Joint Board & Budget and Finance Committee Meeting
Midwinter 2020 Philadelphia
Saturday, January 25, 2020
9:00 AM - 11:00 AM
Loews Philadelphia, Regency B (Second Floor Mezzanine)

Wi-Fi Network: Loews_Conference; Password: alaphilly2020

Agenda

Time	Agenda Item
9:00–9:05 a.m.	1.0 Welcome and Introductions (Allen)
9:05–9:35 a.m. *Information*	2.0 BARC/ALA Exec. Board Liaison (Maggie Farrell)

The group will receive an update from ALA Treasurer and ACRL's liaison from the ALA Budget Analysis & Review Committee (BARC) and ALA Executive Board concerning a number of issues including but not limited to:

- ALA's current and future financial position as described in Farrell's AL column. #J, #O, #Q, #R, #R.1, #S, #T, #X, #Y
- Status and charge of ALA financial study group.
- Financial implications of the proposed SCOE recommendations. #K, #L, #L.1, #P, #U
- Opening of the operating agreement, timeline, and what impact this might have on ALA and ACRL finances. #V, #W

Time	Agenda Item
9:35–10:00 a.m. *Discussion*	3.0 Higher Education Funding & Trends (Allen) #B, #F, #G, #Z

The group will review and discuss the current and future economic climate on campuses, and the expected impact this will have on ACRL membership, programs and services.

Time	Agenda Item
10:00–10:30 a.m. *Discussion*	4.0 EDI activities and Budget (Allen) #B, #C, #D, #H, #I

The group will receive an overview of ACRL's Equity, Diversity and Inclusion (EDI) activities to date, and will discuss potential EDI activities/initiatives that ACRL should undertake, and the EDI budget for proposed projects. Are there institutions/organizations with which ACRL could partner to develop training?

Time	Agenda Item
10:30–10:50 a.m. **Discussion**	5.0 FY21 Budget & Net Asset Balance (Allen) #A, #B, #C, #E, #M The group will review the draft FY21 budget, and will hold a strategic conversation to identify programs and services that should be prioritized in the coming years.
10:50–11:00 a.m. **Discussion**	6.0 Next steps (Allen) The group will review any next steps and or topics for future discussions.
11:00 a.m. **Action**	7.0 Adjournment (Allen)

Next meetings:

- **Budget and Finance Committee Meeting I:** Sunday, January 26, 2020, 8:00 AM - 10:50 AM; Loews Philadelphia, Jefferson Boardroom
- **Board of Directors II: Part 1 of 2 (ACRL):** Saturday, January 25, 11:00 AM - 12:00 PM; Loews Philadelphia, Howe
- **Board of Directors II: Part 2 of 2 (ACRL):** Saturday, January 25, 3:30 PM - 5:30 PM; Loews Philadelphia, Howe

Document Inventory

Doc	Document
A	Plan for Excellence
B	ACRL FY21 Budget Assumptions
C	Overview of the ACRL and CHOICE FY21 preliminary budget
D	Link to The Chronicle's article, "Why Diversity Initiatives Fail"
E	ACRL Net Asset Balance Brainstorming
F	2019 ACRL Environmental Scan
G	2018 Top Trends in Academic Libraries
H	Potential EDI Initiatives for ACRL
I	ACRL EDI Activities
J	Achieving Our Visions, by Maggie Farrell, *American Libraries,* Jan. 2, 2020
K	Forward Together, by Wanda Kay Brown, *American Libraries,* Jan. 2, 2020
L	Forward Together, SCOE Report
L.1	SCOE Activities Update
M	Net Asset Projection Chart
O	ALA Short-term Investments
P	PLA-ACRL Response to SCOE recommendations
Q	ALA Return of Investments Metrics
R	ALA IT Strategy Investment Update
R.1	2020-24 ALA IT Strategy Investment Update (URL)
S	ALA Membership Report
T	ALA Conference Services Report
U	Update on Core: Leadership, Infrastructure, Futures
V	ALA Operating Agreement

Doc	Document
W	ALA PBA, BARC, & Division Leadership Joint Meeting Agenda
X	ALA Executive Board Financial Document URLs
Y	ALA Financial Planning 2020 and Beyond
Z	The Chronicle - Mega-Universities Are On the Rise. They Could Reshape Higher Ed as We Know It

This page included to accommodate double-sided printing.

Plan for Excellence
Association of College & Research Libraries
Approved April 20, 2011 — Effective July 1, 2011
Reaffirmed September 2013. Revised November 2019.

Preamble

The strengths and capacities of ACRL have enabled the association to sustain exemplary programs and results for its members and to shape policies and practices of vital interest to higher education.

ACRL's Plan for Excellence continues that path and focuses attention on four areas that capitalize on our strengths, deliver high member value, and heighten our impact:

- Value of Academic Libraries
- Student Learning
- Research and Scholarly Environment
- New Roles and Changing Landscapes

These strategic areas will be supported by financial and operational planning, and will guide the development and implementation of programs and services that target education, advocacy and member engagement.

ACRL's leadership views strategic thinking and planning as an ongoing process. Adoption of this plan for excellence affirms the general intent and direction articulated by the association's core ideology, envisioned future, shorter-term goals, and objectives. Progress will be assessed annually and will guide the operational planning process. The plan for excellence will be updated based on achievement of the goals and their continued relevance as new needs and opportunities arise.

Timeless Core Ideology
Core Purpose

To lead academic and research librarians and libraries in advancing learning and scholarship.

Core Organizational Values

ACRL is committed to:
- visionary leadership, transformation, new ideas, and global perspectives
- exemplary service to members
- equity, diversity, and inclusion
- integrity and transparency
- continuous learning
- responsible stewardship of resources
- the values of higher education, intellectual freedom, the ALA Ethics policy, and "The Library Bill of Rights"

Core Commitment

ACRL is dedicated to creating diverse and inclusive communities in the Association and in academic and research libraries. This core commitment permeates the work of the Association, cutting across all ACRL sections, committees, interest and discussion groups, and communities of practice. The Association will acknowledge and address historical racial inequities; challenge oppressive systems within academic libraries; value different ways of knowing; and identify and work to eliminate barriers to equitable services, spaces, resources, and scholarship.

Long-term Envisioned Future
Vision

Academic and research librarians and libraries are essential to a thriving global community of learners and scholars.

