Final Report

Executive Summary

A brief description of the information contained in the Final Recommendations Grid, no more than one page.

Final Recommendations Grid

Each Strategic Direction Committee will use the Recommendations Grid as the template for their final report. Drawing from the work of the first two reports, each Committee will add appropriate language to the Recommendations Grid to explain the Human Resource Requirement, The Financial Cost, the Time Frame, the Complexity of Implementation, the Leaders involved and the Priority of each recommendation in their Strategic Direction.

Assessment Protocol

Each Strategic Direction Committee will provide a copy of how their recommendations will be assessed, using the Assessment Protocol presented during the Implementation Retreat.

Summary

In this part of the report, Strategic Direction Committees are invited to provide additional thoughts and information the Board of Trustees could use as they review these reports. This section will vary in length, depending on the feedback each Chair would like to provide.

Maine's Public Universities
UNIVERSITY OF MAINE SYSTEM

Strategic Direction - 4 **LIBRARIES**	⇨ Enhance the library resources available to the University of Maine System and the state of Maine by supporting a high-quality, integrated System library consortium built on the foundation of a single well-supported doctoral/research library at the University of Maine, and individual resource libraries at each of the other universities. Continue to develop a State-wide digital library to support all citizens of Maine.

Recommendations

NB: -- THESE RECOMMENDATIONS ARE CHANGED FROM EARLIER VERSIONS - PLEASE REVIEW CAREFULLY: thank you

	Recommendations	Human Resource Requirement		Financial Cost		Time Frame		Complexity of Implementation	Leaders	Priority
		Employee numbers, levels, expertise and time commitment required to implement recommendation	Time Element	Amount of money required to implement recommendation	Time Element	Length of time required to implement recommendation	Time Element	Level and complexity of bureaucracy required to implement recommendation	Person(s) responsible to lead implementation of recommendation	Rank in order of importance
		Low - Little employee investment(1-10 employees) Medium - Moderate employee investment(10-25 employees) High - Significant employee investment(More than 25 employees)	1 - One time 2 - On-going	Low - Less than $250,000 Medium - $250,000 to $1 million High - $ 1 million and above	1 - One time 2 - On-going	Low - 2007 Medium - 2008-2011 High - 2012 and later	1 - One time 2 - On-going	Low - Staff empowered to make decisions Medium - Chancellor and multi-campus administration involvement High - Legislature, Board, Chancellor and Presidential involvement		
4.1	4.1 Implement a clear and comprehensive vision for the future of libraries in the System and throughout the state	Low	1	Low	1	Low	1	Low	Chancellor's Staff	**READY NOW**
4.2	4.2 Enhance and Strengthen the effectiveness of the UMS Library Consortium	Medium	2	Low	2	Start in 2007 -- then ongoing------ **Overall High**	1 & 2	Some Low & Some High	Library Directors	**FOUR**
4.3	4.3 Develop a well-funded research library at the University of Maine A: New Staffing B: New Research Collections C: New Building	A: Staffing High B: Collections Medium C: Building Medium	1 2 1	A: Medium B: High C: High	2 2 1	A: Low B: Medium C: High	1 2 1	Low, Low High	Chancellor, Presidents, UMS CFOs, Legislature	**TWO****
4.4	4.3 Expand the statewide integrated digital library through increased collaboration between the UMS Library consortium and the Maine State Library using Maine InfoNet as a model (See 2003 Maine InfoNet Report)	Medium	2	Medium	2	Low	1	Medium	Library Directors, State Librarian, Maine Library Commission, Maine InfoNet Board	**THREE**
4.5	4.5 Based on a new funding formula (presented within) establish a permanent base-budget investment in UMS digital library resources and investments	Low	1	Medium	2	Low	1	Medium	Chancellor, Presidents, UMS CFOs, Legislature	**ONE**

** Note on priority TWO - Resource and time demands vary by each required component, but all three parts (A, B & C) are required to create the Research Library at UM

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STRATEGIC DIRECTION #4: ENHANCING LIBRARY RESOURCES

Enhance the library resources available to the University of Maine System and the state of Maine by supporting a high-quality, integrated System library consortium built on the foundation of a single well-supported doctoral/research library at the University of Maine, and individual resource libraries at each of the other universities. Continue to develop a statewide digital library to support all citizens of Maine.

Budget Summary and Funding Formula:

Goal 4.5 Establish a permanent base-budget investment in the digital library - the UMS Libraries URSUS budget

The future success of the University of Maine System Libraries depends on continued growth and development of the statewide digital library. Rather than depending on cobbled together funding at every step, a rational funding formula tied to credit hours generated and degree levels by campus is strongly recommended as a means of ongoing shared responsibility for maintaining a strong digitally-based UMS library system. The funding formula includes inflationary indexing and required additions to the budget when new programs are approved. The budgeting formula does not include capital equipment. The initial funding estimate for the annual URSUS (Digital Library) operating budget is:

•	Current Base Budget:	$290,445	(based on 15 year history)
•	HEPI inflation factor:	$ 3,851	or ARL factor $20,404
•	Digital Initiative:	$ 25,000	
	Sub-Total	**$319,296**	
•	Databases	$204,023	
•	New Program Fund	$250,000	
	Grand Total	**$793,721**	

Annual Funding Sources: Current Base budget $290,445 plus $503,276 funded with new cost-sharing formula from campuses based on credit hours and level of programs offered, i.e., graduate program library costs are higher than associate degree programs. (See formula chart below)

Funding Formula:
The URSUS/Digital Library annual operating budget outlined below is based on a proposed **funding formula** (modeled after those in other states), and as stated in the original goals, is intended to stabilize support for the centralized services covered by the URSUS digital library budget. Equally important, it is intended to be responsive to the ongoing development and growth of the digital library shared by all Maine's citizens. Two possible inflation indexes have been proposed and are described below. The formula balances library **demands from campus users by type and level of academic program offered**, and for the first time in UMS history, includes a "**New Program**

Factor" which requires funding new resources when new programs are approved. The budget does not however provide for capital equipment acquisition or replacement

In an effort to move beyond maintenance of services and systems (at current levels), the formula also includes a modest increase of $50,000 annually to support startup and testing of digital initiatives. This "initiative fund" is apportioned in the budget equally to the base funding and the campus assessments. Once a high priority digital initiative has been tested and readied for Maine's statewide digital library, separate internal or external funding will be required to proceed.

