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Chair of the Assembly of the Academic Senate
Faculty Representative to the Regents
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

March 9, 2015

AIMÉE DORR
PROVOST AND EXECUTIVE VICE PRESIDENT
UNIVERSITY OF CALIFORNIA

Re: Open Access Policy Implementation and Funding

Dear Aimée,

At its February 25 meeting, the Academic Council reviewed a six-month implementation review report for the [Open Access Policy](#) adopted by the Senate in 2013. A letter to Council from the University Committee on Library and Scholarly Communication (UCOLASC) notes that the roll-out of the policy on the three pilot campuses has been successful, but that continued implementation requires sustained funding from UCOP. Council voted unanimously to issue a statement to you in support of continued funding for implementation.

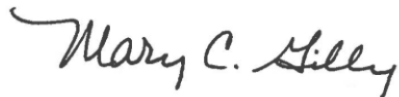
The Senate appreciates your past [written assurances](#) that the administration will provide the California Digital Library (CDL) with the support and resources necessary to establish and maintain the infrastructure to implement the policy, including an harvesting tool that automatically collects information about faculty-authored articles and facilitates their deposit into eScholarship, UC's open access repository.

In January, UCLA began using the new harvesting tool, which will be implemented at UCSF and UCI later this month and at other campuses later in 2015. The tool makes it easy for faculty to "claim" and deposit their publications, provides faculty with a comprehensive list of publications with accurate citations, saves money and staff resources, and promotes compliance with the Open Access policy. UCOLASC and Council recently received from CDL the promising news that there was a dramatic increase in the UCLA deposit of previously published papers into eScholarship following the launch of the harvester on that campus.

Our understanding is that UCOP has provided the CDL with a second year of funding to support the further development of the harvesting tool and other aspects of implementation, but that funding beyond fall 2015 is now in question. CDL estimates that \$380,000 in ongoing annual funding for the harvesting tool will be needed to support the Open Access policy.

Quite simply, we fear that the Open Access initiative will lose momentum and eventually fail without a sustained institutional commitment from UCOP. This commitment takes on added importance in the context of a potential new Presidential Policy on Open Access that would expand the policy to all UC employees. A clear and sustained commitment to open access will also help demonstrate to politicians the extent of UC's commitment to transparency, and research in the public interest. Council urges UCOP to work with the CDL to provide them with the necessary resources to support continued implementation.

Sincerely,

A handwritten signature in black ink that reads "Mary C. Gilly". The signature is written in a cursive style with a large, sweeping initial "M".

Mary Gilly, Chair
Academic Council

Encl.

Cc: Academic Council
UCOLASC Chair Manduchi
Vice Provost Carlson
Executive Director Farley
Executive Director Baxter
Senate Executive Directors



UNIVERSITY COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION
Roberto Manduchi, Chair
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February 17, 2015

MARY GILLY, CHAIR
ACADEMIC COUNCIL

Re: Report on Open Access Implementation

Dear Mary,

The UCOLASC committee reviewed the California Digital Library's 6-month report on the implementation of the Senate's Open Access policy during its October meeting. The Open Access policy rollout has been successful, and UCOLASC found no reason why the policy should not be expanded to all ten campuses as planned. Further, we urge the Academic Council to request that the Office of the President provide the California Digital Library with the funding necessary to support the systemwide implementation.

UCOLASC appreciates the amount of "behind the scenes" work by the Office of Scholarly Communication (OSC) that went into ensuring that the OA deposit requirement could be fulfilled by the three campuses. Most faculty are not (and probably don't need to be) aware of all the activities that are necessary to support the implementation of OA, including contacting hundreds of publishers, producing outreach material and an informative website, prepping the eScholarship portal page, and selecting and adopting the automatic publication harvesting system. It is absolutely critical that the University provides continuing support for these OSC activities if the UC Open Access initiative is to be successful.

The CDL 6-month implementation report is attached for your review. The initial deposit statistics included in the report show that faculty compliance with the policy during the pilot phase was low. To UCOLASC members, this data underscores of the OSC's continued collaboration with UCOLASC and possibly other Senate committees to ensure that all faculty members become aware of the real benefits that derive from open access to research and of the correct procedures to comply with the policy.

Thanks again for your support to the OA policy implementation. Please don't hesitate to contact me with any questions.

Sincerely,

A handwritten signature in cursive script that reads "Roberto Manduchi".

Roberto Manduchi, Chair, UCOLASC

UC Open Access Policy Implementation - 6-month review report

CDL Access & Publishing Team
UC Office of Scholarly Communication
UCI, UCLA and UCSF Library staff

June 6, 2014

Executive Summary

The California Digital Library, the UC Office of Scholarly Communication and the UCI, UCLA and UCSF campus libraries report herein on the progress of the technical implementation of the UC Open Access policy. This report follows, in design and content, the format reviewed and agreed upon by the University Committee on Library and Scholarly Communication (UCOLASC) following its meeting on April 18, 2014. Focused primarily on the implementation outcomes for the policy following its “go-live” date of November 1, 2013, the report emphasizes the technical and social infrastructures that have been developed to enable faculty at the three pilot campuses (UCI, UCLA and UCSF) to comply with ease with the policy’s article deposit requirement. Following the adoption of the systemwide policy on July 24, 2013, the CDL in partnership with campus libraries began work to create the following tools and services in support of the policy:

- Automatic publication harvesting system
- Efficient manual deposit process
- Waiver/Embargo generator
- Office of Scholarly Communication website
- Technical Development wiki
- Outreach materials for campus use

During this phase of implementation, the CDL consulted regularly with faculty, staff and librarians on the pilot campuses and well beyond via systemwide presentations and conversations, as well as more formal means of assessing the evolving implementation system. The CDL’s many efforts to reach out to and partner with the broader UC academic community have included attendance and participation at meetings of:

- University of California Academic Council
- University Committee on Library and Scholarly Communication (UCOLASC)
- UCLA Committee on Library and Scholarly Communication (COLASC)
- UCSD Committee on Library and Scholarly Communication (COLASC)
- University Committee on Research Policy (UCORP)
- Academic Planning Council (APC) meeting
- Scholarly Publishing Common Knowledge Group (SC CKG), formerly Scholarly Communications Officers (SCO) group
- Systemwide Library and Scholarly Information Committee (SLASIAC)

- Systemwide Academic Personnel staff meeting

As this report reveals, the work of establishing the infrastructure (both technical and social) to support the implementation of the UC Open Access Policy is well underway and has been successfully deployed in a timely and well-designed manner.

