

Committee on Library and Scholarly Communication Annual Report 2017-18

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 2017-18 academic year.

COLASC's Charge Change

The Committee decided to update the charge to clarify the Committee's role and purview. The revision of the charge sought to foster dialogue and interaction between the libraries, Senate faculty, and students. The following amendment to Bylaw 13.23, with the updated charge, was worked on in conjunction with RJ&E, and then brought before the Academic Senate on May 16, 2018. It is given below, and was passed by a show of hands:

13.23.2 The Committee advises the President of the University and the Chancellor at Santa Cruz regarding the administration of the University Library at Santa Cruz, in accordance with the Standing Orders of the Regents. It consults with campus and library administration on local and Universitywide library and scholarly communication policies. Scholarly communication refers to the modalities by which research and creative work are made public, as described in 13.23.4. Whenever appropriate, the Committee joins the library administration in providing representation at Universitywide discussions of library policy. ~~It assists the library administration in determining acquisition and management policies for collections, considering changing patterns of faculty and student use of the library, and the varied needs of the different disciplines.~~

13.23.4 The Committee *reviews existing and proposed library acquisition and management policies and plans, and collaborates with the Library Administration and other appropriate campus entities in the development of those policies and plans, ensuring that they are based upon existing and changing patterns of faculty and student use of the University Libraries, and the varied needs of the campus's academic programs.*

It studies and reports on *multifaceted* issues of scholarly communication, including ~~technology,~~ *access*, publishing, teaching, archiving *and storage*, and copyright and *fair use*. ~~The Committee promotes education and advocacy for matters concerning the library and scholarly communication. It is the responsibility of the committee to strategize and recommend on matters related to scholarly communication, library~~

services, and library resources in collaboration with the library personnel and other campus entities.

Serials Cancellation

On November 2, 2017, University Librarian Cowell shared briefly news that there would be an impending \$170,000 cut to journal subscriptions, due to an increase in costs to our UC systemwide journal subscriptions. The Library Administration decided to address the cost by cancelling some journal and database subscriptions. They consulted with COLASC multiple times to determine the criteria to use in the cancellation process and to engage as many faculty as possible in the process. The library set up a very clear web site to communicate the status of cancellation decisions.¹ They state that:

“the campus will need to identify locally licensed journals from across the disciplines to cancel (Examples of local journal subscriptions up for review: Genes & Development, Journal of Computer Game Design, Free Inquiry). The campus will also need to review systemwide-subscribed databases to cancel (Examples of systemwide databases to review: Economist Intelligence Unit, CIAO, Philosopher's Index).”

Communications were sent from the library to the faculty and department managers in spring quarter and early summer, as follows:

- During May 2018, Christy Hightower sent the following emails:
 - To each of department chairs, with the department manager cc'ed. The subject line was: Library Journal & Database Cancellation Review Website Launched. They were asked to share the information with their department.
 - To the Presidents of the SUA and the GSA, and to lecturers via the contact for the lecturers' union, asking each to share with their constituents.
 - To the Undergraduate and Graduate Directors (or equivalent) in each department asking them to participate in a dual role as both a researcher and an instructor. The subject line of the message to Directors was: Library Cancellations from Instructor Perspective.
- On June 14, 2018, University Librarian Cowell sent a message to all Senate faculty using the Academic Senate email alias. The subject line was: RE: Library Journal Cancellation Process Updates. A copy of this email is in Appendix 1.

The current timeline is to launch the input process in September. In an effort to ensure that enough time is allowed for faculty to consider the lists, the library has planned on keeping the title lists open for faculty input from September 2018 through January 2019. Initially the date was February 2019; however, it was realized that the title list will need to close a bit earlier to give time for COLASC input. This change was communicated to COLASC, and COLASC agreed that there would still be plenty of time with a revised end date.

One systemwide database already came up for consideration, STATISTA. It was part of the UC systemwide California Digital Library (CDL) package, and was being renegotiated up until the

¹ https://guides.library.ucsc.edu/serial_cancellations

last possible time, but CDL was unable to come to a satisfactory pricing so the UC-wide subscription was cancelled as of 6/30/18. Again, the librarians communicated with the Campus Provost/Executive Vice Chancellor (CP/EVC), COLASC, and the Academic Senate Chair as to how best to communicate this information to faculty. On 7/2/18, an email was sent to the Senate Faculty alias from Librarian Kerry Scott, with the subject line: RE: ALERT Imminent Cancellation: UC Libraries Cancelling STATISTA, 6/30/18.

As we move into the process, announcements about its start are planned to be communicated via the Senate list, on the Library website, and directly with department heads and managers. Library staff continue to be in communication with COLASC.

Library Budget

Pursuing one of its major charges, the Committee devoted particular attention this year to developing a comprehensive understanding of the Library's budget — the sources of its revenues, the functional expenditure categories, the reasoning undergirding the Library's expenditure decisions, and the degree of flexibility the Library has in using its revenue. The committee was also interested in whether the Library is receiving its fair share of the campus's General Funds and in whether campus-wide advocacy on behalf of its budget is sufficient.

Because of the fall 2017 announcement about the Library's needs to significantly cut its expenditures on digital materials over the next few years (see Serials Cancellation section above), the Committee worked with the Library to get a better understanding of the Library's expenditures on CDL and non-CDL materials. A May 17, 2018 letter to University Librarian Cowell (Appendix 2), details the major questions with regard to the Library's budget that the Committee plans to pursue during the 2018-19 academic year. Over the summer of 2018, Librarian Cowell met with Chair Ottemann, Senate Director Mednick, and Associate University Librarian for Planning and Resource Management John Bono to discuss this request. Senate Director Mednick pointed out that several committees receive regular budget reports that follow a particular set format. All agreed that this approach would make sense for COLASC, and would help to minimize ad hoc requests and additional work for all. The 2018-19 COLASC can certainly weigh in on this idea.

Science and Engineering Library Space Planning Advisory Task Force

CP/EVC Marlene Tromp and Librarian Cowell convened the Science & Engineering Library Space Planning Advisory Task Force to develop guidance for the S&E Library's space planning. The goal was to take into account the needs of STEM fields on campus. The Advisory Task Force started their work in November 2017 and completed a report in May 2018. The charge of the Task Force was as follows:

- Articulate a set of guiding principles to optimize space use in the S&E Library, given the campus's interest in promoting collaborative teaching, student success and access in STEM.
- Ensure that the principles developed are attentive to the needs of the increasingly diverse pool of UC Santa Cruz students enrolled in STEM.

- Assess and rank requests for space (both interim and long range), with priority given to those proposals that advance STEM education and student success and careful consideration paid to the budgetary implications of each proposal.
- Make recommendations for the partial renovation of the third floor, which will be supported by a \$5 million donor gift.

The Task Force data study plan included: 1) tours of the existing facility; 2) analysis of current best practices for science and engineering instruction and library facilities; 3) interviews and focus groups with faculty, students, deans, and units engaged with STEM; and 4) defining issues of access and other special requirements for practical uses.

COLASC had a representative on the task force (the F/W Chair, Jennifer Horne), and provided input on the draft Task Force report (see Appendix 3, COLASC to S&E Library Taskforce Chair re Draft Report 5-29-18). As of the submission of this annual report, the final Task Force Report was not publicly available.

COLASC Faculty Survey

In winter 2017, the 2016-17 COLASC conducted a survey of faculty regarding their use of online and print library resources, library services, and library resources for teaching. The survey also collected faculty opinions on the vision for a renovated Science & Engineering library.

The survey was put together by a subcommittee of the 2016-17 COLASC, and administered online from November 2, 2017 to January 2, 2018. There were 361 respondents who answered at least the first question of the COLASC module, including Senate faculty and Unit 18 lecturers. This number decreased to 316 by the last question about the S&E library, but the relative distribution of rank and divisional affiliation stayed about the same. All responses were confidential and reported at the aggregated campus level for divisions.

Overall, the main findings were that access to online journals generally seems acceptable but could be better. Over 50% of faculty reported that they have experienced the inability to get an article they needed at some point. However, UCSC faculty are problem solvers and so were able to get access through interlibrary loan (ILL) or other clever methods. Accessing books was more problematic than accessing journal articles, with approximately 72% of faculty reporting that they have needed a book that UCSC did not own or have access to. Again, most people (upwards to 90%) were able to get access through ILL, other online resources, or buying their own copy. Faculty raised good points about the challenges with the various online platforms for reading and reviewing materials, and COLASC suggests these would be good to delve into to see whether particular platforms are better than others. Another issue that became apparent is the challenge provided by the elimination of the book delivery service and drive up book return. Books serve particularly important research functions for faculty from Arts, Social Sciences, and Humanities and there appears to be a substantial burden gaining access to these materials for these faculty. COLASC strongly recommends examining what it would take to reinstate both a book delivery service and/or a drive-up book return bin. Another service provided by the library is the generation of classroom-directed resource guides. Overall, faculty expressed clear interest in using these guides, with great variation in practice. There were some good ideas to make the guides useful, including to have librarians work in collaboration or consultation with faculty on

designing/updating such guides, and to include more information on plagiarism. The format of these guides may be a good area for COLASC outreach to faculty in the future. With regard to the Science and Engineering Library, faculty placed high value on having space that was flexible so it could change as needed, and with current priorities being for quiet individual study, browseable print collections, and a cafe. Faculty expressed concerns about the non-library areas and in providing space to other units on campus within the library. Overall, faculty rated as low priority the use of the library for classrooms, yoga rooms, subscriptions to software, and highly visible learning space. These ideas suggest that examination of the library space inventory and mission might be useful, to ensure that everyone is on the same page. This section also highlighted that faculty want more ways to be engaged in library planning, mentioning possibilities such as focus groups, a designated faculty member from each department, or surveys initiated either by COLASC or the Librarian. This is another area that COLASC should look into.

COLASC's full analysis of the survey can be found online² and in the main text in Appendix 4.

Open Access Movement

During this year, COLASC took several actions regarding open access related to published work, theses and dissertations.

Open access in general and OA2020. In fall 2017, the Committee continued discussions about the open access (OA) movement and the varying attributes of OA across the disciplines. These discussions had occurred in several previous COLASC terms as well. In winter quarter 2018, we consulted with UC Davis Scholarly Communications Officer Michael Wolfe about the Open Access 2020 Expression of Interest (OA2020) document, which many UC Campuses had signed on to. From this discussion, it became clear that signing the Expression of Interest is non-binding and really just as it sounds — an expression of interest. Based on these discussions, COLASC drafted a letter to Academic Senate Chair Ólöf Einarsdóttir dated June 1, 2018 requesting to sign onto Open Access 2020 Expression of Interest. The text of the letter is in Appendix 5, and some parts are detailed below.

OA2020 is an international initiative with the goal of promoting the transition to open access. Their mission is to transform the current publishing system, replacing the subscription business model with an open access one. It aligns well with UCSC's pioneering 2004-05 faculty resolution supporting open access,³ and the statement from UCOLASC of April 25, 2018 entitled "Declaration of Rights and Principles to Transform Scholarly Communication". OA2020 contains a road map with specific goals and plans for moving toward the large-scale implementation of free online access to, and largely unrestricted use and re-use of, scholarly research articles. The first step on this roadmap is to sign the OA2020 expression of interest, a step already taken by 107 scholarly organizations including most UC campuses⁴: UCLA, UCR, UCM, UCB, UCD, UCSF.

