Meeting Synopsis:

1. Call to order
2. Approval of the Agenda
3. Review of the minutes from February 10th, 2016
4. Chair’s report
5. FCUL Input on Libraries Masterplan (45 minutes)
6. Update from Vice Provost and Dean (10 minutes)
7. Open Access Update (15 minutes)
8. Good of the order
9. Adjourn

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1) Call to order

Lattemann called the meeting to order at 2:30 p.m.

2) Approval of the Agenda

The agenda was approved as written.

3) Review of the minutes from February 10th, 2016

The minutes from February 10th, 2016 were approved as written.

4) Chair’s report

Lattemann explained that during the recent Senate Executive Committee (SEC) meeting, Kate O’Neill (chair, Senate Committee on Planning and Budgeting) brought a proposal to disband SCIPC (Special Committee on Intellectual Property and Commercialization) and IPMAC (Intellectual Property Management Advisory Committee), and formulate/task a new single committee to address IP Policy-related issues at the UW. The proposal was approved by the SEC. Lattemann explained there is still some question if the new committee (name TBD) will address open access issues.

5) FCUL Input on Libraries Masterplan

Anne Roderer, Diane Machatka, and Shirley Dugdale were present to gather feedback from the council on the UW Libraries Masterplan. The guests represented Mahlum Architects and Dugdale Strategy LCC, two companies working with the UW Libraries to develop a Masterplan, which will guide development
in UW libraries a decade into the future and beyond. The guests were present to brief the council on the progress of the Masterplan as well as to receive input on key topics and discuss aspirations for the future of the library. They had a series of questions to present and garner council feedback on, which were listed in a projected document (Exhibit 1).

A progress update was given before questions were asked. Roderer explained the UW Engineering Library and the UW Health Sciences Library will be incorporated in the Masterplan. She noted work has been ongoing for three months so far, and final recommendations relating to the Masterplan will be made in the coming months. Dugdale explained the guests are also looking into library services and the possibility for new collections. The guests noted in a world where a growing amount of reading material is available digitally, the stakeholders working on the Masterplan must consider what materials need to remain browsable in campus libraries, and this is one area of feedback needed from the council. After a question, it was noted there has never been a formal Libraries Masterplan such as this at the UW.

The following are the questions and responses from council members prompted by the guests’ projected questionnaire (Exhibit 1):

I. What type of services and facilities will be needed to support the future needs of 21st Century scholarship, research and education?

Lattemann explained she used to regularly visit the UW Health Sciences Library, though, now with E-journals, a computer with an internet connection can achieve the same result. She explained one consequence of this is the missed opportunities to see colleagues at the library. Lattemann noted an important libraries service is access to older scholarly works (e.g. studies from the 1980s in her field), as these can be extremely valuable to researchers.

Bekemeier noted having a real person available to help guests search out scholarly works, books, and other materials is an invaluable library resource and also one that is not likely to be replicated digitally. West agreed and stressed the importance of physical space and collections in libraries to facilitate searching for things in-person, whether that be with human help or alone. He noted human interaction is important in libraries despite numerous and improving data storage technologies.

Kerr mentioned that the library currently provides writing advice and other trainings to international students, non-traditional students, and generally any students in need. She noted providing this aid to students is very important.

Flores explained there is an exhibit on Cesar Chavez currently running in the library. He noted this kind of display is valuable to the university’s ultimate mission, and he would like to see these exhibit spaces protected so that similar exhibits can continue.

Discussion subsided on the question.

II. What are the key challenges and opportunities the master plan must address?

Redalje noted a great resource for students and the chemistry community was lost with the UW Chemistry Library. She noted physical space for meeting and studying is still very important despite access to scholarly works online.
Lattemann questioned if shared physical study spaces in libraries would realistically ever lose their utility. Wilson explained data on UW libraries usage shows that demand is higher than ever, as people are visiting UW’s libraries in record numbers. It was noted for students, going to the library symbolizes “getting serious” and having the intention of getting work done.

There was some discussion of security and safety in UW’s libraries. Fugate noted the police have advised never locking down the building (Suzzallo Library) in a campus lockdown situation, as students outdoors would be unable to enter the building and get to safety.

Discussion subsided.