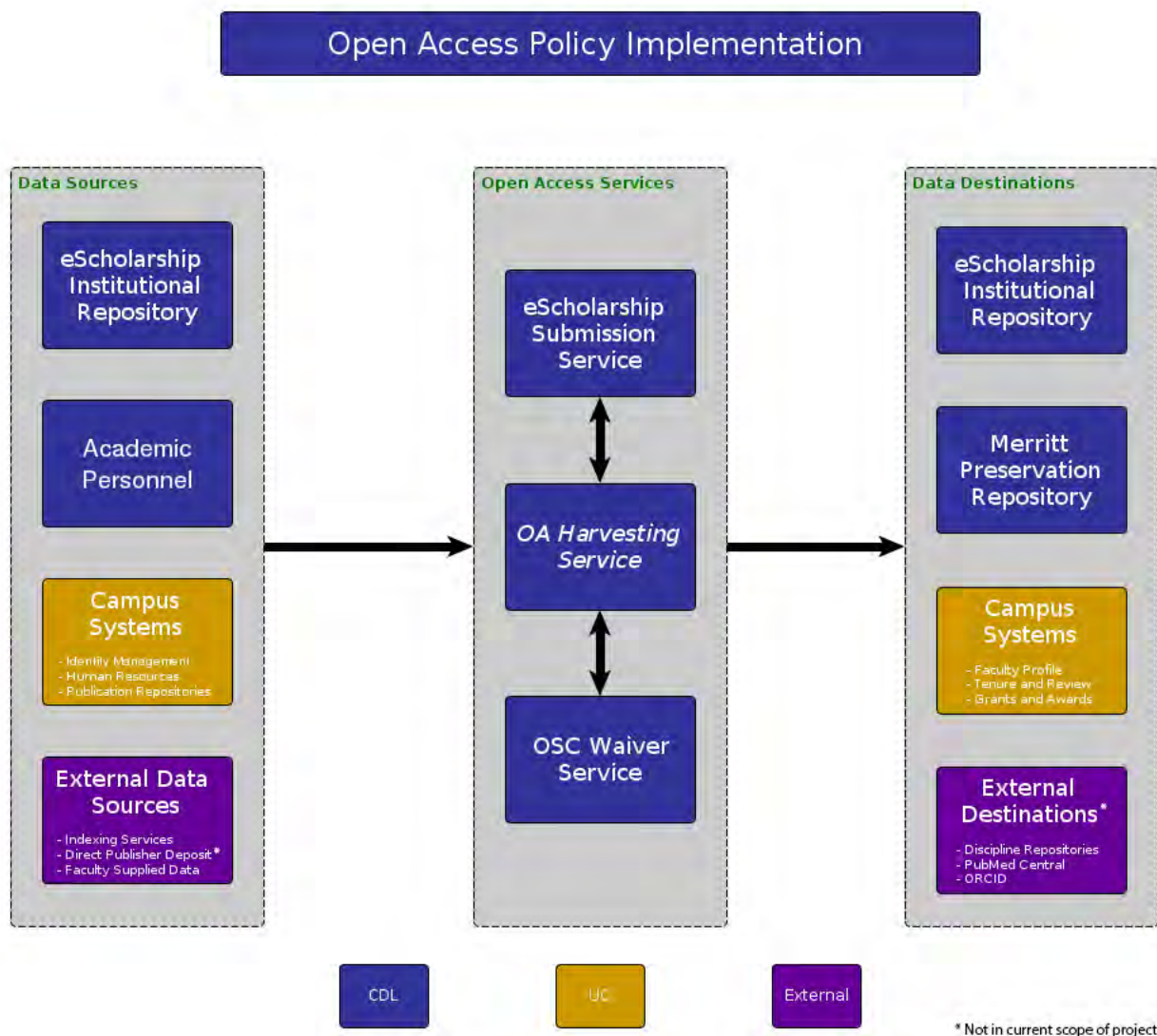
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Tools and Services

1. Automatic publication harvesting mechanism

The automated harvesting system, Symplectic Elements, will closely monitor publication data sources for any new materials published by UC authors at the three Pilot campuses (UC Irvine, UCLA, and UCSF), sending email notifications to faculty when new publications have been detected. Authors will then enter the system to claim these publications and submit manuscripts to eScholarship (UC's open access repository), where they will be made available to the public. This system, which promises increased efficiency and ease-of-use for the faculty in complying with the OA Policy, will be extended to the remaining seven UC campuses in AY 2014-15. See below for a schematic diagram of the harvester's role within the larger UC scholarly communication infrastructure:



- Requested delivery date/actual delivery date
 - Requested: June 2014
 - Actual: expected June 2014 (soft launch, reflecting pilot campuses' request to have more time to work on integration tasks and communication strategies)

- Methods of engagement with UC faculty/library community (during development and thereafter)
 - Vendor RFP progress was regularly updated on the [Open Access Policy Implementation wiki](#), available to the public.
 - Campus partnerships
 - Representatives from the pilot campuses served on the RFP evaluation team assembled to select the harvesting vendor.
 - Following the selection of Symplectic as the winner of the RFP, campus partners and CDL met in person to establish requirements for integration with existing campus information management systems (April 24, 2014)
 - Symplectic and CDL have worked to provide demos of the Elements project (for Academic personnel staff; for UCOP Office of Research staff, etc.). These discussions and demonstrations will continue to raise awareness of the tool and its capacity.
 - Consultation with systemwide groups and committees (see page 1)

- Comparison with comparable tools and services available at non-UC institutions with an OA policy
 - Manual support: Many US institutions with Open Access policies, like Harvard, use undergraduate students and library staff to manually support faculty compliance, from gathering publication records to identifying appropriate article versions for submission and uploading of metadata and accompanying files. A few are either investigating or implementing Symplectic Elements and representatives from these locations were consulted in advance of UC's decision to put out an RFP for a harvesting solution.
 - Custom tool: [MIT](#)--developed a custom harvesting tool that connects to licensed sources and pulls in bibliographic information into a system managed by library staff; faculty do not interact directly with this system.
 - Other implementations of Symplectic Elements
 - Duke--Symplectic Elements is available to all academic departments; email notifications of pending publications have not yet been enabled.
 - Current implementations of Symplectic Elements in the US:
 - Duke
 - Cornell
 - Emory
 - Georgia Tech
 - Texas A&M
 - University of Alabama, Birmingham
 - University of Colorado, Boulder
 - University of Pennsylvania
 - University of Tennessee, Knoxville

- Virginia Tech
- Ease of use – surveys/faculty testimonials
 - The harvester is not yet available for faculty use, so no direct feedback exists yet. Faculty have responded positively to screen shots of the system, like the one below, during demos:

The screenshot shows a user interface for managing publications. At the top, the user is logged in as Arthur Gray. The main heading is 'My Publications' with an 'Add a new publication' button. A yellow banner indicates 'You have 13 pending publications. Please claim the ones that are yours.' Below this, there are navigation tabs for 'Mine', 'Pending (13)', and 'Not mine'. The 'Pending (13)' tab is active. The interface includes a 'Filter results' sidebar on the left with various filters like 'Relationship type', 'Author of', 'Title', 'Journal', 'Reporting date from', 'Reporting date to', 'Publication type', 'SHERPA RoMEO colour', and 'Repository status'. The main content area shows a list of publications. The first publication is 'PS1-10afx at z=1.388: Pan-STARRS1 Discovery of a New Type of Superluminous Supernova', a journal article from 31 Jan 2013. It includes a table of journal rankings and citation counts. The second publication is 'The Dwarf Starburst Host Galaxy of a Type Ia SN at z = 1.55 from CANDELS', also a journal article from 10 Oct 2012.

