

Memorandum of Understanding

This Memorandum of Understanding (MOU) is between the Regents of the University of California, on behalf of the University of California Press (hereinafter "UC Press ") and The Regents of the University of California, on behalf of the California Digital Library ("CDL") and relates specifically to the implementation of a pilot project to support the opening of UC-authored monographs.

Term of project: July 1, 2025-June 30, 2028

1. Goals of project:

- To encourage authors affiliated with the University of California to publish monographs open access, increasing open access publishing over time, with an aspirational goal of open access availability of all UC-authored monographs
- To increase the availability and use of UC research by making both new and previously published monographs open access
- To develop business models and workflows that enable programmatic support, especially from libraries, for OA monograph publication, especially by university presses

2. Obligations of parties:

- Both CDL and UC Press:
 - Regular communication, including meeting a minimum of once per quarter over the term of the project
 - Joint development and implementation of plan for communication with eligible authors
 - Collaboration on reports, presentations, and other project outputs
- CDL
 - Payment of Annual Fee for each year of project
 - Promotion of project through UC communication channels
- UC Press
 - Management of and reporting on Annual Fee allocations
 - Creation of list of previously published monographs eligible for conversion to OA
 - In collaboration with CDL, development of rights management workflow for OA conversion of previously published monographs
 - Commitment to make OA books supported by project available/discoverable on major academic ebook platforms (e.g., JSTOR, OAPEN)
 - Collaboration with UC's eScholarship publishing program to make books supported by the pilot program available on the eScholarship platform

3. Financial terms

- UC Libraries, as represented by CDL, will provide UC Press [REDACTED] by July 1 of each year of the project (Annual Fee). The Annual Fee will support:

- New OA monographs: Open access publication of any monograph by an eligible author placed under contract by [university press] during the funding year. For each monograph so published, [REDACTED] will be allocated from the Annual Fee.
- Retrospective OA monographs: Open access publication of eligible, previously published monographs. For each monograph so published, an amount to be determined and agreed to by both parties will be allocated from the Annual Fee.
- At the end of each project year, CDL will have the option to (a) use remaining Annual Fee balance to convert eligible, previously published monographs to open access; (b) carry any remaining Annual Fee balance into the next year; or (c) combine options (a) and (b). CDL may not request a refund of any portion of the Annual Fee.
- CDL and UC Press acknowledge that UC Press is currently developing the workflows and infrastructure necessary to enable the opening of backlist titles. If UC Press is unable to support the OA conversion of backlist UC-authored monographs in Year 1 of the pilot project, any remaining portion of the Year 1 Annual Fee will be carried forward into Year 2. The Year 2 Annual Fee amount and payment schedule will remain unchanged. UC Press commits to make a good faith effort to establish the workflows and infrastructure to support opening backlist titles in Year 2 and Year 3 of the pilot project.

4. Author rights, copyright, and licensing:

CDL and UC Press commit to working together to investigate options for licensing monographs opened through the pilot project. Approaches to copyright and licensing implemented in the pilot project are expected to (1) ensure fully-informed author choice that includes multiple Creative Commons license options (i.e., not limited to CC BY-NC-ND); (2) balance the interests of authors, readers, presses, and libraries; and (3) prioritize the potential for monographs opened by the projects to have the greatest possible impact over time.

5. Assessment:

CDL and UC Press commit to assessing the performance of the pilot project throughout the term of this agreement and implementing iterative changes to the project as both parties deem appropriate and acceptable.

Potential assessment metrics include:

- Number of newly published UC-authored books made OA because of project support
- Number of previously published UC-authored books made OA because of project support
- Usage of OA books supported by project, as evidenced by, e.g.:
 - Downloads
 - Citations
 - Use in courses
 - Altmetrics (e.g., links in social media posts)
- Author satisfaction with experience with project

