

**UNIVERSITY OF CALIFORNIA ACADEMIC SENATE  
UNIVERSITY COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION**

**Minutes of Meeting  
May 19, 2021**

**Present:** Marta Margeta (Chair), Derjung “Mimi” Tarn (Vice Chair), Eric Rauchway (UCB), Ellen Simms (UCB), Gregory Leazer (UCLA); Maria DePrano (UCM), Alejandra Dubcovsky (UCR), John Hildebrand (UCSD), Keith Mostov (UCSF), Karen Lunsford (UCSB), Jin Zhang (UCSC), Haipeng Li (CoUL Chair), Ivy Anderson (CDL), Catherine Mitchell (CDL), Günter Waibel (CDL), Marty Brennan (LAUC President), Guy Robinson (UCD Graduate Student), Mary Gauvain (Chair, Academic Senate), Robert Horowitz (Vice Chair, Academic Senate), Sarah Houghton (CDL), Danielle Watters Westbrook (CDL), Kathryn Stine (CDL), Annaliese Taylor (UCSF), Allegra Swift (UCSD), Chris Shaffer (UCSF, CoUL), Maryann Martone (UCSD), Stefani Leto, Analyst

**Guests:** Dennis Ventry (UCD), Christopher Keltz (UCLA), Roberto Manduci (UCSC), Eric Baković (UCSD), Rich Schneider (UCSF, Project Transform), Chris Shaffer (CoUL)

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**I. Consent Calendar and Announcements**

**Action Taken:** The minutes of the February 19, 2021 meeting were approved. Chair Margeta announced that Derjung “Mimi” Tarn will be UCOLASC Chair and John Hildebrand UCOLASC Vice Chair next year.

**II. Library Update**

Haipeng Li, University Librarian, announced that all UC libraries will be open by fall, assuming county tier status allows. The libraries will phase in access and onsite work by librarians. Vaccines will be required for access to libraries, but no enforcement procedures have been finalized.

Once libraries are open, interlibrary loans (ILL) will resume as part of normal operations. Because library opening dates vary, ILL access will also vary. Libraries are creating plans to serve international students who are unable to return to campuses. Pandemic-related services such as curbside delivery will be phased out. The libraries have contingency plans should there be another COVID-19 surge.

The Emergency Temporary Access to Copyrighted Books (ETAS) provided by HathiTrust will end as libraries open for regular access.

The Systemwide Integrated Library System (SILS) project, which creates a shared, systemwide library system is going well and will launch by the end of July.

**III. Consultation with Senate Leadership**

Academic Senate Chair Gauvain thanked UCOLASC for helping to bring about the

successful conclusion of negotiations with Elsevier and the committee's continuing work to expand open access publishing.

The Feasibility Study Working Group is evaluating a replacement instrument for potential use in UC undergraduate admissions after the Regents eliminated the SAT/ACT.

Senate leadership issued systemwide guidance to help campuses plan for campus reopenings. The guidance focuses on structural issues, including possible class formats; the need to open research and performance spaces more quickly than classrooms; and operational issues such as enforcement of masking and/or distancing requirements, which should not be left to faculty. A vaccine mandate is likely, and the Fall Capacity Reopening Group is expected to issue a proposed policy.

Chair Gauvain invited committee members to complete the survey recently circulated to UC instructors and faculty about their experiences with remote instruction during the pandemic. Data from the survey will inform future discussions about remote and online education.

The Governor has proposed a full restoration of the \$300 million cut to the UC budget in 2020, an increase in ongoing funds, and one-time funds for capital improvements. A 3% pay increase for faculty and staff is also included in the Governor's budget.

Vice Chair Horwitz is co-chairing a joint working group that is meeting to address the Academic Council's recommendations for mitigating COVID-19 impacts on faculty.

UCEP and Senate leadership met with representatives from the Chegg website to discuss faculty concerns about Chegg's business model, which enables cheating and intellectual property theft. There is concern about the eventual degradation of the UC brand, should these activities go unchallenged. Senate leadership will ask UC Legal to explore a formal response to the companies.

The Accellion data breach is ongoing, and the University is encouraging all employees to take advantage of free credit monitoring offered by Experian, and other measures to secure their own and their beneficiaries' credit.

- In response to questions from UCOLASC, leadership reported on Senate committees' efforts to foster diversity and inclusion. UCFW's Health Care Task Force and Task Force on Investments and Retirement are mentoring younger faculty into service. Leadership suggested that UCOLASC talk to the UCFW chair about these and other efforts to diversify Senate service. In addition, Chair Gauvain noted the opportunities for diversity work in academic publishing, and the intersection between publishing and academic advancement, and encouraged the committee to pursue the subject.
- UCOLASC members noted that campus CAPs can effect diversity through the value they place on publications and service. UCOLASC would like to work to broaden models of what constitutes knowledge and its dissemination.
- A committee member noted that some faculty resist open access publishing, as it may be viewed negatively in tenure and advancement reviews. Building a review process that

explicitly rewards varied models of publishing is necessary to counter that response.

