chancellors makes clear ([Appendix B](#), also available at <https://goo.gl/PqbCNY>), the data collected by our publication management system — a key element of the policy support infrastructure — “offers the potential for significant value beyond its role in supporting the OA policies.” Several UC groups have already requested access to this unique data source for various purposes (“including public profile platforms, tenure and promotion systems, and consolidating multiple compliance requirements”), and several more have expressed interest. However, all are understandably concerned that their efforts to integrate this data source now will be undermined if that data source is no longer available in the near future. (See the section entitled “[Leveraging Symplectic Elements beyond the OA Policies](#)” of [Appendix B](#).)

**Action item:** We respectfully request that Academic Council consult [Appendix B](#) and indicate if there is any information of interest to Council members that is missing from this review. It is also important to determine whether Academic Council is supportive of the current policy implementation approach. UCOLASC's more specific concerns relate to funding for the policy support infrastructure (again, see [Appendix B](#) for details). This is a cost that should be properly borne by the system, particularly at a time when our Libraries are already being asked to do more with less.

### 3. Support for the OA2020 Expression of Interest

The Max Planck Digital Library is coordinating an international effort, dubbed OA2020, to convert the dominant subscription-based scholarly journal publishing model to Open Access (see <http://oa2020.org/>). Institutions in the U.S., led by three UC campuses (San Francisco, Berkeley, and Davis) and one CSU campus (Northridge), have begun to sign the OA2020 Expression of Interest (see <http://oa2020.us/>). In response to concerns that have been expressed about apparent limitations of the current (albeit non-binding) OA2020 roadmap (see <https://oa2020.org/roadmap/>), the UC signatories have offered an alternative roadmap (<https://goo.gl/Urrfjd>) as “a non-binding, non-prescriptive framework that can be used and modified to help guide signatory campuses' implementation of the OA2020 Expression of Interest.” Key representatives from the three signatory UC campuses have also drafted a document, attached to this letter as [Appendix C](#), “to express [their] reasons for becoming signatories and address misconceptions about the initiative prevalent in the United States OA community.”

The remaining UC campuses are actively considering also signing the Expression of Interest. Discussions at UCOLASC have revealed that all agree with the ultimate goal of OA2020: “pursuing the large-scale implementation of free online access to, and largely unrestricted use and re-use of

scholarly research articles.” Indeed, the only thing that distinguishes this goal from UC’s own Open Access mission is the “large-scale” modifier. As the nation’s largest public research institution and a source of 2% of the world’s research literature, the University of California is uniquely positioned to effect this goal for the benefit of people all over the world who currently do not have access to the vast majority of scholarly research articles.

**Action item:** We respectfully request that Academic Council consider supporting this effort, specifically in the form of a public affirmation of UC’s Open Access mission in the context of UC’s mission cited earlier, of “providing long-term societal benefits through transmitting advanced knowledge ... and functioning as an active working repository of organized knowledge.” Concrete support for this mission must originate with the faculty, who must determine their willingness to make the kinds of choices that will lead to an Open Access future that benefits everyone. These choices include, but are not limited to, engaging with our Open Access policies, canceling journal subscriptions, publishing in Open Access venues (and otherwise supporting them with our editing and reviewing time), and encouraging the editorial boards of current subscription-based journals to ‘flip’ to Open Access, as was successfully accomplished by the editorial board of the subscription-based Elsevier journal *Lingua*, now the Open Access journal *Glossa* (see <https://goo.gl/MOHnNO>).

If you should have any questions or require further information about any of these matters, please do not hesitate to let me know.

Sincerely yours,

A handwritten signature in black ink, reading "Eric Baković". The signature is written in a cursive, flowing style with a large initial "E".

Eric Baković, Chair, UCOLASC

## Appendix A

<http://osc.universityofcalifornia.edu/2017/03/statement-on-commitment-to-free-and-open-information/>

### UC Office of Scholarly Communication and UC Libraries Statement on Commitment to Free and Open Information, Scholarship, and Knowledge Exchange

*The [University of California Office of Scholarly Communication](#) (OSC) and the [University of California Libraries](#) issue the following statement in response to recent actions by the new federal administration and in order to address resulting concerns about continued open access to and preservation of information, scholarship, and knowledge.*

The unfettered exchange and careful preservation of information are fundamental to democracy, progress, and intellectual freedom. The critical research and scholarship conducted by government entities and academic institutions worldwide safeguard and support human rights, public health, the environment, artistic and literary enterprise, scientific and technological innovation, and much more. This scholarship is critical for informed discourse and policy development throughout society. As such, the fruits of governmental and scholarly research—the data and documentation generated and released—must remain publicly available and must not be suppressed, endangered, or altered to serve political ends.

