

**Minutes of Meeting**

Thursday, November 18, 2020

**Present:** Marta Margeta (Chair), Derjung “Mimi” Tarn (Vice Chair), Eric Rauchway (UCB), Gregory Leazer (UCLA), Maria DePrano (UCM), Alejandra Dubcovsky (UCR), John Hildebrand (UCSD), Keith Mostov (UCSF), Karen Lunsford (UCSB), Jin Zhang (UCSC), Li Haipeng (CoUL Chair), Ivy Anderson (CDL), John Chodacki (CDL), Catherine Mitchell (CDL), Günter Waibel (CDL), Daniella Lowenberg (CDL), Marty Brennan (LAUC President), Guy Robinson (UCD Graduate Student), Danielle Watters Westbrook (CDL)

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**I. Consent Calendar**

**Action Taken:** The agenda was approved as noticed.

**II. Introductions and Announcements (Marta Margeta, UCOLASC Chair and Derjung Mimi Tarn, UCOLASC Vice Chair)**

Members introduced themselves. The February 19, 2021 committee meeting will be virtual.

Vice Chair Tarn reported on the UCACC meeting. Issues addressed at that meeting include cyber risk responses, system-level data life cycle management with varying approaches by campus, and cyber access for students in China. Committee members were encouraged to solicit compelling stories from faculty and graduate students about data losses for the Chief Information Security Officers (CISO) on campuses as well as the systemwide UC IT Security Committee.

**II. Consultation with the California Digital Library (Günter Waibel & Ivy Anderson, CDL)**

AVP/Executive Director Waibel indicated that the CDL faced serious budget questions, both pandemic-related and structural. To safeguard collections funding from an ongoing budget crisis at UCOP, CDL’s collections budget is moving to UCSD under an MOU currently being developed. CDL already has some staff at UCSD performing acquisitions and cataloging functions, and the UC libraries budget coalition rallies all funds for licensed content contracts at UCSD.

The CDL has been asked by the Provost to model a 15% budget cut scenario, which would create cuts in programs and services. These are not cuts which could be readily reversed, but would cause a permanent contraction in services.

Committee discussion concerned ways of making emphatic statements regarding the impact of these potential cuts. The cuts would threaten the long term social/cultural project of gathering information, and may threaten commitments to projects such as the HathiTrust (<https://cdlib.org/hathitrust/>), a collaborative partnership and digital library founded in 2008 by the research libraries of the Committee on Institutional Cooperation (CIC) and the University of California, a secure and enduring academic home for mass digitized research library collections resulting from partnerships with organizations such as the Open Content Alliance, Google, and Internet Archive.

The committee agreed to begin drafting a letter in support of the CDL which would be submitted to the Academic Senate at a future date (Attachment A).

Ivy Anderson discussed CDL's efforts to negotiate licensing agreements with cost reductions this year in anticipation of severe budget cuts. Despite these pro-active efforts, CDL anticipates that some contracts may need to be canceled.

### **III. Update on Dryad Partnership (Daniella Lowenberg, CDL)**

UC3: The UC Curation Center (UC3) helps researchers and the UC Libraries to manage, preserve, and provide access to digital assets. In 2018, the UC3 team announced a partnership with Dryad, an existing cross-disciplinary data repository with data preservation. Following community engagement and development, CDL and Dryad relaunched the Dryad data repository in September 2019; it is available for free to anyone at UC. Dryad is well integrated into publishing workflows; they have integrations with hundreds of journals. The partnership has saved UC researchers \$70k in fees compared to the subscription model.

Dryad does not only serve STEM researchers, and users range from undergraduate students to emeriti professors. Research can be submitted through many journals that have integrated Dryad data sharing. Data submissions have increased 800%, along with an increase in uptake and sharing of UC research.

Committee members were asked to help publicize the resource on their home campuses.