² <https://senate.ucsc.edu/committees/colasc-committee-on-library-and-scholarly-communication/colasc-2017-survey--executive-summary-report.pdf>

³ <https://news.ucsc.edu/2008/02/1970.html>

⁴ <https://oa2020.org/mission/#eois>

On June 1, 2018, COLASC sent a letter describing their supportive position, with the suggestion that this request be brought to the Senate Executive Committee (SEC) for the initial consultation in early fall quarter 2018. Although there are several options after that, the ultimate step is signing by the CP/EVC. After signing, COLASC envisioned a collaborative process across the disciplines and between COLASC, UCOLASC, and our Librarians to develop any next steps. The campus would need to carefully explore the various options as to how any changes would affect each discipline as there are important differences between them. Additionally, COLASC noted that while OA approaches may help to contain costs, they are not free, and thus there will still be difficult decisions. Overall, there is substantial support among the UC Librarians and across the UC Campuses for taking steps toward OA.

Senate Chair Einarsdóttir replied to COLASC Chair Ottemann on June 4, 2018, with the following: “We discussed this issue at the Academic Council meeting this last Wednesday, and while everyone is philosophically supportive of more open access, there were some budgetary concerns raised by UCPB.” Chair Einarsdóttir included UCPB's letter regarding this issue, and it is attached here as Appendix 6. Essentially, UCPB did not endorse the UCOLASC OA “Declaration of Rights and Principles to Transform Scholarly Communication” document. Half the UCPB members abstained, and did so because:

“... they felt that they did not have adequate information about how implementation of the Principles would influence overall costs to the University or how a shift from a subscription-based model to an author-pays model for funding academic publishing might influence individual students, postdocs, and faculty in terms of their ability to publish freely in the important journals for their fields, and also to access all relevant journals in their fields during the transition period. Because UC produces a disproportionate fraction of academic articles overall, unless the cost-per- article were to decline, it is likely that the overall cost of supporting UC’s scholarly output would actually increase under this model—potentially even double—at least in the short-term. ...We share UCOLASC’s desire to create a more affordable and sustainable model for scholarly communication and to position UC as a force to reduce the cost to the University and its scholarly community of contributing and accessing journal articles; however, even if we were able to reduce commercial profits, that would not appear to provide a cost-neutral solution. In fact, our concern would shift to the potentially greater cost to individual scholars submitting their papers for publication”.

COLASC notes that these are two different documents — OA2020 and the “Declaration of Rights...” with the former being non-binding and an expression of interest. This leaves the OA2020 endorsement up in the air, and something for COLASC 2018-19 to resolve.

Open access for Theses/Dissertations. The UC System put forth a draft Proposed Presidential Policy on Open Access for Theses & Dissertations in winter quarter 2018, which aimed to make a uniform policy across all UC Campuses.⁵ The summary is that the proposal extends “the principles of the University’s existing open access policies – including the Academic Senate’s policy dated July 24, 2013 and the systemwide Presidential policy dated October 23, 2015 – to theses and dissertations prepared by the University’s graduate students. Specifically, this policy

⁵ https://www.ucop.edu/academic-personnel-programs/_files/apm/etd-policy-sys-rvw/sys-rvw-etd-policy.pdf

requires theses or dissertations prepared at the University to be (1) deposited into an open access repository, and (2) freely and openly available to the public, subject to a requested delay of access (“embargo”) obtained by the student. The policy does not affect students’ copyright ownership rights in their theses or dissertations.”

UCSC COLASC was in support of this policy, noting support for any policy that would give the work of UC graduate students a more widely accessible platform than the subscription-based UMI, which prevents work from being read by scholars whose institutions cannot afford the services and by those in regions where impoverishment generally prohibits access to the work of UC graduate students. COLASC did note also that “in certain humanities and arts fields especially, graduate students will need to be fully informed about the embargo timeframe.” The full text of the UCSC COLASC letter is in Appendix 7.

On March 28, 2018, UC Academic Senate Chair Shane White wrote a letter to Susan Carlson (Vice Provost Academic Personnel UC) describing several concerns that were raised by various Senate committees, including concerns about whether the revised policy could harm graduate student’s ability to publish books, whether the policy’s two-year embargo period for scholars in book-publishing fields is too brief, a lack of clarity for how the policy would apply to collaborative research common in the sciences, and how the policy would apply to theses and dissertations in the arts that may include paintings, dance, collections of images and sounds, or portfolios of other artistic works. UC Chair White recommended the policy be revised to include “more flexibility concerning the length of embargoes to allow for variation across disciplines,” and to recommend that students be “required to make an affirmative selection with their thesis or dissertation submission of a two-year embargo, no embargo, or an infinite embargo.” So although there was a strong stated commitment to OA, the conclusion was that the policy needed additional modifications and clarifications.

COLASC Syllabus Statement

During the winter quarter, COLASC discussed the fact that UC Santa Cruz has shifted entirely to a Demand-Driven Acquisition (DDA) model for the purchase of books and media, in place of a mixed DDA and “Just-In-Case” model that had been previously used—and that is still used by most UC campuses. UC Santa Cruz and UC Merced are the only two libraries in the system that are fully reliant on the DDA model.

Since this model relies on faculty, staff, and students to make requests to have physical collections added to the library’s stacks, Chair Horne proposed publicizing the Library’s book request link to students through inclusion of shared language on course syllabi, following the model of language on Disability Resource Center Accommodation and Learning Support Services. At subsequent meetings, COLASC finalized the following statement that we invited instructors to add to their syllabi:

COLASC Syllabus Statement

UCSC requires active input to build its library collections. The Library adds books to its stacks on the basis of purchase recommendations that can come from any member of the campus community including students. Please visit <https://library.ucsc.edu/recommend->

a-purchase to make requests for the purchase of library materials important to your success at UCSC.

On May 14 2018, COLASC sent out an email to Senate faculty inviting them to incorporate the above language in their syllabi and encouraging them to request their managers to distribute it to all faculty, lecturers, and GSI's who are teaching. We plan to follow up with another email as we get closer to the beginning of fall quarter.

It should be noted that COLASC will continue to discuss the efficiencies and pitfalls of the DDA model in supporting teaching and research in future years.

COLASC Role in Strategic Academic Plan

At three points during the year, the Committee responded to requests for feedback on different facets of the Strategic Academic Plan (SAP). In each instance, after individual research and in-person discussion, the committee shared its feedback through collaboratively drafted letters, three in total.

The first request (November 28, 2017) asked the committee to address issues of “resource generation” and “internal barriers.” COLASC emphasized that the success of not just the SAP and its priority areas, but also of all research and teaching efforts on campus, requires conducive conditions of information access and research dissemination. In addition to expressing concerns that shifts in resources to priority areas might adversely affect library and communication resources for non-prioritized areas, the committee recommended (a) addressing the perils of an increasingly expensive and restrictive publication climate, as well as possible mitigating steps, including the campus's active participation in Open Access 2020 and the open access movement, and (b) taking the necessary steps—including permanent library budget increases—to join the Association of Research Libraries (ARL), which has been a longstanding recommendation of COLASC.

The second request (April 10, 2018) asked the committee to discuss a list of fifty-three “internal campus barriers” with a view toward a Senate-wide list of barriers most in need of attention. The committee responded (May 10, 2018) with a list of nine that seemed most significant from a COLASC perspective. Notably, the letter identified the most substantial barrier as a “lack of coordinating structure/support above divisional level (for intra-divisional efforts)” and appended the following observation: “With regards to this issue, COLASC thought a current problem is that there is not a structure that allows for equal voice for the library compared to the Dean's. In other words, we need a Dean level person that speaks for the Library.”

The third request (April 21, 2018) asked the committee to review the 28 themed academic working group (TAWG) proposals. The committee (May 18, 2018) deemed the request for a consensus list of the most promising proposals as unfeasible; instead, the committee reiterated earlier feedback on the importance of library issues for the success of the SAP and the campus, including ARL membership, and it also shared a number of new COLASC-related suggestions and concerns. The latter centered on the lack of opportunities for Library input in the TAWG process—including the University Librarian not having been included in the Academic Advisory Committee—as well as the absence of a library-related question in the TAWG proposal

questionnaire. The committee recommended allowing the Library to comment on the 6-8 finalist proposals and advocated further opportunities for increasing Library representation going forward.

In sum, throughout the SAP process COLASC encouraged the administration and fellow Senate committees to avoid separating SAP processes and ambitions from ongoing issues of access, publishing, technology, archiving, and copyright, and the committee further emphasized the broader strategic importance of joining ARL and supporting a thriving future for scholarly communication, including through open access initiatives.

Miscellaneous Other Business

COLASC also was shown the Library's New Management System in late May 2018. Katharin Peters (Research Support Services/Discovery Lead) and Gillian Keleher (Library Resources Supervisor/Library Management System Lead) provided an overview of the new search interface. The cloud based system will manage the collection and patron information starting June 20, 2018. Advantages include that searches will be more comprehensive, to include not only the tangible collections but also electronic full text articles, audio, and visual materials. They walked members through an example of a search result. At the inquiry of a member, Lead Peters clarified that Melvyl (WorldCat) will still be available, although it's designed to look specifically for monographs. The library will have the ability to add its own local content, e-scholarship and open access journals. The library staff reported they plan to inform the campus community about the new library management system via Tuesday Newsday.

Future ideas and Carry-Over for Academic Year 2018-19

There were several areas in which COLASC initiated questions that will be on-going in 2018-19.

Library Space

The Committee foresees that the allocation of space within the library will be an issue of future relevance. The anticipated growth in the undergraduate and graduate populations will likely create competing demands on physical space on campus, and the role of the library in serving these students is evolving in response to technological changes. The allocation of library space for non-library services was identified as potential internal campus barrier to success, as prompted by AVPAA Berger. The first step taken by the Committee in 2017-18 was to request information from Librarian Cowell regarding the current allocation of space within each university library, and the extent to which library space is allocated to other units on campus (Letter in Appendix 8). The results of this inquiry will be shared with the Committee on Planning and Budget.

Library Budget

See notes in the budget section about ongoing discussions.

Demand Driven Acquisition (DDA).

How well is DDA working? Efficiencies? Is it supporting all areas of teaching and research? Pitfalls? Alternatives?

OA2020.

The OA2020 letter (Appendix 5) went off to the Senate, and concerns were raised that need to be resolved.

Discuss the future of the library and what that would look like for the campus

A theme that emerged several times throughout 2017-18 centered around what a library should look like, in general, and specifically for the UCSC campus. Questions included the role of the physical space versus the IT/Digital scholarship, as well as the roles of the Senate Faculty and COLASC in this vision. For reference, the current UCSC Library Mission Statement is:

“The University Library fosters the success of the UC Santa Cruz community by providing access to scholarly information resources, investing in dynamic spaces for collaboration and study, and working with faculty and students in the discovery, use, creation, and management of information that supports research, teaching, and learning.”

Respectfully submitted;

COMMITTEE ON THE LIBRARY AND SCHOLARLY COMMUNICATION

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August 31, 2018

Appendix 1. Communication from Librarian Cowell re Journal Subscription Cancellation

From: **Elizabeth Cowell** mcowell@ucsc.edu
Subject: RE: Library Journal Cancellation Process Updates
Date: June 14, 2018 at 3:25 PM
To: senate@ucsc.edu



Dear Senate Colleagues,

I am writing to both provide an update about the communications the Library has sent to faculty regarding the pending journal cancellation process and to make you aware of what the Library will be doing over the summer to be ready for gathering your input during the September - February journal title review period.

