

COMMITTEE ON THE LIBRARY

Annual Report, 2002-03

To the Academic Senate, Santa Cruz Division:

The Committee on the Library (COL) has worked mainly on two questions this year. We would like Senate members and the UCSC administration to pay attention to both because they involve decisions with wide ramifications for the University as a whole.

The first question concerns the pressing need to increase the acquisitions budget of the library if new graduate programs, undergraduate expansion, and research of increasing depth and breadth, are to be appropriately supported. We suggest a 7-year plan to achieve adequate levels of electronic and hardcopy acquisition.

The second question relates to the opportunities offered by the electronic archiving of dissertations. The committee is confident that the more rapid and extensive availability of most dissertation research made possible by online access will benefit the university community. We think the time has come to initiate a pilot program to work out how best the online archiving of dissertations should occur in this University.

I. Library Funding

UCSC library spending is 39% below UCSB and 22% below UCR

The University of California Santa Cruz has a Library that provides services and facilities more accessible and in several ways more advanced than those available at the best-known American universities. This level of service and facilities excellence has been achieved through the excellence, dedication, professionalism, and innovative ideas of Library staff despite the handicap of a severe lack of resources, as compared to all other libraries in the UC system.

The UCSC Library has fewer staff, lower expenditure budget, many fewer serials and a much smaller collection, than every other UC general campus library. For example, in 2001, the UCSC Library had 23% fewer professional staff than Riverside, and 44% less than Irvine. The number of UCSC journal and other subscriptions, excluding electronic access, was 48% lower than that of UC Santa Barbara, and 53% below Riverside. The UCSC collection of books and manuscripts was 36% below that of Riverside, the next smallest collection in the UC system. Material spending of the UCSC Library in 2001 was 22% below that of Riverside and 39% below that of Santa Barbara, the next smallest of UC campus libraries. System-wide negotiation of electronic journal subscriptions has given some advantage to smaller campuses, such as UCSC. But, the costs of electronic subscriptions are now a large and growing fraction of the library acquisitions budget.

Why we need expansion

There are three reasons why a commitment is required to Library expansion:

The first is that new graduate programs demand new literatures, serials, manuscripts and facilities. UCSC has plans to initiate several new graduate programs. If we are to meet the needs of those programs, the Library needs more resources.

The second reason for a renewed commitment relates to the University's goal of achieving membership in the American Association of Universities (AAU). Membership in the Association of Research Libraries (ARL) is a pre-requisite for AAU membership. To achieve minimal ARL membership requirements, the University must expand its level of acquisitions and its staff. We discuss briefly below why we believe these levels of acquisition are appropriate for a research university whether or not we wish to finally join the ARL.

The third reason concerns the mandated expansion of UCSC to meet the needs of larger bodies of graduate and undergraduate students, sometimes termed Tidal Wave II

Why Association of Research Libraries acquisition levels are appropriate for UCSC

If UCSC wants to gain standing as a research university, the Library Committee has concluded, it needs a library acquiring volumes and electronic resources at a rate similar to the levels of the Association of Research Libraries (ARL). At present, the University wants to gain membership of the American Association of Universities (AAU). To achieve that goal, ARL membership will be necessary. Even supposing the University chose not to pursue AAU and ARL membership, levels of acquisition similar to those of the ARL would be required to support the extensive, and multidisciplinary research of a research university.

We want to achieve a pattern of funding which meets growing and changing campus needs, and convinces the ARL that we are *en route* to appropriate levels of funding and service, while making best possible use of the comparative advantages of UCSC's position within the UC system of libraries, and of emerging technological opportunities. The committee is convinced that the irreducible core of such a pattern of funding is the library acquisitions budget. Without an acquisitions budget close to minimum ARL levels, it will not be possible to support the needs of a growing campus devoted to research in a range of disciplines.

Universities, such as Boston College, that have recently joined the ARL have acquisition budgets of about \$6 million. UCSC's spending in 2002, even after a significant increase from 2001, was about \$3.5 million.

Plan for phased expansion of electronic and physical acquisitions

The University needs a flexible plan, with benchmarks, to achieve an acquisition budget of \$6 million (in 2002 dollars) by 2010.

We propose a hop, a skip and a jump to get to the required acquisition level in 7 years:

Hop – within 3 years, the acquisitions budget needs to rise by 600k (in 2002 dollars)

Skip – in another 2 years, in 2007, a further \$600k is required each year.

Jump – two years after that, in 2010, a further \$1.3 million is required each year.

The hop in library funding represents a first small step. The administration needs to aim for a \$4.1 million acquisitions budget in 2006. This initial step allows for the constraints of the current downturn in the California and UC budgets.

We anticipate that a similar addition, the skip to \$4.7 million, will be feasible two years after that, in 2008. New library space (for books, new electronic technologies and for student and faculty workspace) should be available around this time.

And, in seven years, by the year 2010, we think a larger jump will be possible to \$6 million (in 2002 dollars). It is likely that the economic cycle will have reached growth at about that point, and new library space will be available.

II. Digital dissertation submission

Electronic submission and archiving of doctoral dissertations offers rapid, worldwide dissemination of research results. Almost all of our students already produce their dissertations as digital documents. Worldwide some 50 universities have adopted electronic dissertations as the standard format for dissertation submission and archiving. Within the US, some 15 universities already require their students to submit digital versions of their dissertations so that they can be made accessible on the world wide web.

After talking with faculty in our departments, listening to an expert on the new technology from one of the first to adopt it, the University of Texas at Austin, and talking with the Graduate Dean, and representatives of Graduate Council and the Senate Research Committee, the Library Committee has become convinced that the early adoption of this new technology offers advantages which far outweigh the difficulties of transition from hard copy to digital.

The standards for electronic submission and archiving of dissertations are now adequately developed and the UCSC Library is fully prepared to adopt this new technology. There are, nevertheless, bound to be procedures and requirements specific to UC Santa Cruz which need to be worked out. We propose that a one- to two-year pilot

project be initiated, involving students in a small number of departments, so that questions particular to this campus can be identified and addressed.

Expert testimony suggests that one person, probably within the Graduate Dean's office, and under the guidance of Graduate Council, should oversee the details of this pilot program.

There are questions to be addressed about theses with commercially valuable content, and about the maintenance of an archive for posterity. There are also ongoing discussions with publishers about the status of works which have already been made available on the web. But, the committee is convinced that these questions can be resolved.

We propose that the Graduate Dean and Graduate Council take up a pilot program for online submission and archiving of doctoral dissertations in the academic year 2003-4.

Respectfully submitted,
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