- Replicability of business models and workflows with other presses and other libraries
 - Overall benefit of pilot program to CDL/UC Libraries
 - Overall benefit of pilot program to UC Press
6. Preliminary project timeline, subject to change:
- Year 1
 - Month 1
 - Payment of Year 1 Annual Fee
 - Establishment of meeting schedule
 - Setting communication expectations (internal to project team)
 - Months 1-3
 - Development of plan to promote project
 - Author outreach
 - General awareness building
 - Creation of initial list of previously published monographs eligible for OA conversion
 - Months 4-12
 - Monitoring of project activity
 - Implementation of project promotion plan/external communication
 - Preparation to support potential OA conversion of previously published monographs
 - Gathering of author contact information
 - Prioritization of list of eligible titles
 - Creation of author communication templates
 - Month 12
 - Decision about fate of any remaining Annual Fee balance
 - Midterm report, with recommendations for course corrections as needed
 - Year 2
 - Month 1
 - Payment of Year 2 Annual Fee
 - Implementation of retrospective OA conversion workflow if any portion of Year 1 Annual Fee is to be spent this way
 - Months 2-12
 - Monitoring of project activity
 - Documentation of workflows and business models
 - Preliminary investigation of replicability of workflows and business models (other libraries, other presses)
 - Months 10-12
 - Drafting of final report, including assessment
 - If appropriate, proposing presentations/articles about project
 - Month 12
 - Decision about fate of any remaining Annual Fee balance
 - If balance needs to be spent out by project end date, this decision will need to be made earlier

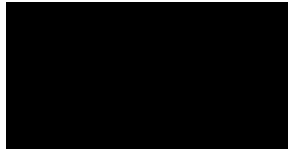
- Decision about whether/how to operationalize pilot into ongoing program

Appendix A: UC Press Application for Participation (as completed by UC Press)

AGREED AND ACCEPTED

The Regents of the University of California, on behalf of California Digital Library

Signature:



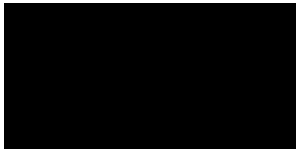
Name:

Title: Director of Shared Collections, CDL

Date: 5/29/2025

UC Press

Signature:



Name:

Title: Executive Director

Date: 5/29/2025



UNIVERSITY OF CALIFORNIA PRESS

7 April 2025

TO: [REDACTED], Executive Director, California Digital Library
[REDACTED] Director of Shared Collections, California Digital Library

FROM: [REDACTED] n
Executive Director, UC Press

Proposal to Fund Open Access Monograph Publications for UC Faculty

I. Background

We are delighted to submit the attached proposal, which outlines a possible collaboration between UC Press and the UC libraries on the publication of open access monographs. We note that the Council of University Librarians (CoUL) is seeking proposals from publishers that would allow the UC libraries to help sponsor the open access publication of increasing numbers of monographs by UC faculty. Key factors in evaluating proposals will be cost-effectiveness, a commitment to open licensing and rights retention for authors, enhancing discoverability, and an end-product that is accessible to the print disabled. UC Press is pleased to submit this proposal, which leverages its innovative Luminos open access program as the backbone of our commitment to enable open publication by increasing numbers of UC faculty.

In 2015, UC Press launched a pioneering open access model for scholarly monographs called Luminos. The Luminos model proposed a cost-sharing model for OA monograph publication that included funds that would be contributed by the following: authors or the authors' institutions, a library "membership" fund, sales of print copies of titles published open access, and a subsidy that would be provided by the Press. The "subsidy" that is provided by the Press is really drawn from sales of previously published titles (so-called "backlist" titles) that help to underwrite the Press's overhead. Since 2015, when the program was launched, UC Press has published over 250 monographs, roughly 25% of our monograph output since that time, using this model.

While UC Press's Luminos program has been oriented toward "born OA" publication since its inception, we are interested in engaging in targeted pilots that would enable this for select backlist titles. This would enable us to both set up a workflow and learn how open access affects the viability of backlist print editions, which continue to be made available for sale in the contribute to the Press's overall bottom line.

II. UC Press and the UC Faculty

As the 130 year old publishing arm of the University of California, UC Press has deep roots in the system. Originally established as a service publisher for papers of the UC faculty, UC Press has long been an important publication venue for UC faculty. In addition to being an important publishing venue, UC Press's imprint continues to be overseen by a committee of the UC Systemwide Academic Senate, the Editorial Committee, which was established at the Press's founding. The Editorial Committee must approve all new book publications and editorial appointments for Regents-owned journals.

As the system has grown, UC Press has continued to be a publisher of choice for authors affiliated with UC. Although the numbers of UC faculty book publications vary widely from year to year, as a general yardstick, we estimate that UC faculty publications make up approximately 10-15% of the books published annually by the Press. This now includes trade books, books for the classroom, and scholarly books. The Press's book publishing program averages approximately 185 new books a year, generally consisting of a mix of about 35-40% trade books and books for the classroom and 60-65% scholarly books. In recent years, we have published approximately 30 titles per year through our Luminos open access monograph program, and approximately 10 of those have been authored by UC faculty.