Vivid Description of a Desired Future

ACRL elevates the position, recognition, and impact of all academic and research libraries and librarians as catalysts in exceptional research and learning. Academic libraries play a critical role in building diverse, welcoming, and equitable communities; developing inclusive organizations, spaces and services; guarding against policies and practices that intentionally or unintentionally create racial inequalities; embodying diversity in the profession; and creating conditions so that all users are respected and supported in their intellectual dialogues and pursuits. Librarians and their colleagues design services that provide scholars and learners the unfettered ability to create, access, evaluate, and use knowledge. College and university students are information literate, informed scholars and citizens who value the opinions, perspectives, and experiences of others. Facile use of information sources and discovery techniques enables them to succeed in their coursework and future careers preparing them to lead new national and global initiatives. Partnering with academic librarians to collect and organize research data, faculty break new ground in their respective fields. Academic libraries, constantly transforming to meet the evolving needs of their campuses, are central to educational and research efforts.

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Five-Year Goals and Objectives

Value of Academic Libraries

Goal: Academic libraries demonstrate alignment with and impact on institutional outcomes.

Proposed Objectives:

1. Cultivate research opportunities that communicate the impact of academic and research libraries in the higher education environment.
2. Promote the impact and value of academic and research libraries to the higher education community.
3. Expand professional development opportunities for assessment and advocacy of the contributions towards impact of academic libraries.
4. Support libraries in articulating their role in advancing issues of equity, access, diversity, and inclusion in higher education.

Student Learning

Goal: Advance equitable and inclusive pedagogical practices and environments for libraries to support student learning.

Proposed Objectives:

1. Empower libraries to build sustainable, equitable, inclusive, and responsive information literacy programs.
2. Collaborate with internal and external partners to expand understanding of the impact of information literacy on student learning.

Research and Scholarly Environment

Goal: The academic and research library workforce accelerates the transition to more open and equitable systems of scholarship.

Proposed Objectives:

1. Increase the ways ACRL is an advocate and model for more representative and inclusive ways of knowing.
2. Enhance members' capacity to address issues related to scholarly communication, including but not limited to data management, library publishing, open access, and digital scholarship, and power and privilege in knowledge creation systems.
3. Increase ACRL's efforts to influence and advocate for more open and equitable dissemination policies and practices.

New Roles and Changing Landscapes

Goal: The academic and research library workforce effectively fosters change in academic libraries and higher education environments.

Objectives:

1. Deepen ACRL's advocacy and support for the full range of the academic library workforce.
2. Equip the academic library workforce to effectively lead, manage, and embrace change, advocate for their communities, and serve as a catalyst for transformational change in higher education.
3. Increase diversity, cultivate equity, and nurture inclusion in the academic library workforce.

FY2021 Budget Assumptions

First Draft: approved 11/18/19.

Revisions noted since Fall 2019 Board meeting.

ACRL develops budget assumptions annually to guide staff in preparing annual project budgets. ACRL's budget is mission-driven and should provide sufficient revenues to support the strategic initiatives outlined in the ACRL Plan for Excellence as well as initiatives related to its core commitment to equity, diversity, and inclusion (EDI). This is accomplished through a blend of programs and services, some of which generate net revenues, e.g., ACRL professional development, especially its biennial conference, and others that the association expects to support, e.g., advocacy, member services, etc.

The ACRL Budget & Finance Committee reviewed these draft assumptions on November 7, 2019. Staff incorporated the committee's feedback and shared the revised document with the ACRL Board. The Board will review, suggest revisions as needed, and approve the assumptions below at its 2019 Fall Board Meeting on November 18, 2019. Based on the approved budget assumptions, ACRL staff will prepare the preliminary FY21 budget for review by the Budget & Finance Committee at the 2020 ALA Midwinter Meeting. Staff made some initial changes to the assumptions to reduce the size of the deficit. These changes are noted in Track Changes throughout this document.

General Overview: The economic climate and ACRL

As we prepare the FY21 budget for ACRL, the global economic outlook based on the past year's activity is "weaker-than-anticipated."[1] Volatile global markets are of concern to higher education funding and enrollment, with tensions stemming from a US-China trade war; a Brexit deal still undecided; and the increase in anti-immigration policies. In addition to the unpredictability of global factors, state spending on public colleges and universities remains well below the historical levels prior to the Great Recession

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[1] International Monetary Fund, "World Economic Outlook, July 2019: Still Sluggish Global Growth," July 2019. Accessed September 5, 2019.
https://www.imf.org/en/Publications/WEO/Issues/2019/07/18/WEOupdateJuly2019.

of 2008-09.[2] Although "most Americans believe state spending for public universities and colleges has increased or at least held steady over the last 10 years, according to a new survey by American Public Media," in fact, "states have collectively scaled back their annual higher education funding by $9 billion during that time, when adjusted for inflation, the Center on Budget and Policy Priorities, or CBPP, reports."[3] Although total enrollment in degree-granting postsecondary institutions increased 27 percent from 2000 to 2017 (from 13.2 million to 16.8 million students), it is projected to increase by only 3 percent between 2018 and 2028 (from 16.8 million to 17.2 million)."[4] This number is in line with high school graduation rate projections, which show the number of high school graduates increasing by only 3.1% between 2011 and 2025.[5] With a slowdown in enrollments, it is unlikely that higher education will see a substantive increase in its funding, which typically translates to no more or less funding for academic libraries. A bright spot in higher education enrollment is a trend for free or reduced tuition programs at the state level. Twenty states[6], such as New Mexico[7], New York[8], Oregon[9], and

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[2] Michael Mitchell et. al., "Unkept Promises: State Cuts to Higher Education Threaten Access and Equity Reduced Quality," *Center on budget and Policy Priorities*, October 4, 2018, https://www.cbpp.org/research/state-budget-and-tax/unkept-promises-state-cuts-to-higher-education-threaten-access-and. Accessed November 5, 2019.

[3] Jon Marcus." Most Americans don't realize state funding for higher ed fell by billions," The Hechinger Report, February 26, 2019. https://www.pbs.org/newshour/education/most-americans-dont-realize-state-funding-for-higher-ed-fell-by-billions Accessed November 5, 2019.

[4] U. S. Department of Education: National Center for Education Statistics, "The Condition of Undergraduate Enrollment," (May 2019). Accessed September 5, 2019. https://nces.ed.gov/programs/coe/indicator_cha.asp.