SPECIAL NOTE: The budget formula below does not address the costs in 4.3 associated with upgrading Fogler Library' budget and facility to the level of a moderate to strong research library center.

FUNDING FORMULA FOR BASE BUDGET STABILITY:

Introduction and Budget Notes developed by Professor Robert Rice and his colleagues on the SD #4 Team:

Funding formulae are commonly applied to fund auxiliary services such as libraries. The formula developed below is a slightly modified version of one of the most common formulas in use nationally. The approach is straightforward and is **based on the number of student credit hours taught at each campus by academic level of student – reflecting varying levels of library demand:**

- Each campus is assessed a certain amount to pay for Systemwide library services.

- The assessment levied varies by the mission of the campus and the number of student credit hours taught by the campus – less 27 – 20% exception for non-users (See next bullet).

- In most cases, twenty-seven percent of the student credit hours are exempt from assessment because not all academic programs use the library services and resources at the same level. For credit hours in law or doctoral programs, the exemption is twenty percent.

- Base funding categories are provided by UMS as has been the case since the inception of the URSUS Budget for System-wide library services.

- Accounting for inflation is critical to maintain the needed resources for scholarship and teaching. Two inflation factors are used in the example below. The Higher Education Price Index (HEPI) factor is a widely used index and is applied to certain software packages with traditionally low inflation rates (code 542, below). The HEPI index factor is 3.5% in the example below. The electronic databases are inflated using the nationally recognized Association of Research Library (ARL) rate. The rate in the example below is 10% as specified by ARL for 2004.

- The initial funding estimate is based on historical data.

- The student credit hours are 2004 data.

Annual URSUS/Digital Library Base Budget:

Formula Element		Category	Estimated Need.
Base	100	Non Faculty Salaries	$ 66,756
Base	190	Employee Benefits	$ 35,295
Base	200	Wages	$ 25,000
Base	300	Student Wages	$ 3,000
Base	400	UNET	$ 29,000
Base	401	- Programming Consultant	$ 3,000
Base	410	Memberships	$ 2,000
Base	420	Supplies & Materials	$ 3,000
Base	428	Lunch / Catering	$ 2,100
Base	430	Telephone/Telecom	$ 1,500
Base	440	Postage & Shipping	$ 200
Base	460	Computer Service	$ 918
Base	480	Travel In-State	$ 7,500
Base	490	Travel Out-State	$ 6,000
Base	541	Hardware	$???
Base	660	Inter Dept Service (UNET)	$ 1,000
Base	700	Equipment	$ 7,500
Base		URSUS (HP)	$ 6,100
Base		Services Non-Employees	$ 5,000
Formula		UMS Database	
HEPI Index	413	Subscriptions	$ 204,023
ARL Index	542	Software	$???
Base?		Endeavor	$???
Base?		OCLC Authority	$ 15,000
Base?		Docutek (ERef, Reserves)	$ 7,000
Base?		Innovative (URSUS)	$ 63,576
Formula?		Digital Initiative fund	$ 25,000.00
Formula?		New Program Fund	$ 250,000.00

Basic Formula:

Element	Source of Funding
Base Budget categories +	System
HEPI Inflation factor for code 542 only +	System
Databases +	Campus assessment
ARL inflation factor for databases +	Campus assessment
Digital Initiative +	System assessment
New Program addition (2005-06)	System assessment

Sample Distribution of Credit Hours by Campus, by Level of Programming:

Credit Hours by Campus, 2004

	UM	USM	UMA	UMF	UMPI	UMFK	UMM	Assessment
Associate	0	366	20,773	0	679	1,750	804	$ 1.00
Baccalaureate	111,786	76,501	16,863	30,627	17,249	11,092	7,065	$ 1.00
Graduate	10,181	11,919	0	0	0	0	0	$ 1.10
Doctoral	1,886	0	0	0	0	0	0	$ 1.25
Law	0	4,167	0	0	0	0	0	$ 1.25
Non-Degree	3,913	8,683	4,447	672	1,474	761	2,126	$ 0.75
Total	127,766	101,635	42,083	31,298	19,402	13,603	9,995	

Sample Distribution of Shared Contribution BY FORMULA by Campus, by Level of Programming:

Assessment with 27%* 20%* credit hour exemption

	UM	USM	UMA	UMF	UMPI	UMFK	UMM	Exemption
Associate	$ -	$ 266.82	$ 15,164.29	$ -	$495.67	$ 1,277.50	$586.92	27%
Baccalaureate	$81,604	$ 55,846	$ 12,310	22,357	$12,592	$ 8,097	$ 5,157	27%
Graduate	$ 8,175	$ 9,571	$ -	$ -	$ -	$ -	$ -	27%
Doctoral	$ 1,886	$ -	$ -	$ -	$ -	$ -	$ -	20%
Law	$ -	$ 4,167	$ -	$ -	$ -	$ -	$ -	20%
Non-Degree	$ 2,142	$ 4,754	$ 2,435	$ 368	$ 807	$ 417	$ 1,164	27%
Total	$93,807	$ 74,604	$ 29,909	2,725	$13,894	$ 9,791	$ 6,908	$ 251,639

