



LIBRARIES

INDIANA UNIVERSITY

Bloomington

Budget Request for Fiscal Year 2010-2011

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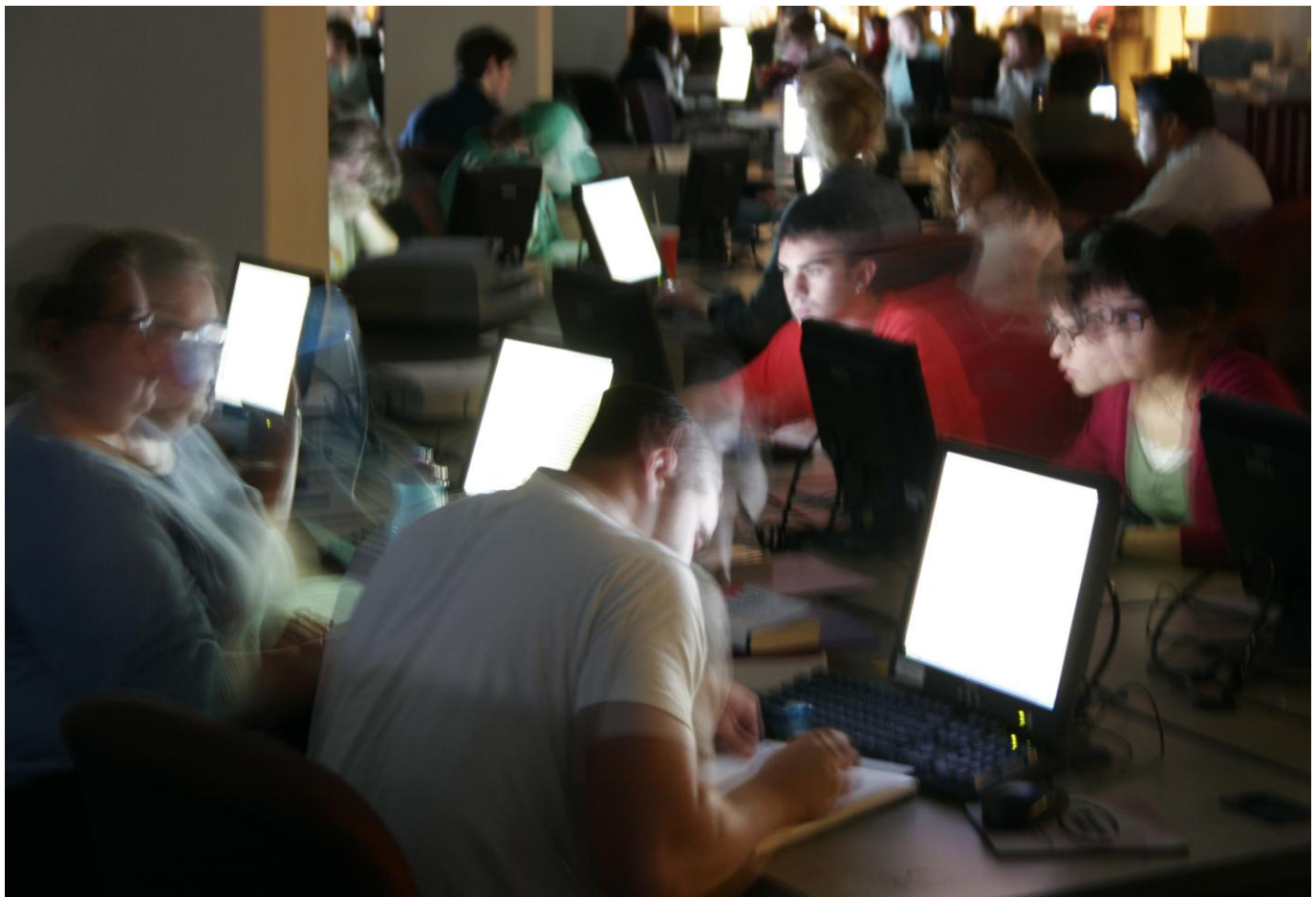


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INTRODUCTION

Faced with diverse challenges to meet the needs and expectations of students and faculty, libraries nationwide are transforming. At IU, we are not only responding to this change, but leading it.

In January, the Association of College and Research Libraries announced that the IU Bloomington Libraries won its coveted Excellence in Academic Libraries award, effectively naming IU the top research library in the country.

