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Office of the Chair
Telephone: (510) 987-0711
Fax: (510) 763-0309
Email: George.Blumenthal@ucop.edu

Assembly of the Academic Senate, Academic Council
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

February 3, 2005

M.R.C. GREENWOOD
PROVOST AND SENIOR VICE PRESIDENT – ACADEMIC AFFAIRS

Re: **Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California**

Dear M.R.C.,

The Academic Senate has carried out a general review of the report *Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California,* which was developed by the University Librarians on behalf of the Systemwide Library and Scholarly Information Advisory Committee (SLASIAC). Comments were received from seven of the Academic Council's standing committees (CCGA, ITTP, UCFW, UCEP, UCOL, UCORP, and UCPB) and from the Berkeley, Irvine, Los Angeles, San Diego, Santa Barbara, and Santa Cruz Divisional Senates. All respondents commend the document as a thorough and accurate evaluation of the current challenges facing the UC library system and as an orientation to future planning needs. Most of the reviewing bodies also concur with the general planning vision outlined as the report's "strategic directions," but have articulated a number of recommendations, which I have itemized in summary form below, that are meant to augment the report's usefulness as a planning tool.

Need for concrete proposals/details/measures for success.
This area was an almost universal concern among the Senate reviewers. The report's biggest strength was seen as its accurate assessment of the current difficulties facing the library system; however, the recommendations for meeting the problems were found to be too abstract and programmatic to be useful. The report lacks needed specificity and concrete proposals for meeting stated goals. Specific methods, timetables and measures of performance should be included. (For example, how will improved access be measured? Or, what is the timetable for the development of a detailed planning and evaluation framework?) The report should also offer a clear sense of what the main questions are for each planning direction and its relative importance; the various strategic directions should be assigned priorities.

Online research tools and publication.
- The report's plans for mining the WWW and for online scholarly publication are too broad; copyright and technology transfer efforts must be coordinated with other university entities (UCPB).
- Plans need to address the challenge of accessing "deep web" sources (UCFW).
- Persistent access is recognized in the report as a key concern, but there is a critical need for specific action that that will effectively work toward preserving digital documents (UCFW). Does addressing this issue at the systemwide level represent the best use of scarce resources (UCLA)?
- Plans for advances in Internet research tools need greater specificity (ITTP).
- A discussion is needed of how open access publications get reviewed (UCORP).

Administration and oversight
- An oversight body should be identified, along with its make up and organization, so that it is clear who is responsible for orchestrating "ongoing planning" (UCORP).
- Despite the budgetary and programmatic difficulties of central administration that are cited in the report's cover letter, there is a need for "strong central enforcement" (UCFW), and "the challenge to specifically integrate operations must be addressed" because UC libraries can only move forward as a whole through "thorough integration of collections and operations"(UCOL).
- Plans should indicate how much individual campuses differ from each other and whether individualized needs or campus budgetary authority may be an obstacle to the further development of shared collections, facilities and services (UCORP).
- Plans should indicate how authority will devolve on the campuses, the Senate's role in the process, and the kind of professional expertise that will be needed in the future (UCSB).
- One central body should collect and organize data for preservation of "at-risk digital information," but the central data set should be stored at several different sites around the state. Paper archival copies should also be in multiple locations (UCOL).

Shared collections / sharable collections
- Both the Berkeley and San Diego Divisions expressed strong concern that the plans for shared collections may mean a loss of campus authority and ownership. Berkeley advises that a distinction be made between "shared" material (material that is 'owned' by the UC system), and material that is "sharable," i.e., material owned by discrete campus libraries, but freely loaned out to other campuses, and that this distinction should extend into expectations for contributions to the CDL and to governance of the regional library facilities (UCB). (The UCB Committee on Library adopted a declaration, appended to the UCB response, on retaining ownership of and the right of governance over items in its collection that are shared.) The report also needs to clarify what "shared services" are and how they would be shared (UCSD).
- Collaboration with institutions outside of UC should be considered and included as part of long-range planning (ITTP, UCFW).
- Planning efforts should address, more thoroughly than in the present document, the issues of software interoperability, diverse user interface requirements, and heterogeneous hardware supporting each campus library system, which "present a significant barrier to the vision of resource sharing and economies of scale as the report envisions" (ITTP).
- A specific plan for standardizing the catalog entry process should be indicated (UCOL).

- A formal agreement should be established as the basis for shared collections, along with a cataloging plan that looks to a possible future in which materials do not have to have a home library (UCOL, UCSB).

Relations with commercial publishing
- Planning needs to be more direct in addressing the problem of journal costs (UCPB, UCORP).
- UC should establish itself as a major publisher of journals to effectively compete against commercial publishers, which is possible because of UC's size and faculty resources (UCOL).
- Asymmetries in the costs of periodicals across disciplines should be noted and the potential for a disproportionate impact on the arts and social sciences be addressed (UCPB).
- In a pro-active move to gain more independence from commercial publishers, the libraries should consider collaborative editing – done jointly by librarian to create new forms of scholarly communication that would fall somewhere in between the eScholarship Repository and published/online journals.

Funding.
- The current decentralized model for library funding, in which Chancellors have significant discretion for allocation of funds, poses a serious structural obstacle to goals for cooperation and maximizing access (UCSC).
- Plans must address the need for both stabilized funding and funding augmentation that will be necessary to the realization of the report's vision and stated goals (UCPB, UCLA).
- Funding should be secured from both the campuses and the Office of the President "that will allow UC's libraries to maintain their high level of service and develop the proposed strategies for increased efficiencies in the future" (UCEP).
- UC should respond to increasing requirements by federal and state funding agencies for archiving research results (UCORP).
- The outcome of planning should be campus-neutral – not advantaging libraries of size or of a particular history, and maintain an appropriate balance between centralized and campus financial support (UCPB).

Role of the Faculty/Senate
- The key leadership role in changing faculty culture with regard to scholarly communication must be taken by the faculty, not the libraries; libraries shall "provide the infrastructure for changes the faculty chose to impose" (UCOL).
- Exactly how will faculty input be sought? The report should offer a vision for the future of the libraries that incorporates comments collected from those who rely on the libraries for their research and scholarship (UCLA).
- The report does not give sufficient attention to activities of the Senate and the grassroots efforts of the faculty in confronting problems such as with publishing companies. The active participation of faculty is necessary for success of any long-range planning (UCOL, UCSB).
- Faculty should be directly involved with evolving search mechanisms/features for the digital archives, and search enhancements should mimic the capabilities of manual browsing (UCI).

