UC Libraries Open Access Resource Management Task Force
Phase Two Report

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Cynthia Johnson (Co-Chair), UCI
Tamara Pilko (Co-Chair), UCSC
Erica Zhang (Co-Chair), UCLA
Becky Culbertson, CDL
Lisa Mackinder, CDL
Tiffany Moxham, UCR
Jo Anne Newyear Ramirez, UCB
John Riemer, UCLA
Kerry Scott, UCSC
Christopher Thomas, UCLA
Sarah Troy (DOC Liaison)

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Executive Summary

In June 2021, the Direction and Oversight Committee (DOC) formed the Open Access Resource Management Task Force (OARMTF), following a recommendation from the SILS Public Services Escalation Leaders Group (PSELG). PSELG had received the question, "Should we, as a system, use CDI [Central Discovery Index] to manage open access (OA) resources?" Findings from PSELG's investigation into this question revealed that the issue of how OA resources should be managed in SILS is complex, crosses over multiple functional areas, and has implications for both UC and campus policies on resource management.

DOC charged the OARMTF with:

1. Investigating how best to manage OA resource activation across the UC Libraries system;
2. Developing a systemwide standard practice of how and when OA resources are included in the CDI; and
3. Conducting a review of current UC Libraries documents outlining the policies and procedures for shared cataloging, linking and management; recommend proposed revisions

The Task Force's work had two phases. The OARMTF Phase One Report[1] discusses the outcomes of the first phase, which focused on articulating the principles and guidelines which should frame the UC Libraries' work with Open Access (OA) resources in the Alma/Primo VE/CDI environment. The Task Force also recommended that a new OA team be formed for ongoing OA resource management. DOC reviewed this recommendation and determined that this new OA team would move forward as a SILS Project team on a two-year timeline.

This current report discusses the outcomes of the Phase Two, which focused on reviewing and recommending workflows and management procedures for cataloging and discovery. The initial deliverables outlined in the charge are:

1. Conduct a review of the UC Libraries Policies and Procedures for Shared Cataloging, Linking, and Management;
2. Develop a systemwide standard of practice for how and when OA resources will be included in the CDI;
3. Recommend policy and procedure updates for JSC and/or SCLG; and
4. Recommend areas of harmonization for campus policies and practices.

The Task Force used the principles developed during the Phase One discussions to frame

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[1] OARMTF Phase One DOC Report, October 2021, https://libraries.universityofcalifornia.edu/groups/files/doc/docs/OARMTF_Phase_One_Report_Oct_2021.pdf

discussions around reviewing existing policies, developing systemwide standards of practice, and recommending areas of harmonization.

To contemplate potential changes in policies and procedures and developing systemwide standards of practice, the Task Force examined OA Resource management in Alma. The complexity involved to make newly selected resources discoverable in UC Library Search is illustrated in the Understanding OA Resource Management in Alma section of this Report. This understanding of how the CDI works led the Task Force to reconsider the deliverable in the original charge to better reflect what is and is not within our control when managing OA resources in SILS. Additionally, the Task Force recommends that UC OA resource management take place in the Network Zone, in line with our principles of efficiency, de-duplication of effort across campuses, shared maintenance, and harmonization.

The Task Force also reviewed current campus engagement with activating OA resources that are appearing in UC Library Search because the metadata is available from the CDI. The results of this review demonstrate that campuses are either forging ahead on their own or waiting for CDL, a finding that the new team should take into account when considering different scenarios for OA resource management.

In addition, the Task Force discussed the Shared Cataloging Program's current procedures for cataloging OA materials and different potential workflows for managing OA resources now that all campuses are on Alma. Finally, the Task Force also reviewed which groups are best informed to make recommended changes to the UC Libraries Policies and Procedures for Shared Cataloging, Linking, and Management.

Throughout these discussions it became clear that functional expertise from people across the system working in Alma and with the CDI would be the best approach to determining potentially new systemwide standards of practice, as well as updates to our policies and procedures, and determining areas of potential and beneficial harmonization. To this end, the Task Force drafted a proposed charge for the new OA SILS Project Team that will be formed beyond this Task Force for ongoing consortial management of OA resources.

Introduction/Background

In June 2021, the Direction and Oversight Committee (DOC) formed the Open Access Resource Management Task Force (OARMTF), following a recommendation from the SILS Public Services Escalation Leaders Group (PSELG). PSELG had received the question, "Should we, as a system, use CDI [Central Discovery Index] to manage open access (OA) resources?" Findings from PSELG's investigation into this question revealed that the issue of how OA resources should be managed in SILS is complex, crosses over multiple functional areas, and has implications for both UC and campus policies on resource management.

