

UNIVERSITY OF CALIFORNIA
UNIVERSITY COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION

ACADEMIC SENATE

Minutes of Meeting

Thursday, November 10, 2021

Present: Derjung “Mimi” Tarn (Chair), John Hildebrand (Vice Chair), Christine Rosen (UCB), Eric Rauchway (Davis), Bryan Reynolds (Irvine), Robert Zeithammer (Los Angeles), Maria DePrano (UCM), Susan Laxton (UCR), Mark Hanna (UCSD), Charles Hart (UCSF), Karen Lunsford (UCSB), Abraham Stone (UCSC), Erik Mitchell (CoUL Chair), Ellen Finnie (CDL), Sarah Houghton (CDL), Catherine Mitchell (CDL), Kathryn Stine (CDL), Allegra Swift (CDL), Günter Waibel (CDL), Danielle Watters Westbrook (CDL), Rachel Green (LAUC President), Erich van Rijn (UC Press), Kerry Scott (Santa Cruz), Guy Robinson (UCD Graduate Student), Daniel Widener (Chair, UCAADE), Robert Horwitz (Chair, Academic Council), Susan Cochran (Vice Chair, Academic Council), Stefani Leto (Analyst)

I. Consent Calendar

Action Taken: The agenda was approved as noticed.

II. Introductions and Announcements (Derjung Mimi Tarn, UCOLASC Chair)

Members introduced themselves. Chair Tarn noted that the committee intends to meet in person in February.

She reported that UCOLASC is charged with advising the President on the functioning of the UC Libraries. She asked committee members to serve as liaisons to their campus library committees and noted that UCOLASC requires a high level of engagement from committee members. The California Digital Library licenses online materials and develops shared services for the University.

II. Consultation with the California Digital Library (Günter Waibel, Associate Vice Provost and Executive Director, CDL)

AVP/Executive Director Waibel briefed committee members on the CDL budget and staffing.

The Office of the President (OP) has lifted its hiring freeze and CDL is actively working to rebuild its staff; with retirements and departures, 10 FTE are presently vacant.

For the past two fiscal years, the CDL licensed content budget has been constituted using one-time OP funds; the cut in permanent/ongoing funds in 20/21 was made to address a budget deficit at OP. While a working group was charged to draft a memorandum of understanding (MOU) that would see the campuses re-constitute the CDL licensed content budget on an ongoing basis, the MOU was shelved earlier this year as OP seeks to re-insert CDL licensed content funds into the OP budget (done at President Drake and Provost Brown’s directive). CDL’s licensed content budget is a significant portion of the UC Libraries \$50M cost-share for core systemwide licensed content, which all ten campuses also participate in and co-fund. At present, the exact funding source for the CDL licensed content budget in 21/22 (and beyond) remains unidentified.

However, the OP budget office is actively working on a solution and CDL is not requesting any action from UCOLASC at present (UCOLASC’s January 2021 letter was, and continues to be, immensely helpful).

III. **Open Access (OA) Pathways, part 1 (Ellen Finnie, Director, Collection Development and Management Program, CDL)**

Director Finnie provided an update from the Project Transform Working Group (PTWG) on the University's work to negotiate and advance transformative open access agreements. As well, she noted two specific inquiries from Academic Senate leadership for UCOLASC and PTWG: a "one-pager" for promotion and tenure committees, explaining how open access publishing works, specifically to allay concerns about quality, and the second, a navigation guide explaining how to publish open access through transformative agreements.

To support open access publishing through these agreements, PTWG and the libraries have developed tools for library staff to guide authors through the publisher processes; these tools may be revamped to guide authors directly. In addition, the [UC Office of Scholarly Communication website](#) includes a guides for publishing open access under UC transformative agreements. Each campus also has websites and resources to support local transformative publishing needs.

Discussion providing feedback for the two specific requests followed:

UCOLASC members suggested that UC and publishers make the benefits of OA clearer; for example, by providing statistics showing that OA articles are more frequently cited. Adding such research to the "one-pager" would be beneficial.