[5] Western Interstate Commission for Higher Education, "Overall Graduate High School Trends," Accessed September 20, 2019. https://knocking.wiche.edu/nation-region-profile/

[6] Jessica Dickler, "Tuition-free college is now a reality in nearly 20 states," *CNBC*, March 12, 2019. https://www.cnbc.com/2019/03/12/free-college-now-a-reality-in-these-states.html

[7] Simon Romero and Dana Goldstein, "New Mexico Announces Plan for Free College for State Residents." *New York Times*, September 18, 2019. https://www.nytimes.com/2019/09/18/us/new-mexico-free-college-tuition.html

[8] New York State, "Tuition-Free Degree Program: The Excelsior Scholarship," Accessed September 20, 2019. https://www.ny.gov/programs/tuition-free-degree-program-excelsior-scholarship

[9] Office of Student Access and Completion, "Oregon Promise," Accessed September 20, 2019. https://oregonstudentaid.gov/oregon-promise.aspx

Tennessee[10], currently offer or have proposed legislation to offer free tuition programs. Some states, such as New Mexico, are proposing free tuition to state colleges and universities, regardless of income. The city of Detroit recently announced the Detroit Promise, which offers free college tuition to residents of Detroit. Funding seems to come from public/private partnerships including foundations with some universities picking up the tuition costs themselves after all federal funding, e.g., Pell grants, applied.[11]

[12]While these tuition trends are beneficial to students it is not clear whether additional resources will be made available to the libraries serving an increased number of students. However, it is often true, as one Budget & Finance Committee member mentioned, that as enrollment/graduation increases funding increases and if it drops, so does the funding.

ACRL membership's slow but steady decline should also be considered as we look to FY21 finances. The closing of institutions could further reduce both ACRL's organizational and personal members. Closures are declining, but there are still a significant number of institutions that close each year. In 2018, there were 249 closed postsecondary institutions; in 2017, 633; in 2016, 1,045.[13] "The environment is changing; in November 2019, a college-advising company scuttled its plans to release a list of 952 private, nonprofit colleges that it expects to run out of money and close in the coming years, according to a new financial-modeling tool, and since September 1, we've noted 59 school closures as we update our list of academic institutions."[14] The workforce is aging and the pool of potential academic librarians is in decline as evidenced by the drop in MLIS degrees awarded (between 2012 and 2017, there was a 34.9% drop in number of LIS masters degrees awarded, from 7,443 in 2012 to 4,843 in 2017).[15] Of the

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[10] TN Higher Education Commission & Student Assistance Corporation, "Tennessee Promise," Accessed September 20, 2019. https://www.tn.gov/tnpromise

[11] Katrease Stafford, "$3.5M grant to fund Detroit Promise Scholarships," Detroit Free Press, May 1, 2017, accessed November 7, 2019. https://www.freep.com/story/news/local/michigan/detroit/2017/05/01/detroit-promise-scholarships/101154434/

[12] David Jesse, "Wayne State offers free tuition to Detroit teens who graduate high school," Detroit Free Press, October 23, 2019. Accessed November 7, 2019. https://www.freep.com/story/news/education/2019/10/23/wayne-state-free-tuition-detroit/4064402002/

[13] U. S. Department of Education, Office of Federal Student Aid, "Closed School Monthly Reports," Accessed September 20, 2019. https://www2.ed.gov/offices/OSFAP/PEPS/closedschools.html.

[14] Paul Fain, "Private Conversations about Private College Closures," November 19, 2019. Inside Higher Ed. https://www.insidehighered.com/news/2019/11/19/private-colleges-convinced-company-scuttle-release-list-projected-college-closures

[15] "Master's degrees conferred by postsecondary institutions, by field of study: Selected years, 1970-71 through

MLIS degrees awarded between 2014 and 2018 the number of placements in academic libraries is holding steady in the 21-23% range.[16], [17] However, the portion of the LJ Placements and Salaries article accessible indicated that "college/university libraries attracted 22% of the 2018 LIS Graduates, down slightly from the prior two years,"[18] which of course could have a negative impact on ACRL membership. The decline during and after the 2008 recession may be stabilizing, as the U.S. Bureau of Labor Statistics projects a 6% increase (as fast as average) job outlook.[19] While job growth is indicated as fast as average again, it is a decline from the 9% listed in the previous year.

Another factor that could influence the size of ACRL's membership is whether academic libraries are requiring those they hire to hold MLIS degrees. Anecdotally, we are hearing that, especially at large research libraries, subject specialists and other professional staff (IT, HR, development, marketing, etc.) are being hired to do work that once required an MLIS. A recent study of ARL directors found that while 1/3 of ARL directors did not perceive the MLIS as necessary, 42% did and it is these directors who will hire the next generation of those working in academic and research libraries.[20]

The ACRL Board and Budget & Finance Committee at their joint meeting in January 2016, learned from consultant Paul Meyer a number of trends in association membership overall, which are still on track , including: there is an increase in specialty organizations; there is greater competition for membership dollars and time; the number of association memberships per individual/company is declining; employer support for membership has declined and; and there is an increased focus on engagement to retain members.[21]

2016-17," *NCES*, accessed September 20, 2019, https://nces.ed.gov/programs/digest/d18/tables/dt18_323.10.asp?current=yes.

[16] Stephanie L. Maatta, "Placements & Salaries 2014." *Library Journal*, October 15, 2014, p. 26-33.

[17] Suzie Allard, "Placements & Salaries 2018." *Library Journal*, October 15, 2018, p. 16-21.

[18] Suzie Allard, "The Analytics Age," *Library Journal,* October 2019, p. 32.

[19] Bureau of Labor Statistics, U.S. Department of Labor, Occupational Outlook Handbook, Librarians, accessed September 20, 2019, last modified date September 4, 2019, http://www.bls.gov/ooh/education-training-and-library/librarians.htm.

[20] Russell Michalak, Monica D.T. Rysavy, and Trevor A. Dawes*, "What Degree Is Necessary to Lead? ARL Directors' Perceptions," *College & research Libraries*, Vol. 80, N. 6, (2019). Accessed November 7, 2019.https://crl.acrl.org/index.php/crl/article/view/23526/30835

[21] Paul Meyer, *Tecker International* (presentation, Joint meeting of the ACRL Board of Directors and Budget &

The overall growth for the economy is rebounding with a projected 2.3% increase for 2019, which is less than the projected increase of 3.1% from 2018,[22] but the fragile and somewhat mixed outlook for the economy extends to higher education as well. The Higher Education Price Index (which projects major cost factors for colleges and universities) is forecasting a 2.6% increase for 2019, which is slightly down from 2.8% projection from a year ago.[23] However, "unlike after previous economic downturns, state spending on higher education has not bounced back as the economy rebounds,"[24] and continues to decline. As stated in the overview, in the last ten years, state funding has decreased by $9 billion when adjusted for inflation, and "state appropriations per full-time student have fallen from an inflation-adjusted $8,489 in 2007 to $7,642 in 2017."[25] Decreased state funding is a trend, as funding for public two- and four-year colleges remains well below pre-recession levels in almost every state and in the school year ending in 2018, funding was more than $7 billion below its 2008 level, after adjusting for inflation. Without considering inflation, state fiscal support for higher education grew by just 1.6 percent in 2018, according to the most recent Grapevine survey which noted that the level of support is "down sharply from a 4.2 percent increase last year and represents the lowest annual growth in the last five years."[26] "In only six states have higher education budgets returned to or surpassed their pre-recession levels; in 19 states, expenditures per student are at least 20 percent lower than before the recession."[27] To cope with these cuts, institutions have raised tuition and made deep cuts to programs and services,

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Finance Committee, ALA Midwinter Meeting, Boston, January 11, 2016).