* 27% exemption for all but Law and Doctoral Programs which are at 20% exemption

Summary of results:

		Source		Cost
	Base Funding	System	$	290,445
HEPI inflation factor (code 542 only)		System	$	3,851
	Digital Initiative	System	$	25,000
		Total	$	319,296
Element		Source		
	Databases	Campus assessment	$	204,023
ARL	Inflation Factor	Campus assessment		20,402
		Total	$	-
New Program Factor				$250,000
		Grand Total	$	793,721

Goal 4.3 A single well-funded research library requires an increase in Fogler Library's base budget and capital funding for new addition to the library

Summary: In order for Fogler Library to expand and solidify its role as University of Maine System leader in the development of research collections and establishment of expanded digital collections, Fogler needs an updated facility and adequate support for collections and staff to realize this core goal of SD#4:

- **Research collections:** an increase of $1 million each year for five (**$5,000,000 base then indexed to inflation**) Percentage shares of UMS research grants and bonds should also be considered as a means building the collection.
- **Library staffing to meet UM and System research needs:**   **$477,699**
  2 public services, 3 technical services staff, 4 support staff, 2 FTE student staff.
- **Funding for new Fogler Library physical addition:**   **$26,000,000**
- . Build 96,000 square foot addition to Fogler Library and upgrade existing library to meet ADA, HVAC and workspace needs (addition only, no renovation)

Details:

Research Collections Funding: $5 million phased in over 5 years

Fogler Library needs an increase in its base budget to acquire resources that will address research needs across the System. This plan does not eliminate the need for the other campus libraries to specialize in their own local collections to support the research specialties of their individual campuses, such as the Acadian Archives at UMFK, the Osher Map Library, or the Muskie School of Public Service resource collection at USM. The campus libraries must be mission driven to succeed in supporting their own communities. For instance, UMF might be designated the UMS education library, but it is also identified as the public liberal arts college of Maine, and as a result will need to develop a well-rounded collection to support that mission.

Staffing base budget increases for Fogler Library to meet UM and System needs: $477,699

Five professional staff for the following responsibilities:
Two public services librarians to continue the work of virtual reference, manage the last copy center, provide B.I. support, continue subject liaison work including collection development at UM, and provide research and reference assistance to the state.

Three technical services staff to do the programming for locally created databases and products, to assist UMS libraries in processing materials as needed, to work on issues with commercial databases, to work on implementation and issues from commercial service providers, to maintain and troubleshoot problems with any technical issue both at Fogler Library and for the System

Four support staff for the following responsibilities:
Operate last copy center, including document delivery solutions, provide for more building hours in the library, operate digitizing equipment, provide more service hours for some departments, support of technical services librarians

Two FTE student staff for the following responsibilities:
Provide support for the hours and services listed above.

Funding for Fogler Library addition and renovation: **$26,000,000**
Build 96,000 square foot addition to Fogler Library and upgrade existing library to meet ADA, HVAC and workspace needs (addition only, no renovation)

Fogler Library's current space problems must be addressed. Fogler's responsibility as the "single UMS doctoral/research library" requires that it maintain collections for the future generations of users. Space is needed to meet this requirement and to meet the needs of staff and users.

Fogler Library has a functionally obsolete building and is at capacity. It has very limited individual study space, lacks any group study space, and houses a collection of only one million volumes. As such the library does not appropriately support the educational and research requirements for the University, the UMS System, it's legislatively designated role as the State's Business Science and Technology library, and other community, library and State demands. Space is needed for these multiple purposes.

Construction of a 96,000 square foot addition is necessary to accommodate collections, services, and to provide appropriate study spaces be redesigned and the center core stacks removed to address safety and accessibility issues.

To ensure the most cost effective storage solution for collection growth, installation of compact shelving and a mezzanine in the Library Annex building is required. To move beyond the needs of UM to the UMS and the State an addition to the annex is needed. This will provide long-term growth space for collections. Budget Proposal: $xxx or included in $26 million?

The creation of a "Last Copy Center" will serve libraries throughout the state. A last copy center is a central facility managed by librarians that would allow Maine libraries to preserve titles that might be weeded from other collections due to space or usage concerns. Such a facility would permit all libraries to discard their copy of the item going to the Last Copy Center, thereby saving space in local libraries. The storage facility would also provide interlibrary loan services or electronic document delivery of the material upon request. Budget Proposal: $xxx or included

Fogler Research Center Budgeting Options:

Fogler Library's budget has to be indexed against inflation and it needs a funding formula that allows it to grow as the University's numbers of students and programs grow, including a share of campus research funds, external grants, and internal and external bonding opportunities We estimate that within five years journal inflation will require an additional annual expenditure of $2.6 million just to maintain current library subscriptions. Other research institutions have been increasing their library budget to account for journal inflation, approximately 11% annually. For example, UNH went from a budget of $8.8million in 2002 to $14.1 million in 2004 and the budget will increase by $500,000 next year. Several funding options should be considered:

Phased Funding Improvement:
- The plan calls for an increase of $1 million each year in base funding for the library's acquisitions budget to compensate for current materials inflation costs and to acquire materials that the library was unable to purchase in past years. In other words, over five years there would be a $5 million increase. After that the materials budget could be indexed for annual inflation.

