

## UNIVERSITY COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION

## Minutes of Teleconference

May 29, 2015

**Attending:** Roberto Manduchi, Chair, (UCSC), Ed Dimendberg (Irvine), Candace Waid (UCSB), Deborah Wiebe (UCM), Matthew Conner (LAUC President, UCD), Lorelei Tanji (UL Chair), Lucille Chia (UCR), Thomas Shannon (UCB), Maxine Craig (UCD), Patricia McDaniel (UCSF), Candace Waid (UCSB), Laine Farley (Executive Director, CDL), Ivy Anderson (Director, Collection Development & Management, CDL), Catherine Mitchell (Director, Publishing, CDL), Mary Gilly (Chair, Academic Senate), Dan Hare (Vice Chair, Academic Senate), Brenda Abrams (Principal Policy Analyst)

**I. Chair's Announcements**

UCOLASC sent a letter to the Chair of SLASIAC in support of the expansion of the Northern Regional Library Facility. UC is dealing with a shortage of physical space for books. At a recent SLASIAC meeting, issues with the copyright policy were discussed. Chair Manduchi indicated that, while certain aspects of the policy are still not clear, the new revision represents a substantially improved version. This revision includes a new definition of the class of employees allowed to own their scholarly work and it will address some issues related to software copyright ownership. Chair Manduchi reviewed other elements of the copyright policy. Members were reminded about the letter sent to Provost Dorr advocating for financial support for the Symplectic Element harvester which is key to the success of Open Access. In her response, Provost Dorr indicated that only one time funds will be committed to the harvester for the time being.

Past UCOLASC Chair Chris Kelty is leading the task force working on the Presidential Open Access Policy. The current draft of this policy is moving forward. Chair Manduchi pointed out that deposit into the repository will be required even if an individual waives giving his rights to the University. In the future there may be a push toward making the policies uniform, which might mean the Senate policy could potentially be changed to require faculty to deposit their articles even when they waive their right to give a license to the University.

**II. Consent Calendar**

**Action:** The minutes were approved.

**III. Campus Reports/Member Items**

**Merced:** The library committee is fairly new. The committee was a subcommittee of the research committee, and the Senate made the library committee its own standing committee.

**Santa Barbara:** The library is doing well and an extension of the original building has been built. It has added safe spaces for students to study. The ceremonial opening of the library is scheduled for December. As a result of the budget crisis, the library lost collections. The library committee has discussed starting an initiative to educate people on research in the fine arts, humanities and social sciences. Issues include the difficult arrangements that have to be made with publishers that are costly and complicated.

**Berkeley:** A subcommittee is exploring establishment of a media resource center. This is a difficult undertaking and the representative welcomes advice from other members experienced with this type of center. The library will be forced or required to draw from its own resources which are fairly limited. It is

currently being proposed that up to \$500K to support the library will come from individual faculty members. People with endowed chairs with a certain amount of money are either being required or strongly encouraged to contribute a certain amount and individuals who are not endowed chairs are only being encouraged to contribute. The Richmond Field Station is the site for a future UCB research center but it is not yet clear if there will be a library at that site. UCB is going ahead with hiring librarians. UL Tom Leonard will be retiring and the short list of possible candidates will be ready soon. Six new large administrative positions were created although faculty wanted to use the available funding for library resources.

**Davis:** The committee has been handling routine business this year. A consultation request was received on APM 133. Another member indicated that her committee discussed APM 133 with the librarians and is in support of the proposed revisions. The representative will be on sabbatical next year so a new member from her campus will be appointed.

**San Francisco:** There is no significant news. The focus has been upon the open access policy. Funding from the chancellor was provided to faculty without grants to help them publish in open access.

#### **IV. Consultation with the Academic Senate Office**

- *Mary Gilly, Chair, Academic Senate*
- *Dan Hare, Vice Chair, Academic Senate*

Chair Gilly provided an update on the long term funding agreement with the state. This was announced with the May revise and touches on things of serious concern to the Senate. Of most concern to faculty is the pension. UC's retirement plan is identified as a state liability and some funding for this will come from the state's rainy day fund created by Proposition 2. Tuition for California students will not increase in the next two years and after that increases will be tied to inflation. There will be increases in tuition for non-resident students. Professional degree supplemental tuition will increase except for students in the law schools.

