

Meeting Minutes

October 23, 2015

Attending: Eric Bakovic, Chair, (UCSD), Luca de Alfaro, Vice Chair, (UCSC), Sean Walsh (Irvine), Leonard Nunney (UCR), Eileen Zurbruggen (UCSC), Candace Waid (UCSB), Karl Ryavec (UCM), Dana Peterman (LAUC Vice President) (telephone), Lorelei Tanji (CoUL Chair), Eric Sobel (UCLA), Thomas Shannon (UCB), Mary Christopher (UCD), Cynthia Darling (UCSF), Ivy Anderson (Interim Executive Director and Director, Collection Development & Management, CDL), Catherine Mitchell (Director, Access and Publishing Services, CDL), Dan Hare (Chair, Academic Senate), Jim Chalfant (Vice Chair, Academic Senate), Brenda Abrams (Principal Policy Analyst)

I. Chair's Announcements

Chair Bakovic welcomed everyone and members introduced themselves. The chair noted that some campuses have combined the library committee with their information technology committee, but IT issues are not part of UCOLASC's charge. Members were reminded about the confidentiality of documents and Chair Bakovic described some of the topics UCOLASC discussed last year. The committee received a brief overview of the Senate's Open Access policy full implementation of which is now in effect at seven of the UC campuses. The UC Press has implemented a new Open Access mega journal and a monograph series within the past few months. The release of the new Presidential Open Access policy applicable to non-Senate faculty is imminent. UC is running out of space in the libraries and different approaches are being considered simultaneously, and the committee will discuss this later today.

Discussion: The Senate's Open Access policy refers to "scholarly articles". This phrase refers to published research articles in the broadest sense of the term, and authors are best situated to understand what writings fit the category of "scholarly articles" within their discipline. Reportedly, the UCM library is being utilized as a student union and as offices for some administrators. The building was constructed specifically to handle the weight of books. It was noted that no systemwide Senate committee is charged with monitoring facility and space issues. When the Presidential Open Access policy is released, it will be posted on the Office of Scholarly Communication website (<http://osc.universityofcalifornia.edu/open-access-policy/>). Data sharing is another topic the committee may want to discuss again. It was suggested that a centralized system that allows people to comment on software is needed. Chair Bakovic indicated that Systemwide Library and Scholarly Information Committee is charged with advising the University on copyright issues.

II. Consultation with the Academic Senate

- *Dan Hare, Chair, Academic Senate*
- *Jim Chalfant, Vice Chair, Academic Senate*

Chair Hare thanked the members for their work on UCOLASC and briefed the committee on topics discussed at the Regents meetings in July and September. A new governance model for the UC health centers was proposed by the CFOs of the medical centers but many Regents objected to it. A revised proposal of far narrower scope will be brought to the Regents in November. This will follow the structure of another important committee, the Committee on Investments, and the Senate is much happier with this proposal. In July, the study on total remuneration was presented to the Regents and it showed that the benefits no longer make up for UC faculty's low salary. This will serve as a baseline to compare the impact of total remuneration in salary changes that need to go into effect in July 2016 as a result of the budget agreement between UC and the Governor.

Chair Hare talked about the process that led to UC's budget agreement with the Governor. Assembly Speaker Toni Atkins thinks that the Governor's budget deal with UC is more generous than any deal the Assembly would have made. The requirement that UC enroll five thousand students for \$25M came with significant strings attached. The political process is not straightforward and it is very difficult to keep up with when using existing

Senate procedures. Faculty are encouraged to think about different ways to make their views known. Chair Hare described the programmatic initiatives that resulted from the budget deal, including an examination of the requirements for majors. The Senate has continued the work from last spring on the transfer pathways, an effort that has been widely praised. Chair Hare apologized for the short timeline for the expedited systemwide review of the proposed revisions to the Presidential Policy on Sexual Violence and Sexual Harassment. The comments will be discussed at Academic Council next week and the Senate will write its response. The goal is to incorporate the final revisions before the interim policy expires on December 31st and the permanent policy goes into place on January 1st.

A task force is discussing retirement options for faculty hired after July 1, 2016. People hired after this date will be subject to the PEPRA cap, a term related to a Governor's proposal that caps state pensions at the consumer price indices. This would cap the pensions at \$170K instead of the current cap for UC pensions which is the IRS maximum of \$265K. The definition of selected employees has been left up to the task force. The task force includes Senate members as well as budget people at the campuses who are not familiar with the issues. Recommendations are expected by mid-December.