DOC charged the OARMTF with:

1. Investigating how best to manage OA resource activation across the UC Libraries system;
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3. Conducting a review of current UC Libraries documents outlining the policies and procedures for shared cataloging, linking and management; recommend proposed revisions

The Task Force's work was divided into two phases. In the first phase, the Task Force worked to develop a baseline understanding of key elements of the charge, including how OA is defined, how the CDI and the EasyActive setting work, and how CDI and cataloging work together to facilitate discovery. A key finding was the fact that with the EasyActive setting, OA resources with CDI records are automatically discoverable in Primo VE, without an option to exclude them. This understanding led to an acknowledgement by the Task Force that the following hoped-for outcome would not be possible:

2. Developing a systemwide standard practice of how and when OA resources are included in the CDI

However, the Task Force has developed a deeper understanding of how *access* to OA resources surfaced by the CDI in UC Library Search may involve intervention and action on the part of library staff: the URL(s) that leads to the OA content is not always available unless the resource is activated through Alma. This understanding of how CDI works led the Task Force to reconsider the task in the original charge to better reflect what is and is not within our control when managing OA resources in SILS.

The Task Force then focused on developing shared Principles for the management of OA resources, particularly around quality, efficiency and prioritization, maintenance/monitoring, governance, harmonization, and discoverability[2]. The Task Force also proposed that a new OA team be formed beyond this Task Force for ongoing consortial management of OA resources.

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[2] Principles can be found starting on page 9 of the OARMTF Phase One Report.

In presenting the Phase One report to DOC, the Task Force solicited feedback from DOC on several points of discussion. In particular:

1. The Task Force proposed the creation of a Shared Services Team for open access resource management and asked for DOC's feedback with regard to the reporting line for such a team.
2. The Task Force discussed one aspect of open access resource management that requires attention/action sooner rather than later – that of activating URLs in search results. That is, currently there are a number of resources listed as OA in Primo VE, yet have no links for access. Some campuses have begun working on their own, while others are waiting for this work to be done at the network level. The Task Force requested feedback on what next steps, if any, should be taken. The Task Force recommended creation of a communication plan at a minimum, and asked for DOC's recommendation regarding the proper channels.

For the first discussion point, DOC followed up with the Task Force and recommended that instead of a Shared Service Team, the new OA team should be a SILS project team with a 2-year timeline which would report to the SILS Operations Team. After two years, the team would evaluate whether OA resource management work would require that the team be extended, or if other, existing SILS subteams could more appropriately carry out the work.

With that direction, the Task Force took on a new deliverable of outlining the goals and proposing a charge for this new OA team, which is discussed later in this report.

For the second discussion point, DOC recommended meeting with the Implementation Coordinators to craft a message about the work of the OARMTF in relation to current OA activity at the campus level. The Task Force then sent a message on 12/2/2021 to the SILS cohort that both introduced the OARMTF to those involved in SILS as well as acknowledged that there is a UC-level effort to address OA resource management in SILS.

With the Task Force's questions addressed by DOC, the Task Force then moved to addressing Phase Two deliverables, moving from high-level principles to discussing policies and the more granular details of doing OA resource management in Alma.

Understanding OA Resource Management in Alma

To gain a better understanding of how OA resource management could take place in Alma and thereby address the Phase Two deliverables, the Task Force discussed using current workflows for UC OA cataloging, defined what it meant by *cataloging* (working with MARC records) versus *activation* (managing resources in CDI), as well as investigated Network Zone (NZ) resources, constraints and access. To facilitate this discussion, an OA resource workflow was drafted to

