FY 2020 Faculty Senate Libraries Committee
Chair: Dr. Dorothy E. Hines

Under recommendation from the SenEx the Faculty Libraries Committee met during the 2019-2020 academic year to review and provide recommendations to charges set for FY 2020. After review of the charges set out by SenEx the Faculty Senate Libraries Committee came to the following conclusions:

CHARGE #1:
Monitor and support the Libraries' long-range planning and allocation of resources—staff, physical space, equipment, collections, digitally-based information, etc.—in light of the needs of different academic disciplines and the budget situation. Assist in communicating about planning resource allocations to support teaching (including both undergraduate and graduate) and research. Report issues and recommendations for action to SenEx. (ongoing)

The Libraries Committee in collaboration with Dean Dr. Smith reviewed the budget for KU Libraries. The Library Committee divided into small subcommittees who communicated with Dr. Smith about changes to the budget, how funds are being allocated currently, and projections for the future of the KU Library system. Overall investment in the KU Libraries ranks in the 28th percentile among members of the Association of Research Libraries (ARL), down from its ranking near the median in 2009. Investments specifically in collections at the KU Libraries rank in the lowest quartile of ARL members and public university members of the Association of American Universities (AAU). Sustained budget increases are necessary to reverse years of deferred support.Increased financial support for the KU Libraries is strongly recommended.

The KU Libraries undertook a strategic planning process in 2019 that resulted in a new Strategic Plan (App. A). The plan includes a statement of the Library mission, a vision statement, six goals that Library leadership believes have enduring significance for the Libraries, and an action plan that can be assessed and revised annually. The plan will help inform resource allocation, staff work priorities, and hiring decisions. An early impact of the process is that the KU Libraries operations budget has a line for diversity and equity, a first for the Library budget. The strategic planning process involved every member of the Library faculty and staff in a series of iterative cycles of idea generation and refinement.

KU Libraries Budgets: *Libraries Budget and Near-Term Budget Outlook*

The Libraries budget is divided between operations and collections. The operations budget, which supports Library faculty and staff salaries, was subject to the same 6% budget cut in 2018 that other units endured. A majority of these cuts were accommodated by not hiring replacements for vacant faculty and staff positions, resulting in an overall loss of approximately 10 Library faculty and staff positions relative to 2016 levels.

The collections budget, although not affected by the 6% cut imposed in 2018, has not increased since 2009. To offset increasing costs that result from inflation, the Libraries must

reduce spending on collections by at least $100,000 each year, resulting in cuts to collections (see *Procedures for Allocating Cuts to Collections*, below). Library leadership does not foresee a near-term change in collections funding, although discussions are ongoing.

Budget Model
The budget model recently adopted by KU leadership did not change how funding is allocated for the Libraries, which continue to operate on an historical, incremental basis. There have been discussions of how a new budget model might be applied to the Libraries and other academic service units, including possible metrics for student success; diversity, equity and inclusion; and research productivity. The discussions have been inconclusive. It is not clear how long the historical budgeting approach will be maintained.

Library Expenditures Relative to Peers
The Association of Research Libraries does an annual "investment ranking" of its members, which include the largest 124 research libraries in the U.S. and Canada (of which 116 are university libraries). For 2017-18, KU Libraries were ranked 83 out of those 116 university libraries in total expenditures and 90 out of 116 in materials expenditures [i]. The KU ranking has dropped steadily – KU was 60 of 114 in 2009 [ii] – as other universities continue to invest in their library collections, faculty, and staff.

In 2018 the KU Libraries worked with the KU Center for Research Methods and Data Analysis to analyze the position of KU with regard to the library collection investments made by other public universities in the AAU. Regardless of which variables were used to predict optimal funding level, KU was always among the 5-8 lowest funded libraries out of the 34 public members of the AAU.

The Role of the KU Community in Assessing Library Effectiveness and Allocation of Cuts:
Assessing Effectiveness of KU Libraries
KU Libraries continuously monitor and assess their effectiveness using several formal and informal mechanisms. The first is through daily contact that Library faculty and staff have with instructors, students, research groups, and classes. The Senate Libraries Committee is another important forum for feedback and assessment, as are the Scholarly Communications Task Force, the Open Access Advisory Board, and the Library Board of Advocates. The KU Libraries also regularly survey students to determine their use patterns and needs, and recently held faculty focus groups to assess a proposal for a campus- wide Maker Space facility in the Libraries. The KU Libraries also monitor a variety of statistical measures, including gate count (the number of people entering Library buildings), room reservations, circulation, online resource usage, and interlibrary loan requests. These data informed the strategic planning process and help with resource allocation. The KU Libraries will work with the KU community to implement its Strategic Plan.