Print collections
- Stronger language is needed to indicate the ongoing importance of print collections (UCOL) and to clarify that traditional publishing not be disadvantaged (UCPB).

- The report does not address the budgetary and staff issues relating to how UC libraries will maintain their excellence and access to the increasing volume of print publications, which are becoming ever more various and internationalized (UCLA).

Please see the attached individual responses for greater detail. The Academic Senate, and indeed all UC faculty, have a deep interest in ensuring the future excellence of the university library system. I hope these comments will serve to help move the planning process the next stage and pave the way for that future.

Best regards,

George Blumenthal, Chair
Academic Council

Encl: 13

Copy: Academic Council

GB/bf

COORDINATING COMMITTEE ON GRADUATE AFFAIRS (CCGA)
Quentin Williams, Chair
qwilliams@es.ucsc.edu

The Academic Council
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200
Phone: (510) 987-9467
Fax: (510) 763-0309

December 2, 2004

GEORGE BLUMENTHAL, CHAIR
ACADEMIC COUNCIL

RE: Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California

Dear George,

CCGA has reviewed the report, *Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California.* The committee finds the report to be very well thought-out and thorough. As libraries are an integral part of graduate education, research, and scholarship, CCGA stands solidly behind both this document and the directions contained therein. We would particularly like to praise the authors for laying out a good plan to optimize the limited available space within UC libraries. We offer no substantive complaints and support this document in its current form.

Respectfully submitted,

Quentin Williams
Chair, CCGA

cc: CCGA
       Executive Director Bertero-Barcelo

**UNIVERSITY COMMITTEE ON INFORMATION TECHNOLOGY
AND TELECOMMUNICATIONS POLICY (ITTP)**
Alfonso Cardenas, Chair
cardenas@cs.ucla.edu

December 3, 2004

**GEORGE BLUMENTHAL, CHAIR
ACADEMIC COUNCIL**

Re: **Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California, April 2004**

Dear Chair Blumenthal:

The University Committee on Information Technology and Telecommunications Policy (ITTP) has reviewed the report, *Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California* (April 2004). We found this to be a valuable report, resulting from much reflection and thinking about the University of California Libraries' current situation and long-range future. Our committee commends the efforts of SLASIAC, the University Librarians and the UCOP Office of Systemwide Library Planning in conceiving this report. Based on the comments provided by ITTP members, our committee offers the following observations and recommendations:

- The future of UC's libraries should be considered, not only within the context of the University system, but also in the context of other major university libraries. Systemwide library collaboration has been critical to UC's ability to provide extensive informational resources and successfully negotiate with publishers and other providers. Expanding these collaborative efforts beyond the UC system to consortia of other university libraries has the potential to bring about even greater leveraging abilities and economies of scope and scale.

- The Internet's ability to eventually facilitate the identification of reliable and reputable references should not be underestimated. There are already technological efforts aimed at providing Internet users with the ability to better distinguish credible sources (e.g., the recent beta launch of "Google Scholar"). As these efforts advance, the Internet could be used to generate reliable sources comparable to libraries, and therefore the current difference in credibility between the Internet and libraries with regards to this role will diminish.

- The issue of software interoperability, diverse user interface requirements, and heterogeneous hardware supporting each campus library system should be addressed more. The unique local technical architectures of each campus library system create a considerable barrier for greater interdependence among libraries, resource sharing and economies of scale. An integration framework and technological standards for campus library systems should be established as part of the Libraries' vision of the future.

Sincerely,

Alfonso Cardenas, Chair
ITTP

cc: Maria Bertero-Barcelo, Executive Director, Academic Senate
        ITTP Members

kp

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UNIVERSITY COMMITTEE ON EDUCATIONAL POLICY
JOSEPH KISKIS, CHAIR
kiskis@physics.ucdavis.edu

Department of Physics
433 Physics/Geology
University of California
Davis, California 95616
Phone: (530) 752-7752

December 8, 2004

GEORGE BLUMENTHAL, CHAIR
ACADEMIC COUNCIL

Re: Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California

Dear George,

At its December 6, 2004 meeting, UCEP reviewed the report of the Library and Scholarly Information Advisory Committee: "*Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California.*" The committee strongly endorsed the report, which was comprehensive and well written. UC's libraries are exemplary models of systemwide collaboration and efficiency. They are impressive in their ability to work within budgetary constraints, and provide excellent value on the investments made in them. UCEP supports funding both by the campuses and the Office of the President necessary to allow UC's libraries to maintain their high level of service as well as to develop the strategies they have proposed for increasing efficiencies.

Sincerely,

Joe Kiskis
Chair, UCEP

JK/ml

cc: UCEP members
        Executive Director Bertero-Barceló

December 3, 2004

GEORGE BLUMENTHAL
Chair, Academic Council

RE: Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California

Dear Chair Blumenthal,

The University Committee on Library (UCOL) has reviewed the report entitled *Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California.* We appreciate the time and effort spent by SLASIAC, the University Librarians and the UCOP Office of Systemwide Library Planning in generating this report. Its content is valuable and comprehensive in its coverage of the future of the UC libraries. Based on the reviews I solicited from the members of UCOL, We offer the following observations and recommendations:

1. The report does not give sufficient attention to the active participation of the Systemwide and divisional Academic Senate committees, as well as grassroots individual faculty activity (as in the struggle with Reed Elsevier), whose active participation is ultimately required for the success of any long range planning and success of the libraries.

2. The committee respectfully disagrees with the report's recommendation that the libraries will develop and implement a program to provide leadership in the comprehensive alteration of the scholarly communication process. It is our opinion that this recommendation is contrary to what has occurred in the past two years. It is the faculty who must take the lead in changing faculty culture on scholarly publication in order for the effort to succeed. The library's role should be to provide the necessary infrastructure for the changes that the faculty choose to impose.

