August 23, 2017

To: Dylan Rodriguez, Chair
       Riverside Division
       Academic Senate

From: Steven Mandeville-Gamble
       University Librarian

Re: OA2020 (aka Open Access 2020)

Dear Dylan:

Please find attached a copy of Leonard Nunney's memo to you of August 21, 2017 regarding OA2020, an international effort to transform large swaths of the academic publishing landscape to open access to ensure open access to and use and reuse of scholarly research articles.

As Len and I understand it, a request for an official Senate review and endorsement to support the Expression of Interest for OA2020 needs to be submitted by me in my capacity as University. I support the Library and Information Technology Committee's recommendation and formally request Senate Review of the proposal for the Library to sign the OA2020 Expression of Interest.

For further information for the Senate's consideration, I am providing links to relevant sites and articles:

OA2020 Mission https://oa2020.org/mission/

UC Campus Framework for OA2020 Roadmaps: draft (attached)

Berkeley commits to accelerating universal open access, signs the OA2020 Expression of Interest
http://news.lib.berkeley.edu/2017/03/20/oa2020/

Academic Council Affirms Commitment to Open Access Efforts like OA2020
http://news.lib.berkeley.edu/tag/oa2020/

If you have any questions, please do not hesitate to contact me or Chair Nunney.

Sincerely,

Steven Mandeville-Gamble
University Librarian

Cc: Leonard Nunney
        Chair, Library and Information Technology Committee
        Riverside Division
        Academic Senate

        Leondra Jacobs
        Analyst
        Riverside Division
        Academic Senate

August 21, 2017

To: Dylan Rodriguez, Chair
        Riverside Division

From: Leonard Nunney
        Committee on Library and Information Technology

Re: Open Access 2020

Dear Dylan:

At our final meeting of the year, the LIT committee approved the proposal
recommending that UCR should express its broad support for the OA2020 open access
publishing initiative by signing the "Expression of Interest" (EoI). This initiative aims to
facilitate the large-scale implementation of free online access to, and largely unrestricted
use and re-use of scholarly research articles. The end-result would be free public access
to the "Gold" (published) version, rather than "Green" access (author's final version).
Importantly, Steve Mandeville-Gamble, our University Librarian, also supports our
decision and has been empowered by the acting Provost to formalize UCR's (EoI) in
OA2020 if the Senate as a whole agrees.

The committee supported the motion to sign the OA2020 EoI for two main reasons: (a)
the broad support for open access as a goal; and (b) the sense that having more US
institutions involved in the discussion will facilitate the development of varied strategies
for achieving open access and controlling the costs imposed by publishers. So far, three
other UC campuses have already shown their support by signing the EoI (Berkeley, Davis
and San Francisco). Furthermore, the UC Systemwide Senate recently sent a memo to
President Napolitano supportive of OA2020 initiatives on the campuses: "UCOLASC
and Academic Council support all efforts by UC campuses to promote Open Access to
scholarly research, both in the service of the University's Open Access mission and in the
service of similarly-oriented global missions such as OA2020" (Academic Council memo
to President Napolitano, July 18th 2017).

OA2020 was launched by the Max Planck Digital Library, and has significant support in
Europe, although to date only four U.S. campuses have signed the Expression of Interest
(EoI) (Cal State Northridge, plus the three UCs). The delay in the US is probably due to

the understandable sentiment that the route to open access may need to be different in the US relative to Europe; however, it is clear that OA2020 does not specify a uniform strategy, and we believe being part of the process of developing OA2020 further is important for both UC and UCR.

Regards,
Len

UC Campus Framework for OA2020 Roadmaps
DRAFT v3

This OA2020 UC campus roadmap ("Roadmap"), prepared jointly by the libraries at signatory UC campuses[1], is a non-binding, non-prescriptive framework that can be used and modified to help guide signatory UC campuses' implementation of the OA2020 [Expression of Interest](EoI) (EoI).

What is OA2020?

- In response to untenably rising costs of subscription journals, and the need for reduced barriers in accessing and reusing knowledge, the Max Planck Digital Library ("MPDL") is coordinating OA2020 as an international effort to convert the existing corpus of scholarly journals from subscription-based to open access ("OA").

- The OA2020 movement intends to accomplish this large-scale transition by, among other mechanisms, encouraging libraries and institutions to convert resources currently spent on journal subscriptions into funds or processes that support sustainable OA business models.

What is the UC Roadmap?

- [MPDL has prepared a roadmap] that offers potential guidelines for steps that entities may adopt to prepare for the envisaged OA transformation.

