



CHAIR, ACADEMIC SENATE
RIVERSIDE DIVISION
UNIVERSITY OFFICE BUILDING, RM 225

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March 13, 2018

Shane White, Chair, Academic Council
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200

RE: Systemwide Review of Proposed Presidential Policy on Open Access for Theses and Dissertations

Dear Shane,

The UCR Division offers the attached responses to the Proposed Presidential Policy. You will see that the primary concern articulated by several consulted committees is in regard to the need for more flexibility with the period of embargo for publishing dissertations/theses, particularly those that contain intellectual property that is pending patent. In addition to this matter, the Committee on Library and Information Technology offered a suggestion that the Policy include a procedure to resolve potential conflicts of interest between the dissertation author and their supervisors regarding embargo. The Committee on Academic Freedom recommended that one particular answer in the FAQ section of the document be clarified and made more precise.

Graduate Council, the Committee on Planning and Budget, and the Executive Committees of the School of Public Policy, Bourns College of Engineering, Graduate School of Education, and the College of Humanities and Social Sciences all support the Proposed Policy without substantive additional comment.

The UCR Division appreciates the opportunity to comment on this matter.

Sincerely yours,

Dylan Rodríguez
Professor of Media & Cultural Studies and Chair of the Riverside Division

CC: Hilary Baxter, Executive Director of the Academic Senate
Cherysa Cortez, Executive Director of UCR Academic Senate Office



February 27, 2018

TO: Dylan Rodriguez, Chair
Riverside Division

FR: Thomas Stahovich, Chair
Executive Committee, Bourns College of Engineering

A handwritten signature in black ink, reading "Thomas Stahovich".

RE: Proposed Presidential Policy on Open Access for Theses and Dissertations

On February 26, 2018, the BCOE Executive Committee reviewed the December 1, 2017 Proposed Presidential Policy on Open Access for Theses and Dissertations. The committee supports the policy.

TO: Dylan Rodriguez, Chair
Riverside Division

FR: Kurt Schwabe, Chair 
Executive Committee, School of Public Policy

RE: Proposed Policy: *Proposed Presidential Policy on Open Access for Theses and
Dissertations*

Date: January 24, 2018

The Executive Committee of the School of Public Policy is supportive of implementing a new policy to ensure open access to UC graduate students' theses and dissertation in a uniform manner throughout the entire UC system. We strongly support a policy that is consistent with the current policy that both Academic Senate members and non-Academic Senate authors who have written scholarly articles while employed at UC receive.

December 15, 2017

TO: Senate Division Chair Dylan Rodriguez

FROM: Maurizio Pellecchia, Chair Executive Committee, School of Medicine


RE: comments on the "Proposed Presidential Policy on open Access for Theses and Dissertations"

The School of Medicine Executive Committee discussed the matter at length at the December 2017 FEC meeting.

While most faculty had no problems with the initiative in principle, there was a strong concern that dissertations may contain intellectual property elements that if disclosed prematurely may preclude patenting. The committee therefore recommends that the embargo period would be extended to at the least 2 years or longer.

Kind regards,

Maurizio Pellecchia



Maurizio Pellecchia, Ph.D.

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PLANNING & BUDGET

February 20, 2018

To: Dylan Rodriguez, Chair
Riverside Division

From: Christian Shelton, Chair 
Committee on Planning and Budget


RE: [Systemwide Review]: Proposed Presidential Policy on Open Access for Theses and
Dissertations

The Committee on Planning & Budget reviewed the proposed Presidential Policy on Open Access for Theses and Dissertations and did not have any concerns.



January 16, 2018

To: Dylan Rodriguez, Chair
Riverside Division

From: Lisa Raphals, Vice Chair 
Committee on Library and Information Technology

Re: 17-18. Systemwide Review. Proposed Presidential Policy on Open Access for Theses and Dissertations

The Committee on Library and Information Technology reviewed the 17-18. Systemwide Review. Proposed Presidential Policy on Open Access for Theses and Dissertations at their January 16, 2018 meeting and offers three comments and suggestions:

- The LIT committee thinks that the default should be open access, but where all students have the ability to embargo (opt out of open access) for up to 5 years, without petition. Members of the committee felt that two years was too little for some fields, and that it was important to protect authors' intellectual property rights.
- In exceptional cases, it should be possible to extend the 5-year embargo period to eight years by petition. (A mechanism would need to be developed to address such petitions.)
- The document as it stands does not address an important potential for conflict of interest: namely when a dissertation author wishes open access and his/her supervisor (also possibly representing the interests of other collaborating grad students) wishes embargo. This situation could arise in cases where open access publication could cause harm to collaborators by revealing their methodologies or strategies prematurely. We were unable to suggest an immediate solution to this problem. But we do point out that it is important and needs to be addressed.