Part of our success in attracting UC faculty to publish in the Luminos program, which now makes up more than half of UC faculty book publications through UC Press overall, has been that for the last several years we have not asked UC faculty to pay to publish in the program. We have been able to do this because our Editorial Committee has been allocated [REDACTED] per year from the campus assessment to use towards supporting the publications of UC faculty. We use approximately half of this money to help underwrite overhead costs for the Press, and the remainder is used to defray the costs of editorial stipends for journal editors and production costs for book authors. Thus, for authors publishing in the Luminos program, the Editorial Committee has leveraged these funds to pay for the author's institutional portion of a Luminos book. This amount was initially [REDACTED] in 2015, but has since been raised to [REDACTED]

III. Pricing Model

We propose that the UC libraries consider funding 10 Luminos publications per year by UC faculty at the level of [REDACTED] per title. This would result in an overall cost of [REDACTED]. If the Press fails to publish 10 titles by UC faculty in the ensuing year, we could apply that funding to establishing a workflow and base fee for making titles published more than 5 years ago available on an open access basis. If the UC libraries wish to support a potentially greater or lesser number of works by UC faculty, we are open to further discussions, but we have averaged in recent years 10 UC faculty authored Luminos titles per year for a few years. A rationale for this proposal follows.

Luminos as it currently stands is not sustainable. Luminos titles lose more money than paid access monographs, which are already unprofitable. Thus, the Luminos program faces a critical reckoning

in the next few years. Because of the cost-sharing that requires contributions from both authors and libraries, we are going to be unable to continue the program without more significant contributions from libraries. Authors have generally been able to come up with their share, which we have now increased to a base fee of [REDACTED] per title. However, we have been spectacularly unsuccessful at attracting libraries to become supporting “members” of the program. We are pursuing other partnerships that might bolster the library contribution for non-UC faculty, but CoUL could consider a pilot with UC Press, which allows us to test the viability of a model in which the UC libraries and other UC faculty sources combine to fund OA monograph publication. This type of collaboration would align with the so-called multiplayer model on journal TAs, which allow the libraries to leverage other funding sources coming into the university to facilitate OA journal article publication.

At the moment, the UC contribution to these books is simply not enough to cover the cost of these books on its own. Because Luminos leverages a cost-sharing arrangement, the title publication fees for Luminos are set much lower than what most publishers would charge an author for a book processing charge (BPC). Oxford, for example, charges authors a *base fee* of [REDACTED] for a low-complexity monograph. This is over 60% more than what UC Press charges most authors. The reason for this is that UC Press’s Luminos program envisions the contribution of a Library Membership Fund, which has largely failed to garner enough memberships to support the work being published through the program. In a typical year, we have generated only about [REDACTED] in membership fees from libraries. Since we are publishing an average of 30 titles per year in the Luminos program, this averages out to a little more than [REDACTED] per title, which is a fairly insignificant contribution.

In addition, after conducting an internal analysis, we have learned that titles published in the Luminos program that have five years of sales history generate on average [REDACTED] per title *less* in revenue than their paid access counterparts. And this loss does not even factor in lost subsidiary rights licensing revenue, which derives from the sale of translations, ebook subscription licenses, and usage permissions—neither of which accrue to us in OA publication.

	SCH—Paid Access Scholarly			SCO—Open Access Scholarly			Diff +/-
	LTD Revenue	# of Titles	Rev/Title	LTD Revenue	# of Titles	Rev/Title	
FY16	[REDACTED]	110	[REDACTED]	[REDACTED]	13	[REDACTED]	[REDACTED]
FY17	[REDACTED]	104	[REDACTED]	[REDACTED]	19	[REDACTED]	[REDACTED]
FY18	[REDACTED]	115	[REDACTED]	[REDACTED] 5	20	[REDACTED]	[REDACTED] 9
FY19	[REDACTED]	84	[REDACTED]	[REDACTED]	18	[REDACTED]	[REDACTED]
FY20	[REDACTED]	109	[REDACTED]	[REDACTED]	18	[REDACTED]	[REDACTED]
						Average Delta	[REDACTED]

The revenue generated by the OA titles in this chart *includes* the author's institutional contribution of an average of [REDACTED] (BPC) and print sales. The differential column illustrates how far short the current model falls in terms of generating equivalent revenue to our traditional paid access program.