### **IV. eScholarship Publishing Activities (Catherine Mitchell, CDL)**

UC's eScholarship Publishing program provides comprehensive publication services for UC-affiliated departments, research units, publishing programs, and individual scholars who seek to publish open access journals, books, conference proceedings, and other scholarship. The journal program, in particular, supports publications (~90) that traverse standard disciplinary boundaries, explore new publishing models, and/or seek to reach professionals in applied fields beyond academia. After 20 years of existence, eScholarship is the model for an established library publishing program.

eScholarship also functions as UC's institutional repository, containing a broad range of content that includes deposited OA Policy publications, electronic theses and dissertations, working papers, etc. There are currently nearly 300,000 objects in eScholarship, which have been viewed over 76 million times.

More recently, the eScholarship program has focused on developing new kinds of publishing services, including multi-media publications on the Manifold platform and the EarthArXiv preprint server on the Janeway platform (as an alternative to the Center for Open Science). eScholarship can also provide options for journal editorial boards who wish to migrate to an open-access publication model. Such open-access "flipping" requires journals to reimagine their business model and adjust their work practices. They often need seed money to facilitate the transition.

Challenges of scale given budget constraints are now at the forefront of eScholarship project. There is enormous opportunity in this space -- a great deal of interest in open access and moving away from commercial publishers. The most pressing current question is how the University can scale up and not miss a critical moment to expand its role as a publisher.

## **V. CDL Collections Budget Relocation (Günter Waibel, CDL and Haipeng Li, CoUL)**

Migration of a portion of CDL's budget to UCSD was approved in July 2020. The structural budget deficit at the Office of the President predates the COVID-19 crisis helped lead to this, and all parties are in agreement for the change.

Funds moving include the CDL licensed content funds, staff salaries for shared cataloging and acquisition. FY20/21 is a transition year – this year, funds are being paid from the capital of the President's endowment. In FY21/22, campuses will need to share the responsibility for the cost. There is a working group, managed by Susan Carlson, charged with establishing a campus share for the \$9.2million, as well as an MOU governing this cost share.

There are no changes intended to the processes and decision making for these funds. Campus libraries should not be tasked with funding this, as their budgets already support the pre-existing cost share for licensed content. Campus budgets are of course under the control of each campus – orchestrating this kind of change for the whole of UC will be challenging.

Discussion included preparing a statement from UCOLASC to campus library committees (COLASCs) asking them to advocate on their campuses.

## **VI. SLASIAC Study Group Report (Danielle Westbrook, CDL)**

Following a September 2019 charge to the Systemwide Library and Scholarly Information Advisory Committee (SLASIAC) to [task a study group](#) to investigate the results of the collaborative work by the UC Libraries and opportunities for additional partnerships, a [final report](#) was submitted in June 2020.

Themes of the report were: 1) Collaboration advances the University's teaching, research, and public service missions; 2) Collaboration furthers the University's reputation and leadership; and 3) Collaboration secures cost savings and operational efficiencies.

At the conclusion of the committee's work, three recommendations emerged: 1) The UC Chancellors and President, in collaboration with the EVCs and the Systemwide Provost, should assess current budget mechanisms and establish a financial structure to support library collaboration; 2) the Council of University Librarians (COUL) should further shift library activities and services towards collaboration; 3) COUL should meet regularly with the Council of Chancellors to discuss potential systemwide initiatives and to sustain collaborative work.

This report is being circulated now, with a potential presentation to the Council of Chancellors later this year. SLASIAC will continue to brief UCOLASC on the outcomes from this report.

The committee discussion included questions regarding evaluating, assessing and documenting impacts of cuts in library funding on faculty's ability to perform across all disciplines. Committee members noted that Privilege and Tenure decisions might be impacted if faculty are unable to secure necessary library materials to meet performance benchmarks, and that the library is uniquely suited to capture some of the "big picture" data regarding faculty productivity during COVID-19 restrictions (though some data, including publishing outputs, will not be evident/available for some time). Committee members expressed interest in both qualitative and quantitative assessments of these questions, and acknowledged that such efforts would need to

involve stakeholders/participants beyond the libraries, such as the Academic Senate, Research units, etc.

