

## Systemwide Library and Scholarly Information Advisory Committee (SLASIAC)

Agenda  
Nov. 27<sup>th</sup>, 2017 (10:30 – 3:30)

Chair: Scott Waugh  
Note Taker: Danielle Westbrook

**Members in attendance:**

Scott Waugh (UCLA, SLASIAC Chair)	Ted Huang (UCOP)	Wendy Streitz (UCOP)
Deb Agarwal (LBNL)	Angus MacDonald (UCOP)	Jenn Stringer (UCB, ETLG rep.)
Shaun Bowler (UCR, Graduate Deans rep.)	Steven Mandeville-Gamble (UCD, CoUL Chair)	Erich Van Rijn (UC Press)
Susan Carlson (UCOP)	Michael Pazzani (UCR, Research VC rep.)	Günter Waibel (CDL/UCOP)
Jennifer Chan (UCLA, LAUC rep.)	Rich Schneider (UCSF, UCOLASC Chair)	Shane White (Academic Senate)
Thomas Cogswell (UCR)	Mark Seielstad (UCSF)	

**Regrets:** Tom Andriola (UCOP), Elizabeth Cowell (UCSC), Susanna Elm (UCB), Rita Hao (UCOP)

**Guests:** Dave Baltaxe, Zoanne Nelson, Chris Shaffer

**Consultants:** Ivy Anderson (CDL), Catherine Mitchell (CDL)

**Staff:** Danielle Westbrook (CDL)

Agenda Item	Time	Duration	Responsible	Documents/Notes	Outcome/Goal
0. Welcome & introductions	10:30 – 10:35	0:05	Scott Waugh		
1. Office of Scholarly Communications - Reintroduce OSC, and introduce Chris Shaffer (Acting OSC Executive Co-Director)	10:35 – 11:00	00:25	Günter Waibel, Chris Shaffer, Catherine Mitchell	- OSC operations document - OSC work plan	Discuss and vote on the two-year appointment of Chris Shaffer as OSC Executive Co-Director.

The [Office of Scholarly Communication \(OSC\)](#) was re-founded in 2013 with approval from the Council of University Librarians (CoUL) and under the auspices of SLASIAC. OSC provides systemwide guidance, support and advocacy for the broad dissemination of scholarship and unencumbered access to research and information. Moving forward, the OSC will provide a standing office update to SLASIAC.

The OSC work plan is ongoing and identifies the following work areas: rights reversion, research information management systems, OA publishing, open education resources (OERs), policies and legislation, implementation strategies for the UC OA policies, and the OSC blog. OSC synchronizes its work with other UC committees and groups, and fulfills a key coordinating role for the system. While the President and Academic Senate remain the stakeholders of their respective OA policies, the OSC strategizes how to fulfill the policies’ obligations; campus and CDL staff members carry out the implementation work.

A SLASIAC member observed that outreach and education for faculty and graduate students, particularly on OA and OERs, needs to reach those who are not already well-informed on these topics.

**Decision:** SLASIAC endorses the two-year appointment of Chris Shaffer as OSC Executive Co-Director.

2. California Digital Library - Budget Update	11:00 – 11:30	00:30	Günter Waibel		Update and opportunity for questions.
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Through the systemwide negotiation team at the CDL, the UC campus libraries access \$4.50 worth of licensed content for everyone \$1 spent. These savings and the resulting increase in access are due to the influence of having all ten UC campuses participate in the agreement and the efficiencies found in having a central unit manage the negotiations. Systemwide resources are a shared investment between the campuses and the CDL. Campuses also have a local budget for resources of local, but not systemwide, importance.

Little can be cut from the CDL budget without redistributing costs to the campuses. All of CDL’s 20+ services save campuses from having to invest locally in those functions.

For 17/18, CDL is facing multiple budget pressures due to mandatory cost increases. These include: approx. 3% annual increase on licensed collections; approx. 4% annual increase on software licenses and hosted services; and approx. 3% annual increase for merit and campus staffing fees. Extrapolating from these known inflationary factors, CDL’s budget shortfall for FY17/18 is \$506,000. Because CDL’s 17/18 request for an augmentation was denied, the cumulative impact of the annual shortfall will quickly become unsustainable. It will rise to a projected \$1M in FY18/19.

