

**University Library Committee
Annual Report
2006-2007**

I. Committee Charge

The University Library Committee (ULC) reviews, consults and advises on, plans for, and receives reports and recommendations on the performance of library services, automation, budget, administrative structure, and allocation of resources. Responsibility for keeping the faculty informed of major issues and for creating opportunities for the faculty to discuss priorities also falls to the committee. (see *Faculty Policies and Procedures* 6.46.B)

II. Summary of Recommendations and Actions

Primary issues during 2006-2007 included: scholarly communication and the passing of the ULC Faculty Senate Resolution on Author's Rights, the UW-Madison Libraries' partnership with Google, the collection budget, library collaborations and partnerships, and the role of the libraries in the campus community.

Following is a summary of the primary issues addressed by the ULC during this academic year:

1) Acquisitions Budget and Collections

The University Library System has received a one-time \$400,000 addition to the FY07 collection budget that will be distributed to Ebling, Law, CIMC, and the GLS Libraries according to a pre-determined formula. Vice Chancellor Bazzell is hopeful that the libraries will receive an increase to the collection budget in FY08.

2) Scholarly Communication and Retention of Authors' Rights

ULC discussions covered the issue of scholarly communications, scholarly output, journal publishing models and practices, and the pricing structure of scholarly journals. Discussions moved to alternatives to traditional publishing and the retention of authors' rights. ULC proposed a Faculty/Senate resolution (passed by the Faculty Senate May 2007) in support of assisting university authors in managing their publishing rights and agreements.

3) Google/Library Project

The UW-Madison Libraries entered into an agreement with Google in October 2006 to digitize more than 500,000 works from the UW-Madison Libraries and the Wisconsin Historical Society.

III. Detail of Current/Past Year's Activities and Issues

A. Acquisitions Budget and Collections

Last year the UW-Madison Libraries spent more than \$6 million on journal subscriptions and licenses. This translates to about 66% of total collection expenditures. Annual price increases for 2008 are projected to be an average 7-9%. This will result in an increase journal expenditure of \$432,000-\$555,000.

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Meanwhile the libraries are consulting with faculty and academic staff regarding proposed journal cancellations for 2008. To compensate for the loss of journal subscriptions, the libraries will continue to provide fast commercial document delivery in addition to efficient interlibrary loan for journal articles.

In the interest of maintaining access to journal articles, the UW-Madison Libraries encourages faculty and researchers to use the CIC author's addendum (see item C below). This addendum addresses a pressing need of researchers and scholars by allowing authors to select and retain key rights to articles.

B. Information Technology Review

In anticipation of Annie Stunden's retirement from the Division of Information Technology (DoIT), campus administration arranged for an external review of the information technology structure at UW-Madison on March 7-8, 2006. Although half of the UW System campuses have a Chief Information Officer (CIO) who heads IT and libraries, this arrangement is almost unknown at large research libraries. ULC submitted a letter to the review team (attached) opposing a structure where the UW-Madison Libraries are placed within the administrative responsibilities of a CIO. The letter cited the libraries' role in academic support and as cultural institutions in opposing a combined library/IT structure. There were assurances that a merger of libraries and information technology will not occur at UW-Madison. (Appendix I)

C. Scholarly Communication

There were several detailed discussions and meetings related to scholarly communication. During the course of these discussions documents were distributed that related to national resolutions and methods for working with faculty regarding scholarly communication. The result is that the ULC formulated a faculty senate resolution that was in line with national resolutions. It was voted on by the faculty senate and approved in April 2007. The documents are attached as appendices. Appendices include "An Open Letter to the Higher Education Community," UW Faculty Document 1839 "Faculty Senate Resolution in Support of Accessible Scholarly and Scientific Publication" (see also: <http://oscp.library.wisc.edu/response.html#resolution>), and information about the Scholarly Publishing and Academic Resources Coalition (SPARC) project (see also <http://www.arl.org/sparc>). (Appendices II, III & IV)

For further information outlining the scholarly communication program on campus a Powerpoint presentation by Acting Director, Ed Van Gemert, is available. The slides demonstrate how increased scholarly output, current journal pricing models, and journal publishing practices have affected scholars and libraries.

Over the last twenty years, scholarly output has doubled, yet annual 6-12 percent increases in journal prices coupled with publisher consolidations and added charges for electronic access have resulted in less access to research by scholars. It is suggested that researchers may want to consider the following measures to gain better access to their scholarly output:

- actively manage copyright through mechanisms such as the SPARC author addendum; communicate with publishers;
- archive scholarly papers in a repository such as Minds@UW (<http://minds.wisconsin.edu/>);
- consider alternative forms of publishing such as Open Access (OA) publishing; and
- advocate for increases in funding for library materials.