map out steps needed to add a resource to Alma.[3] This workflow diagram shows the complexity of making newly selected resources discoverable in UC Library Search. It does not include the maintenance of these resources. Additional processes will need to be developed to address the full lifecycle of consortial OA resources.
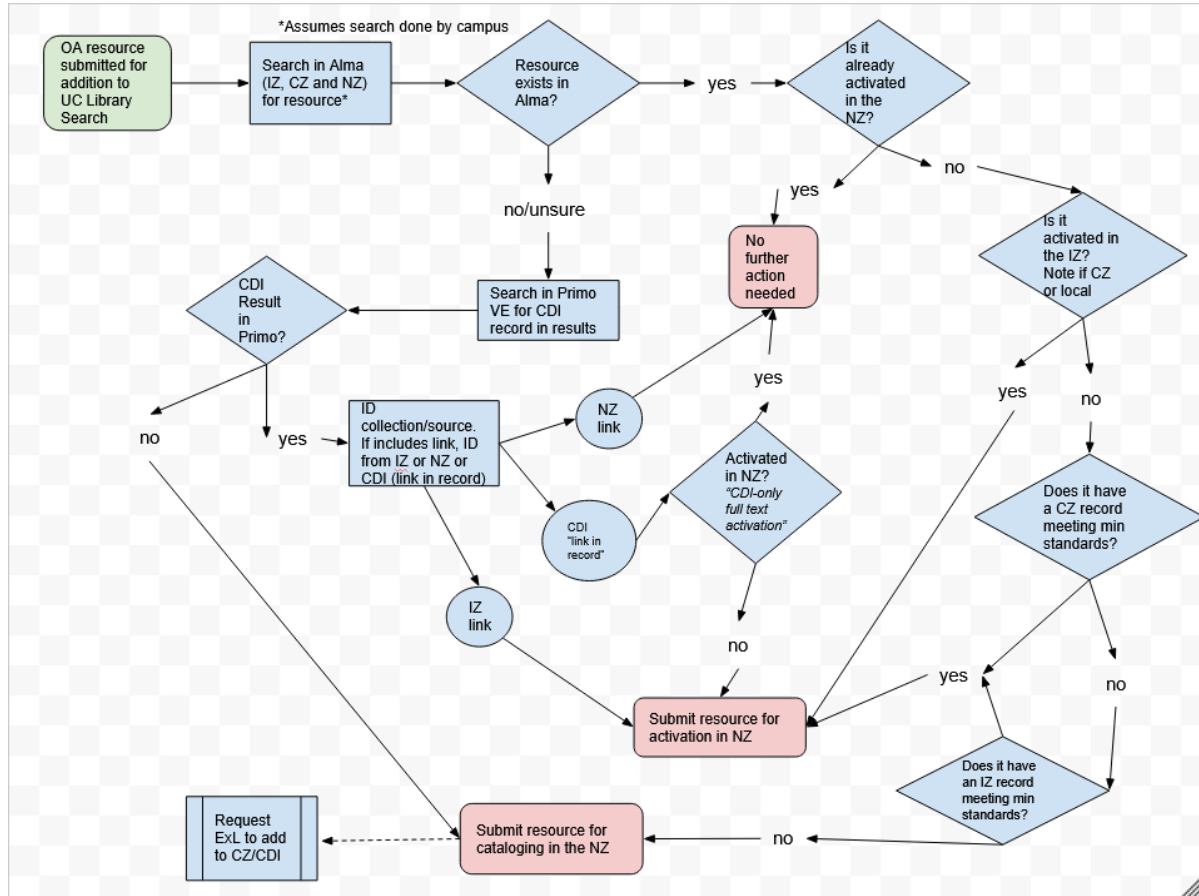
Network Zone Access

The Alma Network Zone (NZ) is the collaborative space where shared information can be distributed to member institutions. It allows for the cataloging of bibliographic records, inventory creation, and activation to take place in one space, for the benefit of all members, with resources universally displayed for end users in UC Library Search. This Task Force recommends that UC OA resource management take place in the NZ, in line with our principles of efficiency, de-duplication of effort across campuses, shared maintenance, and harmonization.

In order for OA resources to be managed in the NZ, the subsequent SILS Project Team will need to interface with the SILS Operations Center, which is responsible for management of the

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[3]OA resource workflow diagram
https://docs.google.com/drawings/d/1qxs0SQ8HgUWfK-384faK7nCv1M8w3SEtH0kGdwniTKc/edit?usp=sharing

NZ for the UC Libraries. As of the writing of this report, it is the Task Force's understanding that NZ access is currently limited to CDL staff and select other individuals for which a special use case has been established. The Task Force recommends that the SILS Project team explore expanding NZ access, as well as other options, in investigating how OA resource management can best be performed based on our principles.

Understanding Current Campus Activity around OA CDI Activations

In Fall 2021 the Task Force became aware that more questions about OA resources were being asked by campuses; many of the questions were prompted by patrons and librarians discovering OA resources in UC Library Search for which there were no links.The Task Force realized that there could be varied understandings about why there were no links and campuses might either make changes themselves, or wait for CDL to make a change. We agreed to survey what campuses were doing to make OA materials accessible. The answers to this question could lead to a better understanding of what campus expectations are regarding a systemwide solution versus a campus solution to managing OA resources. This information, in turn, could help the Task Force develop a forward-thinking solution for how, as a system, the University of California libraries manage OA resources that are findable in UC Library Search through the CDI.

In November 2021 the Task Force asked campuses and CDL if they had already started activating OA resources in Alma. 10 of the 11 sites responded to [the survey](#) and responses were mixed. Five campuses said "Yes, they have begun activating OA Resources in Alma," and five campuses said "No." Out of the five "No" campuses, one indicated that they had plans to start activating in the future. Why campuses have or have not started activating OA resources in Alma varies, but the comments in the survey indicate an awareness that OA activation will be time-consuming for local campuses to each do on its own. The survey is a useful indicator that each campus may be approaching and resolving OA "issues" without a shared understanding of how, as a system, we want to manage and make accessible OA materials that appear in UC Library Search because of the CDI.

