

University of California Santa Cruz
The University Library, including Media Services

**Executive Summary
of the Long-Range Plan**

to **2010-2011**

**Submitted by:
Allan J. Dyson
University Librarian**

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Introduction

As an academic division, but one whose mission is to support the academic program, much of what will drive the University Library's activities over the next decade will be determined by the outcome of the campus discussions currently being held. While the library can predict the probable impact of some "environmental factors" (such as enrollment growth), others (the nature or even the location of new graduate programs, for example) are as yet uncertain. This summary will describe the level of support we need in order to deal with what is now known to be likely, with refinement to come as academic planning unfolds over the next twelve months.

The dominant event in the life of UCSC library services over the next decade is outside the context of budgetary planning: whether and when the University upgrades and expands the main library here. This will determine what new services can be provided, whether we can again devote professional resources to building a research collection rather than deciding what to remove, and so on. Because of this, the 10-year planning period for the library is better divided not into 5-year increments, but rather between "before McHenry Library expansion" and "after McHenry Library expansion."

The Current Context

Before dealing with potential growth needs, it is important to outline the situation the University Library finds itself in, on a campus in the early stages of rapid expansion of undergraduate enrollment and graduate programs:

** The University Library has built one of the strongest staffs in the UC system, a staff unusually committed to close interaction with faculty and students. We have understood that as UC's smallest general-campus library, we must choose carefully what we acquire, place heavy emphasis on easy

access to other collections, and do our best to make sure the UCSC community knows what we have and how to find it. As the division responsible for instructional media services, this "customer orientation" has equally driven our approach to classroom design and support.

** The Science [and Engineering] Library has the space to support the Natural Sciences and Engineering Divisions' instructional-materials and research needs throughout the planning period. It may need some reconfiguration to house additional library staff, materials, and user workstations as science and engineering programs grow.

** The UCSC University Library currently houses about 1.15 million volumes on campus, with another 200,000 in semi-permanent storage at the Richmond, CA, Northern Regional Library Facility. (We are therefore putting increasing portions of our collection in a location closer to the other three northern UC campuses than to UCSC.) Unique archival materials are stored in what was formerly the local chewing-gum factory. In comparison, the next smallest UC general library, UC Riverside, has roughly 60% more volumes on campus than UCSC.

** Our on-campus volume count makes us more like the 6 or 7 largest CSU campus libraries than like other UC libraries. Such CSU libraries house what are intended as instructional (as opposed to research) collections, ranging from 910,000 volumes at Chico State to 1.25 million at CSU-San Diego. [1998-99 data]

** The McHenry Library is essentially full, meaning that within this "laboratory" of materials for the social sciences, humanities and arts, a volume added equals a volume withdrawn or sent into storage.

** Space issues aside, the University Library has by far the smallest budget for acquiring library materials—paper, nonprint and electronic—compared to other general campuses. The next smallest UC library-materials budgets are roughly a third larger than UCSC's. This results from UC libraries' acquisitions budgets having been, decades

ago, established in large part by the number of Ph.D. programs on a given campus, at a time UCSC had very few of them. Since all increases since then have largely been percentage-driven, we grow ever more slowly than the other campuses' libraries.

** The California Digital Library, the systemwide "co-library," provides a framework for campuses to cooperatively contract for access to electronic materials. The money for UCSC to pay for such access, however, is largely taken from our library's materials budget. We have no more money to pay for such access than we do to acquire paper or electronic access as an individual campus. Indeed, UCSC is now unable to take part in the same level of contractual access as most other campuses. Since such material is not purchased, but only contracted for, other campuses are legally forbidden to share it via interlibrary loan with UCSC. The only way UCSC faculty can have access to such electronic material is, ironically, to travel to another UC campus and sit at a terminal there, or borrow a copy (if available in paper) from a non-UC library.

** The UCSC library is the most intensively used within UC. We circulate substantially more volumes than several campuses, despite having a substantially smaller collection. This means that material selected for withdrawal or storage may have been much more recently used than that selected at other campuses. In other words, we are no longer building a research collection, but rather managing a fixed-size instructional collection.

The facts above lead to two conclusions:

1. Prior to the McHenry Library expansion, new research materials in the arts, humanities and social sciences will replace, not enhance, existing collections.
2. While start-up funds provide for retrospective acquisitions, new programs (and especially new graduate programs) will require new permanent allocations to the library for continuing commitments such as contractual access to electronic information and purchase of journal subscriptions.

It is important to note that while these two conclusions dominate the library's ability to support the academic program, neither is dealt with through the library's budget allocation under discussion in the ten-year planning process. The library expansion will be determined within the context of the five-year capital plan; permanent allocations to support new programs are not automatically provided by the State or University, but must be allocated by the campus from nonlibrary funds on a case-by-case basis.

Pre-Expansion Growth

Prior to the expansion and retrofitting of the McHenry Library, library growth will be targeted to supporting campus growth, including the Silicon Valley Center (SVC) and expanded summer instruction. New programs will be somewhat limited because of constraints of space.

Silicon Valley Center

The current vision for the SVC rightfully includes provision for a coordinated and shared library near the center of the NASA Research Park. This intellectual gathering place for the UCSC community at SVC would provide single and group study areas, computers for accessing electronic data, paper collections as appropriate to the academic program, and the other usual services found in a good small branch library. One important function would be to act as the "portal" into other collections in the area, advising researchers on what is available nearby and instruction in accessing and using Web-based resources. To start such a library would require about 4 FTE, with staffing expanding as necessary (for example, were the library to serve other SVC communities such as Carnegie-Mellon students and faculty, or were it to be open evening hours to accommodate students attending late-day classes). This FTE estimate does not include provision of instructional media services staff for classroom support, should such staff come under the management of the University Library. It also assumes that the method of transporting library material between Santa Cruz and SVC will be funded by an agency other than the library.

Expanded Summer Programs

The range of impacts an expanded summer quarter could have on the library is substantial, and almost impossible to quantify until the academic program (and its success in attracting students) is defined. On the one hand, one could conceive of a quarter that consists largely of enrolling students who are already here and using the library, of students involved in independent study and internships off campus, and of programs concentrated at the SVC. At the other extreme, one could imagine a fourth-quarter operation that mirrored, albeit smaller, the rest of the academic year. Since some library units such as Special Collections do not have regular summer open hours, and other services such as the Reference Desks do not provide summer weekend staffing, a move to provide all services on comparable footing year-round could require the addition of 5 to 8 FTE. An additional 2 FTE (for classroom support, technicians, and front-desk service) would need to be added to Media Services to support an expanded summer program.

Public Service Support for Increased Enrollment and New Academic Programs

As the campus grows, the increase in students and faculty generates more “public service” business for the library—more electronic reserves to scan and mount, more start-up funds to coordinate with faculty, more reference questions to answer, more outreach to faculty and graduate students on how to access electronic data, etc. Some of this will be done in new ways—perhaps links from faculty Web pages to reference librarians, perhaps training users how to access additional formats such as electronic books as they are integrated into the collection, etc. It would be foolish to predict exactly where the growth will occur, absent knowledge of where the academic program will grow and what technology has in store, but a good estimate can be made simply by looking at the number of staff involved in public service and collection-building activities at the 12,000 student level, and projecting this number up to 15,000 on-campus students. By this measure, as the campus grows by 25% the University Library

(excluding Media Services) will need 20 FTE to provide a level of service comparable to what is provided now. Note that this increase just provides for “regular” growth of programs and enrollment. Increases for SVC, expanded summer instruction and the like are treated separately. Similarly, we project an additional 3 FTE will be needed by Media Services to support both increased numbers of faculty and increased numbers of classrooms.

Increased Technical Support for the “Electronic Library”

On-line activities increase in every area of the library, and we are just starting to see a rapidly increasing demand to add computer resource specialists and programmer analysts. Enhancing our own products such as SlideCat, developing “virtual reference” programs, maintaining library servers, uploading digital files with affiliated metadata to the Online Archive of California, supporting the electronic delivery of interlibrary loans directly to faculty desktops, all of these require increased numbers of technical specialists (or in some cases contract programmers). The electronic library does not come cheap! Over the next decade we expect to need approximately 10 FTE—some centralized, some within library departments—to support these services and activities.

Funding an Eight-Year Replacement Cycle for Classroom Media Equipment

As the presence of media and data-projection equipment in classrooms becomes near-universal, a regularized equipment replacement program becomes imperative. It is estimated, based on current inventory, that an eight-year replacement schedule would cost approximately \$240,000 per year. We highly recommend that this be planned for, rather than requiring annual pleas within each year’s budget process.

Increased Administrative Support

This University Library has been run by the leanest administrative staff of any of the UC libraries. Seven departments and two staff Assistant University Librarians report directly to the

University Librarian, and no academic staff member is more than one intervening hierarchical layer from the top. While such a flat organization has enormous benefits in terms of staff involvement and commitment, it has just about reached its size limits.

An additional AUL will need to be added during the next period of growth. In addition 5 staff FTE will be needed to support the increasingly complex human resources, administrative operations, and budgetary activities in such areas as managing endowment and gift expenditures, recruitment, and the like.

We do not see a need for a comparable increase in staff for our processing operations—ordering, cataloging, preparing materials for circulation, and so on. The library has run an extremely efficient operation in this area in the past, and we believe we can absorb higher numbers, new formats, and other changes with existing numbers of staff.

Post-Expansion Growth

First, it should be noted that a \$58 million expansion and retrofit of a library containing \$100,000,000 worth of materials and over a hundred staff members is not a trivial event. The two years of actual construction activity will have their own set of budgetary needs, ranging from temporary housing of staff elsewhere to wholesale (and repeated) shifting of the collections and service units within the building. Other UC campuses have successfully expanded their main libraries (indeed, most other general campuses have been funded to do it), and we will do it successfully also. But for budget planning purposes, we will assume that either the capital budget will provide funding to deal with unavoidable dislocations, or the campus and the library budgets will provide one-time funding as necessary.

New Programs and Services

It would be naïve to pretend one could predict just what library services and programs will result from the expansion of McHenry Library, which under the current capital planning scenario would likely not be fully occupied until 2009-2010. It is appropriately

cautionary to look back a similar number of years to see what we were unable to predict in 1991-92—most notably the World Wide Web, which now dominates everything from how one accesses the CRUZCAT library catalog to how reference librarians do their work. Nevertheless there are activities we expect will expand, others that are needed and can't currently be provided, and still more that seem likely to evolve. Some examples:

** The new Center for Library & Instructional Computing Services (CLICS) opened this year at UC San Diego, under library management. It provides electronic library resources, instructional computing, distance learning, and four on-site paper-based collections in the refurbished former Undergraduate Library. Early reports indicate the center is enormously popular with students. Similar concepts, variously called an "Intellectual Commons," "Library Technology Center," "Collaboratory," and the like are being incorporated into new academic libraries all over the West. The "Technology, Electronic Access and Media (TEAM) Center," the centerpiece of plans for the McHenry expansion, includes many similar concepts and adds access to visual and other nonprint resources, as well as a special emphasis on adaptive technology (to make library resources even more available to the disabled). The UCSC library hopes to start a tiny prototype in McHenry this fall, in the space vacated by the Maps Unit.

** An instructional design laboratory is included in the planning for the McHenry expansion. With the sophistication of classroom equipment ever increasing, it seems likely such a centralized facility will remain an important component of the expansion.

** Increasing acquisition of unique archives by the UCSC library, combined with the development of the systemwide Online Archive of California, make digital archiving an important component of an expanded Special Collections department, also planned for the McHenry expansion. In addition to improved electronic access, archives will require special preservation expertise, and indeed the need

to conserve electronic information, photographs, and other types of material will require an expanded preservation laboratory be developed in the new space.

** Working with a group of tech-savvy alumni over the past year, library staff have brainstormed new ways an electronic library can better serve its constituencies. Several new ideas have surfaced. One fascinating example: an alumni life-long virtual learning center, which would attempt to redesign access-to-data contracts to allow alumni access, in addition to the present on-campus constituency. With a relatively small alumni base, UCSC might be able to pilot such a program without the electronic-publisher resistance larger and older campuses might face. Combined with a virtual-reference staff, this could create an alumni tie to the campus that might enrich us in other ways.

** As one looks at the new academic libraries being built around the country, a common thread is the library as an “intellectual gathering place” where groups of students can study together, where research can be done in a variety of formats, where email can be checked and word processing done, where personalized help is available, where a coffee shop and other amenities make “a trip to the library” a much greater attraction than it is now. Such new libraries are indeed attracting heavy use. One might guess that a 1960s-design library, with linoleum floors and falling-apart wooden chairs and carrels, a library that discourages browsing by having to stack books so high that shorter patrons can’t reach the top shelves even with stools, with no place for groups to study that doesn’t disturb other users, will increasingly not be a destination of choice. Thus, merely creating an exciting, comfortable, accessible, up-to-date library will increase traffic and hence workload just by itself, even if it didn’t add a single new service. We know a little about what new library space does in terms of the need for additional staff. The Science Library, which brought together existing science collections in a much more attractive and expanded building, required 5 more FTE to function on its opening day.

Adding together the various elements noted above—new services, expanded regular and special collections, archival preservation with electronic access, a broader concept of “library” that includes facilities for instructional design including special classrooms where new ideas can be tested, and above all a modern, comfortable, climate-controlled facility where people can meet and study together—we have concluded that approximately 20 additional FTE will be needed to staff the expanded McHenry Library when it is completed.

Collections

As noted in various places above, an enriched library collection and a healthy library materials budget sufficient to support new academic initiatives will be central to the campus’s ability to grow over the next decade. Although the collections budget is not included in the budget allocations currently under discussion, this campus has an unblemished and laudable history of assigning to the library those increases (almost always inflation-based) designated by the State or the UC Office of the President for library purposes, and of protecting the collections budget to the extent possible in bad times. In addition, as has been true recently, new permanent funds must continue to be allocated as new programs are started, in order to support the ongoing costs of journal subscriptions and the increasing recurrent costs of annually “renting” access to electronic information. Such costs cannot be covered by start-up funds and other one-time allocations.

UCSC is the only UC general-campus library that is not large enough to become a member of the Association of Research Libraries, the group that includes the roughly 100 largest research libraries in the US. Not only is our collection substantially smaller than that of the smallest US ARL library, but because of our small base budget, we are not catching up: our addition of some 35,000 volumes last year was a smaller number than almost every such ARL library. At a minimum, UCSC should explore with UCOP an immediate collections-budget increase sufficient to cover the costs of UCSC’s

being part of Universitywide electronic-access contracts. UCSC absolutely cannot afford to become an information-poor campus when it comes to faculty and student access to electronic resources available everywhere else within UC.

Beyond this, since the McHenry Addition is slated to increase our stack space significantly, it seems very likely the campus will want to lobby, post-expansion, for a large increase in our base acquisitions budget also. It should be raised at least to the level of the next largest UC campus libraries, if we are serious about becoming a research university on a level with our sister campuses.

Overview

A summary of the library (including instructional media) staff needed to support a decade of campus growth is as follows:

Pre-McHenry Expansion

Silicon Valley Center:	4 FTE
Expansion of summer programs:	8 to 11
Increased enrollment and new academic programs:	23
Technical staff to support the electronic library:	10
Administrative support:	<u>6</u>
Subtotal:	51 -54 FTE (Pre-expansion)

Post-Expansion:

Support for expanded services and increased library use:	20 FTE (Post -expansion)
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2001/02-2010/11 TOTAL: 71-74 FTE

The Future of the UCSC Library

The UCSC campus has had, for the past three-and-a-half decades, a library in which it could justifiably take great pride. A leader in technological innovation, in architectural design, in faculty-librarian cooperation, in multicultural outreach, in staff organizational development, in customer service, the library finds itself at the confluence of two opposing events: the flowering of the campus academic program, and the obsolescence of the library facilities to support it.

If the campus funds staff growth, the library will be able to compensate in part by providing outstanding service until new facilities are completed. If the campus fights for a library building and a materials and access budget appropriate to this campus's size and distinction, we can end the decade with a university library that will bring the next generation of campus leaders equal pride.

**Executive Summary of the Long-Range Plan
Submitted by Allan J. Dyson, University Librarian
2010-2011**

The University Library has built one of the strongest staffs in the UC system, a staff unusually committed to close interaction with faculty and students.

Since such (electronic) material is not purchased, but only contracted for, other campuses are **legally forbidden** to share it via interlibrary loan with UCSC. The only way UCSC faculty can have access to such electronic material is, ironically, to travel to another UC campus and sit at a terminal there, or borrow a copy (if available in paper) from a non-UC library

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SANTA CRUZ: OFFICE OF THE
CAMPUS PROVOST AND EXECUTIVE
VICE CHANCELLOR

October 16, 2014

M. ELIZABETH COWELL
University Librarian

ROBERT L. WHITE
Assistant University Librarian (retired)

GREG CAREAGA
Head of Assessment and Planning, University Library

Committee on Planning and Budget Representative

Graduate Student Representative

Undergraduate Student Representative

Dear Colleagues:

Re: Science and Engineering Library Renovation Programming Committee

Thank you for agreeing to serve as a member of the Programming Committee for the pre-design phase of the Science and Engineering (S&E) Library Renovation project. University Librarian Elizabeth Cowell will chair the Committee. The Committee will report to the Advisory Committee on Campus Planning and Stewardship (CPS) and will be responsible for keeping me informed of its progress. I anticipate that the Committee will convene for monthly meetings from October 2014 through early Winter 2015.

The Committee will be assisted by Senior Educational Facilities Planner Alix Wills of Capital Planning and Space Management (CPSM) and Project Manager Andrea Hilderman of Physical Planning and Construction. Others will be invited to serve as resources on an as-needed basis.

The campus Project Manager is responsible for the following: Overall management of the project; monitoring the project program, budget, and schedule; formal direction of the design professional; and representing the University in all of the project's contractual and management matters.

The Programming Committee will be responsible for coordinating the planning process with the units and organizations that will be impacted by the project, and with the campus as a whole.

UNIVERSITY OF CALIFORNIA (Letterhead for interdepartmental use)

The charge of the S&E Library Renovation Programming Committee is as follows:

1. Identify and define the elements that will go into the S&E Library Renovation and work with assigned campus staff and consultants to develop a Facility Program. The Program should define specific area and functional requirements for the building overall and on a space-type basis. The Program should include physical planning information, site issues, functional relationships of program elements, overall design requirement, IT and security requirements, and specific program and design requirements.

include in its considerations the University of California Policy on Sustainable Practices.

- B. The Program will enable the campus to prepare a project budget, establish fundraising targets, and develop fundraising materials suitable for use in the Comprehensive Campaign.
- C. The Facility Program will be the primary document used in project design by the Executive Architect retained by the University.

2. Develop a Business Case Analysis (BCA) and Major Capital Improvement Project Summary with CPSM. The BCA will establish the need for the renovation of the Science and Engineering Library, examine alternatives for meeting that need, and identify the most appropriate solution. The Project Summary will be the primary source document that describes and justifies the project. In addition to demonstrating that both the campus plans and the project itself are credible, the Project Summary will document the appropriate campus approvals.

3. Function as the University "client" during the pre-design phase of the project. In this role, the Committee will work with assigned campus staff and with the design professional in developing programming elements.

The timeline for the pre-design phase of the project calls for the Facility Program and project budget to be completed by January 2015, and the Business Case Analysis and Project Summary to be completed by early Winter 2015. At that point, the Committee's work on the programming phase will be complete. At such time as funding becomes available for the design phase of the project, a Building Committee will be appointed. The Building Committee will work with the Executive Architect and associated staff during the development of the design for the project.

The pre-design phase of the project will be provided by campus funds. The design and construction phases will be gift-funded, with funds to be raised through the Comprehensive Campaign. The campus will be held to stringent budget constraints for this project. Because programming is a key driver of the budget, it will be critical to be diligent and thorough throughout the programming process. Once the budget is established by the campus, the project must proceed within the budget limits.

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Science and Engineering Library Renovation

October 16, 2014

Thank you for your willingness to serve on the S&E Library Renovation Programming Committee. The advice and input of the Committee is of critical importance and essential to the success of the project. If you have any questions, please contact Alix Wills at 925 890-2734 or alixw@ucsc.edu.

Sincerely,

Allison Galloway Campus
Provost and Executive
Vice Chancellor

cc: Associate Vice Chancellor Barnes
Chancellor Blumenthal
Academic Senate Chair Brenneis
Vice Chancellor Delaney
Director Draper
Committee on Budget and Planning Chair Friedman
Associate Architect Hilderman
Vice Chancellor Latham
University Library Operations Head Thayer
Senior Educational Facilities Planner Wills

COMMITTEE ON PLANNING AND BUDGET
AGENDA
May 19, 2016
307 Kerr Hall, 8:30a.m.-12:00 p.m.

Abel Rodriguez, *Chair*, Applied Math & Statistics
Don Brenneis, *ex officio*, Anthropology
Ólöf Einarisdóttir, *ex officio*, Chemistry & Biochemistry
Adrian Brasoveanu, Linguistics
Cormac Flanagan, Computer Science
Loisa Nygaard, Literature
Rick Prelinger, Film & Digital Media
Danilyn Rutherford, Anthropology

Bruce Schumm, Physics
Marilyn Walker, Computer Science
Jin Zhang, Chemistry & Biochemistry
Whitney De Vos, Grad Rep
Guillermo Rogel, UG Rep
Hannah Tuong, UG Rep
Matthew Mednick, Senate Director
Esthela Bañuelos, Senate Analyst

If you have any questions, please contact Esthela Bañuelos, esthela@ucsc.edu, 459-1317.

<u>Agenda</u>	<u>Target Time</u>
A. Member's Items	8:30
B. Pre-Consultation Discussion: Librarian Cowell	8:50
C. Consultation: Librarian Cowell	9:00
D. Post Consultation Discussion	9:30
E. Internal Review	9:40
F. Break	9:55
G. Consultation: CP/EVC Galloway and VC Delaney	10:00
H. Post-Consultation Discussion	10:30
I. B.S. Proposal	10:40
J. Budget Review	11:05
K. Planning: May 26 Meeting	11:55

Enclosures

ATTENTION STEM & SOCIAL SCIENCES STUDENTS

Wondering what's going on at the S&E Library?



Science & Engineering Library



Join University Librarian **Elizabeth Cowell**

Library Assessment & Planning Head **Greg Careaga** ✓

and campus Capital Planning & Space Management's **David Lane**
as they discuss

- ⇒ The current state and plans for the S&E Library
- ⇒ Building better communications between students and the Library

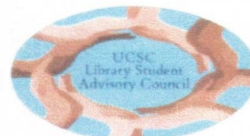
Town Hall Meeting

5–6pm

Wednesday 24 May

FITC Room 1340, McHenry Library

Light refreshments sponsored by



**COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION
MINUTES
May 26, 2016**

Present: Eileen Zurbriggen (*chair*), Catherine Jones, Graeme Smith, Elizabeth Cowell (*ex officio*), Nick Meriwether (LAUC Vice Chair), Frank Gravier (LAUC Chair), Gabriela Ramirez-Chavez (GSR)

Absent: Michael Cowan

Announcements

Chair Zurbriggen briefed members on information from May 20 UCOLASC meeting. There is a new California bill that seeks for state-owned copyright of all government created documents; this stems from the lawsuit about the naming rights at Yosemite. This bill may affect faculty copyright. Librarians are arguing vociferously against it and the UC Senate will lobby about it in order to ensure that faculty rights are preserved. There was also discussion about different pilot programs to encourage the usage of Harvester. The “Pay it Forward” study (assessing what it would cost to switch from subscriptions to article processing charges) is estimating that a reasonable baseline cost for an article will be approximately \$1,800 for faculty. The library would pay some fraction of that, perhaps \$1500 and authors would need to make up the balance from their personal funds, grant funds, local institutional sources, or by choosing a lower-cost publishing outlets. There are potential issues for such a model from a faculty perspective, especially for disciplines that are not flush with grant funding.

Librarian Cowell announced the Library is hosting an upcoming forum in the Fall (October 6) related to Open Access. A white paper is forthcoming from the UC Librarians about their vision for the libraries and Open Access.

Guest: Librarian, Collection Development Kerry Scott

Librarian Cowell shared that the Science & Engineering Library is aging and that Physical Planning and Construction has completed the building code analysis. The Library is responsible for raising the \$60 million to rehabilitate (completed in phases) the S&E Library. One of the short term plans is to increase seating by two hundred seats for the Fall quarter in order to accommodate the influx of new students that resulted from the Napolitano-Brown agreement. The EVC requested 200 new seats in the library by Fall 2016. To do this, materials on the ground floor will be consolidated and the second floor will have an open space. The Library is focusing their long-term efforts on student success due to the high attrition rate out of the sciences. The goal is that facility support the life-cycle of learning. One of the rooms – Cowell – is an active learning space and there are plans to collaborate with ACE, and Counseling & Psychological Services to make this space most useful for students.