- As both the EoI and MPDL roadmap acknowledge, however, the large-scale transition to OA is intended to reflect community-specific publication, funding model, and platform preferences. Therefore, this signatory UC campus Roadmap is a parallel effort at formulating comparable guidelines responsive to UC community needs.

- Like the MPDL version, the UC Roadmap is a living document. At the moment it focuses on the "activation phase" in which some initial steps towards the OA2020 transformation are described. As such, some guidelines make recommendations *applicable largely during the transitional or hybrid period* in which the transformation to full OA has not yet been achieved.

- Finally, the UC Roadmap addresses mainly library-based reformations within the structural organization of a research institution, as libraries typically oversee current subscription funds, acquisitions, and infrastructure.

Potential Preparatory Transformations to Consider

A. Reviewing Library Infrastructure, Procedures, and Policies

UC campus libraries may consider reviewing current acquisition, budget, and licensing practices and resources to assess, among other things, the:

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[1] These signatory UC campus libraries include: [LIST]

1. Feasibility of models pursuant to which existing subscription funds could be repurposed to achieve the transition (e.g. utilization of current subscription funds to cover prepaid article publishing charges ("APCs"), either in full or in part; participation in cooperatives/consortia through which stakeholders like libraries, journals, academic presses, and learned societies pool previous allocations from subscriptions, subsidies, dues, grants, and endowments to fund OA publishing infrastructures; etc.);

2. Opportunities to collaborate with California Digital Library and other UC campuses to coordinate and streamline reallocation of current subscription funds on a system-wide basis if/when appropriate;

3. Opportunities for the Library to work with authors, campuses, and funding agencies to advocate for research funds, grants, and awards being redirected to advance OA publishing options, support new OA publishing models, or offset APCs;

4. Means by and extent to which library resources can support open access publishing services; and

5. Roles that the libraries will adopt in oversight of cash flows for an OA publishing system, and any necessary policy or workflow changes, or staff hiring/training requirements attendant thereto.

B. Assessing Institutional Needs and Allocating Resources

UC campus libraries could work toward developing campus- and community-specific understandings of publishing output and cost distribution. This may involve steps like:

1. *Cost Assessment & Modeling, & Fund Implementation*

    a. Improving data analytics capacities to understand where campus-affiliated researchers publish;

    b. Analyzing scholarly publishing cost and output, including percentage published with OA journals, documenting APC payments, etc.;

    c. Planning and accounting for transition costs during inchoate OA period, and allocating library and institutional resources accordingly;

    d. Introducing and/or monitoring OA funds to subsidize OA publishing or cover/offset APCs; and

    e. Assessing and reorganizing funds that could jointly cover subscriptions and OA payments.

2. *Publisher Relations & Negotiation*

    a. Opportunities to collaborate with California Digital Library and other UC campuses in negotiating with or entering into agreements with publishers on a system-wide basis if/when appropriate;

    b. Consulting and advising with publishers, authors, and stakeholders regarding APC negotiations;

    c. For hybrid publishing during the transition period, advocating that APC charges be offset against subscription costs; and

    d. Promoting licenses and journals that allow for maximal reuse of OA publications, taking into account promotion of text and data mining.

C. Engaging Author Communities

The "flipped" transition to OA envisages responsiveness to community- and discipline-specific needs and resources. To that end, UC libraries might consider steps like:

1. Conducting campus and author community outreach to assess awareness, understanding, and need for OA publishing and scholar support;

2. Engaging with and providing support for author communities based on discipline-specific needs and preferences;

3. Supporting institution- or library-led efforts to promote UC-authored publications to increase UC researcher impact;

4. Advising researchers on their OA publishing options, and keeping them informed about developments in OA publishing;

5. Assessing institutional efforts during the transition, and revising policies to maximize responsiveness to community needs; and

6. Providing periodic updates to UC campuses on the progress of OA transformation.

D. National/International Advocacy and Coordination

Broad adoption of OA necessitates cross-institution and international collaboration among libraries, researchers, funders, and other stakeholders. As such, UC libraries could consider working toward:

1. Establishing a transformation network across U.S. higher educational and cultural institutions;

2. Advocating for funder- or government-based OA mandates and infrastructure;

3. Coordinating with ascribing institutions and communities domestically and abroad;

4. Participating in cross-institutional efforts to negotiate with and engage publishers in the transformation to non-subscription-based OA; and

5. Collaborating with institutions to provide analysis and reports on transformation progress.