To encourage broad dissemination of research and scholarship, the faculty of the University of California and the UC President have implemented [open access policies](#) that echo many of the open data and scholarship mandates adopted by the federal government. Recognizing that open access to research increases scientific, scholarly, and critical knowledge, the UC system has committed, via these policies, to making all UC scholarly articles widely and freely accessible, regardless of access restrictions elsewhere. Now more than ever, UC faculty and staff’s participation in these open access policies is fundamental to ensuring persistent, unfettered access to valuable data and research.

OSC and the UC Libraries are working to protect public access to government data and research in the event that the original sources for these materials should be compromised. In the coming weeks, OSC and librarians on each of the UC campuses will identify specific actions to be taken to ensure that research data, publications, and scholarship remain accessible and discoverable. These efforts are not intended to supplant the authoritative sources for government data, publications, and information. Rather, we are working to make certain that these materials remain shielded from inappropriate political influence or suppression.

We support similar information rescue and preservation efforts taking place around the country and encourage other institutions to join in this commitment. We look forward to seeing statements from our peer institutions (and encourage any who wish to borrow or adapt ours), and we welcome opportunities to work with these institutions on projects supporting access to and preservation of the scholarly record. In particular, we offer our collaboration to those working in disciplines or within organizations facing new threats.

In the meantime, we wish to underscore our commitment to advocating not only for researchers and authors at UC campuses, but also for scholars and readers worldwide, and to emphasize our dedication to ensuring information access as an essential public good. We will continue to champion these professional and democratic values and to challenge any policies or practices that levy obstacles to intellectual exchange.



## Appendix B

<https://drive.google.com/file/d/0B-FOdIfCmz50NThfQnFkTWNTeFU/view?usp=sharing>

### UC Open Access Policies and Symplectic Elements renewal

Prepared for COVC by Günter Waibel, Associate Vice Provost and Executive Director, California Digital Library (April 28, 2017)

*UC currently licenses Symplectic Elements to support compliance with its Open Access policies. The license expires on February 1, 2018; there is no clear funding source to renew. Without Elements, policy compliance will become onerous for faculty and researchers, and the policies will likely founder.*

#### Leading by example

**The University of California has the most comprehensive Open Access<sup>1</sup> (OA) policies of any academic institution in the United States.** As a result of the adoption of the [UCSF Academic Senate OA Policy](#) (May 21, 2012), the adoption of the [Systemwide Academic Senate OA Policy](#) (July 24, 2013) and the subsequent issuance of the [Presidential OA Policy](#) (Oct 23, 2015), it is now expected that all UC employees will make their academic research papers openly available to the world (upon publication) via eScholarship (UC's open access repository) and will grant a non-exclusive license to UC to make those materials available.

Why does this matter? Because the UC academic community currently leads the country in advocating for an open scholarly communication environment that privileges immediacy, sustainability, and expansive access to research. The grassroots effort among UC faculty to adopt these policies sends the message that the academic community wants to own/control its own work, resist the costs of skyrocketing journal subscriptions, and ensure global access to the fruits of academic labor. This OA momentum is growing: these policies now sit within a broader effort at UC to reconceive the scholarly publishing environment and restructure its economics through support for open access publications (campus open access funds), global initiatives to “flip the market” from a subscription model to a subsidized publishing model (OA2020), efforts to replace subscription publications with community-based repository platforms (e.g., arXiv) as vehicles for conferring academic prestige, and sustained pressure on the publishers to lower their costs. OA policies can serve as the bedrock for these efforts: institutional and disciplinary repositories full of open versions of scholarly articles give the libraries leverage when negotiating content licenses with publishers.

**As a public institution and the largest consortium in North America, UC has an opportunity to lead by example, simultaneously making good on its public service mission and leveraging its open access policies to strategic advantage by increasing the reach of the transformative discoveries and scholarship of the UC academic community.**

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<sup>1</sup> Open Access is the free, immediate, online availability of research articles coupled with the rights to use these articles fully in the digital environment. (SPARC, <https://sparcopen.org/open-access/>)



## Policy implementation via Symplectic Elements

The Senate OA policy named the Academic Senate and University of California as jointly responsible for its implementation; specifically, the UC Libraries and California Digital Library (CDL) were designated as the locus for policy support, with the explicit request within the policy that “implementation and compliance with the policy [be] as convenient for the Faculty as possible.” Following an RFP process, the CDL contracted with Symplectic Elements in December 2013 to automate the collection of publication records and thus ease the compliance burden for faculty. After a pilot implementation at UCSF, UC Irvine and UCLA in late 2014, the 10-campus roll-out of Elements concluded in January 2016.

