The University of Kansas Libraries

Dreaming with One Eye Open: The State of the University Libraries, 1996-1997

A Report to the University Community

by

William J. Crowe
Vice Chancellor for Information Services
and
Dean of Libraries

<wcrowe@ukans.edu>
 <864-4999>

Introduction

The catch title for this report recalls a phrase attributed to George Santayana. It suggests the dual challenge of envisioning the state of the KU Libraries in the opening decades of the next century and dealing with the realities of today's libraries. How can we meet the demands of an unchanging mission for the KU Libraries in a fast-changing world?

The KU Libraries' mission, at its core, has three elements:

- to provide timely, cost-effective delivery of information to students, faculty, and other users;
- to select, acquire, organize, and preserve nationally significant research collections in targeted areas that will meet not only the needs of scholars here, but also strengthen KU's ability to engage in collaborative partnerships with other major research universities; and
- to offer high-quality reference services and instruction based up-to-date facilities and with staff who promote a welcoming environment for learning.

The environment in which the KU Libraries—with almost all U.S. university research libraries—must operate is marked by:

- a growing transition to use of electronic media for scholarly communication, requiring libraries to provide access to both traditional and electronic sources of information;
- journal price inflation of 8-10% per year, contrasted (in Kansas) with a pattern of increases in collections budgets of 0-2% per year. (Book price inflation is likely to continue at 5% per year. Electronic information price inflation is more difficult to predict, but will likely be similar to that for journals.);
- continuing increases in charges imposed by copyright holders for article-by-article acquisitions, i.e., "document delivery," from sources such as UnCover;
- growing competition for able staff, especially for librarians who are well prepared in traditional disciplines and in the emerging uses of information technology;
- growing needs for instruction of students in skills that promote effective informationseeking and evaluation of the information they find—both from network sources and traditional media; and
- increased commitment among research libraries to cooperate in collection development and "resource sharing."

The balance of this report describes the present state of KU's libraries and offers a look to the future.

THE CURRENT STATE OF THE KU LIBRARIES

This report highlights the KU Libraries' recent principal accomplishments and describes challenges in four areas of vital interest to KU's academic programs. Continued close attention to these issues will mark the KU Libraries' way into the next century:

- * the health of the COLLECTIONS.
- * the adequacy of FACILITIES and EQUIPMENT,
- * progress in applying INFORMATION TECHNOLOGIES, and
- * the effectiveness of the STAFF.

A series of tables appears with this text as an aid to the reader. Especially because of the complexity of the issues, Associate Dean Marilu Goodyear and I welcome questions, comments, and invitations for us and liaison librarians to visit with faculty and students across campus to discuss these and other issues related to the Libraries.

The Libraries plan to offer, in conjunction with Information Technology Services and others, a series of programs during 1997/98 to advance dialogue with faculty and students about the many complex issues that will mark our libraries' future. We especially want to explore the possible consequences of the emerging digital library for teaching, learning, and scholarly communication.

THE HEALTH OF THE COLLECTIONS

What are the causes of the sustained cutbacks in acquisitions? What are the prospects for the budget for 1997-1998? What strategies might we pursue over the longer term?

Why Cutbacks?

The problem is the steady loss of purchasing power of the acquisitions/ information budget because of persistent increases in the prices imposed by publishers and other information providers. We are fortunate in at least one respect this year: The U.S. dollar has risen substantially in value against most foreign currencies. This will soften, but not eliminate, cutbacks.

The amount available to spend on library acquisitions/information at KU since the mid-1980s has risen 64 percent (see Table 1). The trend in the most recent years, however, has been for relatively **small base budget increases** by the state, coupled with **substantial one-time allocations** by the University administration. The latter contributions total more than \$2 million over the last seven years. Still, the budget falls short of meeting cost increases, hence the need for cutbacks.

Particularly hard hit have been **journal subscriptions**. At KU, the average price of a University Libraries' (excluding the Law and Medical Center Libraries) subscription is projected to be **more than \$200 this year**, whereas only ten years ago the average subscription cost less than \$77. *Then*, we purchased some 16,000 subscriptions. *Now*, we purchase fewer than 12,000.

Less noticed, the increase in the cost of **books** also astounds. The average price of a book acquired this year for KU (again, excluding the Law and Medical Center Libraries) is projected to be **more than \$41**, whereas a decade ago the average price was less than \$20. *Then*, we purchased almost 60,000 titles. *Now*, we expect to acquire fewer than 35,000 titles.