Librarian Scott informed the committee of the Library’s effort to de-duplicate the collections. Although the immediate impetus was the requirement to create more study seating, the library collections were never meant to be archival, but rather to be a working collection of materials that are actively used by the campus. A large portion of the Science & Engineering collection is duplicative, with about 80% of items also held elsewhere in the UC system. Also, a significant portion of the collection has not been checked out since 1994 (when they switched their system to begin tracking checkouts). Some percentage of materials is available online and none of these are ever touched in their print form once an e-version is available. The Library will keep the titles that have been checked out within the last five years; they will also keep everything published in the last 5 years. For the 20% of titles that are unique to our library, they are looking to see if the items are truly unique. If fewer than 10 libraries hold the item, they will keep it. They will check every de-duplicated title -- if it’s not already in the regional storage facility, they will send it there. The East Asian and cookbook collections will be transferred to McHenry. They’ve

also found some other things that should be in McHenry or in special collections (e.g., Lick materials). They will consult with the School of Engineering Dean. They plan to cull through the collection before the Fall quarter and the books will be recycled. Some members asked whether books that are going to be recycled could be set out for interested faculty or students to take, for their own collections. Members also asked how it was possible to know which items were used in the library, without being checked out. Reshelving statistics are kept and these will be used in decision-making. Some members pointed out that some library patrons reshelve their own items and in that case, it would never be known that they had been used in the last five years. Changing signs in the library concerning reshelving to alert patrons to this fact was discussed.

Regional Library Facility Collections Project Proposal (West De-Duplication Project)

Librarian Cowell informed members that the project is intended as a proof of concept to track what is involved in de-duplication in the regional storage facilities: staff time, the feasibility of such a move and how much space it would create. The books in the facility are currently being shelved by size and they want to ensure the preservation of journals and archival methodology. Members agreed the proposal sounded reasonable and did not have additional comments.

Debrief on Library Budget Overview

Librarian Cowell & Chair Zurbriggen briefed members on the Committee on Planning and Budget meeting. CPB is supportive of the Library's goals and is interested in faculty's needs being met. CPB expressed some interest in exploring a variety of funding models and looked favorably on the idea of using GSRs for some work in the library, which would synergize with the graduate growth initiative. CPB is also supportive of the idea of equality across campuses in access to library resources, and was pleased that this seems to be the goal of President Napolitano.

Continue Drafting Faculty Letter

Members decided to review and edit the letter, which will be sent in the Fall when it is likely to be more timely and impactful for faculty.

From: Elizabeth Cowell <mcowell@ucsc.edu>
Date: Thu, Jun 9, 2016 at 9:40 AM
Subject: Science Library news
To: "libstaff-group@ucsc.edu" <libstaff-group@ucsc.edu>

Dear [Libstaff](#),

I am writing to inform you of an important project underway at the Science & Engineering Library. With the end of finals, we are beginning a major consolidation of the [collection which](#) will clear the upper floor and allow us to add 200 additional seats throughout the library. This will begin to address the desperate need for study space on campus due to the increase in enrollment this coming fall and beyond.

More detailed information about the project can be found on this webpage linked to the "collections" tab from the Library home page at <https://library.ucsc.edu/news/se-library-stacks-project-summer-2016>.

The Academic Senate Committee on Library and Scholarly Communication has endorsed our plan as well as the Deans and EVC Alison Galloway. Kerry Scott and Sarah Troy are leading the work.

One of the **exciting results** of our work is that the annual Founders Day event will be held in the cleared space. This is a one time only event that will help jump start our fundraising campaign to renovate the S&E Library. A save the date message is going out next week for the [event which](#) is scheduled for October 22, 2016. I'm thrilled to have the opportunity to share our vision for the University Library at UC Santa Cruz with such a broad audience.

Dear Chairs, Directors, and Administrative Managers

Attached is a message to Dean Koch that we'd like you to forward and share with everyone in your units

Dear PBSci Faculty and Staff:

I found out today that the library has not reached out directly to departments with information about planned changes for the Science and Engineering Library. Below, I've pasted a note that Campus Librarian Elizabeth Cowell sent to library staff last week. She was happy to have me share it with PBSci faculty and staff. It lays out some of the pertinent information about the upcoming consolidation project in the S&E Library, which is taking place this summer. As additional background, the library has been doing a study of use patterns of our physical materials for the last year, and that is informing decisions about what to keep on campus in physical form. Furthermore, beyond work on the Active Learning Classroom (which is moving forward with generous financial and logistical support from the library), we have been working closely with Elizabeth and her staff on plans for a major renovation of the library.

Best

Paul

Robert P. Johnson

Oct 25 (9 days ago)

to Onuttom, Paula, me

Hi Paula,

sure, I do remember that email. But it wasn't very alarming at the time and did not indicate that tons of books were being thrown away, especially useful monographs (I don't care about journals that I can access online, anyway). And since then Jason Nielsen told me of one disturbing example: a quantum mechanics book by Griffiths that we've used as a textbook every year for many years, which now is not in the library. That seems odd, given that it must have been used regularly over the years. In fact, when I teach a course like quantum mechanics I typically go into the library and browse through multiple textbook titles that are on the shelf. I don't actually know what is left, but it would be sad if that were no longer possible.

Sincerely,

Robert

Paula Schneider

Oct 25 (9 days ago)

to Robert, me, onuttom

<http://guides.library.ucsc.edu/c.php?g=154361&p=3455317>

Robert,

That does sound disturbing!

Based on this guide (link above) their renovation the books and journals were going on line, or being preserved somehow- not just tossed.

Has anyone checked the on-line sources? If they are not there than the library has misinformed us.

Thanks for your e-mail.

P

From: **Paula Schneider** <pschneid@ucsc.edu>

Date: Wed, Jun 22, 2016 at 8:26 AM

Subject: Fwd: Science Library news

To: Al Zahler <zahler@ucsc.edu>, Chad Saltikov <saltikov@ucsc.edu>, Enrico Ramirez-Ruiz <enrico@ucolick.org>, Ilan Benjamin <ilan@ucsc.edu>, Jie Qing <qing@ucsc.edu>, Jon Zehr <zehrj@ucsc.edu>, Peter Raimondi <raimondi@ucsc.edu>, Quentin Williams <qwilliam@ucsc.edu>, Rob Irion <irion@ucsc.edu>, "Robert P. Johnson" <rjohnson@ucsc.edu>, Colt Hangen <cjhangen@ucsc.edu>, Dana Rohlf <danar@ucsc.edu>, Jenna Scarpelli <jscar@ucsc.edu>, Judy VanLeuven <judy@ucsc.edu>, Lezlie Ward <laward@ucsc.edu>, METX Admin <metxadm@ucsc.edu>, Michelle Dohl <mldohl@ucsc.edu>, Patti Schell <pmschell@ucsc.edu>, Sissy Madden <smadden@ucsc.edu>, Teel Lopez <tblack@ucsc.edu>, Kristin Mott <kmott@ucsc.edu>, Susan Bright <sbright@ucsc.edu>, Christina Navarro <cnavarro@ucsc.edu>, Nancy Cox-Konopelski <nancyck@ucsc.edu>, Hal Kuhns <hkuhns@ucsc.edu>, Gretchen Andreasen <gha@ucsc.edu>, Claire Max <max@ucolick.org>, Gary Griggs <griggs@ucsc.edu>, Steve Ritz <ritz@scipp.ucsc.edu>, Mykell Discipulo <mkdiscip@ucsc.edu>, Graseilah Coolidge <gcoolidge@ucolick.org>, Rebecca Bard <rbard@ucsc.edu>, Branwyn Wagman

<bwagman@ucsc.edu>

Cc: Adria Roode <amroode@ucsc.edu>, Carrie Haber <carrie@ucsc.edu>, Dave Belanger <daveph@ucsc.edu>, Manny Ares <ares@ucsc.edu>, Maria Kerschen <kerschen@ucsc.edu>, Nicolle Laird <nlaird@ucsc.edu>, Paul Koch <plkoch@ucsc.edu>, "Paula D. Schneider" <pschneid@ucsc.edu>

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Best
Paul

From: **Elizabeth Cowell** <mcowell@ucsc.edu>
Date: Thu, Jun 9, 2016 at 9:40 AM
Subject: Science Library news
To: "libstaff-group@ucsc.edu" <libstaff-group@ucsc.edu>

Dear Libstaff,

I am writing to inform you of an important project underway at the Science & Engineering Library. With the end of finals, we are beginning a major consolidation of the collection which will clear the upper floor and allow us to add 200 additional seats throughout the library. This will begin to address the desperate need for study space on campus due to the increase in enrollment this coming fall and beyond.

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Our June all staff meeting is scheduled for Wednesday June 29 at 10am and will be entirely devoted to discussing the plans for S&E.

Elizabeth

--

Elizabeth Cowell
Richard L. Press University Librarian
Presidential Chair
University Library
UC Santa Cruz
mcowell@ucsc.edu
[831-459-2076](tel:831-459-2076)

Michael Nauenberg <mnauenbe@ucsc.edu>

Feb
14

to John, Lincoln, Richard, Michael

Today I spoke with one of our physics students who contacted me in regard to the S&E demolition. Enclosed is an interesting email correspondence he sent to me that he had with two librarians.
As you know Kerry Scott supervised the demolition

Regards, Michael

(enclosure)

I have heard you were interested about the "weeding out" of the library collection, and am forwarding you part of my correspondence in mid-summer when I was blocked from any intervention. My request to peruse doomed books was promptly denied. I can forward you my initial email as well.

Hello Janet,

I recently got the details of weeding the S&E collection for expansion, and I am very curious as to the books to be withdrawn. I spent some good times looking at the old astro collections and other miscellaneous "unwanted" books, and I am adamant on getting to look through books sent for pulping.

To my understanding, any unused unique texts will go to NRLF, whereas books that are unused and have a few duplicates on WorldCat will be terminated. I want to look at some of these books and possibly keep (or buy) some. I look forward to hearing from you, and thanks for your time. Have a great weekend.

Hello,

- Cameron

----- Forwarded message -----

From: **Kerry Scott** <scottk@ucsc.edu>
Date: Fri, Jul 22, 2016 at 6:35 PM
Subject: Re: Science Library Project
To: cam mackeen <cmackeen@ucsc.edu>

Dear Cameron,

I appreciate your request and I share the goal of preserving exactly the items you outline and have set-up the title review process to respect those criteria. I am sorry that I cannot accommodate your request.

best,

Kerry Scott

On Tue, Jul 19, 2016 at 1:41 PM, cam mackeen <cmackeen@ucsc.edu> wrote:
Hello Kerry,

I understand the sorting and review process is urgent because of the expansion plans for the S & E library, and I do not want to hinder your review process. My colleagues and I in the physics department simply want the opportunity to save any specific texts from withdrawal that we would take upon ourselves to keep. This includes obscure texts, journals and theses, as well as dated texts with antiquated insights.

I trust your team's review process, and sympathize with the various demands you must meet. The withdrawn texts are set aside to be pulped, and we want the chance to look through even if it is just a heap of books. We would schedule an hour a week to do so before recycle pick-up. In the last few years, I enjoyed perusing and picking neglected books off the shelf; I would be grateful for a final opportunity to do so. Thanks for your time and response, and I hope for your consideration of this favor.

Regards,

Cameron

On Tue, Jul 19, 2016 at 12:59 PM, Kerry Scott <scottk@ucsc.edu> wrote:

Dear Cameron,

Janet Young forwarded your inquiry to me. The Science & Engineering project is on an extremely tight timeline which precludes the possibility of accommodating requests to review titles selected for withdrawal. At this point, much of the S&E collection is still actively being reviewed and tagged for:

- local need onsite,
- availability within the UC and beyond,
- need by library shared print archives (JSTOR, UC Shared print, WEST shared print archive)

High use materials are being kept onsite for local use.

best,

Kerry Scott



UCSC Society of Physics Students Regarding the State of the S&E Library

May 16, 2018

SPS, UC Santa Cruz

UCSC Society of Physics Students
Department of Physics
1156 High Street
Santa Cruz, CA 95064
Email: sps@ucsc.edu

Dear University Librarian Elizabeth Cowell, Executive Vice Chancellor Marlene Tromp, and All Interested Parties,

The UCSC Society of Physics Students (SPS) is writing this letter regarding concerns of the physics student body regarding changes, previous and upcoming, to the Science & Engineering Library. Our primary concerns are as follows:

1. The removal and destruction of books during the Summer of 2016 was done without the input or notification of students or faculty. Despite feedback from students and faculty (such as a town hall meeting held during Spring of 2017), the library administration has neither made efforts to partially restore the collection, nor reproduced a useful list of the books destroyed (including author, text, and type), nor sought further input from students or faculty.
2. The Science & Engineering Library Task Force was begun to conduct a study to determine future plans that would support the success of the STEM student body. To do this, the task force was to gather input from students and faculty. The task force has failed at this, since the only efforts to communicate with and accommodate the needs of the student body have been cursory.

We find the actions of the library administration and the total lack of accountability extremely upsetting and disconcerting. To garner student input, the task force's study was to include, "interviews and focus groups with faculty, students, deans, and units engaged with STEM." SPS has never been contacted, nor have the following student groups: Rocket Team, Chem Club, Slugs United by Mathematics. These are groups representing the student body within STEM, who are the major users of the S&E Library and the intended demographic of the study. No focus groups have been held, no interviews have been held, minimal faculty have been consulted, and no publicity of the study was created. This demonstrates that the library administration is uninterested in or incapable of considering the needs of the students, which is why we're writing this letter now. We believe the library administration needs to heavily improve their communication with the student body, and to be held accountable for the destruction of books during the Summer of 2016. A serious effort must be undertaken to determine the appropriate scope of the print collection of the Science & Engineering Library. As it now stands, UC Santa Cruz, alone among the nine mature campuses, has a mediocre collection and a deficient collections policy. Finally, we believe that the Library should produce a searchable list of books destroyed, including author, title, and type.

Sincerely,

The UC Santa Cruz Society of Physics Students

Sarah Bowman, UCSC: Astrophysics 2019

Brandon Cavins, UCSC: Astrophysics 2020

Katie Dunne, UCSC: Physics 2019

Gabriela Hernandez, UCSC: Astrophysics 2018

Marina Huang, UCSC: Astrophysics 2020

Sophia Medallon, UCSC: Astrophysics 2020

Nick Omahen, UCSC: Astrophysics 2018

Maya Silverman, UCSC: Physics 2019

Valeria Urrutia, UCSC: Physics 2019

Jackson Yant, UCSC: Astrophysics 2018

Founders Celebration Dinner

Description:

Please join us at Founders Celebration 2016 for a look into the library as a "collision space" where technology, information, and ideas collide to create new knowledge and support dynamic exploration. This is an exclusive opportunity to celebrate and mingle in a special campus location that symbolizes both the excitement of change and the tradition of learning.

The evening will include a reception, dinner, and program.

Tickets:

Individual tickets: \$195 each

Deluxe package: \$1,000 (2 dinner tickets and a commemorative print of the UC Santa Cruz campus)

Purchase a table: \$1,950 (10 seats)



Event dates:

10/22/2016 - 6:00pm

November 30, 2016

Dear faculty members,

I am writing to update you on the state of the Science & Engineering Library renovation project and to tell you about the changes that are coming over the next several months.

The University Library and the Division of Physical and Biological Sciences are partnering on an HHMI grant-funded project to create a ninety-eight seat STEM active learning classroom on the main level of S&E. The new active learning classroom will open for testing in fall quarter 2017.

The construction contract was recently awarded and the project is scheduled to begin on December 12, 2016. Here is what you can expect to see:

Important Dates affecting access to library facilities and services:


- **12/12-12/22: the S&E Library will be closed**
 - This will allow the contractor to front load some of the more noisy and disruptive work ahead of students' winter quarter return. The library will offer a paging service for S&E collections during the closure. To request a book from the S&E collection, please email circulation@ucsc.edu or call the McHenry Library service desk at (831) 459-5185
- **12/9: the Cowell Room will be closed**
 - This will allow our Operations staff and ITS partners to breakdown and completely vacate the space. We are aware that Friday, 12/9 is the last day of finals; we delayed the closure as long as we could. We plan to aggressively advertise the service disruption and direct students to facilities and services at McHenry Library.
- **12/9: the Gaming Lab will close**
 - The current lab space will become part of the new active learning classroom. A new, larger Gaming Lab will reopen across the hall in room 215 in time for the start of winter quarter instruction.
- **12/9: main level furniture will be reconfigured**
 - Some public furniture on the main level of the library will be disassembled and stored. Other furniture will be relocated within the library. We need to do this to clear space for the low-profile raised flooring that will facilitate power and data in both the new classroom and a new information commons that will be created on the main level.

Service & Computing Impacts

- Access to the Dougherty Reading Room and the Gaming Lab may be limited at times while new flooring and infrastructure are installed. We will work with the contractor to minimize inconvenience to library users.
- Weeks nine, ten, and finals week of winter and spring quarters will be designated quiet weeks. The contractor will be required to minimize noise and other distracting activities during quiet weeks.
- Public computing in S&E will be reduced from eighty to thirty-two workstations for at least all of winter quarter while the new computer lab infrastructure is installed.
- Printing and scanning services and computer help desk services will continue during construction.
- The forty-eight computer workstations currently in the S.H. Cowell Room will be reconstituted as a new S&E information commons on the main level outside the Dougherty Reading Room during spring quarter.
- A second door will be added to the Dougherty Reading Room, increasing its capacity for user seating.
- A new, gender-neutral bathroom will be added on the main level of the library.

It has been a pleasure to work with so many Physical and Biological Sciences faculty members to realize this exciting new learning space devoted to STEM innovation. As we move from concept to execution, I will be providing additional updates on our progress. I welcome your feedback and questions.

Sincerely,



Elizabeth Cowell
Richard L. Press University Librarian
Presidential Chair
University Library

Elizabeth Cowell

Nov 1 (2 days ago)

to John, me, Kerry, Robert, Paul, Michael

Professor Nauenberg,

I am responding on behalf Kerry Scott. There are no lists to share. All of the titles removed from the Science & Engineering Library are available via ILL or online. Please send me the titles that you are unable to find that you need for your research.

Elizabeth Cowell

Michael

Nov 1 (2 days ago)

Nauenberg <mnauenbe@ucsc.edu>

to Kerry, Robert, Paul, Elizabeth, Michael

Dear Ms. Scott,

A week ago you responded to my letter regarding the changes made this summer in our Science Library. But in your response you did not include the information requested regarding a list of the books and other material that have been either transferred or discarded from our library.

At the next Academic Senate meeting on Nov 18, we are planning to have a session on the Science Library changes, and we need to have this information available asap.

Sincerely,

Michael Nauenberg
Professor of Physics (emeritus)
University of California
Santa Cruz, CA 95064

cc, Professor Robert Johnson, Chair of the Physics Dept.
PbSci Dean Paul Koch
Science Librarian Elizabeth Cowell

John Faulkner

Oct 29 (5 days ago)

to me

Mike: Below, find Claire's email to me of Oct. 26 in response to my email #1.

Note: It's possible that Claire's email was originally sent to the Science Librarian and that its Subject heading was originally just "Lick Observatory Materials" or "Science Library: Lick Observatory Materials". Following that, it might then have been forwarded (with the intra-library term "De-duplication" etc. added to the Subject heading), in a chain that ultimately arrived at Elizabeth Cowell for a response to Claire. (I can't see how Claire would have originally known or used the term "De-duplication" unless she'd gotten on the phone to talk about it, or had previous contact with the library before sending her email below.) As I wrote to you before, I'll ask her about this.

John

From: Elizabeth Cowell <mcowell@ucsc.edu>

Subject: Re: De-duplication at Science Library: Lick Observatory materials

Date: October 26, 2016 at 9:20:49 AM PDT

To: Max Claire <max@ucolick.org>

Cc: Bolte Mike <bolte@ucolick.org>, Tony Misch <lo@tonymisch.net>, Smith Graeme <graeme@ucolick.org>, Jason Nielsen <jnielsen@ucsc.edu>, Kerry Scott <scottk@ucsc.edu>

Dear Professor Max,

Thank you for your email. At the outset of the Science & Engineering Library consolidation project, we identified the Lick Library collection as material that would be better served in Special Collections. It is too valuable to be in open stacks. All titles are available in Cruzcat and available by request in Special Collections in McHenry Library.

Elizabeth

On Tue, Oct 25, 2016 at 11:48 PM, Max Claire <max@ucolick.org> wrote:
Dear UCSC Library Colleagues,

It has come to my attention that the Science and Engineering Library has been "cleaning out" its collection of books in order to make interaction space available.

As Director of UC Observatories, I am concerned about what may have happened to books from the Lick Observatory that had been moved to the Science Library when the Lick faculty moved to UCSC from Mount Hamilton. I am told that there were many pre-1960s books on the shelves for check-out in the Science Library that originally came from Lick Observatory, including a number of over-sized books and chart collections, some of them quite precious, such as copies of Moon and other atlases, rare USGS reports, etc.

Can you please update me on the fate of these books and charts?

Many thanks,

Claire Max
Director, UC Observatories (including Lick Observatory)



Paula Schneider

Oct 25 (9 days ago)

to me, Robert

Hi Michael,

I found the e-mail that was sent in June. It did go to Robert and the department manager at the time, Sissy Madden, with the request it be forwarded to everyone within the individual departmental units.

It was actually Paul that asked the Library to share the information, because he knew it would be unsettling it would be for users who use the library regularly.

Kind regards,

Paula

Exchanges between a Physics student, Cameron MacKeen and Librarian Kerry Scott in the 2016 Summer about the removal of volumes from the S&E library collection

Hello Janet,

I recently got the details of weeding the S&E collection for expansion, and I am very curious as to the books to be withdrawn. I spent some good times looking at the old astro collections and other miscellaneous "unwanted" books, and I am adamant on getting to look through books sent for pulping.

To my understanding, any unused unique texts will go to NRLF, whereas books that are unused and have a few duplicates on WorldCat will be terminated. I want to look at some of these books and possibly keep (or buy) some. I look forward to hearing from you, and thanks for your time. Have a great weekend.

Hello,

Cameron

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- local need onsite,
- availability within the UC and beyond,
- need by library shared print archives (JSTOR, UC Shared print, WEST shared print archive)

High use materials are being kept onsite for local use.best,

Kerry Scott

On Tue, Jul 19, 2016 at 1:41 PM, Cameron mackeen <cmackeen@ucsc.edu> responded:

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I trust your team's review process, and sympathize with the various demands you must meet. The withdrawn texts are set aside to be pulped, and we want the chance to look through even if it is just a heap of books. We would schedule an hour a week to do so before recycle pick-up. In the last few years, I enjoyed perusing and picking neglected books off the shelf; I would be grateful for a final opportunity to do so. Thanks for your time and response, and I hope for your consideration of this favor.

Regards,

Cameron

On Friday, July 22, 2016 at 6:35 Kerry Scott responded:

From: **Kerry Scott** <scottk@ucsc.edu>
Date: Fri, Jul 22, 2016 at 6:35 PM
Subject: Re: Science Library Project
To: cam mackeen <cmackeen@ucsc.edu>

Dear Cameron,
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best,
Kerry Scott

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to John, me, Kerry, Robert, Paul, Michael

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Elizabeth Cowell

Elizabeth Cowell, Nov 1, 2016
to John(Bono), Kerry (Scott), Robert(Johnson), Paul(Koch)
Professor Nauenberg,

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Elizabeth Cowell

10/27/2016

Dear Librarian Cowell,

We are writing to you as faculty members from various science departments who are shocked to see how the print collection in the Science & Engineering Library has shrunk over the summer, dwindling from a collection that occupied two floors to one that now occupies a fraction of one floor. Our understanding, which may be imperfect, is that a large number of books and journals have been either sent to NRLF or -- when copies are available in other UC libraries -- destroyed. We have problems with both the process and the outcome:

1. We are surprised that such a wholesale reduction of the print collection has happened without any effective notice to, or consultation with, the science and engineering faculty. While we understand that it is ultimately the administration's prerogative to decide how much space to provide to the print collection in the Science & Engineering Library, there is far more extensive consultation even when parking fees are raised by a hundred dollars; the books in the library are much more directly related to the academic mission of the university, and their destruction is more irreversible. We question whether such a drastic reduction of the print collection was advisable, and how the priorities of faculty research collections and special collections were balanced.

Although books at the NRLF and other campuses can be retrieved quickly, their removal from our library is not cost-free: it prevents browsing, so that only people who know what they are looking for will have access to the book. This is particularly damaging for those students who do not come from an academic environment, such as first-generation students, who are enterprising enough to look through the stacks to find alternatives to a course textbook or topical monograph that they find useful (even if the instructor did not). We have heard that the library's response to this complaint is that browsing is still possible through your online catalog. Surely you understand that the meager description in the online catalog is utterly inadequate for this purpose; even Amazon.com, despite having book descriptions, ratings and reviews, increasingly uses "Look Inside" to allow people to view tables of contents and subject indices.

2. Even if it turns out that the magnitude by which the print collection was reduced was unavoidable, we are astonished that the items to be discarded were chosen by the library without any input from the faculty. It would be difficult for any of us to make such decisions on behalf of our departments, without advice from our colleagues, and we believe that the library staff have less professional expertise in our fields than we have. The list of books that were tentatively scheduled for removal should have been circulated to the science and engineering faculty, and books that were considered to be essential -- even if rarely used -- should have been retained.

3. We are dismayed to learn that books have been destroyed without any opportunity being given to faculty or students to save them. We understand that the library's response to this is that UC policy does not allow personal use of material by University employees. If it is indeed the case that this policy applies even when a book is being discarded, we think it is completely irrational. We would appreciate it if you could give us a reference to the policy, so that we can confirm that it does indeed force the library to destroy books it is discarding, and try to have this policy changed.

We have several objectives in writing to you. First, we would like the library to halt the destruction of books if it is still continuing, until and unless it is confirmed that this is unavoidable. Second, if the transfer of books to NRLF is reversible, we would like the names of

books that have been transferred to be circulated to the faculty, so that any book that should have been retained can be retrieved. Third, we seek your assurance that major decisions by the library will only be taken after the relevant Senate committees and the faculty at large have been given sufficient time to comment, and their opinions have been considered; where professional expertise in academic disciplines is required, it should be recognized that this is the province of the faculty.