Journal Rankings

ISSN	SNIP	SJR	ERA2010	Impact Factor
0004-637X	1.494	-	A*	3.1860
1538-4357	1.494	3.068	A*	-

Citations

Scopus	WoS	Europe PMC
7	4	8

2. Efficient manual deposit process

The streamlined [manual deposit tool](#) is an intuitive web interface that enables faculty to manually deposit their manuscripts in eScholarship with as few clicks and as little data entry as possible. The work on this manual deposit workflow predated the publication harvesting system as the quickest method to enable faculty to comply with the Open Access Policy following its adoption. Once the harvester is operational, it will likely subsume this function for most publications.

Submission Form

UC Davis: UC Davis Previously Published Works

Paper / Article | Book / Chapter | Non-Textual

* Publication status: Published

* Peer reviewed: Yes No

PubMed ID, PMCID, or DOI: pmid:15175677 Go

Publication Date: June 1 2004

* Title: Preprocessing of oligonucleotide array data.

* Author: Zhijin Wu (mi suf) institution (optional) email (optional - for stats)

* Author: Rafael A Irizarry (mi suf) institution (optional) email (optional - for stats)

* Discipline(s): Life Sciences X

* Journal: Nature biotechnology

Volume & Issue: 22 6

* Content: Browse | Drag and drop your PDF or Word file here. | Author final version recommended.

Or, if your article is already Open Access, enter the URL here:

Descriptive Info: Add keywords, abstract, etc.

I would like to delay public access to (embargo) this deposit.

I would like to specify how others may reuse this work.

* I accept the policies and terms of the Deposit Agreement.

Submit Clear Cancel

Reuse Terms

Copyright law limits the ability of others to spread and build upon your work. Using a Creative Commons license to grant defined permissions to readers can significantly increase the impact of your scholarship.

Note: authors who have signed a publication agreement for works **not covered by the open access policy** may not have the right to assign a license.

Answer the questions below to assign a Creative Commons license to your work:

1. Allow translations and other derivative works, so long as the work is properly cited?
 Yes No
 Yes, as long as others use the same license

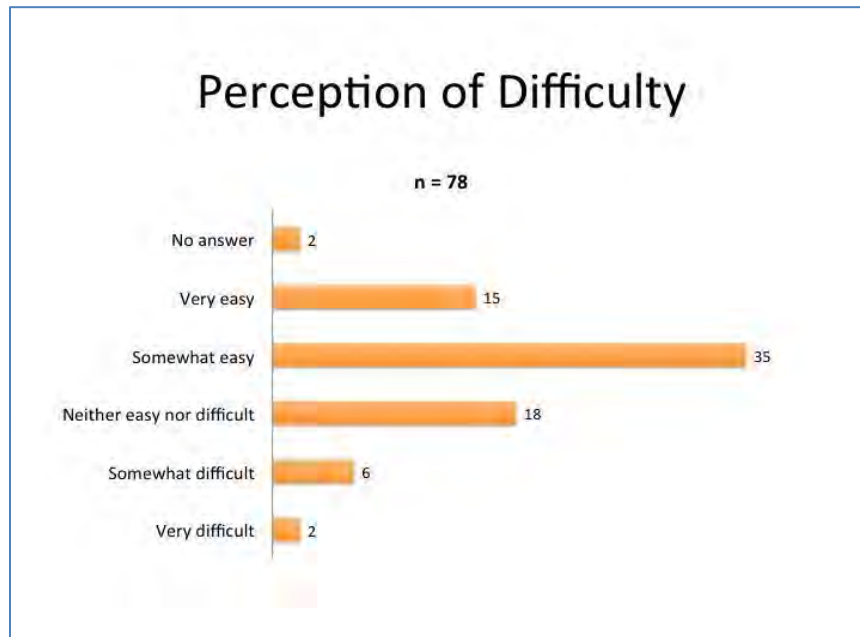
2. Allow commercial uses (such as course packs) of your properly-cited work?
 (Note: UCSF's OA Policy does not allow commercial uses.)
 Yes No

Reuse license (based on your selections):
 CC BY

This license lets others distribute, remix, tweak, and build upon your work, even commercially, as long as they credit you for the original creation.

- Requested delivery date/actual delivery date
 - Requested delivery date: 11/1/2013
 - Delivered: 10/30/2013
- Methods of engagement with UC faculty/library community (during development and thereafter):
 - Interviews with faculty and librarians leading up to the OA Policy vote revealed the need for the following improvements over our existing submission platform:
 - Fewer screens to click through, more intuitive navigation
 - Drag-and-drop file upload
 - Pre-filled author information (based on profile of currently authenticated user)

- Robust support for importing metadata when a PubMed ID or DOI was available
 - Intuitive selector for Creative Commons licenses
 - Ability to delay public access to (embargo) a deposit
 - Ability to provide a link to an item (rather than upload a file) when it is already available in an open access format
 - Guidance on which version of a file to upload, based on the terms of the policy
 - Upon the release of the new manual submission workflow, CDL also released A [Quick Start Guide](#), a [training video](#), and full documentation of the manual deposit system.
 - Consultation with systemwide groups and committees (see page 1)
- Comparison with comparable tools and services available at non-UC institutions with an OA policy
 - Consultation with other institutions revealed that faculty do not typically deposit articles themselves in support of an institutional open access policy; instead students and library staff often reach out to faculty individually, gather CVs and manuscripts, then do the uploading on behalf of the faculty member. Most manual deposit systems at other campuses closely resembled the eScholarship platform that existed before this work was done to improve the process. A comparison of the new vs. older eScholarship deposit forms [can be found online](#).
- Ease of use – surveys/faculty testimonials
 - Interactive user interface/user experience survey, for faculty, researchers and librarians (9/18/2013 - 9/25/2013)
 - Invitation distributed widely to campus stakeholders. 117 responded, 84 completed the survey in full.
 - Participants were shown a series of 14 screen captures from the new manual deposit platform (and other supporting web pages) and asked where they would click to complete certain tasks. Participants' clicks were recorded as heatmaps, which were used to further refine the positioning of UI elements during development.
 - After interacting with screen captures, participants were asked “How easy or difficult do you think it will be to complete the submission process?” Their responses are indicated in the chart below:



- Open ended feedback indicated that the system was an improvement over the previous platform; however users still wanted something more automated.
- User interface/user experience [interviews](#) with faculty & eScholarship administrators (9/24/2013 - 10/1/2013)
 - 14 participants invited, representing all 10 campuses. Eight responded
 - Users reported the need for the following improvements to the proposed re-design:
 - Clarification of terminology
 - Removal of publication date requirement
 - Improved file version guidance
 - Simplified creative commons options
 - These concerns were all successfully addressed in the final release.
- Feedback from one of the first post-launch users of the new platform (11/7/2013): “I found the process largely painless, and I plan to use it again. It beats the heck out of photocopying! ...I might not bother to deposit every article, but the ones that I'd like to see more widely read will be worth the 30 seconds or so that it takes to deposit them.”

