

IUPUI LIBRARY AFFAIRS COMMITTEE

Minutes

February 13th, 2008

Attending

Faculty: David Bivin (chair), Kathy Lay, William Geller, Peter Thuesen, Nancy Parks

Librarians: David Lewis (Dean), Jim Baldwin, Fran Huehls, Mohnash Moshbegh

Guest: William Orme

The meeting began at 2:30pm. The main order of business was the budget: an update on the current status of the budget hearings and strategies the committee and library could undertake to improve the Library's budget in the future.

The committee discussed the current status of the letter that had been written in late 2007 and addressed to the IUPUI Faculty Council Budgetary Affairs Committee (Exhibit 1). The letter focused on the rapid increase in the prices of many of the journals to which the university subscribes on behalf of the faculty and the strain this had placed on the Library's budget. The letter also emphasized the irregular increases in the budget in recent years and requested that procedures be implemented to insure that the budget would rise at a more regular rate. Mohnash produced the letter and it was signed by those members of the committee who had not yet signed it. The letter was then turned over to the chair whom will send it on to the university and faculty administration.

Dean Lewis indicated that the University Library did not have a budget hearing this year. It appears that the Library's 2008 fiscal year materials budget will remain the same as the 2007 budget in nominal terms. On the bright side, the library is not subject to the 1% reallocation as are many of the "overhead" units on campus. The dean indicated that there would be a likely 2% to 3% increase in the budget during the 2009-2010 biennium. This is based on the assumption that the library's budget keeps pace with the university's overall budget.

The impact of the rapid increase in the cost of many of the library's serials has become evident. The serials budget for the School of Science has been cut by \$150,000 and William Geller of the School of Science indicated that at least some of the journals that had been cut were widely used and critical to the School of Science faculty. He raised the concern that the School of Science may lose faculty as a result. He will write up a more detailed description of the budget cuts and their impact on the school for the committee's future consideration.

Certain departments within the School of Liberal Arts have also been asked to list journals that could be dropped in order to achieve a 10% cost saving in journal subscriptions. William Orme indicated that this applied only to the School of Liberal Arts at this time. The library's goal is to insure that serials consume no more than 50% of a department's materials budget in order to maintain an adequate monograph collection.

It isn't clear how rapidly journal prices will rise in the future. Dean Lewis indicated that future increases are more likely to be large because many of the publishing houses are located in Europe and the value of the dollar has fallen dramatically in recent years.

Kathy asked how other universities are coping and it appears that they are in the same situation. Jim indicated that our cuts appeared draconian only because we had put off the cuts for as long as possible.

The library has been in touch with other schools throughout the university to ask them to consider possible cuts in the serials to which they subscribe. Schools that rely more heavily on monographs will not feel the impact as severely.

Dean Lewis mentioned that some cost saving could be achieved by no longer binding older versions of the journal. Binding has become less relevant as electronic downloads of journal content has become more pervasive. The dean reported 1.5 million downloads of library material.

The Library's most recent budget data are contained in Exhibit B.

Another possibility source of revenue is voluntary contributions by the schools to augment the funds assigned to each of the schools' materials budgets by the library. The library's allocation formula is driven largely by the number of full-time equivalent faculty in each of the schools. This doesn't seem like a promising option inasmuch as the schools seem to be in the same situation as the library.

Peter asked if the cancellation of journal subscriptions would cause us to lose electronic access to the journals for the years in which we had subscribed. Dean Lewis indicated that it would not.

Finally, Dean Lewis indicated that the university's Signature Centers should start including a library budget in their proposals since many of the Centers require additional materials from the library.

The committee then turned its attention to the open-access alternative in which current research is either freely available to scholars or available at very low cost. This movement has been invigorated in part by the fact that many professional organizations are selling their journal publication rights to publishing houses that promptly raise the subscription rates. The American Anthropology Association is a recent example (Exhibit C). The Harvard University faculty recently passed a resolution requiring their faculty to make any published research available through the university for free (Exhibit D). Jim indicated that many faculty make their research available even after signing over the copyright to the publisher. The feeling was that the publishing houses were afraid to pursue these violations because it would reduce the number of scholars that submit their research to the journals.

