

UCSF Open Access Policy Implementation Review Report

December 14, 2015

Background

The UCSF Open Access (OA) Policy was passed by unanimous vote by the UCSF Academic Senate on May 21, 2012. This policy grants UC a license to make scholarly articles written by faculty authors available to the public in UC's open access institutional repository, eScholarship; it affirms that the institution will not do so until an author deposits a copy of the article in eScholarship or confirms its availability in another open access venue. If a faculty member wishes, application of the license can be waived for a particular article or access delayed (embargoed) for a specified period of time.

The UC Academic Council approved a similar policy for all UC Senate faculty in 2013. UCSF's policy differs in two ways from the UC-wide policy: it prohibits commercial use of the articles, unless an agreement allowing such use was signed (such as a [CC BY](#) license), and it requires faculty to deposit articles in eScholarship even in cases where an author opts out of the policy (via a waiver).

The UC Academic Senate secured funds through UCOP to license a publication management system (PMS) to facilitate compliance with the policy. Following an RFP process, the California Digital Library (CDL) licensed a PMS ("Elements") from the company Symplectic. CDL supplies Elements with faculty names; Elements then searches for or "harvests" faculty publications from several data sources and matches them to each faculty member's profile. Faculty are then invited via email to claim publications matching their name and upload digital copies of their manuscripts (or provide links to open access versions), which appear in eScholarship.

On October 23, 2015, a UC Presidential Open Access Policy was adopted that expands open access rights to all other scholarly article authors employed at the University of California, including non-Senate faculty. Details are at <http://bit.ly/1SY4VLK>. Individuals covered by this policy do not yet have records in Elements, but can deposit their manuscripts directly into eScholarship.

Complete background information about the policies and support resources are available on the library's website at <http://tiny.ucsf.edu/oapolicy>.

A CDL report on phase 2 of the UC OA Policy Implementation was submitted on October 15, 2015, and includes reports from UC Irvine, UCLA, and UCSF staff. It is available at: <https://goo.gl/u58NDb>.

Key dates

- May 21, 2012 UCSF Academic Senate passed Open Access Policy
- July 24, 2013 UC Academic Senate passed Open Access Policy
- March 3, 2014 Contract awarded to Symplectic for the Elements software
- July 1, 2014 Soft launch of Elements for UCSF, UCLA, and UC Irvine
- March 31, 2015 Official launch of Elements at UCSF via email notifications

- October 23, 2015 UC Presidential Open Access Policy expands rights to all employees

Early promotional efforts

- Between July and November 2012, the California Digital Library and the UCSF Library sent a letter by email to over 100 publishers notifying them of the terms of the UCSF OA Policy and that our faculty authors would be depositing their final journal article manuscripts into eScholarship. Approximately 40 publishers responded, and the Library and/or CDL had follow-up conversations with a handful to go over specifics.
- The CDL also notified over 200 publishers when the UC-wide Academic Senate policy was passed. Details, including a list of publishers contacted, are at <http://osc.universityofcalifornia.edu/open-access-policy/publisher-communications/>.
- In 2012 and 2013, members of COLASC gave presentations to UCSF faculty, informing them of the policy. In response to questions raised, the Library created a decision tree, posted on the Library's website, explaining the steps involved in depositing an article in eScholarship and defining key terms (<https://www.library.ucsf.edu/services/scholpub/oa/policy>).
- In 2013 and 2014, the Library, in collaboration with COLASC, created promotional material centered around the theme of "Exercise your Rights."
- A letter from Executive Vice Chancellor Lowenstein and Academic Senate Chair Chehab was sent to all UCSF faculty in March 2015 providing an overview of UCSF's OA policy.

Launch and use of Elements (the publication management system)

Elements went live for UCSF Senate Faculty on October 20, 2014. Notifications were sent out for the first time on March 31, 2015 to all 1,648 Senate faculty.

