

## Strategies and Implementation Paths for UC Scholarly Communication Initiatives SLASIAC Discussion Document

**Background.** Scholarly communication is in a state of crisis that threatens to compromise the University of California's core mission. The crisis reduces the UC community's access to scholarly materials and limits the dissemination of UC's scholarship. A failure to respond will jeopardize UC's pre-eminence, its contributions to scholarly inquiry and the progress of knowledge, its effectiveness in teaching and learning, and its service to the citizens of California. It is critical that the University, and the worldwide academic community of which it is a part, regain control of and strengthen scholarly communication processes.

In addition to the Systemwide Library and Scholarly Information Advisory Committee (SLASIAC) existing UC responses to the issues and opportunities appear in four organizational settings:

1. **UC faculty** - through its campus divisional committees and the Academic Council and Senate, particularly the Council's *Special Committee on Scholarly Communication* (SCSC) (<http://www.universityofcalifornia.edu/senate/committees/council/scsc/>);
2. **UC libraries** - with campus-based efforts and a collectively defined scholarly communication program and set of action priorities (<http://libraries.universityofcalifornia.edu/scholarly/sco/>);
3. **UC Office of the President's Office of Scholarly Communication (OSC)** - sponsors new publishing initiatives and partnerships through its eScholarship program, conducts policy, planning and outreach, and facilitates the activities of each of the above (<http://osc.universityofcalifornia.edu/responses/osc.html>);
4. **UC Press** - through its experiments in monograph production and distribution, cost-effective digital journal publication, the AnthroSource portal, and its partnership in several eScholarship initiatives (<http://www.ucpress.edu/scap/>).

SLASIAC is a uniquely positioned fifth locus of planning and action. Given its charge to "advise the university on strategies to enhance and facilitate the transmission of scholarly and scientific communication in a digital environment," and considering that its membership includes representatives of each group above, SLASIAC can and should assist the UC community in defining its collective work to examine, document, and suggest action on scholarly communication issues and to exploit opportunities for positive change.

**Principles and Goals.** There are general principles that inform the university's strategies and initiatives toward healthy scholarly communication systems. The first principle affirms the ***critical role of access to and dissemination of scholarship and research results to meet the university's core teaching, research, and service missions***. Two key goals derive from this principle: 1) to make available and sustain world-class collections of scholarship; 2) to disseminate UC's scholarly output to the broadest set of readers at the most affordable cost. The second principle is that ***UC faculty originate and own their scholarship and are the primary agents of its control***. This personal control of scholarship, when considered in the light of the first principle of maximizing access, suggests it is in the university's interest to assist scholars assess their various roles and to manage their intellectual property for the benefit of the scholar, the university, and the worldwide academic community. Finally, it is clear that by virtue of its size and the quantity and quality of its research output, the University of California is in a unique position to ***provide leadership to the academy and join forces to address the dysfunctions in current scholarly communication processes***. Our activities must therefore be considered within the worldwide scholarly enterprise and reported to, and where possible aligned with, the activities of other universities.

**Strategies, and Implementation Paths.** To animate these principles and pursue their related goals, we propose three broad strategies for the university to pursue.

1. **Develop a policy framework that assists faculty manage their roles and scholarly output in the service of effective scholarly communication.** Tactics that can be used in this pursuit include:
  - a. Articulate institutional concern and commitment and publicly resolve to foster positive change;
  - b. Inform ourselves – explore, assemble, and distribute data and information about the issues;
  - c. Create a copyright framework – assist scholars to retain key rights in their intellectual property;
  - d. Evolve the academic reward system – adjust the metrics and conventions to acknowledge high quality and high impact scholarship appearing in new forms and venues;
  - e. Create incentives for faculty to read, edit for, and submit to publishing venues that maximize access and minimize costs and/or profits.
2. **Influence the scholarly communication marketplace toward a balance of interests and sustainable economics for the producers and consumers of scholarship.** Tactics that can be used in this pursuit include:
  - a. Leverage the libraries buying power to disrupt and, where possible, reform the marketplace toward sustainable economics;
  - b. Support publishers whose business models explicitly address economic sustainability;
  - c. Create incentives for publishers to adopt sustainable, balanced business models;
3. **Support the use and creation of alternative publishing venues and models.** Tactics that can be used in this pursuit include:
  - a. Expand and promote UC's eScholarship Repository;
  - b. Create incentives for faculty to create and use innovative forms of dissemination, including open access journals and venues;
  - c. Encourage NIH grant recipients to follow the NIH policy on deposit of public access copies of research results in PubMed Central;
  - d. Encourage and support the development of a public access policy and infrastructure for research conducted under the California Institute for Regenerative Medicine (aka Proposition 71);
  - e. Encourage and support the UC Press to continue its developments in digital, low-cost publication;
  - f. Encourage societies to innovate in reviewing, editing, and disseminating disciplinary scholarship;
  - g. Engage cohort institutions in experiments to federate alternative publishing venues into a networked system of venues and related services.

## Implementing strategies

Strategy	Tactics	Examples of Potential Action <sup>1</sup>	Questions
<b>Develop policy framework that assists faculty manage their roles and scholarly output</b>	Articulate institutional concern and commitment	SLASIAC statement of principles to complement faculty resolutions	<ul style="list-style-type: none"> <li>• How elevate copyright management as a key institutional and individual strategy?</li> <li>• How surface and promote incentives to change behavior?</li> <li>• What assistance is needed and missing?</li> <li>• What material incentives are available or can be created?</li> </ul>
	Create copyright framework	Create model copyright addenda	
	Evolve academic reward system	Partner with UCAP in a study of current and potential practice	
	Create incentives for faculty use of publishing venues that maximize access and minimize costs and/or profits.	Partner with UCORP to examine subventions for publication fees (e.g. PLoS), 1 <sup>st</sup> monographs in digital form, etc.	
	Inform ourselves	Partner with SCSC to call for campus, regional, or systemwide colloquia	
<b>Influence the scholarly communication marketplace</b>	Leverage library buying power	SLASIAC statement of principle in support of libraries marketplace disruption strategy	<ul style="list-style-type: none"> <li>• How deliberate on the range of objectives to pursue (e.g. eliminate hyperinflation; disrupt marketplace; antitrust actions)</li> <li>• Sources of support/investment for alternatives? Beyond the libraries?</li> </ul>
	Support alternative business models (e.g. PLoS)	Develop/endorse criteria for university investment in promising alternatives	
	Create incentives for publishers to adopt sustainable models	Publicly praise the good, chastise the rapacious	
<b>Support/create alternative publishing models</b>	Expand/promote eScholarship service suite (preprints, seminars, postprints)	Partner with SCSC to call for participation/use of eScholarship	<ul style="list-style-type: none"> <li>• How maintain high uptake of eScholarship services?</li> <li>• How best engage other universities?</li> </ul>
	Support UC Press activities		
	Advocate open access to Prop. 71 research	Partner with SCSC in a call for Prop 71 open access policy consideration, endorse use of UC resources	
	Engage cohort institutions	Partner with CIC on sharing alternative publishing services/strategies	

<sup>1</sup> OSC = Office of Scholarly Communication; SCSC= Council's Special Committee on Scholarly Communication; OGC= Office of General Counsel; SLASIAC= Systemwide Library and Scholarly Information Advisory Committee.