Committee on Library and Scholarly Communication
Annual Report 2018-19

To: Academic Senate, Santa Cruz Division

The Committee on the Library and Scholarly Communication (COLASC) is charged with advising the campus administration on local and systemwide library and scholarly communication policies. Scholarly communication refers to the multi-faceted modalities by which research and creative work are made public and encompasses issues related to publishing, technology, archiving, and copyright. The committee also advises on the administration of campus libraries and on matters concerning acquisition and management policies for collections. The committee meets biweekly to support this charge and to better understand and learn about the challenges and opportunities facing our libraries. Below we summarize our actions for the 2018-19 academic year.

I. Results of Journal Cancellation Survey

In November 2017, University Librarian Cowell announced an impending change to the UC systemwide cost sharing model for library-licensed resources. The change in the cost sharing model increased the UCSC library's costs for systemwide-licensed journal subscriptions by $170,000 and necessitated a cut to the library's collection budget. It was anticipated that these cuts would be met by cancelling some of the library's subscriptions to journals and databases. Most of the journal subscriptions to which the UCSC community has access are negotiated on behalf of UCSC and the other UC campuses by the California Digital Library (CDL) and so the candidates for cancellation were therefore the subset of journals and databases with local subscriptions.

To inform the cancellation decision, the library sought to gather information regarding the importance of local journal and database subscriptions to the UCSC community. A key component was the University Library Journal Cancellation Survey, an online survey of journal utilization and importance to UCSC faculty, graduate students and staff. The survey was formally launched with an email announcement on October 11, 2018, with until January 23, 2019 to complete the survey.

Associate University Librarian (AUL) Kerry Scott invited the participation of COLASC in reviewing and providing feedback regarding the content of the survey launch announcement email. COLASC was also asked on October 10, 2018 to test the survey. COLASC feedback was incorporated into both the email communication and the survey wording.

Later in the year, the Library received additional funding to fill the gap in the journal subscription budget, which was a welcome outcome! The survey results will still be highly useful though to deal with future journal cost increases. The survey results are scheduled to be analyzed and communicated to the university community in the summer-fall of 2019.

II. Consultation on Library Budget

COLASC constituted a subcommittee to review the library budget. The subcommittee met with John Bono, Associate University Librarian for Planning and Resource Management. Mr. Bono and the subcommittee reviewed the library budget and the annual process that generates it. Among the documents shared were:

1. Senate Executive Library Budget Overview Dec-2017
2. University Librarian (UL) Monthly Financial Dashboard (June 2018)
3. UL Financial Dashboard Process Map

This meeting was followed by a presentation to COLASC and a commitment to provide an annual fall quarter orientation on the library budget. COLASC expressed a special interest in understanding the budget surrounding collections management and expansion.

III.   Advice to future COLASC to schedule Kerry Scott, John Bono and Greg Careaga for Annual Orientations to the Library Collections, Budget, and Space

During the 2018-19 academic year, COLASC met several times with Kerry Scott and John Bono, learning many valuable things about the library collections and budgets. We also had an informative tour of the libraries with Greg Careaga. We strongly recommend that future COLASCs regularize these three meetings, so that COLASC members are oriented to the library in the most efficient way possible. Kerry, John, and Greg could also provide some written materials so that members who start midyear can be brought up to speed. These librarians would welcome this idea from our conversations with them and University Librarian (UL) Cowell.

IV.   Elsevier Actions

In fall 2018, California Digital Library (CDL) and Elsevier underwent contract negotiations, with a goal of securing universal open access to UC research while containing the rapidly escalating costs associated with for-profit journals. Elsevier did not immediately embrace the suggested ideas. This decision brought about several rounds of negotiations, but no contract by the time the Elsevier license lapsed at the end of December, 2018. To make sure the UCSC community understood the situation, COLASC developed a short report on journal license negotiations to frame our position on the negotiations--linked here and the specific points listed below. We then got the word out by presenting at multiple senate committee meetings (CAF, COR, CFW and COT), all Divisional Chairs meetings (with the UL and other librarians), and at the fall quarter academic senate meeting (which was postponed to Jan. 9, 2019). In addition, a message was sent to the campus on February 28, 2018 from UL Cowell and Senate Chair Lau.