Significant micromanaging is included in the budget and UC has agreed to pursue programmatic changes. Chair Gilly believes that UCOP was very careful about what it agreed to. This includes work on improving the transfer process for students in the community colleges and exploring the use of three year degrees. The budget does not include any funding for enrollment growth but the governor has indicated that if the legislature includes this in the budget, he will not veto it. Research and graduate education were not high on the governor's list of priorities and the legislature is only interested in undergraduate California residents. Chair Gilly reported on the topics discussed at the most recent Regents meeting.

At Council, UCOLASC's letter in support of the expansion of the Northern Regional Library Facility was approved to be forwarded to the SLASIAC chair. Council had multiple concerns with the proposed revisions to APM 133 and these will be communicated to the Vice Provost of Academic Personnel, Susan Carlson.

**Discussion:** The pension plan is an important piece of how UC recruits faculty. The UCSB representative noted that the shooting incident in Isla Vista last year is viewed as an act of violence against women. Perhaps UC can take the Violence Against Women Act and do more in terms of educating undergraduates. The representative would like for the efforts to go deeper than just training.

#### **V. Fair Access to Science and Technology (FASTR) Act**

All the UC libraries are formally supporting this Act and UCOLASC members should consider if the committee should also submit a letter. Chair Manduchi reviewed the details of the Act. UCOLASC

discussed the Act when it was reintroduced back in 2013 but did not send a letter of support. The primary stumbling block is related to the length of the embargo, whether it should be six or twelve months.

**Discussion:** A member asked how the Act is different from the Office of Science and Technology Policy (OSTP) Directive for federal agencies. While both FASTR and the OSTP Directive address the same concern, the OSTP Directive instructs agencies with over \$100 million in annual conduct of research and development expenditures to develop their own plans for Open Access. Members did not voice any objections to submitting a letter of support and did express support for the six month embargo. Executive Director Farley believes that the twelve month embargo period is just a time frame that people are comfortable with. It is not clear if the NIH will change its embargo period (currently of 12 months) because of agreements with publishers already in place. Director Mitchell commented that the six month embargo period speeds things up but it impacts the publishers' revenue. The analyst will investigate to whom the letter should be addressed.

**Action:** The Chair will draft a letter with the committee's concerns.

## **VI. Electronic Theses**

Chair Manduchi provided the committee with an overview of the issues related to electronic theses and dissertations (ETDs). One issue is that these might be published without having been peer reviewed. There is no UC wide policy and individual campuses are responsible for setting the policy. The committee should consider if there should be a requirement to deposit the theses into an institutional repository and if there should be an embargo.

**Discussion:** Six campuses are making their ETDs available through eScholarship and four are not. Of the four campuses, three are submitting to Merritt for dark archiving, while UCD is not depositing into either, according to Director Mitchell. Clarification about ProQuest is needed. One member indicated that making the theses available is a way for students to stake their claim on the work and might protect students from plagiarism. There is a risk, with a small number of publishers, that one might not be able to publish if the dissertation is already available in an open access repository.

A member described that some work is not archived online and there are situations where individuals can be robbed of the ideas in their dissertations. Information and knowledge from archived physical records can be stolen very easily. There is a question about whether lifetime embargos might ever be preferred. Traditionally students were required to deposit their dissertations in the library. A six year embargo for certain fields may be appropriate but otherwise, dissertations should be made widely available. A member thinks that students should make their dissertations available but provisions should be in place for situations when that is not desirable. This issue may be a particular problem when the market for monographs is small. Director Anderson indicated that there is a question about whether libraries should purchase books which are based on dissertations.

## **VII. Consultation with the California Digital Library**

- *Laine Farley, Executive Director, CD*
- *Ivy Anderson, Director, Collections, CDL*
- *Catherine Mitchell, Director, Publishing, CDL*

### **Merritt/DASH Policy**

Chair Manduchi thanked retiring Executive Director Farley for all of her work on behalf of the committee. Executive Director Farley described the work being done on Merritt. The general idea is to have recharges for the actual cost of storage that is brokered through UCLA and UCSD. The Merritt

service and DASH layer are part of the CDL's base budget but the consumption of the storage should be paid for by those consuming it. In lieu of agreements with individual faculty, there can be agreements with departments, research centers and libraries on their behalf. The agreement in the document shared with UCOLASC would be signed by the administrative unit. The University Librarians are currently reviewing this proposal.