Chair Hare has been appointed to a task force to investigate faculty discipline procedures in light of a recent case at UCB. The chair does not agree with the Berkeley Chancellor who stated that the procedures are inadequate. Chair Hare will make sure that this joint committee looks not only at what the policies are but also at the extent to which existing policies are being implemented on the campuses. Chair Hare will spend a day at UCLA as part of another Regents work group listening to public comment about intolerance. Various universities have attempted to come up with policies addressing speech and it will be challenging to create a statement that does not impinge upon academic freedom issues and first amendment issues. The chair appreciated the efforts of the systemwide Committee on Academic Freedom to prepare a statement for the work group.

III. Scholarly Publication in the Humanities

Chair Bakovic explained that at the February 2015 UCOLASC meeting, issues related to Humanities and scholarly communication were discussed. In June, three committee members wrote a proposal to establish a special systemwide committee to consider issues related to the dissemination of Humanities research. This is the first time UCOLASC will have the opportunity to discuss the proposal. The key way of getting promotion and tenure in the Humanities is by publishing a book. This has become increasingly difficult because publishers lose money on books especially on those in small fields with limited readership. Both senior and junior faculty are impacted by this crisis. The chair noted that it would be appropriate to establish a subcommittee of UCOLASC to address this topic. Additionally, it is difficult to establish a new standing systemwide Senate committee in part because of budget limitations.

Discussion: Faculty in disciplines other than the Humanities face the same challenges with publishing their books. A member commented that the Humanities is not an expensive field. It is important for younger faculty to be able to publish books but the cost is prohibitive. It was suggested that a UCOLASC subcommittee on publications could be effective. A larger more comprehensive initiative related to things that do not require much funding is needed and are unrelated to UCOP's entrepreneurial ventures. A member recommended that UCOLASC identify the specific issues and potential solutions before a subcommittee is set up. UCOLASC might not be the appropriate committee to consider the broader issues that go beyond publication.

Campus library committees should be discussing the issues related to Humanities. Faculty in History departments would like to see the discussion include the Social Sciences. The status of certain publishers is considered and there is a fear of publishing someplace their colleagues would not consider an academic press. The Open Access policy is not necessarily the solution for Humanities publishing. At one campus, the Humanities faculty are pushing back against Open Access.

There are separate questions related to the evaluation of the careers and contributions of faculty in the Humanities, and UCOLASC may suggest establishing a committee to investigate different forms of assessment.

The analyst shared that several years ago the systemwide Committee on Academic Personnel proposed a task force to consider peer review and the changing nature of publishing, and that the proposal did not move forward. UCOLASC might contact UCAP about adding this topic to their agenda. Concerns related to the UC Press were described, including the cost of publishing an eBook and its experiment with Open Access. It was suggested that representatives from the UC Press and the Libraries should participate in these discussions. The committee could meet with the Senate's Editorial committee which works with the UC Press. It is unclear whether subventions are readily available to Humanities faculty and this needs to be addressed especially for junior faculty. The UC Press does have a significant subvention for UC authors and campuses have discussed providing this funding to young scholars. Young scholars also need education regarding what they are trying to publish and the likely costs in order, for example to eventually make the case when negotiating start-up packages with their deans.

The ARL and Association of American Universities have been discussing how institutions can provide subventions. It would be timely for UCOLASC to start this conversation at UC. Development of Open Access textbooks should be a part of this discussion. The CDL and UC Press are collaborating on a new book production system. A subcommittee could include current and past members of UCOLASC. The UCSB representative expressed interest in serving on the subcommittee. The alternate indicated that the UCLA representative may also be interested in serving on this subcommittee. It would be good to include faculty outside of just the Humanities on the subcommittee. A motion was made and seconded for the formation of a subcommittee to look at issues related to book publishing and the Humanities. The committee voted unanimously in favor of setting up a subcommittee. The members who volunteered will begin identifying the issues and report to the larger committee in February, with the goal of completing this work in time for UCOLASC's May meeting. If the subcommittee does not come together, sufficient time will be allocated to UCOLASC's future agendas to discuss this topic.

