

# UC Open Access Policy Implementation Status Report

## SLASIAC meeting

February 27, 2015, California Digital Library

### Background

The Academic Senate passed an Open Access Policy for the UC system on July 24, 2013. This policy grants UC a license to make any scholarly articles available in an open access repository, but confirms that the institution will not do so until an author deposits an article in UC's eScholarship repository or confirms the availability of the article in another open access venue.

- Policy text: **“The Faculty calls upon the Academic Senate and the University of California to develop and monitor mechanisms that would render implementation and compliance with the policy as convenient for the Faculty as possible.”**
- Letter from Academic Council Chair Robert Powell to Provost Dorr on August 1, 2013: **“Council appreciates your written pledge to provide resources for the CDL infrastructure necessary to make this policy feasible.”**

As the service provider for UC's open access repository (eScholarship), the California Digital Library issued an RFP to select a tool to automatically harvest information about faculty-authored articles and facilitate publication deposit into eScholarship. The selected tool, Symplectic Elements is currently being implemented at three pilot campuses: UCLA, UCSF and UCI.

### Key dates

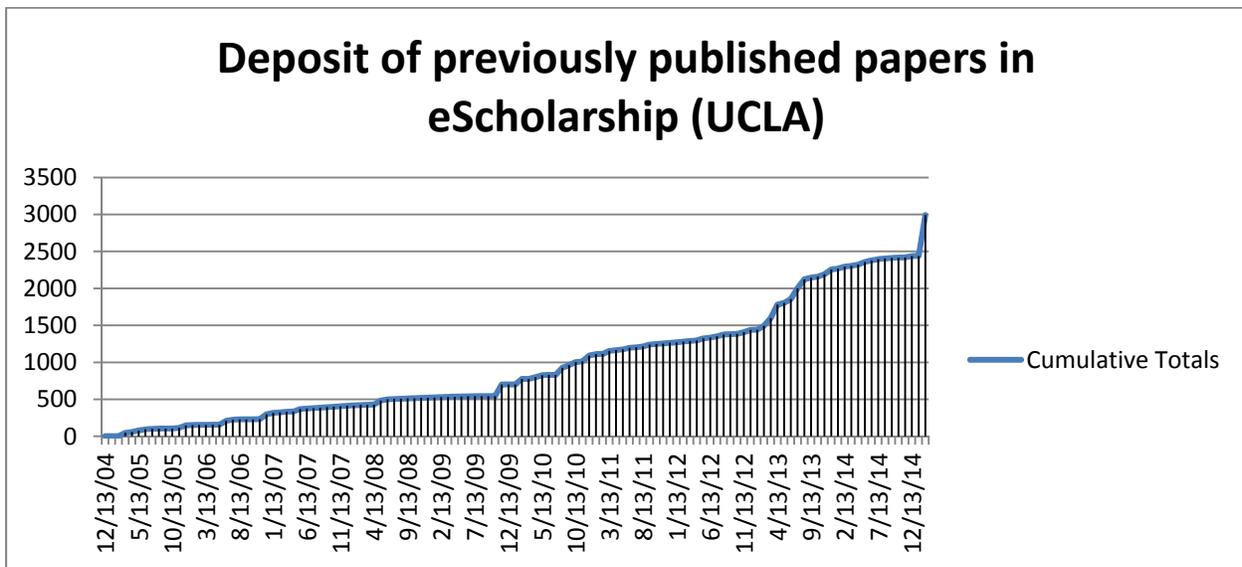
- July 24, 2013 UC Academic Senate passed Open Access policy
- March 3, 2014 Contract awarded to Symplectic for the Elements software (<http://symplectic.co.uk/products/elements/>) to support harvesting publication metadata
- June 8, 2014 First Progress Report delivered to UCOLASC
- July 1, 2014 Soft launch of harvesting tool for pilot campuses
- January, 2015 Official launch of Elements at UCLA (UCSF and UCI to launch in March, at their request)

### UCLA launch data

There has been a dramatic increase in the UCLA deposit of previously published papers into eScholarship since the launch of the Elements harvester. (Note the spike in deposits as represented in the data and the graph below.)