Last, it is too early in our experience to predict a pattern of cost inflation for electronic information, which now includes many of the major disciplinary index databases, a number of reference tools, and some full-text journals. We expect that price increases, in time, will exhibit many of the same patterns that have been true for books and journals.

What are the prospects for the 1997-1998 budget?

The issue for the coming year is very serious, even if the Kansas Legislature increases the base budget by the projected 2 percent requested by the Regents and the Governor *and* if one-time money can be made available from the University administration.

For these reasons, the Libraries must continue to have a good sense of academic program priorities in order to determine which subscriptions should be canceled, which databases should be discontinued, and/or in what areas book purchasing should decline. We also must have a sense about any areas of the collections that must especially be protected or even strengthened. Sustained dialogue with faculty, students, and University administrators continues to be vital as the choices become progressively more difficult.

Bibliographers will have completed preliminary discussions with faculty and have tentative plans for 1997/98 in place to share with faculty during April the possible outcomes of such a budget. Discussions about the final decisions must take place with faculty before the end of the semester when the University will issue the coming year's budget.

What strategies might we pursue for the longer term?

Last year, I shared the following information as the basis on which I believe we must plan for the future. I do so again because of this statement's paramount importance.

In 1994, the presidents and chancellors of the major research universities that make up the Association of American Universities unanimously adopted a set of strategies, summarized below, to address issues related to scholarly communication. This statement recognizes that support for scholarly communication is the *raison d'être* of any research university's library.

"Research universities should move away from building and maintaining self-sufficient library collections to building a distributed national collection maintained through new formal cooperative arrangements involving collective funding and shared governance."

- "Universities should create a more competitive and cost-based market for scientific and technological publications by increasing the presence of not-for-profit organizations in STI [scientific and technical information] publishing."
- "AAU should continue to examine new ways of managing intellectual property, including the prospects for university or faculty retention of copyright."

The latter two of these strategies are yet to be addressed systematically at KU, even as we work through several local strategies to anticipate and respond to changes in the nature of scholarly communications:

- Coordinated collection development will become increasingly important as we forge cooperative arrangements with other research libraries in the state and region. This is inherently difficult because all libraries face similar challenges to cut back. KU has been hampered in these types of activities for lack of an online library system that meets today's national standards for the connectivity and interoperability that promote ready, in-depth access to other libraries' holdings. This omission is being corrected this year (see below).
- We continue to participate vigorously in such ventures as the Center for Research Libraries and the "Greater Midwest Research Libraries Consortium" [the "Big 12" libraries and several associated research libraries in the region, including the Linda Hall Library, in Kansas City] to expedite interlibrary lending and borrowing (see Table 4). However, interlibrary lending is slow and costly (averaging \$30—largely in staff costs—per transaction) and can provide only what other libraries—all of which are similarly affected by losses of purchasing power—have acquired and are willing to lend.
- KU continues to experiment with subsidized offering of commercial services to augment interlibrary loan, this year by continued trial use of the "UnCover" service. Among other services, UnCover delivers articles, by fax, from journals not held at KU directly to KU researchers without any requirement for the researcher to visit a campus library or contact Library staff. We will experiment with other such services on an ongoing basis.
- The option of electronic retrieval of the full texts/images of journal articles is fast upon us and will prove increasingly important in many disciplines. KU has put into place within the last two years much of the infrastructure that will permit faculty and students to gain access to such resources. The coming of the Libraries' new integrated online system (see below) later in 1997 will go far toward realizing this goal.

Preservation of the Collections

The richness of KU's research collections demands special stewardship in the interests of advancing scholarship and sustaining discourse in a free society. For that reason, a task force of Library staff last year conducted multiple surveys of the physical condition of the collections in the libraries on the Lawrence campus (except the Law Library and the Spencer Research Library). This was the first such comprehensive physical examination of the collections in two decades.