Kathy proposed the following motion:

We request Dean Lewis to pursue ways of encouraging Open Access at Indiana University with the intent of gathering information and reporting back to the Library Affairs Committee in the fall.

The motion was seconded and passed unanimously. Dean Lewis will meet with his counterpart at IU-B to pursue ways of implementing and encouraging Open Access throughout the IU system.

Karen Janke provided a progress report (via e-mail) on the safety audit of the library being conducted by the IUPUI Police Department. According to the specialist, the library's 'physical security posture' is better than average for the university. However, she indicated that "There has been an increase of criminal activity on/near the IUPUI campus over the past four years. Most common incidents include suspicious persons (loitering, public intoxication, mischief) and theft (books, laptops, other personal/university property)." Several enhancements were recommended including more closed-circuit TV cameras to increase coverage along with improved software that would allow a direct feed from the cameras to the campus police department, and more emergency telephones. A "Code of Conduct" is also being considered. Financially, it appears that the recommendations can be implemented over the next three fiscal years.

The meeting adjourned at 4:00pm.

EXHIBIT A

To: IUPUI Faculty Council Budgetary Affairs Committee
From: Library Affairs Committee, IUPUI
Re: Irregular Growth of the University Library Budget
Date: January 10th, 2008

The IUPUI faculty, through its representatives on the Library Affairs Committee wishes to express its concern with several aspects of the university's budget allocation to the University Library.

The first is the rate of growth of the Library's budget relative to the university's budget. The graph on the second page following illustrates the performance of the two budgets since 2003. Both budgets are set to 100 in 2003 so their values in 2007 capture their cumulative growth over the 2003-2007 period. The index value for the university's budget is 117 in 2007 (indicating 17% cumulative growth) while the library's index value is only 113. If the library's budget had kept pace with the university's budget, the library's budget in 2007 would have been \$123,136 larger in 2007.

The slower growth of the library's budget is a matter of some concern to us, especially in light of the rapid increase in the cost of serials over the 2003-2007 period (shown in the graph and discussed below). The library is our conduit to all of the knowledge produced by the outside world. No scholar can hope to produce quality work if the library is unable to keep up to date with the rapid advances in knowledge in many of our fields. We are also concerned that, having fallen behind, the university may be establishing a new *status quo* that will make it much more difficult to restore the library's budget to the condition it held in 2003.

Also shown is a measure of serials subscriptions cost over the same period. It is apparent that serials cost have grown quite dramatically over the period and, in fact, for a typical library, serials are now more than 38% more expensive than in 2003. Inasmuch as serial subscriptions constitute 53.3% of the library's material budget, this inflation has resulted in a serious drain on the university's purchasing power.

