

**UNIVERSITY OF WASHINGTON
FACULTY COUNCIL ON UNIVERSITY LIBRARIES**

The Faculty Council on University Libraries met at 3:00 p.m. on Tuesday, **April 12, 2004**, in The Petersen Room of Allen Library. Chair Seelye Martin presided over the meeting

PRESENT: **Professors** Martin (chair), Bulgac, Kerr, Moy, Schepp and Wilkinson;
 Ex officio members Sercombe and Wilson;
 Guest Thomas Deardorff, Coordinator for Access Services, University Libraries.

ABSENT: **Professors** Brown (on sabbatical), Lavelly and Sutton;
 Ex officio members Fuller, Ogburn, Ullman and Zabel;
 Regular guest Charles Chamberlin, Deputy Director of Libraries.

Approval of minutes

The minutes of April 12, 2004 were approved as written.

Proposed changes in the Libraries Loan Code – Thomas Deardorff

Deardorff said that, as Coordinator for Access Services, he is responsible for the Libraries Loan Code, and thus for the regulations of the Code as applied in Circulation Services. He noted that the Libraries is in the process of revising the Washington Administrative Code (WAC) that relates to the Libraries Loan Code.

Deardorff noted that “the Loan Code currently specifies borrower eligibility, loan periods, required notices, borrower confidentiality, fines, billing fees, the appeals process, and other policies relating to the circulation of library material. We have initiated this revision to remove elements of the Loan Code that are more appropriately kept in the Libraries Operations Manual and to allow for more flexibility in setting policies and charges.”

“The revision of the Loan Code,” said Deardorff, “as part of the WAC requires submission of changes to the Rules Coordination Office, which in turn forwards them to the Attorney General’s Division and the state’s Code Reviser’s Office. The proposed changes are published in the Washington State Register. During this period the Libraries discusses the proposed changes with appropriate library constituencies. Next, a public hearing is scheduled and then the Board of Regents reviews the proposed changes. If approved by the Board of Regents, the changes can go into effect in about 20 days at the earliest. The current schedule calls for the public hearing in late May, the Board of Regents review in June, and implementation in September.”

Deardorff explained that, with the above process in mind, it seems reasonable to remove many parts of the Loan Code from the WAC and place them in the Libraries’ Operations Manual. “We have proposed that much of the Loan Code that deals with non-fiscal elements be removed, and have generalized the monetary aspects so that they refer to a process for setting fines and changes, but not actual amounts. During the next few months, we will be proposing changes to fines and fees, but this will not be part of the WAC revision process.”

Deardorff briefly reviewed several of the individual changes in the revision. In WAC 478-168-170, the phrase Library Borrowers currently is listed in the Code, “but it doesn’t have to be,” he said. “We left Identification Card in the Code, but removed Loan Periods.” He pointed out that Holds were removed in 168-290, and that in 168-310 [Fines and Charges], “we will refer to the mechanism for fines only.” In 168-320 [Notices and Invoices], “Notices will stay the same.”

Wilson said, “The goal of the revision of the Libraries Loan Code is to make it as Umbrella-like as possible; to make the Code such that it will not have to be revised in the future [or rarely].”

Deardorff then addressed “Changes to the Libraries Circulation Policy: Fines, Renewals and Notices.” The “Principles” are that: 1) fines should be set so that most people are motivated to bring materials back on time; 2) the fine system should be predictable; 3) the fine system should be easy to understand; 4) the fine system should work well in most situations – it should be predictable – and not be too punitive for the person with a one-time problem, and not too lenient for the chronic offender; 5) library staff time to administer the fine system should be considered; and 6) the borrower should be trusted – at least until the evidence indicates otherwise.

Significant “Current “Problems” are: 1) Media materials (such as videos) and other short-term materials are not returned on time. Interlibrary loan and Summit books are usually returned overdue. 2) Unpredictability of fines. As Deardorff observed: “We want predictability.” He said, “For non-reserve items, fines are triggered by a hold by another user – it is hard to explain to new users and it ‘trains’ users to bring books back late.”

Proposed changes include: 1) starting library fines immediately at \$.50 per day with a four-day grace period. (The current system is \$.50 per day from day one if there is a hold; otherwise no fines until 30 days). No additional fines for recalled items. The invoice would be generated in 20 days (currently 30). This change will make the system predictable and should result in more short-term loan materials being returned on time. Deardorff stressed that “a lot of interlibrary loans are returned late; this has been an issue.” 2) The non-reserve billing charge would go from \$15 to \$20. (It hasn’t changed in nine years.) 3) Reserve fine levels and billing charges would stay the same. “Materials are coming back readily,” he noted. 4) Notices would be sent prior to the due date if the borrower has e-mail. “We will try to do this, say, two days before the due date, for those people who have e-mail.” Sercombe said, “I *like* this idea; many people don’t think to *look* at their due date.” And 5) No limit on renewals. This will minimize issues with borrowers who can’t come in to renew within the shorter grace period. Though Deardorff said, “This is still under discussion.” He pointed out: “Currently we have two renewals [in which borrowers do not need to bring in the books, but can call or renew online], which is a concern for some people. On the third renewal, borrowers must bring in the books and re-check them out in person. Deardorff said, “I’d prefer not to have a limit on renewals.”