3. Waiver/Embargo generator

UC's original [Waiver/Embargo generator](#) was developed approximately two months after UCSF faculty adopted their Open Access policy in May 2012. As publishers became aware of the policy, some began requiring proof of an embargo or waiver of the policy before agreeing to publication contracts with UCSF authors. Working in consultation with UCSF faculty and library staff, CDL designed a system that allowed researchers to quickly generate this documentation when required. The waiver/embargo generator was expanded to cover all campuses upon adoption of the system-wide policy in July 2013.

The screenshot shows the web interface for the UC Open Access Policy Waiver/Embargo generator. The page header includes navigation links: Home, UC Open Access Policy, Scholarly Publishing, Publishing Tools, News and Archives, About DSC, and Campus Resources. The main heading is "OFFICE OF SCHOLARLY COMMUNICATION UNIVERSITY OF CALIFORNIA". A search bar and "Comments? Feedback?" link are also present.

The main content area is titled "Get a Waiver, Embargo, or Addendum for your Publisher". It features a quote: "Upon express direction by a Faculty member, the University of California will waive the license for a particular article or delay access to the article for a specified period of time." -UC Open Access Policy, July 24, 2013.

Below the quote, there are three radio button options for selecting a form letter:

- An embargo delays public access to an article in eScholarship until a chosen time period has passed after the article is published in a journal. The author chooses to retain the rights reserved by the policy, but agrees not to exercise them until the embargo period has passed. [View a sample embargo letter](#)
- A waiver opts out of the policy completely for a particular article. The author's rights are limited to what is allowed by the publication agreement she or he signs with the publisher. [View a sample waiver letter](#)
- An addendum can be sent to a publisher by an author who wishes to remind a publisher about the policy or make sure the publisher understands its terms. The policy's license will have force whether or not the addendum is used. The University of California has notified nearly 200 publishers about the policy already, and you can check [this list](#) to see if your publisher is one of them.

On the right side, there is a section for questions: "Have questions about the policy? Visit our Policy FAQ page. You may also contact us." and "If you wish to deposit an article in accordance with the UC Open Access Policy, visit the Deposit page."

The form fields include:

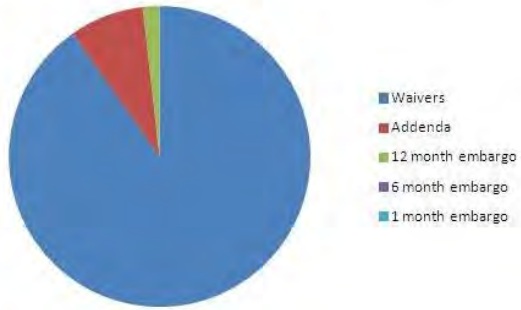
- * Campus: Please Select Campus (dropdown)
- * Article Title: (text input)
- * Faculty Author: First, Middle, Last (text inputs)
- * Journal: (text input)
- Publisher: (text input)
- * Discipline: Select Discipline (dropdown)
- * Email: (text input)

Buttons for "Cancel" and "Save" are located at the bottom of the form.

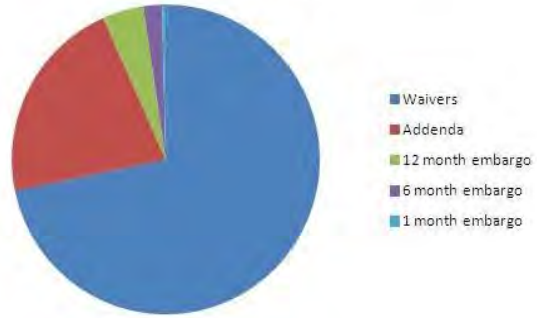
- Requested delivery date/actual delivery date
 - UCSF-only system--requested and delivered July 2012

- UC system--requested and delivered August 2, 2013
- Methods of engagement with UC faculty/library community (during development and thereafter)
 - Workflow and wording consultation with
 - UC Open Access Policy faculty leadership (Rich Schneider, Chris Kelty)
 - Campus Scholarly communications Officers (particularly at UCSF)
 - Consultation with systemwide groups and committees (see page 1)
- Comparison with comparable tools and services available at non-UC institutions with an OA policy.
 - Almost all universities and colleges with Open Access policies provide some mechanism for faculty to opt-out and obtain a waiver. Some provide an email address to which an author can send a request:
 - Duke: <http://library.duke.edu/research/openaccess>
 - Columbia: <http://scholcomm.columbia.edu/open-access/open-access-policies/frequently-asked-questions/>
 - Others offer automated systems similar to UC's:
 - Harvard: <https://osc.hul.harvard.edu/authors/waiver>
 - MIT: <http://libraries.mit.edu/scholarly/mit-open-access/open-access-at-mit/mit-open-access-policy/mit-faculty-open-access-policy-faq/#publisher>
- Ease of use
 - Steady use across all campuses
 - More than 600 requests for documents have been fulfilled
 - 500+ waiver requests
 - Just under 30 embargo requests
 - Nearly 100 addendum requests (UC is no longer promoting this approach based on feedback from other institutions. The policy protects the faculty's right to grant a license to UC for their publications. There is no need for then to include an addendum with their publishing agreements.)
 - Most requests are from UCSF
 - Limited reports of problems
 - Fewer than a handful of customer support queries have been received

July 2012 - July 2013 (UCSF policy)
303 waivers



Aug 2013-May 2014 (UC-wide policy)
183 waivers



4. Office of Scholarly Communication website

The [Office of Scholarly Communication website](#) replaced the old “Reshaping Scholarly Communication” website, which was initially developed in 2003. The new site has two main sections, one of which is specifically devoted to the Open Access Policy and another that gives broader context to scholarly communication issues. The Open Access Policy portion of the site contains:

- UC OA policy text
- Article deposit workflow start page
- Waiver/embargo generator
- OA Policy FAQ
- Historical documents related to the policy’s adoption, including previous versions
- Summary of UC communications with publishers about the policy
- Campus and central contact information for questions about the policy
- Tools to support campus OA Policy outreach

The site is built on WordPress which allows easy updating based on user feedback. The site also includes drop down and side menus for easy navigation and a blog section for covering updates and news related to scholarly communication generally or the policy specifically.

The screenshot shows the homepage of the Office of Scholarly Communication at the University of California. The navigation bar includes links for Home, UC Open Access Policy, Scholarly Publishing, Publishing Tools, News and Archives, About OSC, and Campus Resources. The main header features the organization's name and a search bar. Below the header, there is a featured article titled "Charting New Directions in Scholarly Communication at the University of California" with a summary and a list of links. A video player is embedded, showing a hand writing "UNIVERSITY OF CALIFORNIA OPEN ACCESS POLICY" on a scroll. The right sidebar contains several promotional boxes: "UC OPEN ACCESS POLICY" with a "Learn more" link and "DEPOSIT WAIVER FAQ" buttons; "UC PUBLISHING TOOLS" listing eScholarship, DATAUP, EZID, and Merritt; and "UC OA POLICY EXPLAINED" featuring a video by Chris Kelly.

