



*Welcoming opportunities
& meeting challenges:
the new Swem Library
moves forward*

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Swem Library's Environments 2004

The world of libraries during the past several years has been an example of the “butterfly effect” in chaos theory: gradual and subtle (and sometimes not-so-gradual and subtle) changes in one aspect of operations create major environmental shifts somewhere down the road. Swem Library’s current and uncertain environment is the result of changes, over time, in the financial, technological, social and academic worlds in which Swem dwells. This report is a snapshot of Swem’s current situation and presents goals and strategies for ways in which Swem can best meet the challenges presented by the environment during the next two years. Swem Library will ultimately need to take some risks in developing new and perhaps radical approaches to fulfill its mission of “actively participating in the teaching and research missions of the College of William and Mary by providing services, collections, staff, and facilities that enrich and inform the educational experience and promote a lifelong commitment to learning.”

Swem's Economic Environment:

As stated by the Association for Research Libraries, “institutions of higher education will experience a significant, long-term loss of budget and purchasing power over the foreseeable future” (ARL Bimonthly Report #234, June 2004). Contributing to this trend of decreasing purchasing power is a continuing 6 to 12 percent annual inflation rate in the price of journals, necessary investments in technology to support delivery and access to resources, a shortage of trained librarians due to the “graying” of the profession, fewer persons entering the profession, and relatively low salaries for librarians in general.

Swem Library is affected not only by these national trends, but also by the need to support a new building. The library’s situation is exacerbated by the financial problems of the Commonwealth of Virginia and in turn of the College of William and Mary. The Commonwealth has only begun to recover from recent budget deficits, in which higher education was particularly hard hit. Although current and six-year state financial plan projections do not indicate reductions for higher education spending in Virginia, the funding outlook through 2010 is relatively flat, barely keeping up with inflation. Although the College currently receives only 18 percent of its income from the state, those state funds include a significant percentage of Swem Library’s operating income.

Swem Library has suffered during the past several years from regular, sweeping, and deep budget cuts. The FY 2004 materials budget was less than that of FY 1997. Library staff have either received no raise in salaries, or any raises available have consistently been less than for faculty on campus. To address this continual underfunding, Swem Library has placed a new emphasis on supplementing its operational and materials budgets with private funding. A library development officer was hired in 2002, and the Dean continues to devote an ever increasing amount of time to fundraising. During the current Campaign for William and Mary, the Library hopes to raise at least \$17 million in private funds by 2007. These funds are earmarked to support library collections and services, including special collections, technology, preservation, and media.

Swem library benefits financially and programmatically from its participation in VIVA, the Virtual Library of Virginia, which provides access to electronic resources to all public institutions of higher education in the state. VIVA has received nearly \$2 million in additional funding over the next two fiscal years, which will in turn provide Swem with new electronic products and the possibility of canceling locally-held subscriptions of duplicated resources.

In response to state budget shortfalls, William and Mary's Board of Visitors has attempted to address the budget situation using a five-year strategic investment plan. This plan has provisions for increases in salaries for all levels of staff, and additional monies for the core operations of the College. Included in the five-year plan is additional funding for Swem Library in each fiscal year beginning with 2004-2005, to cover two new staff positions and an increase in the materials budget. This projected increase to the materials budget does not cover inflation of costs for books and journals, so the library will still realize a decrease in purchasing power. There is no guarantee that any of these funds will materialize.

As a longer-term solution to state funding difficulties, the College has joined with the University of Virginia and Virginia Tech to propose a new organizational initiative to the state legislature. The three participating universities are proposing a "charter university" status, giving them more local control over financial operations. Some significant features of the plan include:

- a more stable and flexible budgeting process, giving the College the ability to make long-range planning decisions;
- governance by William and Mary's Board of Visitors, including the right to control its own money and its own purchasing policies and decisions; and
- the possibility of new job classifications and structures, along with the ability to enhance salaries and benefits

This proposal will go before the General Assembly in the near future, although its approval is uncertain at this time. The earliest possible implementation date is July 2005. Whether or not the charter university status is approved, it is unlikely that the proposal will have any immediate effect upon the operations of Swem Library during the period covered by this report, 2004-2006. However, the planning and budgetary implications of the charter system must be taken into account for medium- and long-term planning.

