

Minutes of Meeting

Thursday, February 16, 2022

Present: Derjung “Mimi” Tarn (Chair), John Hildebrand (Vice Chair); Ellen Sims (UCB), Eric Rauchway (Davis), Bryan Reynolds (Irvine), Robert Zeithammer (Los Angeles), Maria DePrano (UCM), Susan Laxton (UCR), Charles Hart (UCSF), Karen Lunsford (UCSB), Abraham Stone (UCSC), Herman Chavez, (Undergraduate Student Representative, UCLA), Guy Robinson (Graduate Student Representative, UCD), Erik Mitchell (CoUL Chair), Ellen Finnie (CDL), Sarah Houghton (CDL), Catherine Mitchell (CDL), Allison Wohlers (CDL), Günter Waibel (CDL), Danielle Watters Westbrook (CDL), Katie Fortney (CDL), Jeffrey MacKie-Mason (University Librarian), Rachel Green (LAUC President), Erich van Rijn (UC Press), Kerry Scott (Santa Cruz), MacKenzie Smith (UCD), Erik Mitchell (UCSD), Kristen Antelman (UCSB), Elizabeth Cowell (UCSC), Haipeng Li (UCM), Micquel Little (UCSF), Steven Mandeville-Gamble (UCR), Virginia Steele (UCLA), Lorelei Tanji (UCI), Robert Horwitz (Chair, Academic Council), Stefani Leto (Analyst)

I. Consent Calendar, Chair’s Announcements

Action Taken: The agenda and the minutes of the UCOLASC November, 2021 meeting were approved.

II. CDL Update

AVP/Executive Director Waibel noted that the Office of the President (OP) lifted its hiring freeze in 2021, enabling CDL to begin filling its vacancies. Currently there are nine vacant positions, representing 12 percent of CDL staff. The CDL has an established history of remote and hybrid work, so is well-poised to answer current hiring circumstances despite challenges.

The UC Libraries, including the CDL, together spend \$50M on systemwide licensed content. The Office of the President has pledged to fund the CDL shared collections budget under the assessment model, though at present (and since FY2020-21) this budget is annually constituted with one-time funds. The processes and work required to secure one-time funds for an ongoing budget is significant and ultimately unsustainable. Nevertheless, the restitution of the CDL shared collections budget with ongoing funding will entail an effective increase of approximately six percent to the overall OP budget; this is proving difficult to address within a single fiscal year. While one-time funds for the CDL shared collections budget have been identified for FY2022-23, CDL and UCOLASC both agree that this budget will remain high risk if it continues to lack committed, ongoing funds. UCOLASC agreed to write a letter of support for the reconstitution of the CDL shared collections budget with ongoing funds.

CDL, as part of the Office of the President delegation, will participate in the National Academies of Science Open Science Community of Practice, which – among many activities

- will elevate development of open publishing incentives.

III. UC Print Futures

UCOLASC received a review of the UC Libraries' collaborative action to preserve and provide access to print collections. The UC advances print collection management locally, systemwide and with external partners, such as the Western Regional Storage Trust and HathiTrust. Together, the libraries preserve and ensure short- and long-term access to journals, books, and many other types of physical collections.

By managing UC collections as a systemwide, shared resource, we were permitted UC-wide access through the HathiTrust's Emergency Temporary Access Services (ETAS). Further, strategic partnerships outside of the UC allow scholars access to unique holdings outside of the UC system.

The Print Futures Task Force welcomed faculty and student suggestions and feedback to guide their ongoing work supporting access to print materials.

IV. OSC Working Groups Update

The Office of Scholarly Communication (OSC) currently has four active working groups focusing on: Open Access Book Publishing, DEI in Scholarly Publications, Emeriti Works Archiving Project, and Open Access Policy/Creative Commons (CC) Licensing.

The Open Access Book Publishing working group is finalizing an OA Books FAQ that was first initiated in response to a request from former Senate Chair May, to help faculty navigate Open Access book publishing. The FAQ will reside on the OSC website and campus scholarly communication websites will link to it, making it a central resource for UC scholars. UCOLASC was asked to give feedback on the draft FAQ.