#### **IV. Diversity, Equity, and Inclusion in Scholarly Communication**

Catherine Mitchell, representing the Office of Scholarly Communications working group, UCSD Scholarly Communications Librarian Allegra Swift, and UCSF Head of Scholarly Communications Annalisa Taylor, joined UCOLAC to discuss diversity, equity, and inclusion (DEI) issues in scholarly communication.

They noted that staff in scholarly communication are predominately white and female. The publishing business is over 90% white. Interest in greater DEI in the field has increased following George Floyd's murder and other events. There are multiple barriers to equitable publishing, beginning with faculty hiring, research funding, and review of publications.

It was noted that most publishers do not gather data on the racial, ethnic, and gender makeup of their authors; therefore, diversity claims cannot be evaluated. Academic publishing boards are male-dominated. The role of publishing in academic advancement disadvantages any faculty from underrepresented groups experiencing barriers to publication.

It was noted that broad initiatives to address DEI in scholarly communication exist, and opportunities to decrease bias in publishing at all levels are available. The University can work "at home" to increase diversity in scholarly communication. In 2018, UCOLASC led the creation of a Declaration of Rights and Principles to Transform Scholarly Communications, currently used to guide negotiations with publishers. The presenters asked UCOLASC what part the committee wished to play in addressing bias in scholarly communication going forward, perhaps by adding a DEI section to the Declaration.

- A committee member noted that the UC could leverage its size and prestige to push for greater diversity in scholarly publishing in the same way it worked to expand open publishing practices.
- UCOLASC agreed to engage with this issue next year, and to work with other committees such as UCORP, UCPT and UCAADE on specific efforts going forward.

#### **V. Recognition of Ivy Anderson**

Former Chairs of UCOLASC and other colleagues celebrated Ivy Anderson's years of service to the California Digital Library and the University of California on the occasion of her retirement.

#### **VI. California Digital Library Update**

California Digital Library (CDL) Vice Provost and Executive Director Günter Waibel provided an update on the CDL. He noted that the CDL had hired Ellen Finney as its new Director of Collections (the position vacated by Ivy Anderson's retirement).

The Governor's budget contains a full restoration of the University's budget to 2019-20 levels, which means that the budget cuts CDL had been modeling will not have to be applied. The CDL's budget will remain flat next year. In addition, the state budget contains a proposal to return the Office of the President's budget to a campus assessment model, which would create greater flexibility in the CDL budget.

For this year, the President's Endowment funded the portion of the CDL budget for licensed content, and next year, TRIP investment funds will support licensed content. A working group proposing cost-sharing models for licensed content between campuses has created a memorandum of understanding for shared funding should the future UCOP budget not support licensed content.

CDL staffing levels continue at a lower level than needed. With known vacancies, there is a 12% reduction in staff. Meeting the CDL's needs require additional staff, and the outlook is not good for the next two years.

- Chair Margeta offered UCOLASC's help to advocate for additional staff for CDL and other UC libraries. Vice Provost Waibel noted his appreciation for the offer but deferred action pending further conversations with the Provost.

## **VII. Hathi Trust ETAS Assessment**

Kathryn Stine, CDL Senior Product Manager for Digitization and Digital Content, reported on use of the HathiTrust during the pandemic. UC is a founding member of the Trust, and provides 25% of its material.

During the pandemic, the Emergency Temporary Access Service (ETAS) provided temporary access to in-copyright material, doubling the material available. ETAS use at UC peaked in February 2021, and held steady at about 1,000 daily users. It was intended as a temporary service during the inescapable restrictions presented by COVID. Lending through ETAS followed Controlled Digital Lending Principles, which limit usage based on the number of physical volumes that are available.

UC Berkeley found that ETAS use on campus outstripped licensed e-book use. One finding was that use of STEM materials was greater than expected. At the conclusion of emergency access, additional analysis of ETAS use will be performed.

Feedback from users reflected appreciation of the material available, as well as challenges related to functionality and performance and limitations on use of material from copyright restrictions. More investigation of user data and experiences will be reported to the Council of University Libraries (COUL) in the summer of 2021. This information will guide the University's selection and use of digital material after deactivation of emergency access.

- A UCOLASC member asked about the future of the HathiTrust as libraries open for in-person service. The hope is that access to public domain material will continue to attract

use.

- A member asked if the University should put resources toward digitizing copyright protected materials, since many students choose pirated materials or other “workarounds” to access copyrighted material, or pour resources into open access materials instead. CDL hopes that the answer is a both/and approach. Mass digitization was also intended to protect collections and access to them in catastrophic need situations such as the COVID pandemic.
- It was noted that HathiTrust’s ETAS arose as a response to an extraordinary event, but users in many cases became habituated to it, so changing access in order to comply with copyright law is a challenge that will have to be navigated.