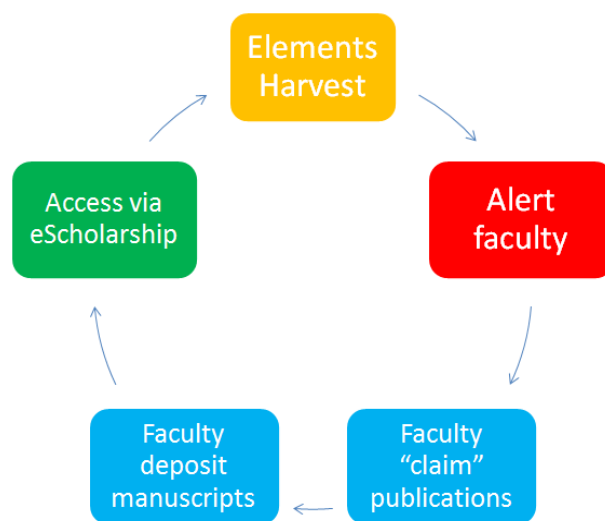
**Symplectic Elements is a current research information system (CRIS) that, as implemented, has obviated the need for faculty to provide records for their publications.** Instead, Elements harvests records from a plethora of indexes, sends email alerts to faculty encouraging them to “claim” their records and then deposit their “author’s accepted manuscript,” as designated by the policy. These deposited manuscripts are then uploaded automatically into eScholarship for access.

Authors who have published openly elsewhere need only provide a link to the open version in order to be in compliance. In addition to this implementation tool, UC’s [Office of Scholarly Communication](#) has developed a site

that serves as a clearinghouse of information for faculty and researchers about UC’s policies, copyright, open access, and the evolving domain of scholarly communication.

**Both the Elements implementation and the OSC site have become models for other institutions across the country who have passed similar OA policies and seek the most efficient mechanism for implementing those policies and educating their academic communities about their rights and scholarly communications options.**<sup>2</sup> UC regularly gets requests from other universities to explain the details of our implementation and for permission to use our outreach and educational materials.

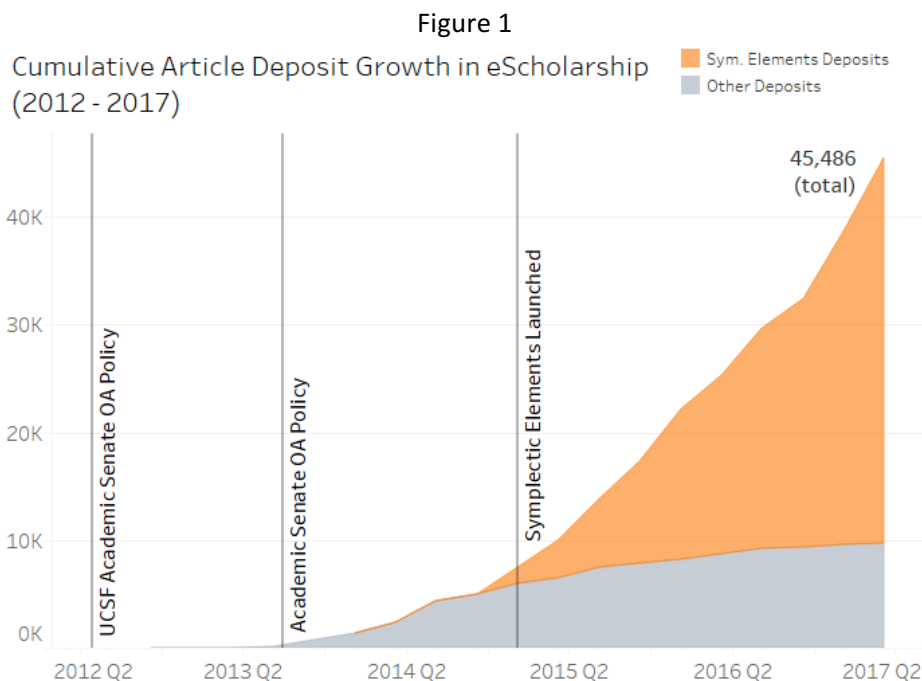
(Note: Due to resource constraints, Elements has not yet been rolled out in support of the Presidential OA policy, which covers all University employees beyond the Academic Senate. The current Elements license is expansive enough to include all non-Senate researchers without additional cost, but current staffing is insufficient to support both policies in terms of outreach, education and system support.)