Swem's Research and Learning Environment:

Despite William and Mary's recent ranking as a low 124th in the nation among public universities in terms of financial resources, it continues to be ranked 6th in overall quality of education by U.S. News and World Report. The Class of 2008 profile reveals that 81% of entering freshmen were in the top 10% of their high school graduating classes, and their average SAT score (1305 combined) is higher than that of any other Virginia institution. The intelligence and ability of William and Mary undergraduate students will make the College a prime mover in the new research initiative for state institutions, a priority for policy makers from the Governor of Virginia

to the new Vice Provost for Research and Graduate/Professional Studies and the new Dean of the Faculty of Arts and Sciences.

However, modern research does not fit the old model of the individual at work alone in the lab or in the library stacks. Collaborative research among students, or among students and faculty at different locations on or off campus, requires meeting spaces with sophisticated and secure technology available for sharing research in progress and related applications. The renovation of Swem Library has provided an excellent centralized location for collaboration on campus. Nevertheless, students and faculty, who expect instant access to information from anywhere at any time, view the library as a portal as well as a building. Access for researchers to an expanding menu of electronic resources is essential.

Swem Library's primary role is to support the teaching and research missions of the College. This has at times been difficult since Swem has traditionally had little or no input into the development of new programs and courses, or the enhancement of existing programs and fields of study. During the next several years, traditional undergraduate and graduate programs in Arts and Sciences and the School of Education could grow by 125 undergraduates and 150 graduate and professional students under the Charter University proposal. Few new programs will be initiated, but growth is expected in Applied Science, Public Policy, English as a Second Language, School Psychology, and International Studies. There is also a trend toward more interdisciplinary study. Researchers need access to journals that may reside outside their traditional fields of study, making it necessary for Swem to collect in new and developing subject areas. There are increasing numbers of William and Mary students studying abroad; the program has tripled in the last five years, and the College has committed to supporting this initiative. While abroad, students will need support for their research, including interlibrary loan services and document delivery.

Faculty at William and Mary are recruited from academic institutions of the highest rank. They have used outstanding libraries in the places in which they received their graduate training and expect Swem to be comparable. The demands that the College places on the faculty to undertake quality research in addition to teaching means that they need resources readily available at all times, not just when the building is open. The faculty in turn have high expectations of the quality of papers produced by their students. Faculty members in general are avid library supporters, although some appear unaware of resources and collections that might be valuable for their research and teaching. Some faculty may be disdainful or possibly wary of electronic resources.

Students and faculty from other universities in the area use Swem Library and its collections, and other visitors including local residents and genealogists from across the country also conduct research here. Swem Library must consider these users as a potentially valuable part of their patron base in terms of financial support. Participants in programs like Elderhostel and the Christopher Wren Association, and genealogists who consult Swem's and the Colonial Williamsburg Rockefeller Library's holdings, are all potential donors, as are other community members. Students from nearby Christopher Newport University and Thomas Nelson Community

College (soon to build a campus in Williamsburg) are also possible allies in the quest to expanded resources. Resources and privileges that benefit these users could also benefit the larger William and Mary community.

Swem's Social Environment:

The social environment of Swem encompasses both the physical environment of the building, and the human environment of patrons and staff. The attractive new building and renovation, to be completed and dedicated in February 2005, includes an Information Commons, Starbucks, ample individual study space, and numerous group studies. Students currently report coming into the Library about once a week and staying for hours at a time to study or meet. Student focus groups suggest that Swem has become the primary place to study on campus, and this is evident to staff as the Information Commons quickly fills to capacity soon after opening every day. In addition, the building of a new large dorm in Barksdale Field and a new parking deck near the library will assure that building use continues to increase dramatically.