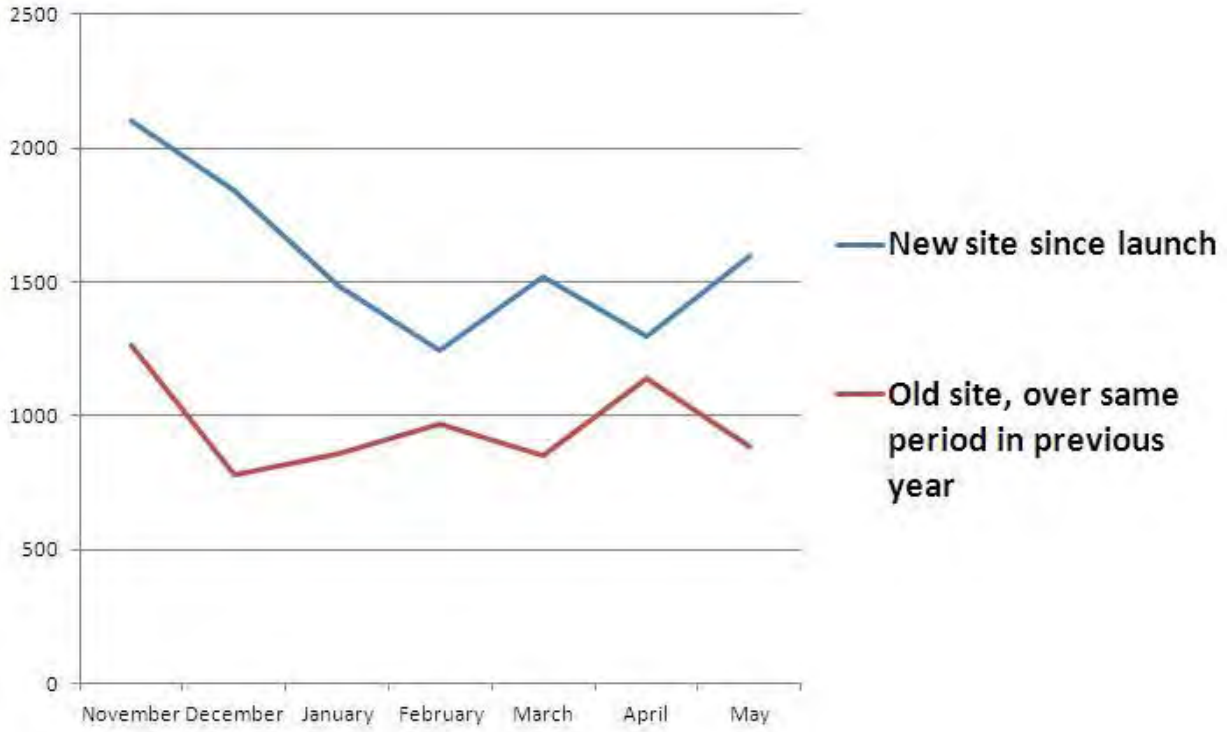
- Requested delivery date/actual delivery date
 - Requested: 11/01/13
 - Actual delivery date: 10/23/13

- Methods of engagement with UC faculty/library community (during development and thereafter)
 - Draft pages reviewed before release by key faculty contacts, UC Scholarly Communication Officers (now the Scholarly Publishing Common Knowledge Group) and UC Libraries' Strategic Action Group 1 (Scholarly Research and Communication)
 - [90-second whiteboard video](#) created to give faculty quick, engaging introduction to the policy, concluding with shortened "[uc-oa.info](#)" link to follow for more information
 - Embeddable ads created for use on campus library and departmental websites, along with a customizable slide deck, are available on a "[Get the Word Out](#)" page. The video has been accessed from:
 - osc.universityofcalifornia.edu
 - escholarship.org
 - guides.lib.ucdavis.edu
 - libguides.lib.uci.edu
 - gradpost.ucsb.edu
 - wiki.library.ucsf.edu
 - libguides.ucmerced.edu
 - libguides.ucmercedlibrary.info
 - guides.library.ucsc.edu
 - Consultation with systemwide groups and committees (see page 1)

- Comparison with comparable tools and services available at non-UC institutions with an OA policy
 - FAQ has been requested for reuse by Cal State San Marcos and Smith College. The site now has a CC BY license, to make it easier for the UC perspective to be shared at other institutions.
 - Most peer sites have fewer pages, less clear structure or navigation, and do not appear to be updated much after policy adoption.
 - [Harvard](#): Text of Harvard Policies as adopted by various divisions, brief FAQ, links to open access publishing fund, repository, and copyright help contacts.
 - [Duke](#): More faculty testimonials and blog posts than UC site. No FAQ about the policy. Links to open access publishing fund, repository, and information about open access dissertations and journals.
 - [Caltech](#): Long FAQ similar to UC's, link to policy text, and a list of publishers that have been contacted.
 - [MIT](#): Detailed FAQ, text of policy, quotes from article readers expressing appreciation, instructions for faculty participation, and list with information about which publishers have agreed to cooperate with the policy. UC's approach, after

consultation with UCOLASC, has been to notify publishers rather than seek agreement, but we understood the helpfulness of MIT's publisher-by-publisher information and that informed the development of our [Publisher Communications](#) page.

- Ease of use – surveys/faculty testimonials
 - “The Scholarly Communication website looks great! Thank you for forwarding the link and the information about open access.” - UCOP Research Policy
 - “I thought it looked good. I could find the answers to all the questions pretty easily, with the exception of who the policy applies to. I could only find that buried on the FAQ page.” - Faculty member, Chemistry, UCSC
 - “It looks great. Very thorough. Well done.” - Faculty member, Philosophy, UCSC
 - “The 90 second video is excellent. ... The organization looks good, especially the FAQs.” - Faculty member, Engineering, UCSC
 - “I think your folks have done a superlative job putting together the website in terms of ease of navigation and the completeness of the information. I am about to meet with our Chair of the Academic Senate later this morning, and the site brings together all of the resources that I need to walk him through the OA policy and the process being built to support it.” - UC Riverside UL
 - “The resources at <http://osc.universityofcalifornia.edu/> keep getting better and better!” – Faculty member, Law, UC Berkeley
 - Site usage is up, as demonstrated by the graph below. Analytics recorded 11,084 sessions in the first seven months since the site's relaunch, compared to 6,742 sessions over the same period in the previous year.



5. Technical development wiki

The [UC Open Access Policy implementation project wiki](#) was created based on a perceived need for ongoing transparency in the UC faculty/library community and options for engagement in the process of developing tools and services to support the policy. While the Office of Scholarly Communication site is the centralized resource for information about the policy and gateways to active project components (such as the deposit workflow and the waiver/embargo generator), the wiki is a space that enables the UC community and beyond to track the technical progress of the project, learn more about its various components, and view related material such as mock-ups and planning documents.

Open Access Policy Implementation (OAPI) Project

Created by Zach Silveira, last modified by Katrina Romanowsky on May 01, 2014

The purpose of this wiki is to provide an open, shared space where UC faculty, librarians, and other stakeholders can engage directly with the Open Access Policy Implementation (OAPI) team and track progress as we build tools and services to support participation in the UC Open Access policy.