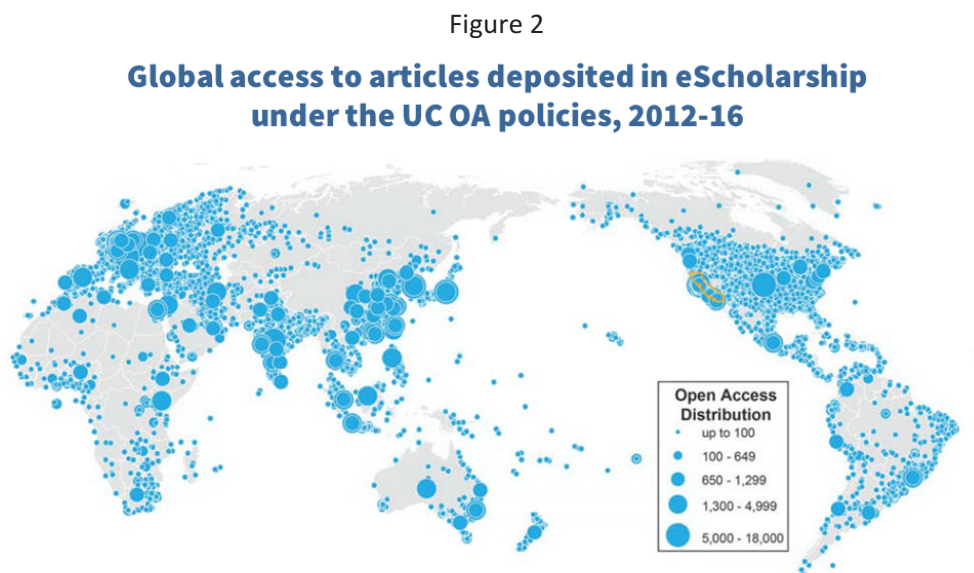
<sup>2</sup> Current North American Symplectic Elements clients with OA policies include: Boston University, Carnegie Mellon, Duke, Emory, Harvard Law School, MIT, Princeton University, and Virginia Tech.

## Implementation results

The implementation of Symplectic Elements has resulted in a dramatic increase in faculty participation in the Senate OA policies, with over 45,000 papers collected so far. (See Figure 1.) Prior to the roll-out of Elements, faculty were expected to fill out a submission form with publication record details for each item they wished to deposit in eScholarship. Elements has streamlined that process by harvesting publication records on the faculty's behalf.



And the reach of these materials is global, with over half a million readers around the world accessing the articles deposited in eScholarship since the adoption of the first OA policy in 2012. (See Figure 2.)



## Leveraging Symplectic Elements beyond the OA Policies

Symplectic Elements offers the potential for significant value beyond its role in supporting the OA policies. As a CRIS, it is well positioned to serve as a data source for any number of campus efforts, including public profile platforms, tenure and promotion systems, and consolidating multiple compliance requirements. See below for an early list of UC groups that have requested access to Elements for reasons well beyond the UC OA policies but still leveraging the same system.

UCSF Profiles	<ul style="list-style-type: none"><li>• Data source for UCSF <b>researcher profiles</b>, with potential roll-out to other campuses with medical centers.</li></ul>
UCSB Economics	<ul style="list-style-type: none"><li>• Elements, eScholarship and RePEc connection, to facilitate <b>“one stop” deposit</b>.</li></ul>
Research Grants Program Office (RGPO)	<ul style="list-style-type: none"><li>• Robert Wood Johnson Foundation grant to track the publications that are products of RGPO’s awarded grants and the <b>grantee compliance</b> with their own OA policy before releasing grant funds. Paying for additional “Grants” module.</li></ul>
Lawrence Berkeley Laboratory	<ul style="list-style-type: none"><li>• <b>Managing compliance</b> across funder and gov’t OA mandates (OSTI) and LBL and UC Open Access policies. Paying for additional Grants module, Vivo (faculty profiles) instance and Dimensions (grant information and comparison) tool.</li></ul>
OPUS - UCLA	<ul style="list-style-type: none"><li>• Importing publication records into UCLA's in progress <b>academic review system</b> <a href="https://opus.ucla.edu/">https://opus.ucla.edu/</a>. *to commence 7/1/2017</li></ul>

Symplectic Elements also positions the University to collect metrics about its publishing activity, researcher expertise, and connections between grants and publications.

