OA x 3: Engaging Campus Interests at the University of California

Laine Farley, Executive Director
California Digital Library
ARL Forum, October 11, 2013
8:15-9:15 a.m.
<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
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<tbody>
<tr>
<td>September 2013</td>
<td>Proposal for the re-establishment of an <strong>Office of Scholarly Communication</strong>.</td>
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<td>July 2013</td>
<td>UC faculty adopt systemwide Open Access Policy.</td>
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<td>February 2013</td>
<td>The <strong>White House</strong> mandates increased access to publicly-funded research results via a memo from Office of Science and Technology Policy (OSTP).</td>
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<td>February 2013</td>
<td>AB609, the Taxpayer Access to Publicly Funded Research Act, introduced in CA Assembly; expect it to be revisited in early 2014.</td>
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<td>May 2012</td>
<td>UCSF adopts open access policy for faculty.</td>
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<td>November 2011</td>
<td>White House OSTP issues RFIs on long term preservation of and public access to the results of federally funded research, including digital data and peer-reviewed scholarly publications.</td>
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<td>April 2008</td>
<td>NIH Public Access Policy implemented</td>
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<td>Summer 2007</td>
<td>First iteration of the Office of Scholarly Communication disbanded.</td>
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<td>July 2007</td>
<td>Academic Senate reviews proposed Open Access Policy, but does not endorse.</td>
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<td>May 2007</td>
<td>“Scholarly Work Copyright Rights Policy” proposed to the UC faculty and endorsed by the Assembly of the Academic Senate.</td>
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<tr>
<td>Fall 2004</td>
<td>First <strong>Office of Scholarly Communication</strong> established within the UC Office of the President.</td>
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- **Chapter 1**: July 2007 - May 2008
- **Chapter 2**: May 2008 - September 2013
UC Context

The Stakeholders
Leadership

Notes from the Academic Senate Chair

Robert Powell
robert.powell@ucop.edu

Dear Colleagues,

When I joined the Academic Council five years ago as chair of the Davis division, the last thing I expected was to one day carry the torch for the faculty of the greatest public university in the world as chair of the systemwide Academic Senate.

Throughout my term as chair, I have tried to use that torch to shine light on one fundamental principle – that UC’s quality depends on the University working for the good of the faculty. But what, you might ask, is the “good of the faculty”?

All year, Vice Chair Bill Jacob and I have emphasized to the Academic Senate that we must remain the primary voice for faculty in the translation of UC policy into practice, and in the measurement of programmatic success.

Senate Approves Open Access Policy

After an extensive Senate review, the Academic Council has approved an open access policy for faculty publications that will be implemented on a pilot basis at three UC campuses beginning this November.

The policy was originally proposed by University Committee on Library and Scholarly Communication (UCOLASC) in August 2012, and underwent two rounds of review during the 2012-13 academic year. It will give UC a limited, non-exclusive right to make published UC faculty scholarship freely available in an existing open-access online repository maintained by the California Digital Library (CDL).

The policy will allow UC authors to retain one-time publication rights, which would then be made available to the public through the campus library’s catalog. The pilot program will focus on five areas: public-policy research, health care, humanities, the sciences, and social sciences.
We work to support research and graduate education across the University of California system.

**IMPAC**

We develop UC's positions on legislative issues and provide analysis and research in support of policy initiatives.

Issues Management, Policy Analysis & Coordination (IMPAC) is responsible for coordinating the development of the university's position for state and federal legislation, as well as responses to state and federal legislative, gubernatorial, and other official requests. IMPAC provides policy analysis and research to further initiatives consistent with UC's policy agenda.

**DEPARTMENTS**

Research Grants Program Office

Provides funding for UC research programs as well as grant and financial administration for state funded research.

**LEGISLATIVE EFFORTS**

State legislation

Sponsored legislation

Federal legislation

**RELATED DEPARTMENTS**

State Governmental Relations

Federal Governmental Relations

**EXTERNAL RESOURCES**

California State Legislation

Federal Legislation

**STAFF**

Jenny Kao

Executive Director

**ORG CHART**

Staff Directory

**OVERVIEW**
The Systemwide Library and Scholarly Information Advisory Committee (SLASIAC) advises the University on systemwide policies, plans, programs and strategies related to the acquisition, dissemination and long-term management of scholarly information, in all formats, created by or needed to support UC's world-class teaching and research programs.

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**Education Coordination Advocacy**

**Campus or Lab**
- Committee on Library & Scholarly Communication (UCOLASC) Chair
- Faculty Member from Professions
- Faculty Member from Social Sciences
- Faculty Member from Humanities
- Faculty Member from Physical Sciences
- Member, Council of Vice Chancellors; serves as Chair
- Vice Chancellor of Research
- UC Labs Representative
- Chair, Council of University Librarians
- University Librarian
- Member, Librarians Association of the UC (LAUC)
- Educational Technologies Representative

**UC Office of the President**
- Academic Senate Chair or Vice Chair
- Vice Provost, Academic Affairs
- UCOP Budget Representative
- Office of Research Representative
- Executive Director, California Digital Library
- Associate VP/ CIO
- General Counsel Representative
- UC Press Director
Supporting Deposit at (UC) Scale
What is the scale?