In July 2009, IU advanced from 22 to 19 in the Association of Research Libraries annual investment index, the measure that ranks member libraries based on the resources their universities invest in them.

At a time when many libraries are suffering from painful cuts, we recognize and are grateful for the support we receive from the provost and the university. This investment, combined with our stewardship and leadership, pays the university great dividends.



I. SELECTED HIGHLIGHTS FROM FISCAL YEAR 2009-2010

1.1 Supporting Research

- To increase the value of our collections for researchers, we continue to contribute content to the shared digital library known as HathiTrust, which contains more than 5 million volumes. Now including the university libraries of the CIC, the University of California system, the University of Virginia, and Columbia University, HathiTrust provides libraries a means to archive and provide access to their digital materials. IU has taken a leadership role in its creation and governance.
- In 2009, we shipped the Folklore Collection to Google to be digitized as part of the joint agreement negotiated by the CIC. Pointing to the significant value of the collection—the largest of its kind in North America—Google named it their first “collection of distinction.”
- In January IU received a grant of \$2.38 million from The Andrew W. Mellon Foundation to develop community-source software specifically for the management of print and electronic collections of academic research libraries. The IU Libraries will lead the project, called Kuali OLE, to create a product that will serve libraries everywhere by lessening reliance on commercial vendors.
- In the past year we expanded IU ScholarWorks, a suite of services to preserve and make faculty scholarship widely available. Librarians are working with IU researchers to publish open-access journals, manage and make accessible sets of data, and help them protect their rights as authors as they negotiate with scholarly publishers.
- We continue to partner with others in the library community to advance development of research tools. IU won the support of the Institute of Museum and Library Services (IMLS) for its partnership in a \$249,000 grant led by UCLA. Tools and services developed in the project—to improve access to sheet music collections by refining metadata practices—will serve as a model for other libraries around the nation. The IU Libraries are also a partner with the IU School of Library and Information Science along with Cornell University and the University of Florida in a \$12.2 million grant-funded project to expand the VIVO Scientific “Facebook” software. This project will grow into a larger network of researcher-oriented services funded under the National Center for Research Resources U24 Program, a part of the American Recovery and Reinvestment Act of 2009.

1.2 Supporting Teaching and Learning

- Through collaborative efforts with faculty, librarians work to integrate information-seeking and research knowledge into courses at a variety of levels, from the first-year undergraduate courses through graduate and professional programs. Even beyond this classroom involvement, librarians reach out to support students as they strive toward academic success. To this end, we provide instructional programming for student athletes, students in the Hutton Honors College, Cox Research Scholars, GROUPS students, and students enrolled in IFS.
- With the goal of integrating the databases we already license more fully into Oncourse, this year we created a specific role for librarians, assignable by instructors, to enable librarians to add timely course readings and subject research guides, and provide students help with research. Further, Oncourse now connects automatically to discipline-specific research tools that are relevant to the courses within a department. Librarians also regularly create guides for the research required for a particular assignment.
- With the launch of the General Education requirements in 2011, which include a shared goal of “information fluency” for all academic departments, we are dedicated to integrating information-seeking and research knowledge into the undergraduate curriculum through an approach that is tiered, scalable, and measurable. Two librarians have already begun this work with their departments (Gender Studies and Biology) and hope to provide a model for other subject librarians to follow by examining learning outcomes, mapping the curriculum, and aligning information fluency with a discipline.

- As the location for new student registration in the summer, the IU Libraries are a significant first point of contact for many freshmen and transfer students. With our colleagues in the Office of First Year Experience, last year the libraries hosted IU's first-ever Welcome Week "Game Night" that introduced students to the libraries in a fun and social way through games, events, and activities; more than 800 attendees gained a sense of belonging and confidence regarding their campus libraries.
- Because we are central to the undergraduate experience, we are establishing a beneficial relationship with the newly appointed Vice Provost for Undergraduate Education and the UITS Associate Dean of Learning Technologies. Together we are exploring ways of enhancing support for faculty teaching and assessment of learning outcomes.