- 3,000 faculty contacted on January 14, 2015, via email and asked to log in to system
- First 48 hours after release of harvester:
  - 700 clicked link; almost 700 logged in (~25% response rate)
  - Claimed over 5000 items; uploaded over 300 files; 250 successful deposits.
  - Response rate very high compared to other institutions (typically about 5%)

- Long view of UCLA’s “previously published papers” in eScholarship:
  - **Nov 2004 – Jul 2013** - Deposits to eScholarship prior to OA Policy: **2,113 total**
  - **Aug 2013 – Jan 13, 2015** - Deposits during manual deposit phase:
    - via eScholarship manual deposit - 262
    - via BioMedCentral automatic deposit - 49
    - via Elements (pre-release) – 4
 Cumulative total: **2,438**
  - **Jan 14 – Feb 12, 2015** - Deposits since the implementation of the harvester:
    - via Elements harvester - **546**
    - via eScholarship manual deposit – 11
 Cumulative total: **2,991**



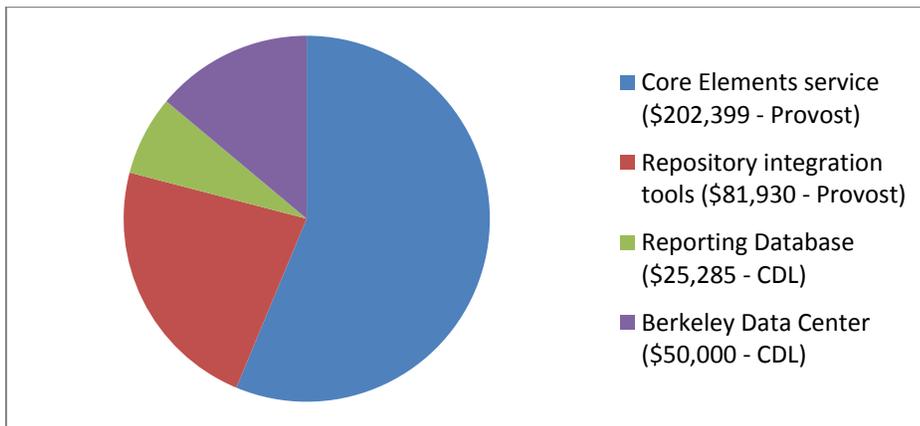
As the graph reveals, there was slow but steady growth between 2004 and July 2013. Following the adoption of the policy on July 24, 2013, we saw an uptick in deposits, which all but leveled off after 18 months. The big spike at the end of the graph represents the UCLA deposit activity in the 4 weeks following the launch of the Elements harvester – when more articles were deposited than in the preceding 18 months. In fact, post-harvester deposits represent 17% of total deposits of previously published works for UCLA since the launch of the eScholarship service in 2004.

### Funding

- **Provost:** one-time funding of \$115,000 for 2013-2014 to begin implementation for pilot campuses, \$280,000 for 2014-2015 to extend to all campuses, plus existing California Digital Library staff and technology resources.
- **Campus support:** Campus library staff provide local outreach and support for faculty. Other campus units including academic personnel offices and staff on faculty profile projects (such as

CTSI at UCSF) have expressed keen interest in the system because the information compiled by Elements will benefit their own data collection efforts.

- **\$380,000 in ongoing annual funding** for the harvesting tool (in lieu of adding additional staffing resources) will be needed to support the Open Access policy in the future. These fees reflect the following costs:
  - Requested augmentation to CDL’s budget:
    - Core Elements service: \$202,399
    - Repository integration tools: \$81,930
    - Total: \$284, 329
  - From existing CDL budget:
    - Reporting database: \$25,285
    - Berkeley data center hosting: \$50,000
    - Total: \$75,285



- A complementary Presidential Policy is currently under review which would apply similar terms to all University Authors (including non-Senate academics and students under certain conditions). Should this policy pass, the Elements system could be employed to support compliance among these groups of UC authors as well *at no additional cost*.