For general information about the policy and how to comply with its terms (including requesting a waiver or embargo), please visit the Office of Scholarly Communication website.

About OAPI


- OAPI Overview
- Navigating the wiki
- Project Timeline
- Community Engagement
- Development Partners
- Meet the OAPI team

Project Components

- Streamlined manual deposit ✓
- Automated publication harvesting system for UC Irvine, UCLA & UCSF ⚠
- Embargo, opt-out waiver and addendum generator ✓
- Office of Scholarly Communication Site Launch ✓

Get involved

We encourage you to join in the planning and implementation process by participating in our Discussion Forum or contacting us directly.




Latest news


- 📅 [In-Person OAPI Project Partners Meeting](#) May 01, 2014
- 📅 [The University of California awards contact to Symplectic for the implementation of a publication harvesting system to support UC's Open Access Policy](#) March 03, 2014
- 📅 [The New UC Open Access Policy: Learn the Basics](#) Nov 19, 2013

(More)

Featured Videos



Watch video



SEE VIDEO

[View captioned version](#)

- Requested delivery date/actual delivery date:
 - No requested delivery date - not included in Academic Senate request for implementation support
 - Launch date: September 4, 2013
- Methods of engagement with UC faculty/library community (during development and thereafter)
 - Listserv (51 subscribers)
 - Blog within wiki (with latest news on the homepage)
 - Webinar: First Look at OA Policy Tools for Deposit (62 attendees) - October 17, 2013
 - Consultation with systemwide groups and committees (see page 1)
- Comparison with comparable tools and services available at non-UC institutions with an OA policy

- The closest comparison would be the information MIT and Duke make publicly available about their harvesting systems. To our knowledge, they do not provide the same level of ongoing public updates on the implementation progress.
- Ease of use – surveys/faculty testimonials
 - Google Analytics shows steady interest in the wiki, with periodic peaks in activity. The most heavily accessed pages are the homepage, which displays the latest news posts from the blog; the project scope & timeline; and specific project components such as the automated publication harvester, the embargo and waiver generator, and the streamlined manual deposit process.

6. Outreach materials for campus use

The outreach materials created for campus use in connection with the UC Open Access Policy were developed in order to:

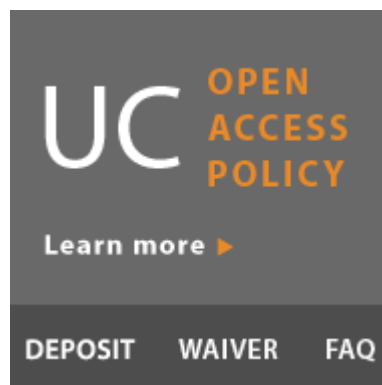
- Share information about the policy in a variety of engaging, informative formats
- Allow for easy use by the campuses in further spreading the news
- Provide clear guides and documentation to help faculty participate in the policy and to help publishers understand the terms of the policy
- Provide a consistent message for all campuses as requested by the Academic Senate

The following were developed to accompany the November 1, 2013 launch of the manual deposit process for the pilot campuses:

- Manual deposit [Quick Start Guide](#), [training video](#), and full documentation
- [90-second whiteboard animation video](#) to introduce the policy (Placed on wiki, eScholarship homepage, OSC site, referenced in EVCs letter circulated among faculty at all campuses)



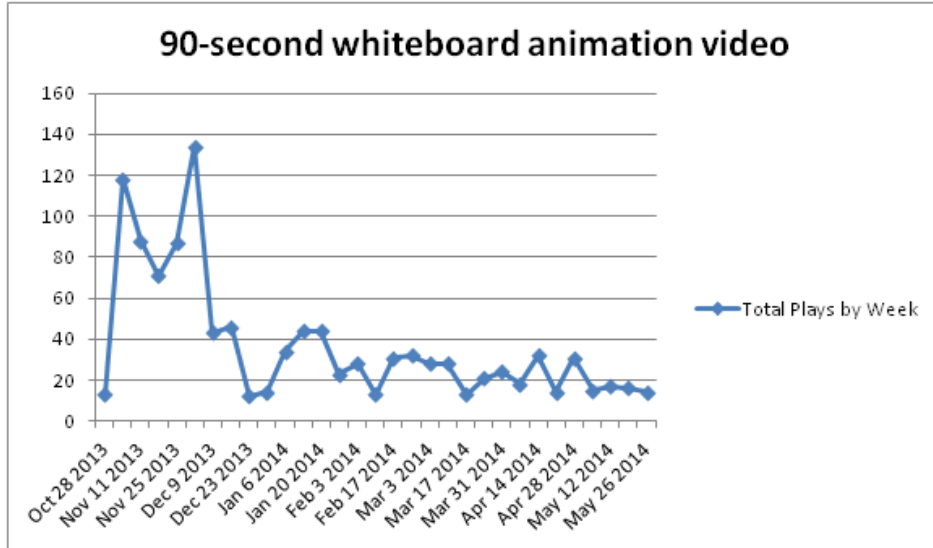
- [Transferable “ads”](#) that can be inserted on campus web sites with direct access to FAQ, Deposit, Waiver (circulated to campus librarians, UCOLASC)



- Presentation slides to introduce the policy and the tools that support faculty participation (for use by campus librarians, COLASC members, etc)
- [UC OA Policy FAQ](#)

CDL and the campuses continue to work together to add more materials to this collection, including a revised/streamlined FAQ and visual guide to OA Policy participation, currently under development.

- Requested delivery date/actual delivery date:
 - No requested delivery date - not included in Academic Senate request for implementation support
 - Release date: September 1, 2013
- Methods of engagement with UC faculty/library community (during development and thereafter)
 - Webinar: First Look at OA Policy Tools for Deposit (October 17, 2013)
 - Social media (twitter, facebook)
 - Scholarly Publishing and Academic Resources Coalition (SPARC) 2014 “Innovation Fair” presentation and poster session, under the category “Original Outreach”
 - Consultation with systemwide groups and committees (see page 1)
- Comparison with comparable tools and services available at non-UC institutions with an OA policy
 - The outreach materials created for the first phase of the UC OA Policy were carefully developed with an eye toward integration with the Office of Scholarly Communication and eScholarship sites, as well as other campus-oriented resources. The intention was to make the materials as visible as possible within centralized locations visited frequently by members of the UC faculty/library community.
 - [MIT](#) set up a page with podcasts and videos that describe their policy and talk about the importance of open access
 - [Duke](#) uses blog posts and video interviews with their researchers to demonstrate the benefits of open access research
- Ease of use – surveys/faculty testimonials
 - “[The UC-OA video] really is a model of clear, user-friendly, and fun communication of a complex topic.” – Faculty member, Law, UC Berkeley
 - Usage rates for the whiteboard animation video are graphed below.



CDL Resources Expended

See the charts below for details about the CDL resources expended during this phase of the implementation project. No new staff were hired. All work was done by existing eScholarship and UC Office of Scholarly Communication staff. This resource accounting does not include campus resources. We propose including those data in the next phase of implementation reporting.