Models of OA Resource Management Work

Current OA Workflows with Shared Cataloging Program (SCP)

With the SILS migration, SCP has also been reviewing their workflows, forms, and practices to adapt to this new environment. The processes documented in this section represent the current iteration of their work, and is subject to change as they learn more about Alma.

For new resources, SCP currently uses two request forms[4] that UC bibliographers, selectors, or catalogers may fill out to nominate OA resources[5] for inclusion in UC Library Search. The request is reviewed not just by SCP, but also the Joint Steering Committee (JSC), which oversees SCP policies for shared cataloging of open access materials.

Once the request is approved by JSC, SCP will catalog and activate the e-resources for all campuses in either CDI or Network Zone (NZ) including databases, journals, and monograph collections.

Proposed Models of Work in SILS

Based on the findings discussed above, the Task Force discussed three models of work that may be possible in SILS, each with different levels of work distribution as well as Network Zone access. The Task Force recognizes that these are not the only models that are possible, and that different models can suit different situations, but presents these models to illustrate a range of collaboration options, and are a useful starting point of discussion for the new project team as they encounter different OA resource management scenarios. The Task Force is also in favor of generally broadening Network Zone access to support these models and any new models of work that the new project team develops.

#1: Maintain the Existing SCP workflow

The Task Force recognizes that SCP has been responsible for providing access to OA resources for all campuses, and as such, a significant strength is their expertise with OA resource management, particularly with batch processes, as well as their existing infrastructure for managing OA resources throughout their lifecycle. SCP is also a familiar centralized team that most campuses have collaborated with for years with both Open Access and Licensed resources. In addition SCP already does all their cataloging in the Network Zone. This is where the Task Force recommends OA resources be managed.

Considerations for this approach include current capacity limitations in SCP, particularly during the early days of SILS, where clean-up projects and other immediate post-go-live projects may take precedence. In terms of policy, SCP policy also currently states that paid resources are prioritized ahead of OA resources, and there are also resource categories that SCP does not handle, such as individual monograph titles.

Given SCP's expertise, the Task Force discussed exploring the idea of SCP managing both licensed resources and OA resources at a comparable priority level by bifurcating the SCP staff

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[4] Request Form for SCP Cataloging of Open Access Journals, [https://docs.google.com/a/ucsd.edu/forms/d/e/1FAIpQLSdJxSDRX8ZTZNQ2W20L-pdAmbjjhCU37eNXJB T1KYRdxz-ncw/viewform](https://docs.google.com/a/ucsd.edu/forms/d/e/1FAIpQLSdJxSDRX8ZTZNQ2W20L-pdAmbjjhCU37eNXJBT1KYRdxz-ncw/viewform). Request Form for SCP Cataloging of a New Collection, [https://docs.google.com/forms/d/e/1FAIpQLSf7V8acQQvK8x4i1yLONNDhZKRGy5-lxzsizica0QQ7j_Fb_g/ viewform](https://docs.google.com/forms/d/e/1FAIpQLSf7V8acQQvK8x4i1yLONNDhZKRGy5-lxzsizica0QQ7j_Fb_g/viewform)

[5] For more information on SCP's criteria for OA resource requests,see https://drive.google.com/file/d/1DwNhGBaCXyjaMPyb4CwLRYW3xcC1ugGA/view?usp=sharing

primarily assigned to each category, an idea which would likely need further investigation with SCP leadership.[6]

#2: Create a group modeled on SCP for OA resources

A second model of work could involve creating a group similar to SCP, but dedicated to OA resources.

One strength of this model would be the fact that for this group, OA would be the priority. As such, the group may also have greater capacity to think about OA resource management more broadly (e.g., what counts as OA, different OA scenarios and resources and how to handle them, reviewing metadata standards, and advocating about OA resource management to Ex Libris). This group may also be able to leverage the existing infrastructure and knowledge that SCP has developed, such as using existing OCLC institution symbols for cataloging workflows.

Considerations for this model include the administrative components of establishing such a group, including funding and putting together additional components, such as appropriate advisory committees. As OA resources is an ever-expanding category, the group, even as they are dedicated solely to OA, could still run into capacity limitations, and would need to prioritize within OA resources. Finally, Network Zone access would likely need to be broadened to accommodate members of this group who currently do not have such access.

#3: Decentralize the work among all/most campuses

The third model the Task Force discussed is the most decentralized model that takes advantage of the opportunity for all campuses to contribute to the same system. Strengths of having OA resource management largely managed by local campuses include little change to existing workflows, the opportunity to empower local campuses to act on local needs quickly, no additional funding needed, and all-around more collaboration as campuses can benefit more directly from each others' contributions in Alma.

