UC Scholarly Information Activities that Influence the Scholarly Communication System

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1. INTRODUCTION

Activities that influence the scholarly communication system can be viewed as being focused in six related areas:

- **Scholarly communication activities (SC)**, that are intended to directly affect the system(s) that distribute the results of the UC faculty's research and scholarship. Examples include resolutions and communication activities that influence faculty choice of publishing venue or encourage faculty to retain their rights in their published works, and continued collaboration with the UC Press.
- **Library collection development activities (CD)** that influence the system (i.e., publishers, faculty, and/or libraries) through the libraries' collection development policies and priorities and the strategic use of the libraries' buying power
- **Stewardship activities (ST)** that influence scholarly communication by capturing the digital results of research and scholarship (including published works, supporting materials such as research data, and teaching/learning materials) early in their development. Capturing, preserving, providing access, and helping to manage this content on behalf of and for the benefit of the authors and the institution suggest and support new innovations in communication and expand and enrich the scholarly content/communication landscape.
- **Access activities (AC)** that use information technology to exponentially increase and improve access to content, thus enhancing support for research and teaching and reducing the relative importance of the products of the legacy publishing system. Examples include mass digitization of library print collections and support for new forms of scholarship and scholarly publication, such as the Atlas of Global Inequality (http://ucatlas.ucsc.edu/).
- **Policy activities (POL)** that identify the need for changes in existing, or development of new, institutional and public policies affecting scholarly communication, including but not limited to copyright law and policy.
- **Systemwide information environment activities (SIE)** that identify needed capabilities in the UC information technology infrastructure to support scholarly communication initiatives, activities, and operations (in consultation with the UC Information Technology Guidance Committee).

Activities in each area may be independent of activities in other areas, or can either complement or compete with those activities. For example, postprint services serve a stewardship, access, and scholarly communication role, but investments in alternative publishing business models may be more or less influential than equivalent investments in mass digitization.

It is important to note as well that **copyright considerations** pervade scholarly communication activities and must be given consideration in each relevant activity and within each subject area. Among the copyright considerations to be assessed are (depending on the specific context):

- Copyright compliance and fair use assessment

- Communication to and education of the UC community regarding copyright law and policy, and management of authors' and the institution's rights in the products of research and scholarship
- Communication, management, and rights enforcement with regard to the use by external parties of content produced or managed by UC and its scholarly community
- Development and promulgation of systemwide and campus policies and procedures

The table that follows provides a preliminary list of current activities that bear on the scholarly communication system; the list is subject to revision and expansion through ongoing dialog with the UC Libraries community. On a preliminary basis, each activity is assigned to one or more of the six focus areas described above. No attempt has been made to assess the possible relationships (complementarity/competition, trade-off) among the activities or the respective focus areas.

2. AGENCIES

The following organizations and groups within UC are involved with or have an essential oversight role in the University's scholarly communication activities. The agencies described below are those known to be operating at a systemwide level or among the UC Libraries on these issues. No attempt has been made to identify campus-based organizations that may be active in this area or to systematically research systemwide or multi-campus entities that might have an interest in, or peripheral involvement with, scholarly communication matters. The involvement of these agencies in specific activities is noted in the table that follows.

- Systemwide Policy and Planning Oversight Groups
  - Systemwide Library and Scholarly Information Advisory Committee (SLASIAC; <http://www.slp.ucop.edu/consultation/slasiac>). Reporting to the UC Provost, SLASIAC advises the University on systemwide library policies and strategic priorities, on systemwide long term planning for the UC libraries including the nine campus libraries and the California Digital Library (CDL), and on strategies to enhance and facilitate the transmission of scholarly and scientific communication in a digital environment.
  - Standing Committee on Copyright (SCC; <http://www.ucop.edu/copyright/>). The SCC, reporting to the Provost of the University, is charged with guiding the continuous evolution of institutional policies and practices in ways that address the core activities and values of the University by developing a high level of understanding of the legal, technical and business dimensions of the copyright environment.
  - UC Information Technology Guidance Council (ITGC).
- Office of the President
  - California Digital Library (CDL; <http://www.cdlib.org/>). The CDL supports the assembly and creative use of the world's scholarship and knowledge for the UC libraries and the communities they serve.
  - Office of Scholarly Communication (OSC; <http://osc.universityofcalifornia.edu/>). Includes the functions of:
    - *Policy, planning and outreach.* Sponsors research, analysis, and communication programs to inform the UC community about scholarly communication issues, and facilitates internal partnerships among the UC libraries, faculty, and administration and, where appropriate, in concert with entities outside UC.