January 18, 2018

TO: Dylan Rodriguez, Chair
UCR Academic Senate

FROM: Jan Blacher, Chair
GSOE Executive Committee

SUBJ: Comment on Open Access for Theses and Dissertations

Members of the Executive Committee of the Graduate School of Education (GSOE) applaud the decision to provide open access to theses and dissertations completed by University of California students. We assume that the Graduate Division at UCR will take charge of supplying further information and directions for creating open access to all graduate students thus affected.

Thank you for the opportunity to comment on this proposal.



Graduate Council

February 16, 2018

To: Dylan Rodriguez, Chair
Riverside Division

From: Christiane Weirauch, Chair
Graduate Council

A handwritten signature in black ink that reads "Christiane Weirauch".

Re: [Systemwide Review]: Proposed Presidential Policy on Open Access for Theses
and Dissertations

The Graduate Council reviewed the proposed Presidential Policy on Open Access for Theses and Dissertations at their February 15, 2018 meeting. The Council did not have any issues with the proposed policy.



January 18, 2018

To: Dylan Rodriguez, Chair
Riverside Division

From: Amit Roy-Chowdhury, Chair
Committee on Research

RE: Systemwide Review: [Proposed Policy] Proposed Presidential Policy on Open Access for Theses and Dissertations

The Committee on Research reviewed the Proposed Presidential Policy on Open Access for theses and Dissertations and were in support of the policy with two stipulations. One being that the time delay before a theses or dissertation is published is allowed to be more flexible and at the discretion of the owner to determine the length of the delay. Additionally, the committee wanted to ensure that principal investigators are not responsible for any cost related to the policy.

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EXECUTIVE COMMITTEE:
COLLEGE OF HUMANITIES, ARTS, AND SOCIAL SCIENCES

RIVERSIDE, CALIFORNIA 92521-0132

January 31, 2018

TO: Dylan Rodriguez, Chair
Academic Senate

FROM: Kate Sweeny, Chair
CHASS Executive Committee

RE: Proposed Presidential Policy on Open Access for Theses and Dissertations

The CHASS Executive Committee discussed the Proposed Presidential Policy on Open Access for Theses and Dissertations at the regular meeting on January 17, 2018. There were no objections and the committee approved the proposal.


Kate Sweeny, Chair

CHASS Executive Committee



February 5, 2018

To: Dylan Rodríguez, Chair
Riverside Division

From: Tim Paine, Chair 
Committee on Educational Policy

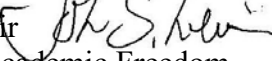
Re: Proposed Presidential Policy for Open Access for Theses & Dissertations

The Committee on Educational Policy reviewed the proposed Presidential Policy for Open Access for Theses and Dissertations at their February 2, 2018 meeting. The Committee opted not to submit a response as the proposal has no implications for the Committee's charge of undergraduate education.

 UNIVERSITY OF CALIFORNIA
UCRIVERSIDE | **Academic
Senate**
COMMITTEE ON ACADEMIC FREEDOM

December 14, 2017

To: Dylan Rodriguez, Chair
Riverside Division of the Academic Senate

From: John Levin, Chair 
Committee on Academic Freedom

Re: Proposed Presidential Policy on Open Access for Theses and Dissertations

The Committee on Academic Freedom considered the Proposed Presidential Policy on Open Access for Theses and Dissertations and did not find any academic freedom issues. However, the committee noted that the following answer found in the FAQ section of the material is vague and could present a problem in the future. The committee recommends that the description be changed to a precise and accurate answer.

Will journal or book publishers consider publishing my thesis/dissertation if it is already available in an open access repository, like eScholarship?

Yes. Though the policies and practices of publishers vary (especially depending on the discipline), generally speaking, scholarly publishers do not bar publication of articles or books that are based on theses or dissertations available in an open access repository, especially if there are substantive differences between the thesis/dissertation and the final work published by the publisher. This is partly because most publishers consider theses and dissertations to be “student works” that will require substantial editing and revision before being published in article or book form.