Considerations for this model include the reality that different campuses have different capacity to take on OA work, and that some campuses may be relying on a body such as SCP to manage OA resources for their campus. With a decentralized model, a centralized body that could coordinate OA requests may still need to be established for workflows and harmonization of practices. Finally, campuses currently have the ability to contribute catalog records to the Network Zone in Alma for discovery in UC Library Search. However, campuses currently cannot add inventory with URLs (i.e. portfolios) to the Network Zone for associated *access* in Primo VE; campuses are only able to create local portfolios for their own campuses to access the resource. If OA resources should ideally be managed in the Network Zone, then Network Zone access would need to be broadened to all campuses.

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[6] Currently, SCP designates one staff member to catalog monographic collections in batch and another staff member to catalog serials and databases.

These three models cover varying degrees of local Network Zone access and distributed work. The Task Force, in discussing these models along with SCP, recognize that, rather than trying to decide on one model with which to move forward, different models may end up working for different scenarios. For instance, a model that continues with SCP may work very well for processing and managing large OA collections given SCP's expertise with such batch processes, while a more distributed model may be more appropriate for individual titles to contribute to Alma.

In general, SCP sees opportunities for increased collaboration with campuses and campus groups, such as Common Knowledge Groups, in nominating OA resources for SCP cataloging. SCP also sees much more collaboration with campuses on cataloging itself, such as campuses doing an environmental scan of a collection's metadata quality, finding/creating records, providing OCLC #s, getting title lists from vendors, etc. Maintenance may also be an area for more SCP-campus collaboration.

In terms of a new OA team, SCP sees the team's value in working with CKGs not just for technical workflow details, but also from a collection development perspective, facilitating discussions of how campuses can help dedicate resources to working on OA, and strategizing about different methods for working collaboratively in different situations.

These are the Task Force's and SCP's initial thoughts on workflows in Alma, but the proposed OA team will need to look more thoroughly at how OA resource management can take place both locally and consortially according to the OA Principles.

Proposed OA Resource Management Team Beyond Task Force

The Task Force recognized that the principles articulated in Phase One of its work needed to guide changes to existing policies and workflows, as well as the emergence of new policies and workflows. However, as the Task Force's understanding of the complexity involved how the NZ, CZ, IZ, and CDI work together to make materials discoverable and accessible in Primo VE, the need for practitioners' expertise in these areas also became apparent. For that reason, the Task Force recommends an OA Resource Management Project Team to implement the principles laid out in the Phase One report.

We propose that an OA Resource Management Team would have the following goals:

Policy recommendations
- Work with SCP to recommend updates to the policy page - including a new OA definition - proposing new workflows, and evaluating the efficiency of those workflows if they are adopted.
    - A new OA definition will take into account the new forms of publications or types of publications that SCP has not traditionally cataloged in the past (open

educational resources (OERs), datasets, electronic theses and dissertations, etc.), as well as outputs of initiatives such as transformative agreements.
- ○ New workflows will include the processes around reviewing and prioritizing what materials should be cataloged as well as proposing standardized OA metadata.

Development of workflows and best practices
- In consultation with other SILS subteams, develop workflows and best practices for campuses to follow, including when work should be carried out consortially or locally, and by whom, and document approved workflows and best practices.
  - ○ This includes policies and workflows for OA resource maintenance, which includes cataloging maintenance, monitoring activations in Alma, and troubleshooting access to OA collections.
- Work with the SILS Operations Center to develop use cases that empower individual campuses to assume responsibility for cataloging OA resources and make those records and associated inventory available to all campuses. For example: advocating for expanded access to the Network Zone.
- Explore and evaluate the optimum way to circulate across the campuses best practices for working with OA materials. For example, would a new CKG or an existing CKG be the best way to facilitate information sharing of workflows, best practices, etc?

Assessment
- Determine ways to evaluate the impact on users and staff regarding the decisions made around OA resource management. Are these decisions and workflows improving the patron experience, for example?

Phase 2 Deliverables

Review of UC Libraries Policies and Procedures for Shared Cataloging, Linking, and Management

"Conduct a review of the UC Libraries Policies and Procedures for Shared Cataloging, Linking, and Management."

The Task Force agreed that the Open Access definition in the [Policies and Procedures for Shared Cataloging, Linking, and Management](#) needs to be revised, which is in line with the initial investigation into Open Access by the Public Services Escalation Leaders Group (PSELG). However, the Task Force also recognized that the expertise for this discussion appropriately belongs with the groups who initially wrote the Policies and Procedures document. The Task Force recommends that SCP, in collaboration with the new OA project team, review and update the definition, ensuring that it takes into consideration the changes in the publishing landscape, (for example, transformative agreements and the incentives to make research data open access).

