

Proposed Initiative: *Academic Libraries of Indiana*

On behalf of the Board of Directors of the Private Academic Library Network of Indiana (PALNI), we respectfully request that Lilly Endowment Inc. consider a four-year grant of approximately \$26 million to support a groundbreaking partnership among the libraries of Indiana's accredited non-profit public and private colleges, seminaries and universities. Through seven key projects, this unprecedented collaboration will significantly enhance teaching and learning, address critical unmet needs in higher education, and leverage the considerable academic, financial and creative resources presently available.

Thanks to generous support from Lilly Endowment, PALNI initiated this planning process in the fall of 2001 to explore opportunities for cooperation and resource sharing. The specific objectives for this process were to:

1. Ascertain short and long-term needs of academic libraries in Indiana;
2. Evaluate existing partnerships and collaborative ventures in Indiana;
3. Identify best practices and models in other states;
4. Assess the technological, political, and economic factors that impact cooperation;
5. Identify potential solutions and partnerships that enhance learning and teaching; and,
6. Develop a technological, political and economic plan to develop these partnerships.

Inspired by the potential enhancements to scholarship, preservation, access, and both operational and economic efficiency, six planning taskforces representing diverse academic settings have worked tirelessly for the past year to analyze academic needs, review trends and formulate potential solutions.

A striking vision has emerged from this process -- one that articulates an inter-related and dynamic response that supports teaching, learning and research in Indiana's 73 institutions of higher education, which range from small private schools of less than 100 students to large public universities of more than 50,000 students. Managing this strategic cooperation will be a new nonprofit organization called the Academic Libraries of Indiana (ALI).

ALI projects will address the rapidly shifting trends in teaching and learning within higher education. These include new curricular and research trends, changing classroom and academic technologies, the addition of web-based course management software, expanding network bandwidth support needs, shifting scholarly communication models, and new faculty and student expectations. The need for an *improved information infrastructure* that simultaneously provides *improved information content* is critical for all Indiana academic libraries to properly fulfill their role.

ALI Mission Statement

To enhance and enrich access to the full range of resources and services required to improve the quality of teaching, learning, and research in our colleges and universities through collaboration and resource sharing.

IMPROVED INFORMATION INFRASTRUCTURE

Expanding the boundaries of faculty and student scholarship requires the creation of common search environments and an infrastructure that catalogs, aggregates, digitizes and disburses these resources quickly and efficiently. Such an infrastructure also sets the stage for future partnerships outside of academe, e.g. the Indiana State Library and the Indiana Historical Society.

Tools for accessing web-based resources: *Simultaneously* searching of multiple digital resources within both academic and non-traditional settings will connect students and faculty to high quality resources and specialized subject guides. This "one-stop" gateway is not simply a website; it will enable students and

faculty, for the first time, to search and retrieve information across diverse institutions and formats, accessing resources of all kinds including books, websites, digital primary resources, and journal articles.

Virtual catalog of all academic libraries: A virtual or “union” catalog will allow faculty, staff and students to mine the substantial resources of all academic libraries via a single search, regardless of their location within the state. This virtual catalog is not an expensive compilation of separate catalogs but a catalog created by linking the individual catalogs so they can be simultaneously searched. The searcher will be able to find out which library holds the needed item and can then launch a delivery request. Policies associated with this new and powerful lending and borrowing system would balance responsibilities for lending and borrowing so that even the largest research libraries would not be unduly burdened, while even the smallest or specialized libraries would share their resources.

Digitization: Building upon the advanced digitization skills of many Indiana librarians as well as collaborative models in other states, ALI will create a shared platform of digitization standards, equipment, training and search system that enable cultural or scientific heritage repositories¹ to create digital versions of their rare and unique collections. Through this initiative, the highly valuable collections in small colleges and universities will be available through a collaborative infrastructure of training, creation, delivery and preservation. To the extent possible by copyright and license agreements, these digital images will be made available to all the citizens of Indiana and beyond. These resources can be integrated with other web projects that present Indiana's culture and history for the citizens and students of Indiana.

IMPROVED INFORMATION CONTENT & ACCESS

Responding to the changing expectations for content, ALI will offer full text content online, improve the interlibrary lending and delivery system supporting access to all Indiana academic library collections, and initiate a collaborative approach to the preservation and housing of lower-use, but still vital paper collections.