### **VIII. eScholarship Update**

The University publishes open access journals in addition to negotiating licenses for open access with other publishers. There are various categories of open access publishing through the eScholarship platform. Currently, the eScholarship program publishes 85 journals, reflecting its large community of scholars. eScholarship publishes in a wide variety of disciplines and by a variety of authors, such as faculty, graduate students, and undergraduate students. Readership has grown to nearly 4 million views.

eScholarship offers a values-based open-access publishing. eScholarship also publishes varied media, such as video snippets, and other varieties of interactive media. In addition, values drive the infrastructure choices, as eScholarship offers a unified institutional repository and journal publishing solution.

The eScholarship program has many options for expansion and development, only limited by resources. After twenty years of publication, eScholarship has a proven track record of successful publications, faces exciting new opportunities, and has reached staffing resource limits. Strategic choices need to be made to ensure a sustainable future.

- It was suggested that eScholarship focus primarily on supporting UC. Vice Provost Waibel noted that changes that affect national and international publishing levels create the greatest effect for the local University system. Every project at eScholarship has a connection with UC, although sometimes that connection is editorial in nature. This tension is creative and problematic by turns. Articulation of a clear mission statement would support a dialogue with UCOLASC regarding the reach and purpose of eScholarship.

### **IX. Research Information Management System (RIMS) Update**

UCSD Professor Maryann Martone reported on the Research Information Management Systems (RIMS) working group formed between UCOLASC and UCACC. RIMS collect and store metadata on research activities and outputs. RIMS can be used for faculty review, comparative research analysis, and publications management. The tools are used by faculty and administration. They are also used to find collaborators and identify grant opportunities.

The working group is comparing contracts for third-party RIMS providers against the 2019 privacy requirements for the University.

Senate faculty are concerned about the commercial ownership of some RIMS, the “black box” experience of many RIMS systems, their use in high-stakes faculty assessments, the commercialization of data without cost to the RIMS providers, and varying impacts to faculty based on discipline.

The working group and the UCOP Institutional Research and Academic Planning (IRAP) formed a two-phase plan. First, they performed a survey to inventory systems used by campuses, but it produced incomplete data. Next, they identified and surveyed individual users of RIMS. Three overarching concerns were identified: 1) Accuracy of the data; 2) Privacy and transparency; and 3) Third-party lock-in requirements.

The working group anticipates finalizing their report on RIMS this summer, and will circulate drafts for feedback.

## **X. Project Transform**

Ivy Anderson, CDL, provided an update on Project Transform. Ten transformative open access (OA) agreements have been signed in the past two years, including the Elsevier agreement. Preliminary data suggest that the costs to the libraries for publishing are within expected ranges. Most authors asking for full funding are doing so because their work is not grant-funded, the grant had expired, or they had not budgeted for publication. In addition, graduate students without grant funding are requesting full funding. As hoped, the data suggests that the model supports early-career authors.

Both Springer Nature and Elsevier have between 40-50% opt-out rates from full OA publishing. OA is the default, and authors must actively choose to opt-out. Some authors report believing that opting out saves the University money, so communication about the actual costs is important. Publishers report that opt-out rates fall as awareness increases among authors. The Springer Nature opt-out rate has fallen from an earlier 66%.

Existing agreements mean 30% of all UC current articles are eligible for OA publishing. If current advanced negotiations are successfully concluded, that percentage will rise to 45%, then 73%. Two years ago, virtually zero OA agreements existed.

## **XI. Campus Updates**

UC Davis is preparing libraries for a full opening.

UCLA is discussing data privacy and DEI initiatives, prompted by the Moreno Report, and is also working to prepare libraries for full reopening.

UCM continues to find that new programs are proposed without consultation with the University Librarian, and the Library Committee plans to work directly with Deans to make consultation a default approach. Budget cut concerns continue, especially for the library budget. The 2020 Plan had created space for library allocations, but often they are reduced in practice.

UCR has a joint Library/ITS committee and will request that the new Provost separate the committees. In addition, the campus is discussing effects of the data breach and responses to it, and preparing the libraries for in-person service.

UCSB is opening libraries for access, but students are required to fill out a health survey to gain entry. Libraries do not have enough staff to check students' status at needed speeds. The library committee is beginning an inquiry into the costs of ebooks for the campus, including open access for ebooks. Costs appear to be rising precipitously. International students' access to library materials, should they not be able to return to campus, is a growing concern on campus.

UCSD's library turned 50 in 2020, and celebrations have been deferred. There was some faculty pushback against OA, so the library committee faces a growing need to educate faculty on OA. One option discussed is asking for greater explanation from faculty who opt-out.

The UCSC libraries are scheduled to reopen July 1st.

UCSF will have full library access from July due to the high vaccination rate on campus. Discussions of opening the library to the public have started, and all individuals accessing the library fill out a health screen.

The graduate student representative noted that more engagement with graduate students regarding the benefits of OA publishing would be welcome.

The committee adjourned at 3:34 pm  
Minutes prepared by Stefani Leto, Committee Analyst  
Attest: Marta Margeta, Committee Chair