Systemwide Standard of Practice

"Develop a systemwide standard of practice for how and when OA resources will be included in ~~the CDI~~ UC Library Search."

Since the CDI is not customizable, but resources can be activated or added to Alma, the Task Force suggests that text of this deliverable "the CDI" be changed to "UC Library Search". Given the complexities of working with OA resources in the structure of the Alma/Primo VE system, as outlined in the previous sections, the Task Force recommends that the new OA project team create standards of practice while considering the proposed models of OA resource work outlined in this report and keeping in line with the following principles as articulated in the OARMTF Phase One Doc Report:

- OA resources deemed to be of sufficient value to include in discovery tools at any one campus will be deemed good enough for all campuses.
- OA resources selected by one campus should be made available for the discovery tools of all campuses.
- Within cataloging open access resources, priority should be given to UC-sponsored projects and projects where the UCs have made a financial investment.
- OA resources will be clearly labeled so that this material is discoverable in UC Library Search.

Policy Recommendations for JSC and SCLG

"Recommend policy and procedure updates for JSC and/or SCLG."

In reviewing the UC Libraries Policies and Procedures for Shared Cataloging, Linking, and Management and discussing what group would receive recommendations for changes, the Task Force began to discuss what role JSC and SCLG might have in OA resource management.

The Task Force consists of three members from JSC and four members from SCLG, and there is significant overlap in membership in these two groups. As noted in the current OA workflow with SCP, JSC is currently part of the workflow of reviewing and prioritizing OA requests that are submitted to SCP. The Task Force discussed whether such involvement is necessary, particularly in cases such as the "SCP for OA" model, where there are two separate groups giving equal priority to paid and OA resources, respectively. In terms of prioritizing for capacity, members also noted that some activities around making collections discoverable are less labor intensive, such as straightforward activations in Alma.

With regard to the policy page, which was approved by JSC, any update requests should be reviewed by JSC, though the review process may be initiated by the new project team in collaboration with SCP. After SCP makes its revision, the Shared Cataloging Program Advisory Committee (SCP-AC) would be asked to approve the document, and finally JSC would be asked to review and approve the document. During JSC's review, they would determine whether SCLG may also want to review the update request.

Since the policy page contains not just principles but also more granular work practices around OA resource management, the Task Force determined that it would be more appropriate for the new project team, with the attendant skills, to review the policy page and more generally develop recommendations for changes for JSC.

Harmonization Opportunities

There are a variety of opportunities to harmonize practices with regards to OA cataloging and OA link activation which could lead to efficiencies across the system and a consistent user experience in UC Library Search. The opportunities include:
- Developing a clear practice for activating links to OA resources that are appearing in UC Library Search because of the CDI that can be followed by all campuses
- Using the same label for OA materials in UC Library Search
- Determining cataloging workflows that follow the following principles as articulated in the OARMTF Phase One Doc Report:
    - OA resources selected by one campus should be made available for the discovery tools of all campuses.
    - Policies, practices, and methods of communication for OA resource management should be developed with attention to efficiency and de-duplication of effort across campuses.
    - Ongoing maintenance is shared consortially.

Proposed Charge for New SILS OA Project Team

SILS Open Access Project Team: Charge

Introduction

The SILS Open Access (OA) Project Team is a time-limited group focused on developing practices and policies around OA resource management within UC Library Search. This team will build upon findings and recommendations from the preceding OA Resource Management Task Force (OARMTF), and work toward harmonized policies and workflows that improve discovery of and access to the diversity of OA resources important to the UC community.

Charge and core deliverables

Following the OA Principles developed by the OARMTF, the OA Project Team is charged to:
- Develop policies and practices to ingest, monitor, and maintain OA resources that are added to UC Library Search (Alma/Primo VE) through the Ex Libris Central Discovery Index (CDI) records as well as the cataloging of records in Alma, and the loading of external records by other means (APIs, OAI-PMH, etc.); this will also include best practices regarding when activities should take place at the Network Zone level versus the local level
- Determine workflows and best practices for all campuses to follow, as well as document and communicate those workflows and best practices. Advocate for enhancements/improvements to CDI OA resources to the SILS Operations Team, for inclusion in UC enhancement requests to Ex Libris
- Develop methods of assessing impact of decisions made about OA resource management
- Collaborate and consult with relevant stakeholder groups on OA resource management

Reporting line

The SILS OA Project Team will report to the SILS Operations Team, which will provide guidance and serve as the escalation path as needed by the project team.