CDL secures significant grant funding and service contracts to augment its budget, and often hosts grants in partnership with others, including campus libraries. For example, all Google funds awarded to the CDL are distributed to the campuses to offset campus costs for digitization projects. Extramural funds allow CDL to expand its capacity to undertake new, innovative work that benefits the system and broader community; this work is core to fulfilling CDL’s mission.

In securing grants and service contracts, CDL is able, and often required, to hire additional FTE using the awarded funds. Because UCOP’s new FTE cap does not differentiate between unrestricted and restricted funds, CDL is no longer able to hire new, time-limited staff using grant or service contract funds. CDL is now unsure how to fulfill FTE obligations under recently awarded and proposed grants and service contracts.

3. UCOP budget outlook and audit update	11:30 – 12:00	00:30	Zoanne Nelson, Dave Baltaxe		Update and discussion, re: the UCOP budget and audit response.
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The California State Auditor (CSA) made 33 recommendations in the audit of UCOP expenditures released in April of 2017. UCOP accepts and has begun implementing all 33 recommendations. [Sixty-day and six-month updates](#) were submitted to the CSA, and an update was given to the Regents at their last meeting. OP is working with an external, 3<sup>rd</sup> party firm to monitor progress against the audit report. An Executive Budget Committee (EBC) has been re-established, and includes academic senate representatives, OP leadership, and campus leadership; the committee will review the UCOP budget and will be permanent.

Implementation of the CSA’s recommendations has been divided into ten workstreams (described [here](#)). The workstreams include improving the OP budget process, clarifying the budget presentation, reassessing budget restrictions, implementing workforce and staffing plans, and defining systemwide initiatives and establishing budget targets.

The OP Budget Office is collecting baseline FY2018-19 budgets from all OP departments in December. Departments have been asked to outline all permanent expenses and uncontrollable increases as this will better equip the Budget Office to run more detailed analyses, using actuals, forecasting, and comparisons to prior years’ budgets. The budget will be decided upon in March for approval at the May 2018 Regents meeting. The Budget Office is looking at current and potential efficiencies, and is aiming for a level spending target (i.e. overall, no cost or FTE increases).

The Huron Consulting Group is conducting an organizational review of OP to examine redundancies and how OP might be more efficiently organized to better support strategic priorities. Huron’s recommendations will be submitted to the President by Dec. 15<sup>th</sup>.

Several SLASIAC members noted that CDL functions somewhat differently from other OP departments. When it comes to seeking grants and service/administrative contracts, CDL functions more like a campus academic department where FTE might be entirely grant-funded. Because grant and contract funds are used to hire new project/grant-specific FTE at CDL, the current OP FTE cap disproportionately impedes CDL’s ability to carry out its work. SLASIAC members voiced that CDL should not be penalized for its initiative in securing extramural restricted funds.

4. (working lunch) eScholarship demo	12:15 – 12:30	00:15	Catherine Mitchell	<a href="https://escholarship.org/">https://escholarship.org/</a>	
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eScholarship provides open access repository services to UC researchers, and an open access publishing platform for UC-affiliated departments, research units, publishing programs, and individual scholars. Though there is interest in eScholarship beyond UC, the eScholarship team would require additional FTE if they were to scale up to include additional, non-UC clients. One SLASIAC member noted that restricting eScholarship services to UC is a mismatched investment; UC is not reaping the benefits of allowing others to participate and co-invest.

A new intercampus UC course, [Bending the Curve](#), will use eScholarship to publish the course’s most promising student proposals. While six UC campuses are teaching the class, the aim is to offer the course at all ten campuses and at other universities. It is important that eScholarship is resourced so that it’s able to grow and be flexible in the ways needed by the UC and broader scholarly community.

In terms of Open Educational Resources (OERs) and lowering and eliminating textbook and book costs for students, the CDL and UC Press are collaborating on Editoria, an open source monograph publishing platform, with the Collaborative Knowledge Foundation and funding support from the Andrew W. Mellon Foundation. UC community members can already deposit books into eScholarship.