IV. Consultation with the California Digital Library (CDL)

- *Ivy Anderson, Interim Executive Director and Director, Collection Development & Management, CDL*
- *Catherine Mitchell, Director, Access and Publishing Services, CDL*

Director Mitchell joined UCOLASC to provide a 12-month report on the status of implementation of the Open Access policy at UC. The previous six-month report discussed the phase when faculty had to complete a form and upload their file, and there was very little participation. CDL's campus partners have assisted with the process of connecting with human resource feeds and other campus data sources. Records of publications by individual recognized as UC faculty are now harvested by the publication management system, Symplectic Elements, and faculty then receive email alerts through the system to verify their publications. Campus credentials are used to log in. The system will identify scholarly articles published after the UC Open Access policy went into effect. Publication agreements signed before the UC policy went into effect make certain publications ineligible for inclusion.

Everything uploaded to the system will be deposited into the eScholarship repository and at this point the faculty are compliant with the policy. This week the publication management system was rolled out to UCSD, UCM, and UCSC; UCB, UCR and UCD will be next. The rate of deposit has spiked since the automated system was implemented. The data being collected helps identify where more outreach is needed. About twenty waiver requests per month are being received. Medicine, Health Sciences and Physical Sciences faculty have the highest deposit rates. The CDL receives about twenty waiver requests per month. Three publishers are responsible for 91% of the requests for waivers and 75% of waiver requests are coming from UCSF authors.

Some publishers ask for waivers because they do not want the grant of license given at all, and they do not typically ask for an embargo. Once the harvester has found a publication, there is no longer an opportunity to request a waiver. The system allows faculty to upload an article but request that it be embargoed. Participation in this is voluntary for faculty and there are no repercussions for faculty who do not participate. The University receives take-down notices and the CDL has a generous take-down policy. CDL surveyed faculty about their experience with the system and 45% indicated that the deposit was not burdensome. At the same time, feedback

from faculty suggests that they simply do not want to deal with this process. Faculty ask why the system cannot collect articles they have already deposited in other places and Director Mitchell feels that this is a legitimate question. The education effort needs to be ongoing so that more faculty become engaged. The publication management system will be refined based on what is being learned especially with respect to those disciplines that are not yet well-represented in terms of who is uploading publications. CDL is now considering how to integrate the publication management system into other existing services to make it more compelling for faculty to utilize. It was noted that the publication management system has a delegation feature that would allow a faculty member to assign a graduate student, postdoc, or staff/admin to handle the uploads.

Interim Executive Director Anderson reported on several CDL initiatives. Calisphere is a ten-campus shared digital library service that includes archival resources from throughout California. There is a shared digital management system infrastructure developed by CDL's Access and Publishing Group that can be shared across the campuses. There is also a mechanism for harvesting metadata from campuses that may not be using this infrastructure so that their objects can be pointed to from this tool. Before the re-architecture, there were around 220K digital objects in Calisphere and it now contains over 400K digital images. The url is <http://calisphere.cdlib.org>. Ideas from UCOLASC about how to integrate Calisphere at the campus level are welcome. There is a discussion among the libraries about continuing with the infrastructure that supports Calisphere or migrating to something new. The value of this tool is to reach across the state and it sends a strong message to the public about the value of the UC system.

Dash is an initiative that supports research data management at UC. It is an open data sharing tool that CDL developed in partnership with some other groups. There is an increasing focus on the part of funders on data management and open data sharing. Dash is targeted to faculty who do not have access to existing data management tools. Any campus that wants to utilize this tool can create campus specific branding. In order to host persistent data, there has to be a funding source for the storage. It is possible for a campus library to pay the annual fee to help researchers. A question that CDL struggles with is funding support for this systemwide tool.

The CDL has an 18-month project to look at a large scale conversion to Open Access scholarly journal publishing funding. There is a much stronger move for research supported by Open Access in the UK. The focus in the U.S. is on green Open Access and we still pay institutional licensing fees. The UC Open Access policy was also a driver of this initiative. UC has partnered with four other major universities. The design of the project is to do quantitative analysis to determine author readiness to move into this area. Library expenditures are being evaluated to determine the impact on the library budget. The goal is to produce a model that would predict what this type of publishing mechanism would cost large research institutions. UCOLASC was asked to provide feedback about scenarios the CDL has proposed. The UC libraries could not afford to fund this on their own. Grant income is seen as critical to funding this.

