

## **COMMITTEE ON THE LIBRARY Annual Report, 2005-2006**

To the Academic Senate, Santa Cruz Division:

The Committee on the Library (COL) addressed a number of issues that impact the library as well as the entire campus. A summary of these issues and the COL response is provided below:

### **1. Senate Resolutions on Scholarly Publishing**

In the spring of 2005 the Santa Cruz Division of the UC Academic Senate passed four resolutions addressing key issues in scholarly communication. COL was charged with their implementation. Recently the systemwide Special Committee on Scholarly Communication (SCSC) submitted a series of five draft white papers and a policy proposal regarding scholarly communication (<http://www.universityofcalifornia.edu/senate/committees/scsc/reports.html> ). These papers touch on many of the issues in the Santa Cruz resolutions and we are pleased that this important subject is receiving attention at the systemwide level.

COL reported to the Academic Senate on its progress in implementing the Senate Resolutions in May 2006. An outline of this progress follows.

At its May 2005 meeting, the UCSC Division Academic Senate resolved:

- 1. To propose the following principle be conveyed to UC negotiators to use in their negotiations with journal publishers. Where publishers submit systemwide contracts for access to online content with prices which exceed the consumer price index by more than 1.5% in any one year then that contract should be referred to the Committee on the Library of the UC Academic Senate (UCOL) for comment.*

Toward this goal, the Committee informed the systemwide Library committee (UCOL) of our resolution. We also conveyed that this was a particularly urgent issue at UCSC and that we were forced to cancel 152 journal subscriptions last year. We should point out that communication with UCOL has been greatly facilitated by the fact that Ben Crow, former chair of the COL at Santa Cruz, is the current chair of UCOL. Ben played a significant role in drafting the 2004 UCSC Senate Resolutions. In addition the current COL chair, Bill Sullivan, is a member of UCOL and has directly communicated the views of the UCSC Senate on this issue to UCOL.

One of the draft white papers produced by SCSC is titled "The Case of Journal Publishing" and calls for journal publishers to follow a number of ideal journal publishing practices. These include: seeking only copyrights necessary for first publication, avoiding monopolistic pricing, providing transparent financial information, and enabling the maintenance of a persistent scholarly record. The Committee supports the steps outlined in this white paper.

COL is of the opinion that the issue of pricing is especially critical. Therefore both in a written statement and verbally at the UCOL meeting, we made it clear that most of our combined efforts should focus on journal subscription rates.

2. *To propose that the UCSC Senate establish a task force including former chairs of CAP to explore ways to meet the challenge of academic evaluation in an era when publication and performance possibilities are changing.*

At the request of COL, the Senate Executive Committee passed COL's draft charge to the Committee on Committees to staff a task force for the 2006-07 academic year.

3. *To propose that the UCSC Academic Senate, in collaboration with the UC Academic Senate and the UC Administration, take urgent steps to explore the restructuring of the University's copyright policy to assert a collective right, under the direction of individual faculty, to distribute faculty work for research and teaching.*

We found this to be an extremely difficult and troublesome issue. The legal issues surrounding copyright are beyond the expertise of the Committee. The Committee has encouraged exploration of this issue at the systemwide level.

SCSC produced a draft white paper titled "The Case of Scholars' Management of Their Copyright" which was carefully read and discussed at length by COL. That paper suggests that publishers seek only copyrights necessary for first publication of the work, and that faculty retain or share other rights, including the right for classroom use, non-profit distribution following first publication, and the right for archival preservation by a University entity. To add value and make an economic return, publishers do not need full transfer of copyright ownership, as is current practice. Most business needs can be met by securing an exclusive right of first commercial publication, with requests for other rights such as foreign distribution and reprinting, made when and as necessary. Authors and their institutions then retain and take advantage of other copyrights as needed for research, teaching, content management, and continued influence.

Although COL agrees with the spirit of SCSC's white paper on copyright, we have some reservations about the accompanying proposed Scholarly Work Copyright Rights Policy. That policy has the faculty granting the Regents a "limited, irrevocable, perpetual, worldwide, non-exclusive license to place the faculty member's work in a non-commercial open-access on-line repository." Although there is an opt-out clause, COL is concerned that faculty may be placed in untenable positions with respect to conflicting publisher and UC copyright policies. No one on our Committee has experience or training in this area, and we have forwarded this concern in writing to the UCOL. We suggested soliciting expert legal advice before a formal policy is put forth. We also expressed this concern in a conference call with UCOL. At the conclusion of the call, the consensus was that UCOL will obtain expert advice from copyright lawyers and the white paper and proposed policy will be appropriately modified.

Currently UCSC and UC Merced are the only UC campuses that are not members of the Association of Research Libraries. Among the many advantages of membership is access to legal advice concerning copyright issues. While recognizing that membership in the Association

of Research Libraries requires a financial obligation from UCSC in a period where the Library's budget is under increasing pressure, we recommend that the University evaluate the many benefits of joining the association and consider allocating the necessary funds to the Library.

4. *That the UCSC administration explore the establishment of an Office of Scholarly Communication or similar administrative unit to take responsibility for the persistent stewardship of all forms of scholarly communication.*

To accomplish this, COL proposes the establishment of liaisons between each department and the library. The liaisons would communicate the existence and relevance of open access venues as well as advising librarians on collections relevant to their discipline. We estimate that these appointments would incur a modest commitment (~ 2 hours/quarter). COL proposes that each department appoint a faculty member as their library liaison. In February, COL sent a letter to every department chair requesting that they appoint a faculty member by April 15, 2006.