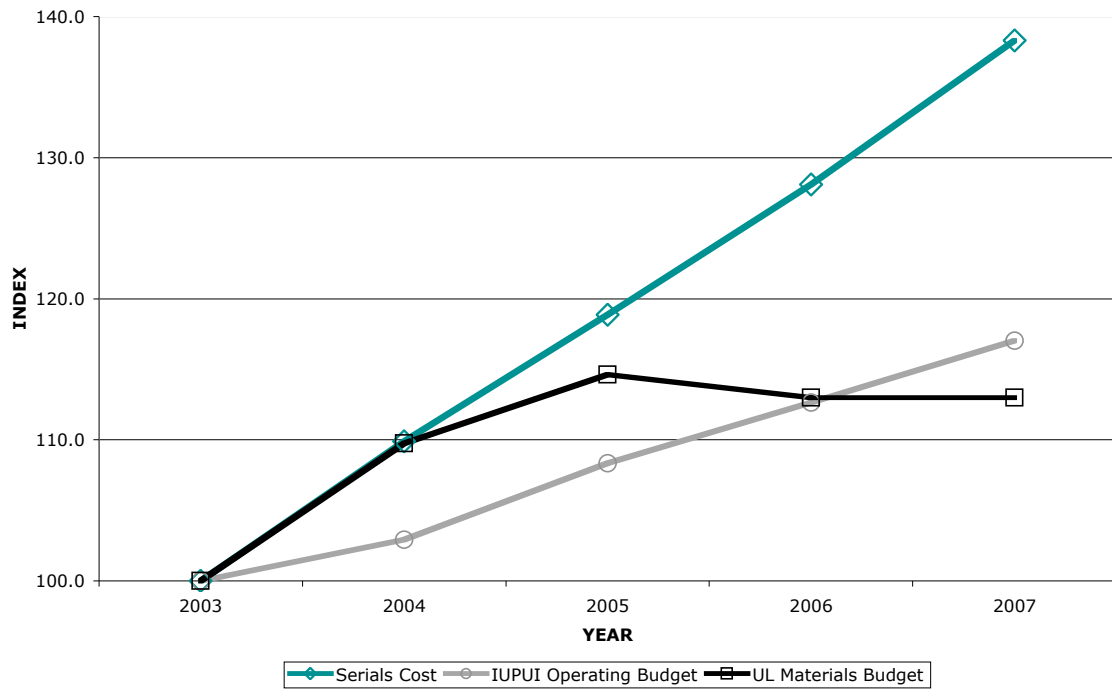
Therefore we implore the university's budgetary authorities to give special consideration to a one-time increase in the budget that will restore the library to the position it held *vis-à-vis* the university in 2003. As noted earlier, this would require an approximate once-and-for-all increase of \$125,000 plus any additional adjustment to account for the current growth of the university's budget. This is a far cry from the zero-percent increase which we understand is the university's current plan.

In addition, and perhaps more significantly, the faculty are requesting that the budget be allowed to grow on a more-even basis. From 2003 through 2005, the budget grew at a very nice rate, even more rapidly than the university's budget. This is due to Commitment to Excellence funding. In the 2006-2007 fiscal year, however, the budget declined by 1.42% and it held constant in the 2007-2008 fiscal year. Thus the allocation is now smaller than it was two years ago in spite of the fact that the economy as a whole has experienced some inflation and the cost of serials has continued to rise at alarming rates.