Related groups

The team will consult with, engage, share information and collaborate with other UC Libraries entities within and without the SILS UCLAS structure[7], including but not limited to:

- SILS Operations Center (managed by CDL)

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[7] UC Libraries Advisory Structure (UCLAS)-integrated SILS organizational chart, https://libraries.universityofcalifornia.edu/groups/files/sils/docs/SILS_UCLASintegrated_06232021_Final.pdf

- SILS Operations Team (part of UCLAS)
- SILS Operations Subteams (part of UCLAS)
- Common Knowledge Groups, as applicable
- Shared Service Teams, as applicable

Time commitment and expectations

The OA Project Team is charged to carry out this work in a two-year time frame, after which the team will evaluate how and where OA resource management should take place within SILS. The team will hold monthly or bi-monthly virtual meetings to carry out their charge, with additional ad-hoc meetings as needed. Members are expected to commit an additional 2-5 hours of work per month, outside of meetings.

Roster and required expertise/membership

The OA Project Team is an expertise-based group, composed of individuals from specific SILS Operations Subteams as well as area experts, for a minimum of six members, including two members from CDL. Individuals may fill more than one of these roles/expertise, as long as all of the following are represented:

Two members from CDL
- One CDL staff member with a broad understanding and perspective of CDL responsibilities and workflows, policies, etc, and able to provide an administrative overview across units
- One SCP staff member

One member from each of the following SILS Operations Subteams:
- E-Resources
- Discovery
- Resource Management (CatMet)

Expertise in the following areas:
- Shared collections
- Transformative agreements
- Scholarly communication, public services
- Open Access and/or Open Educational Resources (OER) initiatives
- E-resource management, linking
- Cataloging
- Discovery, CDI

The project team's chair will be selected by the membership.

Conclusion

Given the complexity of the Alma/Primo VE environment and the fact that the UC libraries are just at the beginning stages of learning how best to work in this environment, both as a system and as individual campuses, the Task Force determined that some of the questions asked in its charge needed to be answered by the people who are becoming most familiar with the work. For this reason, we recommend that the new SILS OA project team address the following objectives:

- Develop policies and practices to ingest, monitor, and maintain OA resources that are added to UC Library Search (Alma/Primo VE) through the Ex Libris Central Discovery Index (CDI) records as well as the cataloging of records in Alma, and the loading of external records by other means (APIs, OAI-PMH, etc.); this will also include best practices regarding when activities should take place at the Network Zone level versus the local level
- Determine workflows and best practices for all campuses to follow, as well as document and communicate those workflows and best practices. Advocate for enhancements/improvements to CDI OA resources to the SILS Operations Team, for inclusion in UC enhancement requests to Ex Libris
- Develop methods of assessing the impact of decisions made about OA resource management
- Collaborate and consult with relevant stakeholder groups on OA resource management

The Task Force realizes that some of the solutions to how to catalog OA resources in a way that is efficient and makes use of the UC libraries' inclusive expertise will lead to more discussions about how the Network Zone is managed. The Task Force also agreed that in trying to develop workflows, the team should not be constrained to finding one approach. Instead, the project team should consider the most likely scenarios for managing discovery of and access to OA materials in UC Library Search, and develop workflows that best meet those scenarios.

Appendix 1: OARMTF Charge

UC Libraries
Open Access Resource Management Task Force Charge (FINAL)

Background

In March 2021, the SILS Public Services Escalation Leaders Group (PSELG) responded to the escalated question, "Should we, as a system, use CDI to manage OA resources?" with a recommendation for the immediate formation of a temporary, cross-functional subteam to investigate aspects of open access
resource management across the UC Libraries, and the potential integration of the [Ex Libris Central Discovery Index (CDI)](#) into open access resource management workflows. An initial investigation of the question pointed to multiple intersections between work underway within the SILS Phase 4 implementation project and that of existing UC Libraries groups outside of SILS.

Given the broad scope of the question and in recognition of its importance, the PSELG chairs (Callahan, Ogawa), representatives of DOC (Little, Poe), and the SILS Shared Governance Task Force co-chairs (Steel, Sotelo) met with the SILS Working Group to affirm that escalating the PSELG decision page to DOC for next steps was appropriate.

Charge and High-Level Deliverables

Building and managing collections to provide access to a broad array of scholarly information resources remains one of the highest priorities for the UC Libraries, and significant resources are invested in ensuring the discoverability and use of collections, including open access resources.

Drawing upon the initial research and findings of the PSELG, including the [CDI to manage OA resources decision](#) and the [Summary of PSELG's findings on the question of using CDI to manage OA resources](#), the Open Access Management Task Force will:

1. Investigate how best to manage OA resource activation across the UC Libraries system
2. Develop a systemwide standard practice of how and when OA resources are included in the CDI; and
3. Conduct a review of current UC Libraries documents outlining the policies and procedures for shared cataloging, linking and management; recommend proposed revisions.

Where appropriate, the Task Force should distinguish between OA resources within which UC has explicitly made a financial commitment or where it is the publisher, from those OA

resources "in the wild" which may be represented in the CDI. Examples of investments may range from transformative journal publishing agreements, to one-time or ongoing support for e-book initiatives. Examples of UC as a publisher include local repositories and curated collections.