1.3 Supporting Campus Priorities

- **Diversity:** In FY 2008-09 we created two new librarian positions by working with the Office of Strategic Hiring and Support: 1) an Instruction and Emerging Technologies Librarian, to expand services for library users by applying newer technologies such as social media; and 2) a Cataloger of Latin American, Iberian, Latino, and Chicano-Riqueno Studies, to add value to our nationally recognized cataloging team. In 2009 we supported campus relocation plans for the Black Film Center/Archive by providing dedicated space in the Wells Library for the archive's collections and staff.
- **Internationalization:** Librarians support the outreach mission of IU's nine Title VI centers by providing reference and research assistance, building online and print collections, and developing strong working relationships with faculty. The centers, in turn, frequently provide financial support for collections, for overseas travel for librarians to purchase materials in vernacular languages, and for student assistants for the librarians. Librarians also leverage collaborative collection development projects, particularly in area studies, in conjunction with the Center for Research Libraries. Not only are we doing the best with the resources we have, but we are supplementing those resources through effective partnerships.

Our technical expertise is pivotal to advancing projects important to IU faculty and extending connections to other parts of the world. The recently funded CLAMA (Cultural and Linguistic Archive of Mesoamerica) Project is a collaboration of the Center for Latin American Studies, the Center for the Study of History and Memory, and the Digital Library Project. This project will identify, preserve and disseminate ethno-linguistic and ethno-historical materials from physical archives in Central America and Mexico that are inaccessible in the United States.

- **Recruitment, retention of faculty:** Our goal, always, is to provide the collections and services that faculty need to succeed in their teaching and research. Increasingly our focus is making collections available in multiple ways and formats by digitizing content or licensing online content. As one faculty member puts it, the IU Libraries are "Bloomington's trump card." At a time when so many other libraries are reducing their collections budgets, the strength of our collections and the services we provide to make these collections meaningful remains a powerful attraction.
- **Recruitment, retention, graduation of students:** Graduate students, perhaps more than any other group, expect the full advantages of both print and online resources. They consistently remind us in focus groups of the value they place on libraries—and their desire for additional services and environments. Plans are under way to address these needs, most notably in the creation of the Research Commons, which will centralize a wide range of scholarly activities for graduate students and faculty. Success will depend on the leadership of the IU Libraries, UITS, the University Graduate School, and the Office of the Vice Provost for Research and build on our longstanding partnerships.
- **Commitment to economic development in Indiana:** By contributing expertise of the Digital Library Program and the Data to Insight Center of the Pervasive Technology Institute, we are advancing goals to

stimulate business in the state. One example: the \$12.2 million, seven-university project to create an online network that will make it easier for scientists to locate and collaborate with one another.

- **Multidisciplinary collaborations to promote excellence in research, teaching, and service:** In 2009, we hired a film archivist, a new position, to help fill a critical campus need to assess, care for, and provide access to film collections. The appointment supports the university's plans to create a state-of-the-art cinema facility and follows a year-long investigation of special collections led by the Dean of Libraries and the Associate Vice Provost for Arts Research. With funding from the Provost, this group sponsored a survey of time-based media on campus and produced a report which documented and quantified the extent of these collections and their endangered status. As plans unfold to develop a media preservation lab on campus, the film archivist will contribute meaningfully to those discussions.

We contribute critical technical expertise and subject knowledge to campus initiatives such as the Institute for Digital Arts and Humanities, located in the Wells Library as a first step in establishing the Research Commons.

II. BUDGET OVERVIEW

2.1 Collections

Collections are one of the most important library services we offer to support the teaching and research mission of the university. About 36 percent of our general operating budget is related to this priority.

Our concept of collections, however, is changing. As many researchers already realize, collections in 2010 are so much more than books or journals. They include licensed databases we pay for but do not own, electronic surrogates of print materials housed at partner institutions, and sets of research data that continue to grow. Increasingly our role extends beyond buying collections to building the services and tools that make collections more meaningful, such as providing faculty opportunities for open-access publishing or reformatting and streaming film to make it more accessible.

We expect to engage in conversations with the campus community in the year ahead to demonstrate the importance of positioning one of the university's greatest capital and intellectual assets to meet the needs of tomorrow's researchers. With this understanding and support, we will more confidently direct some of the funds in the materials budget to meet these needs. (Please see our recent [annual report](#) which advances these conversations by describing the changing nature of collections.)

2.2 Equipment, Supplies, and Travel

Equipment and supplies, even cut to their barest levels, remain underfunded at 5 percent in the general budget. Supplies, including essential materials to barcode or preserve collections, cannot be easily reduced further. Our travel budget is a lean \$54,000 after being reduced from \$108,000 and presents a hardship for our 66 non-tenured librarians and professional staff. To meet travel needs, we have shifted a portion of travel costs to non-general accounts.