## **VII. Council of University Librarians Update (Haipeng Li, CoUL)**

UC Librarian Haipeng Li reported that the library system focused almost all of its energy on responding to the COVID-19 crisis. The HathiTrust temporarily enabled Emergency Temporary Access Service (ETAS) to the entire community, and user data indicates visits have doubled since May (to 800 unique users per day). Overall traffic is up nineteen times over 2019 usage, and it is still going up. Most libraries shut down physical services, although some are experimenting with patron pick-up of materials. ETAS makes it possible to access materials that would not be accessible through standard campus library operations, and is therefore an expansion of collections.

The Journal of Visualized Experiments (JOVE) archive provides over 10,000 peer-reviewed procedure videos, which can be used for laboratory tutorials. Campuses began paying for this service in June. This and other online services continue to enable user access while library buildings are off-limits.

The Integrated Library System project, which integrates and manages all the physical and digital collections of the UC library system, is on time and on budget. Before this project, each campus library had an individualized catalog, which entailed duplicative efforts to provide cross-campus sourcing of content. Once complete, the project will improve access to information and will streamline the background workflow such as cataloguing. Patrons will be able to access items across the system, and HathiTrust items should also be searchable through the system.

Committee discussion raised issues of HathiTrust usage challenges – because of copyright concerns, items are often usable for a very short time, and the system is proving challenging to navigate for end users.

CDL AVP Waibel acknowledged the issues, noting that ETAS was not expected to last as long as it has, and committed to investigating possible responses such as rentals of the copyrighted materials.

## **VIII. Project Transform Update (Jeffrey Mackie-Mason and Ivy Anderson, co-chairs of the Project Transform Working Group)**

Project Transform was developed to negotiate and implement a set of transformative agreements with publishers of scholarly journals. Without truly transformative agreements, costs for publishing all UC scholarship open access would approach \$120m.

Five different agreements have been negotiated so far, with a range of publishers. Project Transform hopes to have a report detailing the results of these new agreements by the end of the year. Negotiations with Springer Nature, the world's second largest publisher, were highly successful; they resulted in a 5% price reduction with a commitment to transition to full open-access publishing over three years. This negotiation provided impetus for the ongoing negotiations with Elsevier.

The University has two goals for its relationship with Elsevier, expenditure reduction and open access to the entire portfolio of UC publications. In 2019, negotiations had broken down to the point that the University ceased negotiating with Elsevier. UC libraries can access anything published by Elsevier through interlibrary loan or by purchasing individual articles; while this results in a short wait time for access, 90% of all requests are filled within 24 hours. Many articles are also available through institutional repositories as author's final versions (i.e. peer-reviewed manuscripts that are accepted for publication).

Following the cessation of negotiations, Elsevier experienced a drop in their stock price as well as cancellations of publishing agreements by other large university systems. The UC is back in negotiations with the publisher and has tentatively agreed on full open access and a multi-payer model, although both sides are still not in agreement on price. Not having a contract with Elsevier continues to negatively affect UC scholars, and the University is committed to pursuing a model which upholds the commitment to open-access publications. COVID-10 related budget constraints are of concern with regard to this negotiation. Even with price concessions, the University might have difficulty meeting the costs of Elsevier agreement.

The University is pursuing a California-wide compact with the California State Universities and the statewide California Electronic Library Consortium (SCELC) in an effort to ensure open access to scholarship.

Discussion centered on faculty response to open-access publishing, with some concerns that a lack of understanding of the aims of open-access publishing may create pushback from faculty. Faculty having to pay up front to publish, through grant or other sources of financing, is new. The rate of change in academic publishing means SLASAC will need to perform outreach and education in order to maintain faculty support for the University's stance on open publishing. Unfunded research and cuts in library funding also create barriers to the up-front payment requirement for open-access.

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

UC Davis has opened the library at 25% of capacity, however few students are using the library in person.

UCLA is discussing how the library can respond to the Black Lives Matter movement, and is dealing with some frustration among students and faculty regarding access to library materials and library budget restrictions.

UC Merced had been hoping to open the library to users, but returning to a more restrictive COVID-19 level has put those plans on hold. Faculty expresses some frustration as they would like to receive physical interlibrary loan (ILL) books.