The surveys were conducted in two segments. One focused on materials returning from circulation, while the second targeted general collections materials from the stacks—in Watson Library and the branch libraries. Following is a brief summary of the survey findings. Unless specified otherwise, percentages represent conditions for the second survey, done in the open stacks collections:

- 66 percent of the volumes in the KU Libraries are printed on acidic paper.
- ▶ 81 percent of all volumes at KU that were printed in the U.S. and northern Europe in the 1990s are printed on acid-free paper.
- 6 percent of KU's volumes contain paper too severely embrittled to survive even a "double-fold test" [the corner of a page fails to survive two folds] (we estimate that about 7,000 such severely embrittled volumes circulate each year).
- ▶ 20 percent of volumes in the KU collections have been defaced or mutilated (rising to 31.1 percent of the volumes returning from circulation).
- 4 percent (over 20,000 volumes) of all items returning from circulation would benefit from commercial binding or rebinding. Currently, the Libraries bind about 12,000 circulation returns a year—60 percent of actual need.
- 4 percent (an additional 20,000-plus volumes) of items returning from circulation, need in-house repair or conservation treatment. Currently, the Libraries repair more than 8,000 items returned from circulation each year—40 percent of actual need.

Our task to preserve the collections is daunting. Soon, we will open our first conservation laboratory in Watson Library and we are recruiting a full-time conservation specialist. That person will work closely with the Preservation Librarian—and all Library staff—to start down this long road. We also are collaborating actively with other libraries in the state and nation in cooperative ventures.

TABLE 1. Library Acquisition and Information Budget, FY86-FY97

The University of Kansas Libraries (excluding the Law and Medical Center Libraries)

	Total Operating Budget*				Boo	ks**			Serials						
	(Base + One-Time Allocation)			Number Acquired			Average Cost			Number Acquired			Average Cost		
		Annual Change	Cumul Change		Annual Change	Cumul Change		Annual Change	Cumul Change		Annual Change	Cumul Change		Annual Change	Cumul Change
FY86 FY87 FY88 FY89 FY90 FY91 FY92 FY93 FY94 FY95 FY96 FY97	\$2,694,268 \$2,759,763 \$2,871,495 \$3,283,711 \$3,554,016 \$3,796,651 \$3,914,428 \$4,058,831 \$4,300,700 \$4,259,051 \$4,249,784 \$4,417,784	2.4% 4.0% 14.4% 8.2% 6.8% 3.1% 3.7% 6.0% -1.0% -0.2% 4.0%	2.4% 6.6% 21.9% 31.9% 40.9% 45.3% 50.6% 59.6% 58.1% 57.7% 64.0%	34,178 40,192 43,733 43,977 43,206 43,577 41,957 37,130 36,852	-33.1% -10.7% 17.6% 8.8% 0.6% -1.8% 0.9% -3.7% -11.5% -0.7%	-33.1% -40.3% -29.8% -23.6% -23.2% -24.5% -23.9% -26.7% -35.1% -35.6%	\$19.38 \$29.22 \$32.06 \$34.80 \$33.81 \$34.42 \$36.72 \$36.97 \$38.70 \$39.11 \$41.05	50.8% 9.7% 8.5% -2.8% 1.8% 6.7% 0.7% 4.7% 1.1% 5.0%		14,288 14,374 14,617 14,376 13,484 13,115 13,053 12,739	-1.3%	-11.5% -10.9% -9.4% -10.9% -16.4% -18.7% -19.1% -21.1%		ACCUSES 100 100 100 100 100 100 100 100 100 10	14.4% 26.0% 35.4% 49.5% 81.6% 87.1% 107.2% 113.4% 136.6% 158.2%

^{*} Includes electronic information, binding/preservation, and postage and delivery charges.

^{**} Excludes maps, music scores, manuscripts, video and sound recordings, and microforms above \$500.

TABLE 2. Staffing FTEs and Staffing Expenditures, FY90/91 - FY95/96*

The University of Kansas Libraries (excluding the Law and Medical Center Libraries)