COLASC's short report on journal license negotiations stated:

1. UC's belief in Open Access (OA) is rooted in the idea that the work of UC faculty and staff should be accessible to everyone, not just those who subscribe. COLASC is fully behind OA publishing, believing it to be an important goal to work towards.
2. The current journal subscription system is unsustainable, with ever-increasing subscription fees that have exceeded inflation. Cost containment is critical. Without it, authors will be required to subscribe to journals from their own pockets given a fixed library budget. Libraries cannot continue to accede to publisher demands, and so need to negotiate for lower costs. COLASC agrees with this vision.

3. The CDL is negotiating with a principle of "off-setting", agreeing to a subscription— ideally with lower costs— combined with lower OA author processing charges (APCs). COLASC supports this general idea.

4. If lower subscription charges are obtained, one idea is to redirect savings toward helping authors pay the OA APCs. COLASC supports this model.

5. COLASC expresses concerns about any models that shift journal subscription expenses on to authors. In the current strategy, the CDL is negotiating lower OA APCs, which is a good outcome. Authors are not required to choose the OA option or to pay OA APCs. In other words, it's optional for authors to chose OA, and so there is not a required increase in the author's cost. Indeed, if the current negotiations are successful, the OA APC will be lessened, and thus authors that choose the OA option will pay a lower fee. However, COLASC strongly advises that there be continued faculty engagement and input around this issue, to ensure that costs do not fall unfairly on authors.

6. During negotiations, there may be short-term inconveniences if licenses lapse. Typically, CDL licenses include perpetual access to old content, but in the case of a lapse new content may require researchers to use interlibrary loan, direct author request, tools such as Unpaywall, author-deposited copies, or other options to view new content. COLASC encourages the library to be very active in developing and supporting a variety of options.

V.   OA2020

The 2017-18 COLASC sent a letter to Senate Chair Ólőf Einarsdóttir on June 1, 2018 requesting that UCSC sign on to the OA2020 Expression of Interest. The late-year timing did not allow adequate discussion so the issue was postponed to the 2018-19 year. COLASC revised the letter slightly, and sent it to Senate Chair Lau on February 20, 2019. Senate Chair Lau brought it before the Senate Executive Committee (SEC), who endorsed it, and she then relayed that information to Campus Provost and Executive Vice Chancellor (CP/EVC) Tromp on May 29, 2019. CPEVC Tromp expressed delight at receiving the letter, but it was down to the wire as she only had signatory authority until June 6, 2019. At the June 6 COLASC meeting, members voted by acclamation that CPEVC use her last authority to sign, and she promised to check in with outgoing Chancellor Blumenthal that day. Shortly after that, the new acting CPEVC, Lori Kletzer, signed the OA2020 expression of interest form on behalf of UCSC. The joining of UCSC completed the full set of all UC Campuses signing this pledge. The library was planning a piece for Tuesday Newsday to inform the UCSC community of this exciting development.

VI.   De-selection Criteria

The committee suggests that there be public procedures and criteria for deselection of library materials during any future large-scale materials removal event, periodically reviewed by COLASC in consultation with the Senate. This document would allow the Senate to rest assured that any such events would proceed along the lines that the faculty have approved. COLASC emphasizes that there is no such removal plan in the works.

Such guidelines might, for example, address:

1. The data to be used in making decisions (e.g., circulation data, frequency of online downloads, in-house use, availability for lending from NRLF, SRLF, or other UC campuses).
2. Criteria for keeping material physically on site vs. relying on online access.
3. How material related to different disciplines is to be treated differentially.
4. A process which would ensure adequate-time consultation with COLASC and input from the faculty in general before and during any future large scale removal event.
5. Possible methods for disposal of deselected material.