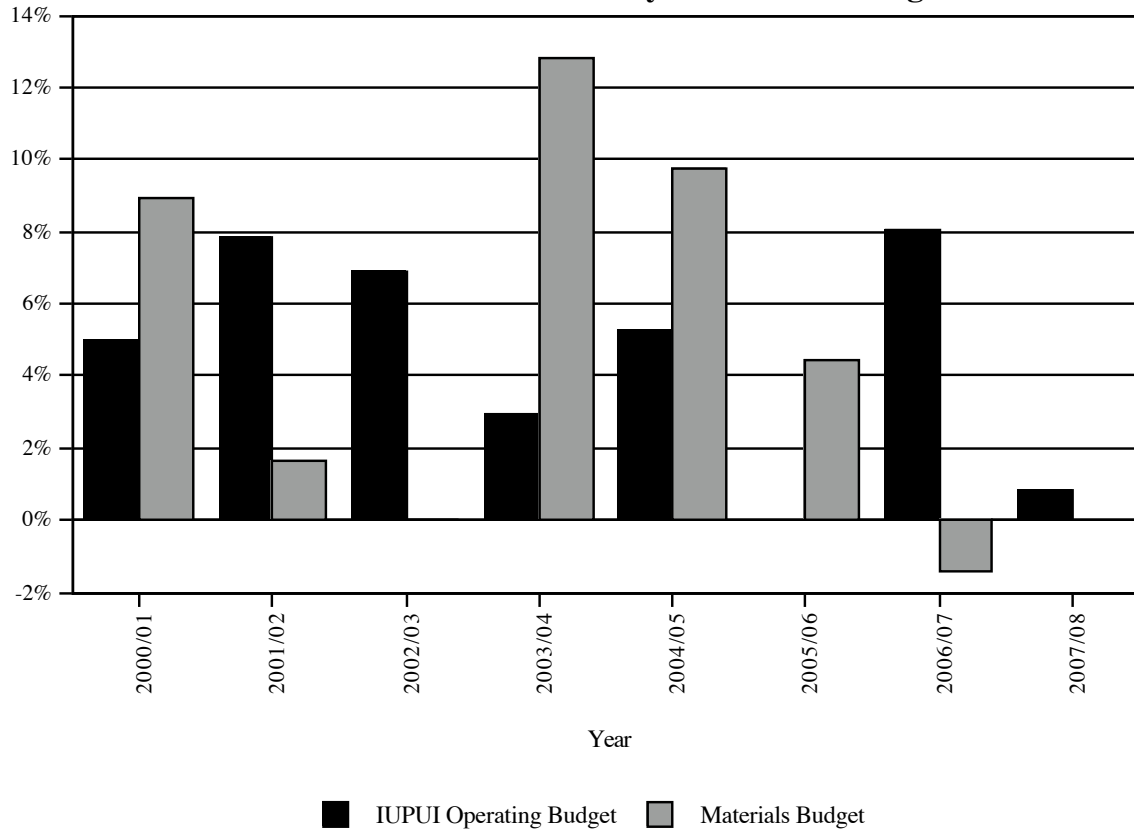
The irregular growth of the materials budget is evident in the second diagram where the annual growth rates of the materials budget is compared to the growth rate of the university's budget for the years 2000-2007. The growth rate of the university's budget has naturally fluctuated somewhat but the library's budget has exhibited far more irregularity.

This alternating cycle of rapid and negative growth substantially complicates the library's internal budgeting process. We are requesting, therefore, that a procedure be initiated at the university level to insure that the library's budget grow at a more regular rate, perhaps the same rate as the university's overall budget. We recognize, of course, that the university has a number of commitments and we are *not* requesting a fixed annualized growth for the budget. We are simply asking the members of the budgetary authority to consider how much more difficult their jobs would be if their allocation had fluctuated to the same degree as the library's.

RELEVANT BUDGET ITEMS (2003=100)



Growth Rate of IUPUI Library's Materials Budget



Note: the growth rate of the Materials Budget in 2007/2008 is zero.

EXHIBIT B
2007/08 University Library Materials
Budget

	2007/08	
Total	\$3,478,600	\$3,480,600
Library	\$981,700	
% of Total	28.2%	
School Allocations	\$2,468,900	
% of Total	71.0%	
Reserve	\$30,000	
% of Total	0.9%	
Archives	\$1,200	
General Fund	\$37,000	
Reference	\$140,000	
Electronic Resources	\$565,000	
E-Book Projects	\$90,000	
Digital Projects	\$20,000	
Replacement	\$20,000	
Document Delivery	\$30,000	
Working Tools	\$16,000	
Professional Reading	\$7,500	
Postage	\$18,000	
Binding	\$32,000	
CTL	\$2,500	
CRL	\$2,500	
Total	\$981,700	
School Funds		% of Total
Business	\$223,822	9.1%
Education	\$121,590	4.9%
Engineering/Technology	\$278,466	11.3%
Herron	\$78,630	3.2%
Informatics	\$50,503	2.0%
Journalism	\$17,235	0.7%
Labor Studies	\$1,431	0.1%
Liberal Arts	\$542,469	22.0%
SLIS	\$18,440	0.7%
Music	\$27,200	1.1%
Nursing	\$94,010	3.8%
Physical Education	\$105,050	4.3%
Science	\$758,616	30.7%
SPEA	\$80,116	3.2%
Social Work	\$71,322	2.9%
Total	\$2,468,900	100.0%