3. We are concerned with the report's statement that, "While systemwide leadership and investment remain critical for library development, the scope and complexity of the mutual operations of the UC libraries have grown beyond the capacity of any existing or reasonably foreseeable Universitywide programmatic or budgetary provision." At the strategic level, the only way UC libraries will forge ahead and support the university as a whole is through very thorough integration of collections and operations. We recognize the grave nature of the budget and the difficulties involved in such an endeavor, however the challenge to specifically integrate operations must be addressed.

4. At the core of the report are three laudable goals: (1) to integrate the resources of the libraries, (2) to capture and organize newly emerging digital data, and (3) to retake the process of disseminating intellectual material from profit-based publishers. These are excellent and well-explored goals, however we would prefer to see stronger language indicating the undiminished importance of print collections, and the inclusion of

concrete proposals for actions to achieve these goals. Therefore UCOL would like to offer four recommendations:

- First, the catalog entry process should be standardized for all new material, with existing materials later brought inline with this protocol. We recognize this is a truly massive job, but shared resources will best succeed when they involve the same summary database.

- Second, for the integration of resources to be a reality, there must be a clear agreement that one university system has one library. It thus must be further agreed that all materials "are as one" in the system, and may be loaned freely and without restriction throughout the system. With adequate cataloging it is even possible that materials need no longer have a particular home library and that over time, some resources would gradually migrate around the system, tracking research and educational initiatives. These would truly be shared resources.

- Third, in the long term, we believe that the university should establish itself as a major publisher of journals. As the world's largest and most diverse university, and with its own press, the university can establish editorial boards for new journals in almost any field and staff the editorial boards with world leaders. By targeting areas where commercial publishers have reaped excessive profits, we could literally "beat them at their own game." This is the only way to win in a profit-driven market.

- Our last suggestion builds on an existing concrete suggestion in the proposal. We find worrisome the concept of a central preservation of "at-risk digital information." Disasters happen, and single, central collections offer no protection in redundancy. We would suggest that one central body be responsible for collecting and organizing such data, but that the dataset should be stored at multiple sites, preferably throughout the state. Further, as journals move towards digital circulation, we also need to ensure that paper archival copies survive in multiple systemwide locations.

Respectfully yours,

Abdelmonem A. Afifi
Chair, UCOL

cc: UCOL
       Executive Director Bertero-Barcelo

UNIVERSITY OF CALIFORNIA

UNIVERSITY COMMITTEE ON FACULTY WELFARE (UCFW)   Assembly of the Academic Senate
John Oakley, Chair   1111 Franklin Street, 12th Floor
jboakley@ucdavis.edu   Oakland, CA 94607-5200
          Phone: (510) 987-0155

          December 3, 2004

GEORGE BLUMENTHAL, CHAIR
ACADEMIC COUNCIL

Re: UCFW's Comments on "Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California"

Dear George:

At its November 15, 2004 meeting, the University Committee on Faculty Welfare (UCFW) reviewed the document "Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California" and had the following comments.

- The five key strategic directions set out in the plan are appropriate to today's university, although the difficulties of achieving progress in these areas should be stressed.

- While the introductory and background sections generally do a good job of providing context for the discussion in the "Strategic Directions" section, UCFW sees weaknesses in four specific areas:

  1) The strategic advances of 1977 and 1997 would not have been achieved without forceful leadership from Systemwide. Even though attitudes have evolved, each University Librarian is still hired, rewarded, even fired by her/his campus chancellor and subjected primarily to local campus pressures. It therefore seems unrealistic to assume that UC can achieve a unified system without strong central enforcement.

  2) Digital scholarly resources are mainly in the "deep web." Over the past century, librarians refined tools for bibliographic access to published print materials and commercial internet engineers produced Google and Yahoo to search the surface web; however, there is not yet the infrastructure for getting at the deep web, meaning resources that may have a homepage but the substance requires using their database and search engine. For example, the required information may reside in a database and useful output is dynamically created in response to a specific query via a vendor-specific search process. These deep web resources may be housed in other universities, non-for-profit institutions, or public sector cultural institutions. It is often the case that they are provided by for-profit entities such as Lexis-Nexis. The document does not adequately acknowledge the difficulty of accessing these resources. The tools, standards, and best practices are not yet available.

  3) The problem of persistent access to digital information, although acknowledged and given priority status, is addressed mainly by way of exhortation. Faculty scholarship published in conventional print media is accessible for centuries. The technological lifespan of digital media is measured in years or at most decades. Faculty welfare is imperiled unless effective action is taken, very soon, to preserve digitally published scholarship by means likely to be accessible for hundreds of years. In the short run, the archiving of printed copies of digital files should be systematically encouraged and facilitated.

  4) This is an inward-looking document. Why nothing of collaboration with Stanford, CSU, Michigan, the Big 10, etc.? These institutions have the same problems--the more considered, the greater the economies of scale.

Thank you for giving UCFW the opportunity to comment on this important document.

          Cordially,
          /s/
          John Oakley, UCFW Chair

UNIVERSITY COMMITTEE ON RESEARCH POLICY (UCORP)
Max Neiman, Chair

December 3, 2004

George Blumenthal, Chair
Academic Council

Re: Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California

Dear George,

UCORP has reviewed the report *Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California*, which was prepared by the University of California University Librarians and the Office of Systemwide Library Planning and issued from the Office of the Provost. UCORP applauds this effort to respond to the critical need for library planning that addresses the evolving and growing demands for library services and agrees with the general directions the report identifies as leading to a detailed framework for shared collections, services and facilities among the UC campuses, and to improvements in digital information infrastructure that will enable more effective management, retrieval and use for faculty research and teaching purposes, as well as for consultation.

As its title indicates, the report offers strategic "directions" rather than detailed strategy. Nonetheless, UCORP sees as the report's central shortcoming the lack of specificity with respect to how directions are to be turned into implementation plans and how progress is to be evaluated.
The committee recognizes the difficulty in mapping out specific implementation plans, given that the terrain of the digital library era is still evolving and that budgetary issues remain to be worked out, but feels that some concrete, quantified actions and greater specificity could be developed in these areas:

Goals and Measures of Accomplishment
The report lacks specificity with respect to methods, timetables, and measures of performance. While it is clear that library users have more access to many more of the holdings throughout the system, examples of that progress should be spelled out in more detail. If digital collections are more accessible, what does that actually mean in numerical terms with regard to increased access? How many more items are now accessible to a library user that were not available before the latest improvements? How much more progress in that regard is anticipated?