Several strategies to advance scholarly communication among UW faculty were discussed including:

- study disciplines where much of the scholarly output is freely available online to determine how their practices might be applied more widely (such as Physics & Economics);
- work more closely with Divisional Committees;
- use library liaisons to a greater extent to communicate with departments and committees to educate staff on alternate scholarly communication models;
- include information on scholarly communication issues as part of new faculty orientation; and
- work with professional societies to make them aware of the issues faced by researchers and libraries in today's publishing climate.

D. The Google Library Project

The Google project was an important undertaking for the UW-Madison Libraries. Since the impact of this project for the libraries, the campus and beyond is so great there was a great deal of time devoted to discussing the project and providing information to the committee regarding the UW Libraries/Google Book. The focus of the project is on materials in the public domain, primarily state and federal documents, and pre-1923 materials. This project is being conducted in conjunction with the Historical Society and as such many of the documents will be from the American History Collection. Although we have our own digital collection, this is a huge financial gain for us, as well as a benefit to the preservation of our resources. Google will digitize not less than 500,000 items over the next six years. The cost to the libraries will be in staff including a project manager, and a team of selectors, programmers, catalogers and public service staff will work on logistics. They will be asking for input on what collections should be targeted for digitization. Copies will be held both on Google servers and locally. This is an important enterprise for the libraries and for the university.

E. Other issues

1. Development

Ed Van Gemert, Elisabeth Owens, and Niki Graham of the UW Foundation are targeting three areas for funding: collections, preservation, and the remodeling of Memorial Library. In addition to the Parents Enrichment Fund that comes through the UW Foundation, the libraries were the recipients of many direct gifts, gifts-in-kind, and donations. Two were most notable: a gift of more than \$825,000 from the estate of the late Ethel K. Allen to benefit the Biology, Kohler Art, and Steenbock Libraries; and a gift from Douglas Schewe of nearly \$1 million to the UW-Madison

Libraries to benefit its Friends organization, to promote reading, and to support lectures and outreach to the campus and wider Madison area.

2. GLS Strategic Planning

The GLS, has been working with the University of Wisconsin, Office of Quality Improvement, in a long range strategic planning process. The plan will try to answer these questions: What makes a great public research university library? Where are we now? Where do we want to be in two years? The Library staff involved in the strategic planning will be contacting the University Library Committee as well as other campus groups for input into long range strategies and objectives.

3. Space

Memorial Library has been seeking collaborative projects with campus organizations and found a new opportunity when the Institute for Research in the Humanities was relocated from the Washburn Observatory. The proposal was that Memorial's fifth floor faculty studies be remodeled as a home for the Institute, as well as a collaborative space where scholars, students, and librarians can interact. A study of the current usage patterns of the fifth floor revealed that the space was underutilized. Remodeling would create larger, nicer carrels and lockers that could be shared. Space for programming and meetings will be included, and will incorporate advanced technology. Issues were discussed with campus administration, faculty of the Humanities Institute and others.

It was decided after the final ULC meeting of the year that the Humanities Institute would not be moving to the Memorial Library but will instead be moving to an alternative site on campus. Other alternatives for the 5th floor space will be considered and shared with the ULC.

University Archives will consolidate its collections within Steenbock Library, improving both hours for and access to archival materials.

The ULC continues to follow up on the status of the off-site preservation facility. It was reported that the Department of Administration has a tiered plan that includes Wisconsin Historical Society and the Veterans Museum in the first step, but remaining campus libraries would not be included until the 2009-11 fiscal year. The Middleton Shelving Facility is currently more than 80% full and the University of Wisconsin is now the only Big 10 institution without a remote storage facility.

V. Future Priorities

1. Collections development and management, including digitization & access
2. Scholarly communication, author's rights, and open access
3. Development and fund raising
4. Space and storage
5. Strategic planning

V1. Summary/Recommendations

The support and involvement of ULC in ongoing library activities continues to be very important. ULC has been instrumental in conveying to the Faculty Senate and colleagues the importance of such issues as the collections budget, the preservation facility, and the future of the libraries with regard to DoIT. ULC support is also important in creating additional opportunities for collaboration on a variety of activities from publishing to development. We hope to continue enhancing this important relationship and that ULC will continue to play an important role in maintaining the UW-Madison Libraries' reputation as a great research

library.

V11. Committee Membership (2006/07)

Elected Faculty (voting members)

Gary Green (Rural Sociology; 1st of 4 yrs)
Linda Hogle (Med. History & Bioethics; 2nd of 4 yrs)
Joseph Kemnitz (Primate; 1st of 4 yrs)
Anne Lundin (SLIS; 4th of 4 yrs.), Chair
Joseph Mason (Geography; 2nd of 4 yrs.)
Katherine McMahon (Engineering; 1st of 4 yrs.)
Teryl Roper (Horticulture; 4th of 4 yrs.)
Marc Silberman (German; 3rd of 4 yrs.)

