



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

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January 20, 2015

Mary Gilly, Chair, Academic Council  
1111 Franklin Street, 12th Floor  
Oakland, CA 94607-5200

**RE: Proposed New UC Policy on Open Access**

Dear Mary,

The Executive Council reviewed the President's policy on Open Access during its January 12 meeting. The Council discussed the reviews from various committees and was generally supportive. There were, however, a few suggestions we hope will be useful in improving the policy.

The Graduate Council suggests changing the default archival setting to a moratorium, instead immediate open access. The advantages of this are that it allows authors a last point of review in case they are uncertain of the constraints imposed by the journal. It would also provide a safeguard for documents that are not obviously included or excluded from the policy, such as student theses, and which might also be constrained by mandatory moratoria by the publishers.

There were also questions about the rationale for including in the policy members of the University who are not compensated by the UC. On a similar vein there were questions for including non-permanent employees for whom, should they change employment, the policy would not be enforceable.

There were several questions raised about the possibility of errors and their potential consequences (e.g. what if an article is submitted for open access in contradiction with the policy of the publishing journal?). It was recognized that the corresponding answers do not belong in the policy text, yet we consider it important for the University to provide support for any authors that might have queries about the policy, and to use these to create and maintain a searchable FAQ database.

The Executive Council is grateful for the opportunity to comment on this important policy.

Sincerely yours,

A handwritten signature in black ink that reads "J Wudka".

Jose Wudka, Riverside Division Chair  
Professor of Physics & Astronomy

CC: Hilary Baxter, Executive Director of the Academic Senate  
Cynthia Palmer, Executive Director of the UCR Academic Senate

**UC RIVERSIDE** UNIVERSITY OF CALIFORNIA | **Academic Senate**  
**COMMITTEE ON ACADEMIC FREEDOM**

December 19, 2014

To: Jose Wudka, Chair  
Riverside Division of the Academic Senate

From: Ward Beyermann, Chair   
Committee on Academic Freedom

**Re: Proposed New UC Policy on Open Access**

At its meeting on December 11, 2014, the Committee on Academic Freedom discussed the proposed policy on Open Access for non-Senate UC authors. The committee supports the idea of extending open access rights and responsibilities to all non-Senate members of the UC community who are authors of scholarly articles and voted (+4-0-0) in favor of the proposed new policy without further recommendations.



**COMMITTEE ON FACULTY WELFARE**

January 5, 2015

To: Jose Wudka  
Riverside Division Academic Senate

From: Jennifer Hughes, Chair   
Committee on Faculty Welfare

**Re: Proposed New UC Policy on Open Access**

At its meeting on December 16, 2014, the Committee on Faculty Welfare discussed the proposed new policy on Open Access for UC authors who are not members of the Academic Senate. The committee is supportive of extending open access rights and responsibilities to non-Senate members of the UC community who are authors of scholarly articles. However, some members expressed concern with non-Senate members who are not contracted nor compensated by UC to produce research being considered in the UC production and contribution of knowledge.



December 17, 2014

To: Jose Wudka, Chair  
Riverside Division

From: David Lo, Chair  
Graduate Council

A handwritten signature in black ink, appearing to be "David Lo".

RE: Proposed new UC policy on Open Access

The Graduate Council discussed the implications of extending the open access policy to non-Academic Senate members. In our discussion it was noted that while work performed at the university is a work product that is appropriate for depositing in a digital repository, it might be considered important that all such work be entered under a default category for embargo for a period specifically requested from each scholar upon depositing material. In this way, while all work performed at the university is expected to be deposited in a repository; an implicit assumption is that it would require a conscious decision to release the work for open access. This strategy would help serve two purposes: it recognizes both the scholar's requirements to deposit work in a digital repository, as in the case of work performed as a degree requirement, and recognizes the scholar's control over the release of information prior to publication in an appropriate setting, whether it be as a scientific journal article or as an original independent publication or book. Moreover, this approach would help prevent inadvertent public access of material; the conscious choice to provide open access has to be made at the time of deposit. This may also remind the author that they also have the option to fully opt out of the policy at that time.

January 4, 2015

To: Jose Wudka, Chair  
Riverside Division

From: Chikako Takeshita, Vice Chair   
Committee on Library, Information Technology and Scholarly Communication

Re: Proposed new UC policy on Open Access

The Committee on Library, Information Technology and Scholarly Communication reviewed the proposed new UC policy on Open Access. Most of the committee's concerns about the proposal pertained to students and post-docs.