## Costs

Symplectic Elements is licensed at a discounted consortial rate, and the tool is implemented and managed centrally rather than supporting unique instances on each campus -- resulting in significant resource savings to the UC System. There were insufficient funds within the Academic Affairs Division at UCOP to fund this effort after FY 2015/16. The OA Policies have thus become an unfunded mandate that is unsustainable for CDL, given budget constraints.

### OA policy costs absorbed into the CDL budget, 2016-2017

OA policy costs absorbed into CDL budget	Source of funding 2015-16 and prior	Source of funding 2016-17	Amount
Symplectic Elements core and repository services	UC Provost/ Academic Affairs	CDL - no budget augmentation	301,616
Symplectic Elements reporting database, hosting and support overlay	CDL - no budget augmentation	CDL - no budget augmentation	100,572
Staffing (including benefits)	CDL - no FTE augmentation	CDL - no FTE augmentation	1 FTE developer: 165,990 .70 FTE product manager: 81,020 .15 FTE policy ed officer: 20,562 .15 FTE program director: 27,629
<b>Total CDL costs, 2016-17</b>			<b>\$697,389</b>

Beyond CDL costs, the campuses have invested at their discretion in staffing for policy outreach and education. UC Irvine has engaged deeply here, allocating librarians, staff, and student workers to provide substantial policy support for faculty. Initiatives have included presentations, workshops, and upload support; with the introduction of Symplectic Elements in 2015, Irvine incorporated Symplectic Elements enabled functionality into its outreach efforts. Irvine’s investment for 2016/17 was \$66,919.92 (0.59 FTE).

While these costs are not insignificant, they represent a lower-cost option than providing hands-on support for authors in depositing their work into eScholarship. Other institutions have approached OA policy implementation support as a “white glove” service, hiring staff to assist faculty in depositing their publications. MIT, for example, an early OA policy adopter, has historically employed 2.5 FTE who work exclusively in this manner to support 1000 faculty. This approach is unsustainable for UC: given the number of faculty across the system, we would need to employ a team of 50 FTE (an investment of roughly \$5 million) to offer the same level of service. Incidentally, MIT is now following our lead and moving to Symplectic Elements.

## Big questions

We have only just begun to realize the potential of the UC OA policies and their implementation. The Symplectic Elements tool has only been available to the full UC system for 15 months. A great many questions remain, including:

- What does a successful implementation of these policies look like? Who determines this?
- Who is responsible for allocating resources to support these policies?
- What if there is no funding? What recourse do the faculty have if the University provides no resources to support the implementation of their policies?

## Appendix C

# Why OA2020?

*OA2020 is an international initiative to convert the existing corpus of scholarly journals from subscription-based access to open access (“OA”). As members of institutions engaged in the OA2020 process, we are writing to express our reasons for becoming signatories and address misconceptions about the initiative prevalent in the United States OA community. Our goal is to encourage other US institutions to think more broadly about OA2020 so that together we can harness the transnational momentum to support and implement a wide range of sustainable OA models.*

The global OA movement is well past establishing the viability and potential of OA scholarly journals to provide immediate, unfettered, and worldwide access to the scholarly record. Making everything freely available to everyone is a shared goal of the OA community, and yet the scholarly publishing ecosystem remains a long way off from having OA as the default. Instead, a majority of the scholarly record remains in closed, subscription-funded outlets. In many respects, libraries perpetuate the biggest roadblock to transformative change, regularly and predictably recommitting to expensive, restrictive, multi-year agreements that lock in place subscription-funded, closed access scholarly publishing models. To be clear, none of us wants to replace this current unsustainable system with another unsustainable one that perpetuates the financial and intellectual dominance of any given commercial publisher.