[22] "An Update to the Economic Outlook: 2019 to 2029," *Congressional Budget Office*, August 21, 2019, https://www.cbo.gov/publication/55551.

[23] "Higher Education Price Index (HEPI) Estimate for August 2019," *Commonfund*, September 4, 2019. Accessed on September 24, 2019. https://www.commonfund.org/news-research/index/hepi-estimate-august-2019/.

[24] Luba Ostashevsky, "As economy rebounds, state funding for higher education isn't bouncing back," *PBS News Hour*, September 14, 2016, http://www.pbs.org/newshour/updates/economy-rebounds-state-funding-higher-education-isnt-bouncing-back/.

[25] Jon Marcus, "Most Americans don't realize state funding for higher ed fell by billions," *PBS News Hour*, February 26, 2019, https://www.pbs.org/newshour/education/most-americans-dont-realize-state-funding-for-higher-ed-fell-by-billions.

[26] Rick Seltzer, "'Anemic' State Funding Growth," *Chronicle of Higher Education,* October 23, 2018. https://www.insidehighered.com/news/2018/01/22/state-support-higher-ed-grows-16-percent-2018.

[27] Jeffrey Selingo, "States' decision to reduce support for higher education comes at a cost," Washington Post, September 8, 2018, accessed October 24, 2018. https://www.washingtonpost.com/education/2018/09/08/states-decision-reduce-support-higher-education-comes-cost/?noredirect=on&utm_term=.4f55fd302b14

reducing access to college education for some and calling into question the quality of the program remaining.[28] However, some see a coming limit to how much tuition can be increased, which may mean continuing jockeying for the same finite resources. [29]

Fewer financial resources may also have contributed to the consolidation of vendors in the library marketplace.[30, 31] Fewer vendors will mean a smaller pool of companies to provide sponsorships, rent exhibit space, support library and association programs.

This continued state of lower funding and a consolidation in the marketplace will impact ACRL's FY21 budgeted revenue expectations. We expect that library budgets and individual spending will continue to be reduced and thoughtfully considered. A quick recap of ACRL's FY19 revenue streams) vary based on project and timing. Gross revenues for consulting were below budget due to fewer than expected clients in the 4th quarter, but first-quarter FY20 is off to a busy start. Webinar revenues exceeded budget in part due to a successful multi-part series. Revenues from licensed workshops were below budget, and the ACRL Conference may reduce interest in local/regional professional development, which could impact FY21 revenue. The ACRL Conference was a programmatic and financial success. While registration, advertising, and exhibits performed slightly under budget, the generosity of ACRL sponsors exceeded budget, and staff reduced expenses leading to higher net revenue than budgeted at about $342,000 over the two-year planning period. We hope to be able to deliver similar results for the FY21 ACRL Conference, but recognize that Seattle will be a far more expensive venue than Cleveland.

The FY21 budget will incorporate revenue from expanded business initiatives, such as increasing opportunities for sponsored content, more licensed workshops, and more book sales. In FY21, there will be new and expanded initiatives pertaining to ACRL's Core Commitment to equity, diversity and inclusion. In October 2019, a newly created joint ACRL/ARL/ODLOS/PLA task force, The Building Cultural Proficiencies for Racial Equity Framework Task Force, was created. The task force will seek to have a new

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[28]Ibid.

[29] Dan Nemser and Brian Whitener, "The Tuition Limit and the Coming Crisis of Higher Education," The New Inquiry, March 26, 2018. Accessed November 9. 2018.https://thenewinquiry.com/the-tuition-limit-and-the-coming-crisis-of-higher-education/

[30] James M. Day, "Consolidation of the Library Vendors," *Library Technology Launchpad*, October 12, 2016, http://libtechlaunchpad.com/2015/10/12/consolidation-of-the-library-vendors/.

[31] David Parker, "ATG Special Report — Industry Consolidation in the Information Services and Library Environment: Perspectives from Thought Leaders," *Against the Grain*, July 6, 2016, http://www.against-the-grain.com/2016/07/industry-consolidation-report/.

cultural competencies document, *Building Cultural Proficiencies for Racial Equity framework*, for public and academic librarians completed by Annual 2020.

In recent years, ACRL has been tasked by its Board and Budget & Finance Committee to spend down its net asset balance, and to look for appropriate opportunities to "invest" a portion of this net asset balance in strategic programs and services that serve the membership. Recent examples of such investments include the promotion of Project Outcome, research grants to practitioner-scholar academic librarians to carry out research identified in the 2019 research agenda, and digitization of past issues of *C&RL News*. Through careful stewardship the net asset balance, which had grown to $5,002,115 at the beginning of FY16 has through careful investments in strategic initiatives been reduced to $3,311,824 (August Final Close) at the end of FY19. As ACRL has a FY20 investment budget of -$923,241 and the FY20 mandated operating reserve is $1,052,784, the Board, Budget & Finance Committee, and staff, will closely monitor revenues and expenses in FY20 to ensure that the FY20 year-end balance remains at a healthy level to begin FY21. ACRL has spent down its net asset balance as planned, and now we are looking to build a budget that balances expenses with revenue. Such investment in programs and services requires staffing support, and staff continues to look for ways to streamline procedures and automate processes where possible, freeing up more of their time for strategic initiatives. Going forward, it is expected that the ACRL Board and Budget & Finance Committee will take a much harder look at any proposed new expenditures, as ACRL would need increased revenue streams (e.g., more members joining, increasing book sales, or projected growth for conference and professional development registrations) to support potential requests for increased or new expenditures. Our goal is to moderate many operational expenditures to be more in-line with current revenue expectations while aligning the budget to support the Plan for Excellence and the core commitment to equity, diversity, and inclusion through strategic investments from ACRL's net asset balance.