Members also suggested that how-to resources and tools cite workflow/navigation tips that are directed not only at STEM authors, but also at those in the humanities and social sciences. It was noted that humanities authors face different barriers, such as the costs associated with reproducing artwork and other graphics; this particular example is a much larger issue, not specific to open access publishing (the subscription model does not address copyright costs for third-party material either). The growth of open access is placing pressure on museums and cultural heritage institutions to eliminate fees for reproducing works/graphics in publications; progress is being made, though for now the barrier largely remains. Under the current UC transformative agreements, social science and humanities authors are publishing open access slightly more than STEM authors.

As a result of UC's transformative agreements with publishers such as Cambridge UP, Elsevier, and Springer Nature, more faculty are opting to publish open access (40-50 percent vs. less than ten percent just a few years ago, prior to the agreements). Publisher exit surveys reveal that cost concerns are the primary reasons cited by authors opting out of open access. PTWG is now looking at the best paths to survey authors, including through publisher workflows as well as potentially Project-Transform-led, CDL-based efforts.

In response to concerns about the costs of open access publishing, Director Finnie and Associate Vice Provost Waibel reiterated that transformative agreements secure a cost-neutral transition to open access; money previously spent on subscriptions is used to pay for UC open access publishing and read access to journals. Transformative agreements also create a single stream of revenue from the University to the publishers, which allows UC to negotiate for cost controls.

UCOLASC, PTWG representatives and consultants reflected that publishing open access or sharing of final manuscripts is also increasingly a funder requirement. Federal agencies, such as the NIH, DoD, etc. require that funded research be made open. The state also has some open

access requirements for grant recipients.

Chair Tarn shared UCOLASC's draft statement on open access publishing, which was drafted to further support faculty adoption of open access publishing.

UCOLASC members agreed that the statement adequately addressed the philosophical reasons for open access, but suggested that it include a clear explanation of how the finances work (e.g. open access through these agreements does not cost the University more). As well, faculty need to know that an open access publishing subvention from the libraries is available to cover the full cost if they do not have research funds available.

Some UCOLSAC members reflected that the publishers' open access workflows are complicated and confusing; another member questioned why the mechanics and costs of transformative agreements are being revealed, noting that workflows would be simpler if costs were hidden and always paid for by the libraries.

PTWG representatives noted that the subscription model hides both access and publishing costs from authors, and even obscures when the University is being charged twice through two separate publisher revenue streams. Requiring authors to understand the open access publishing cost and to co-fund when they have research funds available allows them to adjudicate whether a journal publication is worth the cost or not. This visibility will also lead to improved transparency around publishing costs.

UCOLASC agreed to continue revising the statement via email and to work with PTWG on the two specific requests from the Academic Senate.

IV. Consultation with Senate Leadership

Academic Council Chair Horwitz briefed UCOLASC on issues facing the University as well as the most recent Regents meeting:

- He noted that the Mitigating the Effects of COVID-19 on Faculty Working Group has released its preliminary report and recommendations. Restoring research through additional funds is one approach recommended in the report. Another key recommendation is for campuses to adjust expectations for promotions and merit advances to conform to "Achievement Relative to Opportunity" (ARO).
- The faculty Climate Crisis group held its first meeting, at which members reported on climate activities on their home campuses. The group is also discussing a proposed Memorial to the Regents on the topic of the climate crisis.
- The Regents continue to be concerned about the transfer admissions process despite the success of transfer students at UC. UC is chairing the Intersegmental Committee of the Academic Senates (ICAS) this year, which will be working to address transfer issues across the three segments of California public higher education.
- The Senate is concerned with methods of rewarding faculty for patents under the Regents' Policy on Innovation Transfer and Entrepreneurship, which devolves authority over patents to campuses.
- Leadership has discussed with the President the Senate's opposition to devolving authority to campuses for the approval of master's degree programs. Provost Brown is developing a charge for a joint work group that will consider program review issues in depth.