Appointed Academic Staff (voting members)

Susan Breckenridge (UW Press)
Susan H. Hellstrom (Engineering)

Students (voting members)

Kerry Gabrielson
Adam Onkels

Ex Officio (nonvoting members)

Phillip Braithwaite (Budget Planning and Analysis)
Jocelyn Milner (Academic Planning & Analysis)

Librarians (nonvoting members)

Steve Barkan (Law Library; LCC Liaison)
Sarah Calcese (Wendt Library; 2nd of 2 yrs.)
Ken Frazier (Acting CIO, DoIt)
Nancy McClements (1st of 2 yrs.)
Edward Van Gemert (Acting Director)

Appendix I

March 2, 2006

To the members IT External Review Team
From the University Library Committee

The University Library Committee would like to go on record in opposition to an organizational structure placing the UW-Madison Libraries within the administrative responsibilities of a Chief Information Officer.

One of the issues to be considered during the external review of the information technology organization and resources of UW-Madison is the reporting lines for the director of the Division of Information Technology (DoIT) and the director of the university libraries. The organizational model specifically mentioned in the list of questions posed to the review team is a Chief Information Officer (CIO) to whom both DoIT and the campus libraries would report. We note with interest that the review team will meet directly with the university governance committee for technology (the Information Technology Committee) but no arrangements have been made to gather input from the University Library Committee. While we recognize that the organization relationship between the university libraries and IT is only one of the many issues you will address, we believe that it is important for you to know the views of the University Library Committee.

The organizational structure placing the director of libraries under a Chief Information Officer is rarely used by the largest research universities in the United States. While this model has been used successfully by smaller academic institutions, often with a librarian serving as the CIO, it is not suitable for universities that aspire to maintain great research libraries. To the best of our knowledge, all of the library dean/directors of the twenty largest public universities report to the administrative equivalent of the Provost—the chief academic officer of the university.

The reasons for this are many, but the most obvious is that libraries are academic support services, not information technology shops. While they are intensive users of IT systems and networks, research libraries are not fundamentally about IT. Neither do we see any inclination on the part of libraries to replicate IT infrastructure or duplicate the services of the Division of Information Technology. Instead, we have observed close and creative cooperation between libraries and IT on the UW-Madison campus.

It is also important to appreciate that large research libraries like Wisconsin's serve as cultural institutions for the state. Our campus libraries have massive and growing print collections that require the support of conservators, archivists, subject area and language specialists—an array of professional expertise unrelated and largely unfamiliar to the IT world. We also have reason to fear that the printed assets of university libraries—which are so vital to scholars in the social sciences, history, humanities, and the arts—are not highly valued by many IT administrators.

Additionally, the university library system is made up of numerous units. The focal point, the center that provides leadership to the whole, is the General Library System, and its director. The

governing structure that is set up through the ULC and the leadership groups in the campus libraries are effective in establishing strategic directions within a very complex library system. The director of the GLS, functioning as chief of this system, is able to exercise leadership, allocate new resources, and provide leadership among peers across the country.

We believe that there is a necessity for mission-driven leadership in university libraries that would be diluted to the detriment of the entire university if the director of libraries reported to someone whose primary focus is IT.

We would welcome an opportunity to provide additional input for this review process.

Appendix II

Background information for discussion of the Faculty Senate Resolution in Support of Assisting University Authors in Managing their Publishing Rights and Agreements

The UW-Madison University Library Committee unanimously passed on April 13, 2007, and the Faculty Senate passed on May 8, 2007, the attached resolution in support of assisting university authors in managing their publishing rights and agreements.

Institutions and organizations around the world, including the Committee on Institutional Cooperation (CIC) Provosts, are leading initiatives to inform authors in all disciplines about their rights and how to retain them. When scholarship is published in journals or elsewhere, publishers typically ask authors to sign a transfer agreement, or contract, that describes the assignment of rights to the publisher of the intellectual property. These agreements often result in the deprivation of various authors' rights such as the right to post the article on the public Internet or to make copies for classroom use. According to traditional publication agreement, all rights—including copyright—are typically surrendered to the publisher.

The CIC Provosts recognize the complexity of the issues involved in publication, but are nonetheless committed to helping our faculty make the most of their work and support the free flow of scholarly information in support of university missions. To that end they have distributed the attached Statement on Publishing Agreements along with The Addendum to Publication Agreements for CIC authors.

The CIC Provosts suggest that faculty authors consider a number of factors when choosing and interacting with publishers for their works. The goal of publication should be to encourage widespread dissemination and impact; the means for accomplishing this will necessarily depend on the nature of the work in question, the author's circumstances, available suitable outlets, and expectations in the author's field of inquiry.