Objectives and Means: particular areas needing greater detail and prioritization
The report offers a host of general objectives, but very few specifics regarding measurable objectives and identifiable, operational methods that will achieve those objectives.

- For example, page12 includes a description of recommended actions, but there is no statement of when these actions are to occur and no indication of measurable mileposts to indicate success. The recommended actions include the development of a detailed planning and evaluation framework, but no indication of when such a framework is to be produced which includes the elements a-d mentioned in this section. Subsequent sections have similar ambiguities.

- It would be helpful to have some priorities assigned to the various strategic directions. For example, taking as a given that the library is increasingly going to be based on digital formats, it is essential that preservation issues be resolved; this is the thrust of recommendations in section 4.4.1. There is not, however, a sense that this is more (or less) urgent than the other strategic areas. Moreover, digital preservation issues are a topic of hot discussion among archivists; technology is evolving more rapidly

than our experience with it.   A planning document such as this report should, we suggest, offer a better sense of what the main questions are and their relative importance.

- Under the head of Scholarly Communication (section 4.5), the main focus appears to be on developing mechanisms for the open flow of information that are more economic and more compatible with digital storage and access while still preserving intellectual property protections. The question of how open access publications get reviewed is not discussed, despite its relevance to academic review.

- The report indicates that a central challenge to the library is to balance the benefits of a centralized systemwide infrastructure against the individualized priorities and needs of each campus. This begs a key question: how much do the campuses differ from each other with regard to individualized priorities and needs? Are the individualized needs so different that centralization is severely constrained? This issue needs to be addressed head on. The issue has budgetary implications as well, for, as noted on page10, most of the library budget is controlled by the campuses at present.

Oversight of Planning
- Is there some kind of committee or body that is or will be responsible for orchestrating or managing this "ongoing planning?" A clear picture of overall planning organization and governance should be included in a report such as this one, which could be an existing chart or figure that provides an observable sense of how the UC library system is organized for coordination and planning. The names of the various bodies that have been involved in "planning" are provided in the letter to former Academic Council Chair Larry Pitts (July 30, 2004), but it would be helpful to know what entity or organization is now charged with bringing to life the objectives and recommended actions of this report, along with a description of what that entity looks like.
- Changes in systems of communication and data management are occurring too rapidly for any organization to rely on a rigid planning template, so we understand the need for not over-committing to things that might require sudden revising or disbanding.   Flexibility is essential. It is assumed that the "ongoing planning" activities will address the state of flux that characterizes the world of libraries, but it would also be useful to know how that ongoing planning is taking place and which body or entity is specifically charged with doing that planning.

Additional Issues
- The rising cost of journal subscriptions has been a significant concern in recent years, and the report (or subsequent planning documents) should include some reference to working among the UC campuses and perhaps with other schools to address this matter.
- Another issue not well considered are the increasing requirements by federal and state funding agencies for archiving of research results. Although, at one level, it is the responsibility of individuals to meet this requirement, it seems likely the some institutional response will be needed if true archiving is to be achieved. Examples of such efforts include the Distributed Active Archive Centers operated by NASA. NIH's recent effort to assemble publications is a related activity.

Again, UCORP commends the intentions of this report in that it invites a major re-thinking of the UC library system task, responsibilities and activities, while preserving its excellence and reputation in our age of information explosion and restricted financial and personnel support. We appreciate this opportunity for commenting on the strategic planning process for the university libraries and hope the above observations will help the library system build on the considerable progress already made.

Respectfully submitted,
/s/
Max Neiman, Chair
UCORP

UNIVERSITY COMMITTEE ON PLANNING AND BUDGET (UCPB)
Michael Parrish, Chair
mparrish@ucsd.edu

November 12, 2004

GEORGE BLUMENTHAL
Chair, Academic Council

RE: Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California

Dear George,

UCPB has reviewed the report entitled *Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California.* We find the report to be thorough and thoughtful, informed by a deep understanding of the UC libraries' history and of the challenges facing them in a period of rapid change. We concur with the authors' description of the five key strategic directions and with the general shape of their recommendations. We offer the following additional comments and recommendations:

1. The plan states that it was developed with comprehensive consultation with all campus libraries and major units of the library system. We were pleased to hear this, and assume its result will be that the outcome of the plan will be campus-neutral, that is, that it will not advantage libraries of a particular size, history, configuration, or constituency over another. We hope that OP implements the recommendations for the appropriate balance between centralized and campus financial support

2. This strategic plan remains largely conceptual. The document offers little description of implementation procedures. The actual outcome of the plan will be decided by the large number of choices that will be made as it is put into practice. We suggest that this process be reviewed by the Senate on a regular basis.

3. The plan repeatedly stresses the cost savings that resulted from consolidation and aspects of digitalization. We commend the library system leadership and staff for their efforts to adapt to protracted budgetary constraints, and admire the ingenuity this required. At the same time, we do not see how the library can maintain its pivotal role in supporting the university's central mission of the creation and dissemination of knowledge unless it receives stabilized funding. Given the ambitions of the various projects, it is likely that they will require significant funding augmentations. Members felt that clarity about the stabilized and preferably augmented funding requirements will be important to the projects' success.

4. We note that the plan makes no mention of asymmetries in the costs of periodicals across the disciplines. At the extremes, one journal subscription can cost 100 times more than another. We recommend that the implications of these cost differentials for collections be addressed directly, and that their possible negative impact on research in the humanities and social sciences be considered.

5. The committee strongly supported the efforts of the libraries to free scholarly publishing from exorbitant costs imposed by some commercial publishers. Several noted that these distribution costs are now threatening the basic mission open publication of the knowledge that its personnel create, and felt that the plan should if anything be more direct in its goal to rectify this situation.