- Provost Brown has proposed applying three percent merit increases and a one percent equity adjustment to the faculty salary scales; the Senate argues that increases should be applied to off-scale salaries in addition to base salaries.
- The University plans to add 20,000 students by 2030, and will need to consider a variety of accommodation strategies to avoid overcrowding and maintain quality.
- The state is requiring UC to reduce nonresident undergraduate enrollment to 18% at the three campuses that currently exceed this percentage. The reduction is to occur over a five-year period and is to be supported with a \$30 million annual buy-out of nonresidents. Senate leadership is concerned that the Legislature may not continue the promised replacement of lost non-resident student tuition in later years, although the requirement to enroll additional in-state undergraduate students will continue. UC has struggled with obtaining full state funding for enrollments, and the higher student-faculty ratio is affecting student satisfaction.
- UC is discussing a possible institutional response to intellectual property infringements and academic integrity violations from third-party tutoring websites like Course Hero and Chegg. Senate leadership has raised the possibility of actions under the Digital Millennium Copyright Act. Such an approach will be strengthened should the University engage other universities in the effort.
- The University Committee on Academic Freedom has proposed that academic departments making political statements on their websites include a disclaimer that they do not speak for the University as a whole.
- The Research Information Management Systems (RIMS) report was delivered to Provost Brown, followed by a discussion of next steps. An Academic Planning Council/Senate working group may be formed to address the issue.

V. Open Access part 2 (Ellen Finnie, Director of Shared Collections; Catherine Mitchell, Director of Publishing, Archives, and Digitization, CDL)

Director Finnie noted that “Diamond Access,” which allows for immediate unfettered access to scholarly work without charge to authors or readers, is one of several OA pathways. There are approximately 29,000 journals that use this model, although they tend to be small, and not owned by large publishing companies. The UC Libraries support such journals through paid agreements and other approaches, but sustainability is an abiding issue in this space. Director Mitchell noted that library publishing is a core component of Diamond Access publishing and UC’s eScholarship publishes over 85 diamond open access journals. This is a growing segment of OA publishing (eScholarship has more inquiries from UC faculty to launch new OA journals than it can handle) and the libraries are committed to Diamond Access. Link to presentation slides:

https://docs.google.com/presentation/d/1IhD1rP0cPCZeE0K7k4cz_oXxPlpH_VB6Lh_Pyipv3do/edit?usp=sharing

VI. Office of Scholarly Communications DEI Working Group Update (Catherine Mitchell, Director of Publishing, Archives, and Digitization, CDL; Allegra Swift, Scholarly Communications Librarian, UCSD; Anneliese Taylor, Head of Scholarly Communication, UCSF; Erich van Rijn, Director of Journals and Open Access, CDL)

DEI working group representatives discussed ways to advance diversity, equity, and inclusion (DEI) in the scholarly publication community. They noted that disparities by race and gender persist at all levels of scholarly communication, including peer review, citation, editorial appointments, and articles accepted for publication. As well, the global north represents an overwhelming number of actors at all levels of scholarly publication.

The San Francisco Declaration on Research Assessment (DORA) and the Coalition for Diversity & Inclusion in Scholarly Communications (C4DISC) are two global initiatives to raise awareness and combat racial, national, and gender disparities in scholarly publishing and practices.

The Office of Scholarly Communication is working to create a toolkit on the OSC site to help faculty, staff, and students navigate and engage with the issues. UC Press and eScholarship are also seeking to address issues of equity within their own publishing programs. UCOLASC, in its Declaration of Rights and Principles to Transform Scholarly Communication, has laid a model to follow in advancing DEI.

UCOLASC agreed to work on a draft DEI statement in support of advancing equity in scholarly publishing for review at the February meeting.