On February 14, 2019, COLASC discussed this idea with Associate University Librarian Kerry Scott. Scott emphasized multiple times that no such large scale removals are currently planned. She also emphasized that the recent Science and Engineering library consolidation project was in some ways unique. Having said that, she reported that, in that case, titles that were kept on site met at least one of the following criteria: they had been checked out in the last 5 years, had internal use data (e.g. were re-shelved), were purchased within the last 5 years, or were unique to the UC Libraries or beyond.

At the time, the committee asked AUL Scott to produce a draft of criteria for review by COLASC in the spring. However, it later became clear that the library would need more time to consider this request, both because they need to consult more fully with stakeholders and because they are concerned that announcing such guidelines now might give the false impression that further large-scale removal events are planned. The committee appreciates both of these concerns, but we encourage future COLASC to continue working with the library on this matter.

VII.   Renovation of S&E Library

Plans for the renovation of the 3rd floor of the Science and Engineering Library were shared with COLASC by Greg Careaga in May 2019, after a preliminary report presented in January 2019. The renovations, which utilize private donor funds, are intended to modernize the electrical and HVAC systems, provide individual and group study spaces, and upgrade other infrastructure elements. These renovations are one phase of a broader renovation of the SEL, as described in a 2017 business case analysis. Relevant to the third floor renovations, the library hopes that a future phase will improve ingress and egress, possibly by expanding stairwells, allowing for an increase to the seating capacity on the third floor.

VIII.   Systemwide Proposal of Presidential Policy on Theses/Dissertations

The UC presented its revised systemwide proposal on theses/dissertations, and at COLASC's January 31, 2019 meeting, the committee reviewed the draft after comments were drafted by Graduate Student Association (GSA) Representative Alessia Cecchet, additional comments she passed on from the GSA Council, and comments made by COLASC members.

The proposal allows for the student to request an initial two-year embargo, with two-year extensions to be approved as follows:

A Graduate Dean (or delegee of the Dean) may extend the embargo for additional two-year periods upon receiving a letter of request from the dissertation chair (or other

appropriate authority overseeing the thesis or dissertation at issue) for each two-year embargo extension request.

The comments on this policy were as follows:

1. two years is too short a time frame for publishing a book; the initial embargo and/or the extensions should be longer
2. the (former) students should be able to advocate for themselves; there is no reason the dissertation chair must be involved (and in some cases this might be problematic)
3. there should be a specific policy dealing with dissertations that contain a "creative practice" component, because, for example, film festivals require that submitted work not be available online
4. there should be an initial default embargo (perhaps 30 days) during which the student can weigh alternatives
5. there should be a prominent warning, when the student uploads the dissertation, that it will become open access unless steps are taken.

The committee as a whole supported all five of these points, and sent correspondence to that effect to Chair Lau (dated 2/20/19). Most but not all of these concerns were passed on by Chair Lau in her letter (date 3/12/19) to Academic Council Chair May.

IX.   Response to the Emeriti Letter

On October 15, 2018, the UCSC Emeriti Association published an article in its newsletter titled "A cautionary library tale from UC-Santa Cruz." The article described the process by which the UCSC library planned for and undertook a culling of shelf volumes in its Science and Engineering Library in 2016. The major themes of the article were a criticism of the process of consultation with the faculty, as well as a criticism of the overall plan to repurpose library floor space away from shelved collection to other space uses, such as study and group projects. Of special concern were the decisions made regarding which volumes to save and which to remove, and the fate of the removed volumes, which for the most part were shredded and recycled. In January, 2019, The UCSC Emeriti Association published in a subsequent newsletter article (Volume 1 Issue 3) titled "How UCSC Lost Two-Thirds of its S&E Library Print Collection in 2016." This newsletter article provides additional details from the perspective of the Association.