Procedures for Allocating Cuts to Collections
The combination of rapidly increasing subscription costs and a flat collections budget has necessitated systematic cuts to resources/collections. Few low-usage resources remain after

several years of cuts; new cuts therefore have increased impacts on the KU community. When deciding on what to cut, KU Libraries faculty and staff undergo a careful process to minimize negative impacts. Their procedures are informed by, and consistent with, the state-of-the-art in library management practices.

Databases: Usage statistics, cost per use, and recent price increases inform decisions to make cuts. Overlap analyses across databases are also done to identify duplicated resources. The size of academic programs and departments is also accounted for because small departments generate less usage. Faculty input or close examination of usage during short-term renewals are also sometimes considered.

Monographs: Cuts to the budget for monographs were made primarily by switching to a demand-driven acquisition program. This has increased the number of titles within the library catalog, but titles are only acquired when requested by a user. The Libraries also select monographs based on departmental needs.

Journals: Overall usage statistics (with an emphasis on past-year usage), cost per use, and cost increases inform cancellation decisions. Journal impact factors and editorial board participation by KU faculty are also considered. When significant cuts have been considered, the Dean of Libraries has sent out broadcast messages to university faculty and students and hosted community forums to solicit feedback.

Interlibrary Loans (ILL): The KU Libraries have a very active and responsive ILL service that mitigates some impacts of cuts. Despite having a collections budget within the lowest quartile of ARL members, the KU Libraries ILL program is near the median among ARL members in terms of items loaned and borrowed [i].

Request for Community Input:
KU faculty, staff, and students are encouraged to engage with the KU Libraries through informal interactions with faculty and staff of the Libraries, representatives on the Senate Libraries Committee, and community forums and surveys hosted by the KU Libraries. Community engagement and input is essential to shaping an effective and vibrant library system.

This memorandum is a summary of information received from Kevin Smith, Dean of Libraries, and Lea Currie, Librarian and Head of Content Development, in response to questions submitted by the Task Group on Library Planning and Budgets. Their candid responses are appreciated. (composed by subcommittee chair Dr. Remy Lequesne)

Recommendations and issues noted above.

CHARGE #2:
Assess and assist with the effectiveness of communication between the Libraries and students, faculty, and staff, about topics including but not limited to library-based

instruction in classes and academic programs in support of university-wide learner outcomes. Report issues and recommendations for action to SenEx. (ongoing)

During the committee's meetings faculty were able to ask questions to KU student representatives at the meeting regarding support necessary for their academic development and engagement on campus. This included discussions regarding open access and the availability of library materials available to KU students, faculty, and staff.

No issues or recommendations at this time.

CHARGE #3:
Obtain a report from the Open Access advisory board concerning activities, and long-range planning for Open Access at KU.

The committee discussed the Open Access policy in collaboration with Dean Dr. Smith. Dr. Smith arranged for a representative from the libraries to review the Open Access Policy with faculty, students, and staff in attendance to our meetings. This included answering questions from the committee regarding funding allocations for Open Access, cuts to the availability of resources, and steps for making Open Access more equitable for all of the KU community.

The Faculty Senate's 2005 Resolution on Access to Scholarly Information was the first formal recognition of the KU faculty's interest in and support for Open Access. The resolution established KU ScholarWorks (https://kuscholarworks.ku.edu/) as the official digital repository for the work of KU faculty, staff and students, as well as materials from the University Archives. The repository currently holds 25,295 items with over six million item views and over twelve million file downloads. It is a vibrant and growing resource for KU research, with over six thousand items added since January of 2017. The top ten most popular downloads are a good indication of the breadth of holdings and the level of public interest in KU ScholarWorks:

Item Title	Downloads
Greetings from the Teklimakan: a handbook of Modern Uyghur	110,481
The elements of abbreviation in medieval Latin paleography	84,676
Ideology, Hegemony, Discourse: A Critical Review of Theories of Knowledge and Power	75,215
Comparison of Construction Labor Productivity between U.S. and China: Using On-Site Productivity Measurement Methods	66,931

Biographical Dictionary of Kansas Artists (active before 1945)	63,976
The Role Of Adaptor Protein Gads In Cd8+ T Cell-Mediated Immunity	62,265
Haitian Creole-English English-Haitian Creole Medical Dictionary	54,074
Addressing moderated mediation hypotheses: Theory, methods, and prescriptions	53,891
The Chinese Mestizo in Philippine History	46,001
SPSS and SAS procedures for estimating indirect effects in simple mediation models	42,330