Instead, we want to achieve meaningful and transformative change to advance open as the rule rather than the exception. But in the current ecosystem where most of our money goes to pay for subscriptions, scholarly institutions who are committed to OA must ask themselves how they can use increasingly scarce resources at their disposal to reach this goal. A truly revolutionary solution to this problem is for all of us in unison to shift the majority of our money away from subscriptions and in support of new OA models. To this end, we have signed the OA2020 Expression of Interest (EOI), which we believe presents a path to take this next step. We have signed because we think that we would be regretful if we missed this bold opportunity to leverage the collective power of the whole world, let the anxious attention of the commercial publishers slip away, and failed to reshape scholarly communication fundamentally at this moment in time.

We recognize there are many approaches and models for implementing OA and we support most, if not all of them. Additionally, we believe that OA2020 will enable such diversity to flourish by allowing us to transition funds now spent on closed, subscription journals to OA publishing. This core principle of the current OA2020 Initiative, combined with the global, collaborative approach, is what motivated us to sign. We also recognize that the OA2020 Initiative as originally conceived was focused predominantly on a business model that relies on article processing charges (APCs) as a primary means to move money away from subscriptions and pay for OA publishing. As signatories ourselves, and as attendees at the Berlin 13 Conference, our perspective is very different. In our view, the OA2020 initiative can and must also include as many if not all possible OA models and strategies. We are convinced that with enough key and diverse US stakeholders around the table we can create a roadmap that will be distinctly different from what was originally envisioned by the Max Planck Digital Library in their white paper. While APCs might be suitable for some countries, some disciplines, some journals, and/or some publishers, for others to achieve sustainability and success we will also need a mixture of alternative non-APC-based OA models.

Another reason why we signed is that we believe the principles, goals, and motivations of the OA2020 initiative respect and, indeed, embrace the pluralistic approach of the global OA movement. While there are certainly OA2020 stakeholders who are committed to moving forward with APC-driven transformation of the existing literature, this approach is only one example of how today’s subscription funds can be

repurposed toward OA ends. We do not see the available OA models as mutually exclusive, but rather as complementary efforts aimed at large-scale transformation in the service of open scholarship. They are two sides of the same coin.

The presentations, discussions, and outcomes of the Berlin 13 Conference reinforce our pluralistic understanding of the initiative and represent a future that we imagine. John Willinsky for instance, made an impassioned case against APCs and for expanding cooperative approaches to funding OA publishing. Johan Rooryck offered concrete lessons on how discipline- and community-specific action can make real transformative strides in moving entire networks of editors, authors, and peer reviewers from traditional subscription models to “fair open access” journals. CERN’s Salvatore Mele gave two presentations on the SCOAP3 initiative, covering both their experience with governance and structure as well as their collaborative, discipline-focused approach to transformation. In the closed session, speakers from both the dais and the floor criticized the APC model, challenged the community to think deeply about what we want from OA, and pushed us to consider the disparate and far-reaching effects of any one strategy.

In short, this conference was not an echo chamber. Like most ambitious discussions of OA, the conversations at Berlin 13 were contentious and the perspectives were varied. We absolutely must have such a diverse set of insights and criticisms in order to undertake this ambitious project in the right way, and we hope to keep growing the community to ensure that we do not miss or forget the needs of those who are not yet involved. For example, recommendations to address the perspectives and challenges of the global south, including representation on the OA2020 advisory board, were put forward during the conference, and several of us are exploring these issues independently as part of our commitment to principled transformation. Our intention is to make sure we do not leave anybody behind or replace one economic barrier with another as we reconstruct the publishing landscape.

Mindful, imaginative pluralism is a welcome and central component of OA transformation—one which we champion fully as OA2020 signatories, and which we believe the initiative itself can entirely encompass as well. Our community need not, and should not, be distracted by partisanship and divisiveness on the various paths to a more open future. As long as those paths converge on the common goals of breaking our dependence on subscriptions, making everything OA, and enabling institutions to repurpose billions of dollars in resources to support new and transformative OA publishing models, then we can call it whatever we want. There is no reason why all viable and sustainable OA models cannot be included under the rubric of OA2020. In other words, world-wide consensus and collaboration on the core mechanism—repurposing subscription funds—are key to realizing change.

In a global scholarly publishing system, real progress requires initiatives like OA2020 that expand beyond borders and disciplines to embrace the entire community. We remain hopeful that all stakeholders who have not signed on will keep one eye towards the future and contribute their specific preferences and unique perspectives to the conversation so that when the time is right, the choice they make about joining will be an easy one. The bottom line is that the US contributes around 50% of all journal subscription revenue and thus we should be able to control at least half of the conversation by spending our money in support of whatever we as a community choose.

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