Director Mitchell explained that the Presidential Open Access policy applies to non-Senate authors. Determining how to implement the policy has been more difficult because some non-Senate authors do not own copyright and also because the policy does not allow them to seek a waiver. The publication management system will be used to support this policy as well but that will be delayed until next year.

Discussion: A member recommended that OGC should make a statement that UC will indemnify faculty against publishers in the event that a mistake is made when attempting to comply with the Open Access policy. If a faculty member does not want to upload the author's final version he or she can ignore the email alert. The point was made that some faculty may not understand that they have granted a legal right to UC upon employment. The agreement signed with the publisher does not prevent UC faculty participation in the UC Open Access policy. If an article is already available in an Open Access repository faculty just provide a link to it. A future question for the CDL is how to conduct the harvesting without faculty involvement.

UCOLASC will send a memo to Council indicating that the 12-month report was reviewed by the committee. The memo will focus on the value of the publication management system but will not address the funding question. Rather UCOLASC can highlight the experience with the publication management system from the

faculty point of view now that implementation is underway. CDL has submitted the 12-month report to the Provost's Office and made a request for three years of funding for the publication management system. Regarding article processing charges (APCs), there should be an effort to address the need for grants in some disciplines. A question is whether faculty will be willing to move away from journals with the most prestige.

Members discussed the Presidential Open Access policy. The definition of a scholarly article needs to be made clear. eScholarship indicates the materials that have been peer reviewed. The Open Access policy has made CDL look at previously published articles. Extended versions of a paper can be uploaded to eScholarship and small data files and appendices can be linked to an article. A member asked how the publication management system will distinguish between graduate students and faculty. The harvester depends on the human resources feed that comes from the campuses to make this distinction. If there are multiple UC authors on one paper, they will all receive an email alert, but only one author needs to respond to the alert. One author might agree to waive the exclusive right while the other author prefers to not deposit the article. Each author holds equivalent rights and one author cannot trump the other. Co-authors should discuss in advance the issue of whether an article is deposited.

There is a question about whether a faculty member hired to teach but who also happens to conduct research is required to deposit an article. The harvester checks the employee status of student employees, and determining when the research was conducted and whether it is covered by the Presidential Open Access policy will be complicated. Chair Bakovic remarked that the most important part of the policy is that the research will be more widely available. UCLA will be using a system called Opus that will collect information about faculty. A concern is that the information may be used to make snap decisions about personnel actions. The UCLA library committee is discussing this issue.

V. Campus Reports and Member Items

Santa Cruz: The committee is discussing issues related to providing identification at the libraries. The question is whether the libraries could make some changes and have a centralized procedure. Vice Chair de Alfaro explained the issue of software copyright which arose last year. The Office of General Counsel emailed that work on updating UC's copyright is on track. Many committees will need to weigh in.

Berkeley: A new librarian has been hired and the library is eager to share its priorities with him. The committee has discussed the need for educating faculty at that campus about Open Access as the policy is implemented there. Campuses that have already rolled OA out at their campuses were asked to share their tips with the other campuses. As the major user of the NRLF, the capacity is becoming a serious concern.

Riverside: The big concern was about indemnification of faculty with respect to OA policy. Faculty have been encouraged to use open access text books, but a question is whether the best scholars will still be writing textbooks if they are all available in Open Access.

Irvine: The library has created a new unit, digital scholarship services, that will help faculty understand things such as the Digital Library's Dash.

San Francisco: The librarian is going to retire so the committee is assisting with the search. Open Access week offered multiple programs. The Chancellor has given the Senate \$500k and the library committee will get a share of this.

Davis: The Open Access policy is the focus, especially with respect to education. A model of integrating librarians onto some standing committee is being proposed.

Los Angeles: The committee discussed strategies to fund the libraries. At UCB, faculty with endowed chairs have been encouraged to provide funding to support the libraries.

Santa Barbara: This year, the goal was to go below zero in monographs and collections. The campus got \$750K as a result.

Merced: This is the first semester that the committee on library and scholarly communication will be meeting. A new librarian has recently been hired and the faculty have responded positively to him.

San Diego: This week, the harvesting tool was implemented. The outreach to faculty began a year ago. Faculty received individual emails and meetings were held with about 80% of the departments.