While ACRL works to achieve the appropriate net asset balance, it will reduce transfers to its long-term investment fund. In FY19 ACRL transferred $125,000 in appreciation from its LTI to its operating budget to support strategic initiatives. Without the two-year notification required by ALA, ACRL can transfer up to $49,999 to its LTI; transfers above $50,000 require the two-year advance notification.

Note: These assumptions were reviewed by the Budget & Finance Committee during its virtual meeting on November 7, 2019 and updated to include their comments and suggestions.

Choice FY21 Budget Assumptions

General Remarks

Over the past few years a quiet change has been taking place at Choice. While revenues from 2013 to the present are down overall, during this period the *distribution* of revenue among our three revenue streams—subscriptions, licensing, and advertising/sponsorships—has changed in an interesting and important way. Bolstered by the introduction of a new review service, *ccAdvisor*, and the rebuilding of *Choice Reviews*, subscription revenue has held steady at around 51% of total unit revenues, this despite

a continuous drop in circulation in our print properties. On the other hand, royalties from the licensing of our reviews to third parties fell dramatically, from 26% of unit revenues in FY13 to only 20% today, offset by a corresponding rise in advertising and sponsorship revenue, from 19% in FY13 to 25% by the close of FY19.[32]

Buried in this last figure is an important trend. During the period in question, in-publication advertising—print ads in *Choice* magazine and banner ads in *Choice Reviews* and *ccAdvisor*—fell from 87% to 47% of all ad revenue, while *sponsorships*—of newsletters, white papers, podcasts, and webinars—rose from 13% to 53%. This rise in sponsorship revenue is an important indicator of a larger trend at Choice: the development of an audience outside of the collection-development space, an audience eager to consume Choice content in formats and on platforms far removed from reviews.

So while the circulation of *Choice* magazine has fallen, from 1,569 institutions in FY13 to 847 today, and while digital circulation (*Choice Reviews*) has risen by only a few percentage points, we have during this same period quietly been amassing a readership of far greater size and diversity. Consider these engagement figures from the year just finished:

- Choice newsletter subscribers: 13,570 (6 monthly newsletters)
- Webinar registrants: 17,013[33] (24 webinars)
- Webinar attendees: 6,307
- Webinar screenings on the Choice Media Channel (YouTube): 13,127
- The Authority File podcasts: 33,532 downloads and streams (34 episodes)
- White paper downloads: 2,804 (3 reports)
- Bibliographic essay sessions on LibGuides platform: 43,502
- Bibliographic essays viewed: approximately 10,915
- Facebook followers: 10,475
- Facebook "post reach": 81,099
- Twitter followers: 1,402 (up 17% year over year)
- Twitter impressions: 394,100

With the exception of social media and the bibliographic essays, all of the above are funded by sponsors, and all are offered to librarians at no charge.

Clearly, even as the demand for our reviews is moderating (keeping in mind that subscriptions still generate half our income), there has been no fall-off in interest in research-based and professional-development content. Content, in other words, that helps librarians do their work better. As the engagement figures shown here attest, the demand for information of this sort is only growing.

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[32] The final 4% is "other" revenue, largely from the sale of remaindered books.

[33] Lifetime webinar program stats (not de-duped): Registrations: 97,780; attendances: 35,726

Sponsors have recognized in this demand an opportunity to connect with librarians more directly than was possible via traditional advertising, and the result has been a situation that redounds to the benefit of both.

For fiscal 2021, then, as indeed for the current year, Choice has twin paths to tread. On the one hand, we need to take a hard look at our review publications to determine whether the format and range of our reviews support contemporary collection-development practices. Do we need longer, more synthetic reviews of fewer, better-chosen monographs? Should we be doing more to review open access sources? Important works of fiction? Should we open the "archives" (based on some arbitrarily chosen date) of Choice reviews and turn them into a curated bookstore for the intellectually curious? Do we need to supplement our review publications with additional non-review content?

At the same time, we are looking to strengthen our portfolio of professional-development resources and, along the way, our relationships with the sponsors who support them. Already this year we are moving to expand our podcast program through the development of a companion series to The Authority File, featuring in-depth conversations about contemporary trends, best practices, and case studies important to the academic community. Also planned are more event-based live podcasts, modeled after our successful series at this spring's ACRL conference. Finally, and just as important, this year and next we are revamping our website, Choice360.org, in order to provide easier access to the full range of our products and services from a single location. All of these efforts are in the service of expanding the reach of Choice to a larger audience.

When we set out to rebrand our unit in 2015 one of our goals was to change the perception of Choice, from simply "reviews" to "publishing unit." From "collection development" to "multiplatform information provider." That year, subscriptions, royalties, and in-publication advertising generated by our core reviews of new academic monographs accounted for some 90% of all Choice revenue. This past year, these same reviews generated 74% of unit revenue, and in this change, and especially in the size of the audience we are attracting for non-review content, we are beginning to see some success in our rebranding efforts. Obviously, we are far from finished, but our work up to this point has without doubt produced a more diversified and valuable portfolio of goods and services for our membership.

<p align="center">*   *   *</p>

Choice Reviews and Choice magazine

This past year circulation and subscription revenue from *Choice Reviews*, both of which had remained relatively flat in recent years, showed signs of weakness. Circulation was off by 5% and revenue by 3%. Without benefit of any special foresight in this area, and in the absence of any one-time event or factor that would account for this decline, it is prudent to assume similar results for the period ending twenty-three months from now. Print declines have been more reliable (!) During FY19 *Choice* magazine revenue was down 10% to prior year, and *Cards*, 7%. Were it not for the very favorable gross margin (55%) we enjoy on the cards, we would have discontinued publication of this admittedly anachronistic

format years ago. In keeping with long-term trends for these publications, for FY21 we are forecasting an annual decline in subscription revenue of 8% for the magazine and cards.

ccAdvisor and Resources for College Libraries

At the close of its second year, CCA is available in approximately 240 academic libraries in the United States, a circulation heavily dependent on two consortial subscriptions, from the Center for Research Libraries and the Colorado Alliance of Research Libraries, with only modest uptake from individual colleges and universities or from other consortia. In an effort to drive subscriptions, in the late spring of this year we partnered with EBSCO as our exclusive sales agent (save for the two consortia noted above) for CCA, but the results of their efforts, still in their infancy, will not be known for several more months. Given this, it is premature to forecast FY21 revenue other than to acknowledge the roughly $35K (half the gross revenue) stemming from the CRL and CARL contracts.