6. The scope of the report is very wide, including, as its title notes, a program for "scholarly information" that includes a copyright program and innovative forms of review and dissemination. We felt that parts of this mission may be too broad, particularly in mining and/or preserving large parts of the World Wide Web and in scholarly publication. While the committee wholly supports the libraries' desires to support complex and interconnected forms of scholarly dissemination, we also believe that these projects should comply with the following general principles: that they not disadvantage traditional scholarly publishing, which would greatly benefit from an infusion of resources; and that they be coordinated with other university entities working on the same issues (for example, local offices of technology licensing that are reforming their copyright policies).

Respectfully yours,

Michael E. Parrish
Chair, UCPB

cc: UCPB
        Executive Director Bertero-Barcelo

January 4, 2005

GEORGE BLUMENTHAL
CHAIR, ACADEMIC SENATE

Subject: Systemwide strategic directions for libraries and scholarly information at the University of California

In its December 13, 2004 meeting, the Divisional Council (DIVCO) of the Berkeley Division considered the document cited above and the comments of the Committee on Academic Planning and Resource Allocation (CAPRA) and the Committee on the Library. I am appending CAPRA's comments in their entirety as they summarize the key points discussed in Divisional Council.

DIVCO made two additional recommendations to address collection management and coordination issues identified in the document:

1) The other UC campuses might consider devoting resources to digitizing materials in the Berkeley library for use on their campuses.
2) The regional library facilities should consider more flexible policies with respect to storing duplicate materials from the campuses.

Finally, I would like to emphasize that Berkeley's Library is fully committed to enhancing the overall library strength of the System. However, we are very concerned that 'shared' material (material 'owned', as it were, by the System), not be conflated with 'sharable' material (material 'owned' by discrete campus libraries, but freely loaned to others in the System as needed). We strongly believe that both 'shared' and 'sharable' material have a role in an excellent Systemwide library concept and that the distinction should be maintained. In line with this conviction, I am also appending a resolution adopted unanimously by the Committee on the Library at its meeting in March 5, 2004, attended by the University Librarian.

Sincerely,

Robert C. Knapp
Chair, Berkeley Division of the Academic Senate

Cc: Maria Bertero-Barcelo, Executive Director
        Calvin Moore, Chair, CAPRA
        Elaine Tennant, Chair, LIBR

Encl: CAPRA comments: "Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California"

        Declaration adopted unanimously by the Academic Senate Committee on the Library at its meeting on March 5, 2004, attended by the University Librarian

December 1, 2004

PROFESSOR ROBERT KNAPP
Chair, Berkeley Division of the Academic Senate

RE: CAPRA comments: "Systemwide Strategic Directions for Libraries and Scholarly
Information at the University of California"

We offer three comments:

1. We warmly endorse the goal to maintain and further strengthen the individuality of the campus libraries, and to maximize the efficiency and buying power of the UC libraries by exploring various cooperative and jointly funded measures.

2. We have reservations concerning the recommendations involving shared collections. "Shared collections" in the strategic plan is a term of art that refers to collaboratively purchased materials. It does not refer to the great number of items that are part of the unique collections of the individual campuses and that are regularly shared throughout the UC system via interlibrary loan. For lack of a better term, these latter 'shared' materials, which have been purchased from individual campus funds or given as gifts to individual campuses, can be called "sharable" materials. Berkeley loans the greatest number of "sharable" items in the UC system. It is also a major participant in the purchase of shared materials. While Berkeley contributes significantly to shared purchases, it contributes a smaller percentage of its annual collections budget to this activity than do some of the campuses. The plan notes that in 2002-03, most of the funding (77%) for the Shared Digital Collection was contributed voluntarily from the individual campus collections budgets (10). The CDL continues to grow without a budget commensurate with the level of its collecting.

UCB is likely to come under increasing pressure to contribute a greater percentage of its collections budget to supporting the CDL and other shared collecting. Berkeley will want to continue to determine the level of its contribution to shared collections rather than being taxed a percentage of its collections budget. If and when Berkeley is urged to contribute a higher percentage of its collections funds to the CDL, UCB may want to take a closer look at the collecting practices of the CDL. At present, for example, the CDL collects very little foreign language material. If Berkeley is asked to contribute more heavily to the CDL, it may be that the CDL collecting practices should look more like UCB's.

3. We have reservations about some of the suggestions concerning the governance of the RLF. In the context of competition for space in the RLF, an issue has emerged that is of great significance for Berkeley and UCLA. Some University Librarians from other campuses have proposed to redefine the nature of the materials that individual campuses have on deposit in the RLF. They are suggesting that "sharable" materials belonging to individual campuses be reclassified as "shared collections" (that is, treated as if they had been purchased with joint funds and belonged to the systemwide collection rather than the campus collections).

This is a position that Berkeley opposes strongly and should continue to oppose strongly. In order to be able to protect the integrity of the Berkeley collections and the research interests of the Berkeley community, Berkeley will need to continue to be heard on issues concerning the "governance of the shared regional library facilities." It is not clear what the strategic plan intends by "consolidate the governance." This is a matter, however, that the Berkeley campus must "watch with interest."

Thank you for this opportunity to comment.

                                            Calvin C. Moore, Chair
                                            CAPRA

DECLARATION adopted unanimously by the Academic Senate Committee on the Library at its meeting on March 5, 2004, attended by the University Librarian.

Whereas, UC Berkeley has over 9 million volumes in its library collection; and

Whereas, over 3.5 million items, or 40% of the collection, have been deposited into Regional Library Facilities* (RLFs); and

Whereas, the UC Berkeley Library fully supports the loan of its general collections from an RLF or on-campus location to other UC campus faculty, students and staff; and

Whereas, The UC Berkeley Library's commitment to loaning collection materials is demonstrated by over 20,339 items loaned to other UC campus patrons (Berkeley loans 65% more than it borrows from other UCs); and

Whereas, Berkeley has pledged not to discard volumes in an RLF that are the last resources for other campuses; and

Whereas, over 55% of the Berkeley Library's material budget comes from donors and special campus discretionary funds, and materials purchased for the general collection from these funds are available for loan to other UC campus patrons; and

Whereas, more than 50% of the UC Berkeley Library humanities and social science collection are deposited in the RLFs; and

Whereas, the Berkeley materials deposited in the RLF are an integral part of the collection, as demonstrated by over 45,000 items circulated to the Berkeley community; and

Whereas, The UC Berkeley Library must retain the right to indefinitely return to the campus collection items it has deposited in the RLFs in support of new academic directions; and

Whereas, local governance of UC Berkeley materials in its collection, regardless of location, is required to ensure these collections are best configured to support local academic programs; now, therefore, be it

DECLARED, That the UC Berkeley Library must retain ownership and local governance over the items of its collection located at Regional Library Facilities, including the right to return those items to campus; and

 That the UC Berkeley Library participate in shared retrospective print collections but not give up ownership or local governance.