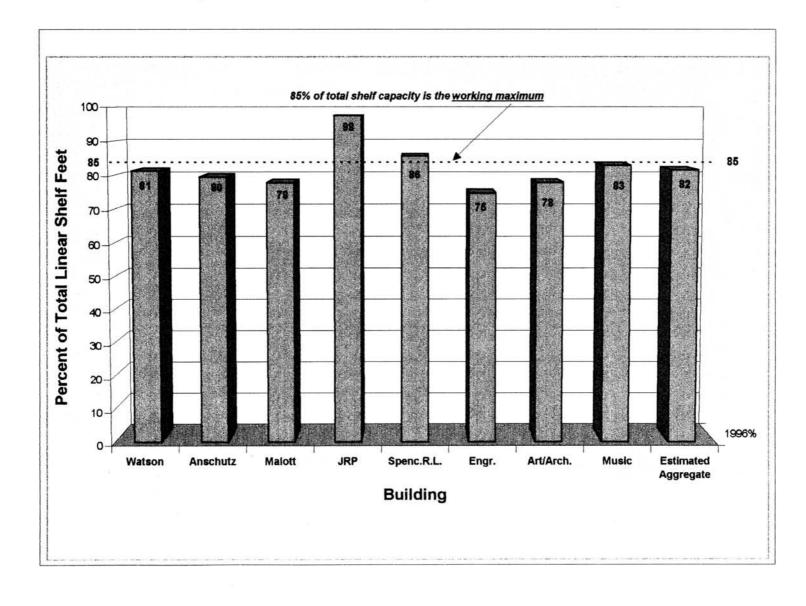
	N	umber of FT	E Staff		Expenditures for Staff				
Annual Subtotals	Professional	Support	Student	Totals	Professional	Support	Student	Totals	
1990/91	81.50	96.65	85.64	263.79	\$2,325,877	\$1,906,359	\$696,461	\$4,928,697	
1991/92	82.50	94.65	83.48	260.63	\$2,429,329	\$1,926,427	\$734,679	\$5,090,435	
1992/93	86.62	93.45	86.90	266.97	\$2,434,120	\$1,966,143	\$778,384	\$5,178,647	
1993/94	81.65	94.00	89.00	264.65	\$2,284,889	\$1,946,319	\$787,208	\$5,018,416	
1994/95	74.37	90.50	80.70	245.57	\$2,313,257	\$1,982,209	\$733,098	\$5,028,564	
1995/96	66.65	82.50	89.60	238.75	\$2,411,461	\$1,906,008	\$838,551	\$5,156,020	

	N	lumber of FT	E Staff		Expenditures for Staff			
1990/91 vs. 1995/96 Totals	Professional	Support	Student	Totals	Professional	Support	Student	Totals
Total Gain or Loss	-14.9	-14.2	4.0	-25.0	\$85,584	-\$351	\$142,090	\$227,323
Percentage Change	-18.22%	-14.64%	4.62%	-9.49%	3.68%	-0.02%	20.40%	4.61%

	N	umber of FT	E Staff		Expenditures for Staff			
Comparison Averages	Professional	Support	Student	Totals	Professional	Support	Student	Totals
1995/96 Midwest AAU	97	170	107	374	\$4,241,951	\$3,696,958	\$1,152,782	\$9,091,691
1995/96 Regents Peers	78	125	75	278	\$3,155,074	\$2,857,940	\$761,702	\$6,774,716

*NOTE: Excludes FTEs and expenditures for grant-funded positions

The University of Kansas Libraries (excluding the Law and Medical Center Libraries)



-10-

TABLE 4. Interlibrary Loan and Document Delivery Requests Supplied, FY86-FY96

The University of Kansas Libraries (excluding the Law and Medical Center Libraries)

Year	Requests	Percent Change (+/-)					
	Supplied	Annual	Cumulative				
FY86	11,321						
FY87	11,425	0.9%	0.9%				
FY88	11,860	3.8%	4.8%				
FY89	12,276	3.5%	8.4%				
FY90	12,200	-0.6%	7.8%				
FY91	11,198	-8.2%	-1.1%				
FY92	10,684	-4.6%	-5.6%				
FY93	12,411	16.2%	9.6%				
FY94	13,177	6.2%	16.4%				
FY95	16,734	27.0%	47.8%				
FY96*	18,385	9.9%	62.4%				

*NOTE: Includes unmediated KU UnCover requests.

THE ADEQUACY OF FACILITIES AND EQUIPMENT

Lack of space for growing library collections bears down hard on much of the work done at the University, but the need to develop up-to-date space in campus libraries for students and faculty—and staff—is equally serious.

This year, growing collections will have outstripped the available maximum working shelving capacity across campus (see Table 3). This situation is all the more serious because it exists after every effort has been made to use existing space. The "pleats have been let out" and the collections are gradually displacing seats for readers. In a limited number of campus library locations, the installation of compact moveable shelving may allow some time to absorb the growth of the collection. But the amount of time that this strategy offers is small—a few years at best.

Planning is well underway for the new Gorton Music Library in the addition to Murphy Hall. This new space promises appropriate housing for important collections, including a variety of audio and video materials. However, the total additional space called for in this one branch library is very small, given the immediate and long-term needs facing the Libraries overall.

The potential for use of space in the lower two floors of Budig Hall (now unfinished) may serve as a short-term stop-gap to help deal with collection growth. This will include the need to relocate the 140,000 volumes removed from Watson's overflowing stacks in 1994 and stored since then in closed stacks in the basement of J.R. Pearson Hall. This is the first time that we have had to resort to such storage on the Lawrence campus in a generation.