Resources for College Libraries, our co-publication with ProQuest, has generated a fairly stable revenue stream in recent years, but because ProQuest is solely responsible for sale of the database, we have no visibility into their efforts save for the information we receive in monthly calls with the marketing staff. Recent changes at ProQuest have once again brought us a new marketing manager (our third in a little over a year), and the results of her efforts, let alone those of the sales force, remain to be seen. Overall, we are forecasting revenue in line with or slightly below recent performance, which has garnered approximately $140K annually. We also derive some incidental licensing revenue from ProQuest's designation of titles in eBook Central as being members of the RCL core-title list. This auto-renewable revenue is currently worth $20K annually.

Third-party Licenses

Choice reviews are not published in native formats alone. In fact, 30% of the revenue generated by Choice reviews (exclusive of advertising), and 20% of total unit revenues, derives from the license of these reviews to wholesalers and aggregators. During FY19 these licenses generated over half a million dollars in royalties. The largest of these contracts, with Books in Print/Syndetics (ProQuest) is scheduled for renegotiation at the end of this year. Historically, ProQuest has looked for reductions on the order of 15% during these discussions and should that prove to be the case again we will be looking at a loss of about $18K during the first year of the renewal license. All other licenses are presumed unchanged, bringing to around $500,000 the royalties generated by the licensing of our reviews this year, and this amount will be carried forward to FY21 unless later circumstances dictate otherwise.

Advertising and Sponsorships

Sponsorships are growth opportunities for Choice. As we noted in the introduction, "traditional" advertising—space and banner ads in *Choice, Choice Reviews,* and *ccAdvisor*—now comprises only 47% of our total advertising and sponsorship revenue, down from 87% in FY13. The remainder comes in the form of publisher underwriting of newsletters, eblasts, webinars, podcasts, and white papers, which together brought in some $318K in FY19. The latter three of these in particular represent a publisher spend related to its brand as a whole rather than the promotion of a particular product or service. In

FY19, this "brand" or "content" marketing (i.e., from webinars, podcasts, and white papers) garnered just over $200,000 in advertising revenue. Prospects for FY21 are discussed below.

Webinars. Now in its seventh year, the Choice/ACRL webinar program is well established and continues to draw large and enthusiastic audiences. Early concerns about the limited life-cycle of our program, while not dispelled altogether, seem premature, in part because the professionalism of our productions and the guidance we provide at every step of the process have made our webinars a trusted venue for sponsors, who increasingly look to us for support in approaching the academic library market. FY19 was a strong year for the program; we expect FY20 to be every bit as strong (bookings through the end of 2019 are running $20K ahead of last year); and so we are forecasting revenues at least equal to those of FY19 in FY21. That said, the future of the program is only as strong as advertiser budgets, a factor beyond our control.

Podcasts. During this past year the popularity of The Authority File accelerated rapidly from its inaugural year, with audience engagement growing by 62%; even more impressive, figures for this September are up 140% (4,241 v 1,789 downloads and streams) from a year ago. In light of this growth, we are beginning a companion series to The Authority File, this one a serial-style podcast, in narrative format, highlighting individual library stories. The pilot series will tell the story of the "rebirth" and reconceptualization of Lone Star College-Kingwood's library following the total loss of its collection during Hurricane Harvey in 2017.

Financial performance has been no less encouraging. Between FY17 and FY18 revenue grew 80%, and bookings for FY20 are already at 102% of budget. Given this and the evident popularity of the program, we are forecasting a further 25% growth, on a relatively small base, for FY21.

White Papers. Finally, our white paper program, more labor- and time-intensive than either webinars or podcasts on a unit basis, is growing more slowly, restrained both by resource issues at Choice and by sponsor participation. To wit, we have found sponsors for three of the four papers published since the inception of the program and for one of the two papers scheduled for release this year, and we are still working to find the right topical balance between the needs of librarians and interest by sponsors. (Library outreach, for instance, has garnered underwriting support; research data services have not.) Our ad sales manager reports healthy interest in the program but difficulties in getting commitments for this relatively expensive item unless the spend is first factored into a sponsor's annual budget. The longer sales cycle this entails, and the scant staff resources available to produce the studies, are serving to limit the number of publications we publish. On a *pro forma* basis, therefore, we are assuming two white papers in FY21, with gross revenue of $30,000.

<p style="text-align:center">*   *   *</p>

These budgetary assumption discussions are curious documents, written as they are a scant twenty-five days into the *prior* fiscal year. While it is difficult at this early date to know just what FY20 will bring (let alone FY21), what we *do* know is that business planning and strategic discussions are more or less constant at Choice, with new ideas under constant scrutiny, refinement, and, where feasible, testing.

With these points in mind, we make the following *pro forma* assumptions regarding the FY21 budget found on page 21 .

General Assumptions

Basic Budget Assumptions

1. All ALA and ACRL fiscal policies will be followed in the development of the budget.
2. The mandated reserve (as set by the ACRL Board, following ALA policy) for ACRL and *CHOICE* will be maintained.
3. Professional development offerings must be operated on a full cost-recovery basis.
4. Non-serial publications must be operated on a full cost-recovery basis.
5. Salaries and benefits for division staff will be equal to or less than 45% of the total operating budget using a 2-year average to match the swings in the operating budget.
6. Total administrative costs for the Division will be equal to or less than 60% of the total operating budget using a 2-year average to match the swings due to the ACRL Conference.
7. New projects that don't generate revenue will be charged to the membership services category.
8. Personnel allocations for salaries, benefits, and other related costs and office services, such as postage, copying, telephone, etc., will continue to be charged to the various programs as a percentage of the time spent on the programs.

Modified accrual accounting

ALA uses accrual accounting, a method which recognizes revenues and expenses at the time the event is held, or product delivered. This method ensures that revenues are on hand for refunds should said event or product not be delivered. However, ACRL has requested that ALA continue to "recognize" the expenses leading up to the conference/event as they occur so that staff can monitor expenses and adjust as needed. Should ALA be able to develop easily obtained reports detailing expenses, ACRL would consider switching to a full accrual system. At this time, however, we are "paying as we go" and earning the revenues only after we deliver the product, e.g., the publication, the conference, etc.

Given that FY21 is a conference year, ACRL would expect to generate net revenues. However, due to the investment of ACRL's net asset balance in strategic initiatives, since 2017, the FY21 budget may require a deficit as we ease back on some things. We want to align expenses with revenues but at a minimal disruption to members. The Budget & Finance Committee and staff will closely monitor the deficit budget to ensure that ACRL's net asset balance remains above the mandated operating reserve (i.e., one-quarter of the average of the last four years of expenses).