Waiver Generator Summary (May 2012-October 2013)

<i>Person</i>	<i>%FTE</i>
Tech lead	15
Programmer 1	50
Programmer 2	25

Manual Deposit Summary (October 2012 - May 2014)

<i>Person</i>	<i>%FTE</i>
Tech lead	20
Programmer 1	10
Programmer 2	40
Proj manager	30
Communications	10

Harvester Summary (March 2012-May 2014)

<i>Person</i>	<i>%FTE</i>
Tech lead	20
Programmer 1	35
Programmer 1	30
Proj Manager	20

Office of Scholarly Communication site (June 2013-May 2014)

<i>Person</i>	<i>%FTE</i>
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OSC Op director	20
Copyright expert	30

***Wiki/Outreach materials Summary
(August 2013 - ongoing)***

<i>Person</i>	<i>%FTE</i>
Tech lead	5
Copyright expert	5
Proj manager	5
Communications	25
Analyst	5
Support staff	5

Pilot Campus Reports:

UC Irvine Open Access Policy Implementation review report

May 29, 2014

Mitchell Brown, Scholarly Communications Coordinator

Adrian Petrisor, Director of Information Technology

- IT/Harvesting Software Implementation
 - Review of extract from campus information systems to identify department designations from HR feed – February 2014
 - Adrian and Mitchell met with CDL, colleagues from the three pilot campuses, and representatives from Symplectic to discuss the current status and next steps for implementation of the harvesting tool– April 24, 2014
 - Test load of data from MyData (faculty information system) to Elements – May 2014
 - Meeting with Dean of Academic Affairs and Campus Communications to discuss Symplectic Data and MyData interaction – June 9, 2014

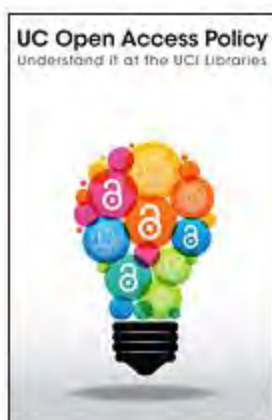
- Campus events sponsored by the library or other units
 - Open Access Week Event – October 21, 2013. “Redefining Impact @ UCI”
Presentations by Dean of Social Ecology, Professor Chris Kelty, Dr. Mark I. Langdorf MD (founder, Western Journal of emergency Medicine), Mitchell Brown
Demonstration of “Upload-A-Thon” – the eScholarship Workflow

 - May 22, 2014 – SPARC California Tour Road Show
Presentations by SPARC speakers on Open Access and education resources to an audience of faculty and graduate students - part of the SPARC staffers’ UC-wide tour coordinated by UCLA..

- Departmental meetings
Meetings with Scholarly Communications Coordinator and department liaisons
 - Meeting with Chairs of the School of Social Ecology – February 3, 2014
Forthcoming:
 - Department of Public Policy and Planning – June 2, 2014
 - Psychology and Social Behavior– June 2, 2014
 - Criminology, Law and Society – June 9, 2014
 - Earth System Science – November 6, 2013; January 10, 2014

 - Scheduling for Departments of Physics and Astronomy, Mathematics – schedule for April 2014 but extending into the summer months, pending space on department meeting agendas.

- Meetings with the library committee, or other Senate committees
 - Presentation to CORCL (Council on Research Computing and Libraries) - October 17, 2013
 - Presentation of Open Access Proposal, eScholarship voluntary submission, proposed harvesting software for phase IILAUC Assembly 2014: Presentations – “Best Practices for Promoting the Value of Libraries to Faculty” (<http://sites.uci.edu/learninglibrary/2014/05/09/lauc-assembly-2014-presentations-best-practices-for-promoting-the-value-of-libraries-to-faculty/>) – May 9, 2014
 - Archived video: **Promotion of library services to faculty**, 2-3pm (<http://uc-d.adobeconnect.com/p3pbl450tw2/>)
 - “Senate Committees: Being at the Table = Library Value” Cynthia Johnson, Head Reference and the Grunigen Medical Library, UC Irvine; Brian Williams, Education and Outreach Librarian, UC Irvine
 - “Outreach to Faculty for UC Open Access Policy” Mitchell Brown, Research Librarian for Chemistry, Earth System Sciences, and Russian Studies and Scholarly Communications Coordinator, UC Irvine
 - “Publish or perish? The Future of Academic Publishing and Careers” – UC Davis, 13-14-Feb.2014 (http://icis.ucdavis.edu/?page_id=22)
- Collateral such as flyers, postcards, etc.
 - Postcards linked from Digital Scholarship Services (<http://www.lib.uci.edu/dss/>)



- Open Access: Redefining Impact @ UCI: “Upload-A-Thon” – the eScholarship Workflow (flyer)
- Template for liaison outreach to faculty. Summary of OA topics, eScholarship/UC3 support services. The template is edited by topical areas (Humanities/Arts, Social Sciences, Engineering/Medicine/Science) for their target constituents. (attached)
- Newsletters/mailings, videos, etc.
 - Blog entries:
 - UCI LIBRARIES: OPEN CALIFORNIA TOUR – SPARC PRESENTATION ON OPEN EDUCATIONAL RESOURCES (<http://sites.uci.edu/learninglibrary/2014/05/15/uci-libraries-open-california-tour-sparc-presentation-on-open-educational-resources/>) – May 15, 2014

- UCI Libraries Update: [Vol. 32, No. 1, Fall 2013] “UCI Adopts Open Access Policy “
(<http://update.lib.uci.edu/fall13/03.html>)
- FAQs, library guides or other forms of guidance
 - Digital Scholarship Services (<http://www.lib.uci.edu/dss/>)
 - Scholarly Communication and Management Program
(<http://www.lib.uci.edu/about/projects/scamp/scholarly-communication-and-management-program.html>)
 - Scholarly Communication & Related Issues (LibGuide)
(<http://libguides.lib.uci.edu/ScholarlyCommunication>)

UC Open Access Policy Activities at UCLA May 30, 2014

Sharon E. Farb, Associate University Librarian for Collection Management and Scholarly Communication

The UCLA Library has developed a robust program of scholarly communication outreach and engagement, which will celebrate its tenth anniversary this fall. As a mission-critical activity, scholarly communication is incorporated into the Library's strategic plan, with staff and funding resources dedicated to it at all levels of the organization. Key components of the program, described in the following paragraphs, enable us to do proactive outreach in support of expanding access to recorded knowledge for our students, faculty, and researchers.

The Library's scholarly communication and licensing department develops strategic directions for scholarly communication initiatives, supports scholarly communication services, and delivers our constantly growing electronic collections to the UCLA community. Reporting to the associate university librarian for collection management and scholarly communication, the department coordinates outreach activities and provides services in support of research, publication, and instruction on copyright, publishing, and intellectual property to UCLA faculty and students. Several UCLA librarians with law degrees advise on both legal and legislative issues. In addition, the department has built an enterprise-wide infrastructure for expanding e-resource collections and management, which includes support for selection, acquisition, licensing, access, and ongoing maintenance of electronic materials for the benefit of the campus community as well as the broader public. Specific activities include administering the UCLA instance of the Web Archiving Service, overseeing commercial licensing and mass digitization efforts, and advising on permissions and rights metadata.