Thus, we propose that UC libraries wishing to help fund frontlist titles through our Luminos program, contribute [REDACTED] per title, which is roughly the equivalent to the money we lose when publishing a title through Luminos rather than in a paid access model over a five-year period. If funds remain from the frontlist pilot, we could use leftover funds to explore what making OA editions of backlist titles, which no longer sell in large quantities might involve, including the work necessary to convert existing author contracts update, cataloging-in-publication data, and republish the work under a new ISBN in an an open access edition.

IV. Approach to Licensing

Luminos has always insisted on some flavor of Creative Commons (CC) license for authors but has not specifically advocated for one license or another. The majority of our authors have selected the CC-BY-NC-ND license, largely because it allows them the most control over their content. Even this fairly conservative license, still allows for liberal reuse of portions of the books, while still prohibiting things like unauthorized commercial translations and derivative works. The Press's boilerplate author contract provides some rights for the Press to commercially print and distribute copies of the book, but aside from those rights necessary to print and publish the book, which are transferred to the Press, the author retains all rights to the work.

V. Discoverability

The Press will host the books in a number of different venues that will allow for greater discoverability and ease of use. All titles are currently distributed to the following outlets in ebook formats:

- UC Press website
- JSTOR
- OAPEN
- DOAB
- University Press Library Open (De Gruyter/Paradigm)
- EBSCOHost
- Amazon
- Google Play
- Apple iBooks

In addition, we are happy to host them at eScholarship or any number of other venues, including potentially Project MUSE. Note that we charge a small fee for making open access ebooks available through commercial ebook retailers to cover some of the overhead costs of maintaining our

relationships with these platforms. In addition, some will not make books available with a zero dollar price.

VI. Accessibility

We are introducing a workflow to make all frontlist titles available in accessible formats. This includes publication in both EPUB and PDF formats. For all EPUB files, we are including embedded alt text and other accessibility features. WCAG 2.1 standards are web accessibility standards and are to some extent platform-dependent features and will vary based upon the websites where titles are hosted and the reading systems being deployed. There will be no DRM protection on titles published through Luminos. Thus, EPUBs can easily have fonts and other elements resized in many reading systems, text-to-speech functionality can be enabled, and other features that support accessibility in various reading systems can be supported. In addition, our frontlist workflows ask authors to supply alternative text for all embedded illustrations, and these are included in all newly published books. However, we cannot guarantee the extent to which accessibility can be supported on websites where Luminos content is hosted or ebook reading systems developed by third parties.

VII. Conclusion

We hope that this initial proposal can form the starting point for a further discussion of a collaboration. We believe that a partnership between UC Press and the UC libraries could create powerful synergies that would both the sustainability of our program, and help the libraries achieve their objectives of piloting approaches to publishing greater numbers of open access materials by UC faculty. We look forward to continuing our discussions.

From [REDACTED]@CDL

To be completed by University Press

I. Pricing Model

Please provide a proposal for pricing that includes:

- Nuanced justification for the proposed price
- Consideration of efficiencies realized by programmatic/bulk approach (e.g., volume discount applied to standard BPC)
- Any additional revenue streams included in the development of the pricing model (e.g., support from the Press's parent institution, expected revenue from print sales, etc.)

II. Licensing

UC Libraries expect the Press's approach to licensing books made open access through this program to prioritize the long-term viability of the book and to enable its inclusion in scholarly

communications in a manner that respects and balances the interests of the author, the publisher, the reader, and the library.

Please describe how the Press will meet these expectations by means of:

- The CC licenses the Press will make available to authors publishing OA books through this program
- The author agreement the Press will offer authors publishing OA books through this program

III. Discoverability

Please provide the Press's established or intended workflows to ensure that OA books published with support of this program will be discoverable (e.g., inclusion on prominent academic ebook platforms, creation of high quality metadata, provision of files to be deposited in institutional or other repositories).

IV. Accessibility

Please describe how the Press will ensure that OA books published with support of this program will comply with Level A and Level AA success criteria and conformance requirements specified in WCAG 2.1, as specified by the Americans with Disabilities Act.