The committee was concerned with the responsibility of an embargo being placed on the author – will UC take full legal responsibility if a non-senate member (who may have moved elsewhere) mistakenly uploads a version that the publisher does not allow?

It is not clear from the proposal what needs to be posted. First, work published while employed at UC but based on research done elsewhere (e.g. a post-doc writing up PhD material). Second, work published after leaving UC but with some (perhaps very small) component of the research initiated while at UC – is there a cut off (1%, 5%, 10%, 50%,...)?

The committee would like clarification on the link between the requirement to post articles and the ownership of copyright. This becomes an issue in FAQ #3 which discusses ownership but does not address depositing work.



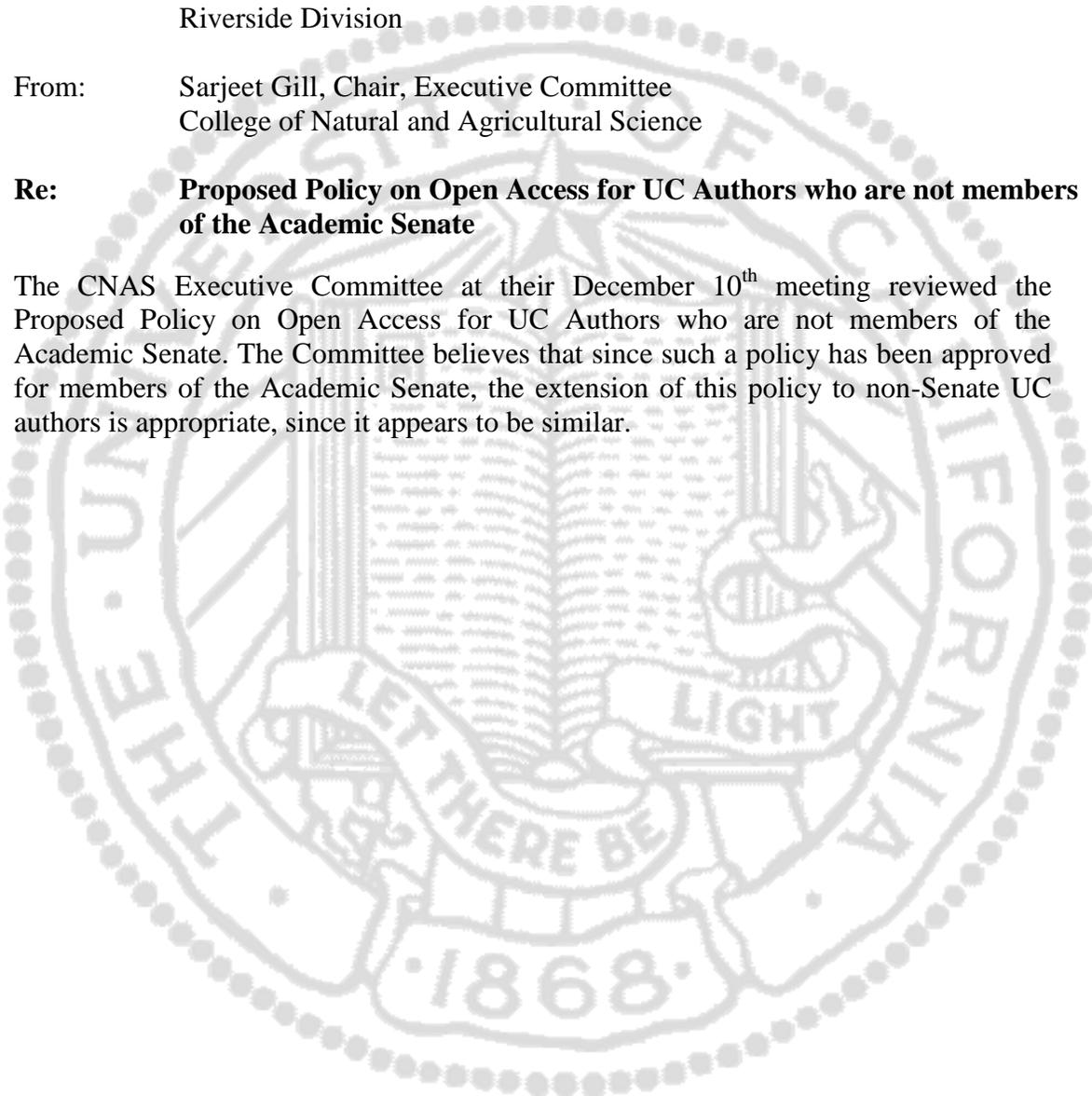
December 15, 2014

To: Jose Wudka, Chair  
Riverside Division

From: Sarjeet Gill, Chair, Executive Committee  
College of Natural and Agricultural Science

Re: **Proposed Policy on Open Access for UC Authors who are not members of the Academic Senate**

The CNAS Executive Committee at their December 10<sup>th</sup> meeting reviewed the Proposed Policy on Open Access for UC Authors who are not members of the Academic Senate. The Committee believes that since such a policy has been approved for members of the Academic Senate, the extension of this policy to non-Senate UC authors is appropriate, since it appears to be similar.