VII. HathiTrust ETAS Assessment (Kathryn Stine, Senior Product Manager, Digitization and Digital Content, CDL)

A multiphase assessment of UC's use of the HathiTrust Emergency Temporary Access Service (ETAS) during the pandemic reveals the popularity of digital access to in-copyright print holdings. ETAS provided UC faculty, students, researchers and staff with critical digital access to UC collections while buildings were closed due to COVID-19.

Use of the materials plateaued at about 1,100 unique users per day and many of the top titles accessed through ETAS mirror high-use print materials, though some titles found expanded use through the service. Based on the success of ETAS, UC Berkeley and San Diego are currently piloting an ETAS-like electronic reserves service.

A common concern among ETAS users was general dissatisfaction with the experience of reading a book online, although the emergency use situation may have meant users tolerated some challenges they would not have preferred. Digital access remains an important and growing format and service for improving access to resources for faculty and students.

With the re-opening of campus library buildings, all UC libraries have terminated their participation in ETAS. Additional analysis is underway to learn from ETAS and determine how the libraries might provide further expanded access to UC's print corpus.

VIII. CoUL Update (Erik Mitchell, Chair CoUL)

Priorities for systemwide libraries are set by the Council of University Libraries and the Library's Direction and Oversight Committee (DOC). A project planning to archive every federal document held by the library tops the list, followed by expanding the Northern Regional Library Facility (NRLF). The libraries have developed five priorities: launching UC Library Search, an integrated search tool for all UC libraries; transformative publishing agreements and communication around such agreements; building on the campus-based DEI initiatives, perhaps adding DEI evaluation in librarian review material; advancing affordable course materials across the UC; and exploring controlled digital lending of library-held materials.

The UC is now the largest consortium of libraries in the US.

The Advancing Affordable Course Materials effort relies on affordable materials from an internal standpoint and access to open educational resources (OER), which are externally created. While not specifically designed to support this effort, eScholarship has become a platform for OER.

- UCOLASC members noted the need for UC libraries to have a role in making large data sets available to students. Real-world large data sets can be useful course materials.
- Libraries are not allowed to license ebooks as reserve course materials, a limitation often unknown to faculty. VP Waibel noted that faculty could lead efforts to make ebook licenses more favorable to educators.

VIII. Campus Reports and UCOLASC Issues and Priorities for 2020-21

UC Berkeley's library has withstood multiple rounds of budget cuts. The wider campus community does not understand the full scope of library activities.

UC Davis plans to integrate DEI concerns and activities in all aspects of the libraries. Some COVID protocols, such as self-checkout, are in place and likely to continue.

UC Irvine's library is working on a policy about integrative medicine, discussing what forms of medical treatment are legitimized by the University. This has implications for journal subscriptions.

UCLA has four priorities for libraries: 1) OA publishing concerns from medical faculty concerned about absorbing budget cuts; 2) addressing physical challenges to the libraries, which are suffering from neglect, leading to collections experiencing degradation such as mold; 3) expectations from faculty that the libraries will provide software and training in its use; 4) navigating the broader mission of libraries in a post-book world.

UC Merced has closed its library Saturdays because of budget cuts. Librarians are working to finalize lists of priorities.

At UC Riverside, the joint Library/Information Technology Committee has been separated into two committees.

UC San Francisco has some new initiatives, including one responding to new data management and sharing requirements of the National Institutes of Health (NIH). There is growing interest in pre-print servers. Faculty are concerned about predatory publishers and tracking citations. The need for access to big data is of great concern in the medical world. Dryad, an open and curated data publishing platform for researchers to share and publish data, does not cover big data sets, and defines data too narrowly for some faculty's work.

UC Santa Barbara is discussing changing from Moodle Learning Management System (LMS) to another one, as updating Moodle will require changing courses. The campus is evaluating Canvas as an option for a LMS.

At UC Santa Cruz the bookstore is outsourcing the textbook portion of the business to an outside vendor. The library committee commented on a proposed campus policy for student protests.

The committee adjourned at 3:57 pm

Minutes prepared by Stefani Leto, Committee Analyst
Attest: Derjung Tarn, Committee Chair