EXHIBIT C

(This article was published in the *Chronicle of Higher Education* and is available at the following site: <http://chronicle.com/temp/email2.php?id=5zGzcjRd4Tkkd9wdRRkJmxzHRVcnzfcv>)

Some Anthropologists Continue the Slow Push Toward Open Access

By DAVID GLENN

When the American Anthropological Association announced in September that it would move its publishing apparatus from the University of California Press to Wiley-Blackwell, anthropology blogs and e-mail lists buzzed with discontent. Some advocates of open-access publishing complained that moving to a for-profit publisher seemed like a step backward. And the switch would almost certainly mean higher prices for libraries, they said, which might spark a decline in subscriptions.

"What good is the AAA to its members if its primary goal is survival, rather than the promotion and dissemination of our research?" asked Christopher M. Kelty, an assistant professor of anthropology at Rice University, on the group blog *Savage Minds*, when the deal was announced.

In 2008 most of the association's 22 journals have seen only slight price increases. Two of its most prominent publications, however, have become much more expensive. In 2006-7 the California Press charged \$232 to institutions for *American Anthropologist*. Wiley-Blackwell's price is \$432. And while California charged \$138 for *American Ethnologist*, Wiley-Blackwell's price spiked to \$338. "I have to wonder how relevant these journals will be when libraries start dropping the sectional journals to make up the cost of the flagships," wrote John Hawks, an assistant professor of anthropology at the University of Wisconsin at Madison, on his blog in November.

Notwithstanding the price hikes, passions seem to have cooled. Even some of the deal's skeptics have conceded that Wiley-Blackwell seems well equipped to develop and promote AnthroSource, a digital repository and research portal that the association created in 2004 with support from the Andrew W. Mellon Foundation. The hope is that AnthroSource will someday contain a wide range of audio and video as well as archival texts. And the Wiley-Blackwell arrangement also promises to strengthen the association's finances: The contract guarantees the association a minimum of \$2.7-million in revenue over a five-year period.

Symposium on Open Access

In a notably civil exchange in the February issue of *Anthropology News*, the association's internal newsletter, five scholars debate the merits of open access. All agree that the association should use the next five years to sit back and think about the future of its publishing mission, so that it will be prepared to renegotiate with—or abandon—Wiley-Blackwell in 2013.

"We have a five-year window," says Jason Cross, a graduate student at Duke University who organized the *Anthropology News* symposium. "But the window for thinking creatively is likely shorter than that."

Mr. Cross would like to see the association move toward a fully open-access model in which scholars (or the institutions that employ them) subsidize the cost of their own publications. But he acknowledges that his proposal raises a host of thorny questions.

"Bloggers and open-access advocates like me have a loud voice in certain forums," he says. "But we're not representative. A lot of triple-A members have never heard of this stuff. There are a lot of constituencies within the organization that would need to think carefully and slowly about these things."

In 2006 the anthropology association created a new panel, the Committee on the Future of Print and Electronic Publishing, which will (among other tasks) advise the association about the potential strengths and drawbacks of open-access models. Meanwhile, some anthropologists are charging ahead with their own open-access projects. Alex Golub, an assistant professor of anthropology at the University of Hawaii at Manoa, has organized an online repository called the Mana'o Project, which invites scholars to submit theses, articles, and book-length manuscripts. The site is still in development, but it already contains works by more than 120 authors.

Effect on Peer Review

One long-standing concern about open access is that it would dilute peer review. In the Anthropology News symposium, Donald Brenneis, a professor of anthropology at the University of California at Santa Cruz and a former president of the association, warns that if tenure-and-promotion committees become confused about the nature and quality of peer review in open-access journals, they will turn instead to metrics like citation counts and "impact factors." Those quantitative metrics, Mr. Brenneis says, are ill suited for measuring the value of anthropological scholarship.