At UC Riverside, library curb pickup enables faculty and students to check out materials, although there is some concern on campus about potential defunding for ILL. The library has lost 52 of 105 library staff positions, and fears further cuts will impinge on library services.

Renovations were completed at UC San Diego during the shutdown. Efforts continue to increase acceptance of open publishing on campus.

Heavy journal dependence at UC San Francisco means that the library is less affected by COVID-19 shutdowns, and is doing acceptably well.

Some spaces at the UCSB library have been opened as instructional spaces after Legionella bacteria were found in other buildings on campus. Not all staff positions lost in the 2009 downturn have been recovered at the library. Currently, curbside access has provided users with library materials. One point of interest was to note that in addition to shared collections, UC library staff are also shared. Subject specialists may serve more than one library, so cuts in these staff could negatively affect more than one campus.

UC Santa Cruz noted that many materials were deselected to make space for students. Unfortunately, this deselection took place over the summer, without sufficient input from faculty and other users. Guidelines for future deselections are needed. Non-STEM faculty would like more access to physical materials, which is currently not available because of pandemic restrictions.

The committee adjourned at 4:12 pm

Minutes prepared by Stefani Leto, Committee Analyst  
Attest: Marta Margeta, Committee Chair



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Chair of the Assembly of the Academic Senate  
Faculty Representative to the Regents  
University of California  
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January 22, 2021

**MICHAEL T. BROWN**  
**PROVOST AND EXECUTIVE VICE PRESIDENT**  
**UNIVERSITY OF CALIFORNIA**

**Re: Statement of Concern about Possible Budget Cuts to the California Digital Library**

Dear Michael,

The Academic Council has endorsed the attached letter from the University Committee on Library and Scholarly Communication (UCOLASC) expressing concern about significant budget cuts being considered for the California Digital Library (CDL).

The CDL is a critical component of information access across all UC campuses, and we are concerned that budget cuts will weaken its ability to acquire and provide access to scholarly information, harm faculty welfare, and impair UC's teaching, research, and public service missions.

We understand that during the 2008-2010 recession, the consolidated, shared, systemwide resources provided by the CDL became a solution to budget cuts that reduced individual campuses' library holdings and library personnel. Decisions about how UC campus libraries could absorb cuts were made then, in part, by considering which resources could be covered by the CDL. Cutting the CDL now will severely compromise its ability to compensate for those lost resources.

We understand that you will make budget decisions about the CDL later this month, and we urge you to consider these concerns as part of your decision-making process. Please do not hesitate to contact me if you have additional questions.

Sincerely,

A handwritten signature in cursive script that reads "Mary Gauvain".

Mary Gauvain, Chair  
Academic Council

Cc: UCOLASC Chair Margeta  
CDL Director Waibel  
Academic Council  
Senate Directors  
Executive Director Baxter

Encl.



UNIVERSITY COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION

Marta Margeta., Chair  
[Marta.Margeta@ucsf.edu](mailto:Marta.Margeta@ucsf.edu)

ACADEMIC SENATE

University of California  
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Oakland, California 94607-5200

January 4, 2021

MARY GAUVAIN, CHAIR  
ACADEMIC COUNCIL**Re: UCOLASC statement of concern regarding possible budget cuts to the California Digital Library (CDL)**

Dear Mary:

As you are well aware, the University of California is facing significant budget constraints due to the fiscal crisis brought on by the COVID-19 pandemic. While the UCOLASC supports measures needed to sustain the University through these challenging times, the committee feels strongly that any budget cuts that are being considered should minimize (i) the disruption of the CDL services that are shared by all ten campuses and (ii) the long-term damage to irreplaceable digital resources that were developed over many years and are only now starting to bear fruit. To this end, on November 18 2020, the UCOLASC voted unanimously to endorse this statement:

*The University Committee on Library and Scholarly Communication (UCOLASC) recognizes and appreciates the importance of the content and services provided by the California Digital Library (CDL), which form the infrastructure for the ten campus libraries, a foundation for research and teaching performed by the UC faculty, and a key resource for the UC graduate and undergraduate students. In addition, UCOLASC recognizes CDL's critical role as a member of the collaborative coalition of the UC Libraries and a faculty partner in a number of ambitious efforts, including transformation of the global publishing landscape towards universal open access.*