_____
* Regional Library Facilities are cooperative library storage facilities owned and operated by the University of California for infrequently used library materials.

Office of the Academic Senate
2300 Berkeley Place South
Irvine, CA 92697-1325
(949) 824-2215 FAX

January 14, 2005

George Blumenthal, Chair

Academic Council
c/o Executive Director María Bertero-Barceló
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200

**RE: UC Irvine Comments on Report, "Systemwide Strategic Directions for
Libraries and Scholarly Information at the University of California"**

The Irvine Council on Research, Computing and Library Resources reviewed the report from the
Systemwide Library and Scholarly Information Advisory Committee (SLASIAC), found the
range of issues covered appropriate, and endorsed the report's recommendations. The Council
and Division urge the Libraries and relevant committees to continue to involve faculty in the
implementation of the recommendations, particularly as searching features are further developed
for the digital archives. Enhancements that mimic capabilities of manual browsing in library
stacks would aid researchers in many disciplines.

I hope Irvine's comments will prove useful in the Academic Council's discussions of this report.

Joseph F.C. DiMento, Chair
Irvine Division, Academic Senate

VIA EMAIL

January 14, 2005

Academic Council Chair George Blumenthal
1111 Franklin St., 12th Floor
University of California
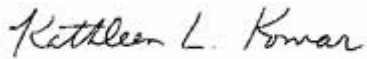Oakland, CA   94607-5200

Dear Chair Blumenthal;

The UCLA Academic Senate Standing Committee on Library and the Council on Research have reviewed the report on *Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California* dated July 30, 2004 that was forwarded by the Academic Council. We appreciate the work involved in generating such a report. Comments by both committees are attached.

The Council on Research has made suggestions on what they would like to see included in the report, such as, "exactly how faculty input will be sought...and a vision for the future of our libraries…"

The Committee on Library "recognizes the vital importance of developing infrastructures that can assure persistent access to digital materials, some committee members wondered whether seeking to address this issue at the UC level would represent the best use of scarce resources."

We thank you for the opportunity to comment and hope that the attached letters will be useful.

Sincerely,

Kathleen L. Komar, Chair
UCLA Academic Senate

Attachments: Donka Minkova, Council on Research Chair – January 5, 2005 response letter
                 Members of the Committee on Library – December 1, 2004 response letter

Cc: Maria Bertero-Barcelo, Executive Director, Assembly of the Academic Senate

UCLA Committee on Library
Response to the Report on "Systemwide Strategic Directions for Libraries and
Scholarly Information at the University of California."
December 1, 2004

The Committee on Library has discussed the report on "Systemwide Strategic Directions for Libraries and Scholarly Information at the University of California." We appreciate the need for further deepening of collaboration among UC libraries, and we believe the report usefully outlines a number of lines along which such deepening collaboration might develop.

Given the heavy investment of UC and the individual campuses in shared digital resources, especially through the California Digital Library, it is not surprising that the report concentrates mainly on the digital environment. It seems to us, however, that there are important strategic planning questions involving the print environment as well. The report makes reference to developments in shared print collections, but does not raise the broader question of how UC libraries can hope to maintain their excellence in an era in which printed scholarly materials, far from becoming obsolete, are themselves increasing rapidly in volume, and becoming ever more internationalized. Ensuring adequate UC access to the increasingly international world of scholarly print publications raises not only budgetary issues but issues about appropriately trained staff with the expertise to identify important materials in a variety of world regions and languages.

One important aspect of collaboration, as highlighted by the report, involves shared facilities, notably the Regional Library Facilities. The report suggests that the RLFs will assume new roles in support of other collaborative initiatives. While this development is to be welcomed, we believe it is important that adequate funding be provided to cover any new activities that the RLFs are called on to undertake.

The report places great emphasis on an initiative to develop a shared digital archival repository infrastructure that will enable the libraries to ensure persistent access to various kinds of digital information, including licensed content, Web-based information, digital objects managed or created by the UC libraries, and online research and learning materials created by UC faculty. While we recognize the vital importance of developing infrastructures that can assure persistent access to digital materials, some committee members wondered whether seeking to address this issue at the UC level would represent the best use of scarce resources. As the report indicates, this issue is being addressed by numerous collaborative initiatives at national and international levels; the question is what would be gained by a specific UC effort in this area. Clearly, it is vital to ensure that UC has the means of implementing the perpetual access clauses that have been included in subscriptions to licensed digital materials, should the need arise to do so; and we support whatever infrastructural development initiatives are necessary in this connection. However, some committee members were concerned about the appropriateness of using scarce UC resources to seek to develop a digital archival

repository infrastructure for web-based materials or online research and learning materials created by UC faculty.

Respectfully Submitted,

Caroline Ford (History)
Jonathan Furner (Information Studies)
Yasmin Kafai (Education)
Philip Levine (Classics)
Michael Teitell (Pathology)
Stanley Trimble (Geography)
James Welling (Arts & Architecture)
Rogers Brubaker (Sociology), CHAIR

MEMORANDUM

January 5, 2005

To: Kathleen Komar, Chair
      Academic Senate

From: Donka Minkova, Chair
      Council on Research

RE: *Systemwide Strategic Directions for Libraries and Scholarly Information at the
      University of California* Report

The Council on Research has reviewed the document *Systemwide Strategic Directions for
Libraries and Scholarly information at the University of California* sent to the Academic Council
by the Office of the President on July 30, 2004 and forwarded by the Academic Council to COR
for information and comment. The directions and recommendations are intended to be followed
by the Library Planning and University Planning offices. Since no details or concrete budgetary
estimates have been provided, our comments will necessarily be both general and brief.