2.3 Positions

Salaries, wages, and fringe benefits account for 59 percent of our budget. We have been able to meet current cuts through attrition, which enables us to reduce our workforce, but also compromises our ability to proceed strategically.

Bridge funding received by Dean Brenda Johnson will fund positions for two years until we identify resources from the general budget. Funding will support the following key areas, identified by the actions items with which they are associated in *Empowering People: Indiana University's Strategic Plan for Information Technology*. (<<http://ep.iu.edu/>>, 2009.)

- **Assessment/strategic planning/organizational development** (Action Item 30)
- **Engagement-centered outreach** (Action Item 35)
- **Online research and discovery** (Action Items 35 and 40)

III. STRATEGIC GAINS

By acting strategically and leveraging partnerships, we make the most of the resources we have. Consider the following examples:

- **Joint purchases:** Collaborating with peers is essential to negotiating with publishers and exerting influence over the scholarly publishing market. One example: in 2009 the CIC libraries jointly licensed, at considerable cost savings, *Eighteenth Century Collections Online*, a searchable database of every book published in Great Britain in the 18th century. And in January, the CIC announced a similar negotiation that provides IU faculty, students, and staff online access to more than 3,500 recent titles from scientific publishers Elsevier and Wiley-Blackwell.
- **Realigning staff resources:** We continue to streamline traditional print-based workflows in order to create capacity for increased e-resources management and digital initiatives. In 2009, nearly 50 percent of the English-language books purchased through our approval plan—an “auto buy” system for priority titles—arrived shelf-ready. The books reach library shelves within one week of arriving in the library fully processed and with accompanying cataloged records. By taking advantage of this vendor-supplied service, the library was able to eliminate one full-time clerical processing position and enable 12 catalogers to divert a percentage of their time to work on a long-term text encoding project for the Digital Library Program’s *Indiana Authors and their Books* digital collection.

We closed the Geography and Map Library without reducing our overall workforce. We reassigned the coordinator to the Monographic Original Cataloging Unit, where his vast knowledge of maps and fluency in German fill a void left by two retirements. The closing, which also saves base hourly wages (\$11,400), follows the closing of the SLIS library and our departure from the journalism library as part of an ongoing plan to concentrate services.

We reallocated 3 staff positions to assist with the Google digitization project, an effort that requires books be identified, retrieved, prepared, and re-shelved. In 2009 we shipped the Folklore Collection to Google to be digitized as part of the joint agreement negotiated by the Committee on Institutional Cooperation. We have realized cost savings of approximately \$1 million by partnering with the CIC and Google to digitize these valuable research materials.

- **Realigning departments:** Library departments were realigned in the fall of 2009 to provide greater levels of service to faculty and students. Our goal is to create an organizational structure that is inherently responsive to their needs—whether within the departmental context or beyond the structures of traditional disciplines. As one example, the new Teaching & Learning Department is dedicated to sustaining the instructional initiatives of the IU Libraries, as well as exploring new opportunities for connecting the libraries’ resources to the university curriculum in meaningful ways.
- **Film storage:** Benefits of a second module of the ALF are already apparent. When campus assigned us responsibility for rent payment for the Willis storage facility (a former bowling alley), we identified a strategy for better dealing with the films and manuscripts stored there. The \$70,000 annual rent payment can now be applied to the ALF2 debt service—and the films will benefit from being removed from substandard storage and transferred to the optimal environmental conditions of the ALF.

IV. SIGNIFICANT COMMITMENTS FROM DISCRETIONARY FUNDS

Our accomplishments are perhaps more impressive because many baseline needs are underfunded in our general budget. As a result, we are forced to use cash or endowment income to pay for certain essential operating expenses

and smaller renovations—a concern because we never know from year to year what our cash reserves will be. Using cash for basic operations denies us the ability take advantage of unforeseen opportunities.

By partnering with peer libraries across the country and units within the university, we are able to advance priorities and realize savings not possible if acting alone. Frequently, however, these partnerships require upfront cash commitments that stretch our thin reserves or deplete endowment income.

To generate cash we have for the past decade imposed a 20-day waiting period beyond budget commitment before filling vacant positions, thereby creating between three and five percent savings on our positions (salaries and fringe benefits).

- **Ruth Lilly Auxiliary Library Facility:**

ALF operations: Approximately \$200,000 of the \$700,000 annual ALF operating budget is funded by cash. Operations include hourly wages and supplies, which we are working to move to base funding.