Revenues

+ Primary sources of revenue will be education (e-learning, institutes, pre-conferences), publications (including advertising and sponsorships), dues and donations.

+ At least $25,000 will be budgeted for donations to ACRL Friends (pending further discussion by the Board as to the type of campaign to launch for FY21).
+ The Colleagues program has been a strong source of revenue for ACRL programs and special activities in past years. Although fundraising has gotten more difficult, dedicated member leaders continue to exceed expectations in the fundraising for the ACRL Conference. Other programs have been slightly more challenged, e.g., awards, as sponsors continue to look for more engagement with customers in return for their sponsorship. Staff will budget conservatively for donations related to specific projects. (Projects 3206, 3800, 3833, and 3835).
+ An estimated $135,000 in income from the ACRL long-term investments will be recognized in the draft operations budget (final amount will be derived in consultation with ALA Finance staff to ensure that will be the eligible expected earnings) (Project 3200).

Expenses:
− Travel and communication costs will continue to increase and will be carefully monitored (all projects). Travel and administrative expenses were reduced based on prior year actuals.
− All staff positions will be filled. An additional part- or full-time position may be considered as we look at how to best enhance Project Outcome. An additional staff position was removed from the draft budget. Some funds will be budgeted for interns and temporary help.
− Friends Fund disbursements for FY21 will be budgeted at a minimum of $50,000 in anticipation of successful fundraising for 2021 ACRL Conference scholarships. (Project 349-3831)
− $60,000 budgeted from operating to support ACRL 2021 scholarships.

Assumptions by Strategic Goal

Goals are listed in the order in which they appear in the *ACRL Plan for Excellence.*

Value of Academic Libraries

Goal: Academic libraries demonstrate alignment with and impact on institutional outcomes

Objectives
1. Cultivate research opportunities that communicate the impact of academic and research libraries in the higher education environment.
2. Promote the impact and value of academic and research libraries to the higher education community.
3. Expand professional development opportunities for assessment and advocacy of the contributions towards impact of academic libraries.
4. Support libraries in articulating their role in advancing issues of equity, access, diversity, and inclusion in higher education.

Expenses
− $21,000 will be budgeted for research grants to practitioner-scholars to carry out research on key questions identified by the June 2017 Academic Library Impact action-oriented research agenda. These will be awarded through a competitive selection process (7 grants of $3,000

each); *(Project 3703) Reduced to 4 grants for a total of $12,000; but should consider if this program should be continued as this is its 4th year.*

- $10,500 will be budgeted for dissemination costs for those awarded research grants in FY20 (7 people x $1,500 each); *(Project 3703)*
- $11,250 will be budgeted for support for academic librarians to present at higher education conferences about VAL related topics, above and beyond the ACRL Liaisons program. These will be awarded through a competitive selection process (6 people @ $1,875 each as follows: $800 conference registration, $1075 travel, breakdown: $450 flight, $200 hotel x 2 nights, $50 per diem x 3 days, $75 ground transportation); *(Project 3703) Program being reviewed and expanded beyond VAL. Reduced budget to awards for 4 people for a total of $7,500.*
- $2,500 will be budgeted for potential VAL activities in consultation with the chair of the VAL committee. *(Project 3703)*

Student Learning

Goal: Advance equitable and inclusive pedagogical practices and environments for libraries to support student learning.

Objectives

1. Empower libraries to build sustainable, equitable, inclusive, and responsive information literacy programs.
2. Collaborate with internal and external partners to expand understanding of the impact of information literacy on student learning.

Expenses

- $2,500 will be budgeted for potential SLILC activities in consultation with the chair of the SLILC committee (Project 3711).
- $10,890 will be budgeted for maintenance and development of the Information Literacy Sandbox (Project 3711).
- One Immersion Program will be offered in FY21: the redesigned Immersion curriculum which integrates content from the separate tracks into one offering. (Projects 3830). The program will break even or net a small profit. We are also planning on offering at least one regional Immersion program at a location to be determined (Project 3834). This change addresses the trend toward making more regional programming available. All Immersion programs will be offered on a cost-recovery basis. Because of its proven-track record of drawing a consistent number of participants, registration revenues will be budgeted at 95%. (Project 3830)
- Funds will be budgeted for one Immersion facilitator observer for the non-regional Immersion Programs (Projects 3830).

Research and Scholarly Environment

Goal: The academic and research library workforce accelerates the transition to more open and equitable systems of scholarship.

Objectives

1. Increase the ways ACRL is an advocate and model for more representative and inclusive ways of knowing.
2. Enhance members' capacity to address issues related to scholarly communication, including but not limited to data management, library publishing, open access, and digital scholarship, and power and privilege in knowledge creation systems.
3. Increase ACRL's efforts to influence and advocate for more open and equitable dissemination policies and practices.

Revenues

+ $10,000 will be recognized from hosts of the 5 subsidized scholarly communication workshops, which are partially subsidized (@$2,000 each). (*Project 3702*)

Expenses

− Continue offering ACRL licensed workshop on Scholarly Communication with up to five subsidized versions on a partial cost-recovery model. Delivery to five locations means an estimated direct cost of $16,750 total: $9,250 travel = (2 presenters x 5 workshop locations) * ($450 flight + $300 hotel ($200 * 1.5 nights) + $100 2 days per diem + $75 ground transportation) and $7,500 honorarium ($750 x 2 presenters x 5 locations). (*Project 3702*)
− $2,500 will be budgeted for scholarly communication activities in consultation with the chair of the Research and Scholarly Environment Committee. (*Project 3702*)
− $30,000 will be budgeted for research grants to practitioner-scholar academic librarians to carry out research on key questions identified by the Spring 2019 action-oriented research agenda. These will be awarded through a competitive selection process (6-10 grants of $3,000 - $5,000 each); (*Project 3702*) Could consider reducing but this supports ACRL's EDI initiatives.
− $10,500 for dissemination costs for those awarded research grants in FY20 (7 people x $1,500 each)
− An additional $29,257 is budgeted to pay the following:
  o $15,010 for Library Copyright Alliance ($15,010 shown in Govt. Relations Project 3704)
  o $6,750 for SPARC dues;
  o $5,000 for Open Access Working Group;
  o $497 for COUNTER dues;
  o $4,000 for OpenCon2021, 2 sponsored scholarships; Reduced to one sponsored scholarship for a total of $2,000
  o $3,000 for advocacy efforts to influence legislative and public policy (*Project 3702*) (removed from budget as rarely used historically

New Roles and Changing Landscapes

Goal: The academic and research library workforce effectively fosters change in academic libraries and higher education environments.