As a reminder, the review process is being rolled out in two stages:

- Stage one: communication about the process and sharing of the title lists - Jan-May 2018.
- Stage two: launching the review process and sharing the title lists with analytics (usage, cost, etc.) - September 2018-February 2019.

Background About the Impetus for the Cancellation Process

As many of you are aware from the [Library Budget Forum](#), communications through COLASC and the Senate Leadership, the historical cost-sharing model used to license and pay for UC systemwide journal packages and databases (e.g.: Wiley, Nature, Springer, JSTOR, etc.) is changing.

- The cost-sharing model will now be based on campus FTE (a three-year rolling average of FTE).
- Previously the model was based on a three-year rolling average of campus collections expenditures.

While the Library and COLASC are taking proactive steps to limit the number of cancellations, the most likely scenario will require the campus to reduce the number of paid subscriptions

Communication About the Process

The Library has taken the following steps to communicate project details to the campus community:

- Beginning in January, Library leadership regularly met with COLASC to discuss the cost model impacts and develop a process for deciding which subscriptions to keep/cancel.
- In March, the Library hosted a [budget forum](#) open to faculty, staff and students.
- In April, and with the input and feedback of COLASC members, the Library launched a [website](#) describing the reasons for the cancellation process and the timeline for the process.
- In April, to further clarify the universe of titles that will be up for keep/cancellation consideration, the Library shared a list of our [local journal subscriptions](#) as well as lists of the [systemwide journal packages](#) and the [databases](#) that we currently subscribe to.
- In May, the Research Support Service Librarians reached out to department heads and department managers to describe the process and timeline. The subject heading for that email was "Library Journal & Database Cancellation Review Website Launched."
- In May, the Research Support Service Librarians reached out to Undergraduate and Graduate Directors (or equivalent) in each department asking them to participate (i.e., make recommendations in September) in a dual role as both a researcher and an instructor. The subject heading for this email was "Library Cancellations from Instructor Perspective."
- In May, the Research Support Services Librarians reached out to the Presidents of the SUA and the GSA, and to lecturers via the contact for the lecturers' union, asking each to share the information about the process with their constituents.
- On-going communication: Project and process updates are routinely communicated to the Chair of the Senate, Chair of COLASC and CP-EVC. The Library looks forward to continuing our partnership with COLASC in this important process.

What the Library Will be Working on Over the Summer

This summer, the Library will be compiling analytics on the journals up for keep/cancellation consideration.

The following analytics were identified jointly with COLASC for guiding this process and will be shared with faculty in September:

- Usage data
- Cost per use
- Availability in Open Access venues
- Availability in the UC Libraries for InterLibrary Loan

What You Can Expect in September

We will officially launch the input process in September. In an effort to ensure that we allow enough time for faculty to consider the lists, we are keeping the title lists open for faculty input from September 2018 through February 2019.

Announcements about the start of the process will be communicated via this list, on the Library website, and directly with department heads and managers.

In the interim, I encourage you to review the [cancellation website](#) and the title lists provided to get a sense of what the timeline is, what the process will be and what titles will be up for review.

Please share your [feedback](#) and send us your questions. We appreciate your support in this process and welcome your suggestions for ensuring that the process is effectively communicated and understood. Please forward this communication to any colleagues you think may not be on this list.

Elizabeth Cowell
Richard L. Press University Librarian
Presidential Chair

Appendix 2. COLASC to Librarian Cowell re Journal Subscription Cancellation and Budget

SANTA CRUZ: OFFICE OF THE ACADEMIC SENATE

May 17, 2018

Elizabeth Cowell, University Librarian
University Library

Re: Follow Up on the Journal Subscription Cancellation

Dear Elizabeth,

The Committee on the Library and Scholarly Communication appreciates the time and care reflected in your March 27 response to our questions on the library budget. After discussing that response, COLASC would appreciate the following additional information and clarifications:

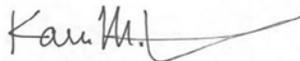
- Our understanding, per John Bono's forum presentation, is that the library's total collection expenditures for 2016-17 were about \$3 million and that, according to your March 27, 2018 letter, the non-CDL portion of those expenditures was around \$1.3 million. We assume that the other \$1.7 million was for CDL expenditures. Is that a correct assumption?
- The non-CDL data in your March 27, 2018 letter accounts for about \$933K in non-CDL expenditures (\$409K for non-CDL serials access, \$197K for eBook access, \$298 for print books, and \$36K for physical media items). Given the \$1.3 million number above, that apparently leaves about \$370K in non-CDL expenditures that the March 27 letter doesn't discuss. What was that \$370K used for?
- According to the library's November 14, 2017 memorandum, "Impending Cancellation of Library Subscriptions," our library is faced with cutting up to \$200K in expenditures over the next three years in response to the changed CDL funding formula (i.e., about 11% of its current CDL expenditures, or about 65% of its total collections expenditures). That memorandum focuses on cuts to its CDL expenditures, but not to potential cuts in other library expenditures.
 - Is the \$200K the total cut to its expenditures that the library anticipates?
 - How much of the mandated cuts does the library anticipate absorbing from its non-CDL collections expenditures? What criteria will it use to make these decisions?
 - Does the library anticipate absorbing any cuts from other parts of its \$8+ million budget? What criteria will it use to make these decisions?
- Would it be possible for COLASC to receive a spreadsheet of the library's current overall budget (or at least the 2016-17 budget), a spreadsheet reflecting expenditures in appropriately detailed categories?
- Do you believe that ARL membership is a realistic middle-term goal for this library? What specific benchmarks do you believe the library would need to meet in order to have a realistic shot at SRL membership? (Following up on your invitation in the March 27 letter, we went to the ARL website but were denied access to *ARL Statistics*, which seems available only to subscribers. Is this library a subscriber? We assume those statistics will offer us relevant data on current ARL members.)

COLASC to Librarian Cowell re Journal Subscription Cancellation
5/17/18
Page 2

- Do you believe the campus's academic deans have been sufficiently supportive of the library's budget? Do you believe they've been sufficiently sensitive to the impact of the library's currently strained resources, and of further cuts, on their faculty, students, and programs? What steps might the library or Academic Senate pursue to garner greater decanal support for the library's budget? Could you please elaborate on the support the Deans are currently providing the University Library?

If you'd like to discuss these matters at a COLASC meeting before responding in writing, we'd welcome that opportunity.

Sincerely,



Karen Ottemann, Chair
Committee on the Library & Scholarly Communication

cc: Associate Librarian Bono

Appendix 3: COLASC to S&E Library Taskforce Chair re Draft Report 5-29-18

SANTA CRUZ: OFFICE OF THE ACADEMIC SENATE

May 29, 2018

Donald Smith, Chair
Science & Engineering Library Space Planning Advisory Taskforce

Re: COLASC Review of S&E Library Space Planning Advisory Task force Report - Draft 5

Dear Don,

The Committee on Library and Scholarly Communication discussed the draft of the Science & Engineering (S&E) Library Space Planning Advisory Task force report at our meeting on May 24. We had the following comments and suggestions on the draft.

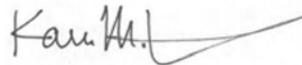
1. It would be great to bring out that the S&E library serves not only STEM students, but students from the entire campus. Ideally, future space utilization analysis should encourage transdivisional collaborations, e.g. Science and Art. Surveying art-based students might reveal different ideas for how they would use S&E space as compared to STEM students. This idea could be addressed by modifying the first paragraph of section II, to say “...*in promoting collaborative learning, student success, and access with a focus in STEM, but to include all students at UCSC*”
2. We overall agreed with the described broader process for assigning space in the S&E library (under Section IV). We particularly echo the desire to balance support of all UCSC students, with targeted groups. We had the following questions/suggestions:
 - a. For the review of new proposals, we think it would make sense to solicit new proposals two quarters before the MOU expires, to give adequate time for review (instead of the proposed one quarter).
 - b. It was not clear which parts of the Academic Senate would solicit proposals, e.g. COLASC? COT? Did the taskforce have ideas?
 - c. There needs to be a clear and better way to reach out to student groups, possibly through SOAR, the SUA and the GSA. It would be great if the report highlighted the need to work hard in this arena.
 - d. For the proposals, it would make sense for the groups to explain whether any modifications are needed in the space, what those modifications would be, and how the group proposes to pay for them.
3. COLASC felt it would make sense to view the space more by function than as assigned to specific groups. For example, there needs to be space that can be utilized for tutoring by small groups (2-5 students), medium sized groups (5-15), and large groups (>15). But does this space need to be assigned to one group? Or should there be space that a variety of groups can sign up for? We hope the taskforce would consider making this part of the broader principles section, by adding the following wording, taken largely from section II guiding principles:

We view an important goal as making library space assignments that promote the success and engagement of as many students as possible. With this goal in mind, we encourage requests for access to space with particular capabilities, e.g. small group study rooms, but with an understanding that the space may be shared by more than one group, possibly with certain groups having priority for sign ups.
4. In Section IV, the proposals for space use, the response to Jaye Padgett’s request for interfaith prayer space was a bit on the harsh side. One challenge with the UCSC libraries is that they are some of the few central gathering places for students, so while it may not seem like the right place

to have a prayer space, it's also not clear what space would be better. We think you should remove the last sentence, which reads "Further, this proposal was not related to STEM in any way" as this could make it seem like particular types of students are not welcome in STEM fields. Instead, you could change the second to the last sentence to "... on the UCSC campus, and did not feel that the S&E library had enough space to spare for this purpose. However, there are on-going discussions about how best to serve this need".

5. Another proposal for space use in Section IV, that was endorsed, relates the Digital Scholarship Incubator. COLASC would like to recommend that, before proceeding with this, that CPB reviews who is the right owner/developer for various services that are at the nexus of IT and information. It would be great to put this idea in the report.
6. It was not clear how much space is available for outside groups, and whether the current requests will use it all. This question is relevant to the response for the interfaith prayer space.
7. In the current request, it was not clear if some of the requests require renovation or modifications, and if so, are the groups prepared to provide this. If not, then they should not be prioritized.
8. The report does not yet list the task force members.
9. The report does not make it clear how the proposals that were reviewed were solicited--can that be added?

Sincerely,



Karen Ottemann, Chair
Committee on the Library & Scholarly Communication

Appendix 4. COLASC Survey

COLASC 2017 Faculty Survey Summary Report

Overview and Top Level Summary

History. In winter 2017, the Committee on the Library & Scholarly Communication (COLASC) conducted a survey of faculty regarding their use of online and print library resources, library services, and library resources for teaching. The survey also collected faculty opinions on the vision for a renovated Science & Engineering library.