*Therefore, UCOLASC's clear and expressed expectation is that any cuts to the CDL budget will be strategic and will minimize both the disruption to the shared services and the long-term damage to irreplaceable digital resources. Significant reductions in CDL services will directly impact faculty productivity, reduce equitable library support of faculty across the system, diminish UC's competitiveness in attracting and retaining faculty and obtaining grants, and decrease UC's ability to attract the best students. Specifically:*



- *Faculty productivity suffers when basic systemwide information resources and systems become unavailable.*
- *Systemwide equity degrades when common resources and systems become accessible only on our largest campuses.*
- *UC's ability to attract and retain a world-class faculty degrades if basic conditions for success and competitiveness in research and grant-writing fall behind institutions we consider our peers.*
- *UC's appeal to top students diminishes if the digital resources they need for their learning and research are not readily available.*

*Given the substantial risk that significant CDL budget cuts would undermine the University's core missions, UCOLASC is very concerned about some of the proposed UCOP budget actions:*

- *We are grateful that CDL continues to provide the same level of service while triaging for 5 frozen positions, but we recognize the strain this puts on the CDL staff.*
- *We are dismayed to hear that the budget that supports systemwide licensing and the open access transformation has been removed from CDL's budget at UCOP (a 46% budget reduction).*
- *We are concerned that CDL will face additional budget reductions in the FY21/22 budget process, with no ability to manage these reductions other than through service cuts.*
- *We understand that if services that took years to build get discontinued, re-establishing them will be a difficult task. In particular, we note that physical resources have been removed from the library stacks over many years, premised on the idea that they would remain available as digital resources. Under these circumstances, significant cuts to digital library services would produce irreparable harm to library collections, possibly imperiling successful University re-accreditation (which in part depends on the size of these collections).*
- *We recognize that some of the services that would be affected by significant CDL budget cuts include UC support of and participation in HathiTrust Digital Library and are dismayed by that possibility. HathiTrust began in 2008 as a collaboration of the universities of the Committee on Institutional Cooperation (now the Big Ten Academic Alliance) and the University of California system, and has been a lifeline for the UC scholars that have lost access to the physical library collections during the COVID-19 crisis. Leaving HathiTrust now would be akin to quitting the World Health Organization in the middle of a pandemic, and cannot be justified by any budget constraints.*

*In summary, having a great library is a prerequisite for having a great university, and is not something we can opt into one year, and opt out of another year. In addition to acquiring essential scholarly works, a great library provides data and research preservation services, publishing services, digitization services, and platforms to enable discovery and access. **A great library depends on consistent investment.** Particularly in times of remote research, teaching and learning, having a great digital library supporting all students and faculty is not a luxury, but an absolute essential that must be maintained even in the most challenging times.*

**Action Item: UCOLASC is requesting that Academic Council consider endorsing and forwarding the above statement to UC Provost Brown prior to January 26, 2021.**

Please let us know if you have any questions or need additional information.

We thank you in advance for considering this request.

Sincerely,



Marta Margeta, **Chair**



Derjung Mimi Tarn, **Vice-Chair**

Ellen Simms, **UC Berkeley**  
Eric Rauchway, **UC Davis**  
Brian Reynolds, **UC Irvine**  
Gregory Leazer, **UC Los Angeles**  
Maria DePrano, **UC Merced**  
Alejandra Dubcovsky, **UC Riverside**  
John Hildebrand, **UC San Diego**  
Keith Mostov, **UC San Francisco**  
Karen Lunsford, **UC Santa Barbara**  
Jin Zhang, **UC Santa Cruz**  
Haipeng Li, **Ex-Officio (CoUL Chair)**  
David Rabinowitz, **Ex-Officio (UCACC Chair)**  
Guy Robinson, **Graduate Student Representative**  
Liam Will, **Undergraduate Student Representative**

cc: Robert Horowitz, Academic Council Vice Chair  
Hilary Baxter, Academic Senate Executive Director  
Michael LaBriola, Academic Senate Associate Director