Demand for additional services housed within the library is also expected to increase over time. Starbuck's and the twenty-four hour study lounge are heavily used. The IKON printing and duplicating service center in Swem, currently operating with limited hours, may have to expand hours to satisfy the university community. The renovated building is a showplace for Admissions Office tours and a meeting place for student and faculty groups. The planned new Media Center will also bring more, and possibly previously unserved, students and faculty into the library. Other new services like the Writing Center and the History Writing Center, which need to be open to students after 5:00 pm, may seek out the library as a convenient central location. Increasing numbers of patrons will mean significant wear and tear on the building, its equipment and its collections. The increase in the volume of people in and out of the building also indicates a need for more security for staff, patrons and collections.

As the building renovation nears completion, the issue of staffing and salaries resurfaces. Staff numbers are not sufficient to support the demands of the newly renovated building and the demands of increased emphasis on research and collaboration on campus. A comparison of Swem Library staff with our peer institutions reveals that our percentage of library staff to total university enrollment is low. In recent years, Swem has actually lost staff positions from cuts during difficult budget years. Specific areas that may require additional staff are Special Collections, the new Media Center, grant writing, financial management, public relations, technology support and training, and building security, among others. Building cleaning and maintenance are also important issues. A new and larger building means a heavier demand for custodial services. Housekeeping staff are not now available in the evening and on weekends, times of high library use. More and better-paid student assistants are also necessary to keep a larger and more active building running smoothly. Staffing the larger library may require private funding.

With or without new staff, the recently conducted Swem Library climate survey revealed that the organizational structure of the library is an issue, especially with new services and new areas of

emphasis on campus. The report showed that staff members are not comfortable with the current reporting structure in the library. The present structure seems to limit communication among staff, and affected staff may not be consulted before decisions are made, or their opinions are discounted in the decision-making process. Staff currently have limited ways to seek variety and intellectual stimulation on the job, such as cross-training and a career path for movement into new positions.

Swem staff members are dedicated to the library despite years of working for inadequate compensation and putting up with the discomforts of construction. However, low salaries have become a major issue. Again, comparisons with our peer institutions reveal that Swem librarians, while having the most years of experience, are paid the least. Support staff with significant years of experience are also paid at levels well below staff in some peer institutions. These factors may cause experienced staff to seek other employment. Retirements are likely at all levels within the next few years. Swem will not be able to fill these positions with qualified staff at current salary levels.

Swem's Technology Environment:

Technology affects the economic, academic and social environments of Swem Library. Technology in one form or another has become integral to the support of projects central to the mission of the library and of the College. Whether providing information needed to access the library's collections, providing access to the material itself, or even creating that material, today's technological innovations profoundly impact the services that the library can provide to its patrons. If the library is to continue to serve as the intellectual heart of the College then it is imperative that its technological underpinnings be as state-of-the-art as possible.

The current technology environment within Swem Library can be divided into two distinct entities: technologies aimed at the academics of the College, and technologies for internal business. Regarding academic technology, with the opening of the Information Commons, the number of computers in the building has increased by 280 percent since 2001. Wireless networking is available in about 90 percent of the building. Swem supports reliable high-speed printing, which at peak times of the semester can run over 100,000 pages per week. With the addition of the learning center in the Information Commons, Swem has expanded its capabilities for bibliographic instruction with supporting technologies like DVD and VHS capabilities, a digital overhead projector, LCD screen projection, and a sound system. The planned Media Center will serve faculty and students in creating and editing multimedia with a dedicated lab. Also in this Media Center will be an extension of the language labs on campus, providing students with a centralized place on campus in which to practice foreign languages. Completing the Media Center will be the movement of the videos currently housed in the Charles Center to the library.