Overall Summary. Overall, the main findings were that access to online journals generally seems acceptable but could be better. Over 50% of faculty reporting that they have experienced inability to get an article they needed at some point. However, UCSC faculty are problem solvers and so were able to get access through interlibrary loan (ILL) or other clever methods. Accessing books were more problematic than accessing journal articles, with approximately 72% of faculty reporting that they have needed a book that UCSC did not own or have access to. Again, most people (upwards to 90%) were able to get access through ILL, other online resources, or buying their own copy. Faculty raised good points about the challenges with the various online platforms for reading and reviewing materials, and COLASC suggests these would be good to delve into to see whether particular platforms are better than others. Another issue that became apparent is the challenge provided by the elimination of the book delivery service and drive up book return. Books serve particularly important research functions for faculty from Arts, Social Sciences, and Humanities and there appears to be a substantial burden gaining access to these materials for these faculty. COLASC strongly recommends examining what it would take to reinstitute both a book delivery service and/or a drive-up book return bin. Another service provided by the library is the generation of classroom-directed resource guides. Overall, faculty expressed clear interest in using these guides, with great variation in practice. There were some good ideas to make the guides useful, including to have librarians work in collaboration or consultation with faculty on designing/updating such guides, and to include more information on plagiarism. The format of these guides may be a good area for COLASC outreach to faculty in the future. With regard to the Science and Engineering Library, faculty placed high value on having space that was flexible so it could change as needed, and with current priorities being for quiet individual study, browsable print collections, and a cafe. Faculty expressed concerns about library mission creep to non-library areas, and in providing space to other units. Overall, faculty rated as low priority the use of the library for classrooms, yoga rooms, subscriptions to software, and highly visible learning space. These ideas suggest that examination of the library space inventory and mission might be useful, to ensure that everyone is on the same page. This section also highlighted that faculty want more ways to be engaged in library planning, mentioning possibilities such as focus groups, a designated faculty member from each department, or surveys initiated either by COLASC or the Librarian. This is another area that COLASC should look into.

Design and Responses. The survey was put together by a subcommittee of the 2016-17 COLASC, and administered online from November 2, 2017 to January 2, 2018. There were 361 respondents who answered at least the first question of the COLASC module, including Senate faculty and Unit 18 lecturers (Table 1). This number decreased to 316 by the last question, about the S&E library, but the relative distribution of rank and divisional affiliation stayed about the same. All responses were confidential and reported at the aggregated campus level for divisions.

		n	%
Division	PBSci	82	23%
	SOE	39	11%
	Social Sciences	99	27%
	Humanities	89	25%
	Arts	41	11%
	The Colleges	11	3%
	Total	361	100%
Rank/position	Full professors	172	48%
	Associate professors	62	17%
	Assistant professors	42	12%
	Adjunct professors	9	3%
	Unit 18 Lecturers	61	17%
	Other positions	4	1%

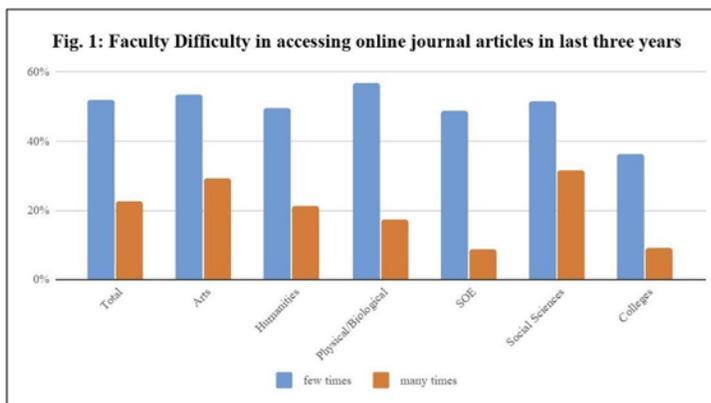
Below we provide a summary of each section, with key takeaway messages for each. The full survey is in Appendix 1.

1. Library Resources

This section of the survey generated comments on five general kinds of interrelated library resources: 1) materials (both physical and on-line), 2) people, and services they provide, 3) space, 4) time, and 5) financial cost to responders. Average frequency and intensity of use of some of these resources, and the value placed on them, varied somewhat from division to division. In a few cases there was apparently no significant variation between divisions.

Access to Online Journal Articles:

Questions in this section attempted to determine how readily faculty have been able to access online journal articles that they need in the last three years (Question 1.1). Most faculty (74%) said they had experienced difficulty, at least a few times, gaining immediate online access to needed journal articles.

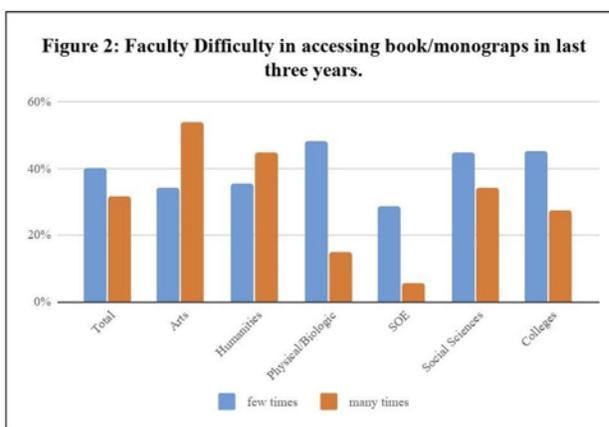


Faculty reported experiencing this challenge either a “few times” or “many times” over the course of the last three years (Fig. 1). Arts and Social Sciences faculty reported experiencing greater-than-average frustration (83% and 84%, respectively). After not being able to access the material, a fair number of respondents (70%) in all divisions apparently decided not to continue seeking access. Others successfully pursued alternative strategies to gain access to most of these articles, including photocopying (esp. in the

Arts and Humanities), ILL requests (except in SOE), searches on other websites including authors' web pages, and contacting the authors. In their written responses, a few faculty/lecturers indicated that they traveled to other libraries to obtain these materials. These additional steps could have a significant effect on faculty time and effort, and may be worth exploring further if there are particular faculty that are heavily affected.

Access to Books: Questions in this section attempted to determine how readily faculty have been able access books that they need in the past three years (Question 1.2). Many faculty in the Arts (54%), Humanities (45%), and Social Sciences (34%) indicated that “many times” UCSC didn’t own a print or electronic version of a book/monograph they needed (Fig. 2). Overall, the majority of faculty (72%) experienced issues accessing books/monographs, either a “few times” or “many times” over the last three years. Many faculty in the Arts, Humanities and Social Sciences rely on print or e-books more than articles.

When faculty needed a book not owned by UCSC in any format, most said they requested the book via ILL, found an online version, purchased their own copy, or asked the UCSC library to purchase a copy. Many (62%) indicated they did not try to obtain a book they sought, although the survey does not indicate whether their decision was rare or more common.



The survey also queried whether Faculty have considered or requested the library to purchase a book (Question 1.3). A large majority of faculty in the Arts, Humanities, and Social Sciences, and a lesser number of PBSci and BSOE faculty said that, in the past three years, they had “considered or requested” the library to purchase a book in print or digital form, although the survey doesn’t indicate the average number or books they so considered or requested. Most apparently followed up on a “consideration” with an actual request. The largest number of responses from who “considered but decided against” requesting a purchase noted as their primary reason that they “needed the book immediately and thought it would take too long”. A smaller number of responses noted uncertainty about the quality or relevance of the book for their own on campus community needs, about the process for making a request, or belief that the purchase would be too expensive. Twenty-five faculty noted uncertainty “that the book would remain in the collection long-term”—perhaps a reaction to last year’s removal of books from the S&E Library.

Faculty indicated that, if they asked the library to purchase a book for them to use in their own research (Question 1.4), they’d prefer a digital copy 52% of the time and a print copy 42% of the time. Preference for digital copies was strongest for PBSci and BSOE faculty, although roughly 50% of the Arts, 43% of the Humanities, and 41% of Social Sciences faculty indicated this preference for at least some of the purchases.

An unusually large number of individual faculty members wrote extensive and sometimes passionate comments that thoughtfully weighed the respective advantages and disadvantages of e-books and print books. Many also commented that digital access was problematic because of the platforms and applications that support the ebooks. Comments included issues with navigation, accessibility on different devices, and general issues of eye strain and fatigue.

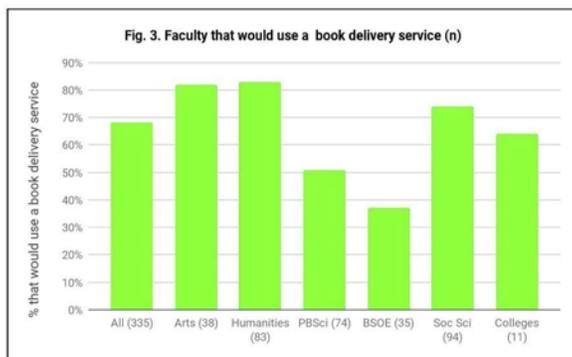
Section 1 Takeaways:

- While most faculty were able to access journals online or in the library collections, over 50% of the faculty have repeatedly experienced frustration in accessing articles related to their research. However, most people were able to get access through ILL, other online resources, or buying their own copy.
- Approximately 72% of faculty reported that they have needed a book that the UCSC did not own or have access to several times (quantified as a few/many) over the last three years. However, most people (upwards to 90%) were able to get access through ILL, other online resources, or buying their own copy.
- The committee noted that although the above issues were resolved, these extra steps cost faculty time and effort that is already stretched thin.
- Many of the faculty have issues with the online ebook resources in terms of the platforms and how useful they are for reading and reviewing materials. This issue might be good to look into, to see if there is a preference for particular platforms or a strong dislike of others.
- There are differences in the way that faculty from different divisions appear to use the library resources. Larger percentages (24% and 43%) of faculty from the PBS and SOE have not accessed online or print books than faculty in the other divisions.

2. Library Services

This section of the survey asked about faculty desire to use particular services, as well as their actual use and visits to particular spaces.

Use of Services. The first question (Question 2.1) asked whether faculty would use specific library services, including book delivery, drive up book return, reference librarians, workshops, extended hours, and checking out of laptops/ipads. The main desires that jumped out were for a book delivery service and a drive-up book return.



A book delivery service known as SlugExpress was eliminated in 2008 and a drive-up book return bin was eliminated during the remodel of McHenry Library. Among the faculty in divisions where books are central to research, there was very strong support for the reintroduction of both of these services. Significant numbers of faculty in every division were in favor of this service, with 37-83% responding

that they would use a book delivery service if it were reintroduced (Fig. 3). About half of these also noted they would also pay a reasonable fee for this service.

There was also strong support for the reintroduction of a book return bin among these faculty, with a stronger desire expressed by faculty in Arts, Humanities and Social Sciences (over 50%) versus 12-17% of faculty in BSOE and PBSci. The qualitative comments reveal the intensity of feelings on both of these issues. Time taken from research going back and forth to the library was mentioned as a concern as was the question of equitable access for faculty with disabilities.

Use of Specific Collections. Questions in this section also asked about use of specific collections , e.g. the special collections/archives, digital collections, electronic theses and dissertations, electronic newspapers, maps, and the video gaming lab (Question 2.3). Far and away, the majority of faculty did not use any of these items. While this result does not suggest these collections are unimportant, it does suggest they are used by small numbers of faculty and/or students.

Visits to specific library locations. Lastly, it asked about actual visits to the library to use the Faculty Instructional Technology Center (FITC), the global village cafe, and the S and E library (Question 2.4). The answers to these questions did not provide much useful information, with some faculty visiting/using and some not.

Section 2 Takeaways.

- COLASC strongly recommends examining what it would take to reinstitute both a book delivery service and a drive-up book return bin.