III. What should be the measures of success when you look back at the plan in ten years?

It was noted student satisfaction is an important metric when measuring success of the campus libraries. Members noted students have expressed a need for more electric outlets and charging ports in libraries, a greater number of active learning-style classrooms, and a greater number of basic and enhanced spaces for collaboration. It was noted quiet study space also remains in very high demand.

Roderer thanked the council for their input and explained additional input can be offered via Cynthia Fugate. After a question, the guests explained they report to Wilson and Fugate. The council thanked the guests for presenting.

6) Update from Vice Provost and Dean

Wilson explained Denise Pan has been hired as the new Associate Dean for Collections and Content at UW Seattle. Pan comes from the University of Colorado Denver, and has studied impacts of collections on student academic success.

Wilson noted the UW Libraries Faculty Triennial Survey will be broadcasted to all three UW campuses on April 12th. The survey focuses on library use and satisfaction as well as user needs and library priorities.

Wilson mentioned that Cassandra Hartnett has received the 2016 Distinguished Librarian Award, and UW libraries employee Steve Hiller is the 2016 staff recipient of the David B. Thorud Leadership Award.

7) Open Access Update

Gordon Aamot (Interim Director, Collections and Content Strategy, University Libraries) explained the Open Access (OA) Advisory Task Force has been busy since the council received its last update, and the group’s timeline has changed. Members of the OA Advisory Committee had explained that the faculty senate is tied up with other issues, and the timing is not ideal to bring open access issues to the faculty senate for deliberation this academic year. Aamot explained the report of the task force will be submitted to the Provost in May, 2016, and he will return to the council in the next year to discuss a successful conclusion to the initiative.

Aamot noted the OA Policy has been altered since the council last reviewed the document. He explained other university OA policies they looked at were relatively simple documents, which included FAQ sheets that provided more detail and background. He noted in the “Scope and Waiver” section, they wanted to allow for local interpretation of what constitutes “scholarly articles,” and also to provide a
waiver option. He noted the OA Policy’s accompanying FAQ Sheet has been revised with the addition of a brief synopsis of the OA initiative at the outset of the document (Exhibit 1).

Barker questioned how publishing with a journal interacts with open access. Aamot explained that the gist of the OA policy dictates that, by giving a “license” to the university, the university would be allowed to make drafts of scholarly works available (different from final published versions).

Lattemann explained if a publisher disallows the posting to open access and to their journal, a waiver to the university’s OA policy can be requested by the faculty member in order to comply. A member noted that while some publishers are OA-oriented, others can be very resistant, and confusion among faculty is commonplace when it comes to publishing to OA and to an academic journal. Lattemann explained there needs to be more education/resources for faculty on this topic. Aamot agreed and noted that more conversations around the UW about this would be useful during the course of the next year. Further discussion revealed there is a website that aggregates publisher’s policies and makes it easy to know if the publisher allows archiving “pre-print,” “post-print,” both - or do not support archiving at all. The website is called SHERPA/RoMEO.

Lattemann explained she has a recommendation for the section of the FAQ Sheet titled “What are the purposes of the suggested policy?” She noted the first thing to appear in this section should be the benefits of open access to authors of scholarly works, and then the section can transition into points about the UW’s public mission and so on. She also added that the point in the FAQ Sheet about waivers to the policy being immediately granted upon request should be made more explicit to the reader. Aamot noted he would take the feedback into account.

8) Good of the order

This item was missed due to time constraints.

9) Adjourn

Lattemann adjourned the meeting at 4:00 p.m.

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Minutes by Joey Burgess, jmbg@uw.edu, council support analyst

Present: Faculty: Lauro Flores, Dianne Lattemann (chair), Jevin West, Betty Bekemeier
Ex-officio reps: Susanne Redalje, Juliya Ziskina, Ellen Barker, Beth Kerr
President’s designee: Betsy Wilson
Guests: Anna Roderer, Diane Machatka, Shirley Dugdale, Gordon Aamot, Cynthia Fugate

Absent: Faculty: Trent Hill, Randall Leveque, Clay Mountcastle, Julie Nicoletta, Carole Lee, Kristin Gustafson
Ex-officio reps: Anuv Vaghul

Exhibit 1 – 16 03 11 Recommended Open Access Policy FAQ_fcul_040616.doc
The following document is meant to show how an open access policy like the one being recommended might be interpreted and implemented. If and when the policy is enacted, a similar document would be made available and kept updated.