We look forward to hearing from you.

Sincerely,

Anthony Aguirre, Physics
Alex Ayzner, Chemistry
Stephanie Bailey, Physics
Frank Bauerle, Mathematics
Robert Boltje, Mathematics
Rebecca Braslau, Chemistry
Frank Bridges, Physics
George Brown, Physics
Mark Carr, EE Biology
Phil Crews, Chemistry
Michael Dine, Physics
Alice Durand, Physics
Sandra Faber, Astronomy
Peter Fischer, Physics
Viktor Ginzburg, Mathematics
Howie Haber, Physics
Lindsay Hinck, MCD Biology
Tesla Jeltema, Physics
Robert Johnson, Physics
Kathleen Kay, EE Biology
Yat Li, Chemistry
Pradip Mascharak, Chemistry
Claire Max, Astronomy
Francois Monard, Mathematics
Richard Montgomery, Mathematics
Ruth Murray-Clay, Astronomy
Onuttom Narayan, Physics
Michael Nauenberg, Physics
Jason Nielsen, Physics
Harry Noller, MCD Biology
Scott Oliver, Chemistry
Ingrid Parker, EE Biology
Jarmila Pittermann, EE Biology
Donald Potts, EE Biology
Stefano Profumo, Physics
Jie Qing, Mathematics
Pete Raimondi, EE Biology
Art Ramirez, Physics
Jevgenij Raskatov, Chemistry

Hartmut Sadrozinski, Physics
Peter Scott, Physics
William Scott, Chemistry
Bakthan Singaram, Chemistry
B. Sriram Shastry, Physics
Alexander Sher, Physics
Andy Skemer, Astronomy
David Smith, Physics
Susan Strome, MCD Biology
Junecue Suh, Mathematics
William Sullivan, MCD Biology
Anthony Tromba, Mathematics
Martin Weissman, Mathematics
David Williams, Physics
Quentin Williams, Earth & Planetary Sciences
Stan Woosley, Astronomy

Cc:

Chancellor George Blumenthal
CP/EVC Alison Galloway
VPAA Herbie Lee
PBSci Dean Paul Koch
COLASC Chair Eileen Zurbriggen
COLASC Analyst Kim Van Le
Senate Chair Ólöf Einarsdóttir
Senate Director Matthew Mednick

Dear George,

As I mentioned at the end to the Academic Senate meeting today, I have proposed a solution to restore, at least partially, our Science and Engineering library collection, at minimal cost to the campus.

To start, COLASC, in their excellent report to the Academic Senate, found that about 17% of the collection, i.e. 14,000 volumes that were shredded, were **unique** to the entire 10 campuses UC libraries. Fortunately, some copies of these volumes still exist and are stored in either the Northern or Southern storage facilities that UC maintains. These facilities are now so over crowded that UCOP has proposed to build new storage facilities.

Solution: I propose that our S&E library, which now has a nearly empty third floor, take these 14,000 volumes where students can browse and read them. These volumes would remain equally available to patrons at all the UC campus, and relieve some of the pressure to build new storage facilities.

One problem with this solution is that current UC policy is not to return volumes that have been sent previously to the UC storage facilities. But in view of the present crisis with the unprecedented demolition of our S&E library collection, UCOP may consider relaxing this policy.

Moreover, thousands of Journal volumes that are now online (e.g. Physical Review E) but have been kept in stacks of S&E, constituting almost half of the remaining volumes in these stacks, should have been withdrawn.

I also have been in touch with Claire Max who was not even consulted about the transfer of the Lick Collection to Special Collections in the McHenry Library. As you know, this Astronomy collection is one of the best two collections in the US, and brought many scholars to study in our S&E library. I often encountered Don Osterbrook on the stairs of our library, who as you know, did a great deal of research and wrote books on the history of Lick based on this collection.

Elizabeth Cowell announced that 100% of the collection had been transferred, but I found that this statement is false. During the past 51 years the librarians never made a list of volumes in this unique collection, and I found that a large number of volumes are still left in the S&E stacks (a partial list is attached), and only a fraction has been transferred. But the Special Collections librarian still has not made available a list of Lick Collection volumes transferred which I requested through the CPRA.

Regards, Michael

Books on ancient technology withdrawn from S & E library

We now have access to the lists used for the so-called Science and Engineering Library Consolidation Project.

The titles in the “withdrawals” files, according to this [official page of the UCSC Academic Senate](#) were “recycled as part of the consolidation project.” I assume they were all “shredded”. I hope I’m wrong.

It is particularly bewildering and disheartening to see historical atlases on these lists, many of them fairly recent. Atlases are simply not made or re-edited every year or decade. The list of historical and geographical atlases is given pp. 2–9 in [Withdraw_Part1.pdf](#). This is the kind of books I consult on the spot. Some are easily replaceable, others are not.

I used the recently circulated [Withdraw_Part2.pdf](#) to do an initial parsing of books on the history of ancient technology.

The matter of volume: a rough estimate of 15 volumes per page in each of these two “Withdraw” lists gives a total of 45,000 + 46,000 volumes destroyed, for a total of **91,000**. I hope this estimation is wrong. As one can see from my reporting on page 1269 below, the number of volumes per page may be greater than the number of titles. In the case of this page 1269, there are 14 titles that represent at least 26 volumes (I haven’t checked all the titles). An estimate based on 20 volumes per page (for about 15 titles per page) would mean that the number of books shredded could be as high as **122,000**. I think the Science Library had a little over 300,000 volumes in 2008. I’m looking for evidence of that.

Things that caught my eye, to be restored

1. From [Withdraw_Part1.pdf](#): all the atlases listed pp. 1–9;
2. From [Withdraw_Part2.pdf](#): many titles that it will take me much more time to identify. A sample follows:
 - Page 707: *Capitalisme et schizophrénie* / [par] Gilles Deleuze [et] Félix Guattari.
 - Page 449: *A short history of medicine* / by Charles Singer and E. Ashworth Underwood. 1960
 - Page 450: more interesting books on history of medicine (Anglo-saxon, Bible and Talmud, NT (Kee), palaeopathology); difficult to identify as no author is given at times.
 - Page 2368: *Opera inedita*. English; *Opera inedita. : The first translation of the Lichtenberg edition of 1775* / [by] Eric G. Forbes. 1971
3. The volume of books to be restored is simply huge and identifying them will take **enormous** time.

Page 1269 of Withdraw_Part2.pdf as an example

As I said above, pages 1277–84 list some of the books on the history of technology. I took page 1269 as an example of interest to me because that is where I find the *Studies in Ancient Technology* (Forbes), Gille's *Histoire des techniques*, and *A History of Technology* (Singer), books that I have used in the past and that are standard tools. Here are the titles I found on that page. I make a few comments on UC holdings:

- *Technology : a world history* / Daniel R. Headrick. 2005
- *Leonardo to the Internet : technology & culture from the Renaissance to the present* / Thomas J. Misa. 2009
- *The development of technical education in France, 1500-1850* / [by] Frederick B. Artz. 2004
- *The timetables of technology : a chronology of the most important people and events in the history of technology* / Bryan Bunch and Alexander Hellemans. 1966
- *The technology of man : a visual history* / Carlo M. Cipolla & Derek Birdsall. 1993

4 group libraries:

- UCB (NRLF);
 - UCI (Ayala);
 - UCSB;
 - UCR (science); all dated 1980.
- *Storia figurata delle invenzioni dalla selce scheggiata al volo spaziale*. English; *The picture history of inventions from plough to polaris*. 1980
 - *Man : the maker a history of technology and engineering*. 1963
 - *Studies in ancient technology*. 1958. AUTHOR R. J. Forbes is not given. Only one line for **nine** volumes.

After checking on this item (9 volumes, going from 1955 to 1966). The volumes are: v. 1. *Bitumen and petroleum in antiquity*.—v. 2. *Irrigation and drainage*.—v. 3. *Cosmetics and perfumes in antiquity*.—v. 4. *The fibres and fabrics of antiquity*.—v. 5. *Leather in antiquity*.—v. 6. *Heat and heating*.—v. 7. *Ancient geology*.—v. 8. *Metallurgy in antiquity*, pt. 1. — v. 9. *Metallurgy in antiquity*, pt. 2.

6 group libraries own this item (probably 7 UC libraries actually, if one counts the copy that I suspect exists at UCSF; 4 complete copies according to Melvyl search)

1. UCB copy in NRLF. v. 6 missing;
2. UCD Shields Libray, complete copy;

3. UCI Ayala Science Library, complete copy;
 4. UCSD Geisel, v. 7 only;
 5. UCLA:
 - UCLA Biomed History, complete;
 - UCLA YRL: v. 5 missing;
 - UCLA SRLF: vols. 8 and 9 missing;
 6. UCR Science: complete;
 7. UCSF?
- *Histoire des techniques : technique et civilisations, technique et sciences /* sous la direction de Bertrand Gille. 1964 (?)

That exact title corresponds to a large volume in *Encyclopédie de la Pléiade*, no. 41 (excellent collection). It is dated 1978, not 1964. The English version in 2 volumes is available in the UCSC Science Library.

The French original is owned by 5 group libraries (including NRLF):

- UCB: NRLF and electronic copy;
 - UCD: 1 copy in Shields;
 - UCI: 1 copy in Ayala;
 - UCLA: 1 copy in YRL;
 - UCR: 1 copy in Science;
- *Technik: eine Geschichte ihrer Probleme.* English; *A history of Western technology.* 1978
 - *Men, machines and history a short history of tools and machines in relation to social progress.* 1964
 - *The maze of ingenuity ideas and idealism in the development of technology.* 1948
 - *A history of technology /* edited by Charles Singer [and others]. 1975 (**five volumes!**)

1 group library owns the printed item as far as I can tell: UCSD. There is a separate catalogue entry in Melvyl for Volume 5. Does this explain the number 7 in the column *UC owned*?

- Online copies are “owned” by 5 “group libraries” (ACLS Humanities E-book) for UCSC, UCB, UCI, UCM and UCSD. I assume these five entities pay five fees of varying size.
 - To keep the print copy of this book would have been important. It has been destroyed.
- *Community nutrition : people, policies, and programs /* [compiled by] Helen S. Wright, Laura S. Sims.

Notes on list

1. the *UC owned* column includes NRLF and SRLF copies, it seems to me.
2. some of the single-title items include several volumes. For instance, *Studies in ancient technology* has 9 volumes but the list gives one title and one date. *A History of Technology* by Singer has 5 large volumes.
3. The date can be wrong, as for Bertrand Gille (1964 instead of 1978). Or hard to read: for instance Ch. Singer, *A history of technology* (almost exclusively available online).
4. On criteria for establishing the Withdraw list: why “last 5 years” rather than another number as “not purchased or used?” How was the number of years determined? Because of its yield?

Thoughts on the S & E Library

1. What percentage of books was actually destroyed? How many are still there?
2. Of the monographs that were pulped, how many should have been kept if proper consulting had occurred?
3. On criteria for establishing the Withdrawn list: why “last 5 years” rather than another number as “not purchased or used?” How was the number of years determined? Because of its yield?
4. Was speed the main constraint behind the decision to remove most of the collection? Why was there so little time allotted to do a more proper vetting?
 - a) [transfer and archiving of print and digital holdings] Regarding JSTOR or Calico (?), are the journals accessible now in perpetuity or could JSTOR resume its restricted policies? Might it rent to recoup its processing expenses?
 - b) Regarding Hathitrust.org: the committees on the management of holdings has barely begun its work, according to the website. Was input sought from Hathitrust, and what was the answer?
5. On the basis of a study of what was destroyed in geography (atlases) and history of technology, what percentage of books should have been kept?
6. Is there a cost to have access to OUP books like the five-volume by Singer? Does each campus having this digital version pay a fee, and how is it structured?

Books on ancient technology withdrawn from S & E library

We now have access to the lists used for the so-called Science and Engineering Library Consolidation Project.

The titles in the “withdrawals” files, according to this [official page of the UCSC Academic Senate](#) were “recycled as part of the consolidation project.” I assume they were all “shredded”. Strange to say, however, some of the titles listed in these withdrawal files are still listed in Cruzcat (and available on the shelves, it seems).

It is particularly bewildering and disheartening to see **historical atlases** on these lists, many of them fairly recent. Atlases are simply not made or re-edited every year or decade. The list of historical and geographical atlases is given pp. 2–9 in [Withdraw_Part1.pdf](#). This is the kind of books I consult on the spot. Some are easily replaceable, others are not.

I used the second “withdraw” list, [Withdraw_Part2.pdf](#), to do an initial parsing of books on the history of ancient technology.

As one can see from my reporting on page 1269 below, the number of volumes per page may be greater than the number of titles. In the case of this page 1269, there are 14 titles that represent at least 26 volumes.

Things that caught my eye, to be restored

1. From [Withdraw_Part1.pdf](#): all the atlases are listed pp. 1–9. They should be restored.
2. From [Withdraw_Part2.pdf](#): many titles that it will take me much more time to identify. A sample follows:
 - Page 449: *A short history of medicine* / by Charles Singer and E. Ashworth Underwood. 1960 Not listed in Cruzcat
 - Page 450: more interesting books on history of medicine (Anglo-saxon, Bible and Talmud, NT (Kee), palaeopathology); difficult to identify as no author is given at times.
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Pages 1277–84 list some of the books on the history of technology. I took page 1269 as an example of interest to me because that is where I find the *Studies in Ancient Technology* (Forbes), Gille’s *Histoire des techniques*, and *A History of Technology* (Singer), books that I have used in the past and that are standard tools. Here are the titles I found on that page. I make a few comments on UC holdings:

- *Technology : a world history* / Daniel R. Headrick. 2005 Listed by Cruzcat as online
- *Leonardo to the Internet : technology & culture from the Renaissance to the present* / Thomas J. Misa. 2009 Not listed by Cruzcat
- *The development of technical education in France, 1500-1850* / [by] Frederick B. Artz. 2004 Not listed by Cruzcat
- *The timetables of technology : a chronology of the most important people and events in the history of technology* / Bryan Bunch and Alexander

Hellemans. 1966 Not listed by Cruzcat (but other timetables, parts of the same series, are in McH Ref)

- *The technology of man : a visual history* / Carlo M. Cipolla & Derek Birdsall. 1993 Not listed by Cruzcat

4 group libraries:

- UCB (NRLF);
- UCI (Ayala);
- UCSB;
- UCR (science); all dated 1980.

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- *Man : the maker a history of technology and engineering*. 1963 Not listed by Cruzcat
- *Studies in ancient technology*. 1958. AUTHOR R. J. Forbes is not given. Only one line given in the “Withdrawn list” for **nine** volumes. Not listed by Cruzcat

After checking on this item (9 volumes, going from 1955 to 1966). The volumes are: v. 1. *Bitumen and petroleum in antiquity*.—v. 2. *Irrigation and drainage*.—v. 3. *Cosmetics and perfumes in antiquity*.—v. 4. *The fibres and fabrics of antiquity*.—v. 5. *Leather in antiquity*.—v. 6. *Heat and heating*.—v. 7. *Ancient geology*.—v. 8. *Metallurgy in antiquity*, pt. 1. – v. 9. *Metallurgy in antiquity*, pt. 2.

6 group libraries own this item (probably 7 UC libraries actually, if one counts the copy that I suspect exists at UCSF; 4 complete copies according to Melvyl search)

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 - UCLA Biomed History, complete;
 - UCLA YRL: v. 5 missing;
 - UCLA SRLF: vols. 8 and 9 missing;
 6. UCR Science: complete;
 7. UCSF?
- *Histoire des techniques : technique et civilisations, technique et sciences* / sous la direction de Bertrand Gille. 1964 (?) Not listed by Cruzcat

That exact title corresponds to a large volume in *Encyclopédie de la Pléiade*, no. 41 (excellent collection). It is dated 1978, not 1964. The English

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 - UCR: 1 copy in Science;
- *Technik: eine Geschichte ihrer Probleme*. English; *A history of Western technology*. 1978 Not listed by Cruzcat
 - *Men, machines and history a short history of tools and machines in relation to social progress*. 1964 Not listed by Cruzcat
 - *The maze of ingenuity ideas and idealism in the development of technology*. 1948 **The 1992 2d ed. is listed in Cruzcat as T15.P35 1992**
 - *A history of technology* / edited by Charles Singer [and others]. 1975 (**five volumes!**) Listed by Cruzcat as online

1 group library owns the printed item as far as I can tell: UCSD. There is a separate catalogue entry in Melvyl for Volume 5. Does this explain the number 7 in the column *UC owned*?

- Online copies are “owned” by 5 “group libraries” (ACLS Humanities E-book) for UCSC, UCB, UCI, UCM and UCSD. I assume these five entities pay five fees of varying size.
 - To keep the print copy of this book would have been important. It has been destroyed.
- *Community nutrition : people, policies, and programs* / [compiled by] Helen S. Wright, Laura S. Sims. Not listed by Cruzcat

Long term goals

Here are our preliminary ideas for the renovation of the Science & Engineering Library. They will be refined as we work with students, faculty and other campus stakeholders to develop a renovation program, as new opportunities arise, and demand for library spaces and services evolves.

Upper level

- Provide additional group study rooms. Currently, McHenry Library has 20 reservable group study rooms and S&E has only eight.
- Provide additional individual and small group seating..

Main level

- Expand the Dougherty Reading Room.
- Expand the Information Commons.
- Create a new, larger, and permanent home for the Computer Gaming Laboratory.

Lower level

- Create a library café modeled on the successful Global Village Café at McHenry Library. The café will have a separate entrance on plaza between the library and Sinsheimer Labs and should provide a convivial place for Science Hill faculty and students to gather.
- Provide additional group study rooms.

to me

Dear Michael,

Thank you for sending me the Sentinel piece.

Apologies for the length of this email. I hope this will help answer your questions.

NRLF:

Regarding your question about your book *The Foundations of Newtonian Scholarship*, below is an explanation of the NRLF send process.

The UC libraries all consider NRLF and SRLF holdings integral parts of their collections. Sending titles to the NRLF affirms their continued value and assures their continued availability to the UC system. The RLFs have a persistence policy which dictates that any titles sent to the RLFs are to be kept in perpetuity. If a title is lost or damaged through the ILL process (which happens very rarely, the last statistic I am aware of was about 2% loss rate), it must be replaced. We do not alert faculty when their titles are sent to the NRLF because the books are still firmly held in our collection, in perpetuity, and are accessible via Interlibrary Loan.

The process for sending materials to the NRLF is the following:

Annually, the library sends titles that are of continued value to the UC system but have low circulation on site. UCSC's contribution to the NRLF is between 8K and 10K volumes a year

The focus is on single-title monographs that meet the following criteria:

- Last check in 5 or more years ago
- The title is not part of an analyzed set
- The title is not already held in the NRLF or SRLF

The CoLaSC Report

Regarding your question about the excerpt from the CoLaSC report about titles not held in the UC, “[y]et the number of titles that are not held by other UC institutions constitutes nearly 14,000 titles.” I don't know how CoLaSC came up with this figure (and I don't have a copy of the full report), but I have an educated guess. To determine whether titles were owned in the UC system, columns C, D, and E [<https://senate.ucsc.edu/>] all need to be reviewed/filtered together.

Columns C and D indicate whether a title is held in the RLFs. It appears that CoLaSC did not take columns C and D into consideration when ascertaining how many titles not owned by the UCs were recommended for withdrawal (the RLFs are UC libraries and are persistent holdings; if it is in the RLF, it is effectively a forever holding).

Column E indicates if a title is held on another UC campus – filtering for blanks in that column alone nets close to 14K titles, but it ignores columns C & D altogether. The count goes down by more than ½ if you factor in RLF holdings.

And, because these were *working lists*, essentially *recommendations* for what to withdraw based on the data we had, and were not updated with new decisions as the project went along, those remaining 6K titles that indicate no RLFs and no UCs held them, need to be individually searched in cruzcat to determine if they actually were withdrawn. Many of them are likely still in the collection in their print format, or in eBook format and many of them were likely identified (in a wholly separate process, not part of the S&E collection work) as NRLF sends before the S&E consolidation project was conceived. To determine if a title you are concerned about was actually withdrawn, search in cruzcat.

RE: Determining What Books Have Been Purchased on DDA

I talked to the cruzcat tech about the way to capture what titles are coming in. None of the searches I set up to test it worked. I am setting up a call with the tech to figure out if it is me or if it is the system and will get back to you when I have a good, clear set of useful instructions on how to do it.

I meet with the Head of Cataloging tomorrow and have added the two records you sent on Friday to our meeting agenda. I'll email tomorrow afternoon with a follow-up to that issue.

best,
Kerry

Kerry Scott <scottk@ucsc.edu>

Aug
1

to me

Dear Michael,

I spoke with the Head of Cataloging about the two titles you sent, specifically, and about the issue of Tables of Contents (ToC's) in the catalog, in general. In essence, since we are moving to a new catalog system, every MARC record set-up is under scrutiny right now. The question of whether to migrate the ToC's into the new system is one they are discussing in the department. The ToC's were largely added back when eBooks were less available and the catalogers agree that their utility may have seen their day, especially since they are misleading. In the interim, because the records do indicate that what the link is going to is a table of contents, there won't be any edits made right now.

Thanks for providing information about these titles and for confirming something we suspect is true for more than a few patrons. I suspect that the ToC links won't migrate into the new system.

best,
Kerry

Kerry Scott <scottk@ucsc.edu>

Aug
7

to me

Dear Michael,

CDL responded to our query with the following information, pasted in below.

*This is a known problem with items that have been scanned for inclusion in the **HathiTrust Digital Library** and are still under copyright restrictions. You can find the complete explanation of what's happening in the Melvyl FAQ here: http://www.cdlib.org/services/d2d/melvyl/Melvyl_FAQ.html#hathi4.*

In any case, the bottom line is that the WCL record looks as if the UC campuses have access to the full text of this ebook, but, in fact, they do not. The book's content is available in "Search Only" mode in HathiTrust because the book is still under copyright.

In sum, CDL knows about the issue but is not able to resolve the issue at this time. I spoke with our Head of Cataloging and our Head of Interlibrary Loan about the problem. The Head of Interlibrary Loan is bringing the issue forward to her CDL colleagues at their ILL conference this week to reinforce the confusing nature of these records and the need for a solution. If/when the larger issue is resolved, I will let you know.

In the interim, we do not have an eBook or a print book at UCSC. To order a copy for your own use, you may use Interlibrary Loan. If you receive a message that says UCSC owns the book, ignore it and continue on with your ILL request.

best,
Kerry

By **LETTERS FROM OUR READERS** |

PUBLISHED: December 28, 2016 at 1:07 pm | UPDATED: December 28, 2016 at 1:08 pm

UC Santa Cruz is educating more students, but without a corresponding growth in space. This past summer, the campus began to revitalize our Science and Engineering Library to provide our students with desperately needed study space. We removed about 70,000 books and journal titles, a decision backed by data and also done with faculty input. These journals and books mostly had not been used, and they all are still available online or through interlibrary loan. Rare or non-duplicated books were retained and often moved to special collections.

Many people have discovered our online catalog the most effective way to browse because it provides access to more content. This approach both preserves access to the research material and provides space where students can study, learn, and collaborate, at a time when we are serving more California students than ever before.

Herbert Lee

Interim campus provost and executive vice chancellor

UC Santa Cruz

Saws are whirring on an innovative project to reshape undergraduate science education. Construction crews are converting the Science & Engineering Library's S.H. Cowell Room into a 99-seat active learning classroom. The classroom, a first of its kind for our campus, is set to open next fall and is a significant first step in a multi-phased renovation for this library.

Much like the rejuvenation of the McHenry Library six years ago, the campus is looking to invest in our Science & Engineering Library so that it can meet the challenges of a larger student body and a campus community living in a digital age.

A reimagined Science & Engineering Library has been a priority in our [Campaign for UC Santa Cruz](#), and fundraising success will be instrumental in moving this project forward. The campus is taking a phased approach so that we can sooner increase study rooms and collaborative workspaces, add a café, information commons, and improve the infrastructure and more.

The classroom project highlights the library's potential and importance in our academic mission. Nearly three years in the making, it builds on a collaboration between the University Library and the Division of Physical and Biological Sciences, and is another example of our campus's extraordinary commitment to student learning and academic success.

Research has shown that active learning increases student success in science, engineering, and mathematics, and is often a better approach than large lectures. One [2014 study](#) showed that "average examination scores improved by about 6 percent in active learning sections and that students in classes with traditional lecturing were 1.5 times more likely to fail than were students in classes with active learning."

This project got its start two-and-half years ago, after UC Santa Cruz received a [\\$1.5 million grant](#) from the Howard Hughes Medical Institute to support an innovative effort to increase the number of students graduating with science degrees.

Already, we have a strong record when it comes to students earning the degree that drew them to UC Santa Cruz. The STEM persistence rate is 57 percent overall—above the national average of 40 percent—and 51 percent for underrepresented minority students, well above the national average of 20 percent. Still, we can and should do better.

Another major project where the library has taken the lead for our campus is in the creation of additional study space for our students. With the growth in California resident students on our campus, as well as throughout the system, we have an acute need for additional quiet and group study space for our students. The Science & Engineering Library was able to create a significant amount of study space by consolidating the collection to one focused on the most highly used titles. All titles removed are available to our campus online or via interlibrary loan.