There is a limited amount of space in the Libraries for use by students and faculty—in groups and as individuals. There are far too few studies, too few carrels, and too few seminar rooms. Students and faculty must be able to learn from each other in the presence of books, manuscripts, and network-based information. Teaching and learning cannot be fully supported in a university whose libraries lack such facilities.

PROGRESS IN APPLYING INFORMATION TECHNOLOGIES

The KU Libraries, in partnership with Information Technology Services, are installing this year a state of the art, integrated online library and information system. This system will provide much improved access to KU's own online library catalog records, including for the first time in one system the holdings of the KU Law Library, the libraries of the KU Medical Center, and significant portions of the holdings of the Kenneth Spencer Research Library.

The new system also will make it possible for faculty and students to gain much easier access to KU-based and remote networked information resources beyond our catalogs. We plan to name the system KUILS ("KU Interactive Library Systems") and hope to persuade the community to pronounce it "quills."

KUILS will provide, among other features, the following functions:

- online access to KU's library holdings, including long-awaited keyword and Boolean searching capabilities;
- interoperable search and retrieval connections to other libraries' catalogs;
- online access both to locally-mounted and remote reference citation and abstracting databases for most disciplines, full-text databases, and image databases; and
- related library service functions, many of which will be expanded within the next 18 months to enable individual faculty and students to execute some transactions directly, such as circulation, reserves, and interlibrary loans.

The entire University of Kansas community, as well as other Kansans who use the KU Libraries, will benefit from the capabilities of the new system, as will scholars throughout the world. Remote access to KU's online catalog, in particular, will be improved substantially.

A cautionary note: Even with this progress, many catalog records for works processed before the 1970s will be accessible only by searching card catalogs on site. "Retrospective conversion" of these card-based records to computer-readable form is ongoing, with some 20,000 titles being changed on average each year. Without added funding, this important task will go on well into the next century.

If we had not moved forward with this system built to national standards, it is likely that the KU Libraries effectively would have been isolated from much information being provided from other libraries, many scholarly societies and publishers, and commercial and government information providers around the world.

THE EFFECTIVENESS OF THE STAFF

The staff continue to be the Libraries' greatest asset in all that can be accomplished for KU. It is for this reason that the salary levels for librarians and other staff are such great cause for concern. A pattern of several failed searches, the departures of some of our most talented people, and the impending retirements of several others jeopardize the Libraries' work in several critical areas. This situation places growing stress on the remaining staff as they attempt to sustain operations and services.

Classified staff are stretched especially thin (see Table 2), particularly in areas where there has been substantial growth in use of library services (interlibrary loan and the Regents Center are only two examples). Even the critical need for student assistants to deliver basic library services is not adequately met. The additional pressure of federally-mandated minimum wage increases (an increase

of 21% between 1996 and 1997) may limit not only library hours of opening, but also many day-to-day library services on which the entire KU community depends.

Continuation of staffing at these reduced levels will have significant negative consequences for KU. The Libraries' very ability to ensure the smooth flow of processing for materials being added to the collection, such as check-in of journal issues, is jeopardized. Such basic services as timely shelving and re-shelving of volumes will become compromised.

There is a very real threat to the continued wise development of collections and the shaping of innovative services needed by scholars and students. As we lose capable librarians and are not able reliably to attract successors, we put much at risk.

INTO THE NEXT CENTURY ...

At the beginning of this century, the KU Libraries left behind the often ad hoc arrangements of KU's 19th century libraries. Carrie Watson, an energetic and decisive librarian, sought out the best thinking—locally, nationally, and internationally—to build a library collection that would encourage in KU students "a taste for reading." Miss Watson was determined—at times in the face of resistance from some who were wedded to the old ways—to provide both a collection of good books and a modern library building in which students and faculty could consult that collection. She recruited knowledgeable staff who were committed to help students and faculty. Her legacy is the strength of KU's basic collections, the much remodeled main library that bears her name, and the tradition of active library service we continue to promote.

At mid-century, KU's libraries changed once again. This transformation was accomplished thanks to the work of a group of extraordinary leaders, notably Chancellor Franklin D. Murphy; a great library director, Robert Vosper; a host of energetic librarians and faculty members; and some great benefactors. Again, change was accomplished with some resistance from people who could not accept that a university on the edge of the prairie could possibly assemble great collections of primary research materials. The naysayers and skeptics were proved wrong.