Principles

Early PSELG efforts to assess and build a framework for understanding the potential use of the CDI to manage OA resources quickly revealed a range of issues and divergent opinions. The group's findings include:

> *"The question touches on many issues at the campus level and the organization as a whole, for functions where substantial expertise, personal identity, and financial investment have been made and will be made in the future… With each group, and even within groups, there is evidence of widely divergent views on the path forward, let alone the best solution. Any group taking up this question would need to balance philosophical and technical expertise with the ability to come to a practically implementable consensus."*

The Task Force shall utilize the [SILS Mission, Principles and Shared Assumption (2020)](#) for guidance in decision-making and in finding common ground. Also of value is the [SILS Discovery Vision (2020)](#), developed by the SILS 4 Discovery Functional Group, and the [SILS Harmonization Principles (2019)](#).

Projected Timeline & Activities

The UC Library Search service will launch on July 27, 2021. Phase 4 of the SILS implementation project will continue through December 22, 2021, at which time Phase 4 will officially conclude and the ongoing governance structure launch. The August-December transition period will be an opportunity for Phase 4 groups to turn attention to those activities not crucial to meeting the go-live date, and is expected to include post-implementation activities, clean-up and standardization work, refining workflows, drafting policy, and the like.

The Open Access Resource Management Task Force is encouraged and empowered to prioritize and act upon decisions that need to be made before the UC Library Search service launch on July 27th, and to defer those decisions that can be made during the August-December transition period.

The Task Force is broadly empowered to review and recommend revisions to the current [UC Libraries Policies and Procedures for Shared Cataloging, Linking, and Management](#). Consideration should be given to the potential use of the CDI to manage OA resources and to meet the discovery needs of UC Library Search users.

Phase 1: Months 1-4
Collection development principles and scoping of cataloging and discovery

1. Develop principles for managing open access resources within the UC Libraries, including tools relating to the Central Discovery Index, locally cataloged OA resources,

records for OA material cataloged in Alma, and other sources for OA metadata;
2. Define the theory and guidelines upon which consortial management of OA materials will be based, including when distinctions are to be made between OA resources where UC has explicitly made a financial commitment, or where UC acts as the publisher/curator of the collection; and
3. Propose a framework for ongoing consortial management of OA resources in the CDI, including recommendation for positioning activities within the UC Library Search governance structure.

Phase 2: Months 5-8
Review and recommend workflows and management procedures for cataloging and discovery

1. Conduct a review of the [UC Libraries Policies and Procedures for Shared Cataloging, Linking, and Management](#);
2. Develop a systemwide standard of practice for how and when OA resources will be included in the CDI;
3. Recommend policy and procedure updates for JSC and/or SCLG; and
4. Recommend areas of harmonization for campus policies and practices.

Responsibilities & Reporting Line

The Open Access Resource Management Task Force is charged by the Direction and Oversight Committee, and will report on all completed outcomes to DOC. There are numerous systemwide, campus and SILS Phase 4 stakeholders and this Task Force should consult with these groups and convey their findings and decisions to them in a timely and appropriate manner. In DOC's role, the following groups will also routinely be kept informed: ASAG, PSELG, SILS Working Group, and related SILS ongoing governance groups.

Related Groups

- Shared Content Leadership Group (SCLG)
- Joint Steering Committee (JSC)
- CDL Shared Cataloging Program (SCP)
- SILS Phase 4 Functional Groups:
  - Resource Management
  - Discovery
  - Acquisitions/E-Resources

Membership & Roles

Membership will be expertise-based and drawn from an appropriate cross-section of campus library staff and CDL; members should bring a range of skills and experience to the project team, including:

- Ability to envision a systemwide approach to the collective collection while remaining practical about operational impact;
- Experience administering or working with the evolving landscape of Open Access resources and collections; and

- Competencies in technical services, public services, and/or collection development.

Membership

Name	Campus/CDL	Expertise
Tamara Pilko	UC Santa Cruz	Technical Services
Christopher Thomas	UC Irvine	Technical Services
Becky Culbertson	CDL	Technical Services
Erica Zhang	UCLA	Technical Services
Cynthia Johnson	UC Irvine	Public Services
Tiffany Moxham	UC Riverside	Collections / Transformative Agreements

Kerry Scott	UC Santa Cruz	Public Services/ Collections / Transformative Agreements
John Riemer	UCLA	Technical Services / Collections
Michael Walmsley	CDL	Shared Cataloging Program
Sarah Troy	DOC	DOC Liaison
Jo Anne Newyear Ramirez	UC Berkeley	Open Access/OERs, Technical Services, Discovery