Students have welcomed this additional space. The floor was filled with students—nearly 700 at one point—cramming for their final exams.

I encourage faculty interested in learning more about active learning to take part in the lunchtime [STEM Active Learning Seminar](#), and to visit our newest classroom when it opens next fall.

More information about the collection project can be [found online](#).



Interim Campus Provost/Executive Vice Chancellor Herbert Lee



Letter: No UCSC plan to remove volumes from library

POSTED: 05/01/17, 4:02 PM PDT

UPDATED: 6 DAYS AGO

1 COMMENT

There's nothing like facts getting in the way of a good story.

A recent [letter to the editor](#) from Michael Nauenberg, UCSC professor emeritus of physics, contained two significant inaccuracies.

First, before converting a floor of the Science and Engineering Library into student study space, library leaders consulted with the Academic Senate committee that deals with our libraries. Deans, top administrators, as well as the Office of the Campus Provost and Executive Vice Chancellor, were also brought into the discussion. That would suggest significant consultation.

Second, there is no plan — let alone an announcement of one — to remove most of the remaining volumes from our library.

Libraries are curators of information and ideas. Ours will continue to be one, both through books and, in this digital age, by providing access to online journals, books, and databases.

— *Herbert Lee, UCSC campus provost and executive vice chancellor*

In your article entitled “Library Purges Print Collection” in the April 21 issue of City On A Hill Press, the interim Executive Vice Chancellor, Herbie Lee, claimed that “there definitely was an attempt by the library to consult the faculty” about this purge. But his statement is demonstrably false. Neither I, nor any of my colleagues in the Physics Department, and in other Science Departments were **consulted** about this purge. Last Summer, a few days before the purge started, I went to the library to check out a couple of journals from the Lick collection. Normally one is allowed to keep them for a few days only, but to my surprise I was told that I could keep them during the entire Summer. When I asked why, I was told that the library would be closed for “repairs” because the roof was leaking. Evidently, to keep this purge secret from faculty and students, even the staff librarians had not been informed of it until one day before it began to be put into effect. This fact is verified by the date, June 9, 2016, that appeared on a memorandum from the head librarian Elizabeth Cowell to staff librarians about “a major consolidation of the collection . . . ” shown during my presentation. Furthermore, four months after the Academic Senate passed a resolution signed by over 55 faculty that **Calls on the University Librarian to commit that such an action will not be repeated, and that the Academic Senate will be adequately consulted and the faculty informed before making significant changes to the on-campus collections and archives of the University Library,**

Our campus EVC Lee ignored this resolution. Instead, he announced plans for a “**reimaged**” S&E Library” that includes a café and kitchen facilities, but only a skeleton of 9 stacks for printed books. Meanwhile, a visit to the campus bookstore reveals that many faculty still **require** students to buy printed textbooks for their courses.

Michael Nauenberg
Professor of Physics Emeritus
UCSC
Email michael@physics.ucsc.edu
Phone: 831-423-5139

December 18, 2016

Dear George,

We would like to meet with you about the future of our Science and Engineering library.

As you know, at our last Academic Senate a resolution passed without a single dissenting voice expressing the utter dismay of our faculty at the dismantling of our library during the past Summer. We learned that 82000 volumes were either transferred or shredded without any consultation whatsoever with our faculty. The precious Lick Observatory collection on open shelves, that transformed our small library into one of the finest Astronomy libraries in the world, was transferred behind the walls of the Special Collections section of the McHenry library

With the advent of books and journals on line, we are well aware of the need to consolidate library collections. To find out how this task is accomplished at other UC campus, we asked the head librarian at UC Berkeley, Professor Jeffrey Mackie-Mason, and he responded:

“Our Academic Senate has a Library Committee. They meet monthly, and we consult with them continuously about library objectives, strategy and policies concerning our collections and their management (as well as other issues of course). “

Likewise, Richard L. Press, whose name was given to the Presidential Library Chair on our campus wrote:

“My background includes 16 years as a university librarian with a specialty in collection development. My own experience concerning the transfer and or destruction of library materials was that all parties concerned were involved in extensive discussions before any action was taken. Was not this the case here ?”

The answer is “no”. On our campus, there wasn’t any consultation whatsoever with our faculty.

For background information , attached are the floor proposed for the building previously occupied by our library

Sincerely,

John Faulkner
Richard Montgomery
Michael Nauenberg
Harry Noller

Dear Chancellor Blumenthal and Provost Tromp,

Following on my comments to you at the end of the Academic Senate meeting yesterday about our Science and Engineering library and its future, I'll give first a brief background for Provost Tromp:

In the Fall of 2016 we learned that during the previous Summer over 80,000 volumes had been removed and shredded without any meaningful consultation with the faculty. A resolution was then passed unanimously by the Academic Senate that Calls, in particular, on the University Librarian, Elizabeth Cowell, that

“ such an action will not be repeated, and that the Academic Senate will be adequately consulted and the faculty informed before making significant changes in the on-campus collection . . .”

Instead, one learns from the current minutes of the AS committee for the libraries (COLASC), a 15 page document attached here, that Librarian Cowell has issued a document entitled “ Business Case Analysis (BCA) detailing future plans for the S&E library, again without any COLASC input, and consultation with the faculty. This document was approved by the Chancellor in spite of the AS resolution, and it has not been made available to the faculty in spite of repeated requests for the past months.

The COLASC minutes state:

“The committee does not have the authority to release the BCA itself but we strongly urge the CP/EVC to do so as soon as possible. We believe it is important to share this document openly in order to contribute to transparency and rebuild trust”

The

Instead, the planning proposed in this document has been going forward, some of which Librarian Cowell and the librarian outlined in an impromptu meeting with students which I and George attended. The former EVC Herbert Lee also gave his own views about the future of the S&E library in an article entitled “A reimaged Science and Engineering Library that appeared in a Newsday article on January 24, 2017

In its Summary and Future Directions COLASC states:

“There was a consensus among members that consultation with COLASC and the faculty more broadly concerning the removal of books from the S&E Library in 2016 was not sufficient, with resultant damage to the principle of shared governance. The committee is deeply concerned that plans for a renovated S&E Library are being developed without adequate input and decision making by the campus community. As detailed in our response to the S&E library BCA, decision making without adequate involvement of faculty and Academic Senate creates a risk of further violations of shared governance from the faculty

Last April at a meeting of the Chancellor with the emeriti faculty my physics colleague George Brown and I proposed that a faculty committee with students and a representative for the Administration be formed to plan the future of the S&E library. At a recent meeting with Provost Tromp I learned that such a committee has finally been formed, but it is inadequately staffed: for example it does not have representatives from Mathematics, Chemistry, Earth and Planetary Sciences and Environmental Studies and this should be corrected.

Now COLASC recommends that a Task force concerning the future of the S&E library be formed in the Fall of 2017 that

- a) consists of faculty, staff and students (graduate and under graduate_
- b) be highly visible (to include the Senate Chair and CP/EVC_
- c) be clearly balanced between the different constituents
- d) the chair of COLASC, or another member should be part of the task force

Dear Professor Jeffrey MacKie-Mason,

Some time ago I was in touch with you regarding some questions about the conversion of printed to digital libraries .

I notice that on May 3 you will be on our campus participating in a panel discussion on library's future and I look forward meeting you then.

You may be interested in a talk I gave regarding the withdrawal of about 80,000 volumes from our Science and Engineering library collection last Summer. You can find a video of my talk on my website at

physics.ucsc.edu/~michael

and a report on the local campus newspaper City on a Hill at

<http://www.cityonahillpress.com/2017/04/21/library-purges-print-collection-2/>

Regards,
Michael

**Committee on Library and Scholarly Communication
May 2017 Report**

To: Academic Senate, Santa Cruz Division

In the summer of 2016, approximately 80,000 titles (journal runs and monographs) were removed from the Science and Engineering (S&E) Library. The Senate passed a resolution responding to this event on November 8, 2016. In this report, the Committee on the Library and Scholarly Communication (COLASC) provides information about our activities this year that relate to this resolution and to the Science and Engineering Library more broadly.

Follow-up on November 8, 2016 Senate Resolution

The Senate resolution included three calls, two directed to the University Librarian and one to the Chancellor and CP/EVC. We report on what actions have been taken by administrators in response to those calls. In addition, COLASC has taken some actions in keeping with the spirit of the resolution and we report on those as well.

(1) Calls on the University Librarian to commit that such an action will not be repeated, and that the Academic Senate, Graduate Student Association, and Student Union Assembly will be adequately consulted and the faculty informed before making significant changes to the on-campus collections and archives of the University Library

During the November 18, 2016 Senate meeting, Librarian Cowell made a statement committing to a more effective consultation process in the future. To our knowledge, she has not made any public statements about avoiding large reductions to the print collections in the future. However, in multiple meetings she has assured COLASC that there are no plans for further large reductions in the print collections at the Science and Engineering Library, nor is there a plan for a large reduction in the print collections at McHenry Library. We believe that the spirit of the Senate resolution was to decry large-scale reductions in the print collections (especially with inadequate consultation), not to request that regular culling processes be suspended. However, in the face of the large reduction in the S&E print collections, it might be sensible to suspend culling those collections for a few years.

COLASC has had discussions with the University Librarian and with both associate university librarians concerning the consultation that occurred in May 2016. In our April 27, 2017 consultation with Interim CP/EVC Herbert Lee we also discussed this topic. All parties agree that consultation could be improved and will strive for that goal in the future. COLASC commits to enforcing the Senate's consultation policy, which closes committee agendas the first week of May. For any matters of substance, COLASC will also request that written supporting documents be distributed as part of the agenda to minimize the risk of miscommunication and to provide committee members time to carefully review the issues.

The original Senate consultation regarding the S&E Library collection reduction fell short in several regards. First, the consultation was requested very late in the year and past the Senate's typical cut-off date for consultations. Second, the description of the consultation topic referenced a pilot project related to de-duplication at the regional storage facilities, not de-duplication on the UCSC campus. Finally, no written materials were supplied to COLASC before or during the

consultation. COLASC provided multiple suggestions in response to the oral presentation (see the minutes from May 26, 2016¹), but given the timing and nature of the presentation, the consultation was impaired. If written supporting documents had been provided prior to our meeting in May 2016, we believe that COLASC would have been better able to ascertain the scope of the project and could have responded appropriately. In addition, we have been reminded that a high-level or abstract proposal that seems eminently reasonable when examined at that level can become decidedly less so after digging into the details. Going forward, COLASC is committed to requesting plans that are detailed enough to allow us to provide a more insightful analysis.

(2) Calls on the University Librarian to provide the faculty with a list of books removed from the Science Library, and take steps to reacquire (in print or online form) those books that the faculty consider extremely important

On January 27, 2017, the University Librarian provided the Senate a pdf list of books removed. We recently requested, and received, an excel version of that list, which allows for sorting, enhanced searching, and an accurate count of the number of titles. That list is available on the Senate webpage.²

Some Senators have asked whether some books could be pulled back from the Northern Regional Library Facility (NRLF) or Southern Regional Library Facility (SRLF) storage facilities. Contrary to COLASC's original understanding (as reported in the minutes from the May 26, 2016 meeting), none of the titles removed during the S&E project were sent to the regional storage facilities. Only some of the books removed have a copy in the NRLF or the SRLF; for those that do, the storage copies are owned by another campus. It is COLASC's understanding that it is against system-wide library policy for any books to be removed from the RLFs and sent back to a campus; a campus can't even ask for its own books back from the RLFs. Separately, there is no procedure for transferring books from one library to another. A system-wide policy change would need to happen before such requests could be granted. COLASC is willing to investigate what it would take to effect such a change; however, before doing so it would be helpful to know how much demand there is for such exploration. We suggest that interested faculty work together within your disciplines to examine the lists provided by the University Librarian and identify key texts (with copies currently in the NRLF or SRLF). COLASC can compile those lists, evaluate the scope, and then (if warranted) gather information about what steps could be taken to change policy.

The library is severely under-funded, compared to the other UC campuses and to our comparator universities. There are currently no funds set aside to reacquire the removed books. However, the library now operates under a demand-driven acquisition model³. Under this model, there are no longer collections librarians purchasing monographs to build the collections; all purchases are made only in response to requests from users. Therefore, if there are titles that are essential to

¹ The minutes may be viewed at <http://senate.ucsc.edu/committees/colasc-committee-on-library-and-scholarly-communication/colasc-minutes/2015-16-colasc-minutes/COLASC052616minutes.pdf>

² <http://senate.ucsc.edu/archives/Current%20Issues/Library%20Issues/Science%20and%20Engineering%20Library%20Consolidation%20Project/index.html>

³ The model may be viewed at <http://guides.library.ucsc.edu/generalcollections/DDA>

your current teaching or research that were removed from the collections, we suggest that you request that the library repurchase them. If you make any such requests, it would be helpful to COLASC if you would inform us (email COLASC analyst Le, kle11@ucsc.edu).

(3) Calls on the Chancellor and CPEVC to reaffirm the role of the University Library as a teaching and research library that is key to supporting faculty and student research as well as instruction.

During the November 18, 2016 Senate meeting, Chancellor Blumenthal made a general statement of support concerning the importance of the library to our academic mission (see draft March 8, 2017 minutes). COLASC consulted with Interim CP/EVC Lee during our 4/27/17 meeting and he made a general statement of support for the library. Interim CP/EVC Lee is also planning to discuss the library during his remarks at the Senate meeting on May 19, 2017.

We thank the Chancellor and Interim CP/EVC for these statements but note that an abstract statement of support is less reassuring than a more concrete commitment, one that acknowledges the importance of adequate funding and, ideally, dedicates more money to the library. Other than UC Merced (a campus that is still in its infancy), UCSC is the only eligible⁴ UC that is not a member of the Association of Research Libraries (ARL), mostly because the level of resources devoted to our library is not large enough for us to qualify⁵. Past COLASCs have generated plans for moving UCSC toward this goal, through gradually increasing the funding to the library, but none of these plans have been taken up by the administration. We invite the incoming CP/EVC to commit to supporting the library with funding that moves us closer to ARL membership and the associated research resources appropriate for a Research 1 university.

On-going Committee Business

Analysis of the S&E de-duplication project

Faculty concerns regarding de-duplication have focused both on the metrics used and overall availability of books that were removed. The following is a brief and preliminary analysis of the data shared by the University librarians (nb. the list of removed books is known to have some inaccuracies, so these analyses should be interpreted in that context). A total of 83,579 titles were removed. Of those, 17% are not owned by any UC library, while only 30% and 32% of titles have duplicates in the NRLF and SRLF respectively (by UC policy, there are no duplicates between the NRLF and SRLF). Of copies owned worldwide, 98% of de-duplicated titles have 21 or more copies available. On the one hand, there appears to be a high level of availability within the UC system (approximately 83%). **Yet the number of titles that are not held by other UC institutions constitutes nearly 14,000 titles.**

⁴ UCSF is not eligible because its Carnegie classification is “Special Focus Four Year: Medical Schools & Centers”; membership in the ARL is limited to doctoral universities with high or very high research activity.

⁵ ARL membership criteria include (a) similarity of parent institutions (e.g., Carnegie classification), (b) similarity of size (including volumes held, volumes added, current serial titles received, total library expenditures, total library material expenditures, number of professional plus support staff, and total salaries and wages of professional staff), and (c) “significant contributions to the distributed North American collection of research resources” (http://www.arl.org/storage/documents/publications/ARL_Membership_Procedures_Updated19Oct2016_NewBranding.pdf)

This brings up questions such as: If books are not available within the UC system, how does this impact accessibility? Is interlibrary loan (ILL) for those titles not held within the UC system possible? What is the difference in costs for UCSC to access (via ILL) books held worldwide in comparison to those owned by other UC institutions or held in the NRLF/SRLF facilities? How many of the books that are not easily accessible by ILL are available digitally?

We have heard anecdotally from some faculty about specific titles that were removed that are useful for current research and teaching. For example, a wide variety of undergraduate physics textbooks were removed, and the resulting on-site collection offers students a reduced variety in texts that cover topics germane to a number of introductory level physics classes. COLASC is interested in collecting any additional examples that faculty may be aware of (email COLASC analyst Le, kle11@ucsc.edu)

From COLASC's discussions with individual faculty, it appears that the changes that were made to the Science and Engineering Library during the de-duplication process may have affected both the research and instructional capabilities of faculty. A disciplinary analyses of the list of removed books could help COLASC to confirm or dismiss this assertion and we invite interested faculty to pursue such analyses and share them with COLASC.

We note that future plans for the S&E library also have the potential for impacts on the faculty. The need for faculty input at a meaningful level, whereby this input is sought in a broad, collaborative, and timely manner, goes beyond just the immediate needs of individual faculty. The new Science and Engineering Library is envisioned as a place of student education, learning, and interaction and it aims to provide adequate space and digital and core physical resources to facilitate this. Plans that are being drawn up for the new Science & Engineering Library will have major implications for how instruction and student learning is done at UCSC. As such, they may impact educational policy at UCSC for the foreseeable future. Shared governance means that it is essential for faculty to have a voice in shaping this future. This should be the province of not only COLASC, but it equally belongs within the purview of Academic Senate committees such as the Committee on Teaching, Committee on Educational Policy, and Committee on Faculty Welfare, as well as the Senate Faculty as a whole. COLASC urges the Library and the senior University Administration to seek such wide-ranging consultation with the Academic Senate throughout this process. Widespread distribution of any documents related to proposed renovations of the S&E Library would be a fine first start.

Faculty Survey

COLASC is working to design a survey for faculty, with a planned administration in fall 2017. Our goals are to build on the 2014 survey (see the minutes from April 28, 2016⁶), in part by asking directly about issues that were frequently mentioned in the open-ended responses to that survey. We want to amplify the voice of the faculty in providing input about services and resources that they are currently utilizing in teaching, research, and service, and services and resources that are not currently available but are desired. We also hope to gain some information about faculty priorities in the face of constrained financial resources. Example questions include the utilization of certain existing services and the potential utilization of services that could be

⁶ The minutes may be viewed at <http://senate.ucsc.edu/committees/colasc-committee-on-library-and-scolarly-communication/colasc-minutes/2015-16-colasc-minutes/COLASC042816minutes.pdf>

(re)introduced, such as book delivery to faculty campus mailboxes. Potentially, the survey might also gauge faculty attitudes toward moving to “fee for service” models for some services. At the same time, the survey will try to inform faculty of the financial tradeoffs involved in certain decisions, especially when reality is rather counterintuitive, (e.g., in many cases, the cost of two interlibrary loans will roughly cover the cost of purchasing the book). We hope that all faculty will respond to the survey when it is distributed.

Conclusion

The Library deserves praise for providing as many services and resources as possible in the face of extreme under-funding. Our praise extends to librarians and staff in all areas and at all levels, who in our experience are, to a person, working with diligence, patience, and ingenuity to provide the best service possible to all library users. The library as an institution is part of a changing landscape of how students and scholars access information. Libraries across the country are reducing their print volumes in favor of electronic copies and there are concomitant changes in space utilization toward study and collaboration space. We appreciate that our librarians, too, must actively look toward the future and think creatively about a vision for academic libraries in the 21st century.

At the same time, we believe that faculty, students, and staff must have a strong voice in creating that vision. Therefore, COLASC wishes to stress in the strongest possible terms the importance of broad, meaningful, and timely consultation about library issues: with the Senate, with student government organizations, and with the entire population of faculty, staff, and students. The library is central to our core missions of research and teaching; changes to library services and resources have the potential to critically impact our research and learning capabilities. For that reason, Senate consultation, in particular, must be robust if we are to honor the principle of shared governance. Such consultation fell short in this case, leaving many faculty and students feeling blindsided by the S&E Library events. We call on senior administration, including the interim and incoming CP/EVCs, to champion transparency and shared governance for all future library decisions (including any plans for a renovated Science & Engineering Library) and to remember that the library is not just another building, it is the lifeblood of our academic mission.

Respectfully submitted;

COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION

Dimitris Achlioptas

Chelsea Blackmore

Michael Cowan

Jennifer Horne

Karen Ottemann

Graeme Smith

Elizabeth Cowell, *ex officio*

Eileen Zurbriggen, Chair

May 8, 2017

Dear UC President Napolitano,

Feb 16, 2017

I am an emeritus faculty and research professor in the Physics department, and one of the founders of UC Santa Cruz. You may recall that two years we had an exchange on the occasion of the 50th anniversary of our campus, when I invited you to attend a remembrance event that I organized to honor our founding Chancellor Dean Mc Henry and his wife Jane.

During the past two months several senior colleagues and I have been investigating the dismantling of most of our Science and Engineering library collection that occurred during the past Summer. This event occurred without any consultation with our faculty. You may already have learned about it from an article that my colleague in the Math dept., Richard Montgomery published in the Mercury News (<http://www.mercurynews.com/2016/12/24/montgomery-on-ucscs-outrageous-mass-destruction-of-books/>). Nearly 80,000 S&E volumes were withdrawn from our library, and either shredded or transferred elsewhere. To obtain documentation about the scope of this catastrophe, I had to resort to the California Public Records Act, because the UCSC head librarian refused to provide this information, even after it was requested by a formal resolution, signed by 55 faculty member, that passed unanimously at our last Academic Senate meeting.

During my 51 year career at UCSC, I have become familiar with our previous S&E book and journal collection, and particularly with the invaluable Lick Astronomy collection that we inherited when the Lick Astronomers moved to our campus in 1967. After my retirement in 1994, thanks to what I learned by browsing this collection, I started an investigation into the history of physics, and published 35 papers on this subject. For this research I received the 2013 UC Panunzio Award. The loss of 80% of our S&E collection is also a tremendous blow for my continuing research in this field.

During our investigation we learned that the withdrawal of printed volumes occur also at other UC libraries and elsewhere. Of course, we understand the need to create space for newer books, and the increasing availability of books and journals that are now available electronically. But hopefully, the book destruction of books and journals on our campus without faculty consultation has been a unique event.

I would like to meet with you to present you with the documentation that we have gathered about how the dismantling of our S&E library collection occurred, and to prevent that a similar one occur in the collection at our McHenry Library. Two of us, Lincoln Taiz, emeritus professor of Biology, recently met with our head librarian, some of her staff, and our vice-chancellor for academic affairs, and we obtained detail information how this catastrophe occurred , by far the worse during the 51 years I have been on our campus. Hopefully, this information will help prevent a similar catastrophe at other UC campuses.

We would like to re-built parts of our previous book collection and offer a suggestion how this can be done at minimal expense, simultaneously relieving some of the congestion that we have learned is occurring at UC depositories, NRLF and SRLF.

Sincerely

Michael Nauenberg
Professor of Physics(emeritu)
UCSC

UNIVERSITY OF CALIFORNIA

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OFFICE OF THE VICE PROVOST -
ACADEMIC PERSONNEL AND PROGRAMS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 11th Floor
Oakland, California 94607-5200

March 8, 2017

Michael Nauenberg
UC SANTA CRUZ
VIA Email: Michael@physics.ucsc.edu

Dear Professor Nauenberg:

Thank you for your email to University of California President Janet Napolitano. She requested that I respond on her behalf. We understand your concern regarding the Science and Engineering Collection project at UC Santa Cruz (UCSC), and appreciate the time you took to contact us.

Please rest assured that there is a systemwide policy for the preservation of library materials and that the UCSC project was implemented in a considered manner in keeping with that policy.

The University Library Collection: Content for the 21st Century and Beyond
(http://libraries.universityofcalifornia.edu/groups/files/about/docs/uc_collection_concept_paper_endorsed_ULs_2009_08_13.pdf), issued by the UC Libraries' Collection Development Committee in 2009, articulates the UC Library's goals of "sustainable collection development and management," of "collection (expansion) to embrace new content types and formats," and of engagement in "regional, national, and international partnerships to facilitate broad access to...research resources across the globe." A key part of these goals is a focus on shared collections across the UC system. 100% of the materials moved from the Science and Engineering Library at UCSC were duplicated across the UC libraries and beyond and continue to be available via interlibrary loan or online.

I appreciate the value of the library collection to your continued research and hope that you will continue to publish on the history of physics. The continued engagement of emeriti professors is a valuable asset to the university.

Sincerely,

Susan L. Carlson
Vice Provost
Academic Personnel and Programs

cc: President Janet Napolitano
Provost and Executive Vice President Aimée Dorr
UCSC Librarian M. Elizabeth Cowell

Hi Olof,

After repeated requests for the BCA on the S&E library future I obtained a copy via CPRA.

No wonder that this document has been kept secret by our administrators. It was a shock to learn that with the approval of Blumenthal, it completely disregards the Academic Senate resolutions about the future of our library, that were approved by unanimous vote last year.

In this connection the tradition of shared governance between the faculty and the administration (see enclosed) has been broken on our campus.

Regards,

Michael
cc Eileen Zurbriggen COLASC chair

ps. A historical review of shared governance at the University of California concludes that

``The tradition of shared governance has endured at the University of California not because it has insured consensus, but because it has proved fundamental to the full discussion of the university's role in society and in the management of its important affairs. Faculty are at the heart of the academic enterprise of teaching, research and public service. They are critical not only in maintaining the quality of the university's academic programs, but also in advising the president and the chancellors."`

Dear Olof,

Yesterday I went to Logos bookstore that is going out of business and are trying to sell all their books at discounts. I visited their excellent section on Physics and Math books, and found that few of the large number people in the store were in that area so I doubt most of them will be sold.

It would be great if the remaining books would be donated to our S&E library to help start to reconstruct our collection. I spoke with the owner John Livingston about it and he appeared to be interested. I already found there some very good books that are not in our library.