The University Library Committee amended the original CIC addendum distributed by the CIC Provosts to include subsection 4 that was derived from ARL's Scholarly Publishing and Academic Resources Coalition (SPARC). ARL/SPARC has been an international leader in the discussion of author rights and scholarly communications. This sub-section is a default clause that states that in the event that the publisher publishes the article in the journal without signing a copy of the addendum, the publisher will be deemed to have assented to the terms of the addendum.

The passage of this resolution provides for greater opportunities for university-wide discussion of these issues and will also help in assessing options for scholarly publication. University librarians will take a leading role in these discussions and also encourage faculty members to become engaged.

Submitted by Ed Van Gemert
Acting Director of Libraries
May 10, 2007

Appendix III

COMMITTEE ON INSTITUTIONAL COOPERATION (CIC) PROVOSTS' STATEMENT ON PUBLISHING AGREEMENTS

[For a fuller consideration of the issues addressed herein, see 'Copyrights and the Paradox of Scholarly Publishing' by R. Michael Tanner, Provost, University of Illinois at Chicago]

Publication is the lifeblood of a research university. It is incumbent upon faculty, campus administrators and librarians to ensure the free flow of scholarly information in fulfillment of our campus missions to advance the public good through research and education. Toward this end, our campuses are committed to supporting a sustainable publication process and a healthy publishing industry. The "information revolution" has greatly expanded the means for disseminating and utilizing scholarly discourse, but this opportunity for extending the reach and impact of our campuses is countered by social and economic conventions of some sectors of the publishing industry. Suitable publishing partners for academic enterprises should be encouraging the widest possible dissemination of the academy's work, and the management of copyright should be directed to encouraging scholarly output rather than unnecessarily fettering its access and use. Without some important changes in publishing practices, authors and readers will continue to be frustrated by barriers to the free flow of information that is an essential characteristic of great research universities.

The CIC Provosts suggest that faculty authors consider a number of factors when choosing and interacting with publishers for their works. The goal of publication should be to encourage widespread dissemination and impact; the means for accomplishing this will necessarily depend on the nature of the work in question, the author's circumstances, available suitable outlets, and expectations in the author's field of inquiry. In general, we encourage authors to consider publishing strategies that will optimize short and long-term access to their work, taking into account such factors as affordability, efficient means for distribution, a secure third-party archiving strategy, and flexible management of rights.

Protecting intellectual property rights is a particularly important consideration, as many of our authors unwittingly sign away all control over their creative output. Toward this end, the CIC Provosts encourage contract language that ensures that academic authors retain certain rights that facilitate archiving, instructional use, and sharing with colleagues to advance discourse and discovery. Accompanying this document is a model CIC publishing addendum that affirms the rights of authors to share their work in a variety of circumstances, including posting versions of the work in institutional or disciplinary repositories. While the particular circumstances and terms governing publication will vary on a case by case basis, the underlying principle of encouraging access to the creative output of our campuses should inhere in all of our efforts.

The CIC Provosts recognize the complexity of the issues involved in publication, but are nonetheless committed to helping our faculty make the most of their work. For further discussion of these issues, or for help in assessing options for the publication of particular works, members of our faculty are encouraged to consult with academic deans, campus counsels, university librarians, or academic staff in the provosts' offices.

Appendix IV

ADDENDUM TO PUBLICATION AGREEMENTS FOR CIC AUTHORS

This ADDENDUM hereby modifies and supplements the attached Publication Agreement between:

10/9/2007

Corresponding Author: _____

Additional Authors (if any): _____

AND

Publisher: _____

Related to Manuscript titled: _____

To appear in Journal, Anthology, or Collection titled: _____

Publisher and Author agree that where there are conflicting terms between the Publication Agreement and this Addendum, the provisions of this Addendum will be paramount. In addition to the rights granted the Author in the Publication Agreement and by law, the parties agree that the Author shall also retain the following specified rights:

1. The Author shall, without limitation, have the non-exclusive right to use, reproduce, distribute, and create derivative works including update, perform, and display publicly, the Article in electronic, digital or print form in connection with the Author's teaching, conference presentations, lectures, other scholarly works, and for all of Author's academic and professional activities.
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3. The Author further retains all non-exclusive rights necessary to grant to the Author's employing institution the non-exclusive right to use, reproduce, distribute, display, publicly perform, and make copies of the work in electronic, digital or in print form in connection with teaching, conference presentations, lectures, other scholarly works, and all academic and professional activities conducted at the Author's employing institution.
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AUTHOR

PUBLISHER

(Corresponding Author, on behalf of all authors)

Date

Date