The KU Libraries work in Open Access extends, however, far beyond ScholarWorks. They are equally committed to supporting the evolution of the scholarly publishing landscape toward openness. As many open access journals require article processing charges to cover costs (instead of charging the reader), the KU Libraries and the KU Medical Center co-manage the One University Open Access Author Fund, which provides support for KU authors that wish to publish in open access journals. The Libraries also fund institutional memberships that support more equitable and accessible publishing. These include the Electrochemical Society, which produces two open access journals; Cogitatio, which publishes three open access Humanities journals; the Open Library of Humanities which publishes twenty-seven open-access journals; Open Book Publishers, which produces a collection of scholarly open access monographs; arXiv, an open access digital archive of over one million scientific e-prints from the fields of physics, mathematics, computer science, quantitative biology, quantitative finance, and statistics; the Sponsoring Consortium for Open Access Publishing in Particle Physics (SCOAP3); Knowledge Unlatched, which provides open access to books from well-known university presses; and the HathiTrust Digital Library, which provides access to 2.7 million volumes in the public domain. The Libraries also support the Directory of Open Access Journals, which indexes and provides access to peer-reviewed, open-access journals from 134 countries.

The Libraries' Journals@KU program (https://journals.ku.edu) supports KU faculty, staff and students in publishing their own online journals. In addition to the 13 journals available in KU ScholarWorks, the Open Journal System (OJS) platform hosts 27 journals with topics ranging from Slavic folklore to herpetology, from amateur sport to philosophy, and from foreign language instruction to geoscience. Articles in the 40 journals hosted by the KU Libraries were downloaded over 3 million times in 2019.

KU's leadership in Open Access is just as notable in the classroom. As the costs of College textbooks and course materials have increased over 800% in the last 3 decades, Open Educational Resources (OER) have become an additional focus of the Libraries. The KU OER

Grant Initiative supports the adoption, adaptation, and creation of open educational resources, broadly defined as "teaching, learning, and research resources that reside in the public domain or have been released under an intellectual property license that permits their free use and re-purposing by others" (Hewlett Foundation). Under this initiative, individuals and departments can apply for $1000 to adopt an existing open textbook, $2500 to adapt existing OER to fit their instructional needs, or up to $5000 to create an open educational resource. To facilitate adoption and adaptation, KU has also joined the Open Textbook Network, which manages a library of over 600 open textbooks, and OpenStax, which has produced almost 50 peer-reviewed textbooks with a focus on high enrollment classes and STEM fields. To date, KU Libraries has distributed about $80K to 23 projects impacting approximately 9,000 students per academic year, and saving an estimated $900K per academic year.

Alongside the Shulenburger Award, which recognizes campus champions of open access and innovation in scholarly communication, campus faculty who are leading the move toward the use of OER are being recognized by the Libraries as "Textbook Heroes". Among the inaugural 2019 class of award winners are Ingrid Peterson, Director of the Kansas Algebra program who adopted two textbooks from OpenStax; Abby Dvorak, Associate Professor of Music Therapy, who adopted a research methods textbook from the Open Textbook Network for one class and adapted OER for other classes; Peter Bobkowski, Associate Professor of Journalism and Mass Communications, who published a textbook on Information Literacy with the Open Textbook Network; Drew Vartia, Assistant Teaching Professor in Chemistry, who adopted an OER textbook in his Chemistry for Engineers class; and Amy Rossomondo, Associate Professor of Spanish, who led the creation of an online Spanish textbook that has been in use at KU and other schools for over a decade. Professor Rossomondo's longstanding work in OER creation was also one of the cornerstones of the creation of the KU Open Language Resource Center, a federally-funded center focused on the creation of free foreign language textbooks.

KU's student government has also been a major promoter of OER in recent years. Noah Ries, 2018-19 Student Body President, made textbook affordability one of the main planks of his election platform; a tireless advocate for OER on campus and throughout the state, he played a crucial role in the creation of the Kansas Board of Regents' OER Steering Committee, which is focused on the adoption of OER to reduce textbook costs for students. Tiara Floyd, 2019-20 Student Body President, has continued this focus on textbook affordability and OER, spearheading an effort to mark all KU courses as no-cost and low-cost starting starting with Spring 2021 enrollment. The leadership of KU students in promoting inclusivity and affordability at KU are a clear harbinger of the increasing importance of Open Access issues at KU. (composed by subcommittee chair Dr. Johnathan Perkins)

Recommendations and issues noted above.