I also have been in contact with Jutta Wienhoff who is the head of the UC Northern Regional Library Facility about the possibility of getting copies of some of our books that were sent there in the past for lack of space here back to our library. Normally this is not possible, but in this case President Napolitano may consider an exception, particularly since this facility is so overcrowded that a new storage building is required.

In your previous email you wrote that the

“the Senate Leadership keeps on pushing on the administration to put in place a building committee, made up of students, faculty and library staff to oversee the renovation of the Science and Engineering library”

I think that the Senate Leadership should decide on the membership of this committee. In particular, it should include faculty who have been frequent users of the S&E library collection, and for this reason I am well qualified to be on this committee

Regards,

Michael

Paula Schneider <pschneid@ucsc.edu> Tue, Oct 25, 2016, 2:08 PM



to me, Robert ▾

Hi Michael,

I found the e-mail that was sent in June. It did go to Robert and the department manager at the time, Sissy Madden, with the request it be forwarded to everyone within the individual departmental units.

It was actually Paul that asked the Library to share the information, because he knew it would be unsettling it would be for users who use the library regularly.

Kind regards,

Paula

Introduction

The Science & Engineering Library opened at its current location in 1991. Over the next quarter century, the size of the campus and our STEM community has more than doubled. The library, as it is currently configured, is not optimized to serve the needs of 21st-century researchers and learners.

The renovation of the facility will be phased and donor funded.

Here is a list of recent and upcoming changes.

- Summer 2017: In response to student feedback, the lower level will be rezoned as the quiet-study floor. Furniture on the upper and lower levels will be reconfigured to provide better separation of active and quiet study zones and to improve access to AC power.
- Winter and spring 2017: Primary construction takes place for a 98-seat Active Learning Classroom to support innovative teaching for STEM. Construction of a 48-seat Information Commons (computer lab) on the main level takes place. Construction of a new gender-neutral bathroom on the main level takes place. Improvements are made to environmental, electrical, and data systems. The computer gaming laboratory is moved to larger quarters on the main level.
- Fall 2016: The 48-seat computing laboratory in the S.H. Cowell Room closes in preparation for the Active Learning Classroom. The library closes during winter break to give the contractors a head start on the noisy work of demolition before winter quarter.
- Summer 2016: Collection maintenance project creates additional seating capacity on the upper level.



Long term goals

Here are our preliminary ideas for the renovation of the Science & Engineering Library. They will be refined as we work with students, faculty and other campus stakeholders to develop a renovation program, as new opportunities arise, and demand for library spaces and services evolves.

Upper level

- Provide additional group study rooms. Currently, McHenry Library has 20 reservable group study rooms and S&E has only eight.
- Provide additional individual and small group seating..

Main level

- Expand the Dougherty Reading Room.
- Expand the Information Commons.
- Create a new, larger, and permanent home for the Computer Gaming Laboratory.

Lower level

- Create a library café modeled on the successful Global Village Café at McHenry Library. The café will have a separate entrance on plaza between the library and Sinsheimer Labs and should provide a convivial place for Science Hill faculty and students to gather.
- Provide additional group study rooms.

University of California, Santa Cruz

BUSINESS CASE ANALYSIS

SCIENCE AND ENGINEERING LIBRARY RENOVATION

January 17, 2017

APPROVAL OF BUSINESS CASE ANALYSIS

2/10/17
Date



George Blumenthal, Chancellor
University of California, Santa Cruz

University of California, Santa Cruz
Science and Engineering Library Renovation
Business Case Analysis
January 17, 2017

Executive Summary

The Science and Engineering Library (S&E Library) opened its current facility on the UC Santa Cruz campus in 1991. Considered one of the most beautiful buildings on campus, the award-winning facility is located at the heart of Science Hill, a major campus hub of both academic and social interaction. With 78,000 OGSF (outside gross square feet), the building was programmed to support science academic programs, research collections, and services for students and faculty in the former Division of Natural Sciences, as well as provide individual and group study spaces for use by students in all divisions. It currently houses 56,000 ASF (assignable square feet) of space for collections and library services, reading and study rooms, a computer laboratory, academic and administrative offices, and support space.

The S&E Library has served UC Santa Cruz for more than 25 years. During that time, the campus created the Jack Baskin School of Engineering, reorganized the Division of Natural Sciences into the Division of Physical and Biological Sciences, more than doubled the number of academic STEM programs, and more than doubled campus student enrollment. The S&E Library has adapted to keep pace, as well as to meet the external challenges of a networked academy.

21st century academic libraries have evolved to be more than repositories of physical collections. Innovations in information technology like mobile computing, social media, and the wide variety of new data retrieval, sharing, and distribution platforms necessitate a library that is fully responsive to the demands of the digital age. New ways to learn and collaborate, provide instruction, and engage in research are driving the transformation of today's libraries into vibrant and collaborative environments that advance their core missions to provide efficient access to collections and research services for students and faculty.

The library services, student study, and reader spaces that were created for the 1991 S&E Library cannot adequately address the information seeking, access, and individual and group learning needs of today's STEM community. It lacks both the capacity to serve a far larger student population and the technological infrastructure and spatial flexibility to adapt to current and changing needs. As a vital community hub on Science

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Hill, it also cannot meet the overwhelming demand for student study, collaboration, and gathering space. As part of the campus priority to transform the student experience, the *Campaign for UC Santa Cruz* has included in its fundraising initiatives a level of support for a renovated and reimagined S&E Library to give students new spaces and resources for collaborative learning, study, and research.

As a facility, the 25-year-old S&E Library faces the challenges of an aging and obsolete mechanical, electrical, and plumbing infrastructure and the associated rising operational costs. Building systems require frequent costly repairs, lack the capacity to meet the demand of an ever-increasing number of users, and fail to meet current code and UC and campus sustainability goals.

This Business Case Analysis (BCA) considers three alternatives:

Alternative A: No renovation, or project deferral

Alternative B: Full renovation—single phase

Alternative C: Full renovation—multi-phase



The BCA concludes that Alternative C is the optimal solution, within funding constraints, to address the project objectives of providing science and engineering students with a contemporary academic learning and research environment, one supported by a robust and modernized infrastructure, creative reallocation of functional areas, and enhanced study and collaborative learning spaces.

Project Drivers

Evolution of the Academic Library

The academic publishing business model has changed markedly in the last quarter century. What was a print-first model when the S&E Library opened in 1991 has evolved into an electronic-first model today. CD-ROM journal indexes came and went in the nineties, eJournals broke through around the turn of the millennium, and eBooks eventually followed, coming into an early maturity only in the last five years. Academic libraries (particularly academic STEM libraries) adapted at every step and now provide

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better and more immediate access to the scholarly literature online. This has major implications for both the allocation of library space and for the infrastructure required to access digital information and conduct research.



The S&E Library was programmed as a late 20th century academic facility, with a strong emphasis on space for print journal collections and open stacks for browsing. As information retrieval and sharing now occur primarily via electronic access and from multiple locations, we have an opportunity and an imperative to rebalance the space devoted to collections and the space devoted to users and services.

Although the building's planners anticipated an emerging role for digital information and network technology in support of library research, the now obsolete network infrastructure is unable to meet current and future needs. Increased AC power and wireless network access are essential to support the number of networked devices students and faculty bring into the S&E Library every day. As the needs of STEM disciplines change rapidly, the library must also have the capacity to adapt to new information technology.

Evolving modes of teaching, learning, and research are placing new demands on STEM libraries through:

- the rising demand for richly supported informal learning environments;
- the need for flexible, innovative spaces that support project-based, collaborative, and interactive learning;
- the emerging role of digital scholarship, with its new access and visualization tools;
- the expanding place of interdisciplinary scholarship in STEM curricula.

The role of an academic STEM library, as a facility, has evolved from that of a physical repository and archive of print materials to one that must offer physical spaces that are flexible and technologically robust, enhancing academic collaboration and student learning.

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Enrollment and Program Growth

In 1991, the two library facilities that comprise the University Library—McHenry Library and the S&E Library—supported 9,720 undergraduate and graduate students. By 2015-16, that number had nearly doubled to 17,335. The S&E Library, built to accommodate 860 users, originally supported 26 degree programs in the former Division of Natural Sciences; by 2016-17, that number had grown to 59 degree programs in both the current Division of Physical & Biological Sciences and the Jack Baskin School of Engineering.

The McHenry Library houses collections in the Arts, Humanities, and Social Sciences. A major addition and renovation project, completed in 2011, reinvigorated the flagship facility and helped address the campus's critical need for additional space devoted to user services and individual study; however, the S&E Library continues to fall short of University of California standards for library seats per FTE.¹ In addition, the deficit is projected to double over the next decade.² For students in STEM disciplines, library services and facilities are seriously outdated and lack the capacity and functionality critical to support research, collaborative learning, and study.

Changes in technology, communications, information sharing, and distribution

In 1991, when the S&E Library opened, most of the main floor collection space was dedicated to print indexes and abstracts. Scholarly journals packed the current periodicals room. Searching indexes and abstracts was a slow and iterative process. No library full-text online databases were available: "Dialog" searching was expensive, difficult to use, and necessitated direct assistance of a librarian; Google and Wikipedia did not exist. A few other electronic databases on CD-ROM required dedicated workstations that could be used by only one person at a time. The S&E Library's original network capacity was only sufficient to meet infrastructure demand in the days before the World Wide Web.

¹ University of California Library Planning Standards (May 1993).

² See attachment: 2013-1014 Science and Engineering Library Space Analysis Table.

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Today, individuals have many more options for seeking and sharing information quickly and efficiently. Online searching has evolved and eBooks, eJournals, and data sets are readily available. Print indexes and abstracts have been replaced by subscriptions to hundreds of online tools, and scholarly journals now are mostly electronic. The University of California is committed to the Open Access publishing model and more faculty research and data are becoming available in institutional and society repositories, allowing maximum access by the scholarly community. With increased network and personal computing, today's students use laptops, tablets, and mobile phones—all of which process text, data, and media. With the rise of social networking and the expectation of ubiquitous connectivity, the demands on the technological infrastructure of the library have increased rapidly.

Increased Demand for Student Study Space

As campus enrollment has increased, particularly in STEM, demand for both quiet individual study space and collaborative group study areas has risen significantly. Existing S&E Library seating is beyond capacity and cannot accommodate current demand, particularly at times of heavy use during exams. The need has intensified as student housing becomes more crowded, affording little quiet study space. With a reduction in print collections, the space formerly occupied by stacks can be reclaimed for a large number of individual and group study areas to address the need.

Evolution of the Science Hill Neighborhood

Since its opening in 1991, the S&E Library has witnessed an explosion of growth on Science Hill and is now at the center of a high-density collection of research and classroom buildings dedicated to STEM. It serves as the heart of that community—a nexus of learning and research, innovation and discovery, academic collaboration and social activity. There is high demand for facilities that support the intensive use of this area for both academic and social interaction, including access to food services and/or a café.

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Aging Facility Infrastructure

At 25 years old, the S&E Library's mechanical, plumbing and electrical infrastructure is aging, obsolete, and code-deficient. Building systems continue to deteriorate, leading to increasing maintenance costs associated with patchwork repair and emergency replacement. Existing systems lack the capacity to meet rising user loads and cannot provide the long-term benefits and cost-effectiveness of new durable, energy-efficient systems that comply with the goals of the UC Sustainable Practices Policy and the UCSC Campus Sustainability Plan.

Context and Objectives

Renovation of the S&E Library supports several campus-wide objectives, priorities, and ongoing initiatives. A critical goal of *Envision UC Santa Cruz: Our Strategic Plan* is the advancement of student success and significant improvement in retention and graduation rates, particularly among the growing number of students from diverse backgrounds. A revitalized S&E Library would provide critical academic support for STEM students. It would also serve as a vital destination where students and faculty can gather, relate to one another, and learn together.

The current *Campaign for UC Santa Cruz* seeks to transform the student experience by investing in shared facilities and experiential learning. Its aim is to foster a supportive environment that strengthens a sense of community and shared investment in learning and achievement, innovation, and discovery. Specifically included in the campaign is fundraising support toward the renovation of the S&E Library to give students new resources for study, collaboration, and research.

The University Library plays a pivotal role in supporting the campus's national reputation for excellence and providing a transformative experience for students and faculty. This is achieved through maintaining state of the art facilities, placing major emphasis on digital scholarship, offering efficient research and instruction services, and providing a physical space that both enriches the student experience and supports teaching, learning, and research. Reinvigorating the S&E Library will strengthen its computing and research information infrastructure, expand digital resources and access,

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offer significantly expanded student study space, and better align services with users' needs.

Opportunities

Fundraising

As much as any other single entity on the campus, the services provided by the University Library reach the greatest number of students in support of the campus's core mission of excellence in teaching, learning, and research. As such, the renovation and enhancement of campus library facilities remains a strong priority for the campus. Faced with the absence of State capital funding and competing demand for campus resources, the campus intends to raise gift funds toward the renovation of the S&E Library through the ongoing *Campaign for UC Santa Cruz*.

Related Projects

The recently completed Telecommunications Infrastructure Improvements Phase B work in the S&E Library upgraded and expanded the building's technology infrastructure. The improvements accommodate more intensive high-speed use, portable computing, and ubiquitous wireless network access critical to the library's modernization.

In fall 2017, the S&E Library will become the home of the currently under construction Active Learning Classroom, an active and inquiry-based learning environment separately funded by the campus in support of a Howard Hughes Medical Institute grant to transform STEM education. Located in a prominent, well-traveled area on the main floor, the Active Learning Classroom will help spark the vision for the new and reimagined library, a place where learning is visible and collaborative, and students are actively engaged in discovery.

All or a portion of the fire alarm system in the S&E Library will be upgraded by a Deferred Maintenance (DM) project getting ready to go out to bid. A base bid and an additive bid alternative will allow the campus to scale the scope of work to the

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available funds. Any work not completed under this DM project will be incorporated into the future renovation of the S&E Library.

Program Goals

The S&E Library seeks to address the following program goals:



- Reallocate space for student study to increase capacity from 860 to 1,700 seats.
- Efficiently manage the physical core collection.
- Increase the space devoted to individual quiet study and provide up to 34 additional technologically equipped group collaborative learning and study spaces.
- Provide an enhanced Information Commons to improve students' access to and use of innovative information technologies.
- Provide a café to meet heavy demand on Science Hill for food service and social gathering and "collision" space.
- Create flexible space to partner with related units, offices, and divisions promoting student success in the STEM fields.
- Create an environment which fosters active engagement in the scientific/academic community through:
 - collaborative learning;
 - seamless and flexible spaces that can evolve with time and need and allow learning to happen anywhere; and
 - high visibility of the process of learning and exploration.
- Upgrade building mechanical, plumbing, and electrical infrastructure to accommodate increased capacity. Replace aging and code-deficient systems with institutional-grade, sustainable, energy-efficient models.



Potential program goals:

- Provide an expanded, technologically enhanced Gaming Lab for instruction, research, and production space in response to the rapidly growing program in gaming development.

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- Develop an Innovation Lab, or “makerspace,” to promote enhanced hands-on, active learning.

Alternatives – Evaluation Criteria

An exploration of alternatives to address the demonstrated needs and program goals is based on the following objectives and criteria, with priority given to the factors that contribute the highest value to the program:

1. **Amount of Program Space:** Does this alternative provide an adequate amount of space to meet program goals?
2. **Type of Program Space:** Does this alternative provide suitably allocated space to meet program goals for increased seating, specialized learning spaces, and social gathering space?
3. **Quality of Program Space/Environment:** Does this alternative provide functional and flexible spaces to meet program goals, as well as long-term flexibility to accommodate program changes and future advancements in technology or information delivery systems? How efficient is the use of space? Does it meet the goals and aspirations for program synergy, experiential quality, and formal and informal interaction?
4. **Building Systems:** Does this alternative address the need for upgraded, code-compliant, and durable mechanical, electrical and plumbing infrastructure to accommodate increased capacity and to comply with campus energy and sustainability goals?
5. **Consistency with Campus-wide Objectives:** Does this alternative align with current objectives, priorities, and ongoing initiatives?
6. **Timeline for Delivery:** How does this alternative compare in terms of time to delivery of the full program?
7. **Degree of Disruption:** How does this alternative compare in terms of disruption to operations during construction?
8. **Project Cost:** How does this alternative compare with the others in terms of design, construction, and equipment (PWCE) cost?
9. **Life-cycle Cost:** How does this alternative compare in terms of ongoing cost of operation, maintenance, and renewal?

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10. **Fundraising Opportunities:** How does this alternative compare with the others in terms of maximizing gift potential?
11. **Risk Factors:** How does this alternative compare in terms of risk (financial, environmental)?

Alternatives Considered

Alternative A: No renovation, or project deferral

Without any renovations in the S&E Library, beyond the two related projects previously noted, none of the program goals would be met, and the limitations of the existing facility would only become increasingly problematic in the face of growing demand. Although deferring the project might allow some or all of the program goals to be met in the future, current critical needs would not be addressed in a timely way. In addition, the impact of construction cost escalation could result in a reduced scope of work that did not meet all of the original objectives.

Alternative B: Full renovation—single phase

The S&E Library would be fully renovated in a single phase. This alternative would meet all project goals and would deliver the project in the shortest time frame, with the least impact on the project budget from escalation. However, the library facility would be fully offline for the duration of the construction, with significant impact to academic program support and student services. Funding for the full scope of the project would need to be secured before the start of construction.

Alternative C: Full renovation—multi-phase

This alternative would meet all project goals if fully implemented. The S&E Library renovation would be delivered as a series of discrete projects, implemented as gift funds were raised. A master plan of five phases would provide the framework for renovations, subject to the pace of fundraising and specific donor opportunities. A phased delivery would not require a complete shutdown of the library, and selected floors or areas could remain in use during each phase of construction. Because the length of time



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required to implement the full scope of work would be dependent on the success and pace of fundraising, the total construction cost would be subject to significant escalation.

Recommended Solution

Alternatives B and C, both of which realize a full renovation of the S&E Library, achieve all project goals. However, because funding for a complete renovation has not yet been secured, a single-phase project delivery is not feasible at this time, and realization of any improvements to the facility would likely be deferred for at least several years. Utilizing a multi-phase approach, as presented in Alternative C, is the only viable solution to achieve all project goals. As gift funds are raised, discrete phases aligned with available resources and donor opportunities can be implemented over time, resulting in earlier delivery of incremental improvements. A major benefit to this approach is that the facility would not need to be fully offline at any time. A major drawback is the impact of multi-year construction cost escalation and the need to target higher levels of fundraising. As a result of pre-design studies completed in 2014, a master plan for a five-phase implementation was developed and is included in the Appendix of this document.

Qualitative Analysis Matrix

The appropriateness of each option compared to criteria is displayed the attached Qualitative Alternatives Matrix.

Operational Cost Summary

No renovation, or a deferral (Alternative A), would subject the campus to increasingly higher operating costs associated with the maintenance of deteriorating building systems and the likelihood of emergency repair or replacement. With a full renovation (Alternates B and C), subject to further analysis during design, the operational costs of accommodating higher user loads are expected to be offset by the substantial savings from new durable, energy-efficient, and sustainable systems. **The inclusion of a café in the facility (Alternatives B and C) would trigger additional operational cost considerations.** Because a potential renovation project is currently in a preliminary



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stage, further analysis would be required during design. However, the University Library's current planning assumption is that a café would be overseen in the same manner as the Global Village Café in McHenry Library, the operation of which is leased to an outside vendor. Under the lease, the vendor would pay a base rent, calculated as a percentage of sales (8-9%), and would be responsible for direct reimbursables associated with café operations (grounds/maintenance, refuse, fire alarm, HVAC, plumbing, utilities, and compost). The library would be responsible for structural and systems costs allocated to the University under the lease agreement. The annual net revenue of the Global Village Café is estimated at \$98,000, or a total of \$490,000 over the life of a 5-year lease.

Attachments

- Qualitative Alternatives Matrix
- Proposed Phasing Plan
- 2013-14 Science and Engineering Library Space Analysis Table

UC Capital Project Business Case Analysis - Qualitative Alternatives Matrix

Campus: **Santa Cruz**

Project: **Science and Engineering Library Renovation**

Evaluation Criteria		Alternative A No Renovation, or Project Deferral	Assessment (+/0/-)	Alternative B Full Renovation--Single Phase	Assessment (+/0/-)	Alternative C Full Renovation--Multi-Phase	Assessment (+/0/-)
1	<u>Amount of space</u> : Provides a sufficient amount of space to meet program goals and objectives.	Although there is adequate square footage within the library, without the reallocation and redistribution of space, the current configuration of the library spaces cannot meet program objectives.	-	Achieves all objectives, assuming reallocation and redistribution of space to meet program goals.	+	Achieves all objectives, assuming reallocation and redistribution of space to meet program goals.	+
2	<u>Type of space</u> : Reallocates space from print collections and reconfigures to meet changing student study/learning behavior.	Would not achieve objectives.	-	Achieves all objectives.	+	Achieves all objectives.	+
2a	<u>Seating capacity</u> : Doubles seating capacity to 1,700; provides individual quiet study areas and technologically equipped group collaborative learning and study spaces.	Would not achieve objectives.	-	Achieves maximum desired capacity for individual and group study areas.	+	Achieves maximum desired capacity for individual and group study areas.	+
2b	<u>Specialized learning spaces</u> : Provides enhanced Information Commons to promote student access to innovative information technologies; Innovation Lab, or Maker Space for hands-on, experiential learning; expanded and technologically enhanced Gaming Lab for instruction, research and production space in support of rapidly growing gaming development program.	Would not achieve objectives.	-	Provides all specialized program spaces.	+	Provides all specialized program spaces.	+
2c	<u>Food service</u> : Provides full-service Café to meet heavy demand on Science Hill for food service, social gathering and "collision" space.	Would not achieve objectives.	-	Serves library users as well as Science Hill community at large in an underserved area of campus.	+	Serves library users as well as Science Hill community at large in an underserved area of campus.	+
3	<u>Quality of space/environment</u> : Provides flexible and efficient spaces to meet program goals, as well as long-term flexibility to accommodate program changes and evolution of technology or information delivery system. Meets goals and aspirations for program synergy, experiential quality, and formal and informal interaction.	Would not achieve objectives.	-	Achieves all objectives for flexible, dynamic, learning-centered environment.	+	Achieves all objectives for flexible, dynamic, learning-centered environment.	+