December 5, 2014

To: Jose Wudka, Chair, Riverside Division

From: John S. Levin, Chair, Executive Committee, Graduate School of Education

Subject: Open Access for UC authors, not members of Senate (October 15, 2014)

The Executive Committee, Graduate School of Education reviewed and discussed this document, and noted several concerns. One was similar to the original policy for UC Senate members, and concerned the requirements for faculty to be responsible for depositing work. This same concern was reiterated for non-Senate UC authors. Our view was that the requirement is impractical for non-permanent employees and that the policy is unenforceable for the same group. This same concern applies to students, with the added issue that students are not employees and thus it is questionable whether or not they can be asked to comply with what is a workplace-employment policy. In short, the GSOE Executive viewed this policy as unrealistic.

John S. Levin



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January 6, 2015

TO: Jose Wudka, Chair  
Riverside Division

FR: Akula Venkatram, Chair  
Executive Committee, Bourns College of Engineering

RE: Response to the Proposed Open Access Policy

The BCOE Executive Committee has reviewed the Proposed Open Access Policy and are in favor of the proposed revisions, which have the two goals of extending open access to University Authors and of formally describing procedures for implementation of the policy.

# UNIVERSITY OF CALIFORNIA, RIVERSIDE



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

RIVERSIDE, CALIFORNIA 92521-0132

January 6, 2015

TO: José Wudka, Chair  
Academic Senate

FROM: Jennifer Doyle, Chair  
CHASS Executive Committee

RE: The CHASS Executive committee supports the proposed Open-Access Policy as distributed on September 20, 2012

CHASS faculty and students are particularly affected by the current system insofar as rising costs for access to journals puts pressure on library budgets. This threatens not only ongoing subscriptions but also has impacted the library's ability to purchase books and scholarly monographs—a primary publication format for many of our Humanities faculty. Moreover, as the report indicates, the current publishing model drains financial resources from public institutions and channels these into for-profit companies.

We are committed to the concept of open-access as it reflects the University of California's values as a public institution. We believe that open-access will facilitate dissemination of our ideas and research and will increase the visibility of our faculty members' research on a national and global stage. It will ease our ability to share research findings with colleagues world-wide and creates broader readership. Open-access has the potential to improve the relationship between the UC and the taxpayers of the state of California.

We believe that the opt-out clause included in this proposal, placing the burden on publishers to seek exclusive rights, will protect the ability of individual scholars to publish in any and all journal venues. Our concern is that the unlimited nature of the opt-out clause as currently formulated weakens the potential benefit of the proposal. We are also concerned about the increasingly baroque nature of the process—it is particularly important for faculty preparing themselves for promotion that they have a clear, easy-to-understand set of guidelines regarding the navigation of a system-wide open access policy and, for example, waivers addressing the restrictions of specific academic journals.

A series of questions arise for faculty in CHASS. Ideally, fully resolved, this policy will be more clear and helpful with questions like the following: Where do dissertations fit within this policy (can that be made more explicit)? How does this policy account for scholars who are working with reproductions of

images, poetic texts, lines of music—in many cases, the acquisition of the rights to reproduce works within scholarship is very restrictive. This, likely, will be a cause for a waiver requesting exemption — or some system-wide guidance regarding this situation which is particularly important to scholars working in (for example) art history, music, theater and poetics.

As currently drafted the proposed policy may not be strong enough to bring about the desired result. We acknowledge, however, that it is an important step in the right direction.

Jennifer Doyle, Chair

UCR CHASS Executive Committee

TO: Jose Wudka, Chair  
Riverside Division

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

RE: Support for Proposed Revision 682 / draft Presidential Policy on Open Access

Date: January 6, 2015

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Dear Chair Wudka:

The Executive Committee of the School of Public Policy would like to express its unanimous support for the proposed revisions to Academic Senate Regulations 682 as outlined by the Coordinating Committee on Graduate Affairs, as well as the new draft Presidential Policy on Open Access that extends similar open access rights currently afforded to UC Academic Senate members to all members of the UC community who are authors of scholarly articles.