**Action:** SLASIAC will write a memo in support of developing a business model for eScholarship that allows it to not only grow but also extend its services beyond the UC system. The memo should highlight the urgent need for alternatives to publishers like Elsevier. The audience is likely the UCOP Budget & Finance office.

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<p>5. Committee/Council/Task Force updates</p> <ul style="list-style-type: none"> <li>- Council of University Librarians (CoUL)</li> <li>- University Committee on Library and Scholarly Communication (UCOLASC)</li> <li>- Electronic Theses &amp; Dissertations (ETDs) Task Force</li> </ul>	<p>12:30–1:15</p>	<p>00:45</p>	<p>Steven Mandeville-Gamble (CoUL); Rich Schneider (UCOLASC); Tyrus Miller (guest, ETDs Task Force)</p>	<p>For CoUL:</p> <ul style="list-style-type: none"> <li>- OA2020 UC Participation</li> <li>- Reinvigorating the UC Library Collections (<i>this proposal was previously shared with SLASIAC at the spring meeting</i>)</li> <li>- Draft Roadmap to OA Executive Summary and Chart</li> <li>- Systemwide ILS Working Group charge and principles</li> </ul>	<p>Updates and opportunity for questions.</p>
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**CoUL's** present focus is on collections, open access, and a systemwide integrated library system (ILS). As the UC libraries' purchasing power deflates by at least 3% annually due to cost increases and flat, or decreasing, budgets, the libraries cannot continue to license all existing collections. A data-driven cancellation review is underway. CoUL is looking for strategic opportunities to advance open access. A UC Libraries Roadmap to OA is under development, and four campuses have signed OA2020. The Libraries are also investigating a systemwide ILS that would take UC from ten independent systems for managing the acquisition and use of library resources to a single, cloud-based UC-wide system.

The **ETDs Task Force** finalized the draft ETD OA policy. The policy is a corollary to the President's OA policy; its language mirrors the Presidential policy, which in turn mirrored the Academic Senate's OA policy (which stemmed from UCSF's OA policy). The ETDs policy in part outlines the differences between OA and copyright, patents and patent filing, and will clarify embargos while not encouraging them. The policy gives campus-level implementation to graduate deans, and divisional authority for granting exceptions. The policy will be sent out for review by Provost Brown on December 1, 2017.

**Decision:** Tyrus Miller will bring an update to the Council of Graduate Deans, re: digitizing old dissertations with Google.

**Action:** Ivy Anderson will write a summary on digitizing UC's older dissertations with Google, to give to Tyrus Miller.

This year, **UCOLASC** will continue to encourage and support UC participation in OA2020 as a conduit for collective action around advancing open access. UCOLASC is also interested in pressuring publishers, particularly during the upcoming UC negotiations, and would like to develop negotiation principles in conjunction with CoUL, OSC and CDL.

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<p>6. Library collections</p> <ul style="list-style-type: none"> <li>- Overview of systemwide collections, upcoming negotiations, and the offsetting models under development</li> <li>- Update on collections ask to the President</li> </ul>	<p>1:15 – 2:00</p>	<p>00:45</p>	<p>Ivy Anderson (consultant), Günter Waibel</p>	<p>- Re-invigorating UC Library Collections: A Funding Proposal (<i>this proposal was previously shared with SLASIAC at the spring meeting</i>).</p>	<p>Opportunity for discussion, and to provide feedback on offsetting models.</p>
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In April 2017, CoUL submitted a collections funding proposal to President Napolitano. The President was receptive to the funding proposal and asked that it be formally submitted as a request through the Provost. New OP processes for requesting funds has delayed this task, but Provost Brown supports the proposal and the formal request should be submitted soon. The request is for \$10M to fund licensed content, special collections digitization, open access, research data management, and other key collections areas.

Several major licenses are up for renewal in 2019. While CDL’s negotiating team has been able to secure price increases that are well below the national average of approx. 6%, and millions of dollars are saved through UC’s approach to centralized systemwide negotiations, many UC libraries are facing a fiscal cliff. Even under the best negotiation scenarios, the UC can’t afford to renew all existing licenses. A systemwide committee is taking a data-driven approach to developing cancellation options for both systemwide and locally licensed content.