The DEI in Scholarly Communication working group is building a resource page that provides information for the UC academic community regarding equity and diversity challenges in scholarly publishing, emerging efforts within the scholarly communications community to address those challenges, and tangible actions scholars can take to build toward DEI within the journals in their own fields. When the resource page is finalized, the working group may resume work with UCOLASC on a statement in support of DEI in scholarly publishing.

The Emeriti Works Archiving Project focuses on helping scholars upload large collections of their own academic work to eScholarship, providing a place to establish their corpus of research and ensure open access to it moving forward. The process of collecting and archiving research publications is complicated, and there are not generally resources to assist with this work on the campuses, so a systemwide self-help resource is needed. The Working Group is finalizing tools to make the process easier. These include information for contacting publishers, templates for requesting rights reversion, and instructions that guide users

through a workflow to upload their publications to eScholarship. The working group hopes to finalize these tools by Summer 2022.

The CC Licensing for OA Policy Articles working group is focused on optimizing the use of Creative Commons reuse licenses for articles deposited in eScholarship under the UC Open Access policies. The current method for choosing a CC license is quite complicated within the deposit workflow in Symplectic (the system that aids the deposit of OA Policy-covered publications in eScholarship), and this group has proposed a revision to the vendor to encourage the use of these licenses upon deposit. This new workflow design was shared with UCOLASC for feedback. CDL is also working toward automatic “harvesting” of UC-authored open access articles, as well as auto-deposit of UC-authored publications in eScholarship by publishers.

- It was noted that the Academic Senate often publishes lists of works by scholars when memorializing them, and that could be a useful resource. In addition, campus archivists could be tapped as a resource.
- UCOLASC enumerated various unique barriers faced by humanities researchers and authors, and asked for ongoing work to attempt to increase OA uptake among humanities faculty.

V. Campus Updates

UC Berkeley has many dispersed, discipline-specific libraries, often housed in seismically challenged buildings. Ongoing closure of buildings, coupled with construction of new buildings lacking library space, has led to library consolidation without budgeted funding for these libraries. The Library Committee is drafting a letter to campus Senate alerting them to the funding challenges. COVID-related staffing limits impact library hours. A DEI subcommittee in the Library committee is addressing concerns following the proposed closure of the East Asian Library. An attempt to tie the library budget to the overall campus budget is ongoing.

UC Davis’ library has a new strategic plan incorporating DEI at all levels. The library continues to deal with COVID-related challenges and is retaining some emergency use options.

UCLA has many libraries but none are well-funded. The campus has the second-largest film collection to the Library of Congress and is struggling to fund its upkeep. Communication around payment options for open access publishing continues on campus, clarifying that there are some funds for faculty without grant funding to publish open access.

UC Merced has reduced library hours due to staffing cuts and another 10 percent budget cut. New academic programs are being urged to communicate their library needs with the campus library committee as well as identifying funds to support library acquisitions and functioning for new academic programs.

UC Riverside continues the effort to separate the Senate Library Committee and the

Committee on Information Technology. The proposal and amendments have been delivered to the Senate and await approval. The split should be complete by fall 2022. The library staff has been greatly affected by the Omicron variant, with whole departments quarantining at home, but student use of the library is also markedly low, with carrels and desks at about five percent of normal use. Social distancing emphatically has not been a problem. Library support is strong for open access, less so among the faculty for various reasons, mostly having to do with publication and advancement.

UC San Diego continues to work to socialize open access and is working on a new library strategic plan.

UC San Francisco's library has an updated five-year strategic plan summarizing goals and objectives and includes the process that the library used to create this plan. The plan includes replacing library stacks with study space and student areas. The library received a Chancellor's Grant to create 25-30 oral histories from faculty from each of the schools with a DEI focus. A program to provide writing and editing help for students and faculty is ongoing.

UC Santa Barbara has subvention grants for authors, but the amounts requested are so high that they will quickly exceed the budget. The Senate hopes to find other avenues to fund subventions.

UC Santa Cruz is holding a workshop providing information about open access publishing featuring the scholarly communication librarian as well as faculty with experience in OA publishing.