Vosper's and Murphy's vision was carried on through another generation—into the administration of Chancellor Gene A. Budig and the tenure of my immediate predecessor, Dean Jim Ranz. Their work, too, was carried on in active partnerships among library staff, teaching faculty, and benefactors. Once again, there were some who doubted that KU could continue to sustain libraries of high quality. They were proved wrong.

Today, we work to maintain the dreams of those who came before us - to help students learn independently *and* to support advanced study and research. It is our challenge to put into place the foundations for a **third stage** of development for KU's libraries to assure that we can continue to do so.

We must participate actively in national and international efforts to build a "digital library," a library of libraries that spans the world. This library is struggling to be born. As before, there is natural skepticism expressed by some about the wisdom or the affordability of a new direction. I suggest that we have no choice but to press ahead if KU is to remain a university of the first class.

What strategies should the Libraries pursue to fulfill its unchanging mission in this new era? I believe that we must:

- continue to experiment with new information and telecommunications technologies;
- target funds carefully to build and preserve focused research collections in areas that sustain KU's ability to enter into cooperative arrangements; and
- demonstrate our continued commitment to inculcate in students "a taste for reading" and promote unfettered exploration of recorded knowledge for all.

A FUTURE "STATE OF THE KU LIBRARIES" REPORT ...?

What might be the content of a future "state of the library" report, perhaps one issued in 2006/2007?

... for collections:

- Paper-print publications will continue to predominate in almost all disciplines, with significant electronic information available, especially for undergraduates.
- Costs of information will have continued to escalate, but at a lower annual rate of increase.
- The AAU and some scholarly societies will have promoted a not-for-profit alternative electronic publishing enterprise to which many of the best editorial boards and editors will have migrated.
- The challenges of preserving deteriorating paper collections will show early signs of being met, including national cooperation in using digital technologies to produce durable electronic versions of deteriorating paper records.

... for facilities and equipment:

Space for growing traditional collections will continue to be a serious issue, as paper-print collections will continue to grow. Real progress will have been made in the following areas:

A new music library in the Murphy Hall Addition will be well into its first decade of life.

- The lower levels of Budig Hall will be finished.
- Compact-moveable shelving will have been installed in the Murphy Art and Architecture Library and the Spahr Engineering Library.
- The upper floor of the Spencer Research Library will have been finished, with an upgrading of the entire building's security, electrical, and environmental systems. Compact-moveable shelving also will have been added.
- Watson Library's diamond jubilee, observed in 1999, will have marked the opening of a campaign to renovate that core library. The last renovation ended in 1982.
- A secure archival record and book depository, with reading room, will have been built on the West Campus to house lesser-used portions of the research collections that are at risk of deterioration. A state-of-the-art preservation facility, including a digitization service, will be located here.

... for information technology:

The online systems installed in 1997 will be nearing the end of their useful life and a new generation of systems will be under active consideration. Faculty and students will have become accustomed to an environment in which they can:

- have transparent access to the most relevant information by consulting local and remote library catalogs, citation and abstracting databases, and electronic resources generally;
- transfer bibliographic citations into electronic requests or orders;
- pass requests or orders through the library online system to determine the availability of an item at KU;
- depending on the individual's choice and current policy, direct the request or order for items not held at KU to one of a range of suppliers, including commercial or library document delivery suppliers or to KU's or a remote library's interlibrary loan/document delivery service;
- communicate electronically with the chosen supplier; and
- receive print materials, multimedia, data or full text/full image copies of documents directly at their desk or workstation.

... for Library staff

Staff will have been replenished with a new generation of people from diverse backgrounds. They will continue the KU Libraries' tradition of understanding the timeless work of scholarship, be familiar with methods that promote active learning by students, and value and respect people from all parts of the world.

Staff will have been supported in developing advanced skills in selecting, organizing, and disseminating recorded information in both traditional and emerging technologies through an active program of staff development that promotes continuous learning.

CLOSING

The vision of Miss Watson's and Mr. Vosper's times will have been sustained and strengthened. KU's libraries will continue to contribute significantly to the development of the life of the mind—on the Hill, across Kansas and the nation, and around the world. The KU Libraries will enable students and scholars to dream about the future *and* carry on the day-to-day work of teaching and learning in a setting that promotes unfettered access to information.

Be not the first by whom the New are try'd, Nor yet the last to lay the Old aside.

-Pope