Of interest to the research, writing and publication community in the Strategic Directions, is the
recommendation for a new program to assist "comprehensive alteration of the scholarly
communication process". To this end, the Plan will devise (1) "strategies and services to help
faculty manage the copyrights in the works they create, including an expanded publishing
services infrastructure, based on the eScholarship program and partnership with the UC Press, to
facilitate innovative dissemination of their works." (2) The Plan will devise "methods for
communication and outreach to faculty to inform them about the economics and mechanics of
scholarly publishing and their effect on both the distribution of scholarly work and on the quality
of service provided buy the UC libraries."

COR would have liked to have seen the following included in this report: 1) Faculty perspective:
All of the recommendations appear to serve the role of the librarian. There is a lack of clarity on
how exactly faculty input will be sought; the document does not describe how libraries of the
future will operate and serve the academic community on a daily basis; and (2) a vision for the
future of our libraries that presents more data based on comments collected from those who rely
upon our libraries for the purposes of the advancement of research and scholarly pursuits.

COR recognizes, however, that the planned "series of summaries" developed for specific
University constituencies will probably address our concerns about concreteness and faculty
involvement in the future of the UC Library System. We urge the Academic Council to ensure
that these constituency-specific documents be distributed timely and broadly to the respective
faculty groups for further comments and suggestions.

OFFICE OF THE ACADEMIC SENATE

9500 GILMAN DRIVE
LA JOLLA, CALIFORNIA 92093-0002
TELEPHONE: (858) 534-3640
FAX: (858) 534-4528

January 24, 2005

PROFESSOR GEORGE BLUMENTHAL, Chair
Academic Senate
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

SUBJECT: Systemwide Strategic Directions for Libraries and Scholarly Information at the
University of California

Dear George:

The Senate Council of the San Diego Division received comment from the cognizant committees and, in
its discussion, rallied around the following positive evaluations.

First, it is agreed that this is a thoughtful report, one that makes valuable recommendations on methods
that could improve the efficiency of library services at the University of California. Secondly, the report
outlines a reasonable, incremental approach to the problems faced by UC libraries. We are gratified that
the University's library authorities are anticipating such problems before they are fully upon us. Finally,
as a strategic plan, the report is admirably comprehensive.

Although generally positive in its reaction, the San Diego Division is concerned by the report's practical
implications. These came to light in a set of questions posed by our Committee on Planning and Budget,
chaired by Professor Joel Sobel:

1. How much money (as a percentage of the total university funding) does the University of
    California spend on libraries?
2. What are the sources of funding?
3. In order to meet forecasted demand, how would the library budget have to change?
4. How are University expenditures distributed across the campuses and systemwide? Are there
    plans to change the distribution?
5. What is known about how budgets on libraries will change in the future?
6. Does increased emphasis on sharing responsibilities across campuses require a different model of
    resource allocation? In particular, how does the University intend to provide the appropriate
    incentives for campuses to share resources?

These questions, and the discussion to which they gave rise, reflect the uneasiness of a campus still
smarting from previous moves to centralize and rationalize the University of California's libraries. The
creation of the Southern Regional Library Facility, for example, is locally remembered as a dark time

when UC San Diego effectively lost large parts of its collection. Accordingly, we react with misgivings to the idea that certain kinds of holdings would need only one physical copy in the entire system. Where would that copy reside? Who would decide and by what criteria? What is meant by "shared services" and how would they be shared? The devil will be in such details. And although these concerns deal with implementation rather than strategy, we are reluctant to endorse a strategy that could lead, automatically and without further Senate consultation, to measures that punish us, once again.

More fundamental are questions of organization and expertise. Centralization is critical to the plan. How, then, would authority be devolved upon the campuses, and what would be the Senate's place in this structure? The plan would seem to require quite different kinds of professional expertise than are currently in place. How would this be achieved and with what budgetary entailments? In imagining a shift away from dependence on costly journals to UC Press, are the planners being Utopian?

The San Diego Division hopes that these devilish questions and issues will not be forgotten as the process of strategic planning moves toward the implementation phase.

Sincerely,

Donald F. Tuzin, Chair
Academic Senate, San Diego Division

cc: J.B. Minster
         ChronFile

ACADEMIC SENATE
1233 Girvetz Hall
Santa Barbara, CA 93106-3050

senate.reception@senate.ucsb.edu
(805) 893-2885
(805) 893-8732
http://www.senate.ucsb.edu

Walter Yuen, Chair
Claudia Chapman, Executive Director

January 31, 2005

George Blumenthal, Chair
Academic Council

Dear George:

Please accept my apology for the delay in sending in our Divisional response. If there is time, I hope that our comments can still be included in the Council's response to the Strategic Directions for Libraries report.   The report goes a long way to look at the Library as a whole, presenting a systemwide perspective and suggesting goals for future success.

We agree that integration of systems and resources should be the direction for action. While the report is short on specific means to attain goals, and because of the cost and effort involved in establishing such a mutual operation of the UC Libraries, additional specific recommendations on implementation will be needed. The complexity and cost of such a project will preclude its fruition without the persevering focus of the systemwide leadership and investment in the project, as well as Senate's participation in resolving inconsistencies.

Consistency and standardization in operations and record-keeping should be goals. In planning for integration, and dealing with thorny issues such as journal costs, we realize that the Senate and faculty will need to carry a share of the work to achieve success.

Finally, our division also believes that UC should move in the direction of one library for the whole system in which books may have no home campus, but can move (and be tracked) throughout the system according to need.

Please refer to the attached comments from our Council on Research and Instructional Resources, which provide the background for our observations and include more specific recommendations.

Sincerely,

Walter Yuen
Divisional Chair

Attachment

Cc: CRIR

January 25th, 2005

TO: Walter Yuen, Chair, Santa Barbara Division, Academic Senate

FROM: Bruce Tiffney, Vice-Chair, Committee on Research and Instructional Resources, Philip Walker, Chair, Committee on Scholarly Communication.

SUBJECT: Systemwide Library Strategic Directions

Dear Walter:

We apologize that a series of unfortunate events has precluded the CRIR from discussing the Systemwide Library Strategic Directions document as a whole. However, individual members have discussed it, and BT has had an opportunity to consider it from the perspective of UCOL. The Senate membership certainly owes a debt of gratitude to Sarah Pritchard and the other Librarians for looking at the Library in a system-wide perspective and providing thoughts for our future success. However, we believe that members of the CRIR and the faculty as a whole find this document is but a start.