- Two weeks after notifications went out (April 14, 2015):
 - 453 people had logged in to Elements
 - 101,751 publications were claimed
 - 378 deposits were completed (113 links; 265 file uploads)
- As of September 3, 2015:
 - 723 people had logged in to Elements
 - 128,084 publications were claimed
 - 1053 deposits were completed (378 links, 675 file uploads)

Compliance with the policy, as measured by the number of articles deposited in e-scholarship, has increased since the launch of Elements:

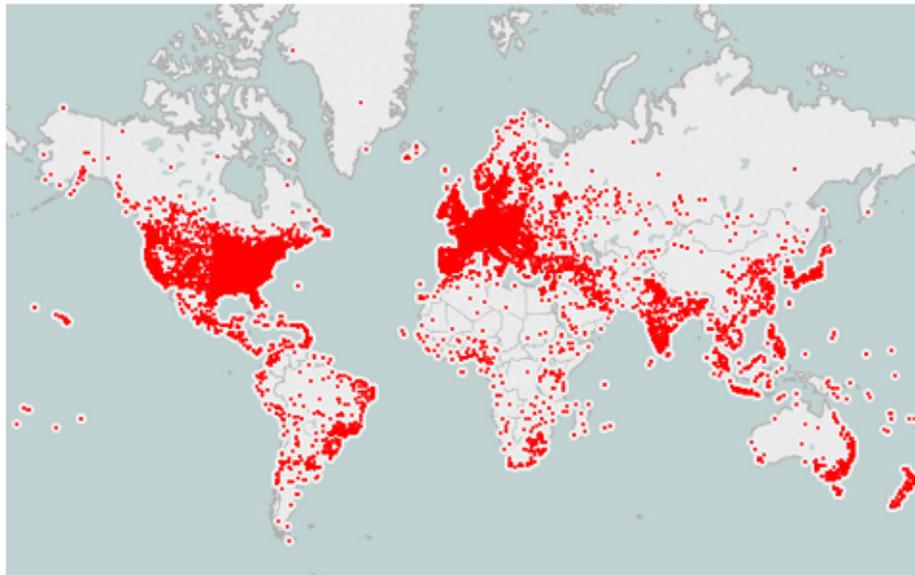
- Number of UCSF articles deposited in eScholarship from June 1, 2012-February 28, 2015: 338
- Number of UCSF articles deposited in eScholarship from March 1, 2015-November 17, 2015: 1,440

There is room for improvement in compliance with the policy overall, as UCSF faculty publish approximately 490 scholarly articles or reviews per month. Thus, in the 9-month period from

March 1, 2015-November 17, 2015, there should have been approximately 4,410 articles or reviews deposited in e-scholarship.

This map shows the distribution of readership across the world of all UC articles deposited in eScholarship since the Open Access Policy passed, representing 73,595 views. Of the total, UCSF has 6,366 views:

GLOBAL READERS OF UC'S PREVIOUSLY PUBLISHED ARTICLES IN OPEN ACCESS



Policy waivers, embargoes and addenda

As publishers became aware of UCSF's OA Policy, some responded by requiring UCSF authors to waive the policy or request an embargo period, so that there was a delay between publication of the article and its public availability in eScholarship. Two months after UCSF adopted the OA Policy, CDL created an online waiver and embargo generator. It also included an option to generate an addendum that authors could attach to publication agreements to remind the publisher about the OA Policy or make sure that its terms were understood. The waiver, embargo, and addendum generator was expanded to cover all campuses upon adoption of the system-wide policy in July 2013.

Although UCSF initially advocated that faculty attach addenda to their publishing agreements, it no longer promotes this approach. The OA Policy protects faculty's right to grant a license to UC for their publications; publishers have already been informed.

Three publishers require UCSF authors to opt out of the open access policy by submitting policy waivers for articles published in their journals: Nature Publishing, National Academy of Sciences, and the American Association for the Advancement of Science.

The form generator for addenda, embargoes, and waivers went live at the beginning of July 2012. Very few embargo forms have been generated, since typically a publisher only requests a waiver.

Number of waivers requested per year:

- July 1, 2012 – June 30, 2013: 178
 - July 1, 2013 – June 30, 2014: 153
 - July 1, 2014 – June 30, 2015: 139
- These numbers represent less than 3% of the total article output by UCSF authors per year.