Share of UMS Bonds to Support Research Resources:
- The library would receive a larger but decreasing portion of the bond funds as follows: Year 1: $ 3 million; Year 2: $2.5 million; Year 3: $2 million; Year 4: $1.75 million; Year 5: $1.5 million. This could be accomplished by moving 10%of the bond money from facilities to Library.

Share of UMS Research Grants to support Research:
- The library would receive 4% of indirect costs obtained from grants over the 2004 baseline. By 2010, this would mean the library would be getting the equivalent 2% of all indirect costs, which is the average for

academic libraries in the U.S.) The 4% of indirect cost would be taken off from the current 25% going to facilities and administration.

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STRATEGIC DIRECTION #4: ENHANCING LIBRARY RESOURCES

Enhance the library resources available to the University of Maine System and the state of Maine by supporting a high-quality, integrated System library consortium built on the foundation of a single well-supported doctoral/research library at the University of Maine, and individual resource libraries at each of the other universities. Continue to develop a statewide digital library to support all citizens of Maine.

Narrative Summary:

Goal 4.1 (Currently Operational): New UMS Library Vision Statement

The UMS Libraries have a critical and vibrant role on campus, off campus, and in the State in preparing students and all Maine citizens to function successfully within the global and creative economies and to be life-long learners. The UMS Libraries are a consortium that works collaboratively and cooperatively, along with the other URSUS libraries, to provide systematic and efficient library resources and services. Digital technology provides the means to offer universal access to all users and to provide new combinations of resources, services, and delivery systems. The Libraries offer both virtual and physical spaces and are centers of learning on their individual campuses and serve their public communities. By partnering with faculty in the learning process, the UMS Libraries actively promote and teach information literacy and support research. The Libraries are engaged in continual assessment of their outcomes and effectiveness in providing information and services to students, faculty, researchers and Maine citizens.

Goal 4.5 (Priority 1): Based on a new funding formula establish a permanent base-budget investment in UMS digital library resources and services.

The major limitation to further expansion of the digital collections has been the necessity and ongoing uncertainty of cobbling together funding at every step. Grants, bonds and other one-time funding for years has been the backbone of this initiative. For the libraries to continue to make online and other technologically based resources available to all students, faculty and staff on all campuses as well as to Maine citizens, a significant investment in the continued development of the digital library is critical.

The budget outlined below is based on a proposed **funding formula** (modeled after those in other states) that shares costs by campus according for credit hours and level and type of programs offered. The model also includes inflation factors to address rapidly growing costs of library resources, and a New Program Factor requiring the addition of new library funding when new programs are approved.

In an effort to move beyond maintenance of services and systems (at current levels), the formula also includes a modest increase of $50,000 annually to support startup and testing of digital initiatives. This "**initiative fund**" is apportioned in the budget equally to the base funding and the campus assessments. Once a high priority digital

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Executive Summary

The University of Maine System libraries extensive history of collaboration is best exemplified by our shared nationally recognized online catalog URSUS, (almost 15 years old) which includes the collections of eight libraries of the University of Maine System, the Maine State Library, the State Law and Legislative Reference Library and the Bangor Public Library, and Maine Info Net, the statewide catalog which links all Maine libraries. A unique partnership exists between the UMS libraries and the Maine State Library facilitating statewide access to electronic indexes and databases, ensuring that all Maine libraries and citizens have access to all library resources.

Understanding the library's primary role
The UMS libraries are both virtual and physical spaces, as well as social and learning centers for their respective campus and public communities. The library's primary role on each campus is to educate users by collaborating with faculty to promote information literacy and critical thinking, and to evaluate these outcomes through assessment. Each library is a unique expression of the cultural heritage and characteristics of the place in which it is located. Individually and as a consortium, the libraries confront the realities of budgetary constraints and challenges posed by the transition from print to electronic publishing.

Stabilizing the partnership of libraries statewide: Creating the Maine Info Net organization
The UMS Libraries and the Maine State Library have begun to implement the major directions proposed by the NELINET Consulting Solutions in their July 2003 Report with the hiring of a CEO for Maine InfoNet. His initial and primary duty is to advance the growth, awareness and support for Maine Info Net as a gateway for library services across Maine.

Continuing the UMS collaboration and seeking new partnerships
The UMS Libraries will further develop their historic partnership into a more structured and formal commitment to collaborative collection development, information technology services, information literacy, staff development, and technical operations. Fogler Library at the University of Maine in Orono will be formally recognized and supported as the lead System and State research library and support the research needs of faculty at all campuses.

Establish a permanent base-budget investment in the digital library - the UMS Libraries URSUS budget
- The future success of the University of Maine System Libraries depends on continued growth and development of the statewide digital library. Rather than depending on cobbled together funding at every step, a rational funding formula tied to credit hours generated and degree levels by campus is strongly recommended as a means of ongoing shared responsibility for maintaining a strong digitally-based UMS library system. The funding formula includes inflationary indexing and required additions to the budget

1

when new programs are approved. The budgeting formula does not include capital equipment. The initial funding estimate is based on historical data.

- Current Base Budget: $290,445
- HEPI inflation factor: $ 3,851 or ARL factor $20,404
- Digital Initiative: $ 25,000
  Sub-Total **$319,296**
- Databases $204,023
- New Program Fund $250,000
  Grand Total **$793,721**

Sources: Current Base budget $290,445 plus $503,276 funded with new cost-sharing formula from campuses based on credit hours and level of programs offered, i.e., graduate program library costs are higher than associate degree programs.