ALF2 payments: United by a need to free up core space on campus, academic units and the campus shared our desire to construct a second module of the ALF and have generously contributed toward its \$9.5 million project costs. We are grateful for this support. To make payments on the 20-year bond purchased for the facility's construction, we have committed endowment income for the next 20 years from the Ruth Lilly Dean of University Libraries Endowment—our largest source of discretionary income. Annual debt reduction for the IU Libraries for this project will be approximately \$180,000 plus insurance expenses.

- **Kuali OLE:** In January the university received \$2.38 million from The Andrew W. Mellon Foundation for a library-led project to develop software to manage the transactions and workflows associated with digital and print resources. Named Kuali OLE, for Open Library Environment, the “community-source” project has already involved more than 200 libraries, educational institutions, professional organizations and businesses. (Kuali OLE falls under Action Item 70a- IT Research-Community Source, *Empowering People: Indiana University's Strategic Plan for Information Technology.*)

When developed by a community of invested libraries, this next-generation system will not only reflect the changing nature of library materials and new approaches to scholarly work, but also lessen our reliance on commercial vendors. We expect to derive long-term cost savings as we move from a system provided by a for-profit vendor to one supported and developed by like-minded libraries. Our investment, however, requires cash: start-up fees of \$111,588 the first year, and \$203,567 in the second year. The project is a prime example of a strategic opportunity that would have been unrealized without the flexibility that cash provides.

- **Renovations** In absence of R&R funding, we rely on cash for occasional renovation projects, which this year include the transformation of the Business/SPEA Information Commons to support teaching and learning needs. By investing \$300,000 (in addition to \$100,000 each from the Kelley School of Business and the School of Public and Environmental Affairs and \$250,000 from UITS), we will offer students much-desired configurable seating to foster collaboration, and 16 group-study rooms, with wall-mounted monitors to accommodate group work.
- **Endowment matches** As the only support unit to create endowments during the university's endowment campaign, the IU Libraries must match annual income for three named funds (\$82,000 per year). Unlike academic units that operate with excess cash from tuition, we carve our payments from our cash reserve.

V. REQUESTS

We recognize that it is unusual to be asking for requests in this fiscal climate. We also recognize, however, the pivotal force of libraries today in helping students and faculty realize their academic goals.

1. \$750,000 for collections (base)

In spite of two years with a flat collections budget, we have been able to avoid large-scale cancellations due primarily to two factors: publishers in 2008 and 2009 responded to the flagging economy and showed restraint in price increases, and our prudent management during earlier, better years cushioned the impact of budget reductions. For the past six years, we have realigned our budget with current and anticipated realities using strategies such as periodic cancellations, cancelling all duplicate journal subscriptions with preference to electronic when appropriate, passing up large-scale purchases, and reducing our monograph spending. However, that flexibility is now gone and the current budget will not support any inflationary increases for our collections, much less respond to developing opportunities and needs, such as new curricular and research programs, increased preservation and curation needs, and our ability to build the digital library in a new marketplace.

The enviable collections for which IU is known will diminish in value unless we are able to invest in it now. A base increase of \$750,000 is necessary in order to keep our collections at their current level--\$500,000 of which is needed to avoid large-scale cancellations and significantly decreased monograph spending, and an additional \$250,000 in base to reinstate some level of flexibility to respond to new opportunities or demands.

1. \$300,000 for collections (cash)

The need for space on campus demands that we reassess the scope and size of the physical collections we house in the Wells and branch libraries. In certain cases these collections can be replaced with electronic backfiles. A one-time allocation of \$300,000 would enable us to purchase these backfiles that will allow us to reassess the physical footprint of branch libraries and thereby potentially realize greater savings.

CONCLUSION

We've made great progress in leveraging cash reserves, reassigning employees, identifying skill sets necessary for future growth, balancing print and electronic collections, renovating spaces, and taking a leadership role in initiatives such as IU ScholarWorks, the HathiTrust, Quali OLE, and many other undertakings critical to our future.

The proposed cuts to our operating budget, however, come at a time when the nature of libraries has shifted fundamentally—evidenced not only by the changing nature of collections but also by the heightened expectations of students and faculty. Perhaps more than any other unit, we must transform in order to serve immediate and future needs of the campus. We are working to respond, anticipate, and lead.

Budget reductions stop our momentum at a time we need it most. With additional investments now, however, we can position the campus for the future.