UMass Amherst Framework Principles for Provider Agreements
February 2021

Introduction: Our University's Mission Statement says, "We draw from and support diverse experiences and perspectives as an essential strength of this learning community and accept for ourselves and instill in our students an ongoing commitment to create a better, more just world." The imperative for accelerated contributions to public, common knowledge is driving changes to how scholarship is constructed, distributed and funded. Diverse and inclusive collaboration is critical to addressing longstanding need for change. Scholarly publishing is moving away from a traditional "user pays" model focused on restricted access to publications and towards a researcher-centered model focused on distribution and access to scholarship throughout the research lifecycle. New models of scholarly communication favor researchers, contributors and authors maintaining control of their works, and, in the interest of supporting and maintaining the scholarly communities and public knowledge that sustain them, sharing these works as openly as possible.

To those ends, the Libraries will use the following principles to guide how it invests – with money, time and labor – in scholarly content and infrastructure. The exchange of money, whether to purchase, license or participate, constitutes some form of agreement, whether implicit or explicit. The Libraries will apply these principles as it enters into agreements with content and service providers to both sustain and expand our relationships. In some cases, these providers may also have relationships with our community's researchers and scholars. While this framework is primarily a tool for the Libraries to use when determining its engagements, it can also be a model for our community members as they engage with providers on their own terms.

This framework is designed to achieve four goals:

1. to move from our current license models to investments that fully incorporate open access and ensure the widest possible use, reuse, analysis, discovery, curation, and preservation of scholarship;
2. to contain costs and provide flexibility for acquisitions expenditures;
3. to lessen the transactional and financial burdens for our scholars of publication and distribution of their works when the outcome is consistent with open scholarship; and
4. to foster an open scholarship culture inclusive of equitable representation by people from diverse perspectives and backgrounds, such as language, race/ethnicity and gender.

These goals are informed by the Libraries' stated Principles and Values: collaborations and partnerships; diversity & inclusion; innovation & creativity; openness & transparency; and stewardship & sustainability.

Principles:

1. UMA pays once for content, either through an OA, subscription or purchase model which will include perpetual access rights to content. (G)* - *Sustainability & Stewardship*
2. UMA pays fair and sustainable prices for value-added services based on transparent, comprehensible, and cost-based models. - *Sustainability & Stewardship*
3. Provider does not require non-disclosure of its agreement or terms. – *Openness & Transparency* (also State law)
4. Provider offers UMA flexible acquisition options. *Collaborations & Partnerships, Diversity & Inclusion*
5. Provider authorizes text/data mining, computational analysis and reuse of all subscribed or purchased research and its component parts (e.g. code, protocol/methodology, data, figures, charts, analysis, etc.), consistent with legal exceptions and limitations on copyright such as fair use, at no additional cost. - *Openness & Transparency, Innovation & Creativity*
6. Provider ensures the long-term digital preservation and accessibility of their content through participation in trusted digital archives. - *Sustainability & Stewardship*
7. Provider complies with industry standards that facilitate the discovery, accessibility, use, re-use, interoperability and preservation of open content and metadata, e.g. NISO, FAIR, ORCID. (G) - *Openness & Transparency, Collaborations & Partnerships*
8. Provider produces industry standard-compliant administrative and usage data. (G) – *Collaborations & Partnerships*
9. Provider has established philosophies, policies, practices, and procedures to ensure equitable access to opportunities and resources to support individuals in contributing to the provider's success. It equitably supports people from any number of demographic backgrounds and identities (innate and selected), with varied experiences, beliefs, values, skills, and perspectives. (G) – *Diversity & Inclusion*
10. Provider will collect and share anonymized diversity data about its staff and management, including authors, reviewers, and editors if they are a content provider. (G) – *Diversity & Inclusion*
11. Provider recognizes UMA authors' copyrights, with an assigned open license of the author's choosing, such as Creative Commons or GNU licenses, and as such authors are free to reuse, subject to privacy considerations, all component parts of their research (e.g. code, protocol/methodology, data, figures, charts, analysis, etc.) – *Collaborations & Partnerships, Openness & Transparency, Sustainability & Stewardship*
12. Provider does not require UMA authors to waive UMA Open Access Policy - *Openness & Transparency*
13. Provider directly deposits UMA authors' scholarly outputs in institutional repository immediately upon publication and will provide tools/mechanisms that facilitate immediate deposit – *Openness & Transparency, Sustainability & Stewardship*
14. Provider does not restrict access to UMA authors' scholarly outputs - *Openness & Transparency, Innovation & Creativity, Collaborations & Partnerships*

*(G) Represents those principles that UMass Amherst includes but are not explicitly outlined in Principles shared by other universities.

Definitions

Provider: Any publisher, vendor, or organization providing scholarly publication services or infrastructure with whom the Libraries enter into an agreement, license, or other transactional compact.

Copyrights: The bundle of rights that are granted to a creator under US Code Chapter 17 Section 106, including the right to reproduce the work, prepare derivative works including translations, distribute copies of the work, and perform or display the work publicly.