Kerr suggested: “Put this Library account information on the ‘MyUW’ Website. When I’m teaching, I use ‘MyUW’ a lot. It would be very convenient [to use for this purpose].” Deardorff said he liked this idea, and will bring it to the attention of the committee working on the revisions.

Deardorff told the council that these changes [to Circulation Policy] “are not part of the WAC revisions.”

The council liked the changes, but definitely expressed apprehension about “unlimited renewal.” Deardorff asked council members to send him any further suggestions they might have (tdeardor@u.washington.edu).

University Libraries Briefing on Journal Licensing Issues to the Faculty Senate: March 11, 2004

Martin introduced Wilson at the March 11, 2004 Faculty Senate Meeting, which was exceptionally well attended. Wilson “spoke eloquently” – Martin observed – in presenting the Libraries’ “Problem Statement” about increasingly difficult journal licensing issues. Wilson stressed to senators, administrators, and others in attendance that the Libraries’ focus is on the costs of commercial scholarly journals, and on the necessity of “unbundling the Elsevier Publishing Science Direct journal contract.”

Wilson said there was an “enthusiastic response” to the presentation, and an extended Faculty Senate discussion followed her briefing. President Huntsman offered “spontaneous, impassioned” comments in which he exhorted faculty to take very seriously what Wilson was saying, and to understand that the nature of scholarly publishing is undergoing significant changes. Wilson noted that there were some excellent questions in the discussion period, concerning, among other issues, what individual faculty members could do as editors of journals, and copyright retention in the changing world of scholarly publishing.

Wilson said the “major message” presented to the Faculty Senate was that University Libraries will be “moving away from bundling journals from Elsevier and John Wiley,” and other scholarly publishers. Wilson said, “We *could* give a briefing each year to the Faculty Senate about these issues.”

Update on the DPubs (Digital Publishing System) proposal – Betsy Wilson

Wilson reminded the council that, “We were approached by Cornell University – along with Penn State and Duke University – to help make DPubs, an electronic journal publishing tool, and a software tool others could adopt. The Mellon Foundation has expressed interest in providing funding support, and, as Wilson suggested, most probably will do so.

Wilson asked the council what she said she would be asking, as the project developed: “Would *you* help us with this project? Most of the work will be done at Cornell. But we need faculty focus groups at the University of Washington. Cornell will be sending us modules, which faculty focus groups would then go over.”

Wilson said, “This presents an alternative, or substitute, to Elsevier and the like. It will take about two years to complete. This will be a way to publish out of the University instead of having to publish commercially. The cost to the University would be less. Of course, salaries of editors would have to be worked out. Hopefully, we’ll create a competition in the market place with projects such as this.”

Wilson told the council: “We’ll come back to you in about nine months with a prototype.”

Plans for the ACRL (Association of College and Research Libraries) Award Ceremony

Wilson said the ACRL (Association of College and Research Libraries) Award to University Libraries as the best university research library in the country will be presented on the steps of Suzzallo Library on Monday, May 17th, from 12:15 to 12.45 p.m. Former University Libraries Directors and other dignitaries – including, of course, President Huntsman, who will be involved in the ceremony – will be in attendance. It is hoped that the time of the ceremony will allow University Libraries staff and others in the University community the opportunity to attend.

Libraries Budget requests to the Provost – Betsy Wilson

Wilson emphasized that “there is little new money available for funding, and no new budget cuts per se.” Possible funding sources are a tuition increase, if that should occur, a minimal personal wage increase, and perhaps some ICR (Indirect Cost Recovery) money, and some from new enrollment.

The five requests made by University Libraries are:

- 1) Student Hourly Wages (ongoing): 2004-2005. Wilson noted: “We’re the largest employer of students on campus, and we need to increase the minimum hourly wage on January 1st of each year. The increase is to equal the cost-of-living in the State. The Libraries has been forced to direct significant dollars to meet these increases. To fund half of the current shortfall (the Libraries will fund the remaining shortfall from salary savings) and the 03-05 mandated minimum wage increases, \$276,432 is required.”
- 2) Library Materials (ongoing and one-time): 2004-2005. The Provost’s Office understands the strains placed on the Libraries materials budget, the significant decline in purchasing power, and the negative implications for research and teaching. The exclusion of the materials budget from FY03 cuts provided significant relief and began to stabilize the decade of decline in library collections. The permanent annual allocation of \$700,000 for materials inflation provided partial relief, and reduced the need to cancel an estimated 1800 serial titles. Since the FY04 cost increases were well over \$1 million, the Libraries was required to cancel, nevertheless, \$438,000 in serial titles, reduce the number of monographs purchased, and make other necessary

adjustments. Therefore, the request is for: addition to base for cost increases (ongoing): \$545,000; and targets of opportunity (one-time): \$250,000.