About The Recommended UW Open Access Policy

What are the main things UW authors should know about the policy?

- If the policy were adopted, faculty would automatically grant the University of Washington a non-exclusive license to their scholarly articles in order to make their work freely available via the University’s ResearchWorks institutional repository.
- Faculty would retain the copyright to their works. It would not be surrendered to the University.
- “Scholarly articles” would be defined flexibly to further allow for faculty control and disciplinary differences.
- The policy would not impose restrictions on where authors should publish nor require them to pay open access fees.
- In most cases Authors would deposit their “Accepted Author Manuscript” or “Author’s Final Version” - the final, accepted, post-peer review version of the article. Faculty who normally make their research articles open access via disciplinary repositories like arXiv and PubMed Central could simply continue to do that, and would not be asked to also deposit them in ResearchWorks.
- Faculty requests to waive or delay application of the policy to a particular article would be automatically granted.
- The policy would only affect articles created on or after the policy goes into effect.

What are the purposes of the suggested policy?

Public benefits. The policy would make the results of UW research available to individuals who do not have access to academic journals that may be prohibitively expensive. This wider access would be expected to accelerate discovery of new ideas, allow a global audience to engage with the scholarship of the University and allow instructors to make use of materials for teaching at no cost. Wider availability of research articles democratizes information and spurs further innovation and progress.

Benefits to authors. Works made available open access are more easily found and accessible via tools like Google Scholar than those that are not, which results in greater visibility, citation rates and impact for authors. Studies show a very large citation advantage for open access articles, ranging from 45% to over 500%. In addition, under the policy authors retain rights to use their work in teaching or future scholarly work that might otherwise be exclusively assigned to publishers.
Fulfills the Mission of the University and the Faculty. The goals of the open access policy support the stated goals of the University. The primary mission of the University of Washington includes “the dissemination of knowledge” which the policy will serve to enhance. The Faculty Code also addresses a similar goal of encouraging the faculty to contribute to a profession through published discussion and to participate in public service.

Mission of the University

The Criteria for Appointment and Promotion of Faculty

Serves as a Catalyst for Change in Scholarly Publishing. The current publishing model is not meeting the needs of the University. Journal costs are increasing at unsustainable levels and threaten continued access to scholarship and research. In the past 15 years journal costs have increased at 5 times the rate of the Consumer Price Index. Publishers have also pushed for onerous licensing agreements with Libraries, including the “bundling” of journals in packages. In situations where authors have signed over their copyright to their publishers, publishers have tried to restrict an author’s use of her work through publication agreements that prohibit the posting of the work openly on the web or even from using the work in classes. The policy would give the University a means of negotiating for more attractive terms with publishers, an effort needed in a context of dramatic inflation and market consolidation. More information on trends is available on the Libraries scholarly publishing webpage.

Do other universities have open access policies?

Yes, dozens of public and private universities in the U.S. and other countries have open access policies, including the University of California, the University of Minnesota, Duke, MIT, and all of Harvard’s 9 schools. For a list of additional universities and funding agencies having open access policies, see http://roarmap.eprints.org/.

To whom would the policy apply?

The policy would apply to members of the UW Faculty as defined in section 21-31 of the Faculty Code. It would not apply to other UW academic or research staff or to students, although all members of the UW community are welcome and encouraged to deposit their scholarly and research articles.

What works would be covered by this policy?

What does “scholarly articles” mean?

In this context, “scholarly articles” refers to the kinds of articles through which authors share research results to advance research and human knowledge without expectation of payment. Faculty would not be asked to freely distribute works for which they would normally receive royalties or other payment.

Peer-reviewed journal articles and conference papers would normally be considered to fall within this category, but for purposes of the policy the definition would be left to faculty discretion to allow for disciplinary differences.
What works would fall outside the “scholarly articles” definition?

Examples of works that would not fall under the policy include materials faculty prepare for the courses they teach, books (including edited volumes), commissioned articles or reports, case studies written for compensation, fiction, poetry, musical compositions, computer code, or popular writings.

How would it work, and what would I have to do to comply with the policy?

UW faculty members who do not normally share their scholarly articles via arXiv, PubMed Central or another open access repository would be asked to either self-deposit their articles into the ResearchWorks Archive or make them available to Libraries’ staff for mediated deposit. In the case of mediated deposit, Libraries staff would contact faculty prior to publishing articles in ResearchWorks Archive.