A single well-funded research library requires an increase in Fogler Library's base budget
In order for Fogler Library to expand and solidify its role as University of Maine System leader in the development of research collections and establishment of expanded digital collections, Fogler needs an updated facility and adequate support for collections and staff to realize this core goal of SD#4:

- **Research collections**: an increase of $1 million each year for five (**$5,000,000 base then indexed to inflation**)
  Percentage shares of UMS research grants and bonds should also be considered as a means building the collection.
- **Library staffing to meet UM and System research needs**: **$477,699**
  2 public services, 3 technical services staff, 4 support staff, 2 FTE student staff .
- **Funding for new Fogler Library physical addition**: **$26,000,000**
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initiative has been tested and readied for Maine's statewide digital library, separate internal or external funding will be required to proceed.

Goal 4.3 (Priority 2): Develop a well-funded research library at the University of Maine

Fogler has provided leadership in the areas of developing research collections, establishing the digital library - URSUS, Maine InfoNet, full-text electronic database resources, and material delivery. To continue this work and establish the foundation for future success, Fogler must be well supported financially and the physical restraints removed.

Proposed Increases for Fogler Library Base Budget

- **Base budget increases Fogler Library staffing to meet UM and System needs: $477,699**

    Five professional staff for the following responsibilities:
    Two public services librarians to continue the work of virtual reference, manage the
    last copy center, provide B.I. support, continue subject liaison work including
    collection development at UM, and provide research and reference assistance to the state.

    Base budget increases Fogler Library staffing to meet UM and System needs continued:

    Three technical services staff to do the programming for locally created databases
    and products, to assist UMS libraries in processing materials as needed, to work on
    issues with commercial databases, to work on implementation and issues from
    commercial service providers, to maintain and troubleshoot problems with any
    technical issue both at Fogler Library and for the System

    Four support staff for the following responsibilities:
    Operate last copy center, including document delivery solutions, provide for more
    building hours in the library, operate digitizing equipment, provide more service
    hours for some departments, support of technical services librarians

    Two FTE student staff for the following responsibilities:
   Provide support for the hours and services listed above.

- **Base budget increase at Fogler Library for research acquisitions:**   **$1,000,000**
    $1 million increase in base funding for each of five years for acquisitions

- **Base budget increase for inflation:**
    Index UM Library budget for inflation based on Association of Research Libraries 10 %

- **Funding for Fogler Library addition and renovation:**   **$26,000,000**
    Build 96,000 square foot addition to Fogler Library and upgrade existing library
    to meet ADA, HVAC and workspace needs (addition only, no renovation)

Maine InfoNet is the new *multi-type collaborative* for accessing library information and services for the state of Maine, the primary gateway or portal to library and related information. The model is not new. OhioLink, and Illinet have provided access for years to Ohio and Illinois citizens. The University of Maine System, Colby, Bates and Bowdoin Colleges' local library systems will continue to serve and be recognized by their local users as their own library system, but it will also become crystal clear that Maine InfoNet is the umbrella or overarching library structure and information portal for the libraries of the State of Maine.

Since its inception, the University of Maine System URSUS (digital) library budget has shared in the purchase and delivery of electronic resources offered through Maine InfoNet where better prices and negotiating leverage are available on the larger scale statewide basis. Today, legislative, bond, PUC e-rate, and University dollars together provide the foundation digital resources for all Maine library users. Maine InfoNet's expansion and branding will bring all of these resources together under one roof for the user.

Maine InfoNet Recommendation 1: A new InfoNet Board with members representing all participants will be created: The Board will be a membership organization while assuring substantial accountability to and participation of the membership. For general program delivery, InfoNet can be thought of as a "consortium of consortia," with groups such as MINERVA, URSUS and others acting as the access system service providers, and Maine InfoNet providing services to these groups (and their member libraries). The access system service providers are funded through local appropriation of funds. The InfoNet services are state funded through the Maine State Library and the University of Maine System. This relationship can be visualized as below. (Note: the chart below is intended to be illustrative, and not exhaustive.)
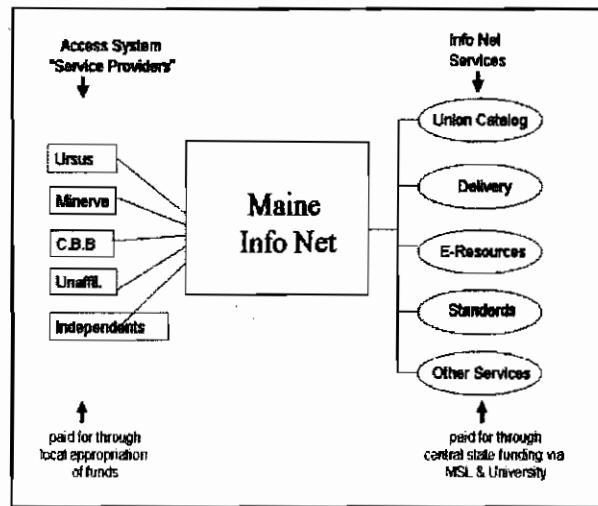
The Maine Library Commission acting through the Maine State Library; and the University of Maine System will be formal partners and the sponsors of Maine InfoNet. It is essential for the Maine Library Commission, the Maine State Library, and the University of Maine system to continue to have a significant presence and voice in the continuing development and support of InfoNet. The two bodies have already formalized through a Memorandum of Understanding the nature of the sponsorship and the roles and responsibilities of each of the partners.

3

Reporting Relationships and Authority: Maine InfoNet will function in a *"sponsored program model" in which InfoNet would have its own separate elected Board to which it would report. This Board would be sponsored jointly by the Maine Library Commission and the University of Maine System.* The two will share decision-making power on the most significant issues, such as the employment of the CEO (Executive Director) and establishment of InfoNet policies. The new reporting structure is illustrated below.