UC Capital Project Business Case Analysis - Qualitative Alternatives Matrix

Campus: Santa Cruz

Project: Science and Engineering Library Renovation

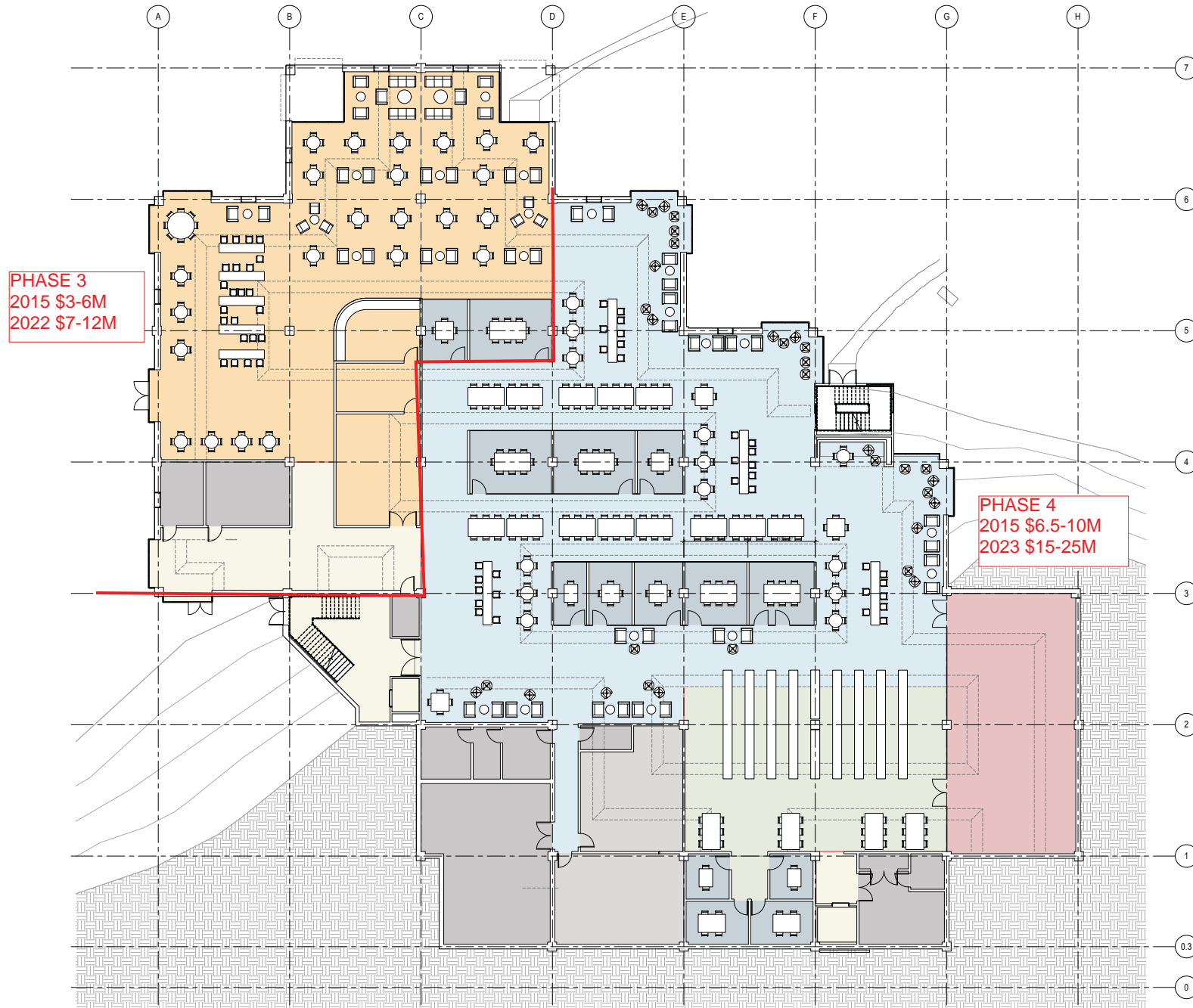
Evaluation Criteria		Alternative A No Renovation, or Project Deferral	Assessment (+/0/-)	Alternative B Full Renovation--Single Phase	Assessment (+/0/-)	Alternative C Full Renovation--Multi-Phase	Assessment (+/0/-)
4	<u>Building Systems</u> : Upgrades mechanical, electrical and plumbing infrastructure to accommodate increased capacity and replaces aging, code-deficient systems with institutional grade, sustainable, energy-efficient models.	Would not achieve objectives. Would not comply with UC and UCSC campus sustainability goals.	-	Fully achieves objectives. Would comply with goals of UC Sustainable Practices Policy and UCSC Campus Sustainability Plan.	+	Fully achieves objectives. Would comply with goals of UC Sustainable Practices Policy and UCSC Campus Sustainability Plan.	+
5	<u>Campus-wide objectives</u> : Consistent with campus-wide objectives, priorities, and ongoing initiatives.	Would not provide benefits of a revitalized and modernized facility.	-	A revitalized S&E Library would provide critical enhanced academic support for STEM students, promoting the advancement of student success and increasing retention and graduation rates; would support the transformation of the student experience by investing in state-of-the-art shared facilities and experiential learning.	+	A revitalized S&E Library would provide critical enhanced academic support for STEM students, promoting the advancement of student success and increasing retention and graduation rates; would support the transformation of the student experience by investing in state-of-the-art shared facilities and experiential learning.	+
6	Timeline for delivery	N/A if no project. Unknown, if project is deferred.	0	Most efficient delivery would require complete shutdown of library operations during 24-30-month construction period. However, if work is staged by area to avoid shutdown, project cost and time of delivery would increase.	-	Longest time to full completion. However, phased implementation would result in earlier delivery of incremental improvements. Anticipated duration of each phase would vary from 7 to 17 months.	+
7	Degree of disruption	N/A if no project. If deferred, degree of disruption to operations would be dependent on approach to delivery.	0	Would likely require complete shutdown of library operations during 24-30-month construction period, resulting in significant impact on academic programs.	-	Would require partial shutdown of affected floors or areas during construction periods. Remaining areas of the library would remain available for use.	+
8	Project Cost	N/A if no project. If deferred, substantial but unknown construction cost escalation.	0	\$28-45M in today's dollars.	+	\$53-82M if 1st of 5 phases commences in 2017-18 per attached phasing plan timeline.	-

UC Capital Project Business Case Analysis - Qualitative Alternatives Matrix

Campus: Santa Cruz

Project: Science and Engineering Library Renovation

Evaluation Criteria		Alternative A No Renovation, or Project Deferral	Assessment (+/0/-)	Alternative B Full Renovation--Single Phase	Assessment (+/0/-)	Alternative C Full Renovation--Multi-Phase	Assessment (+/0/-)
9	Life-cycle cost	Building systems continue to deteriorate and require patchwork repairs that do not provide the long-term cost-effectiveness of new durable, energy-efficient, sustainable systems. Increasing operational and/or capital costs for maintenance and emergency repair or replacement.	-	Increased operational costs to accommodate higher user loads expected to be offset by savings from energy-efficient, sustainable building systems. If construction were deferred indefinitely until gift funds are raised, campus would face increasing operational costs for maintenance of aging building systems and likelihood of emergency repair or replacement. Cafe would be operated under a lease agreement with outside vendor, who would pay rent and direct reimbursables; library would be responsible for structural and systems costs; anticipated net revenue.	0	Increased operational costs to accommodate higher user loads expected to be offset by savings from energy-efficient, sustainable building systems. If upgrades to building systems were not completed within the first two phases per attached phasing plan, campus would face likelihood of increased operational costs for maintaining deficient systems in the near-term. Cafe would be operated under a lease agreement with outside vendor, who would pay rent and direct reimbursables; library would be responsible for structural and systems costs; anticipated net revenue.	0
10	Fundraising opportunities	N/A	0	Would require an extremely lengthy fundraising campaign that may inhibit short-term momentum, create difficulty in establishing fundraising targets, and could defer the project indefinitely.	-	Offers the best opportunity for manageable fundraising targets and for stimulating momentum in raising gifts.	+
11	Risk factors	Sunk costs for ongoing maintenance of deficient building systems. Counterproductive to achieving sustainability goals.	-	Most cost-effective way to achieve all project goals if construction were to start in near future. However, without gifts in hand, project could be completed only with external financing; high risk.	-	Although this option, if fully implemented, results in the highest project cost, financial risk is well managed with incremental phasing.	+

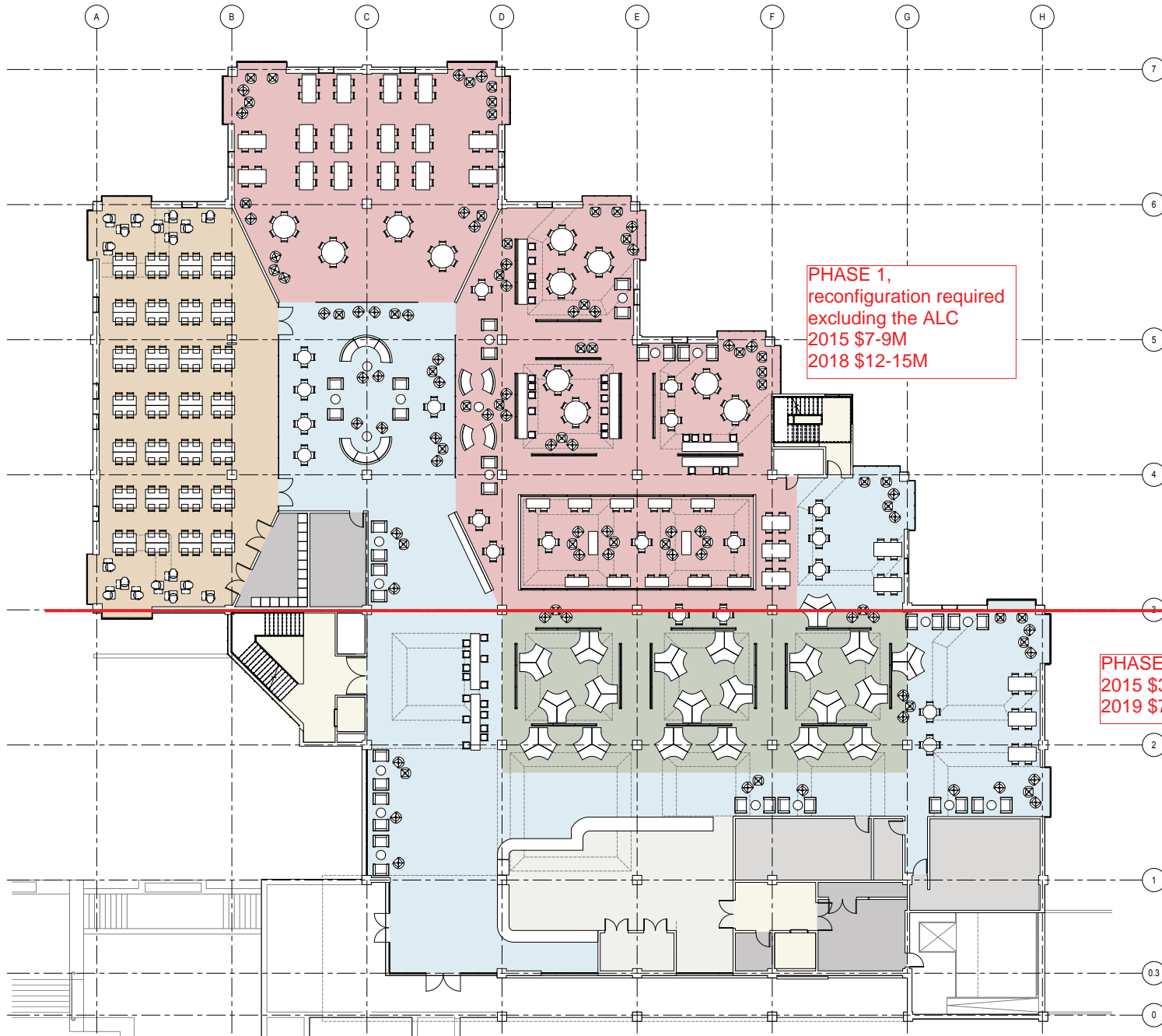


PHASE 3
2015 \$3-6M
2022 \$7-12M

PHASE 4
2015 \$6.5-10M
2023 \$15-25M

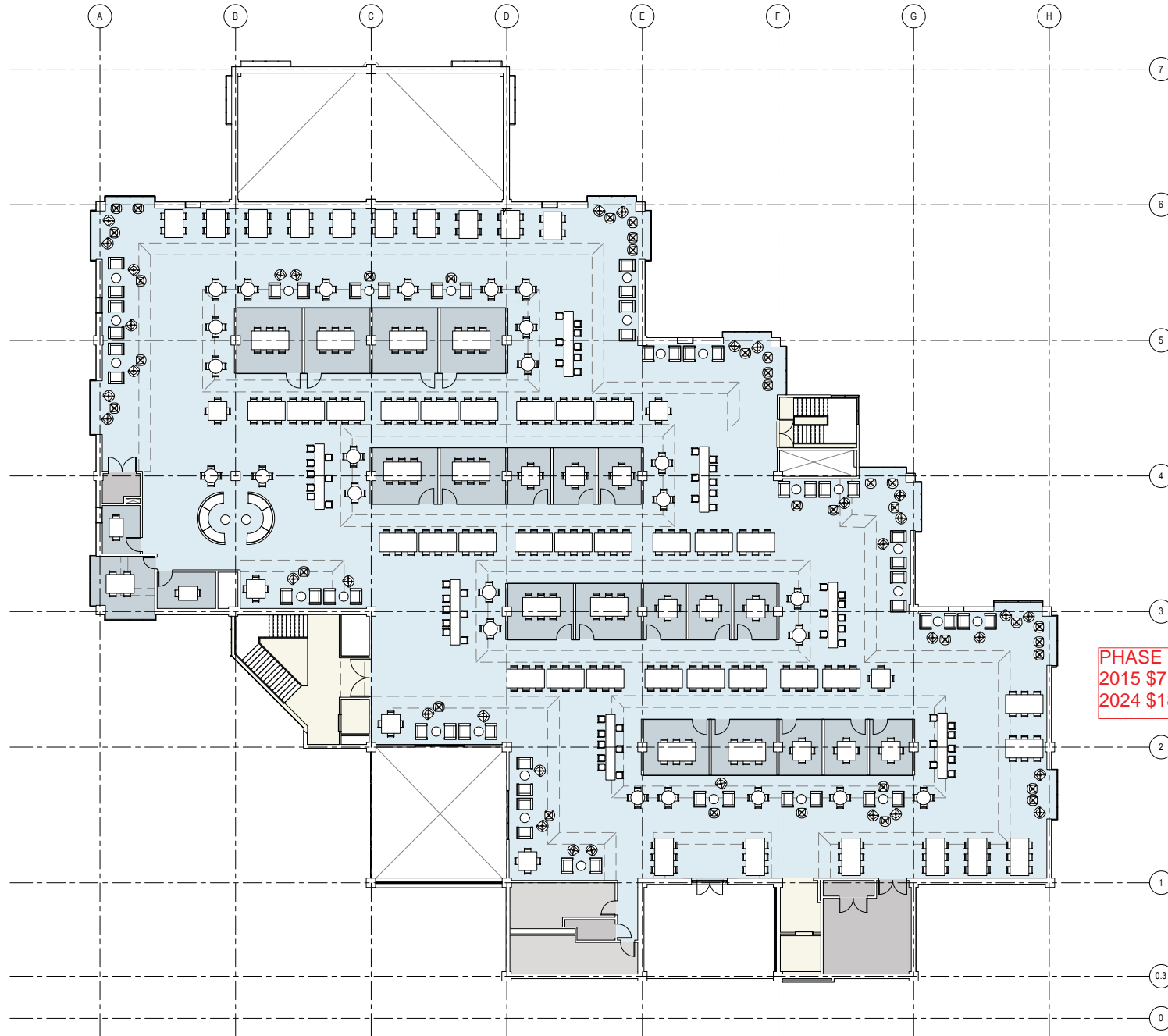
Updated
12 Jan 2017

Updated
08 May 2015



PHASE 1,
reconfiguration required
excluding the ALC
2015 \$7-9M
2018 \$12-15M

PHASE 2
2015 \$3.5-8M
2019 \$7-14M



PHASE 5
2015 \$7.5-12M
2024 \$18-29M

Table 3

SCIENCE & ENGINEERING LIBRARY



SANTA CRUZ SCIENCE & ENGINEERING LIBRARY SPACE ANALYSIS

Library Component	Growth Per Year	Unit Area Standard	June 30, 2013		2013-2014 (1)		2023-2024 (2)	
			No. Items	ASF	No. Items	ASF	No. Items	ASF
COLLECTION								
Bound Volumes (3)	16,269	12.50 vol/asf	389,149	31,132	405,418	32,434	568,108	45,449
Other Materials (3)								
Maps (4)	-200	24.00 itm/asf	35,235	1,468	35,035	1,460	33,035	1,376
Manuscript Units	0	1.332 mu/asf	0	0	0	0	0	0
Documents (5)	0	115.00 itm/asf	0	0	0	0	0	0
Sound Recordings	0	57.50 itm/asf	3	0	3	0	3	0
Microfiche (6)	27	1,150.00 itm/asf	2,692	2	2,719	2	2,989	3
Microfilm Reels	-2	46.00 itm/asf	134	3	132	3	112	2
Periodicals (display)(7)	-70	1.00 sub/asf	83	83	13	13	13	13
Periodicals (boxed)(7)	-135	3.45 sub/asf	162	47	27	8	25	7
Microform/Electronic/Media Stations	0	25.00 asf/itm	103	2,575	103	2,575	103	2,575
Subtotal, Other Materials				4,178		4,061		3,976
Collection Total				35,310		36,495		49,425
NRLF Storage (vol. equiv.)(8)	2,000	12.50 vol/asf	97,106	7,768	99,106	7,928	107,106	8,568
Collection, Net on Campus				27,542		28,567		40,857
USERS								
Enrollment (annual avg HC)			7,419		7,335		8,740	
25% of Enrollment		25.00 asf	1,855	46,369	1,834	45,844	2,185	54,625
LIBRARY STAFF FTE		168.75 asf	7.500	1,266	7.500	1,266	7.500	1,266
SPACE SUMMARY								
Total Library Allowance				75,177		75,677		96,748
Existing Library Area				55,965 (9)		55,965		55,965
<DEFICIT> or SURPLUS				<19,212>		<19,712>		<40,783>

- (1) Based on collection size as of June 30, 2014.
- (2) Campus enrollment of approx. 19,422 reached as of 2023-24; collections continue to grow through 2024. Based on collection size as of June 30, 2024.
- (3) 4-yr. average growth as of 6/30/13; 16,269 vols. added per annum.
- (4) Maps holdings as of 6/30/13 were revised to reflect the subsequent transfer of approximately 50% of the holdings at the S&E Library to McHenry Library.
- (5) The documents collection no longer exists.
- (6) Exceptional withdrawals in recent years have skewed the 4-year average for microfiche (at both libraries), therefore the growth figure is based on an estimate that current holdings will increase 1% per year.
- (7) Following 2013-2014, it is estimated that the cancellation rate of periodicals will decrease sharply so that, as of 2023-2024, 38 periodicals will remain at Science & Engineering Library.
- (8) 2,000 v.e. to be transferred to the Northern Regional Library Facility (NRLF) during 2014-18 and NRLF at full capacity by 7/1/18.
- (9) Library assignable square feet (asf) in the Science & Engineering Library.

SANTA CRUZ: OFFICE OF THE CAMPUS PROVOST
AND EXECUTIVE VICE CHANCELLOR

October 16, 2014

M. ELIZABETH COWELL
University Librarian

ROBERT L. WHITE
Assistant University Librarian (retired)

GREG CAREAGA
Head of Assessment and Planning, University Library



Committee on Planning and Budget Representative

Graduate Student Representative

Undergraduate Student Representative

Dear Colleagues:

Re: Science and Engineering Library Renovation Programming Committee

Thank you for agreeing to serve as a member of the Programming Committee for the pre-design phase of the Science and Engineering (S&E) Library Renovation project. University Librarian Elizabeth Cowell will chair the Committee. The Committee will report to the Advisory Committee on Campus Planning and Stewardship (CPS) and will be responsible for keeping me informed of its progress. I anticipate that the Committee will convene for monthly meetings from October 2014 through early Winter 2015.

The Committee will be assisted by Senior Educational Facilities Planner Alix Wills of Capital Planning and Space Management (CPSM) and Project Manager Andrea Hilderman of Physical Planning and Construction. Others will be invited to serve as resources on an as-needed basis.

The campus Project Manager is responsible for the following: Overall management of the project; monitoring the project program, budget, and schedule; formal direction of the design professional; and representing the University in all of the project's contractual and management matters.

The Programming Committee will be responsible for coordinating the planning process with the units and organizations that will be impacted by the project, and with the campus as a whole.

Science and Engineering Library Renovation

October 16, 2014

The charge of the S&E Library Renovation Programming Committee is as follows:

1. Identify and define the elements that will go into the S&E Library Renovation and work with assigned campus staff and consultants to develop a Facility Program. The Program should define specific area and functional requirements for the building overall and on a space-type basis. The Program should include physical planning information, site issues, functional relationships of program elements, overall design requirement, IT and security requirements, and specific program and design requirements.
 - A. Sustainability targets and carbon-reduction goals should be identified early on in the programming process and specified in the Program. The Committee should include in its considerations the University of California Policy on Sustainable Practices.
 - B. The Program will enable the campus to prepare a project budget, establish fundraising targets, and develop fundraising materials suitable for use in the Comprehensive Campaign.
 - C. The Facility Program will be the primary document used in project design by the Executive Architect retained by the University.
2. Develop a Business Case Analysis (BCA) and Major Capital Improvement Project Summary with CPSM. The BCA will establish the need for the renovation of the Science and Engineering Library, examine alternatives for meeting that need, and identify the most appropriate solution. The Project Summary will be the primary source document that describes and justifies the project. In addition to demonstrating that both the campus plans and the project itself are credible, the Project Summary will document the appropriate campus approvals.
3. Function as the University "client" during the pre-design phase of the project. In this role, the Committee will work with assigned campus staff and with the design professional in developing programming elements.

The timeline for the pre-design phase of the project calls for the Facility Program and project budget to be completed by January 2015, and the Business Case Analysis and Project Summary to be completed by early Winter 2015. At that point, the Committee's work on the programming phase will be complete. At such time as funding becomes available for the design phase of the project, a Building Committee will be appointed. The Building Committee will work with the Executive Architect and associated staff during the development of the design for the project.

The pre-design phase of the project will be provided by campus funds. The design and construction phases will be gift-funded, with funds to be raised through the Comprehensive Campaign. The campus will be held to stringent budget constraints for this project. Because programming is a key driver of the budget, it will be critical to be diligent and thorough throughout the programming process. Once the budget is established by the campus, the project must proceed within the budget limits.

Science and Engineering Library Renovation

October 16, 2014

Thank you for your willingness to serve on the S&E Library Renovation Programming Committee. The advice and input of the Committee is of critical importance and essential to the success of the project. If you have any questions, please contact Alix Wills at 925 890-2734 or alixw@ucsc.edu.

Sincerely,



Allison Galloway
Campus Provost and
Executive Vice Chancellor

cc: Associate Vice Chancellor Barnes
Chancellor Blumenthal
Academic Senate Chair Brenneis
Vice Chancellor Delaney
Director Draper
Committee on Budget and Planning Chair Friedman
Associate Architect Hilderman
Vice Chancellor Latham
University Library Operations Head Thayer
Senior Educational Facilities Planner Wills
Advisory Committee on Campus Planning and Stewardship
Graduate Student Association
Student Union Assembly Committee on Committees



Committee on Library and Scholarly Communication Annual Report 2015-16

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 is the modality by which research and creative work are made public; including 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 facing our libraries.

Library Funding and Budget

COLASC continued discussing the state of the library's budget. UCSC has the lowest level of funding per student of all UC's. We are not a member of the Association of Research Libraries (ARL) in part because our total expenditures, salaries/wages for professional staff, number of FTE, and budget for collections are all too small for us to qualify. Other than UCSC, in the UC system only UCM (a much smaller and younger campus) and UCSF (which is not eligible because it does not grant undergraduate degrees) are not members of the ARL. The library is in need of a budget increase. Committee members suggested highlighting the amount of funding the library needs to receive funding parity with similar campuses in the annual budget review submission to the CP/EVC.

The committee spent several meetings discussing possible alternate budget models for the library. Currently, the CP/EVC allocates a lump sum to the library. This sum is not formally tied to number of faculty, number of students, grant funding, or any other objective numeric metric; however, the need for additional resources (collections, staffing, and services) obviously increases as the campus grows. The committee discussed some of the pros and cons of moving to a funding model that would tie part of the library's budget to one or more of these metrics. For example, the library might receive a set percentage from the indirect cost recovery portion of research grants, or there might be a minimum amount of funding per student. It is unclear whether models such as these are politically or pragmatically viable and whether they would ultimately provide a floor of funding under which the library would not sink or would serve instead as a cap to funding. The committee expressed interest in continuing these discussions in the future, including garnering information about whether such models have been successful for other university libraries, inside or outside the UC system.

Associate University Librarian John Bono presented information about the library's budget to COLASC. The committee learned that seventy percent of the library's collection budget is slated for the California Digital Library agreement (a multi-campus package) and the remaining thirty percent are for UCSC-only journal subscriptions and monographs. The committee was surprised to learn that one-time funds (consisting of savings from open provisions, collection carry-forward, and other project funding) were relatively high at half the amount of the permanent budget. The campus has an ongoing structural budget deficit which necessarily leads to budgeting uncertainty and poses a challenge to the ability to plan thoughtfully for the future. The committee expressed

a desire for greater consultation regarding budget decisions and that Senate priorities be accorded due weight in decision-making. The COLASC chair also participated in a consultation between University Librarian Elizabeth Cowell, John Bono, and Committee on Planning & Budget (CPB). In this consultation, CPB reviewed a high-level budget and discussed library funding models, the use of GSRs in the library, and equality across the 10 UC campuses in access to library resources. The committee looks forward to continuing to work together with Librarian Cowell to advocate for needed resources for the library and to consult with her on faculty needs and priorities for the distribution and use of those funds.

Demand-Driven Acquisition Model for Collections

Since 2013, the library has implemented a demand-driven acquisition model, whereby purchase of monographs (but not journals) for the collection are made only upon request by a UCSC library patron (student, staff, or faculty). These requests can easily be made for many items through a “request purchase” button that will appear when a search for an item is conducted. Alternatively, there is an online form to request a purchase. The committee discussed the implications of this change. The committee also discussed possible methods for communicating this relatively new model to the campus community, because it is the impression of the committee that this change in our acquisition model is not well known. One concern of the committee is whether this model relies too heavily on the initiative of faculty, staff, and students to develop the collections. Although faculty and graduate students can perhaps be relied upon to build the collections in areas important for their own research, there may be less incentive to thoughtfully plan for building collections in areas important to the undergraduate curriculum and the general needs of the undergraduate population. An evaluation of the books that have been purchased through the demand acquisition model found that the types of books are comparable to what the acquisitions librarians used to order under the older model. A concern that a model like this might lead to exploding costs has not been realized; in fact, we are now spending less on increasing our book collections than under the old model. A related concern is whether this model will have a cascading effect of reducing the collections budget if users aren’t requesting purchases and if the resources will eventually be diverted to other priorities. When collections fall behind, it is virtually impossible to catch up later, even if additional funds are allocated for this purpose. The committee plans to further explore this topic and recommends continual review of the type of requests that have been submitted and the purchases made under the demand acquisition model.

Ithaka S+R Undergraduate Student & Faculty Surveys

The Head of Assessment and Planning provided an overview of the undergraduate (2015) and faculty (2014) survey results along with the Institutional Research & Policy Studies’ undergraduate and graduate student experience survey sections related to the library. The undergraduate survey (11% completion rate) showed that students are actively using the library two or three times a week. The issue of space was raised in several ways: availability of exam and group study space, increasing seating areas, and the need for more power outlets. Undergraduate students emphasized an interest in learning skills that will help them with their careers either through work experiences or in their field of study.