Expanded online academic content: Since 1998, the State of Indiana has funded INSPIRE (INdiana SPectrum of INformation RESources), twenty-one full-text electronic information databases available to any citizen with Internet access. Academic librarians joined public and school library colleagues in selecting these resources. While, because of the state's current fiscal crisis, funding for 2004 has been eliminated, the Indiana Cooperative Library Services Authority (INCOLSA) has identified options to maintain these vital resources until replacement funding is secured.

Building on the INSPIRE collaborative effort, members of ALI intend to identify a key set of *additional* full-text electronic academic resources to further enrich information resources available for all our students and faculty. In addition to this core set of academic databases, ALI will provide an environment allowing the members to partner in the purchase of selected electronic information resources of interest to some, but not all ALI members.

Collaborative preservation and storage facilities for selected physical collections: Improving academic resources online must be balanced by programs that address all libraries' responsibilities for the preservation of the physical paper collections of books and journals over time. This protects the investments made across the state in retrospective resources, ensures that some libraries may not need to add new collection space, and increases the possibility that construction and renovation funds can be targeted to the type of program improvements where need is greatest. These include improved central services in libraries for curriculum change, including teaching and group learning spaces, consulting services on information content and new course design, student spaces for information retrieval, and other

¹ Cultural heritage institutions are defined as archives, libraries, historical societies and museums, whether affiliated with an academic institution or not.

“people” and “technology” spaces. A common preservation and storage plan allows us to leverage Indiana University’s considerable investment in storage facilities, while enabling libraries to allocate limited resources more effectively within the growing tension between budget reductions and increased demand for new service.

Improved access to collections: The interlibrary lending system has been used for decades, evolving with technology, as individual libraries could upgrade their internal operations over time. With collaborative action, dramatic improvements in resource sharing will be implemented, such as faster delivery of journal articles using digital scanning and delivery systems, faster request processing using commonly accepted software and protocols, and faster delivery of “returnables” (books and other paper volumes) with expansion of Wheels, the statewide courier service managed by INCOLSA. (Presently, only 31% of libraries have daily pick up and delivery.) These improvements would support the delivery component of the statewide virtual catalog discussed above. Efficiency improvements in library interlibrary loan offices would result in significant service improvements for students, staff and faculty requesting shared resources.

Access to special collections and unique resources: Indiana’s academic libraries contain thousands of unique materials in their special collections and archives available only to those scholars willing to travel to those libraries. Creating digital collections of these materials for networked delivery and access would significantly enrich the information resources available to our faculty and students. Though there is some activity among Indiana academic libraries, as a whole, we are lagging behind in creating digital library resources.

ORGANIZATIONAL STRUCTURE

The Academic Libraries of Indiana will obtain 501(c)3 non-profit corporation status in order to best determine collective needs and implementation strategies. Non-profit status will enable ALI to seek private and federal grant funding as well as state funding through Indiana partner organizations, such as INCOLSA, the State Library, and the Indiana Commission on Higher Education.

Member libraries must be part of a not-for-profit institution of higher education within Indiana accredited by the North Central Association or the Association of Theological Schools. Ultimately, participating libraries will pay an annual commitment fee to fund ALI’s administrative costs and core services available to all members. All other projects will be on a voluntary basis with costs shared among specific participants or funded by grants. The Board of Directors will be composed of the library directors of the member libraries. The Board shall adopt and amend the Articles of Incorporation and the by-laws, adopt the annual budget, the strategic plan and consider other matters referred to it by the Steering Committee.

The fifteen member Steering Committee will be composed of Board representatives selected by each of the following constituent group: Privates - PALNI members (3); Notre Dame (1); another private college or university not a member of PALNI (1); Publics - Indiana University Bloomington (1); Purdue University, West Lafayette (1); other public universities (Ball State University, Indiana State University, IUPUI) (2); IU/Purdue Regional Campuses, Southern Indiana University (2); Ivy Tech/ and Vincennes (3); and one at-large member (1).

The Steering Committee shall have the power to take charge of, manage, and conduct the business of ALI, including formulating a strategic plan and an annual budget plan for approval by the Board of Directors. The Directors will elect the officers of the Steering Committee, who must be members of the Steering Committee, and the at-large delegate. After three years a committee will be appointed to review the governance structure.