Swem has made every effort to make the research experience as productive as possible. It has taken a leading role in serving students both on- and off-campus by providing online resources and services. And while LION, the online catalog, provides access to many of the Library's resources, depending on one's research area a search for resources may need to be done multiple times in multiple places. A more seamless approach to obtaining information is critical to providing the best service to faculty and students. The library has immediate plans to move

closer to this goal by providing LION with a facelift in the near future, not only in look and feel, but also in functionality.

The library currently has a wealth of information in various microform formats. While online sources are preferred, much of this information simply is not available in other formats or is very expensive to replace in a digital format. Simply put, the use of microforms is not going away, and this collection must be usable and accessible for the indefinite future.

The business technology in Swem Library supports the day-to-day activities of the library staff. The library has made a great commitment to ensuring that its staff have up-to-date equipment to perform their jobs. Currently the majority of the automation budget is tied to computer leases for library staff, but an unresolved issue is computer equipment for part-time staff and student workers in the library. Additionally, the current library information technology staff has been stretched to its limit in supporting library operations. As problems arise, library staff have had to exercise more patience as they wait for technology staff to troubleshoot problems and to provide training.

Swem Library's Goals 2004-2006:

The snapshot of Swem Library's environment was based on hours of interviews, research and discussion by the Swem Strategic Initiatives Task Force, from the period June 9 through September 30, 2004. Staff, patrons, and administrators were offered the opportunity to discuss current conditions and future directions for Swem and for the College of William and Mary. Five major areas of concern became clear to the group in the course of these discussions:

- ◆ Collections, including acquisition of necessary materials and access to those materials;
- ◆ Building, including the physical plant itself and security for collections and people;
- ◆ Technology, including access to resources and the ability of staff to do their jobs;
- ◆ Administration, including internal organization, external communications and stewardship of resources; and
- ◆ Staff, without whom there would be no Swem Library.

Goals are outlined for each of these areas. Each goal is accompanied by suggested strategies. Although choosing and prioritizing these goals for 2004-2006 will fall to others at Swem Library, the Strategic Initiatives Task Force has included as part of this report a template planning chart for listing strategies including priority level, cost, time frame, and funding sources. There is also a column in the template for indicators of success. The task force strongly recommends that measurement and evaluation are included in the planning process for each strategy undertaken.

There are many challenges yet many opportunities for Swem Library as we move through the next two years and into the decades ahead. The Swem Strategic Initiatives Task Force presents this report as a first step towards meeting those challenges and establishing Swem Library as not only a participant but as a leader in the teaching and research missions of the College of William and Mary.

Collections

Evaluate, collect, organize, and preserve the materials necessary to support the teaching and research missions of the College. Collect materials in a variety of formats, and provide, maintain, and update appropriate hardware and/or software to utilize these materials.

- ◆ Provide materials in necessary formats to support current and future teaching and research needs; provide increased support for academic areas expected to grow, and provide support for new faculty, new courses, and new programs

- Add new electronic resources for teaching and research

- Provide web access (rather than print or CD-ROM) when available

- Replace materials in obsolete media or where access is hindered by aging or unreliable equipment with web access to those materials

- Digitize and provide convenient access to unique resources held by Special Collections

- Investigate possibility of digitizing William and Mary dissertations

- Encourage university membership in organizations which enable and encourage faculty to publish in peer-reviewed open-access journals

- Strengthen the role of library liaisons to departments in developing collections

- Create a formal method of assessing the library's ability to support new courses and programs

- ◆ Provide exceptional services to ensure easy access to the library's many and varied collections

- Increase user knowledge of the library's holdings and services

- Expand library instruction offerings
 - Create online tutorials
 - Strengthen instruction and communication role of library liaisons to departments
 - Provide new avenues of support for international students and William and Mary students studying abroad



◆ Provide exceptional services to ensure easy access to the library's many and varied collections (continued)