COLASC reviewed the initial article, interviewed the University Librarian, and studied the history of Senate consultation on the project, and then wrote a letter to the Emeriti Association, dated January 10, 2019. The COLASC letter noted inaccuracies in the portrayal of the process that resulted in culling of library materials and generating designs for the resulting available space. It noted that Senate consultation had been requested by the EVC when a steering committee had been established, but the Senate did not appoint a member to the Committee. COLASC found that the Library had identified and placed volumes of value into the library's Special Collections, and studied usage data, retaining volumes that had been used in recent years. The letter also pointed out that shredding unused volumes was by far the least costly method of

culling a library collection and other approaches, such as book sales or book donations were costly in dollars and staff time.

The Emeriti article raised three important themes that played a central role in 2018-19 COLASC activities:

- *Communication between the Library and faculty, students, and the broader campus community.* The strategy of communicating with Department Chairs was shown to be unsuccessful in reaching a larger faculty audience, and the actual text of the messages was not very clear. Many discussions of how the Library would communicate on issues like Open Access negotiations and redirecting budgets for online journal subscriptions ensued between the Library and COLASC, with the Library seeking advice and integrating COLASC suggestions into their communication strategies.
- *Consultation between the library and the Senate.* The Library expanded its range of topics to be regularly discussed in COLASC meetings to include Library annual budgeting issues, and any non-standard collections management decisions.
- *The proper and best use of space in library buildings.* COLASC was regularly consulted on the ongoing Science and Engineering Library renovation project, and considered the issues from the broader question of how the conversion of study lounges in Colleges increased the need for study space in libraries and how the online world is influencing the use of physical materials in libraries, to detail issues such as types of furniture and their physical arrangement in library spaces.

X.   Strategic Academic Plan (SAP) Responses

In February 2019 COLASC reviewed the Strategic Academic Plan (SAP) and offered feedback on Five Design Principles, and in particular emphasizing committee support for "Open Access" initiatives that might help the university move beyond what we believe to be an increasingly costly and unsustainable subscription-based model of research dissemination.

At its May 9, 2019 meeting, COLASC identified the initiatives that were top priorities from a COLASC perspective, and briefly elaborated the reasons for our selection of these initiatives:

1. Drive research and creative work that transform our world.
1.3 Initiative: Promote and increase open access publication to bring research into view

COLASC felt this initiative was a top priority as a way to promote a large and diverse readership, as well as greater awareness of scholarly work. Greater access to research findings and creative work, we believe, will help to achieve the first and second goals of this design principle: to maintain (or even improve) our institutional stature and to increase extramural funding. We suggest the University Library (UL) be included as one of the responsible parties.

2. Create enriching experiential learning and research opportunities for students.
2.2 Initiative: Increase access to experiential learning and internships for students, including those with higher financial need.

COLASC reminded the University about the many experiential learning opportunities for students at the library, e.g. the Center for Archival Research and Training (CART) Fellowships for graduate students, students working in special collections and the digital scholarship commons, and UG employment at the library have led to many library and archive careers, and advanced degrees in the humanities and other disciplines.

3. Engage and support a diverse faculty, staff, and student body.
3.1 Initiative: Develop additional educational opportunities to assist instructors in enhancing inclusive curriculum and pedagogy
3.2 Initiative: Improve first-year experience for undergraduate frosh and transfer Students.

COLASC believes that these initiatives could benefit from library involvement. The library can provide an extensive introduction to the library and its resources. We suggest the UL be included as one of the responsible parties.

4. Support generative interdisciplinary connections in research and teaching.
4.a Goal: Develop infrastructure to support faculty and graduate students working/spanning divisions/departments.

COLASC believes that libraries could play a key role in providing greater access to resources and technologies across a range of disciplines.

Overall, we had a productive year with continued engagement and collaboration with the university library staff and movement toward more open and sustainable publishing.

Respectfully submitted;
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