UCSF Open Access Policy Activity from 2014-2015

➤ **Campus support for the policy**

Two UCSF librarians, Anneliese Taylor and David Owen, provide support to UCSF faculty and their delegates. The support is triaged based on day of week. Questions come in primarily to the oapolicy@ucsf.edu email address since that is the “From” address on the Elements notifications, and via CDL’s oapolicy-help@universityofcalifornia.edu queue.

University Librarian Karen Butter and Academic Senate staff members Shilpa Patel and Michelle Sanko (through July 2015) are also on the UCSF email distribution address. Karen receives and responds to some emails directly.

Anneliese and David handled 40 consultations about the OA Policy via email and phone in fiscal year 2014-15, spending approximately 24 hours on investigation and responses. All but 8 of these consultations occurred after the Elements email notifications were sent out, indicating significantly more engagement with the policy after individuals started receiving personalized emails.

- Nature of questions asked:
 - General/overview of policy details: 11
 - Use of Elements or eScholarship: 20
 - Waiver/opt out for an article: 5
 - Copyright with regards to the policy and publisher agreements: 4

In addition to direct support to queries about the policy, Anneliese spent approximately 80 hours in fiscal year 2014-15 on these activities:

- testing Elements pre- and post-launch
- preparing the text in the notification email from Elements and updating the letter sent by the EVCP and Academic Senate Chair
- corresponding with CDL, Library staff, campus partners, and COLASC members about the policy, Elements, and supporting resources such as the [90-second video](#) updated by CDL
- presenting to the Committee on Library and Scholarly Communication (COLASC)

- coordinating the Elements roll-out plan and schedule for UCSF with Senate staffers Michelle Sanko and Shilpa Patel
- updating the Library's documentation about the Policy, primarily via the web page <http://tiny.ucsf.edu/oapolicy>
- preparing for and presenting at departmental meetings (details below)
- training David Owen to take on support for the policy

Promoting the OA Policy

➤ **Campus events sponsored by the library or other units**

- Faculty Development Day, September 11, 2014
 - The Library had a table, staffed by Anneliese and another staff member, who provided information about the OA policy. Several faculty asked questions.
- Open Access Week [event](#) on October 23, 2014 in downtown Berkeley
 - This event was sponsored by several publishers and open access information companies such as PeerJ and ScienceOpen. Anneliese presented a 5-minute lightning talk about the UC OA Policy and the launching of the publication management system. There were approximately 50 people in attendance from UC Berkeley, UCSF, UC Davis, and from the wider community.
- Library Pop-Ups at Mission Bay, starting October 2014
 - These are scheduled, three-hour shifts by librarians at the new Library Mission Hall space The Hub, offering one-on-one drop-ins on various topics. Anneliese offers help for the NIH Public Access Policy, the UC OA Policy, and publishing during her Pop-Ups, scheduled once monthly (an [example listing](#)). Most drop-ins were for help with the NIH Policy; however, questions about the OA Policy started to come up in Spring 2015.

➤ **Departmental meetings – invited presentations**

Department/date/presented by/# of attendees:

- General Pediatrics/February 11, 2015/Karen and Anneliese/3
- Ob Gyn Bixby Global Health/April 28, 2015/Anneliese/5
- Institute for Health & Aging/June 22, 2015/Anneliese/15

➤ **Meetings with the Committee on Library and Scholarly Communication (COLASC) and other Senate committees**

- Updates were provided to UCSF COLASC on a regular basis during the 2014-15 year, both during in-person meetings and by email. COLASC members provided feedback on the content of the EVCP letter as well as the Elements notification emails. One COLASC member participated in a Elements testing session with CDL staff.