CDL: The CDL's new Executive Director will be an Associate Vice Provost and the search is proceeding and four finalists will be interviewed within the next couple of weeks. A new director of the UC Curation Center has been hired a background in Open Access publishing and data management.

Santa Cruz: The harvesting tool was just deployed here and an effort to educate faculty will be underway soon. There is an interest in data management service. The committee has discussed the library budget, which was already severely cut and will be cut again this year because the allocation from UCOP is not increasing. CDL made funding available to faculty in the past to publish in Open Access but this was not sustainable.

VI. Update on Senate Travel Procedures

- *Mona Hsieh, Office Manager, Academic Senate*

The Senate's Office Manager provided an overview of the Senate's current travel procedures. Committee members should contact her with any travel-related questions.

VII. Consultation with the Council of University Librarians (CoUL)

- *Lorelei Tanji, Chair, Council of University Librarians*

Many of the CoUL members have been hired in the past couple of years. With so many new members, CoUL has been reviewing its current initiatives and discussing future strategic directions which are listed in their annual plan and priorities. Chair Tanji provided updates on a number of topics:

-Regional Library Facilities (RLFs): CoUL and UC Libraries help support faculty in a variety of ways. One way is through its world-class library collections and access to research resources. UC has the second largest number of volumes held in the U.S., second only to Library of Congress. The RLFs play an important role in storing physical research collections off-campus, which can be retrieved via interlibrary loan. Chair Tanji thanked UCOLASC for its letter last year in support of the Regional Library Facilities..

The good news is that the Southern Regional Library Facilities (SRLF) was able to free up some storage space after the relocation of the UCLA Film and Television Archive. However, the Northern Regional Library Facility (NRLF) in Richmond still has severe space constraints. Based on recent deposit allocations, we estimate there is 2 years of capacity at NRLF and 5 years of capacity at SRLF.

To address these issues, the Shared Libraries Facilities Board (SLFB) has been reconvened. This includes CoUL members, plus RLF Directors, a Librarians Association of UC (LAUC) representative, the California Digital Library Shared Print Manager, and other staff. In addition, one of its members is Prof. Thomas Cogswell (Department of History, UC Riverside), who is also a SLASIAC member. They recently had a conference call to discuss space management strategies, facility expansion strategies, and collection management strategies. We will be identifying the viable options and will be crafting some recommendations to address the RLF space issues.

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-DPN: The UC Libraries are part of an initiative focused on the preservation of scholarship and digital research assets, called the Digital Preservation Network (DPN). DPN takes a federated approach in preserving scholarship by saving multiple copies on replicating nodes in different geographic parts of the country to minimize the risk of catastrophic loss. This project is in the early testing stages.

-Research Life Cycle Services: The UC Libraries are developing and providing a variety of services that support the entire life cycle of research. Chair Tanji provided a hand out that listed the contact information for various digital scholarship services available at each campus library and at CDL.

-Jointly the UC VCRs and UC Information Technology Leadership Group (ITLC) are developing a roadmap and proposal for future research cyberinfrastructure support. CoUL has been involved in the conversations and has a representative on the Steering Committee.

-Just as an fyi--Chair Tanji shared that the U.S. Second Circuit Court of Appeals ruled that the Google digitization of library collections, creation of search functionality, display of snippets, and provision of copies to its partner libraries are all non-infringing fair uses.

Discussion: It was noted that UCOP had provided funding to UCB and UCLA for the storage facilities but this type of central funding is no longer possible. It is not clear where funding to support new RLF facilities might come from. The Google Digitization project is still underway at UC. Google gives UC copies of the files, which become part of the HathiTrust Digital Library. A high percentage of what is in the NRLF is being digitized by Google and these materials will be available in HathiTrust for bibliographic and full-text searching. Full viewing is restricted by copyright law, unless the materials are in public domain. Hathi Trust has an initiative to expand coverage and enhance access to U.S. Government Documents. Faculty have indicated that materials should be available in multiple formats. A UCOLASC member suggested that it would be fine for UC to have only digital copies of the government documents..

VIII. New Business

There was no new business.

IX. Executive Session

The committee did not have Executive Session.

Meeting adjourned at: 3:30 PM
Minutes prepared by: Brenda Abrams
Attest: Eric Bakovic