Maine Info Net: Reporting Relationships
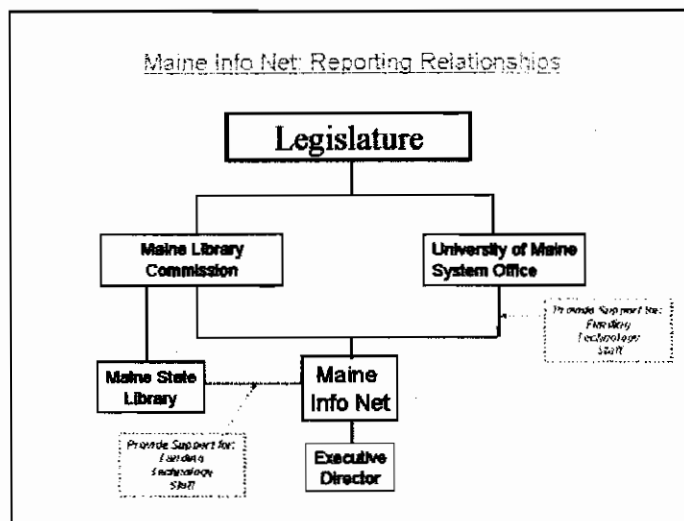
Recommendation 2: Maine InfoNet will have a CEO and dedicated staff

> a. CEO (hired June 1, 2006 after national search) reports jointly to the UMS and the Maine Library Commission
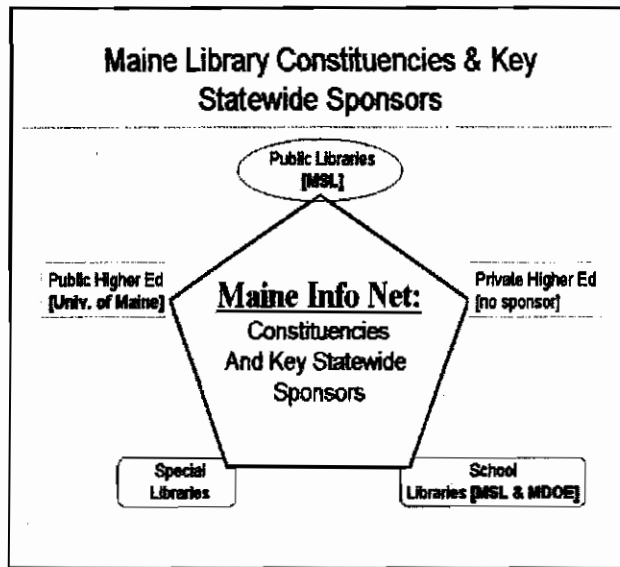> b. CEO position has be funded by the UMS and the Maine Library Commission

Probably the biggest shift required relates to the involvement of the University of Maine System as a formal partner with the Maine Library Commission in the administration of Maine InfoNet. This will require that the Office of the Chancellor accept and formalize a previously informal role, i.e., that it will fully represent the interests not only of the University System, but also of all other members of the higher education community in the state, whether those institutions are private or public.

The reporting relationship illustrated above includes an important "dotted line" relationship between the InfoNet Board and its two sponsors and units, the Maine Library Commission and the University of Maine System. Although the formal reporting relationship is to the Library Commission (and not to the State Library), in practice the Maine State Library will serve as the conduit to InfoNet for support from Maine Library Commission, and to act as the representative of the interests of public and school libraries. In addition, the State Library will provide technology support and staff in support of the program, and (although not illustrated) serve as the sponsor and represent the interests for MINERVA, unaffiliated libraries, etc.

Recommendation 3: Maine InfoNet should be constituted as an independent entity with member institutions (a membership organization)

Governance Model: Any recommended governance model (see illustration below) must not require undue risk, must be affordable, and must enable InfoNet to have a clear identity, and have a legal and program status that is recognized by others (particularly by the legislature). Ideally, the governance structure should encourage the organization to be agile and to demonstrate entrepreneurship. The structure must be highly inclusive of all types of

libraries. Above all, the resulting organization must be a trusted partner, and must build upon the successes of the past.

Maine Library Constituencies & Key Statewide Sponsors

Public Libraries [MSL]

Public Higher Ed [Univ. of Maine]

Private Higher Ed [no sponsor]

Maine Info Net: Constituencies And Key Statewide Sponsors

Special Libraries

School Libraries [MSL & MDOE]

Recommendation 4: Maine InfoNet requires sustainable funding and reasonable dues ultimately becoming self-sustaining. It is recommended that InfoNet continue to be funded primarily from state funds as provided through the Maine State Library. In addition, InfoNet members should be charged annual dues (to cover basic infrastructure and overhead costs that are of common benefit to all members), and fees for optional services where each member library can choose whether or not to participate.

The chart below summarizes the anticipated initial major programs and services of InfoNet, and the potential source of funding to support those services. In some cases, the service may be funded from only one source of funds, while other services may be funded through a combination. For example, a ground delivery service which currently has baseline funding provided through the University and state funds, may be augmented in the future via general dues, with individual libraries having the option to supplement the basic services if they pay extra fees to do so. Similarly, state funds may be used to fund some e-resources common to all institutions, but InfoNet may also negotiate for other resources sought by only a portion of the membership, with the latter paid through optional fees.