- **Collateral such as flyers, postcards, etc.**

No promotional materials were sent out in academic year 2014-2015. The Library printed 5x7 inch cards of the “Exercise your Rights” flyer and mailed them to Academic Senate faculty and their designated Elements delegates in early November 2015.
- **Newsletters/mailings, videos, etc.**
 - The Library posted a news item on its website in November 2014 when Elements was first made available. This announcement was also included in the monthly Library newsletter that goes to all academic faculty and staff.
 - Per UCSF request, CDL updated a 90-second video (<https://vimeo.com/121511619>) about the OA policy to include screen shots and instructions for the PMS.
 - Anneliese wrote a piece published in the UCSF student newspaper on November 5, 2014 called [Green and Gold: an Open Access Primer](#) that featured UCSF’s OA Policy.
- **FAQs, library guides or other forms of guidance**
 - The Library updated the UCSF-specific decision tree for Senate faculty and the Library web pages covering the Senate and Presidential policies (<http://tiny.ucsf.edu/oapolicy>). Information differentiating how to deposit for Senate faculty and everyone else is much clearer now.

Ongoing Issues

- UCSF adjunct faculty participate in Academic Senate and participate in Senate activities, so when explaining the OA Policy we must delineate who is covered and provide details on how to deposit materials for those not in official Senate series. The departmental meetings we’ve attended to date had mostly adjuncts present.
- Many UCSF faculty have hundreds of unclaimed publications, and are struggling with how to resolve their Pending lists without taking up too much time. Sometimes it’s because they are prolific authors, others there are false matches on searches for their name.
- Some authors are uploading the final, published PDF instead of the final manuscript, and others provide a link to PMID instead of the full text PMCID. Modification of the language in the notification email should help provide clarity.
- Faculty are already managing their publications in My Bibliography (My NCBI), UCSF Profiles and Advance, Google Scholar Profiles, and other tools. They (and their delegates) need to be able to match these lists up to the publications in Elements to avoid duplicating their work.
- Anneliese has tested exporting publications from My Bibliography and importing them into Elements, and will document the steps. Even with these steps outlined, it will require dedication on the part of the person doing the process.
- Users can configure their Elements profile to link to their ORCID record. Additional testing with ORCID, the persistent, unique digital identifier is needed

so that it can be promoted as a method to improve matches and reduce “not mine” matches.

- Since so many UCSF faculty receive NIH awards, they have to comply with the NIH Public Access Policy. There is a fair amount of confusion as to how the OA Policy differs, and how to provide a link to a PMID when available. Integration of that data element as soon as it’s available via PubMed would help, so that authors don’t have to seek it out.

Open Access Fund

The Academic Senate committed \$45,802 towards a fund to cover open access publishing charges in Spring 2015. These are charges to publish articles and books open access on the publisher’s site, not in an institutional repository like the Open Access Policy.

The Open Access Publishing Fund went into effect on May 1, 2015. As of September 17, 13 articles had been approved for funding, and 6 had already been published, leaving a balance of \$24,366 or 53%.

Details about the fund are at <http://guides.ucsf.edu/oafund>.

Articles Approved for Funding:

Article Count	School	Department	Publication Title	Amount Approved	Date Applied
1	Medicine	Epidemiology/Biostatistics	Journal of the International AIDS Society	\$2,000	5/7/2015
2	Pharmacy	Bioengineering & Therapeutic Science	ChemBioChem	\$2,000	5/8/2015
3	Pharmacy	Clinical Pharmacy	BMC Nutrition	\$1,823	6/11/2015
4	Nursing	Community Health Systems	Harm Reduction Journal	\$2,000	7/1/2015
5	Medicine	Epidemiology/Biostatistics	BMC Bioinformatics	\$1,898.25	7/6/2015
6	Medicine	Neurology	BMC Medical Genetics	\$1,898.25	7/14/2015
7	Medicine	Medicine (SFGH)	BMC Infectious Diseases	1898.25	7/14/2015
8	Medicine	Psychiatry	Collabra	\$875	7/21/2015
9	Medicine	General Internal Medicine (SFGH)	PLOS ONE	\$1,350	7/27/2015
10	Medicine	Emergency Medicine (SFGH)	PLOS Medicine	\$1,100	7/31/2015
11	Medicine	Ob-Gyn Bixby SFGH	PLOS ONE	\$1,350	8/5/2015
12	Medicine	Epidemiology/Biostatistics	PLOS ONE	\$1,350	8/24/2015
13	Medicine	Infectious Diseases	Journal of the International AIDS Society	\$1,893	9/2/2015