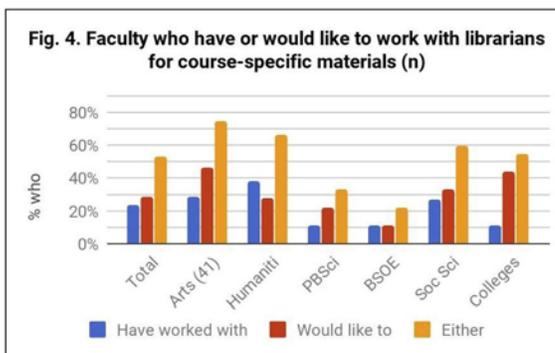
3. Library Course-specific Materials Designed to Aid Teaching

This section focussed on development and utilization of course-specific library materials to aid in teaching. It first questioned faculty about whether they had worked with the library to develop course-specific materials and if so, how useful they were. It then focussed specifically on the utility of online course-specific resources.

Use of Course Specific Guides.

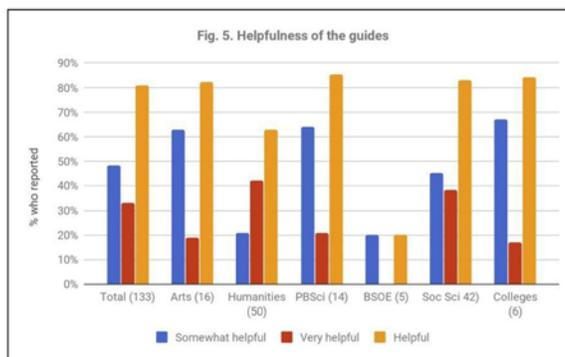
Overall, 24% of the total faculty had worked with librarians to create course-specific materials (resource guides) and another 29% would like to

to, given a bit over 50% who overall are interested in these resources (Question 3.1) (Fig. 4). There was variation between divisions (Fig. 4). Humanities faculty had the highest rate of having working with UCSC Librarians (38%), and Arts faculty were more interested in working with a UCSC librarian than faculty in other divisions (Fig. 4). Very few PBSci faculty (11%) have worked with the librarians but more than one in five (22%) would like to do so in the future. Very few (11%) faculty in SOE have worked with a librarian or plan to work with a librarian.



Pointing students to the guides. Overall, 40% of faculty referred their students to the online disciplinary guides available on the library website (Question 3.2). As above, there is a large variation between divisions in regards to this with only 15-18% of Baskin School of Engineering and PBSci faculty, 39-45% or Soc Sci and Arts , and 64% of Humanities faculty re saying .

Usefulness of the guides. Faculty were asked about how helpful these online resource guides have been for students to learn to use appropriate citation practices (e.g., how to select and evaluate resources, how to cite properly) (Question 3.1a and 3.2a). Of the faculty who have used such disciplinary guides as indicated in Question 3.2, (n=133), the majority (81%) said they were at either somewhat or very helpful (grouped as “helpful” in Fig. 5). Almost no one who have used these guides reported that they were *not helpful*. With the exception of BSOE faculty, faculty in all other divisions found the guides to be helpful. There was some variation on whether they were ranked very helpful, highest for Humanities and lowest for Arts and PBSci. The data also suggest that BSOE faculty do not really use them as only 5 faculty responded that they had, but only ⅓ considered them helpful. This finding likely highlights a need to improve the disciplinary guides in several areas. There were two main suggestions for improvement of online disciplinary guides: (1) having librarians work in collaboration or consultation with faculty on designing/updating such guides, and (2) including more information on plagiarism.



Many faculty worried about not all students using these online resources. They emphasized the importance of having a librarian speak to students in class or during an interactive session at the library in addition to giving students online resource guides, whether course- or discipline-specific. They also suggested giving students an incentive and faculty a way to check whether students have used these resources (i.e., some/more points on assignments).

Section 3 Takeaways:

- There is clear interest in having guides that will help students do research and use the library
- There is variation on how much the current guides are used, ranging from being used by only 15% of faculty in SOE, to 64% of faculty in Humanities.
- Reasons for low use of current differed. In some cases, faculty did not know about the guides, and in some they found them not highly helpful.
- For future guides, faculty suggest to have librarians work in collaboration or consultation with faculty on designing/updating such guides, and to include more information on plagiarism.
- This may be a good area for COLASC outreach, to notify faculty of these guides and promoting their engagement with guide creation.

4. Vision for the Science & Engineering Library

Questions in this section were directed toward understanding what people would like in a renovated S&E Library. Planning and Budget provided a summary of this data to COLASC as well as an official report, but we did not have a chance to look at the actual tabular data unlike for the other sections. The official report can be found [here](#).

The main findings from that report were that respondents hoped for a world class collection of scholarly sources and a library that would promote academic success of undergrad STEM majors. Respondents rated highly the use of space for quiet individual study, for browsable print collections, and for housing a cafe. They overall thought having the space be flexible was an important aspect. They additionally commented on the need for a reference librarian in the S&E Library. There were some differences in how people from the various divisions rated the importance of these, but overall these rose to the top.

Respondents expressed significant concerns about mission creep on the part of the library, e.g. that it is housing and providing resources for ventures that are outside of its mission. E.g. classrooms, yoga rooms, subscriptions to software. COLASC interpreted these results as not indicating these particular things are bad, but instead that given limited resources, investments in non-core areas takes away from core areas. Some areas that were highlighted as NOT being important included space for socializing (outside of the cafe), space that presented highly visible learning, random collision space, space that can be used by other units, access for tools to digital scholarship, e.g. data visualization. There was some disparity by division about the need for collaborative research space, with most respondents not favoring this but members of SOE being for it.

Finally, there emerged a clear desire for a better way than a survey to involve broad faculty in vision/planning. Respondents noted that such involvement needs to be regular, and could be focus groups, a designated faculty member from each department, or surveys initiated either by COLASC or the Librarian. There were numerous comments about the bad decision making process. This will be an action item for COLASC in 2018-19.

Section 4 Takeaways

- Faculty placed high value on having space that was flexible so could change as needed, and would accommodate quiet individual study, browsable print collections, and a cafe.
- In terms of resources, faculty commented on the need for a reference librarian in the S&E Library.
- Faculty expressed concerns about library mission creep and providing space to other units. Overall, faculty rated as low priority the use of the library for classrooms, yoga rooms, subscriptions to software, and highly visible learning space.
- Faculty want more ways to be engaged in library planning. Respondents noted that such involvement needs to be regular, and could be focus groups, a designated faculty member from each department, or surveys initiated either by COLASC or the Librarian.

Appendix 5. COLASC to Senate Chair Request to sign on to OA2020 Expression of interest

SANTA CRUZ: OFFICE OF THE ACADEMIC SENATE

June 1, 2018

Ólöf Einarsdóttir
Chair, Academic Senate

Re: Request to sign onto Open Access 2020 Expression of Interest

Dear Ólöf,

The Committee on Library and Scholarly Communication is interested in having UC Santa Cruz sign on to an initiative that aims to foster open access publishing, the OA2020 initiative. We are writing to request your help in taking this step.

What is OA2020?

OA2020 is an international initiative with the goal of promoting the transition to open access. Their mission is to transform the current publishing system, replacing the subscription business model with an open access one. It aligns well with UCSC's pioneering 2004-05 faculty resolution supporting open access (<https://news.ucsc.edu/2008/02/1970.html>), and the recent statement from UCOLASC of April 25, 2018 entitled "Re: Declaration of Rights and Principles to Transform Scholarly Communication".

Our request: UCSC endorse OA2020

OA2020 contains a road map with specific goals and plans for moving toward the large-scale implementation of free online access to, and largely unrestricted use and re-use of scholarly research articles. The first step on this roadmap is to sign the OA2020 expression of interest, a step already taken by 107 scholarly organizations including most UC campuses: UCLA, UCR, UCM, UCB, UCD, UCSF. (<https://oa2020.org/mission/#eois>).

Signing the OA2020 expression of interest is non-binding, and states that "we express our interest in establishing an international initiative for the OA [open access] transformation of scholarly journals". The document then describes three key aspects. It should be emphasized that while COLASC support signing on to these broad principles, we envision a consultative process across the disciplines as we define the actual steps we will take here at UCSC. There will certainly be field specific variations that will need to be considered. e.g. in fields that are image-based. Additionally, while open access approaches will contain costs, they are not free, and thus there will still be difficult decisions. The three aspects that the OA2020 document lays out are:

1. We aim to transform a majority of today's scholarly journals from subscription to OA publishing in accordance with community-specific publication preferences. At the same time, we continue to support new and improved forms of OA publishing.
2. We will pursue this transformation process by converting resources currently spent on journal subscriptions into funds to support sustainable OA business models. Accordingly, we intend to reorganize the underlying cash flows, to establish transparency with regard to costs and potential savings, and to adopt mechanisms to avoid undue publication barriers.
3. We invite all parties involved in scholarly publishing, in particular universities, research institutions, funders, libraries, and publishers to collaborate on a swift and efficient transition for the benefit of scholarship and society at large.

It is important to note that our Librarians are fully in favor of OA2020, and of implementing open access policies. Indeed, the UC Librarians released a report called [Pathways to OA](#), which basically describes

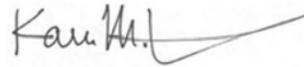
that the UC Libraries are committed to “transforming scholarly communication into a system that is economically sustainable and ensures the widest possible access to the scholarly record.... (which) necessitates transitioning away from subscription-based publishing models, and repurposing our investments into sustainable open access (OA) funding models”.

There are numerous reports documenting that the current subscription model for academic publishing is not working. Indeed, rising costs just this year are forcing the Library Administration to cut journal subscriptions yet again. All while academic publishers reap substantial profits.

As to next steps, we think that this request could be brought to the Senate Executive Committee (SEC) for the initial consultation early Fall quarter 2018. There are several options after that, which include either sending directly to the CP/EVC for signing or to the Senate committees and/or Senate at-large for review and endorsement, prior to presenting to the CP/EVC. While all UC Campuses have culminated in CP/EVC endorsement, they took different routes to get there. For example, UCM went with an all senate committee route: it had three committees (COLASC, COR and GC) and the SEC review. UCLA had a combination of senate committees and Senate at-large: The COLASC Chair presented the initiative to the SEC and a Council of Department Chairs, and then it was made available to the Senate at-large for comments. UCSC COLASC favors a route that involves broad senate consultation.

After signing, as described above, we envision that COLASC will consult with UCOLASC and work with our Librarians to develop any next steps.

Sincerely,



Karen Ottemann (*S*) & Jennifer Horne (*F&W*), Chair
Committee on the Library & Scholarly Communication

cc: Director Mednick

Appendix 6. UCPB letter re Declaration of Rights and Principles to transform scholarly communication

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SANTA BARBARA • SANTA CRUZ

UNIVERSITY COMMITTEE ON PLANNING AND BUDGET (UCPB)
Joshua Schimel, Chair
josh.schimel@lifesci.ucsb.edu

Assembly of the Academic Senate
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200
Phone: (510) 987-9466
Fax: (510) 763-0309

May 14, 2018

**SHANE WHITE, CHAIR
ACADEMIC COUNCIL**

RE: Declaration of Rights and Principles to Transform Scholarly Communication

Dear Shane,

UCPB consulted with UCOLASC Chair Rich Schneider at its May 8 meeting to discuss UCOLASC's "Declaration of Rights and Principles to Transform Scholarly Communication." There were 10 members present when the Committee voted on whether to formally endorse the Declaration. The vote split 5/5/0 for Yes/Abstain/No. Hence, UCPB is unable to formally endorse the Declaration.