VI. Consultation with Senate Leadership

Chair Horwitz updated UCOLASC on serious leadership changes in the Office of the President; the Vice President for Academic Personnel and Programs, the Provost, and the Director of the Academic Senate are all retiring.

He discussed the state budget, noting that the proposed higher education compact would require growth across the system without increasing physical capacity. There may be additional one-time funds for seismic improvements and climate-related research. The budget will not be finalized until much later in the year, and the legislature may add additional trailer bills to the budget that may affect the University.

Enrollment expansion will have to be systemwide, rather than only on campuses with capacity. There is an Enrollment Capacity Working Group, made up of the President and Chancellors, exploring various options for managing a large influx of students. Pressure on the University to create completely online undergraduate degrees will continue, as they are often seen as a solution both to increasing costs as well as to capacity challenges. Fully online undergraduate degrees are greatly concerning to the Academic Senate, which is meeting to consider proposals and approaches, and specific quality markers such as the student-faculty ratio.

A court agreed with a Berkeley neighborhood group that the campus plans to increase enrollment met the criteria for a “project” under the California Environmental Quality Act (CEQA) and has ordered a cap on enrollment at the 2020 level. This would represent a significant reduction in students admitted to Berkeley, and will have implications for other UC campuses.

Increased costs of hiring unionized GSRs and consequent effects on research continue to occupy Senate leadership. Another employment issue attracting the attention of the Senate is the classification of UC Health clinical staff and efforts to achieve Senate membership for them.

Faculty continue to express frustration at the theft of intellectual property and academic dishonestly facilitated by online tutoring sites such as Chegg and Course Hero. A recent lawsuit by shareholders alleging that Chegg’s business model relies on cheating is an opportunity for the University to file an amicus brief. Senate leadership continues to ask UC Legal about creating an automated takedown system for intellectual property under the Digital Millennium Act.

There have been implementation problems with a new prescription plan for retirees. Leadership at RASC has been responsive. On-campus retirement counseling will be revived, in both hybrid and in-person formats.

At the Regents meeting zero-interest (ZIP) loans for faculty housing purchases were discussed. Chair Horwitz requested that the loan program explicitly prioritize entry-level faculty, but Chancellors retained discretion for awarding such loans.

The Senate has responded to student demand for all-hybrid instruction by noting that mode of instruction is under Senate purview. Americans with Disability Act accommodations are provided on an individual level. There are concerns that mandated recording of all classes would have a chilling effect on student class participation.

The Academic Council discussed staffing issues at the University with Chief Operating Officer Rachael Nava. There is currently an approximately 20 percent systemwide vacancy rate in staff positions. Concerns were expressed that staff working remotely would compromise student service and negatively affect faculty productivity.

The Working Group on Mitigating COVID-19 Impacts’ recommendations for additional sabbatical time for faculty who taught during the pandemic and faculty evaluations using a framework of “Achievements Relative to Opportunity,” are included in the Working Group’s final report, which will be sent to President Drake.

- It was noted that public goods on campuses, specifically libraries, are often under or non-funded. Chair Horwitz asked that UCOLASC send him a memo outlining its concerns.

Joint UCOLASC-CoUL meeting

VII. Project Transform

Project Transform is charged to advance the large-scale, sustainable transition to open access through publisher negotiations. Subscriptions are transformed into open access publishing agreements with read access. Many publishers, large and small, now have transformative agreements with the University. Open access should not overall cost more to publish, as it reflects a shift from subscription fees to publishing fees. UC's multi-payer model includes an open access publishing subvention for UC authors; for those authors that do not have grant funds to pay the remaining fee, the libraries will cover the full open access publishing cost.

Transformative agreements do not change the editorial approaches of the publications, only the open access payment method. Assessment and continuing author engagement is underway by Project Transform. Some authors have declined to publish OA under the libraries' transformative agreements, with costs cited by the majority of those authors opting out. Project Transform is planning additional outreach and communications, to help UC authors understand that publishing open access is desired and within the present contractual costs with applicable publishers.