The UC libraries are interested in advancing open access through a variety of potential strategies to support the largescale conversion of scholarly literature to open access, including the approach outlined in the [Pay It Forward project](#). The CDL is investigating offsetting agreements with publishers that offer hybrid OA options, whereby payment to access pay-walled content is combined with payment for OA publication, offsetting one against the other. Other OA strategies include: flipping existing journals to new, independent platforms; conducting outreach to editors and societies around alternative publishing models; and investing in institutionally-based publishing infrastructure.

Others in the library community have taken a stand during big negotiations, including: Université de Montréal; the California Institute of Technology; the Alliance of Science Organizations in Germany/Allianz der deutschen Wissenschaftsorganisationen with Projekt DEAL; and the FinELib Consortium. These institutions approached their negotiations with different strategic goals, ranging from cost savings, to greater flexibility by unbundling big packages, to propelling offsetting deals and other OA initiatives.

SLASIAC members agreed that in the upcoming negotiations, UC must strike the right balance between negotiating for the immediately needed cost reductions and the desired OA provisions.

7. Generate greater awareness of, and buy-in around, difficult collections decisions and open access	2:15 – 2:40	00:25	Steve Mandeville-Gamble		Discuss the proposed task force. Determine next steps, if any.
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The total collections spend must be reduced to match the current UC budget. Several SLASIAC members highlighted that budget concerns aside, UC should not continue to support the existing scholarly publishing market. While UC’s spending should better align with UC’s principles and ambitions around OA, the Libraries’ urgent need to cut costs must also be incorporated into upcoming negotiations. SLASIAC agreed that faculty support is critical for the budget crisis, the need to cancel journals, and UC’s ambition to transition further to OA.

**Decision:** Representatives from CoUL, UCOLASC and CDL will draft a document that frames the short-term realities, re: flat and shrinking library budgets and the need to cancel journals, while also addressing how the choices made in the near-term might impact UC’s longer-term goal of advancing OA and transforming the scholarly publishing model.

**Action:** Günter will convene a writing group made up of Rich, Steve and Ivy. They’ll write a framing document that outlines the current funding crisis and issues, the long-term desire to transform the publishing model, the various decisions/choices that need to be made, and the processes that exist for developing a UC strategy. The writing group will share their document with UCOLASC and CoUL to support discussion and generate feedback. CoUL and UCOLASC feedback, along with the framing document, will be shared with SLASIAC at the winter meeting.

8. OA policy support - Update - Review funding request/proposal	2:40 – 3:05	00:25	Günter Waibel, Catherine Mitchell (consultant)	- Draft Decision Memo to Provost Brown, re: a funding model.	Review proposal, provide feedback, and vote on endorsement.
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The OA policy support proposal requests funding for Symplectic Elements services and for one new FTE. All other OA policy support costs are absorbed by the CDL and campus libraries. CDL was able to negotiate bridge funding for Symplectic Elements so that the Provost has until the end of the fiscal year to decide whether to fund the initiative (instead of February, the original contract’s end date). If funding is not secured from the Provost, the Symplectic Elements services will be discontinued, reducing CDL’s ability to support UC’s open access policies and eliminating the publication data source for campus systems to draw from.

**Decision:** SLASIAC supports the funding proposal.

**Action:** Günter will consult with Dave Baltaxe and others at OP to determine how this funding request should be submitted.

**Action:** Once Günter has determined the mechanism for submitting this funding request, Chair Waugh will write a letter in support.

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9. Copyright Ownership Policy	3:05 – 3:30	00:25	Angus MacDonald	- Draft copyright ownership policy	Respond to recommendations and provide feedback.
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The Copyright Ownership Policy was presented to the Academic Planning Committee (APC). The APC has two edits for SLASIAC to consider: 1) delete “registered” when referring to students on p. 3; and 2) limit sponsored works to those items identified as deliverables under a contract.

A SLASIAC member noted that when the policy is circulated for further review, it might be helpful to provide additional context and benchmarking data.

**Decision:** SLASIAC endorses APC’s recommendation to delete “registered” when referring to students on page 3, and rejects the edit to apply further limitations to the sponsored works section. SLASIAC supports sending a revised policy onwards for Management Consultation and systemwide review.