The faculty survey (28% completion rate) showed that faculty did not visit the library often although they used the database, subscriptions, and collections. The survey found that faculty are interested in managing access to resources, undergraduate research support, and assistance with

negotiating copyright. Surveyed faculty raised concerns about not having an intellectual property specialist available at the Library. It does not seem that faculty are moving towards ebooks. Because the faculty survey was designed to answer specific questions of interest to the library administration (rather than being designed to assess faculty needs and priorities), the committee also reviewed the collation of the faculty qualitative responses, which represent faculty concerns or thoughts that were not specifically addressed in the closed-ended questions in the survey. This review revealed some concern with the library's emphasis toward the provision of new services (e.g., digital storage) and whether this would have an impact on the provision of basic library services. There were comments about the library being under-resourced, focusing specifically on reduction in library staff (e.g., the Science & Engineering Library no longer employs a reference librarian), limitation of hours (e.g., McHenry's reference librarian hours are limited from 1-5pm), a lack of support for the teaching mission of the library (e.g., in-person instruction services are no longer provided for lower division courses), and inadequate collections (e.g., needing to use other libraries or simply purchase materials for one's personal collection because they are not available at UCSC). A number of comments also decried the elimination of the Slug Express campus mail delivery program and questioned why such a (presumably) inexpensive program could not be resumed, given the great time savings to those faculty who need to check out UCSC and ILL materials. Other comments requested more information about copyright and the ability to use materials in teaching. It is impossible to say how prevalent these concerns are without conducting a new survey that asks specifically about these issues, and the committee discussed the possibility of designing such a survey, perhaps working with Committee on Teaching (COT) and Committee on Research (COR) to ensure that it addressed faculty needs related to both teaching and research. Committee members also discussed further analyzing the existing survey data next year by specific demographics or divisions to better understand the responses and would like to collaborate with Librarian Cowell on identifying possible changes to support faculty based on the survey results.

Senate Forum

The prior year's committee had made tentative plans to conduct a forum on copyright during Fall 2015. The committee discussed whether to conduct such a forum and also discussed possible related forum topics such as publishing open-access textbooks, student access to information, and scholarly communication beyond academia (e.g., social media, traditional media, blogs, web pages). In the end, the committee was uncertain whether any of these topics would be of broad enough interest to faculty to proceed. The committee will re-visit hosting a forum next year, and invites Senate members to share their thoughts about their needs for information or workshops related to the library and/or scholarly communication.

UC Open Access Policy – eScholarship Harvesting Software

On July 24, 2013, Academic Council voted to approve the UC Open Access Policy, which requires Senate faculty to upload the author's accepted version of their scholarly articles to an open access database, unless they opt out of doing so. UC has created an automatic "harvesting" software to make adding publications to this database (the eScholarship repository) easier for faculty. This software was rolled out to UCSC in fall quarter 2015 and faculty began receiving emails from the software when relevant publications were found. The committee discussed the strengths and weaknesses of the harvester. It has the ability to search faculty scholarly articles in a variety of fields to upload to eScholarship. On the other hand, initial reports indicate that it might not be nuanced enough. For example, faculty with common surnames are getting flagged for many

articles they did not write. UC will continue to refine and improve the harvester, with the goal of making it easier for faculty to upload articles. The ultimate goal is to provide access to the research and scholarship of UC faculty as widely as possible.

Letter to Faculty

To facilitate communication about issues related to the library and scholarly communication, COLASC decided to send a letter to faculty providing a summary of the most relevant information, especially information that the committee felt might not be well disseminated currently. The committee completed drafting the letter at the end of the year and will send it to Senate faculty in early fall 2016, when it will be most useful. The committee welcomes feedback about the existence and content of the letter.

De-Duplication of the Science & Engineering Library Collections

During the last meeting of spring quarter, the committee reviewed a plan to de-duplicate the Science & Engineering Library stacks. Librarian Scott informed the committee of the Library's effort to de-duplicate the collections. Although the immediate impetus was the requirement to create more study seating, the library collections were never meant to be archival, but rather to be a working collection of materials that are actively used by the campus. A large portion of the Science & Engineering collection is duplicative, with about 80% of items also held elsewhere in the UC system. Also, a significant portion of the collection has not been checked out since 1994 (when the library switched their system to begin tracking checkouts). Some percentage of materials (including most journals) is available online and none of these are ever touched in their print form once an e-version is available. The Library will keep the titles that have been checked out or looked at within the last five years; they will also keep everything published in the last 5 years. Reshelving statistics are used to determine which items have been "touched". For the 20% of titles that are unique to our library, they are looking to see if the items are truly unique. Any de-duplicated title that is not already stored in a UC regional storage facility will be sent there. The de-duplication is planned to occur over the summer and be completed by the beginning of the 2016-17 academic year. The committee plans to request a follow-up report on this process once it is complete.

Consultations

Digital Scholarship Commons

The library has opened a new Digital Scholarship Commons on the ground floor of McHenry Library; it is a resource for divisions, instructors, and graduate students for the creation, management, and delivery of digital content and to enable the library to partner in research projects. Digital scholarship is a method to analyze and interpret materials in new ways, using visualization to change or reimagine concepts. It is headed by Director Rachel Deblinger, who gave a presentation to the committee on February 24, 2016 about the Digital Scholarship Commons and the new directions for the provision of digital services by the library. Digital Scholarship Commons Director Deblinger was a part of the Council on Library and Information Resources Postdoctoral Fellowship program; that fellowship position has now been transformed into a permanent line. She is actively working with the Humanities division to foster digital scholarship on campus.

UC Curation Center

COLASC consulted with John Chodacki on March 31, 2016, the recently hired Director of the University of California Curation Center (UC3), who will work with UC campuses to ensure that the California Digital Library's digital curation services meet the needs of faculty. These services include digital preservation, data management, and reuse. UC3 provides consulting services and resources for faculty to make informed decisions on digital curation and preservation, web archiving, and research data management. For example, there is a *data management plan* resource to walk researchers through creating a long term data management plan that will adhere to government funding requirements.

Prelinger Library

The committee invited Film and Digital Media Professor Prelinger, an archivist, writer, filmmaker, and co-founder of the Prelinger Library to consult with COLASC. The focus of the Prelinger Library isn't solely about collections. Rather, the focus is to create a space for the community to be creative and social. Professor Prelinger believes that physical materials are being re-validated and there is great potential in the collection for interaction, surprise, and discovery. He believes the future of the library is in the interaction between people and the library's collections.

Review of Policy Changes and Official Correspondence

Revised Library Start-up Funding Proposal

The committee reviewed on February 4, 2016 a revised version of a proposal to modify the allocation of library start-up funds for new faculty. Under the new policy, the Library will receive permanent funds of \$2,500 for each new centrally funded FTE and an additional \$2,500 in one-time funds for each faculty hire (whether a new FTE or an existing FTE). Previously, all start-up funds were one-time funds. The other major change is that funds will be controlled centrally, rather than by the individual faculty members. This will ensure that funds are actually spent, because most new faculty do not spend their library start-up funds during the available time window. The expectation is that the Library will manage the funds in such a way as to ensure that the collections needs of newly hired faculty are met. The policy was approved by the CP/EVC in January 2015 and it will be reviewed in 2018-19.

Review of Proposed Revision to Librarians Series: APM-360 & APM-210-4

The committee reviewed on April 14, 2016 the proposed changes to the Academic Personnel Manual, which applies to unrepresented librarians. The changes were intended to align policies for unrepresented librarians to those for represented librarians (which had recently changed). The committee found these changes unproblematic.

Respectfully submitted;

COMMITTEE ON THE LIBRARY AND SCHOLARLY COMMUNICATION

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August 31, 2016

COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION
Annual Report 2016-17

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 is the modality by which research and creative work are made public, including 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.

Science and Engineering Library

In the summer of 2016, approximately 80,000 titles (journal runs and monographs) were removed from the Science and Engineering (S&E) Library. A considerable amount of the committee's time this year was spent responding to this event and discussing ways in which COLASC, the Academic Senate, and individual faculty might have a stronger voice in contributing to a vision for the future of the Science and Engineering Library.

Senate Resolution

During its November 8, 2016 meeting, the Senate passed a resolution responding to the removal of titles from the Science and Engineering Library. Members reviewed and reported¹ to the Academic Senate on May 16, 2017 on the Library's response and the aftermath of the resolution as appropriate to the committee's purview. Please see enclosed COLASC report to the Academic Senate.

Consultations with University Librarian Cowell, Associate University Librarian, Collections & Services Scott, and Interim CP/EVC Lee

In order to better understand the administration's thinking about the Science and Engineering Library, the committee consulted with Associate University Librarian Kerry Scott on November 10, 2016 and with Interim CP/EVC Herbie Lee on April 27, 2017. In the consultation with AUL Scott, the committee discussed the decision-making that led to the removal of titles and the processes that were used to determine which titles to remove. Because a complete list of titles removed was unavailable, the committee advocated that such a list be reconstructed, with as much accuracy as possible. In his consultation, CP/EVC Lee discussed national trends for libraries and how these might be incorporated into a vision for UCSC's S&E library (see also CP/EVC Lee's January 24, 2017 Tuesday Newsday article: *A Reimagined Science and Engineering Library*²). The committee raised questions about the consultative process and expressed strong support for an improved shared governance process going forward.

Review of S&E Library Business Case Analysis

¹ COLASC Report to Academic Senate re Science & Engineering Library Resolution – May 2017

² Article may be viewed at <https://news.ucsc.edu/2017/01/keynote-library.html>

The committee reviewed the Science and Engineering Library Business Case Analysis (BCA) in Executive Session during its meeting on April 27, 2017. This report had previously been reviewed by the Advisory Committee on Campus Planning and Stewardship and approved by Chancellor Blumenthal. In our response³, we discussed the unique nature of the library as compared to other single-use buildings on campus and advocated for a design and visioning process that involves all appropriate committees of the Senate (including, in addition to COLASC: CEP, COT, COR, CPB, CAAD, CER, CFW, CIT, CIE, and CPE) and the campus community more broadly. The BCA made a strong argument concerning the facilities challenges that must be addressed in a Science and Engineering Library renovation. However, the planned renovations go beyond merely providing additional study space and upgrading facilities; the renovations encompass a vision for the function of the library. The floor plans provided in the BCA suggest a vision that differs quite a bit from the current vision, yet the bulk of the BCA focused on different timetables for implementing this vision, rather than an argument for why this is the best vision for the campus at this time. The committee agrees that a new vision may well be warranted given the changing landscape for scholarly information in the 21st century. However, the campus community should be integrally involved in developing this vision. The committee does not have the authority to release the BCA itself but we strongly urge the CP/EVC to do so as soon as possible. We believe it is important to share this document openly in order to contribute to transparency and rebuild trust.

Review of Brightspot Consulting Report

The Library received a donation to commission the services of the higher education consulting firm Brightspot Strategy⁴ to analyze strategies to advance the success of undergraduate students in science, technology, engineering, and mathematics (STEM) fields and suggest how the library and planned renovations might contribute to those efforts. The committee reviewed the Brightspot report and the accompanying interview data to learn more about students' needs for library space, resources, and functions. Student "pain points" identified in the report included: not knowing where to find support, not feeling a part of the community, having no room for error in taking courses to progress in their major, and perceiving a lack of value in their degrees. Unfortunately, the report provided relatively little new information, in part because the number of students interviewed was small and the interviewees were not representative of the broad diversity of STEM majors. However, the report might be useful for communicating with potential donors.

Summary and Future Directions

There was a consensus among members that consultation with COLASC and the faculty more broadly concerning the removal of books from the S&E Library in 2016 was not sufficient, with resultant damage to the principle of shared governance. The committee is deeply concerned that plans for a renovated S&E Library are being developed without adequate input from and decision-making by the campus community. As detailed in our response to the S&E Library BCA, decision-making without adequate involvement of faculty and the Academic Senate creates a risk of further violations of shared governance. The committee recommends that a Task Force concerning the future of the Science and Engineering library be formed, to begin in fall

³ COLASC to Librarian Cowell re Review of Science & Engineering Library Business Case Analysis, 8/31/17

⁴ The Brightspot Strategy website may be viewed at <http://www.brightspotstrategy.com/>

2017. The task force should: (a) consist of faculty, staff, and students (graduate and undergraduate), (b) be highly visible (to include the Senate Chair and CP/EVC), (c) be clearly balanced between the different constituencies, and (d) have a limited purview, focused on the planned changes to infrastructure and services (unlike COLASC which has a broader charge that also includes diverse issues related to scholarly communication). The chair of COLASC, or another member, should be part of the task force. This task force can debate issues and issue a report. It is our belief that such a task force would enable honest, frank, and productive conversations about budget trade-offs and fund-raising imperatives that seem to underlie much of the decision making that has already happened with regard to the S&E library.

COLASC Faculty Survey

In 2014, the library conducted a faculty survey using modules from the company Ithaka S+R⁵. In 2015-16 COLASC reviewed the results of that survey. It provided a wealth of information but was focused mostly on specific issues such as copyright and library management of faculty/researcher data sets. A review of the open-ended portions of the survey raised questions about faculty needs and values and the committee decided to conduct a Senate survey to learn more about faculty priorities. This year, the chair visited several departments (Film and Digital Media; Music; and Molecular, Cell, and Developmental Biology) in order to better understand some of the issues facing faculty in different disciplines. In addition, the committee consulted with Anna Sher (Assistant Director of Institutional Research, Assessment, and Policy Studies) and the Library's Head of Assessment Greg Careaga to design the survey. For the most efficient use of faculty time and to maximize response rates, this survey will be administered in combination with a survey from COT. We encourage all Senate faculty to participate in the survey. COLASC members anticipate collaborating with Librarian Cowell to identify possible changes to better support faculty's research and teaching needs based on the survey results.

Open Access 2020 Initiative (OA2020) and UC Pay It Forward Project

The Open Access 2020 initiative (OA2020.org⁶) is an international initiative that aims to accelerate the transition to an open access publishing system from the current subscription system. This initiative invites universities and other stakeholders to publically make a commitment to principles of open access scholarship and to shifting the publishing model for scholarly journals from one that is subscription-based (libraries or individuals must buy a subscription to the journal or pay for individual articles in order to be able to read them) to a model that allows open access for everyone to all published articles ("Gold" open access). Open access fits well with scholars' desires to share knowledge widely but there are challenges that must be faced in determining the best alternative business model. In Europe, most higher education institutions are public entities; therefore, their governments endorse and subsidize the open access publishing model. The situation is different for universities in the United States because there are unlikely to be any direct government subsidies for an open access publishing model.

⁵ The Ithaka S+R website may be viewed at <http://www.sr.ithaka.org/>

⁶ The Open Access 2020 website may be viewed at <https://oa2020.org/>

The UC “Pay It Forward” project⁷ was a large-scale study to review the institutional costs of moving to a Gold open access system, assuming a business model in which authors pay article processing charges (APCs) to publishers for each accepted manuscript. The Pay It Forward study was conducted in collaboration with Harvard University, the Ohio State University, and the University of British Columbia and received support from the Andrew W. Mellon Foundation. The final report⁸ was released on June 30, 2016. The results of this project suggested a model in which each UC campus library would provide faculty a set amount (e.g., \$1,500) per article to apply toward the APC to publish that article. This amount would ensure that the author would have the funds to pay the APC for at least one journal in their field. If the author wanted to publish in a journal with a more expensive APC, the difference in funds might come from an internal or external research grant, an institutional research fund (one not drawn from the library’s budget), or some other source (e.g., the faculty member’s own start-up, unrestricted research, or personal funds). The assumption is that faculty will be able to influence the price that publishers set for APCs. If taken up by the administration, the model proposed in the Pay It Forward report could have profound impacts on faculty who publish in journals. The committee agreed that many of these impacts lie outside the charge of COLASC and were, therefore, beyond our ability to adequately review. Our recommendation is that the report be reviewed by all relevant Senate committees, perhaps including: CAP, CFW, COR, CPB, GC, CEP, CAF, CAAD, and CER. The committee sent a memo to the Senate Chair requesting that she evaluate the advisability of a broader review of the report.

Scholarly Communication Statement and Access to Government Data

In the wake of U.S. federal government decisions to remove data (e.g., concerning climate change) from government agency websites, members discussed drafting a scholarly communication statement to indicate their support of continued access to these data sets and to the importance of open access to data more generally. A sub-committee researched the issue and after further discussion, the committee decided not to write its own statement, but voted to affirm the statement issued by the University of California, Office of Scholarly Communication and UC Libraries (Statement on Commitment to Free and Open Information, Scholarship, and Knowledge Exchange⁹).

The University of California Curation Center¹⁰ (UC3), has developed a Data Mirror project¹¹ to ensure that Federal research data continue to be available for retrieval and reuse, now and in the future. The Data Mirror website states: “The Data Mirror is a complete, and routinely updated, copy of the main Federal government research data portal.¹² The Data Mirror points back to the ‘datasets of record’ on Federal agency websites for routine access. However, should these access paths become interrupted or inaccessible, Data Mirror also includes pointers to the UC3-managed copies, as well as additional registered replicas hosted by other institutions. Providing

⁷ The Pay It Forward project website may be viewed at http://icis.ucdavis.edu/?page_id=286

⁸ The report may be viewed at http://icis.ucdavis.edu/wp-content/uploads/2016/07/UC-Pay-It-Forward-Final-Report.rev_.7.18.16.pdf

⁹ The statement may be viewed at <http://osc.universityofcalifornia.edu/2017/03/statement-on-commitment-to-free-and-open-information/>

¹⁰ The UC Curation Center website may be viewed at <http://uc3.cdlib.org/>

¹¹ The Data Mirror project website may be viewed at <http://uc3.cdlib.org/data-mirror/>

¹² The data portal may be accessed at <http://www.data.gov>

alternative search and retrieval opportunities helps to ensure that these important data will remain available for study and use in perpetuity.”

Letter to Faculty

To facilitate communication about issues related to the library and scholarly communication, the 2015-16 COLASC wrote a letter¹³ summarizing the most relevant resources and issues, especially information that the committee felt might not be well disseminated currently. This letter was sent to Senate faculty on December 2, 2016 and posted on COLASC’s web page.

Consultations

Consultation on Changes to Off Campus Access to Library’s e-Resources

There are two methods for off-campus access of library electronic resources: the campus virtual private network (VPN) and the OCA proxy. In response to an increasing number of security breaches through the off campus access proxy, the Library considered modifications to access via this method. Beginning in fall 2017, users may log in to the off-campus OCA proxy using their gold password. On March 16, 2017, COLASC consulted on this issue and helped identify subsets of users (e.g., visiting scholars) who might need and be entitled to off-campus access but might not currently have a gold password.

Consultation on the Redesign of the Library’s Website

On April 13, 2017, the committee provided feedback on the Library’s planned redesign of its website, including search options and the design and layout of a landing page for faculty. The committee expressed the willingness to provide further feedback on the redesign, as needed.

Consultation on 2017 Graduate Student Survey

The committee consulted with Anna Sher (Assistant Director of Institutional Research, Assessment, and Policy Studies) concerning the 2017 graduate student survey. The committee reviewed the portions of the 2015 survey that were related to the library and suggested additions and changes for the 2017 survey. We look forward to reviewing the results of the 2017 graduate survey and consulting with the University Librarian about any possible changes to services or resources that might be suggested by the survey results.

Review of Policy Changes and Official Correspondence

Review of Draft Revised Presidential Policy on Electronic Information Security

The committee reviewed the draft of the revised Presidential Policy on Electronic Information Security (IS-3) on May 25, 2017. The committee noted the importance of responding aggressively and intelligently to the increasing risk of hacks and security breaches and is grateful for the work that went into developing this policy. However, the scope of the policy was unclear. The committee’s interpretation of the policy is that it is an effort to create infrastructure for electronic information security, without mandating how information will be tiered and categorized within that security infrastructure. The committee noted that if our interpretation is incorrect, there are concerns with the policy. COLASC believes that decisions about the classification of data into security tiers should remain with the Academic Senate and individual researchers, as has historically been the case. Faculty are best positioned to weigh and balance

¹³ COLASC to UCSC Faculty re Library Related Campus Resources Information, 12/2/17

the needs for privacy with those for open access, and professional associations give researchers ethical codes that aid them in making those decisions. Additionally, the committee had questions about whether the policy would necessitate background checks for most or all faculty and graduate student researchers.

Carry-Over for Academic Year 2017-18

Demand-Driven Acquisition Model for Collections

The committee will review a report from Associate University Librarian Kerry Scott about the Library's demand-driven acquisition (DDA) model in early Fall 2017. Of particular interest are: the difference in costs between the new (demand-driven) and old models, whether requested books are purchased, whether purchased books are checked out, how many requested books are used for teaching (i.e., put on reserve for courses), and how many DDA requests are for books that were removed from the Science and Engineering library in 2016.

Library Funds for New Faculty FTEs

Members plan to review the recently implemented (January 2016) library start-up policy that includes a combination of one-time funds and permanent augmentations to the collections budget for each new central faculty FTE allocated to the divisions.

Open Access 2020

The committee will consider reviewing both the Pay it Forward report and the OA2020 statement to decide whether to recommend that UCSC become a signatory to the OA2020 Initiative.

Respectfully submitted;

COMMITTEE ON THE LIBRARY AND SCHOLARLY COMMUNICATION

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August 31, 2017

COMMITTEE ON THE LIBRARY AND SCHOLARLY COMMUNICATION
May 2017 Report

To: Academic Senate, Santa Cruz Division

In the summer of 2016, approximately 80,000 titles (journal runs and monographs) were removed from the Science and Engineering (S&E) Library. The Senate passed a resolution responding to this event on November 8, 2016. In this report, the Committee on the Library and Scholarly Communication (COLASC) provides information about our activities this year that relate to this resolution and to the Science and Engineering Library more broadly.

Follow-up on November 8, 2016 Senate Resolution

The Senate resolution included three calls, two directed to the University Librarian and one to the Chancellor and CP/EVC. We report on what actions have been taken by administrators in response to those calls. In addition, COLASC has taken some actions in keeping with the spirit of the resolution and we report on those as well.

(1) Calls on the University Librarian to commit that such an action will not be repeated, and that the Academic Senate, Graduate Student Association, and Student Union Assembly will be adequately consulted and the faculty informed before making significant changes to the on-campus collections and archives of the University Library

During the November 18, 2016 Senate meeting, Librarian Cowell made a statement committing to a more effective consultation process in the future. To our knowledge, she has not made any public statements about avoiding large reductions to the print collections in the future. However, in multiple meetings she has assured COLASC that there are no plans for further large reductions in the print collections at the Science and Engineering Library, nor is there a plan for a large reduction in the print collections at McHenry Library. We believe that the spirit of the Senate resolution was to decry large-scale reductions in the print collections (especially with inadequate consultation), not to request that regular culling processes be suspended. However, in the face of the large reduction in the S&E print collections, it might be sensible to suspend culling those collections for a few years.

COLASC has had discussions with the University Librarian and with both associate university librarians concerning the consultation that occurred in May 2016. In our April 27, 2017 consultation with Interim CP/EVC Herbert Lee we also discussed this topic. All parties agree that consultation could be improved and will strive for that goal in the future. COLASC commits to enforcing the Senate's consultation policy, which closes committee agendas the first week of May. For any matters of substance, COLASC will also request that written supporting documents be distributed as part of the agenda to minimize the risk of miscommunication and to provide committee members time to carefully review the issues.

The original Senate consultation regarding the S&E Library collection reduction fell short in several regards. First, the consultation was requested very late in the year and past the Senate's typical cut-off date for consultations. Second, the description of the consultation topic referenced a pilot project related to de-duplication at the regional storage facilities, not de-duplication on the UCSC campus. Finally, no written materials were supplied to COLASC before or during the consultation. COLASC provided multiple suggestions in response to the oral presentation (See [Minutes from May 26, 2016](#)), but given the timing and nature of the presentation, the consultation was impaired. If written supporting documents had been provided prior to our meeting in May 2016, we believe that COLASC would have been better able to ascertain the scope of the project and could have responded appropriately. In addition, we have been reminded that a high-level or abstract proposal that seems eminently reasonable when examined at that level can become decidedly less so after digging into the details. Going forward, COLASC is committed to requesting plans that are detailed enough to allow us to provide a more insightful analysis.

(2) Calls on the University Librarian to provide the faculty with a list of books removed from the Science Library, and take steps to reacquire (in print or online form) those books that the faculty consider extremely important

On January 27, 2017, the University Librarian provided the Senate a pdf list of books removed. We recently requested, and received, an excel version of that list, which allows for sorting, enhanced searching, and an accurate count of the number of titles. That list is available on the Senate webpage: [Lists related to recent Science & Engineering Library consolidation project](#)

Some Senators have asked whether some books could be pulled back from the Northern Regional Library Facility (NRLF) or Southern Regional Library Facility (SRLF) storage facilities. Contrary to COLASC's original understanding (as reported in the minutes from the May 26, 2016 meeting), none of the titles removed during the S&E project were sent to the regional storage facilities. Only some of the books removed have a copy in the NRLF or the SRLF; for those that do, the storage copies are owned by another campus. It is COLASC's understanding that it is against system-wide library policy for any books to be removed from the RLFs and sent back to a campus; a campus can't even ask for its own books back from the RLFs. Separately, there is no procedure for transferring books from one library to another. A system-wide policy change would need to happen before such requests could be granted. COLASC is willing to investigate what it would take to effect such a change; however, before doing so it would be helpful to know how much demand there is for such exploration. We suggest that interested faculty work together within your disciplines to examine the lists provided by the University Librarian and identify key texts (with copies currently in the NRLF or SRLF). COLASC can compile those lists, evaluate the scope, and then (if warranted) gather information about what steps could be taken to change policy.