UCPB members were essentially unanimous in philosophical support of continuing the move toward open access, and in support of most of the individual principles. However, UCPB's purview is primarily money: we are planning and budget. Those members who abstained did so because they felt that they did not have adequate information about how implementation of the Principles would influence overall costs to the University or how a shift from a subscription-based model to an author-pays model for funding academic publishing might influence individual students, postdocs, and faculty in terms of their ability to publish freely in the important journals for their fields, and also to access all relevant journals in their fields during the transition period.

Because UC produces a disproportionate fraction of academic articles overall, unless the cost-per-article were to decline, it is likely that the overall cost of supporting UC's scholarly output would actually increase under this model—potentially even double—at least in the short-term. We share UCOLASC's desire to create a more affordable and sustainable model for scholarly communication and to position UC as a force to reduce the cost to the University and its scholarly community of contributing and accessing journal articles; however, even if we were able to reduce commercial profits, that would not appear to provide a cost-neutral solution. In fact, our concern would shift to the potentially greater cost to individual scholars submitting their papers for publication. How, therefore would the costs be distributed across UC? Given a finite University library budget, would there end up being some kind of "rationing" of University-supported author-pays submissions? Half of UCPB members felt that these questions loomed large enough, and that given UCPB's specific purview they did not feel comfortable officially endorsing the Principles without more information about how those issues might actually be resolved.

Thank you for the opportunity to comment.

Sincerely,

A handwritten signature in cursive script, appearing to read "Josh Schimel", is displayed within a light gray rectangular background.

Joshua Schimel, Chair
UCPB

Encl.

cc: UCPB
UCOLASC Chair Schneider
Executive Director Baxter

Appendix 7. COLASC to Senate Chair Re: Proposed Presidential Policy on Open Access for Theses & Dissertations

SANTA CRUZ: OFFICE OF THE ACADEMIC SENATE

March 8, 2018

Ólöf Einarsdóttir, Chair
Academic Senate

Re: Proposed Presidential Policy on Open Access for Theses & Dissertations

Dear Ólöf,

The Committee on the Library and Scholarly Communication (COLASC) has reviewed the draft UC Open Access for Theses and Dissertations Policy to provide systemwide consistency for graduate students' theses and dissertations.

The committee agrees in general with the systemwide policy, noting that in certain humanities and arts fields especially, graduate students will need to be fully informed about the embargo timeframe. In such instances, we would ask that students depositing work in California Digital Library be encouraged to discuss the submission practice and the embargo period with their faculty advisors at the time of submission to California Digital Library.

The COLASC recommends, in general, any policy which would give the work of UC graduate students a more widely accessible platform than the subscription-based UMI, which prevents work from being read by scholars whose institutions cannot afford the services and by those in regions where impoverishment generally prohibits access to the work of UC graduate students. In protecting the interests of emerging academic professionals we should be careful not to also protect the interests of publishers who seek to control the publication scope of authors by means of prohibitive pricing, limited publication runs, and contracts that do not allow authors to retain rights.

Sincerely,



Jennifer Horne, Chair
Committee on the Library & Scholarly Communication

cc: Senate Committee Chairs

Appendix 8: COLASC to University Librarian re Request for the University Library's Space Utilization Information

SANTA CRUZ: OFFICE OF THE ACADEMIC SENATE

June 1, 2018

Elizabeth Cowell, University Librarian
Chancellor's Office

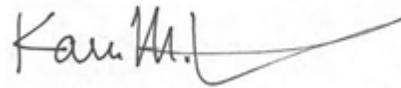
Re: Request for the University Library's Space Utilization Information

Dear Elizabeth,

The Committee on Library and Scholarly Communication would like to better understand the usage of space in the University Libraries as the role of the Library is changing to better serve our undergraduate, graduate and faculty populations, and some of those populations are likely to grow in the coming years. The committee requests the following, before the start of Fall quarter 2018 so the committee can review at the beginning of the academic year.

- 1) A listing of the assigned square footage in each UCSC library, please provide available building plans or drawings.
- 2) A description of what space is currently being used by the library, and what space is shared under MOUs with different units.
- 3) For the space used by the library, what categories is it assigned to. For example, collections of the various types, NRLF storage, private study space, open study space, offices, other uses (name), etc). We recognize that we may not know all the categories the library uses, so welcome your input if we missed any key categories.
- 4) For the space used by other units, we would like to know what the units are, and a description of the MOU in order to understand under what conditions the space would revert to the library.
- 5) Is there currently a formal process for space request? If so, what is it and does it differ between library spaces?

Sincerely,



Karen Ottemann, Chair
Committee on the Library & Scholarly Communication

cc: Director Mednick

Appendix 9: Science and Engineering Library Space Planning Advisory Task Force Report June 4th, 2018

I. Charge and Process

The Science & Engineering Library (S&E Library) Space Planning Advisory Task Force was established by CP/EVC Tromp and UL Cowell in fall 2017 to propose use options for space in the S&E Library, including interim to longer-term renovations of the library, that advance collaborative teaching, student success and access in STEM. The **Task Force charge** states that the general purpose and objectives of the Task Force are as follows:

- Articulate a set of guiding principles to optimize space use in the S&E Library, given the campus's interest in promoting collaborative teaching, student success and access in STEM.
- Ensure that the principles developed are attentive to the needs of the increasingly diverse pool of UC Santa Cruz students enrolled in STEM.
- Assess and rank requests for space (both interim and long range), with priority given to those proposals that advance STEM education and student success, with careful consideration paid to the budgetary implications of each proposal.
- Make recommendations for the partial renovation of the upper level, which will be supported by a \$5 million donor gift.

Process

The Task Force toured the existing S&E Library facility, and met approximately twice a month between November 2017 – April 2018. The Task Force considered current best practices for science and engineering instruction and library facilities, reviewed the 2014 draft S&E Library renovation study Concept Package, the S&E Library Business Case Analysis (dated January, 2017), and the December 11, 2017 letter to UL Cowell from CPSM P&B (Director Smith) and PPDO BAS (AVC Ferdolage) regarding partial renovation of the S&E Library lower level with a \$5 Million budget, among other things.

The Task Force conducted (or sought) interviews and focus groups with deans, faculty, students, and student support groups engaged with STEM, including student support groups targeting under-represented, first-generation, and at-risk undergraduate students. SOE Dean Alex Wolf, PBSci Acting Dean Dave Belanger, Vice Provost for Student Success Jaye Padgett, Tracy Larrabee (faculty, Computer Engineering), and Lydia Zendejas (Director, MESA Engineering Program) attended a Task Force meeting for consultation. Additional faculty, STEM diversity program, and student perspectives were provided by the nine ladder faculty, two STEM diversity program directors, and two student Task Force members. Efforts to engage and consult with representatives of campus student organizations (Bioengineering Club, Information Systems Management Association (ISMA), Security Santa Cruz (SSC), Women in Science and Engineering WiSE) by the Task Force Chair were unsuccessful in bringing group representatives to a Task Force meeting for consultation.

Graduate and undergraduate student Task Force members, with Task Force members' input, constructed and administered graduate and undergraduate student surveys of S&E Library student use and needs. In addition, the Task Force reviewed the draft report on faculty's vision for the S&E Library, which presented results of the UCSC faculty survey conducted in Fall 2017 by IRAPS on behalf of the Senate Committee on the Library and Scholarly Communication (COLASC).

II. Task Force Guiding Principles and Recommendations

The Task Force developed Guiding Principles to optimize space use in the S&E Library, given the campus's interest in promoting collaborative learning, student success, and access with a focus in STEM, but to include all students at UCSC. These are:

- Library space should support faculty and students by providing scholarly resources, space, staffing, and technologies to enhance research, discovery, and the formation of academic community.
- Library space should promote student success and engagement, particularly for undergraduate and graduate STEM students, while accommodating the needs of a diverse pool of students, including low income, underrepresented, and first generation students.
- Library space design should create a welcoming and inclusive environment that promotes equitable use of library space, resources, and programming to accommodate a diversity of user needs, consistent with universal design principles¹.
- Library space should be designed with inherent flexibility to accommodate a diversity of user needs and technologies that may change over time.

III. Student and faculty surveys of S&E Library space use

The undergraduate, graduate, and faculty S&E Library survey results were reviewed by the Task Force, and used to inform Task Force recommendations for S&E Library space allocation and the partial renovation of the upper level. The results are briefly summarized below, and are summarized more completely in the Appendix [note that there was some concern among Task Force members about the low response rate for the undergraduate (328 responses) and graduate (159 responses) surveys, and the limited response from student groups to directly engage the Task Force]. The COLASC faculty survey is available directly from COLASC, while the complete student surveys are available via the links in the Appendix.

In summary, both undergraduate and graduate students ranked a Café, quiet study cubicles, and reservable group study rooms as their most or second most favored outcome of library space renovation; undergraduate students, but less so graduate students, also ranked favorably communal study space. Greater access to print collections ranked somewhat favorably by graduate students, but much less so by undergraduates.

¹ The Center for Universal Design (1997). The Principles of Universal Design, Version 2.0. Raleigh, NC: North Carolina State University. Available from: https://projects.ncsu.edu/design/cud/about_ud/udprinciplestext.htm

In the COLASC faculty survey responses to whether a renovated S&E Library should provide space for particular uses, the top responses (i.e., rating as must have/essential) favored providing additional space for quiet, individual study (36%), open a café (similar to the one in McHenry) (30%), create spaces that can easily and flexibly transition to meet future needs (30%), allocate additional space for browsable physical print collections (compared to the current allocation) (28%), and provide space for project-based, collaborative, interactive learning (28%) (percent averages computed from PBSci & SOE faculty data in Table 2 of the survey). It is noteworthy that in all use categories listed above, the majority of faculty respondents rated the listed uses as *not needed* or *do not know* (i.e., 64% - 72% combined).

IV. Proposals for space use in the S&E Library

The Task Force received seven written proposals from the academic divisions, student success programs and others for space use in the S&E Library to enhance student success and meet program needs. The Task Force's Guiding Principles were applied to the review of proposals. The proposals are summarized below, followed by Task Force recommendations. These recommendations do not constitute formal space allocations. The CP/EVC and University Librarian should take these recommendations under careful consideration, in conjunction with the Strategic Academic Plan currently in development, to provide authorization for utilization of library space to the recommended programs [the complete proposals are provided via links in the Appendix]. In addition, the Task Force provides recommendations for the solicitation, review, and management of S&E Library space use proposals in the future.

Proposals and Recommendations

- Proposal from the Baskin School of Engineering, MESA Engineering Program (MEP) for ~2640 asf of space on the lower floor (former 'Map Room') to house student tutoring (~1980 asf), professional societies (~200 asf), student staff space (~200 asf), and MEP program staff space (~260 asf) on a pilot basis for a period of 3 years. MEP provides sustained academic support for underrepresented minorities (most of them first generation students) and women majoring in engineering programs.

