



OFFICE OF THE PROVOST AND
EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

December 1, 2017

CHANCELLORS
LBNL DIRECTOR WITHERELL
ACADEMIC COUNCIL CHAIR WHITE
ANR VICE PRESIDENT HUMISTON
GRADUATE DEANS
COUNCIL OF UNIVERSITY LIBRARIANS

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

Dear Colleagues:

Enclosed for systemwide review is a draft UC Open Access for Theses and Dissertations Policy. This is a new draft policy developed in response to a request from the Systemwide Library and Scholarly Information Advisory Committee (SLASIAC), which advises on academic copyright-related matters, systemwide library policies, and strategies to facilitate the transmissions of scholarly communications in a digital environment. Currently, there are two other systemwide UC open access policies designed to ensure access to UC-affiliated scholarly research: one for members of the Academic Senate and the other for all non-Academic Senate authors who have written scholarly articles while employed at UC (non-Senate academic appointees and staff members). These policies specifically address published scholarly articles.

There is, however, no systemwide uniformity or policy for ensuring open access to UC graduate students' theses and dissertations. The enclosed draft policy provides such systemwide consistency for these works.

With this systemwide policy, UC obtains a limited license to permit electronic theses or dissertations authored by UC graduate students to be available in an open access repository. This policy updates the prevailing norm from the previous century of having physical copies of theses and dissertations on library shelves. Each campus or location will be responsible for submitting theses and dissertations to the California Digital Library, which will make them publicly available via its eScholarship digital repository. Additionally, this policy brings theses and dissertations into the overall framework of UC's other open access policies, which currently require all UC faculty members, academic appointees, and staff members to provide a similar "open access" license to UC for scholarly articles written while they were employed at UC.

Background

In a March 4, 2016 letter to UC Provost Aimée Dorr, SLASIAC noted the variance or absence of specific guidelines and policies on the campuses for providing access to theses and dissertations and recommended that a systemwide policy be developed requiring graduate students to provide UC with a limited license to make their theses or dissertations publicly available. In its letter, SLASIAC asserted that a requirement “would be consistent with our mission as a public university and the tradition of open scholarly exchange.” In response, in late spring 2016, Provost Dorr requested the establishment of a *Systemwide Electronic Theses and Dissertations (ETD) Policy Task Force* charged with developing a systemwide policy on archiving and public access to electronic theses and dissertations produced by UC graduate students.

In its original charge, the task force was asked to consider including the following elements outlined in the SLASIAC letter to Provost Dorr:

- 1) A statement regarding UC’s commitment to disseminate research and scholarship – including theses and dissertations developed at UC – as widely as possible, and acknowledging that graduate students own the copyright to their theses and dissertations;
- 2) A reference to the systemwide Open Access Policy for scholarly articles;
- 3) Policy text that requires a deposit of electronic copies of all theses and dissertations produced at UC into our institutional repository (eScholarship) or its equivalent, and the granting of a non-exclusive license to UC for the purposes of preserving and making accessible all theses and dissertations produced at UC;
- 4) Allowance for delayed releases (i.e., “embargoes”) of ETDs of not more than two years, with the ability to obtain a longer embargo in compelling circumstances; and
- 5) Provision for campuses to be responsible for implementing local policies consistent with the systemwide policy as well as implementing guidelines for embargoes.

In developing the UC Open Access for Theses and Dissertations Policy, the task force – which included representatives of the Graduate Deans, Council of University Librarians (CoUL), Coordinating Committee on Graduate Affairs (CCGA), the University Committee on Library and Scholarly Communication (UCOLASC), SLASIAC, UC Libraries, and graduate students – met four times to review, consider, and deliberate on the issues surrounding the potential policy and how it might affect the work of the UC campuses.

In its deliberations, the task force discussed the items outlined above and their impact on graduate students, particularly possible provisions related to embargoes and commercial use. Other issues, such as differences between disciplines and various types of theses and dissertations were discussed, including multimedia content, data sets, animation, and other elements. Discussions also delved into the need for education around the policy and its implementation throughout the UC system. In crafting the policy, the task force considered all of these various issues.

The draft systemwide policy has been reviewed by Provost Dorr and the Academic Planning Council, and their feedback has been incorporated to the attached draft policy.

Systemwide Review Process

Systemwide Review is a public review distributed to the University leaders requesting that they inform the general University community, affected employees, and unions' membership about policy proposals. Systemwide Review also includes a mandatory full Senate review for at least 90 days.

All employees—faculty, academic appointees, student employees, administrators, and staff—should be afforded the opportunity to review and comment on the draft new policy, available online at: <http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policies-under-review/index.html>. FAQs are also enclosed in connection with the systemwide review of the draft Open Access for Theses and Dissertations policy.

Attached is a Model Communication that may be used to inform non-exclusively represented employees affected by these proposals. Our colleagues in UCOP Labor Relations will inform the collective bargaining units by way of their usual processes.

Please submit comments and feedback to the enclosed policy by February 28, 2018 to ADV-VPCARLSON-SA@ucop.edu (email address is not case-sensitive).

Questions may be directed to Patricia Osorio-O'Dea at Patricia.Osorio-Odea@ucop.edu or 510-587-6147.

Thank you in advance for your attention to this new draft Presidential Policy.

Sincerely,



Michael T. Brown, Ph.D.
Provost and
Executive Vice President for Academic Affairs

Attachments: 1. Presidential Policy on Open Access for Theses and Dissertations
 2. Model Communication
 3. FAQs

cc: President Napolitano
 Executive Vice Chancellors/Provosts
 President's Advisory Group
 Vice President Duckett
 Vice President Ellis
 Vice President Holmes-Sullivan
 Vice Provost Carlson
 Vice Provost Gullatt
 Vice Provosts/Vice Chancellors of Academic Affairs/Academic Personnel
 Deputy General Counsel Woodall
 Executive Director Baxter
 Executive Director Jennings

Executive Director Peterson
Academic Personnel Directors
Deputy/Compliance Officer Lohse
Director Chester
Director Osorio-O'Dea
Chief of Staff Henderson
Manager Donnelly
SLASIAC
Systemwide ETD Policy Task Force