The Libraries is exploring additional tools and services to further streamline and support authors in the article submission process. One tool features a “citation harvester” that could alert authors when citations to newly-published articles have been found, provides information about publisher policies and waiver or temporary embargo options, and streamlines self-deposit of articles by the author. Implementation of these enhancements is pending, based on future approval and funding.

What would qualify as an Open Access Repository?

Well-known repositories like arXiv and PubMed Central would qualify because of their ongoing commitments to full open access, while some other commonly-used social networking sites like Academia.edu and ResearchGate that lack these commitments would not. The Directory of Open Access Repositories (OpenDOAR) provides an extensive list of repositories that do qualify.

Copyright and Publisher Issues

How would the policy relate to current University policies on publishing and copyright?

Under the policy, authors would retain full copyright ownership as specified under existing University policies (Executive Order 36). However, the policy would give the University a limited, nonexclusive license to preserve and provide access to faculty scholarly articles produced here.

Would the University be taking away my rights to my scholarly articles?

No. The grant of rights to the University under this policy would be a nonexclusive license. The author would remain the copyright owner of the work. The University would have a limited license to save copies for posterity, and make them available to the world.

As the owner, authors would be able to exercise the copyright in any way they like, including granting rights with a publisher via a separate nonexclusive license. Authors who choose to
publish in an outlet that requires an exclusive license, or who wish to transfer full exclusive ownership to other parties, would need to request an (automatically granted) waiver.

**Would the policy limit where I can publish?**

No. All existing options and venues for publications would be compatible with this policy. Authors could still publish in any venue; the license granted to the University under this policy would provide additional options for authors to make copies openly available if they so choose. If a publisher required an exclusive license or a delayed release as a condition of publication, authors would need to request a waiver or delayed release for the article.

**Would I need to pay for open access?**

No. If you wish to make your work available to the public via the journal’s web site, that publisher might require authors to pay open access fees. However, this policy would not require payment of such fees; it is aimed at enabling authors to deposit copies in the University’s repository, ResearchWorks. This service is free of charge.

**How would publishers be made aware of the UW policy?**

Following the University of California system and other institutions, the University of Washington would inform publishers of the policy. Information about the policy for publishers is [here (not developed yet)].

**What are waivers and delayed access?**

If for any reason you don’t want to make your article openly accessible you would be able to request a waiver. If you want to delay access to your work you would be able to do so when you submit your work [need to add time frames here]. All requests for waivers and delayed access would be on a per-article basis.

**Would I need to get permission from my co-authors to comply with the policy?**

No. According to U.S. copyright law each joint author can give nonexclusive permission to copy and distribute the work. Best practices would suggest that you inform your co-authors of the policy.

**Would I be able to make my work openly accessible if it included a third party’s copyrighted images?**

If you sign an agreement to get access to the image or use the image in your work, you would need to review the agreement to see if it precludes further distribution from the University’s repository. If that use is not allowed you can request permission from the copyright owner or get a waiver for that article.

**Once the work is openly available what uses would be allowed?**

Articles could be copied and distributed by the University and by others as long as it is not for profit. [NOTE: It may be an option to faculty to allow other additional uses of their work on a case-by-case basis.]

**What would happen if I mistakenly sign a publisher’s agreement that conflicts with the policy?**
Although the UW license supersedes any subsequent publication and retains rights for the University, a potential publisher may not agree to those terms as a condition of publication. If that is the case you can delay access to the article or get a waiver.

ResearchWorks and Submission of Articles

What is the ResearchWorks Archive?

The ResearchWorks Archive is the UW’s institutional repository. It provides a permanent, safe service for providing access to articles, technical reports, datasets, images and other file types produced at the University of Washington by faculty and Researchers. The Archive enables University of Washington researchers and academic units to make their scholarly materials accessible to the world, at a stable URL, with the assurance that the materials will be maintained into the future.

Which version would I submit?

Authors would normally deposit what may be called either the “Accepted Author Manuscript” or “Author’s Final Version”: the final, accepted, post-peer review draft. However, some publishers allow authors to deposit the published (typically PDF) version – including final copy-edits and formatting – so you might prefer to deposit that version instead. A good source of journal and publisher policy information is the SHERPA/RoMEO web site.

Who can I contact if I have questions?

[To be determined]