Recommendation: The Task Force supports this request and recommends that the SOE MEP program be allocated ~2640 asf in the 'map room' space on the lower level of the S&E Library for a period of 3 years, with the possibility of renewal of the space use agreement.

- Proposal to house the HSI-STEM SEMILLA Scholars collaborative HUB from the HSI Initiative, with addendum. The requested space includes the suite of cubicle space and one office located directly behind the Active Learning Classroom on the main level of the S&E Library. Space would be used to house one STEM counselor (in the office) to provide on-site advising adjacent to the academic support and tutoring-focused area located in the cubicle suite. The presence of the STEM advising counselor will complement the academic support delivered in the cubicle suite and make the space a comprehensive resource for students. The proposers envision utilizing the counseling office space to rotate in services and faculty to offer

drop-in services by the DRC, Slug Support and others, including faculty and teaching assistants in the higher failure rate STEM foundation courses. The proposers envision the space as a launching pad for students and a connection point to resources to increase STEM equity and reduce STEM attrition; activities will outreach and target Latinx and low income/EOP students, but will not be exclusive space.

Recommendation: The Task Force supports this request and recommends that HSI Initiative program be allocated ~1,200 asf in the requested space on the main level of the S&E Library for a period of 3 years, with the possibility of renewal of the space use agreement.

- Proposal for office space for Research Development Staff, Division of Physical and Biological Sciences in partnership with the Office of Research, to enhance research development capabilities by hiring and housing three research development staff to work in the areas of physical, biomedical, and environmental sciences in general, and to help write large proposals to support STEM student success awards (IMSD, MARC, PREP), etc.

Recommendation: The Task Force does not support or recommend this proposal, since it would not directly serve or meet the needs of STEM students and faculty.

- Proposal from Task Force member Kiyomi Kaneshiro (titled *Proposal for a Virtual Reality set-up in the S&E library*) for ~35 asf of shared space use in the Video Game Lab (S&E Library main level) to set up a virtual reality lab in the S&E Library.

Recommendation: The Task Force supports the request but recommended that the proposer contact reference librarian Christy Caldwell to arrange shared use of the space, since the proposed use of the existing Video Game Lab space falls outside the immediate charge of the Task Force.

- Proposal from Task Force member George Brown (titled *The S&E Print Collection: A Modest Proposal*) to distribute the relict print collection in the S&E Library among all 59 stacks on the lower floor, in a manner that for browsing convenience, keeps the lowest and uppermost sub-shelves of each 30-foot shelf empty; the 59 shelves could all be moved to the upper level, kept on the lower level, or distributed between the upper and lower level.

Recommendation: While issues related to the S&E Library print collection are outside of the Task Force's charge, the Task Force discussed the costs and benefits with distributing the current print collection from the current ~34 stacks to 59 stacks (i.e., partially filling the currently empty ~24 stacks), and the redistribution stacks on the lower and upper floors. The Task Force did not support, and does not recommend, redistribution of the print collection to occupy currently empty stacks, or the redistribution of the print collection to the upper floor.

- Proposal for dedicated permanent space for Interfaith Prayer/Meditation, submitted by Jaye Padgett, Vice Provost, Division of Student Success. The proposal is seeking permanent interfaith prayer and meditation space in the S&E Library to accommodate 10 to 20 individuals. The requested space would support contemplative time and meet the religious practice needs of the Muslim community at UCSC; space use needs would require access from sunrise to sunset daily, preferably even on weekends.

Recommendation: The Task Force recognizes and is sensitive to the need for dedicated prayer/meditation space on the UCSC campus, but does not feel that there is space in the S&E Library for this purpose. Hopefully, the on-going campus discussions about how best to serve this need will identify an appropriate solution.

- Proposal communicated by Task Force member Greg Careaga to establish Digital Scholarship Incubator (DSI) space on the lower floor of the S&E Library. The proposed DSI space builds on the success of the Digital Scholarship Commons (DSC in McHenry) and, in particular, the newly opened Visualization Lab (VizLab). Converting the old map room (~2640 asf) on the lower level of the S&E Library into an incubation hub focused on innovation and open experimentation would extend the model of the DSC into the S&E Library. In particular, this space would expand the ability to create, manipulate, and share 3D files and invite students to participate in the entire lifecycle of 3D and 360 content. By adding 3D scanning and 3D printing to the DSC list of services, the library staff would create a holistic pipeline of 3D data analysis that includes input (3D scanning and 360 video), digital output (VR, 360 video, and 3D models), and physical output (3D printing).

Recommendation: The Task Force was enthusiastic about the potential benefits of establishing DSI space in the S&E Library, as well as the positive role such a facility would play in the future of a technology-driven library facility. The Task Force recommends that before proceeding with this proposal that the Academic Senate (e.g., CPB) reviews who is the right owner/developer for various services that are at the nexus of IT and information. The Task Force also recommends that if pursued, the DSI facility be placed on the east side of the main level of the S&E Library, rather than in the requested lower level map room space. The Task Force felt that locating the DSI facility on the main (second) level with the Active Learning Classroom would more effectively highlight the technological draw of the facility around a broader theme of active and experiential learning and creation. Moreover, a proposal from the SOE MEP program for use of the map room space is recommended by the Task Force as a higher priority use of that space compared to the DSI proposal. Some comments were raised in the discussion about the number and discipline of students that would be served by the DSI facility, and the Task Force suggests that the proposers include in the proposal moving forward comprehensive information on student use of the similar facility in McHenry Library; this would address questions on the number of students across STEM disciplines that the facility would serve.

V. Broader process for assigning space in the S&E Library, soliciting proposals in the future, timeframe of space assignment, etc.

More broadly regarding the allocation of S&E Library space to specific, potentially exclusive, student support programs, the Task Force recommends that:

1. Allocation of S&E Library space to outside programs should not restrict near or longer term renovation of the S&E Library.

2. Allocation of S&E Library space to student support programs that exclusively serve targeted segments of the STEM student population should be balanced by library space use and programming that equitably serves the broader STEM student population.
3. Moving forward, the S&E Library administration in collaboration with the Office of Student Success, Graduate Division, and the Academic Senate should broadly solicit proposals for space use in the S&E Library; a program currently occupying S&E Library space can reapply for space allocation. Proposals should be solicited approximately two academic quarters prior to the expiration of existing S&E Library space use agreements. Proposal guidelines and evaluation criteria should be collaboratively developed by the University Library administration, Office of Student Success, Graduate Division, and the Academic Senate; proposals should address whether any modifications are needed in the space, what those modifications would be, and how the proposers plan to pay for them.
4. A written memorandum of understanding (MOU) be established between the program and library administration that makes clear the following:
 - The specific space allocation, expected and allowed uses of the space, tenant responsibilities for maintaining clean and safe spaces, and tenant access limitations relative to library operating hours.
 - Space allocation is not permanent. Space should be allocated for a 3 year period (or less), after which the space use will be evaluated for effectiveness in serving STEM students and promoting student success specific to the program, and STEM students more broadly.
 - The program be required to collect data on students served and student success emanating directly from the program's activities within the S&E Library space, and those data summarized and made available to the S&E Library administration and the Academic Senate for review in subsequent proposals to renew space allocations, if requested.

Finally, the Task Force views an important goal as making library space assignments that promote the success and engagement of as many students as possible. With this in mind, it may be that rather than allocate space to particular programs, space allocation in the S&E Library should emphasize allocations based on space use for particular functions (e.g., student tutoring, advising, small group study rooms, etc.) that may be shared by more than one program, possibly with certain programs having priority for use of the space.

VI. Recommendations on the partial renovation of the S&E Library upper floor

As noted above, the Task Force reviewed the 2014 draft S&E Library renovation study Concept Package, the S&E Library Business Case Analysis, and the letter to UL Cowell from CPSM P&B (Director Smith) and PPDO BAS (AVC Ferdolage) regarding partial renovation of the S&E Library upper level with a \$5 Million budget. These materials, along with the Task Force Guiding Principles and the student and faculty survey results, informed our recommendations below.

The Task Force supports the partial renovations of the upper level as proposed in Director Smith's and AVC Ferdolage's December 11, 2017 letter to University Librarian Cowell, with the understanding that the proposed partial renovations are within the budgetary scope of the \$5 Million gift. Those partial renovations include new seating, tables and carrels, new electrical raceways, outlets, and wiring to provide each student with electrical power, new carpet, acoustical

paneling, painting throughout, and modifications to HVAC ductwork and installation of additional HVAC units to improve ventilation.

The Task Force recommends that these improvements be guided by the general space use plan proposed by the Task Force, as shown in the charrette exercise figure in the Appendix, which was developed to provide a mix of quiet, group, and lounge seating study and workspace separated by visual display and acoustic sound-dampening installations to enhance the visual and acoustic setting; examples of visual displays could be installations of science and engineering-themed art, historic print materials, etc. Under the proposed space use plan, the partial renovation should strive to serve students with a diverse set of user needs by separating quiet from active space use, considering foot traffic patterns, providing electricity and WiFi to each student, and maintaining flexibility for multi-use configurations in some areas (e.g., in the proposed group study area shown in the southeast corner; see design charrette exercise figure in the Appendix, red card). Use of natural lighting, augmented by installed lighting should be optimized for the different space use needs. Furniture, lighting, and installation of visual displays should strive to create a space that is accommodating, inviting, and in the case of visual displays, also educational and stimulating.

The recommended renovation and space use plan would increase the seating capacity on the upper level by ~100 people over current capacity. The current upper level seating capacity is 368 people, and the occupant load based on current means of egress is 401 people. Our proposed plan would accommodate ~450 students, excluding the existing enclosed group study rooms, depending on exact space use and configuration of the open flexible use space. Note that, based on the number of exits, the maximum occupant load for the floor is 500 people.

The Task Force also considered reconfiguring space use on the lower level of the S&E Library in order to more optimally serve students and faculty. Given current resource limitations for lower level renovations, the Task Force recommends that the lower level of the S&E Library be modestly reconfigured to better support a mix of quiet study (with assorted cubicles along the northern margin of the floor) and collaborative group/active learning uses (with group study tables in the southern region of the floor), along with housing of the S&E Library print collection (see charrette exercise figure in the Appendix). Space in the ‘map room’ should be allocated to the SOE MEP program (a STEM diversity and student support group) for student advising and tutoring. The Task Force also recommends use of acoustic barriers between the quiet study area and the group tables/active learning area, as well as between group study tables to reduce distractions and noise interference between group tables and group vs quiet learning spaces. One possibility is to rearrange the existing print collection stacks to help create visual and acoustic barriers among and around the group/active learning tables. Currently there are ~29 filled print collection stacks, including ~4 stacks holding the East Asian Collection, and ~23 empty print collection stacks. Empty print collection stacks should be removed to provide space for the group and active learning tables. The Task Force also recommends that the East Asian Collection be relocated to a site outside of the S&E Library to generate additional space for student use.

The reconfiguring of lower level space should strive to optimize electricity availability, lighting, and WiFi in the group and quiet study areas. This lower level space use plan takes into account a diverse set of user-needs by separating quiet from active space use, and it considers foot traffic patterns, including the increased foot traffic to the SOE MEP student tutoring and advising

program that we recommend should occupy the map room space. Future renovation of the lower level should also include installation of compact shelving for print collections to generate additional space efficiency for student use and to provide space for expansion of the print collection if needed.