The most prevalent response to this document is that it discusses goals without consideration of the means to attain them. It is full of commendable objectives, but there is no discussion of the implementation. The latter will be crucial to the UC Library system as a whole being able to meet the needs of our faculty and students and therefore to allow us to maintain our stature in the academic world. We are aware and respect Sarah's thought that the document was not intended to operate at the specific level, but our experience in talking with faculty is that, without the specifics, it bears little weight.

Perhaps one of the most troubling general features was a phrase noted by UCOL "While systemwide leadership and investment remain critical for library development, the scope and complexity of the mutual operations of the UC libraries have grown beyond the capacity of any existing or reasonably foreseeable Universitywide programmatic or budgetary provision." This conveys the sense that integrating the UC library resources is too great a task to be undertaken. We can only hope this was an unintended phrase. While such an integration will present a difficult task, it is one we <u>must</u> pursue. To quote Mr. Franklin, we can hang together or we can hang separately - it is as true of the UC library resources as of the original 13 colonies.

In this light, we believe that UCSB should join other UC Campuses and strongly push for integration of systems and resources. This requires several specific mechanical goals to be accepted and pursued.

- We should have one on-line system, Melvyl.
- To do this, all records should be cataloged in a similar format. (we have all gone on line seeking one item and found it repeated several times, each with separate variations in the entry of data. Similarly, many colleagues are somewhere between frustrated and mad that some UCs catalog monographic serials as monographs and others as serials).
- There needs to be an agreement that library resources are held at the system, not at the campus level. Yes, this will cause a fight with Berkeley and UCLA - the former has already raised the first barricade against such an idea. However, if this is one university, we must pursue one library. Thus we find the vision of a single collection put forth in the UCOL document to be a great goal. We would hope to ultimately see a library in which books may have no home campus, but can move (and be tracked) throughout the system according to need.
- Certainly there are other features that would benefit from standardization (e.g., on-line document delivery sources) which could be identified in a more in-depth discussion.

The Systemwide Library Strategic Directions document focuses upon electronic resources, as well it must in the present day. However, this raises two features of concern which have already been recognized by other campuses and by UCOL.

- First, we must retain a strong commitment to print resources, which are growing as fast or faster than ever. This is especially true of non-European and North America academic studies - as long as UC wishes to retain leadership in the Pacific Rim and globalization, print collections will remain central.
- Second, as we archive print collections that are replaced by electronic collections, we believe that two or more such collections should be maintained (to the degree possible) within the system. Further, access to at least one of these archived collections should be easy and swift, should particular circumstances require use of print rather than an electronic version by a researcher.

The most debilitating problems that faces our library system is that of journal costs. The recent negotiations are a testament to the fortitude and hard work of our Library staff, but we are still paying outrageous prices to literally buy back the new knowledge that we ourselves created. The strategic initiatives document recognizes this problem, does not go far enough in addressing it. We strongly support the idea that the only way we are effectively going to deal with private, commercial, publishers is by beating them at their own game. Again, as pointed out in the UCOL letter, UC has the depth and breadth of faculty expertise (and numbers) to establish international journals with UC editorial leadership in virtually every field. Couple this with the UC Press and we could indeed create an economic force that would rebuild the playing field. Team up with other major universities and the days of "for profit" publishing conglomerates are numbered. However, to do so will require strong faculty and Senate participation as we will have to develop a reward/merit system that recognizes such work as a major scholarly contribution instead of as an impediment to advancement.

This brings us back to the start. If the UC libraries are going to succeed in passing through this point of transition without a loss of strength (and indeed, one would hope, with a gain in power), then the faculty have got to buy in and be central players. Certainly our librarian colleagues have both the expertise and the experience to be the leaders in this process, but the faculty must be convinced that their concerns are being met. Thus we think that the next iteration of this document needs to be more detailed, addressing specific faculty concerns (e.g., those noted above as well as in the earlier communications to the Academic Council) in the larger context of systemwide library integration.

UNIVERSITY OF CALIFORNIA, SANTA CRUZ

OFFICE OF THE ACADEMIC SENATE   SANTA CRUZ, CALIFORNIA 95064

December 8, 2004

Chair George Blumenthal
Academic Council

Re: Systematic Library and Scholarly Information Advisory Committee Report

Dear George,
The Committees on Research and the Library were asked to consider the *Systemwide Strategic Directions for Libraries*. This letter presents the relevant points, often in the wording of the committees' communications to the divisional chair.

COR wished to commend the committee for its work and accurate assessment of the difficulties facing us. Unfortunately, the recommendations about how to address these problems are quite programmatic and abstract, and this makes it difficult to engage the report. With more specifics about what is envisaged and how it might be achieved, more feedback might be possible.

UCSC on-campus library holdings are particularly small compared to those of our sister campuses. We also do not have major professional school holdings such as a medical or law library. Therefore, UCSC faculty are already very dependent on systemwide library facilities (Ejournals, Interlibrary loan) to meet their research needs. Given the budgetary situation, this dependence can only increase in the future. At the same time, the report makes clear that the current model for library funding, which is largely decentralized to the campuses and where the Chancellors have considerable discretion in spending, poses a serious structural obstacle to achieving the necessary cooperation to maximize access. If this funding model continues, then each campus planning and budget committee must address this issue.

Our faculty also support a more proactive approach toward scholarly communication in general. There is a potential role for Libraries to work with faculty to create new forms of scholarly communication through collaborative editing. Joint librarian/faculty editorial groups could establish new forms, somewhere in between the eScholarship Repository and published/online journals. The two barriers are the costs of editing and the difficulty of establishing authority, difficulties which often allow commercial publishers to establish their monopoly. The authority of libraries as legitimators and repositories of authoritative information, and the potential for more efficient collaborative editing online by faculty and librarians, might begin to surmount these barriers.

Sincerely,

Alison Galloway, Chair
Academic Senate, Santa Cruz Division

cc: COL Chair Crow
        COR Chair Aissen