Libraries Committee Responses to FY2020 Specific Charges:

SPECIFIC CHARGE #1:

In addition to a general report on the level of acceptance of this policy and issues encountered in getting it established, the review should address the following:
> **a. How well it has been accepted by publishers, which publishers do not support the policy, and whether this has contributed to researchers being unable to put their work in the repository;**
> **b. The percentage of the faculty who are participating;**
> **c. Whether there are particular disciplines or research areas that are "underrepresented" in the repository.**

The Faculty Senate's 2005 Resolution on Access to Scholarly Information, which established KU ScholarWorks, was the first formal recognition of the KU faculty's interest in and support for Open Access. That recognition was further codified in 2009 and 2010, when the Faculty Senate passed the KU Faculty Open Access Policy, which asserted the right of faculty to make their published scholarly articles openly accessible. KU was the first public institution to adopt an open access policy, following earlier policies instituted at Harvard, MIT, and Stanford's School of Education. The University of Kansas was also a founding member of the Coalition of Open Access Policy Institutions (COAPI) in 2011, establishing itself as a leader in developing and implementing open access policies. By 2019, over 75 U.S. universities had adopted open access policies, with similar policies being adopted around the world. For a complete listing, see the Registry of Open Access Repositories (http://roarmap.eprints.org/).

The KU Open Access Policy remains a clear statement of the University's commitment to share faculty research as widely as possible and to lower barriers for those needing to access it. The impact of the policy derives both from its clarity and the length of its existence, but also from the collective power of similar policies at other universities. Publishers are now quite familiar with the goals of open access, and the KU policy is an important tool for faculty negotiating with publishers to share work in a repository like ScholarWorks; the policy does, however, include a provision for a waiver should the open access requirement become an impediment to publication.

Faculty participation varies from year to year, but generally falls at about 20% of those articles being entered into the Faculty PRO database. Articles are deposited in KU ScholarWorks in one of two ways: either the version of the article that can be shared is available on an open publisher website (e.g., PubMed Central) and the Libraries make it available in KU ScholarWorks as well, or the faculty member submits a copy of the article (or the accepted manuscript) to the Libraries for deposit.

Participation rates vary widely by discipline, with higher rates in fields with a broader interest to the general populace (e.g., Special Education) or in scientific fields where access to the most recent research is crucial to developments in the field. Rates are lower in Humanities disciplines because of longstanding practice among publishers to restrict access and a host of other issues like the difficulty and cost of including copyrighted images and photographs in open publications.

SPECIFIC CHARGE #2:
Improve communication between the Libraries Committee and the Libraries, request members be added to the Libraries listserv.

This charge was discussed during one of the Libraries Committee meetings. Faculty, staff, and students present agreed that adding members to the listserv was not necessary at this time.

SPECIFIC CHARGE #3:
Request a list of journals that are being cancelled. Review and provide comments regarding the list.

List requested; task not yet completed.

SPECIFIC CHARGE #4:
Review current Library Consortiums and the possibilities of establishing a Library Consortium within the KBOR Universities.

Charge not yet completed.

SPECIFIC CHARGE #5:
Review possible current digital access to various local, regional and national newspapers.

This charge focuses on the availability of digital and print news on campus. Specifically, undergraduate student representatives felt that there was a limited number of resources to help them obtain digital and print news articles needed to meet the demands of their course assignments. Additionally, we also saw a recent KU student government campaign starting in January 2019 to pay for "unlimited" access to the *New York Times* for all KU students in an attempt to address this "availability gap" on campus. This initiative was done without the consultation with KU Libraries.

What we have learned:

Students' concern and the recent campaign to offer "unlimited" access to the *New York Times* both point to (1) a communication issue and (2) students' lack of knowledge of the availability of databases in KU Libraries. For example, we know that campus users already have access to digital news through KU Libraries databases, including Global Newstream, Nexis Uni, and America's Newspapers. In each database students can access the paper up to the current issue of any newspapers of their interest.

Recommendations:

To avoid duplicating precious campus resources, the sub-committee recommends better communication with the student government *and* instructors to bridge the knowledge gap.
- Better communication:
  - To host a forum between the KU Libraries and student senates to educate them on the existing resources that already meet the needs of students.
    - Specifically, Libraries databases offer more access and varieties to other digital news publications than what the student government attempts to provide.

- Collaborate with instructors:
    - o To focus on better communication with instructors who design newspaper analysis assignments so that the assignment guidelines could include information about the existing databases available for students.
        - ▪ Subject librarians could attend faculty meetings to share information and write up a basic description that instructors could include in their assignment guidelines.
        - ▪ Further, instructors could invite subject librarians to the classroom to demonstrate how to best utilize these databases to bridge the knowledge gap. (composed by subcommittee chair Dr. Yvonnes Chen)

Compiled by Chair, Dr. Dorothy E. Hines, May 1, 2020

Dr. Dorothy E. Hines can return as Chair for the following year.