- 3) BioCommons (ongoing). Funds are requested to permanently fund and expand the HSL BioCommons program in support of the biomedical research community. Personnel: \$150,000; Information resources and tools: \$550,000; and Computer infrastructure: \$50,000. Total request (ongoing): \$750,000.
- 4) Forest Resources Library Merger: 2004-2005. The Libraries is merging the Forest Resources Library (FRL) and the Natural Sciences Library (NSL) in the space currently occupied in Allen Library by the Natural Sciences Library. Wilson and College of Forest Resources (CFR) Dean Bruce Bare jointly charged a working group to consult widely, develop strategies to address the needs of CFR users in a merged library, identify enhanced services and approaches, and to outline implementation steps, including one-time costs of the merger. "Many of the costs are being absorbed by the Libraries, but we are making the following request for extraordinary direct costs resulting from the merger," Wilson said. Merge collections: \$40,000; Reclassification project: \$7,000; Security stripping: \$9,000. Total (one-time): \$56,000.
- 5) Authentication and Authorization Services (one-time): 2004-2005. In response to user demands, the University Libraries provides more networked resources and services every year. Students, faculty, and staff can now request materials, view what they have on order or checked out, renew materials, and access databases and electronic journals from anywhere in the world. All of these personalized services require authentication and authorizations, and users want to use the same credentials they use for accessing MyUW and other campus services.

While most campus-wide services have moved to UWNetID authentication, the Libraries still depends on a separate login system that is part of the integrated library system, supplied by Innovative Interfaces, Inc. (III). III is willing to work with the Libraries and C&C to provide a UWNetID-based authentication option for the system. This will require the Libraries to purchase and install additional hardware, and it will require III to make some custom changes to their software. The Libraries has reviewed their proposed approach in consultation with C&C, which currently provides hardware and systems support for this software.

Besides the library system, the Libraries uses the III authentication and authorization database to control access to the HTTP proxy server. Vendors of most remote electronic resources like databases and electronic journals control access on the basis of IP addresses. The proxy server allows UW users to access these resources from broadband connections at home, or from other non-UW IP addresses. The proxy server is widely used by departments across campus, with particularly heavy usage in the Health Sciences. The current proxy service architecture is not compatible with UWNetID/pubcookie authentication, so the Libraries will replace the service with a newer product used by many libraries across the country. The Libraries verified that this product will work with the campus authentication system, and has done some initial testing with users. The Libraries needs to turn it into a production service and run it in parallel with the existing service long enough for all users to migrate comfortably.

Finally, the Libraries will need to revise the way it gets data feeds from both student and payroll systems into the III system. The Libraries will need additional data and more frequent updates to keep up with new users as they obtain UWNetIDs. Ideally, the current extracts from individual systems can be replaced with feeds from the UW Directory Service, and the Libraries is working with C&C's Directory Service experts towards that goal.

The Libraries is requesting the following one-time funds for this critical project: III custom software development: \$32,000; Additional server hardware: \$7,000; Sales tax: \$4,360; Project staff, 1.0 FTE, one year: \$80,000. Total (one-time): \$123,360.

Asked about the timing and process of the Budget requests, Wilson said the University Budget Committee would review the requests; the Provost would review them; and the Board of Regents would review them at their May 2004 meeting.

“If we don’t get the \$545,000 we request, we’ll have to undergo another serials cancellation process,” said Wilson.

Forest Resources Library & Natural Sciences Library Merger: Joint Working Group: Final Report

Wilson distributed the Final Report of the Forest Resources Library and Natural Sciences Library Merger Joint Working Group. Wilson and Bruce Bare, Dean of Forest Resources, who together appointed the Joint Working Group, accepted the Final Report. Wilson informed the council that the Joint Working Group held several “open” meetings, and conducted a survey on the Web. She noted that the merged library will be located in the south wing of Allen Library, and will open in Autumn Quarter 2004. Upwards of 60,000 volumes will be moved in the course of the merger of the two libraries. Wilson said there has been “no groundswell” for a new name for the merged library.

Next meeting

The next FCUL meeting is set for Monday, May 17, 2004, at 3:30 p.m., in The Petersen Room of Allen Library.

Brian Taylor
Recorder