Service	State Funds	Dues	Optional Fees
General Administration	✓	✓	
Union catalog and resource sharing	✓	✓	
E-resources	✓		✓
Ground delivery	✓	✓	✓
Virtual Reference service	✓		✓

Although it might be desirable to expect the state to pay all expenses related to InfoNet, realistically InfoNet should not overly-rely upon any one funding source. By expanding the funding streams, InfoNet not only will not be subject to the vagaries of state revenues, but it also will enable InfoNet to provide services that the libraries desire but that the state might be unable or unwilling to support (or to support in full). The latter services might include:

- development and implementation of a marketing program for libraries on the availability and use of InfoNet;
- supplemental electronic resources, which might be purchased in part from state funds and in part from member contributions;
- staff for communications, such as web site updating, or for facilitation, such as to convene and coordinate committee meetings;
- technology consulting and support; and,
- management of the holdings database and the Maine union list of serials.

The exact cost of dues cannot be estimated in any more detail until there is a further articulation as to what costs the dues must support. The dues structure must be viewed by the general membership to be "reasonable." It is also recognized that any dues or fees may not be met favorably by members. In part, members have developed an unrealistic set of expectations because some of the current operations have been supported through informal subsidies. For example, the University of Maine System and the Maine State Library have been supporting MINERVA at a rate that does not cover the true direct and indirect costs. As long as such informal subsidy continues, it is possible that libraries will not feel any pressure to do something about permanent funding.

(Details of additional recommendations are available in the NELINET Consultants' Report – contact tabbott@maine.edu or Rumery@maine.edu for copies

The Maine InfoNet staff, lead by the new CEO, and built from current UMS URSUS library and Maine State Library staff members would be responsible for marketing, managing membership dues, and delivering services: the union catalog, delivery, e-resources (databases), standards, portal management, and training.

The current UMS Library Directors' Council will continue in its current configuration serving as one of the consortia members albeit one of the two that sponsors and supervises the Maine InfoNet CEO and provides policy direction to him or her and the Board.

(Goal 4.2) Priority 4: Enhance and strengthen the effectiveness of the UMS Library Consortium – cost containment

The UMS Library System consortium is strong and has been successful, but to continue to provide the resources and services demanded by users it has to move forward into more collaborative efforts.

Collection Development: Journals
The UMS Libraries will become more collaborative and efficient when selecting and providing access to expanding digital collections. The UMS Libraries will seek to eliminate duplicate subscriptions by evolving collaborative collection development for online serials. Collection development staff will create a core collection of journals in electronic formats for the University of Maine System libraries with licensure agreements that address archival concerns, while phasing out hard copy journal subscriptions where complete online documents exist. License agreements, where feasible, will take into consideration the needs of researchers across all campuses.

Collection Development: Monographs

The UMS Libraries will develop a cooperative collection development strategy that will allow each campus to build local general collections but also encourage the development of non-duplicative, campus strengths to benefit the entire consortium. (For example, perhaps Farmington is the designated strength for undergraduate materials in education). Cooperative strategies will also eliminate unnecessarily duplication of little used or very expensive items in the state. UM and USM currently use approval plan software which can be used to facilitate such coordination. (Possible model: Tri-College Consortium in Pennsylvania).

Information Literacy
The UMS Libraries will work cooperatively to share information literacy best practices, course guides, and classroom successes with the goal of producing robust and integrated literacy programs at all campuses. Information Literacy programs not only meet NEASC information literacy expectations but ensure that Maine students are receiving these essential skills across all campuses. Given the minimal staffing at most campus libraries working cooperatively will help maximize skills, resources and best practices.

Research
The UMS Libraries will recognize the research needs of faculty at all campuses and will work collaboratively to provide access to collections and services where necessary. This collaborative will bring a strong emphasis to research statewide.

Partnerships and Centers for Learning
The UMS Libraries will constantly seek partnerships and collaborative opportunities on their campuses. Today's academic library is not merely a repository of resources and the source of user services, but a true center for learning on our campuses.

Delivery Service
Maintain the System commitment to the very successful statewide delivery service for tangible items.

APPENDICES

Participants: Strategic Direction #4

Allen Salo	BOT Faculty Representative, UMPI
Barbara McDade	Library Director, Bangor Public Library, URSUS Libraries
Bert Phipps	Library Director, UMM
Christine Hepler	Interim Director, UM School of Law
David Nutty	Director University Libraries, USM
Eric Brown	Assistant Professor of English, UMF
Evelyn Greenlaw	Library Director, USM L-A College, Head of Reference USM
Frank Roberts	Library Director, UMF
Gary Nichols	Maine State Librarian, URSUS Libraries
Gerry Dube	Former Director UNET Technology Services, UMS
Gregory Curtis	Director, Library and Learning Resources UMPI
Jerome Gamache	Professor of Sociology, UMA
Joyce Rumery	Dean of Libraries, UM
Kathleen King	BOT Student Representative, UMA
Kathleen March	Professor of Spanish, UM
Laura Gallucci	Former URSUS Library System Manager UMS
Marilyn Lutz	Director of Information Planning Fogler Library UM and UMS
Mark Richard	Assistant Professor of Social Studies, UMFK
Michael Grillo	Associate Professor of Art, UM
Michael Kimball	Assistant Professor of Sociology/Anthropology, UMM
Nancy Bouzrara	Associate Professor of French, USM
Robert Rice	Professor of Wood Science, UM
Robert Scott	Co-Chair through 6/1/05, Vice President Academic Affairs, UMFK
Rachel Albert	Co-Chair after 6/1/05, Interim Vice President Academic Affairs, UMFK
Rodney Bushway	Professor of Food Science, UM
Sharon Johnson	Dean of Information Services, UMFK
Susan Lowe	Assistant Dean Off-Campus Library Services, UMS
Thomas Abbott	Co-Chair, Dean of Libraries and Instructional Support, UMA and Chair of University of Maine System Library Directors' Council (URSUS Libraries)
William Wells	Chief Information Officer, USM
Elsa Nunez	Vice Chancellor, UMS, Staff

September 8, 2005

Dear Dr. Abbott and Dr. Albert:

I want to thank you for your leadership of the Strategic Direction 4 Implementation Planning Committee. As you know, the imperatives and outcomes of this Direction are crucial to the future of the University System and its goal of building an expansive, high-quality, integrated library system that will allow greater dissemination of information for our students and the citizens of Maine. As such, the work of this committee has a significant impact on nearly all aspects of the Strategic Plan - making your work all the more challenging and important.