The day-to-day operation of ALI projects will be accomplished through a combination of hired staff and advisory committees representing the member libraries. Wherever appropriate, ALI will contract with INCOLSA or member libraries to implement or manage discrete projects.

LOOKING TO THE FUTURE

We respectfully request that Lilly Endowment consider an investment of approximately \$26 million over the next four years to launch this landmark initiative.

ALI is moving forward to secure letters of commitment from all and nonprofit status will be secured by June of 2003. Guided by input from all stakeholders, ALI is committed to sustaining the outlined programs well beyond the term of this grant request. We plan to leverage this and other private/public support when the infrastructure is established, partner with appropriate institutions to enhance efficiency, and continually assess outcomes and opportunities.

Presently, our plans call for the grant to cover all electronic resource costs through year two with increased cost-sharing by member libraries in years three and four, one-time construction and start-up costs for storage facilities and preservation (sustained through participant fees after start-up), and all costs for digitization and web-based projects.

Member libraries will contribute annually toward administrative costs. In year three, outcomes in each area will be reviewed and new funding models will be explored including cost-sharing by member libraries and grants from other public and private sources.

On behalf of PALNI, we extend our sincere thanks to the staff and trustees of Lilly Endowment for your past commitment to library networks and projects within the state of Indiana². Your investment has created the framework upon which the Academic Libraries of Indiana can build. The vision you brought to PALNI's previous grant application has resulted in much more than a planning process. It has energized all participants to create cooperative solutions and explore new synergies that will enrich the educational, social and economic life of all citizens in our state.

Thank you for your kind consideration. We look forward to the opportunity to present a detailed proposal outlining the scope of this exciting endeavor.

--December 18, 2002

² The following pages outline *current* library projects in Indiana that relate to ALI.

Current Key Projects and Their Relationship to the Academic Libraries of Indiana

	Key Organizational Projects	Mission or Purpose	Serves	Resource Holders	Resource Connectors	Relationship to ALI
Higher Education Focus	Academic Libraries of Indiana (ALI) <i>Statewide virtual catalog</i> <i>Expanded online content</i> <i>Digitization</i> <i>Preservation/Storage</i> <i>Web Tools/Instruction</i>	To enhance and enrich access to the full range of resources and services required to improve the quality of teaching, learning, and research in IN colleges/universities through collaboration and resource sharing among its members.	IN private <i>and</i> public higher education libraries, students and faculty	✓	✓	<ul style="list-style-type: none"> ALI is the new organization proposed to guide collaborative projects that will enhance infrastructure and provide rich content for the academic community. ALI's plans build on the frameworks built by PALNI and INCOLSA.
	Private Academic Library Network of IN (PALNI)	Created in 1992 to initiate and operate a shared library automation network which supports resource sharing among private academic libraries throughout the State of Indiana. Through a shared, state-wide telecommunications network, the PALNI system provides participating institutions with automated library services and access to a wide range of information resources on the Internet.	IN private academic libraries, students and faculty	✓	✓	<ul style="list-style-type: none"> PALNI's statewide assessment of academic libraries gave rise to ALI's creation. PALNI will continue to serve the needs of private academic libraries and will partner with ALI (and others) as appropriate.
	IN Higher Education Telecommunication System (IHETS) <i>Indiana Learning Portal</i>	<p>To help higher education in Indiana—working in consultation with K-12 schools, public libraries, public broadcasting stations, and other identified education and information providers—enhance the development of human capital statewide through effective use of telecommunications and information technology.</p> <p>Working with the Indiana Humanities Council, IHETS is developing a working prototype for a customizable, single point of access to information and educational opportunities available in Indiana for <i>all</i> learners.</p>	<p>Higher education institutions</p> <p>Learners in and out of state.</p>		✓	<ul style="list-style-type: none"> IHETS is developing the portal technology that will be utilized by IHC's Smart Desktop (for K-12 stakeholders.) ALI's web-based tools are customized for higher education use. An ALI Steering Committee member is assigned as liaison to IHETS. ALI is a project partner in this initiative.
	State University Library Automation Network (SULAN)	Now defunct, this was an information and resource sharing library network linking selected Indiana universities. Each library maintained its own separate catalog. Viewing the catalog of any one of the host libraries will allow linking to the other SULAN member libraries.	Ball State, Notre Dame Indiana Univ., Indiana State, Purdue Univ., Univ. of Southern IN, Rose-Hulman, St. Mary of the Woods, St. Mary's, Holy Cross, Bethel	✓	✓	
K-12 Focus	IN Humanities Council (IHC) <i>Smart Desktop Initiative</i>	<p>The Council strengthens communities through targeted initiatives in leadership, education, and culture.</p> <p>IHC expects to provide full service education Web portals for Indiana educators, students, parents and other education stakeholders to analyze education information; access standards-aligned, humanities-rich instructional resources; and work collaboratively to improve instruction and learning in the K-12 environment.</p>	<p>IN Citizens</p> <p>K-12 Stakeholders</p>		✓	<ul style="list-style-type: none"> An ALI Steering Committee member is assigned as liaison to IHC. ALI resources will be linked to the Smart Desktop Initiative.