The library is severely under-funded, compared to the other UC campuses and to our comparator universities. There are currently no funds set aside to reacquire the removed books. However, the library now operates under a [demand-driven acquisition model](#). Under this model, there are no longer collections librarians purchasing monographs to build the collections; all purchases are made only in response to requests from users. Therefore, if there are titles that are essential to your current teaching or research that were removed from the collections, we suggest that you request that the library repurchase them. If you make any such requests, it would be helpful to COLASC if you would inform us (email COLASC analyst Le, kle11@ucsc.edu).

(3) Calls on the Chancellor and CPEVC to reaffirm the role of the University Library as a teaching and research library that is key to supporting faculty and student research as well as instruction.

During the November 18, 2016 Senate meeting, Chancellor Blumenthal made a general statement of support concerning the importance of the library to our academic mission (see draft March 8, 2017 minutes). COLASC consulted with Interim CP/EVC Lee during our 4/27/17 meeting and he made a general statement of support for the library. Interim CP/EVC Lee is also planning to discuss the library during his remarks at the Senate meeting on May 19, 2017.

We thank the Chancellor and Interim CP/EVC for these statements but note that an abstract statement of support is less reassuring than a more concrete commitment, one that acknowledges the importance of adequate funding and, ideally, dedicates more money to the library. Other than UC Merced (a campus that is still in its infancy), UCSC is the only eligible¹ UC that is not a member of the Association of Research Libraries (ARL), mostly because the level of resources devoted to our library is not large enough for us to qualify². Past COLASCs have generated plans for moving UCSC toward this goal, through gradually increasing the funding to the library, but none of these plans have been taken up by the administration. We invite the incoming CP/EVC to commit to supporting the library with funding that moves us closer to ARL membership and the associated research resources appropriate for a Research 1 university.

On-going Committee Business

Analysis of the S&E de-duplication project

Faculty concerns regarding de-duplication have focused both on the metrics used and overall availability of books that were removed. The following is a brief and preliminary analysis of the data shared by the University librarians (nb. the list of removed books is known to have some inaccuracies, so these analyses should be interpreted in that context). A total of 83,579 titles were removed. Of those, 17% are not owned by any UC library, while only 30% and 32% of titles have duplicates in the NRLF and SRLF respectively (by UC policy, there are no duplicates

¹ UCSF is not eligible because its Carnegie classification is "Special Focus Four Year: Medical Schools & Centers"; membership in the ARL is limited to doctoral universities with high or very high research activity.

² ARL membership criteria include (a) similarity of parent institutions (e.g., Carnegie classification), (b) similarity of size (including volumes held, volumes added, current serial titles received, total library expenditures, total library material expenditures, number of professional plus support staff, and total salaries and wages of professional staff), and (c) "significant contributions to the distributed North American collection of research resources"

(http://www.arl.org/storage/documents/publications/ARL_Membership_Procedures_Updated19Oct2016_NewBranding.pdf)

between the NRLF and SRLF). Of copies owned worldwide, 98% of de-duplicated titles have 21 or more copies available. On the one hand, there appears to be a high level of availability within the UC system (approximately 83%). Yet the number of titles that are not held by other UC institutions constitutes nearly 14,000 titles.

This brings up questions such as: If books are not available within the UC system, how does this impact accessibility? Is interlibrary loan (ILL) for those titles not held within the UC system possible? What is the difference in costs for UCSC to access (via ILL) books held worldwide in comparison to those owned by other UC institutions or held in the NRLF/SRLF facilities? How many of the books that are not easily accessible by ILL are available digitally?

We have heard anecdotally from some faculty about specific titles that were removed that are useful for current research and teaching. For example, a wide variety of undergraduate physics textbooks were removed, and the resulting on-site collection offers students a reduced variety in texts that cover topics germane to a number of introductory level physics classes. COLASC is interested in collecting any additional examples that faculty may be aware of (email COLASC analyst Le, kle11@ucsc.edu)

From COLASC's discussions with individual faculty, it appears that the changes that were made to the Science and Engineering Library during the de-duplication process may have affected both the research and instructional capabilities of faculty. A disciplinary analyses of the list of removed books could help COLASC to confirm or dismiss this assertion and we invite interested faculty to pursue such analyses and share them with COLASC.

We note that future plans for the S&E library also have the potential for impacts on the faculty. The need for faculty input at a meaningful level, whereby this input is sought in a broad, collaborative, and timely manner, goes beyond just the immediate needs of individual faculty. The new Science and Engineering Library is envisioned as a place of student education, learning, and interaction and it aims to provide adequate space and digital and core physical resources to facilitate this. Plans that are being drawn up for the new Science & Engineering Library will have major implications for how instruction and student learning is done at UCSC. As such, they may impact educational policy at UCSC for the foreseeable future. Shared governance means that it is essential for faculty to have a voice in shaping this future. This should be the province of not only COLASC, but it equally belongs within the purview of Academic Senate committees such as the Committee on Teaching, Committee on Educational Policy, and Committee on Faculty Welfare, as well as the Senate Faculty as a whole. COLASC urges the Library and the senior University Administration to seek such wide-ranging consultation with the Academic Senate throughout this process. Widespread distribution of any documents related to proposed renovations of the S&E Library would be a fine first start.

Faculty Survey

COLASC is working to design a survey for faculty, with a planned administration in Fall 2017. Our goals are to build on the 2014 survey (see [Minutes from April 28, 2016](#)), in part by asking directly about issues that were frequently mentioned in the open-ended responses to that survey. We want to amplify the voice of the faculty in providing input about services and resources that they are currently utilizing in teaching, research, and service, and services and resources that are not currently available but are desired. We also hope to gain some information about faculty priorities in the face of constrained financial resources. Example questions include the utilization of certain existing services and the potential utilization of services that could be (re)introduced, such as book delivery to faculty campus mailboxes. Potentially, the survey might also gauge faculty attitudes toward moving to "fee for service" models for some services. At the same time, the survey will try to inform faculty of the financial tradeoffs involved in certain decisions, especially when reality is rather counterintuitive, (e.g., in many cases, the cost of two interlibrary loans will roughly cover the cost of purchasing the book). We hope that all faculty will respond to the survey when it is distributed.

Conclusion

The Library deserves praise for providing as many services and resources as possible in the face of extreme underfunding. Our praise extends to librarians and staff in all areas and at all levels, who in our experience are, to a person, working with diligence, patience, and ingenuity to provide the best service possible to all library users. The library as an institution is part of a changing landscape of how students and scholars access information. Libraries across the country are reducing their print volumes in favor of electronic copies and there are concomitant changes in space utilization toward study and collaboration space. We appreciate that our librarians, too, must actively look

toward the future and think creatively about a vision for academic libraries in the 21st century.

At the same time, we believe that faculty, students, and staff must have a strong voice in creating that vision. Therefore, COLASC wishes to stress in the strongest possible terms the importance of broad, meaningful, and timely consultation about library issues: with the Senate, with student government organizations, and with the entire population of faculty, staff, and students. The library is central to our core missions of research and teaching; changes to library services and resources have the potential to critically impact our research and learning capabilities. For that reason, Senate consultation, in particular, must be robust if we are to honor the principle of shared governance. Such consultation fell short in this case, leaving many faculty and students feeling blind-sided by the S&E Library events. We call on senior administration, including the interim and incoming CP/EVCs, to champion transparency and shared governance for all future library decisions (including any plans for a renovated Science & Engineering Library) and to remember that the library is not just another building, it is the life blood of our academic mission.

Respectfully submitted;

COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION

Dimitris Achlioptas

Chelsea Blackmore

Michael Cowan

Elizabeth Cowell, *ex officio*

Jennifer Horne

Karen Ottemann

Graeme Smith

Eileen Zurbriggen, Chair

May 10, 2017

APPENDIX A

SANTA CRUZ: OFFICE OF THE ACADEMIC SENATE

August 31, 2017

UNIVERSITY LIBRARIAN, Elizabeth Cowell
University Library

Re: COLASC Review of the Science & Engineering Library Business Case Analysis

Dear Elizabeth,

The Committee on the Library and Scholarly Communication (COLASC) reviewed the Science & Engineering (S&E) Library Business Case Analysis (BCA) in Executive Session during our meeting on 4/27/17. The renovation of the S&E library represents an exciting opportunity and a major investment by the University. Thus, we appreciated the opportunity to review this document. While it is unclear whether the BCA was intended to address campus stakeholders, our reading of it raised many questions both about the consultative process in which plans for capital projects are developed on our campus and about the specific vision for the S&E library represented in the BCA. The committee believes it is extremely important that the BCA be released to the full campus community, and we urge the CP/EVC to do so as soon as possible. In addition, we strongly recommend that additional details about the administration's vision for the S&E library be provided. These recommendations and further feedback are detailed below.

Proposed Vision and Future of the Library

The BCA makes a strong argument concerning the facilities challenges (e.g., mechanical, electrical, plumbing) that must be addressed in this 25-year-old building. The need for modern technological infrastructure is clear. The increased spatial demands are also clear, in that the number of students at UCSC has nearly doubled since the S&E library was built. However, the planned renovations go beyond merely providing additional study space and upgrading facilities; the renovations encompass a vision for the function of the library. The floor plans suggest a vision that differs quite a bit from the current vision, yet the bulk of the BCA focuses on different timetables for implementing this vision, rather than an argument for why this is the best vision for the campus at this time.

We would like to see such an argument, and we additionally recommend that the description of the vision be more explicit and detailed. For example, the BCA states that there is a “need for flexible, innovative spaces that support project-based, collaborative, and interactive learning” and advocates for “the emerging role of digital scholarship” (p. 4). How much demand is there on campus for this type of teaching or learning and these types of spaces? What does digital scholarship mean in the sciences and in engineering, and what is the demand for resources related to this type of scholarship? To what extent are these ideas driven by external vendor offerings or donor interests?

Some additional questions include the following. We would like to know the definition of terms such as “spatial flexibility” (p. 2) and “richly supported informal learning environments” (p. 4). What are examples of the “innovative information technologies” (p. 9) that an enhanced information commons would provide? What does it mean for processes of teaching and learning to have “high visibility” (p. 9) and why is this necessary or desirable? The BCA describes “an imperative to rebalance the space devoted to collections and the space devoted to users and services” (p. 4). In the wake of the removal of so many volumes from the S&E library in the summer of 2016, we seek clarification of this statement. Has this rebalancing now been accomplished? Or is further conversion of square footage from stacks to user study space planned?

There are several elements of the BCA that lead us to seek this clarification. The schematics show an area devoted to collections that comprises only a very small fraction of the Lower Level, smaller than the current situation. We have been told that this should not be interpreted literally (i.e., one can't determine the number of bookshelves planned by counting the icons on the diagram) but the space devoted to stacks in the schematic is clearly smaller than the current amount of space devoted to stacks on that floor. In addition, a version of the schematic shared with COLASC in Fall 2016 gave seat counts for each floor. The total number of seats was 1836, which aligns closely with the number of

seats envisioned in this BCA (1700, according to the goal on p. 9). Table 3 shows the number of bound volumes and associated square footage increasing over time (from 389,149 volumes and 31,132 sq. ft. on 6/30/13 to 405,418 volumes and 32,434 sq. ft. in 2013/14 to 568,108 volumes and 45,449 sq. ft. in 23/24), but the amount of square footage devoted to users is also shown as increasing. Both cannot happen, of course, which is why the square footage projected for 2023-24 shows a deficit of 40,783 square feet. Has the full deficit been eliminated through the recent removal of volumes? We are unable to assess this question because we do not know how many square feet were freed up through the 2016 action. If the full projected deficit has not been eliminated, how does the administration plan to deal with this problem?

In concurrence with the Senate resolution passed on November 18, 2016, we are currently opposed to any further large-scale reduction of the physical collections in the S&E library. We are worried by the goal to “efficiently manage the physical core collection” (p. 9) because efficiency (while a laudable goal in the abstract) is sometimes used as bureaucratic code for slashing positions or resources. Would it not be more accurate to use phrases like “responsible curation” or “responsible custodianship” (and, ideally, include definitions of these terms)?

One very important request is that more details be provided concerning the proposed funding sources for the BCA plan. The figures in the small boxes on the floor schematics suggest that the plan will cost an estimated \$59 to \$95 million if the final phase is completed by 2024. The plan implies that this funding will need to be raised from non-State sources. If so, we would welcome learning more about the specific fund-raising strategies (and possible target sources) that have a reasonable chance of eventually generating such a large amount.

Consultation Process

Although it might be standard practice for a Senate committee to review the business case analysis for a capital improvement project after it has already been approved by the Chancellor, we believe that such a process is inadequate for projects that involve the libraries. A library is unlike almost any other single-use building on a campus because it is used (potentially) by every member of the university. Moreover, the library (both as a physical space and as a set of operations based on its contents and staff) is vital to the success of our core missions of research and teaching. Therefore, in planning a new vision for the library it is essential that the entire campus community be involved and that this involvement go beyond mere consultation to include an actual role in decision-making.

Because decisions about library functions and physical space have implications for educational policy and research we believe it is a threat to shared governance if the Senate is not a partner in making these decisions. Senate consultation in this case should go beyond COLASC. Especially if the administration envisions the library as a space for diverse teaching and learning activities, both CEP and COT must be involved in the planning. Otherwise, choices about pedagogical practices may be limited and constrained by the physical plant decisions made prior to thorough consultation. Such an approach would threaten shared governance principles in which the Senate has plenary authority over decisions about educational policy and pedagogical practice. Because decisions about collections impact faculty research activities, COR should be involved in this review. Graduate students are key users of library services, so Graduate Council should also be involved. The larger planning and budgetary issues make it essential to include CPB in any consultations. Other committees that might wish to consult include CAAD, CER, CFW, CIT, CIE, and CPE.

In addition to much broader consultation with the Senate, other campus constituencies should be actively involved in decision making about the future of the S&E library. In particular, undergraduate and graduate students are major stakeholders. We therefore recommend wide outreach to students and close consultation with the Student Union Assembly (SUA) and the Graduate Student Association (GSA) to ensure that the physical facility meets the needs of both undergraduate and graduate students.

In order to ensure the Senate’s involvement in the planning process going forward, we request that the administration provide a detailed list of the next steps that will be taken, so that the Senate can best ascertain when and how to contribute to the planning. We are especially interested in knowing how concrete is the administration’s current vision for the S&E library and how committed to that vision they are. Is the floor plan in the BCA merely some rough sketches that were prepared as one possibility among many? Or is it the graphical representation of decisions about the future of the library that the administration has already made? We hope that there is still time for the Senate and other constituencies to make contributions to the vision for the S&E library.

Thank you again for the opportunity to review the BCA. We look forward to continuing to contribute to discussions about plans for the future of the S&E library.

Sincerely,

A handwritten signature in black ink that reads "Eileen Zurbriggen". The signature is written in a cursive style and is centered above the typed name.

Eileen Zurbriggen, Chair
Committee on the Library & Scholarly Communication

cc: Chancellor Blumenthal
CP/EVC Tromp
Divisional Deans
Senate Chair Einarsdóttir
Senate Executive Committee
Director Mednick

APPENDIX B

SANTA CRUZ: OFFICE OF THE ACADEMIC SENATE

December 2, 2016

Dear colleagues,

The Committee on the Library and Scholarly Communication (COLASC) writes to share information that might be helpful to you. Please feel free to contact the committee with any comments or suggestions.

Digital Scholarship Commons

The new [Digital Scholarship Commons](#) opened last year on the ground floor of McHenry Library. It has eight new workstations with high end hardware and software that can support mapping, data visualization, and digitization of research materials. As a hub for digital scholarship on campus, the new Commons is also designed to be a first point of contact for creating digital course assignments or imagining a digital research project. Staff is available for consultation and you can reserve the new space for workshops or class sessions that encourage hands on learning for students.

Library Support for Teaching

The Library offers faculty a variety of [teaching support services](#) to help students develop the information literacy and data management skills they need to fulfill research assignments. In 2013, the Library began to support lower-division instruction exclusively with online tools supported by the Undergraduate Experience Team. You can work with your library divisional team to develop customized course guides, database tutorials, and other tools. For upper-division courses, in-person library instruction may be available on a case-by-case basis. Research assignment consultation is also available.

Demand-driven acquisition

The library has implemented a [demand-drive acquisition model](#) for purchasing books and monographs. This contrasts with an earlier model in which library acquisition specialists placed orders for books in various subject areas. The collections will now grow only in response to specific requests by library users (undergraduate and graduate students, faculty, and staff). Accordingly, individual faculty will need to make purchase requests related to the subjects you teach, in order to ensure that books necessary to support your students are on hand. You can do this by triggering purchases in Cruzcat or filling out the [request form for books](#). Please note that decisions about journal subscriptions are made differently and are not following a demand-driven model at this time. Recommendations for new journal purchases can be submitted to the [library divisional teams](#).

Open Access and eScholarship

The UC Academic Senate approved a system-wide open access policy on July 24, 2013. The goal of the policy is to ensure free public access to research articles authored by UC faculty. Faculty are requested to deposit author's copies of their work in UC's open access repository eScholarship, in other open access venues (such as PubMed) or in open access journals. The author's copy is the final, accepted copy (typically in word format), not the page proofs or the final formatted version published by the journal. Last year, the UCSC Open Access Policy Team began sending emails to update faculty on their recent publications identified by the automated harvester to review for inclusion. Faculty can modify harvester settings to improve accuracy. Library staff are available to speak at department meetings to discuss the details of using eScholarship. [[Open Access Information](#)]

Science Library

To support student success in the STEM fields, the Library is raising funds for a large-scale renovation in collaboration with PBSi, Engineering, Student Success and other relevant partners. This past summer, the library removed materials from the Science & Engineering library that had not been checked out or re-shelved in the past five years. The immediate impetus for this project was the need to create additional

study seating for the large incoming class of undergraduate students; however, the project also supported the library's goals of maintaining working, rather than archival, collections of materials on campus and creating collaborative learning space.

The number of books removed was more extensive than COLASC had anticipated. In addition, outreach to science and engineering faculty was not successful in communicating the specifics of the plan for culling the collection. On November 18, 2016, the Academic Senate approved a resolution that condemned the dramatic reduction of the print collection, called for a commitment that such an action would not be repeated, and asked the Chancellor and CP/EVC to reaffirm the role of the University Library as a teaching and research library that is key to supporting faculty research as well as instruction. COLASC is working with the University Librarian to supply the list of items that were removed and to improve the consultation process for the future.

Contact

For questions or requests regarding research or teaching, the first point of contact is the library team for your division:

- Arts and Humanities Team - artshumanities@library.ucsc.edu
- Science & Engineering Team - sciengineering@library.ucsc.edu
- Social Sciences Team - socsci@library.ucsc.edu

Other useful contacts include:

- [Undergraduate Experience Team](#) – Greg Careaga, uet-group@ucsc.edu
- [Digital Scholarship](#) - Rachel Deblinger, rdebling@ucsc.edu
- [Special Collections and SantaCruziana](#) - Elisabeth Remak-Honnef, remak@ucsc.edu

Please feel free to contact the committee with any comments or suggestions.

Sincerely,

/s/

Eileen Zurbriggen, Chair
Committee on Library & Scholarly Communication

**COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION
CONSULTATION PROCEDURE**

In order to allow careful consideration of issues brought before the Committee on Library and Scholarly Communication (COLASC) for consultation, and to assure that those consulting with COLASC receive a timely and clear response, the committee adopts the following guidelines:

1. Topics on which consultation is sought will be listed on the committee's agenda. Deadline for agenda item submission is the Wednesday prior to the meeting, 5pm.
2. Supporting documents for scheduled consultations will be distributed with the committee's agenda. Deadline for submission of supporting documents is 5pm Wednesday, the week prior to the meeting, unless special arrangements are made with the Senate Office to circulate the documents in advance of the meeting.
3. The committee will endeavor to respond in writing on all topics on which it has been formally consulted within two weeks of such consultation, indicating clearly whether further discussion is required, what recommendations it is prepared to make, and what further response, if any, is expected from the Administration before the consultative process is complete.
4. Unscheduled topics may be introduced and supporting documents may be distributed at committee meetings, but the committee will not respond (either orally or in writing) until after it has had the opportunity for discussion at a subsequent meeting.
5. COLASC's agenda will effectively close (no further submissions) the **first week in May** to enable the committee to finish pending business.
6. Invitations to consult with the Principal Officers are made directly with the principal officer.
7. Information requests are made directly to the Principal Officers, with a cc to the CP/EVC.



THE UNIVERSITY LIBRARY

SANTA CRUZ, CALIFORNIA 95064

October 31, 2016

Dear Professor Nielsen, Professor Narayan, and all those concerned:

Thank you for the opportunity to respond to your concerns. At this point, the consolidation of the Science & Engineering Library is complete. No more volumes are being removed as part of the project. 100% of the collection was duplicated across the UC libraries and beyond and is available either via interlibrary loan (ILL) or online. No titles were sent to NRLF as a result of this project. As part of the consolidation, we shared journal volumes with print archives around the country including the JSTOR, UC Shared Print, Journal Archives of California (JACS) and the WEST archives, from which they can be requested via ILL.

We collect extensive data about the use of the collection, both in house use, meaning books that we reshelfed that were not checked out, and circulation statistics. After an intensive analysis of the data, we did not see evidence of much in house use or circulation of the collection. For example, only 5% of the titles were checked out when the project started. We acquire less and less print in the STEM fields. The journal and increasingly monographic content most heavily used is online. System and user data tell us that a majority of students, faculty, and staff have discovered the most effective way to browse is through our online catalog or other online portals because they provide access to more content.

With regard to unique items, at the outset of the project, we moved all items from the Lick Library to Special Collections in McHenry Library. We felt the material was too valuable to remain in open stacks. We did not find any other unique material.

In terms of consultation, the renovation study from the architect was completed in December 2014. It included the concept of the consolidation of the collection, which I discussed with the Committee on the Library and Scholarly Communication in broad strokes because we did not yet have a sense of the details of the plan. Objections were not raised. I consulted with the Committee on May 26, 2016 and discussed the details and timeline of the project. I was not asked to hold off on the project. The Committee understood the acceleration of the project was driven by the dire lack of study space, loss of lounges in the Colleges and the increase in enrollment.

I met with the Physical and Biological Sciences Department Chairs on April 20, 2016, asked for feedback at the meeting and welcomed email comments. I did not receive any feedback at the meeting or email afterwards. I consulted with the Academic Deans, the Administrative Leadership Team, the EVC/Provost and Chancellor. When the timeline for the consolidation project accelerated at the end of spring quarter, Dean Koch sent an email to all department chairs and managers in the division (June 22, 2016) reminding them of the plan and timeline, and we received only one response from a faculty member in the division.

At the beginning of the project we created this webpage to inform people of the progress and completion of the project: <http://guides.library.ucsc.edu/generalcollections/sci-collections-project>. We kept a news item up on the library homepage alerting constituents about all phases of the project.

I understand that this process was different than the journal cancellation exercise we went through when our budget was significantly cut beginning in 2008. At that time we were actually losing access to online journals that were being used. In this case, the use data, pressing student need for space, continued access to content online and via ILL for materials that had not been used led to a different consultation process and accelerated timeline.

Had I heard significant concern, I would have addressed it. Having received none, I moved forward as planned.

I will always consult and respond to feedback.

Respectfully,

A handwritten signature in cursive script that reads "McCowell".

M. Elizabeth Cowell
University Librarian

Cc: John Bono, Associate University Librarian, Planning and Resource Management
Kerry Scott, Associate University Librarian, Collections and Services

COMMITTEE ON LIBRARY AND SCHOLARLY COMMUNICATION

AGENDA

May 26, 2016

12:00–2:00

McHenry Library 4221

Eileen Zurbriggen, *Chair*, Psychology
Catherine Jones, History
Michael Cowan, American Studies
Graeme Smith, Astronomy

Elizabeth Cowell, *ex officio*, University Librarian
Frank Gravier, LAUC Chair
Nick Meriwether, LAUC Vice Chair
Gabriela Ramirez-Chavez, Graduate Student Representative

Please contact Kim Van Le if you have any questions at 459-3431, kle11@ucsc.edu.

Agenda	Target Time
1. Announcements and Approval of Minutes <i>Members will note changes or additions to minutes from the March 31 meeting. Chair Zurbriggen will provide a briefing from the UCOLASC meeting on May 20.</i> <i>Please note upcoming Committee on Committees Social on Wednesday, June 1.</i>	12:00
2. Guest: Librarian, Collection Development Kerry Scott <i>University Librarian Cowell has invited Librarian Scott to provide an update on the Science & Engineering Library via teleconference.</i>	12:10
3. Regional Library Facility Collections Project Proposal <i>University Librarian Cowell is seeking feedback from members on a pilot project to de-duplicate serial collections (gold titles) held by the Western Regional Storage Trust (WEST) in an effort to create space and understand the cost of de-duplication.</i>	12:25
4. Debrief on Library Budget Overview <i>Chair Zurbriggen and Librarian Cowell will inform members of consultation meeting with the Committee on Planning & Budget on May 19.</i>	12:40
5. Continue Drafting Faculty Letter <i>Members have discussed various information and topics over the past year that may be of interest to faculty and would like to share with faculty. The committee has decided to draft a year end message to inform faculty of Library news and related interest and will continue drafting the message today.</i>	12:50

Enclosures

March 31 minutes

Regional Library Facility Collections Project Proposal – WEST De-Duplication

Library Budget

CPB_University Librarian 5/13/2016 re Consultation with Planning and Budget

University Librarian_ CPB 5/18/2016 re Responses to Pre-Consultation Questions