### Other costs

- **Source index support:** Elements harvests metadata from a range of indexes, some freely available and others requiring a license. A major source is Scopus from Elsevier. Most research institutions are already licensing Scopus, and Elsevier has offered UC a competitive price. After a trial last year, CDL agreed to pay for Scopus this year to evaluate its usefulness with the harvester. Campus libraries have not yet committed to co-investment in this resource after 2016.
- **Ongoing support:** In addition to the annual software maintenance, staff support may shift from set up and testing to more support for faculty as they interact with the harvesting system and

deposit articles. In addition, there has already been increased interest in and usage of existing eScholarship services for hosting various publications for units and departments.

- **Extending the tool:** Beyond its use in support of the UC OA Policy, Symplectic Elements is a robust research information management tool with the potential to connect with and coordinate the flow of information among other systems within UC. We are currently in discussion with stakeholders across UC (Institutional Research, ORGS, faculty profile administrators, Academic Personnel, etc.) to explore the possibility of extending the tool to support systems that rely on the same kind of data which we will be collecting. If there is a desire to extend to these other areas and use additional parts of the tool, there would need to be some form of co-investment from other units.

### Key Benefits

- **Increased ease and efficiency:** The email notifications and pre-population of article metadata make it easy for faculty to “claim” their publications prior to uploading their version of the paper.
- **Information management:** Faculty have access to a more comprehensive listing of their publications with accurate citations. They may use this information on their own web sites, to populate other profile systems, for their promotion and tenure review preparation, etc.
- **Staff resource savings:** Some high-profile universities, including Harvard and MIT, have taken on significant staffing to support the implementation of their institutional OA policies. Harvard has employed a cadre of students to work with faculty individually to identify and upload papers in compliance with their policy. MIT built its own harvesting tool (prior to the availability of commercial solutions like Symplectic Elements) and employs metadata librarians to enhance publication records for faculty.
- **Higher likelihood of compliance with the UC Open Access Policy:** Uptake rates at other universities are in the range of 13-15%; we are assessing the uptake rate now and early results are promising.

### Ongoing Challenges

- **Familiarity with policy:** Most faculty remain unfamiliar with or unsure of the terms of the OA Policy. By contacting them directly, the harvesting system is likely to surface any unfamiliarity and/or anxiety about the policy and its implications for their work.
- **Copyright:** The Presidential Policy, which is currently circulating, raises the complex issue of who does and who does not own copyright in his/her work. This issue may increase the complexity of conversations about the Senate policy.
- **Article version:** Faculty are unsure of which version of their publication they may deposit in eScholarship and/or may no longer have the appropriate version in their possession.
- **NIH conundrum:** Faculty whose work is funded by NIH should ultimately deposit in PMC within 12 months of publication. The UC OA Policy requires deposit upon publication. Those NIH-funded faculty are disinclined to deposit twice, and they often don't yet have a link to their open PMC version at the point at which the harvester will contact them. How to manage?

## Governance

- The University Committee on Library and Scholarly Communication (UCOLASC) is monitoring the implementation on behalf of the Academic Senate. It responded to a progress report on November 17, 2014 with this excerpt:
  - “The committee reviewed the 6-month OA implementation report, which was complemented by the presentation that you gave during our last UCOLASC meeting. The committee appreciates the amount of ‘behind the scenes’ work that went into ensuring that the OA deposit requirement could be fulfilled by the three campuses. Most faculty are not (and probably don’t need to be) aware of all the activities that are necessary to support the implementation of OA, including contacting hundreds of publishers, producing outreach material and an informative website, prepping the eScholarship portal page, and selecting and adopting the automatic publication harvesting system. It is absolutely critical that the University provides continuing support for these OSC activities if the UC Open Access initiative is to be successful.”
- The Systemwide Library and Scholarly Information Advisory Committee (SLASIAC) receives regular reports on implementation status as does CoUL.
- The Office of Scholarly Communication (OSC), which operates under the auspices of SLASIAC, also communicates regularly about the project with representatives from UCOLASC (the current chair), CoUL, campus libraries, Office of Research, and UC Press.