The appointment of liaisons is just the first step toward meeting the spirit of this resolution. COL will also encourage the UC libraries to purchase the smaller name journals in order to support them for fields where the journals are not as available electronically as for others.

In addition, we are exploring the possibility of altering the charge of COL so that it explicitly includes scholarly communication. As suggested by UCOL, this may involve changing the name of COL to "The Committee on Libraries and Scholarly Communication." This is still under discussion as it would entail a significant increase in workload for the Committee and it would significantly change the mission and scope of the Committee from focusing specifically on Library issues to considering a broad set of topics related to research, tenure, instruction, and public relations, among others.

## **2. Symposium and reception for the new librarian**

A symposium was held on Thursday, March 9, to welcome the new librarian, Virginia Steel. Guest speaker Architect Geoffrey Freeman accepted our invitation with a lecture titled "Academic Libraries for the 21<sup>st</sup> Century: Challenges and Opportunities." The lecture was followed by a reception and a fund-raising dinner at the University Center. One of the participants at that dinner donated funds to cover the cost of hiring Geoffrey Freeman as a consultant on the McHenry library remodel. The event was well attended and helped raise the profile of the library on the campus. COL is indebted to Margaret Gordon of the Library Development Office for organizing the event. Because of this success, COL is considering initiating an annual library lecture series.

## **3. Library Remodel and Renovation**

At our first meeting in the fall of 2005, it was clear that the library addition had reached a stage that was beyond further input from COL. However, the working drawings for the McHenry renovation had not been completed and input from the COL was warranted. An area of particular concern to COL was placement of offices for library staff and others around the perimeter of the main floor of the library. This design would severely limit the views and natural

light to the patrons. COL made our views clear to the librarian and the architects. We suggested that these perimeter offices be moved up one floor. Geoffrey Freeman, the invited speaker and a leading figure in library architecture reiterated this concern at the symposium. An unexpected positive outcome of this symposium is that Geoffrey Freeman will work as a consultant with contractors and architects. Focus groups met with the architects in January and expressed concerns about security lighting and interior design. These concerns are also being addressed in the redesign.

Currently there is a \$6M shortfall for the McHenry Library remodel project, of which \$2M is required for a loading dock that was not originally in the plan for the remodel. All options for how to respond to this shortfall are fairly extreme. The Library may be asked to cover the cost for the architects and contractors to redraw the plans to accommodate possible ways of reducing the cost. This is an added cost of up to \$130K.

These significant shortfalls prompted the COL to raise this issue directly with Chancellor Denton. COL gave the Chancellor an overview of issues associated with the library remodel. Chancellor Denton indicated that she thinks that the library remodel should be a high priority in the capital campaign. She explained that the process for fund-raising priorities typically starts from departments moving through the deans and, eventually, to the Chancellor. A central advisory committee will be formed to give input during the campaign. The University Librarian will be invited to be on that committee.

#### **4. Library Budget**

*Acquisitions:* The outlook for the both acquisitions budget is bleak. Head of Special Collections and Acting Head of Collection Planning, and Christy Hightower, Biology and Biomolecular Engineering Librarian, explained the process of acquisitions at UCSC. Key points of their presentation:

1. Of UCSC's \$3.4M on-going acquisitions budget, 80 percent goes toward purchases that are serial in nature such as journals and electronic books. The remaining 20 percent is used for one-time purchases such as monographs.
2. UCSC purchases ~34K books annually. The amount spent with the vendors each year is ~\$650K.
3. The Consumer Price Index has gone up 73 percent since 1986-2004. The cost of monograph expenditures has gone up 63 percent during this time. **Also during these years, the cost of serial expenditures went up 273 percent.**

The bottom line is that maintaining up-to-date and comprehensive monograph and journal collections for existing programs is increasingly difficult and the resources available in the library budget for developing collections for new programs are not realistic. University Librarian Ginny Steel met with EVC/CP Klinger regarding these and COL's concern over how to fund the needs of new graduate programs. Without additional funding, cuts in other aspects of the budget are necessary. One possibility is suspending the campus subscription to the Institute for Science Information (ISI) reference index and citations database. The cost to UCSC for Web of Science is \$70K per year. The Committee discussed ways to determine the need versus cost

of ISI. This topic will be continued at a future meeting. Funding lost to UCSC due to under enrollment of students may preclude the Library from receiving a necessary augmentation. It must be pointed out that UCSC is by far the lowest in per capita expenditures with \$250 per student versus a national average of \$718. Excluding UCSC, the low is \$335 and the highest is \$2,453. Within UC, the average is \$411 per student. Excluding UCSC, the low in UC is \$281 and the high is \$549. The UCSC collection size is 900K smaller than the next smallest in the UC system. However, the circulation number is higher than two other campuses. Given the size of UCSC's collection, its ratio of use ("intensity of use") is the highest in the UC system.

*Staffing:* University Librarian Virginia Steel explained for the Committee the staffing and organizational structure in the Library. Growth in library staffing numbers has been flat for several years, and there have been no line assistant/associate university librarians (AULs). Typically the position of University Librarian is devoted to external focuses and expectations, leaving insufficient time for the internal management needs. UCSC currently has two assistant university librarians. One of these positions will be open in June with the retirement of Bob White. This provides the opportunity to hire one AUL who will have responsibility for overseeing collections and technical services. Funding has been made available to hire a second as well who will oversee the library's public service operations. January is the goal by which it is hoped that the two AUL positions will be filled. University Librarian Steel will provide COL with a URL to the website that provides information about the Library's new organizational structure.

Respectfully submitted,

**COMMITTEE ON THE LIBRARY**

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