Statewide Focus	IN Humanities Council (IHC) <i>Indiana Encyclopedia Online</i>	<p>IHC will create an encyclopedia of its own content with links to relevant content about the state, past and present, including 3.5 to 4 million words, over 2,500 photographs, 750 static maps, dynamic mapping, statistical abstracts, databases, an extensive historical timeline, audiovisual files, curricular aids, online help desk, numerous links, and extensive search and retrieval capabilities.</p>	IN Citizens		✓	<ul style="list-style-type: none"> This project is intended to create a cultural databank of IN's 1,700 cultural organizations, to promote collaboration, and to compile comprehensive data on these activities and their impact. These same cultural institutions could utilize the digitization resources outlined for ALI. ALI's digitization initiative will underpin this project with rich content ALI resources will be linked to Indiana Online An ALI Steering Committee member is assigned as liaison to IHC.
	IN Cooperative Library Services Authority (INCOLSA) <i>INSPIRE project</i>	<p>The mission of INCOLSA is to consolidate the strengths of its diverse membership through cooperative action to provide superior service to member libraries, residents of Indiana on behalf of libraries, and other entities as directed by the Board. Numerous services include cooperative purchasing, interlibrary loan, wheels, cataloguing, database and automation services, informational systems/retrieval, OCLC, INSPIRE Kids, and more. The INSPIRE project is of particular significance to ALI.</p> <ul style="list-style-type: none"> To provide the residents of Indiana with equitable access to online electronic information resources that enhances quality of life, the depth of educational experience and the economic prosperity of communities. To provide high-quality information resources that have been evaluated based on criteria that includes richness and authority of content, reliability of source, ease of use, and suitability for Indiana residents. To ensure access to these information resources for all residents of all ages, in all economic circumstances, in all walks of life and in all regions of the state of Indiana through Internet-connected computers in homes, businesses, schools and libraries. To maximize the use of public funds through the cooperative purchase of these information resources. 	<p>768 member institutions, including: 313 school corporations; 233 public library systems; 136 special libraries (corporations, hospitals, law firms, museums, correctional facilities, and more); 86 colleges and universities</p> <p>INSPIRE provides access for <i>all</i> IN citizens</p> <p>An estimated 30-40% of INSPIRE's use is from the academic community.</p>	✓	✓	<ul style="list-style-type: none"> INSPIRE lost all its state funding for 2004; INCOLSA has developed a comprehensive plan to replace these dollars with grants and increased cost-sharing from member libraries. The work of PALNI and the proposed ALI are built on the assumption that INSPIRE/INCOLSA will continue to provide core services. INSPIRE provides <i>basic</i> databases for academic libraries; ALI will expand to include specialized databases of little interest to public libraries. ALI will enhance the Wheels program of INCOLSA. INCOLSA is a major partner with ALI. An INCOLSA representative is a non-voting member of the ALI Steering Committee.
	IN State Library	<ul style="list-style-type: none"> Providing library services to state government, its branches, its departments and its officials and employees; Providing specialized library services not generally appropriate, economical or available in other libraries; Encouraging the development of the library profession; and, Strengthening services of all types of publicly and privately supported special, school, academic, and public libraries. 	<p>State government offices and employees</p> <p>IN citizens</p> <p>IN librarians</p> <p>IN libraries</p>	✓	✓	<ul style="list-style-type: none"> A leadership transition is currently underway. The State Library is a potential resource for the Indiana Encyclopedia Online project and ALI; links will keep the doors open for potential and appropriate resource sharing. An IN State Library representative is a non-voting member of the ALI Steering Committee.