- *Publishing and strategic initiatives, including the* eScholarship *program.* In partnership with librarians, scholars, publishers, information technologists, and professionals in other memory organizations, facilitates innovation and supports experimentation in the production and dissemination of scholarship.
  - UC Press (<http://www.ucpress.edu/>). The Press is a key partner in UC's scholarly communication activities, providing both broad and deep knowledge of scholarly publishing needs, markets and business practices and collaborating with OSC Publishing and strategic initiatives through the *eScholarship* program to advance innovations in scholarly communication and publishing.
  - Office of Systemwide Library Planning (SLP; <http://www.slp.ucop.edu/>). SLP provides strategic leadership and support for strategic planning for the long-term sustainable growth of the University of California's library and scholarly information collections and services.
- UC Faculty
  - Academic Council Special Committee on Scholarly Communication (SCSC; <http://www.universityofcalifornia.edu/senate/committees/council/scsc/>).
  - Campus Academic Senate Divisions and their committees.
  - Individual faculty, as both producers and users of scholarly information
- The UC Libraries
  - *UC Libraries Scholarly Communications Program & Priorities* (DRAFT, 4/13/04) <http://libraries.universityofcalifornia.edu/sco/ SCOprog_and_priorities.pdf>.
  - The University Librarians' Group (<http://libraries.universityofcalifornia.edu/about/uls.html>)
  - Systemwide Operations and Planning Advisory Group (SOPAG; <http://libraries.universityofcalifornia.edu/sopag/>).
    - Scholarly Communication Officers' Group (<http://libraries.universityofcalifornia.edu/sco/>)
    - Collection Development Committee (<http://libraries.universityofcalifornia.edu/cdc/>).

3. ACTIVITIES

Focus Area						Activity	Agency	Rationale	Role of Campus Libraries	
SC	CD	ST	AC	POL	SIE				Leader-ship	Support
●				●		Administrative resolutions	OSC/ SLASIAC	Resolutions focus (faculty) attention, communicate intent to external agencies (particularly publishers) and provide authority for action		☑
●				●		Academic council resolutions	SCSC			☑
●				●		Divisional senate resolutions	Campuses			☑

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SC	CD	ST	AC	POL	SIE				Leadership	Support
●						Campus faculty fora/ colloquia	Campuses	Inform faculty, gain consensus on actions, surface faculty evangelists		☑
●	●	●	●			UC Libraries program	UC Libraries – see Libraries Strategic Plan	Locus for: organized, structured, flexible communication with faculty; faculty support services	☑	
	●					Leverage library buying power	UC Libraries	Moderate publisher pricing behavior	☑	
	●					Support alternative business models (e.g. PLoS)	Ad hoc support from libraries now (membership in PLoS, BioMedCen-tral)	Moderate publisher pricing behavior; encourage experimentation	☑	
●			●			Issues analysis, faculty outreach & response (e.g. NIH open access policy; ACS action against PubChem)	SCSC, campuses with assistance from SCOs and OSC	Advocate for specific causes; leverage a cause for overall faculty awareness		☑
●			●			Draft model copyright addenda for publication agreements	OSC with assistance from OGC; SCC?	Increase faculty awareness; moderate publisher behaviors that are based on a copyright monopoly		
●			●			Align copyright advice with Creative Commons effort	OSC & library program; SCC?	Improve quality and expand applicability of copyright addenda; leverage CC reputation and infrastructure		
●		●	●	●	●	Online Postprint service	OSC/ eScholarship: launched 2/05	Improve access to UC-produced research and scholarship; moderate publisher behavior		☑
●		●		●	●	eScholarship service suite (preprints, seminars, etc)	OSC/ eScholarship	Encourage and support alternative methods and models of scholarly communication and publishing		☑

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SC	CD	ST	AC	POL	SIE				Leadership	Support
●	●					UC Press monograph & journal e-editions; AnthroSource portal	UC Press with assistance from OSC/ eScholarship	Position UC's own scholarly publisher as a leader and innovator, and a provider of direct support to UC faculty		
●				●		Advocate open access to Prop. 71 research	SCSC with assistance from OSC	Moderate publisher behaviors that are based on a copyright monopoly		
●				●		Reshaping Scholarly Communication website	OSC (includes extensive journal/ publisher data)	Inform faculty		
●		●		●		Mellon-supported grant on postprints and copyright attitudes	OSC – final report due in Spring 05	Frames postprint service development; establishes baseline data about UC faculty copyright attitudes & behavior		
		●		●	●	Strategic planning for capture/curation/stewardship of UC academic digital assets	SLP	Addresses an implementation path for management of faculty-produced content for which they retain rights; addresses content for which UC has rights		☑
		●			●	Alignment of campus and systemwide IT strategies, systems and investments with each other and with academic goals	UC Information Technology Guidance Council (prospective)			☑
	●					Shared Collections (digital and print)	UC Libraries/ CDL/Shared Print Program	By focusing collection development/management and "buying power" at the systemwide level, these programs offer the greatest potential to Leverage library buying power .	☑	

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SC	CD	ST	AC	POL	SIE				Leader-ship	Support
		●				Digital Preservation Repository	CDL	Provides capability and demonstrates commitment to persistence of UC-created scholarly work		☑
		●		●	●	UC Libraries Rights Management Framework	CDL	Supports strategy to Draft model copyright addenda for publication agreements by ensuring that retained rights are persistently expressed and actionable	☑	
			●	●	●	Mass digitization planning	CDL	Supports scholarship through improved access to information; exposes and addresses copyright and fair use issues; leverages the UC information environment and demonstrates its capabiltiies	☑	
●				●		Standing Committee on Copyright	SLP	Supports strategy to Draft model copyright addenda for publication agreements by developing conforming UC policies where needed.		☑
●				●		UC Copyright Web site	SLP	Supports strategy to Draft model copyright addenda for publication agreements by providing faculty with information on retaining and protecting their rights, and signaling the authority of UC-approved policies and practices.		

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SC	CD	ST	AC	POL	SIE				Leadership	Support
●	●	●	●	●	●	Continued dialog with senior management (e.g., COVC) and faculty leadership	CDL/SLP/OSC/SP			☑