The recommended reconfiguration and space use plan for the lower level would increase the seating capacity by ~80 people over what currently exists, excluding the SOE MEP program use of the former map room and existing enclosed group study rooms. The current lower level seating count is 255 people, and the occupant load based on current functions is 386 people. Our proposed plan would accommodate ~335 occupants (excluding the SOE MEP program use of the former Map Room and existing enclosed group study rooms). Note that the maximum occupant load based on the number of exits is 1000 people.

VII. Beyond the Task Force's partial renovation recommendations

The Task Force sees exciting potential in a fully renovated S&E Library facility, some elements of which are proposed in the 2014 draft renovation Concept Package. Based on the student and faculty surveys reviewed by the Task Force, there was clear support among undergraduates, graduates, and faculty for a renovated S&E Library offering a café and a mix of individual and group study space to better support individual, collaborative, and interactive learning. We recognize that reconfiguration of the lower level and partial renovation of the upper level, as recommended here, are only the first steps in this effort.

Given the central role the S&E Library will play in serving a diverse set of student and faculty user needs and supporting excellence in teaching and research in STEM fields at UCSC, the Task Force recommends that prior to capital planning and renovations beyond use of the \$5 Million gift, the campus administration and Academic Senate perform aggressive outreach to engage the campus community. Undergraduate and graduate students could be engaged through SOAR, SUA, GSA and other student groups for input on renovation planning. Input via student, faculty, and broader campus community forums should be incorporated into the work of the appointed Building Committee and Executive Architect and associated staff on the design development for a comprehensive renovation project. Finally, the Task Force recommends that this report be integrated into the Library's 10-year capital plan.

Science and Engineering Library Space Planning Advisory Task Force Members

Donald Smith, Task Force Chair, Professor, Microbiology & Environmental Toxicology
Department

Greg Careaga, Head of Assessment and Planning, University Library

Nancy N. Chen, Professor, Anthropology Department

Keith Corzine, Professor, Electrical Engineering Department

Grant Hartzog, Professor, Molecular, Cell & Developmental Biology Department

Ted Holman, Professor, Chemistry and Biochemistry Department

Jennifer Horne, Professor, Film & Digital Media Department

Minghui Hu, Professor, History Department

Zia Isola, Director of the Genomics Institute Office of Diversity

Kiyomi Kaneshiro, Graduate Student Representative

David Lee, Professor, Technology and Information Management Department

Kelsey McDaid, Undergraduate Student Representative

Yuli Ortega, Director of STEM Diversity Programs

Advisors to the Task Force:

Sloan Campi, Educational Facilities Planner, Office of Capital Planning and Space Management

Andrea Hilderman, Associate Architect, Physical Planning, Development and Operations

APPENDICES

Appendix 1: Summary of Science & Engineering Library use survey findings

- 1.1 Undergraduate survey
- 1.2 Graduate survey
- 1.3 COLASC/IRAPS faculty survey

Appendix 2: Proposals for space use in the S&E Library

- 21 Proposal from the Baskin School of Engineering, MESA Engineering Program (MEP).
- 22 Proposal to house the HSI-STEM SEMILLA Scholars collaborative HUB from the HSI Initiative, with addendum.
- 23 Proposal for office space for Research Development Staff, Division of Physical and Biological Sciences in partnership with the Office of Research.
- 24 Proposal from Task Force member Kiyomi Kaneshiro (titled *Proposal for a Virtual Reality set-up in the S&E library*).
- 25 Proposal from Task Force member George Brown (titled *The S&E Print Collection: A Modest Proposal*).
- 26 Proposal for dedicated permanent space for Interfaith Prayer/Meditation, submitted by Jaye Padgett, Vice Provost, Division of Student Success.
- 27 Proposal communicated by Task Force member Greg Careaga to establish Digital Scholarship Incubator (DSI) space on the lower floor of the S&E Library.

Appendix 3: Design charrette exercise, S&E Library 1st and 3rd floor layouts

- 3.1 Lower level
- 3.2 Upper level

Appendix 1. Summary of Science & Engineering Library use survey findings (with links to full survey results).

1.1 Undergraduate survey (organized by Task Force undergraduate student member Kelsey McDaid), conducted Winter quarter 2018.

328 responses, with evidence that some participants responded more than once.

- 19% 1st yr., 30% 2nd, 27% 3rd yr., and ~23% 4th and 5th yr. students
- 66% Physical and Biological Sciences Division, 25% School of Engineering, with remainder from Social Sciences and Humanities Divisions

How often students use the S & E library

- 80% use S&E Library daily or weekly, 14% monthly

Questions regarding types of use of library space (response options 1 (least) to 5 (most); Favored = percent responding 4 or 5, not favored = percent responding 1 or 2):

- 69% favored using S&E Library space for Café, 18% did not
- 67% favored space for silent study room, 13% did not
- 71% favored space for quiet (not necessarily silent) study with cubicles, 14% did not
- 67% favored space for communal study tables, 12% did not
- 68% favored space for reservable group study rooms, 14% did not
- 33% favored space for larger rooms for workshops, etc., 38% did not
- 43% favored space for pop-ups (tutoring, MESA, STARS, STEM diversity), 29% did not
- 52% favored space for multi-use for integrated student support unit housing STEM, ACE, LSS, ACE, EOP, STARS, etc., 22% did not
- 49% favored space to expand access to print collections, 24% did not, 27% neutral

Undergraduate student ranking of renovations in S & E Library:

Most favored:

- Café (35%)
- Quiet study cubicles (22%)
- Communal study (20%)
- Reservable group study rooms (11%)
- Greater access to print collections (~3%)

2nd most favored:

- Quiet study cubicles (27%)
- Reservable group study rooms (24%)
- Café (19%)
- Communal study (18%)
- Greater access to print collections (~2%)

3rd most favored:

- Reservable group study rooms (21%)
- Communal study (20%)
- Quiet study cubicles (20%)

- Café (15%)
- Greater access to print collections (~6%)

Some common comments:

- More power/outlets
- Whiteboards
- Reliable WiFi
- More books

12 Graduate survey (organized by Task Force graduate student member Kivomi Kaneshiro), conducted Winter quarter, 2018.

159 responses

- 29% 1st yr. graduate, 36% 2nd yr., ~18% 3rd and 4th yr., remainder 5th+ yr. graduate
- 73% PhD, 27% M.S.
- 53% Physical and Biological Sciences Division, 45% School of Engineering, with remainder from Social Sciences Division

How often students use the S & E library

- 37% use SEL daily or weekly, 28% monthly, 30% almost never

Questions regarding types of use of library space (response options 1 (least) to 5 (most); Favored = percent responding 4 or 5, not favored = percent responding 1 or 2):

- 61% favored using S&E Library space for Café, 23% did not
- 57% favored space for silent study room, 13% did not
- 67% favored space for quiet (not silent) study with cubicles, 10% did not
- 35% favored space for communal study tables, 29% did not, 36% neutral
- 60% favored space for reservable group study rooms, 16% did not
- 34% favored space for larger rooms for workshops, etc., 36% did not, 30% neutral
- 23% favored space for pop-ups (tutoring, MESA, STARS, STEM diversity) 35% did not, 42% neutral
- 21% favored space for multi-use for integrated student support unit housing STEM, ACE, LSS, ACE, EOP, STARS, etc., 36% did not, and 43% neutral
- 50% favored space for expanded access to print collections, 20% did not, 30% neutral

Graduate student ranking of renovations in S & E Library:

Most favored:

- Café (36%)
- Quiet study cubicles (26%)
- Greater access to print collections (16%)
- Reservable group study rooms (13%)
- Communal study (~5%)

2nd most favored:

- Quiet study cubicles (26%)

- Café (20%)
- Reservable group study rooms (18%)
- Communal study (13%)
- Greater access to print collections (10%)
- Space for workshops (10%)

3rd most favored:

- Reservable group study rooms (29%)
- Quiet study cubicles (14%)
- Communal study (14%)
- Café (12%)
- Space for workshops (10%)
- Greater access to print collections (7%)

Comments:

- More power/outlets
- Books
- Whiteboards
- Graduate study lounge
- Reliable WiFi
- Extended hours

13 COLASC/IRAPS faculty survey, conducted Fall 2017

Top responses (rating as must have/essential; % avg. computed from PBSci & SOE faculty data in Table 2 of survey). Note: In all use categories listed below, the majority of respondents rated the listed uses as *not needed* or *do not know* (i.e., 64% - 72% combined).

- Provide additional space for quiet, individual study (36%)
- Open a café (similar to the one in McHenry) (30%)
- Create spaces that can easily and flexibly transition to meet future needs (30%)
- Allocate additional space for browsable physical print collections (compared to the current allocation) (28%)
- Provide space for project-based, collaborative, interactive learning (28%)

Key Findings (as summarized in survey):

- >40% of PBSci/Humanities/Arts/Social Sciences faculty (combined) and 29% of SOE faculty thought additional space for quiet, individual study was essential
- ~40% of faculty in four divisions and 18% of SOE faculty thought additional space for browsable physical print collections (compared to the present allocation) was essential
- ~30% of faculty across all divisions rated it essential to create spaces that can easily and flexibly transition to meet future needs
- The highest (most essential, 37%) goal for SOE faculty was to open a café at the SEL

- The highest (most essential, 51%) goal for faculty in the Humanities/Arts/Social Sciences was to provide reference librarians to assist w/ research techniques/methods
- ~73 -74% of faculty rated the top (must have/good to have) two goals/mission of SEL:
 - preserve and curate a world class collection of scholarly sources and
 - promote the academic success of undergraduate STEM students
- Additional two goals were less favored (44-45% of faculty rated as must/good to have):
 - Facilitate learning and exploration in ways that are highly visible to other patrons of the library
 - Create “collision space” where innovation and discovery can happen
- 88% of faculty said that it would be good or essential to have avenues for broader faculty involvement in visioning and/or consulting, via:
 - Direct and regular input (e.g., via an annual survey, focus group) should be provided to University Librarian and to COLASC (72-76%)
 - Designating a faculty member in each department as a library liaison (62% of supportive responses)

Appendix 2: Proposals for space use in the S&E Library.

- 2.1 [Proposal from the Baskin School of Engineering, MESA Engineering Program \(MEP\)](#)
- 2.2 [Proposal to house the HSI-STEM SEMILLA Scholars collaborative HUB from the HSI Initiative](#)
- 2.2.1 [Associated addendum to proposal in response to Task Force proposal review comments](#)
- 2.3 [Proposal for office space for Research Development Staff, Division of Physical and Biological Sciences in partnership with the Office of Research](#)
- 2.4 [Proposal from Task Force member Kivomi Kaneshiro \(titled *Proposal for a Virtual Reality set-up in the S&E library*\)](#)
- 2.5 [Proposal from Task Force member George Brown \(titled *The S&E Print Collection: A Modest Proposal*\)](#)
- 2.6 [Proposal for dedicated permanent space for Interfaith Prayer/Meditation, submitted by Jave Padgett, Vice Provost, Division of Student Success](#)
- 2.7 [Proposal communicated by Task Force member Greg Careaga to establish Digital Scholarship Incubator \(DSI\) space on the lower floor of the S&E Library](#)

Appendix 3: Design charrette exercise, with Task Force recommendations of space use in current lower level and partially renovated upper level.

3.1 [Lower level](#)

3.2 [Upper level](#)