The Strategic Direction 4 committee's high level of expertise, cooperation, and intensive work comes through in this First Report, which superbly demonstrates how effective and productive this process can be when faculty take the lead. In fact, your report should serve as a model for other committees, as they prepare for next year's work.

I would like to share with you my comments on the Report and provide guidelines for preparing the second and third reports. I considered its overall strengths and weaknesses; its consistency with the Strategic Plan and Implementation Plan; and the effectiveness of its delivery.
Overall the report is excellent -visionary, detailed, relevant, and clearly presented. Most importantly, each recommendation effectively connects to the goals of the Strategic Plan and follows the methodologies outlined in the Implementation Plan. By dividing the work among four subcommittees, you were able to generate a significant number of specific, original ideas for improving and expanding UMS libraries in areas addressing overall vision, the library consortium, collaborative initiatives, and base-budgeting. The documentation of budgetary data was very helpful, as well.

There is one area that warrants further exploration going forward into next year's work. I would like the committee to go into greater detail about its proposal for a new InfoNet Board. Future recommendations should articulate a more specific plan for how this would work collaboratively, and should address contractual matters and institutional alignment.

Looking ahead to the second and third reports, your goal will be to build on the work already done and to formulate a clear plan of action that focuses on outcomes and assessments. The second report will be, essentially, a first draft of the final report, rather than a separate sequential document. Conceptually, I would like the committee to ask the questions: What will this plan look like in two years? How will we know we have accomplished our goals? From these questions, the committee should be able to frame a set of outcomes and assessments for full implementation that acknowledge the most relevant intersections with other Strategic Directions.

Because budgeting is a significant factor for implementation, the committee should prioritize its recommendations by following the "Decision-Making Matrix" on the following page, which will help establish the goals that are most or least urgent and most or least costly. In terms of format, the second report should begin with an executive summary, followed by revised recommendations that include outcomes and assessments. The total length of the report should not exceed 10 pages.

These are preliminary guidelines for approaching the next round of reports. We will discuss this further at the upcoming Implementation Planning retreat on September 16, which will serve as a kick-off to next year's work.

Once again, I thank you and your committee for your hard work and commitment to higher education in Maine. Already your contributions have begun to make a positive difference, and I look forward to the coming year as the integration of the planning process leads us to full implementation next spring. Please feel free to contact me with any questions or comments

Sincerely,

Joseph W. Westphal
Chancellor

Current Challenges and Concerns Facing Academic Libraries

Scholarly and Scientific Communication
- Innovative new ways of communicating new knowledge using advanced information technologies
- Impact of open access "publishing" and the need to facilitate change in the exchange of scholarly information
- Potential for significant changes in publication process using the World Wide Web
- Need to support parallel paper and electronic methods of knowledge dissemination

Change in Higher Education
- Sustained economic pressure on the entire UMS.
- Pressures to increase distance education and the blurring of geographic boundaries
- Political pressure and need to work beyond traditional UMS boundaries
- Changing needs of long-term learners
- Challenge of integrating information literacy in general education process, across all disciplines

Changing Role of the Library
- Need to redefine library collections and services for the digital era
- Support for an environment that encompasses both print and electronic resources
- Necessity to collaborate with new partners to fulfill the mission
- Libraries forced to compete with private sector for information delivery and retrieval
- Need to preserve the value of research as a process

Information Literacy
- Integration of information literacy skills into the larger curriculum
- Need to understand the economic, legal, and social issues surrounding the use of information, and access and use information ethically and legally
- Need for users to know how to evaluate information and its sources critically
- Need for users to acquire and maintain important life-long learning skills

Technology Infrastructure
- New and changing infrastructure needed for electronic resources
- Operations funding for technical infrastructure to support digital library

Increased Cost and Amounts of information
- Scientific information inflation rate of 12% annually for the past decade
- Rising costs and decrease in publication of scholarly monographs
- Cost of scholarly print publications have been increasing at an annual rate of 7%
- High cost of providing access to (licensing) scientific databases
- Libraries are acquiring a decreasing percentage of the published literature due to increasing costs of digitized materials
- New forms of electronic information are available, needed, and heavily used--and do not necessarily replace paper
- Information needed by faculty and students is increasing exponentially in the sciences
- Interdisciplinary research/new fields of research have increased faculty need for new information

Organizational Culture
- Library, academic, and technological planning often done in isolation from each other.
- Libraries are less integrated into campus and UMS information infrastructure than is desirable
- Tension between campus autonomy and "System"
- Diversity of library users

- Changing information seeking behaviors of newer younger users

Funding
- Lack of funding for inflation and added new academic programs in library budgets
- UMS library allocation funding model does not reflect changes in library functions and responsibilities nor academic program expansion

Human Resources
- Lack of widespread expertise in areas critical to instituting change and adopting new technologies
- Recruitment hampered by low salaries

Information Market Place
- No new business model has emerged for digital information publication costs
- Increasing tendency to price by transaction
- Rapid pace of technology and business change
- Intellectual property law shifting away from "fair use" and in favor of the publisher
- Content providers experiencing difficulty absorbing enormous change into their business practices
- Lack of standards for content
- Open access policies v. information as a commodity (intellectual property rights)