Further communication with authors is expected to increase the percentage of articles published open access. A navigation tool to guide authors through the process is also under development.

- Discussion included challenges to OA uptake by UC authors, including the existing barriers faced by humanities authors when publishing in general (including under subscription models).

VIII. New Library Efforts to Advance Online Access to Books

UC libraries continue expansion of access to books online, exploring Controlled Digital Lending (CoDiLe), following the success of HathiTrust's emergency digital access (ETAS). Three additional approaches to digital lending are: broad collection access; "e-reserves," selected physical books held on reserve while available through digital means; and resource sharing, which involves the lending of a digital copy rather than a physical copy. Digitized print items are owned, cannot be copied or redistributed by users, are only available to authorized users, are copies of sequestered print versions, and limited in amount by a simultaneous use count equal to print items held.

UC Davis and the CDL are using Mellon grant funds to create a one-year project exploring digital lending across the UC system. UC Berkeley found that e-reserves had been extremely popular and needed to create a platform to continue access after HathiTrust emergency access ended. The campus created the UC BEARS platform, allowing it to lend digital copies, with safeguards to restrict access for copyright, and to sequester physical items. The costs to digitize presents a barrier to widespread use of this model. UC San Diego is exploring a similar approach on a smaller scale, focusing on high-use, high-expense textbooks. A print reserve system supplements digital access.

- It was noted that publisher-version digital copies include some information that may not convey in a library-made digital copy.
- UCOLASC members reported that students value owning physical copies of certain textbooks.

IX. Affordable Course Materials (ACMs) and Open Educational Resources (OERs) at UC

UC San Diego's Affordable/Open Course Materials (AOCM) project works to address equity issues related to access to course materials. Over half of students had reported that they had not bought required course materials due to cost. Homework access codes are required of 80 percent of students, and negatively impact students using borrowed or used materials. Some students reported choosing between course materials and basic needs. In addition, 45 percent of students reported purchasing course materials they subsequently did not need to use.

Both the Regents and state officials have supported affordable course materials plans for the University. A broad coalition, including faculty, will be needed to advance such access.

X. Operations update: COVID-19, On-site and Remote Library Services

Kristin Antelman (University Librarian, UCSB) noted that the return to in-person services was less smooth than hoped, due to Omicron impacts. A growing number of students appear to expect ongoing hybrid access to classes, and presumably, library resources. Staff vacancies, due both to pandemic issues and to hybrid and remote preferences for work, impact the libraries' functioning.

XI. UCAP FAQ and UCOLASC Statement

UCAP had requested that UCOLASC develop a FAQ providing information about open access publishing. UCOLASC reviewed a draft of the document and agreed to finalize it via email after the meeting.

The committee also reviewed a brief statement to be included in publisher workflows when UC authors are presented with an option to publish open access. The statement demonstrates UCOLASC's support for the open access option. The final statement, approved during the meeting, reads:

UCOLASC approved inline language (publisher interface):

The UC Academic Senate strongly recommends the open access option. The UC libraries will cover the costs in full if you do not have available grant funding.

Linked-to language (UC site):

**UC Academic Senate Committee on Library and Scholarly Communication
- Statement regarding Open Access Publishing**

The faculty-led Academic Senate of the University of California strongly recommends that all UC authors choose the open access publishing option.

The Academic Senate and UC libraries have been collaborating for over a decade to transform scholarly communication from a closed subscription-based publishing system to one where our work can be freely accessible to all. To this end, UC has recently been signing “[transformative agreements](#)” with [many publishers](#) as a way to repurpose funds spent on journal subscriptions to support open access publishing.

Under these agreements, the UC libraries pay part of the open access fee for all authors, and the full fee for authors who do not have research funds available for this purpose. Authors with available research funds are being asked to cover the remaining portion of the open access fee. The libraries are continuing to spend the same amount of money toward publications.

By making our research and scholarship as freely and widely available as possible, open access publishing advances the University’s mission to serve the public good. Please support this mission by making your work open access.

Further information and support for open access publishing is available from [campus contacts](#).

Action: UCOLASC endorsed a statement encouraging open-access publishing.