Provide a seamless, user-driven web interface for collections and services

- Improve search capabilities of online catalog and Swem website
 - Implement a federated search system providing comprehensive integrated access to the online catalog, available electronic resources, and locally-created digital collections
 - Utilize a link resolver system to facilitate user access to full-text data from bibliographic citations
 - Enable searching of related content throughout Swem's website
 - Utilize a content management system to ensure frequent and easy updating of web pages

Make the online catalog reflect actual holdings of materials

- Inventory collections and update catalog
- Reduce backlogs
- Investigate radio frequency identifier (RFID) technology to streamline circulation and inventory

Provide electronic access to collections for alumni and donors

Address Americans with Disabilities Act (ADA) compliance issues to ensure accessibility to collections and services for all users

Provide 24/7 delivery of materials in electronic format

- Investigate commercial document delivery providers

Provide 9-5 delivery of print materials to users on campus

- Increase staff and equipment to handle increased workload

Offer user-friendly access to equipment and facilities in Swem and branch libraries

- Use booking software for Media Center, media wall, Learning Center, and other resources

Provide ample and up to date equipment for working with the library's collections

- Upgrade microform equipment to provide better viewing, printing, and scanning capabilities
- Furnish the new Media Center with the appropriate equipment for viewing and editing media
- Replace, maintain, and update computers on a regular basis

Building

Maintain an aesthetically pleasing, secure, and user-friendly building that meets the current and future needs of the College.

- ◆ Evaluate building hours on a regular basis, including Special Collections hours
 - Survey faculty, students and other scholars
 - Analyze usage statistics
 - Consider opening only parts of the building at certain times
- ◆ Improve custodial services
 - Establish a staggered workforce (evenings and weekends) to cover the needs of the building
 - Hire custodians as part of library staff
- ◆ Replace furniture as it becomes worn, damaged or outmoded
- ◆ Rotate art selections in the library
 - Ask Art Department to use the library to display senior art
 - Establish fund to purchase student artwork
- ◆ Contract horticulturist to care for and replace plants
- ◆ Establish schedule for painting and for replacing carpet as needed
- ◆ Endeavor to make the library ADA friendly
 - Upgrade all patron accessible doors to ADA standard
 - Improve special needs parking
 - Provide door-to-door transportation for disabled patrons from Muscarelle parking lot to Swem
- ◆ Request designated spaces in new parking deck for library patrons and staff
- ◆ Work with auxiliary services in the building to increase their hours of operation
- ◆ Provide IT help desk support during Swem hours of operation
- ◆ Designate rooms and equipment for collaborative research



◆ **Maintain a safe and secure environment for patrons, staff and collections**

Hire additional security staff

Install alarm system

Secure crime prevention consultant to conduct a security inventory and make recommendations

Establish a safety awareness program for staff

Establish procedures and schedule for changing door codes

Install public address system

Purchase defibrillators and train staff in their use

◆ **Make Swem Library the center for research and learning on campus**

Open the Learning Center and other classroom facilities in the library for use by students and faculty

Bring other learning organizations on campus into the library, such as the Writing Center, History Writing Center, Graduate Center and University Teaching Project

Equip group studies and classrooms with equipment and technology to encourage collaborative research and presentation

Combine IT and library service desks into a central location at Swem Library

Encourage and support collaborative projects between faculty, administration and Swem staff

Investigate possibilities for a center on campus to advise faculty and students on copyright issues and plagiarism prevention

Explore the role of institutional repository for Swem in order to manage and make accessible the scholarly digital materials created by William and Mary and its community members

Technology

Maintain existing technologies within the library and explore avenues for integrating new technologies into the research and learning environments.