### **Licensing Negotiations**

Director Anderson was invited to provide an update on current journal negotiations. A number of major negotiations will be coming up in 2016 including Springer, Wiley (which are the big eJournal packages coming up for renewal), and AAS and some other societies. The negotiations are not expected to be acrimonious. Springer just acquired the Nature Publishing Group so the name is now Nature Springer. Whether to keep the eBook packages has been controversial because some of the increases proposed by the publishers have been quite high.

The largest proposed increase seen to date is from the Royal Society Chemistry. In terms of purchasing, libraries are still struggling. Publishers may mistakenly believe that the budget deal with the state means library budgets are fine. Libraries continue to pay higher prices than they would through systemwide contracts. The inter-library loan rate has increased but it is still a small quotient of what the libraries do on a lending basis.

A small task force has been formed to determine what the options might be and Taylor and Francis will be asked about its interest in renegotiating a systemwide agreement. Some campuses reduced their holdings substantially. There has been a shift in the distribution of costs across the system. Elsevier recently announced a policy change for self-archiving and the response so far has been negative. UC faculty should get the message that UC open access policies do not need to be changed in response to Elsevier's new policies. It is premature to impose a purchasing moratorium on Elsevier.

### **Progress Report on Open Access Implementation**

Director Mitchell reported on the implementation of the Open Access policy. A full report will be prepared for the Fall UCOLASC meeting; Director Mitchell provided a mid-term report for this meeting. The Symplectic Element harvester system was released to the pilot campuses from January to March 2015 and the goal is to have the system, which collects metadata, up and running at all campuses by December 2015. Faculty receive an email alert when new metadata comes into the system, log into Elements and upload a file if they have one. In some cases, the CDL has already identified and uploaded a file. In the roll out to the other campuses, other systems that can interact with Elements will be identified.

For UCI, for example, 1441 unique emails were sent, there has been a 30% click through rate, and of the 552 faculty who clicked through, 537 actually logged in. The data is similar at UCLA and UCSF. This is a sign that the system is not onerous and that faculty are getting into the system easily. Director Mitchell presented a map of the world which provides a graphic of the distribution of all the places that have accessed the articles deposited since open access was implemented at UC. This map is a good illustration of why the open access policy was important to UC faculty. CDL is looking to secure long term funding to ensure that the system is operational for the long-term and UCOLASC support is critical for this.

Director Mitchell noted that if the Presidential Open Access Policy is approved, that will result an increased number of authors beginning in 2016.

**Discussion:** Long term solutions for data storage and archiving are important and needed. Chair Manduchi expressed concern that, just as most campuses now use Gmail, in the future something like

DropBox might be utilized. CDL is proposing charging \$650 per terabyte per year while DropBox costs \$100 per year. Executive Director Farley explained that the CDL is providing preservation storage whereas DropBox just provides storage. The CDL is making the effort to ensure that what is deposited remains viable and in the future migrate the content to different media. DropBox is a good temporary solution. The CDL is constantly looking at best practices for long-term preservation. Work will need to be done to make the choices available to faculty clear, especially in terms of paying a bit more for a non-commercial option. Regarding the open access implementation, Chair Manduchi explained that the Fall report from the CDL will be reviewed by UCOLASC and forwarded to the Academic Council.

### **VIII. New Business**

The LAUC President indicated that the discrepancy between the MOU and the APM 133 was resolved. The librarians are mostly concerned about APM 360-4, the definition of librarians and there are complications about what this means. There is a sense that the section on qualifications for certain titles needs to be updated but it is not clear exactly who would work on these updates and it cannot be accomplished by the June 1<sup>st</sup> deadline for the review. The LAUC President Matthew consulted with Vice Provost Carlson and the APM review will be open through the summer to allow the LAUC and CoUL an opportunity to work on a shared proposal to be added to the review in the fall.

The LAUC President also reached out to a guest from UCOLASC's February meeting, Dr. Richard Terdiman, who reported on the challenges for the Humanities in the UC system, and primarily the cessation of the FlashPoints program by the UC Press. He proposed that UCOLASC recommend to UCOP the formation of a special committee to study the role of humanities in UC systemwide. The questions raised by Dr. Terdiman are more general than monograph publication by UC Press. The UCI representative expressed support for the establishment of a special committee. The LAUC President, and the UCI and UCSB representatives will prepare a memo about this matter and the proposal for a special committee.

### **IX. Executive Session**

There was no Executive Session.

Meeting adjourned at: 12: 30

Minutes prepared by: Brenda Abrams

Attest: Roberto Manduchi