Total publications, 2010: 38,868
UC Research Funding Sources and Number of Publications

<table>
<thead>
<tr>
<th>Year</th>
<th>Funding Source</th>
<th>Funding Amount</th>
<th>Percentage</th>
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<tbody>
<tr>
<td>2010-2011</td>
<td>Federal</td>
<td>$2,232,457,120</td>
<td>(90.3%)</td>
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<tr>
<td></td>
<td>California</td>
<td>$217,307,626</td>
<td>(9.7%)</td>
</tr>
<tr>
<td>2011-2012</td>
<td>Federal</td>
<td>$2,230,842,211</td>
<td>(89.4%)</td>
</tr>
<tr>
<td></td>
<td>California</td>
<td>$236,173,954</td>
<td>(10.6%)</td>
</tr>
</tbody>
</table>

- California: 44,617 (89.4%)
- Federal:     4,723 (10.6%)
State & Federal Funding Received by UC

Source: Institutional Research, UC Office of the President
# Papers from Funded Research

Source: Research Grants Program Office, UC Office of the President. Formula: 2-3 papers per $100K in funding
“For it to be implemented effectively, faculty will need a central resource to maintain consistency and preserve the system-wide nature of the policy (and other related issues) of OA.

One of the things I found while speaking to faculty about OA was the level of anxiety produced by what really was misinformation or no information on copyrights and the like. Making a resource that is up to date, consistent and easily accessed by all members of the university community is essential to the success of OA.” - Faculty member, SLASIAC
The purpose of this wiki is to provide an open, shared space where UC faculty, librarians, and other stakeholders can engage directly with the Open Access Policy Implementation (OAPI) team and track progress as we build tools and services to support.

**Project Components**

- Streamlined manual deposit
- Automated harvesting system for UC Irvine, UCLA & UCSF
- Embargo, opt-out waiver and addendum generator
- Publisher Information Database
- Reshaping Scholarly Communications Site Relaunch

**Latest news**

- UC Open Access Policy Deposit Workflow - your feedback requested! Sept 18, 2013
- RFP Evaluation Team Completed Responses to Bidders' Questions Sept 16, 2013
- Introducing OAPI Sept 04, 2013

**Featured voices**

UC OA Policy Explained
UCLA Professor of Information Studies Chris Kelty on UC's
Meet Richard Schneider
UCSF Professor Orthopaedic on why Open Access
UCI adopts Open Access Policy

On July 24, 2013 the Academic Senate of the University of California (UC) passed an Open Access Policy ensuring that future research articles authored by UC faculty will be made available to the public at no charge. The intent of the policy is to make research articles more easily and broadly discoverable and freely available to advance UC research to anyone in California or the world.

Beginning November 1, UCI faculty will begin depositing their published research articles to eScholarship, UC’s open access repository for faculty, staff and students. Articles will be available to the public without charge via eScholarship in tandem with their publication in scholarly journals.

The UCI Libraries will take steps to notify many publishers about the policy and the license granted therein to UCI to make articles openly accessible. If publishers or faculty object to the terms of the policy, they can obtain a waiver.
Meet Rich Schneider
UCSF Professor of Orthopaedic Surgery on why Open Access publishing matters... immensely.
SEE VIDEO

UC OA Policy Explained
UCLA Professor of Information Studies Chris Kelty on UC’s new Open Access Policy
SEE VIDEO
Michael Eisen
I'm a biologist at UC Berkeley and an Investigator of the Howard Hughes Medical Institute. I work primarily on flies, and my research encompasses evolution, development, genetics, genomics, chemical ecology and behavior. I am a strong proponent of open science, and a co-founder of the Public Library of Science.

Randy Schekman is Professor of Molecular and Cell Biology at the University of California, Berkeley, and an Investigator at the Howard Hughes Medical Institute. A member of the American Academy of Arts and Sciences, the American Philosophical Society and the National Academy of Sciences, he was elected President of the American Society for Cell Biology in 1999 and served as Editor-in-Chief of the Proceedings of the National Academy of Sciences from 2006 to late 2011. He is currently the Editor-in-Chief of eLife.
The Next Chapter

- over 6,500 registered users
- 800 institutions
- 5,500 plans created

Create ready-to-use data management plans for specific funding agencies.

Recent DMP News

- DMPTool adds 100th institution!
- DMPTool2 Project -- September 2013 Report
- Update: DMPTool 2 Features Overview

More news >
“This change in publication practices is opening further interesting cans of worms (more advanced forms of open access, possible changes to the role of peer review, the need to negotiate very significant disciplinary differences in publication needs and customs, metrics, etc)…

In sum, I'd cast the introduction of the OA policy as a game changer that will trigger more changes, and that UC needs to stay on top of this, not just to follow the flow. We are not just talking about implementation of one policy but a trajectory of innovation.

– Mario Biagioli, UCD faculty, SLASIAAC member
For more information

- Reshaping Scholarly Communication
- Open Access Policy Implementation
- http://www.cdlib.org