In addition, the associate university librarian for collection management and scholarly communication chairs the scholarly communication steering committee, a Library-wide team of librarians and staff. This committee coordinates activities by library liaisons, subject specialists, and public services staff throughout the UCLA Library and in affiliated units to engage with faculty, students, and researchers about open access publishing and the UC Open Access Policy.

Completed Communications Activities

UCLA Library web page with information and resources about the policy and dedicated email box¹, <http://www.library.ucla.edu/service/open-access-policy> – launched October 2013

Information distributed to new faculty in orientation packets and provided in person by Professor Chris Kelty, former chair of the systemwide committee on Library and Scholarly Communication, which developed the policy, and AUL Sharon Farb at lunch for new faculty – October 3, 2013

¹ To date, four messages from faculty have been received and replied to.

Email message from EVC Scott Waugh and Senate Chair Jan Reiff to Administrative Officers, Deans, Department Chairs, Directors, Faculty, Vice Chancellors and Vice Provosts, <http://evc.ucla.edu/announcements/open-access-policy-goes-into-effect-november-1> – October 8, 2013

News item, calendar listing, and notice in the letter from the university librarian in fall issue of *UCLA Library News for the Faculty* e-newsletter, <http://e2.ma/webview/2z3yd/81452429de2a0b614b5f75f339e20d70> – sent October 9, 2013

Open sessions for faculty, featuring a presentation by Professor Chris Kelty and a Q&A period – October 17, 22, and 25, 2013; his presentation is also accessible on the Senate website at <http://www.senate.ucla.edu/documents/SixThingstoknow.pptx>

Step-by-step how-to guide/handout added to the UCLA Library web page about the policy, http://www.library.ucla.edu/sites/default/files/UC-Open-Access-Policy_how-to-handout_Fall2013.pdf – early November 2013

Bookmarks about the policy created and distributed during the online/blended instruction faculty summit organized by the Academic Senate, at a “genius bar” session in the Research Library research commons – February 27, 2014

Talk by UL Ginny Steel at SEL deans/department chairs meeting – April 21, 2014

Ithaka survey new module on faculty attitudes toward scholarly publishing and open access – administration completed May 2014; analysis currently in progress

Ongoing/In Progress/Upcoming Communications Activities

Presentation by Sharon Farb at a School of Public Health faculty meeting, bookmarks and how-to guides will be distributed – June 4, 2014

News items in each issue of the quarterly *UCLA Library News for the Faculty* e-newsletter; Winter 2014 issue at <http://e2.ma/webview/u9hme/98b9c748e0db06815608b1ee12b0cb78> and Spring 2014 issue at <http://t.e2ma.net/webview/icg1e/ad9c9a1c281d28def00254e4f46e8678>

Spotlight graphic on Library homepage at <http://www.library.ucla.edu/> linked to policy web page

Notification to university communications and development staffers about the policy, that faculty research is now available online, and that they can link to research that they’re writing about, accompanied by request that they prompt faculty they’re working with on any media relations activities to make sure their research articles are accessible, including contacting us for assistance if necessary.

End-of-quarter message suggesting that faculty deposit policy-covered articles during their downtime over the summer and offering Library assistance

Communications Activities Under Consideration

Provide subject specialists with a line or two of boilerplate about the policy to include in other routine communications with their faculty as a reminder

Create monthly reports for each academic department of all articles by faculty in that department uploaded to eScholarship during the previous month; send to all faculty in that department

Monitor Web of Science RSS feed to see articles by UCLA faculty authors, then prompt those authors to deposit articles

Train department administrative assistants and web managers in how to deposit articles

IT/Harvester Activities

DIIT staff named to the harvester RFP team (together with staff from CDL, UCSF, and UCI), then reviewed and revised the RFP – August 2013

Harvester RFP team collaborated on a scoring rubric to assess the harvester proposals, then reviewed and independently scored the three proposals that were submitted – October 2013

DIIT staff attended a presentation at CDL to view presentations by the three vendors that answered a common set of questions developed by the RFP team – November 2013

DIIT staff helped CDL staff establish a relationship with the UCLA campus shibboleth identity provider so CDL could obtain faculty member data, then served as the point of contact for the application process – February 2014

DIIT staff took a list of abbreviated UCLA department names provided by CDL, provided official department names, and gave feedback about issues with the data – February 2014

DIIT staff participated in a meeting to get a better understanding of the ORCID and UCLA Library Repository Initiative plan and how they might intersect with OPUS and the UC Open Access Policy implementation – March 26, 2014

DIIT staff met at CDL with representatives from Symplectic and partners from the three pilot campuses to discuss the current status and next steps; staff members continue to participate in discussions and assignments. – April 24, 2014

UCSF Open Access Policy Implementation review report

May 28, 2014

Anneliese Taylor, Assistant Director, Scholarly Communications & Collections

- Campus events sponsored by the library or other units
 - The UCSF Library organized an event on October 29, 2013 featuring Rich Schneider (former COLASC chair), who reported on the background of and progress on the Open Access Policy. Karen Butter (University Librarian) and Megan Laurance (Research Informationist) from the Library also presented on policy developments related to OA publication of scholarly articles and data sets.
- Departmental meetings
 - Rich Schneider was invited to departmental meetings to present on the policy and answer questions. Several faculty requested a decision tree to help them work through the policy, which prompted the development of one by the Library & OSC.
- Meetings with the library committee, or other Senate committees
 - Rich Schneider and Karen Butter spoke to the UCSF Divisional Senate meeting on February 24, 2014.
 - UCSF's COLASC has discussed the OA Policy at every regular meeting 2013-14. Discussion has focused on logistics of carrying out the policy, the letter going out to faculty about the policy, a promotional flyer, and a decision tree.
- Collateral such as flyers, postcards, etc.
 - The Library developed a promotional flyer with the "Exercise Your Rights" theme.
 - The Library and CDL's Office of Scholarly Communication are currently finalizing a decision tree to help faculty work through what needs to be done with regards to the Policy through the publication process.
 - Both of these documents were reviewed by COLASC and integrated modifications suggested by faculty.
- Newsletters/mailings, videos, etc.
 - The Library put up a web [news item](#), which was also included in the monthly Library newsletter that goes to all academic faculty and staff.
- FAQs, library guides or other forms of guidance
 - The Library made up a one-page flyer with key points about the policy to be handed out at events during Open Access Week and Faculty Development Day, and to individual meetings with faculty.
 - The Library updated its [web page](#) in November/December 2013 to include the OSC site, promotional video, and images, and to encourage deposit in eScholarship.
 - An email address, oopolicy@ucsf.edu, has been in place since 2012 which goes to three individuals (Anneliese Taylor and Karen Butter at the library, and Shilpa Patel, analyst with Academic Senate). The web page also lists Anneliese as a direct contact for questions by phone. The email address and phone contact are used by faculty, their support staff, and by other

scholars who have specific questions about the policy and specific articles they are having published.