Mr. Cross disagrees. "There's no reason whatsoever for any journal to change its peer-review system in an open-access model," he says.

Mr. Kelty, of Rice, writes in the symposium that for the first time in his career, he feels some resentment when he is asked to peer-review articles. Wiley-Blackwell has "an enormous profit margin," he writes, and he wonders whether the association is receiving fair compensation for the unpaid peer-review labor that he and hundreds of other scholars provide.

The most provocative essay in the Anthropology News symposium comes from Melissa Cefkin, an anthropologist who works as a research scientist at IBM. During the past 20 years, her employer has shifted its emphasis from selling products to selling services like software support. The anthropological association, Ms. Cefkin suggests, should make the same kind of shift. Alongside a transition to open-access publishing, she writes, the association should more broadly consider what its members buy when they pay dues. Instead of purchasing a few journal subscriptions as a "product," she suggests, members should view their dues as supporting a wide range of activities that support the dissemination of scholarship.

Both Mr. Cross and Ms. Cefkin say they are hopeful the association will carefully consider open-access models during the next two years. In the near term, the association has another question to wrestle with: how to divide the revenue from the Wiley-Blackwell publishing deal among its sections. A pair of committees presented a set of possible formulas to the sections last month.

"There has been a lot of analysis of the potential implications of these models for the various sections," Ms. Cefkin says. "But that said, many of the sections seem to be not only looking out for themselves, but also thinking of others. One of the values that we're trying to uphold is a sense of diversity, so that whatever we come up with doesn't become unduly harsh for the smaller sections."

Approach to Comments

Meanwhile, the Anthropology News symposium has itself given rise to a new round of angst. In a post at Savage Minds on Thursday, Mr. Kelty wrote that he and Mr. Cross tried and failed to persuade the association's staff to publicly release the articles under a Creative Commons license and to allow readers to comment paragraph by paragraph, using the Institute for the Future of the Book's CommentPress software or something similar. Instead, the articles were published online with little fanfare and had drawn only three comments as of Thursday afternoon.

"This is not only a failure of open access," Mr. Kelty wrote. "It's a profound failure of leadership and a failure to create dialogue."

Mr. Cross said on Thursday that he, too, is disappointed that the association did not create a more-elaborate mechanism for readers to comment on the symposium. But he added that he is pleased that the association has promised to make the symposium permanently available to the public online. (Most material in Anthropology News goes into an archive that is open only to the association's members.)

A spokesman for the association said on Thursday that it is experimenting with new ways of encouraging dialogue among its members. "A lot of hard work has gone into trying to make this process as transparent as possible," said Damon Dozier, the association's director of public affairs. Mr. Dozier noted that the association has introduced three new blogs in recent months, and he emphasized that readers can comment online on the Anthropology News symposium, even if the commenting system isn't as sophisticated as Mr. Kelty and Mr. Cross might have liked.

EXHIBIT D

(This article was published in the *Chronicle of Higher Education* and is available at the following site:

<http://chronicle.com/news/article/3943/harvard-faculty-adopts-open-access-requirement>)

February 12, 2008

Harvard Faculty Adopts Open-Access Requirement

Harvard University's Faculty of Arts and Sciences adopted a policy this evening that requires faculty members to allow the university to make their scholarly articles available free online.

Peter Suber, an open-access activist with Public Knowledge, a nonprofit group in Washington, said on his blog that the new policy makes Harvard the first university in the United States to mandate open access to its faculty members' research publications.

Stuart M. Shieber, a professor of computer science at Harvard who proposed the new policy, said after the vote in a news release that the decision "should be a very powerful message to the academic community that we want and should have more control over how our work is used and disseminated."

The new policy will allow faculty members to request a waiver, but otherwise they must provide an electronic form of each article to the provost's office, which will place it in an online repository.

The policy will allow Harvard authors to publish in any journal that permits posting online after publication. According to Mr. Suber, about two-thirds of pay-access journals allow such posting in online repositories. —Lila Guterman