- ◆ Develop and maintain a replacement/upgrade schedule for computers, software, microform and other equipment housed within the library

- Continue funding of staff computer leases for three year terms

- Increase number of new computers for student and part-time workers

- Lease Windows based servers for the library

- Explore movement of SIRS software to Linux based servers

- Publicize computer replacement schedule to staff

- ◆ Plan for future building technology-related upgrades and changes, including network wiring, wireless networking, and technology furniture

- Create a committee to investigate the effects of required laptops for entering students

- ◆ Fully integrate with campus core technology infrastructure

- Upgrade Workflows backend to Oracle

- Single login with integration with myWM portal

- Increase integration of library resources within Blackboard



Administration

Provide visionary leadership, fiscal responsibility, stewardship of resources, and organizational strength to support the mission of Swem Library and the College of William and Mary.

- ◆ **Establish and maintain financial and budgetary procedures that protect the interests of the library and provide funding to support its mission**
 - Establish calendar for making budget requests, in accordance with university budget cycle
 - Use past data and future trend prediction to project needs in all areas, including equipment, technology, furnishings, staff, collections and supplies
 - Include depreciation and replacement of assets (computers, furniture, art, etc.) as part of budget plan
- ◆ **Appoint library financial officer to oversee budget process**
 - Establish financial committee within the library to monitor spending and to prepare budgets
 - Seek input from all library departments and involve all staff in the budget process
- ◆ **Investigate zero-based budgeting process to reallocate funds based on current needs and priorities**
- ◆ **Seek collaboration between Swem and other on- and off-campus entities in order to obtain funding**
 - Develop consortial relationships with other libraries and organizations
 - Seek grant opportunities including collaborative projects
 - Work with development officer to identify needs that could be privately funded
- ◆ **Establish assessment measures that assure performance accountability**
- ◆ **Increase university awareness of library financial needs**
 - Propose university policy to seek library input and collections funding in support of new courses, programs and fields of study
- ◆ **Increase awareness of charter university proposal and its effects**
 - Establish committee to study the effects of the charter university proposal on library operations
 - Develop consortial relationship with other charter university libraries

◆ **Change organization to improve communication and efficiency**

Hire staffing consultant to examine the organizational structure and compare it to other libraries of similar size and mission

Consider units or teams with like services grouped together (i.e., a Public Services unit)

Investigate zero-based staffing to reallocate staff based on current needs and priorities

◆ **Evaluate the continued need for branch libraries in light of upcoming building renovations**

Provide electronic access to branch library collections if available

Seek library input in planned building renovations



◆ **Achieve an ADA friendly environment**

Address ADA compliance issues to ensure accessibility to the building, collections and services for all users

Seek input from users regarding ADA friendliness

Hire outside consultant to evaluate the library's ADA status

Appoint a library staff member as ADA oversight officer

◆ **Plan for disaster preparedness and recovery**

Appoint a disaster committee for the library with individuals responsible for the areas of building, collections and staff

Prepare procedures for before, during and after emergencies such as hurricane, tornado and fire

Conduct staff emergency training on a regular basis, including first aid, CPR, and fire extinguisher use

Conduct a preparedness survey for Swem Library and for Swem Off-Site Stacks (SOSS)

Staffing

Develop and retain knowledgeable and sufficient staff to maintain high quality services.

- ◆ **Increase incentives and benefits for staff at Swem**

- Offer competitive salaries to attract and retain quality staff

- Devise plan to increase salaries

- Develop formal training program to help staff develop skills, including teaching and management skills

- Offer a clearly defined career path at all levels

- ◆ **Recruit and retain quality student assistants**

- Investigate increasing student worker pay scales

- Compare Swem student salary rates to other campus employment opportunities

- ◆ **Hire or assign staff to work in areas that need attention**

- Appoint financial officer

- Appoint grants officer

- Appoint a public relations coordinator to oversee internal and external communications

- Appoint ADA oversight officer

- Hire electronic services librarian to deal with licensing issues

- Hire custodians who will work for the library only

- Hire additional security staff

- Hire staff to develop new Media Center and maintain microforms area

- Hire technology trainer

- Hire systems technician to handle increased workload

- Increase Special Collections staff

- Increase Circulation staff to deal with the needs of a much larger building and to avoid staff members being in the building alone