Objectives:

1. Deepen ACRL's advocacy and support for the full range of the academic library workforce.

2. Equip the academic library workforce to effectively lead, manage, and embrace change, advocate for their communities, and serve as a catalyst for transformational change in higher education.
3. Increase diversity, cultivate equity, and nurture inclusion in the academic library workforce.

Expenses
- $2,500 will be budgeted as a placeholder for new initiatives to support this goal. (Project 3403)
- $1,500 in ongoing costs for the online "Leading Change" course launching in FY20. (Project 3403)

Equity, Diversity and Inclusion

Revenues
+ $24,000 in revenues from the ACRL Diversity Alliance will be budgeted. 48 institutions @ $500. Number of institutions based on 90% of 2018 membership (Project 3402).
+ $5,490 budgeted for ACRL 2021 Diversity Alliance Preconference (Project 3402)

Expenses
- $1,500 in ongoing costs to support for the ACRL Diversity Alliance (Project 3402).
- $14,000 will be budgeted to support two ALA Spectrum Scholars. The B&F Committee and the Board recommended to increase support from one to two Spectrum Scholars. The Board approved at its 2018 Fall Meeting. (Project 3838).
- A portion of ACRL scholarships (Project 3838; full budget in "Scholarships" section) will go to underrepresented groups in FY21. In FY19, the following were awarded and ACRL will aim to award at similar levels depending on donations received in FY21:
  o ACRL awarded $12,000 in Immersion scholarships to support the participation of six academic and research librarians from under-represented backgrounds or working at under-represented institutions to attend the 2019 Immersion Program.
  o Of the $124,210 in ACRL 2019 Conference scholarships awarded, $56,000 supported the participation of 78 academic librarians, support staff, and students from under-represented backgrounds or working at institutions serving under-represented groups.
  o ACRL awarded $16,555 to 20 RBMS 2019 Conference scholarship recipients to support the participation of 13 academic librarians and students from under-represented backgrounds or working at under-represented institutions.

Enabling programs and services: Member Engagement

The following budget assumptions are presented by enabling program and service area so that we continue to think of resource allocation aligned with the strategic plan.

Membership Services

Revenues
+ Membership revenues will be budgeted using the FY19 actual. The FY21 revenue was projected based on the August 2019 membership of 9,313 (this number excludes the 206 non-dues paying

members in FY19). FY21 will be a conference year for ACRL. While historically membership increased in an ACRL Conference year, ACRL has not enjoyed that increase in 10 years; at best the ACRL Conference seems to slow the decline in membership. In Fy19 ACRL lost 1% of its membership; for FY21 membership will be budgeted at a.74% decrease over the FY19 membership actual of 9,313 personal members. ACRL may increase dues slightly in FY20 (if the Board implements an increase based on a possible change to the HEPI index). The initial personal membership rate for FY21 will based on FY19 HEPI and then updated to reflect the FY20 HEPI. Staff will continue to adjust this recommendation based on the monthly membership reports and quarterly HEPI forecasts.

Expenses
- Membership benefits and support for member services will be budgeted following FY19 actual. (Project 3200)
- ACRL will budget $5,000 to sponsor five ALA Emerging Leaders. (Project 3200) Reduced from five to three sponsorships to save $2,000.
- ACRL will budget $4,500 (updated number in assumptions to match $4,500 at MW19) to print *C&RL News* wraps welcoming new, reinstated, and renewing members and encouraging lapsing members to renew. (Project 3200)
- Leadership Council catering for Annual Conference split between 3200, 3201, 3250, 3275. Budget based on average of previous years: $5,000/2
- $50,000 for as yet unidentified strategic initiatives will be budgeted. (Project 3200-5350) This was reduced to $25,000.
- $25,000 for the 3-year membership survey. (Project 3200) Removed from budget.
- $10,000 will be budgeted for focus groups at the ACRL Conference in 2021.

Board and Executive Committee

Expenses
- Funds will be budgeted to support a suite for the ACRL President at Annual Conference— typically about $340/night/5 nights. As ALA sunsets MW a suite may not be needed at MW 2021. *(Project 3201)*
- Funds estimated at $63,022 will be budgeted for a FY21 Board Strategic Planning and Orientation Session. Funds will be budgeted to include senior staff participation in the Strategic Planning Session as well as chairs/ vice-chairs of the four goal-area committees and the EDI Committee. *(Project 3201)* This is still currently in the draft budget pending discussion by Board at Midwinter 2020.
- Leadership Council catering for Annual Conference split between 3200, 3201, 3250, 3275. Budget based on average of previous years: $5,000/4 (Project 3201)
- After the MW 2020 welcome breakfast it will be decided whether the event should continue, and funds could be added to the budget after MW.

Advisory services and consulting

Revenues

+   Gross revenues of $88,500 will be budgeted for consulting services in FY21, yielding a modest net of $7,300. (Project 3203)

Discussion Groups

Expenses

−   No funds beyond staff support will be budgeted as discussion groups do not receive a base funding allocation.

Awards

Expenses

−   Donations to support awards will be recognized and staff time, administrative fees, and direct expenses will be budgeted to support the awards program, which consists of 21 awards. (Project 3206)
−   Administrative fees will be allocated to 4429 instead of 4490, saving approximately $600 in overhead.

Chapters

Expenses

−   Per member allocations to ACRL Chapters will be funded at $1.00 per ACRL member residing in the state or region but budgeted based on historic usage of these funds which is below the maximum funding allowed. As ACRL looks to reduce expenses this area of expense reimbursement merits examination. Less than half of the chapters avail themselves of this funding. (Project 3207)
−   Funds will be budgeted to support the ACRL Chapter Speakers Bureau program, which funds ten visits to ACRL chapters by ACRL officers. (Project 3207)
−   Because no chapter has ever requested funds under this program since its inception, no funds will be allocated in the FY21 budget to implement the Board's policy to give $10 to chapters for each new member of ACRL in the chapter's geographic region who joined in the previous fiscal year after chapters document membership campaign activities focused on recruiting to ACRL national. If a chapter did undertake this activity, ACRL could fund this from the net asset balance.

Committees

Expenses

−   Committees are allowed up to $150 each. Based on historical requests, $1,200 will be budgeted.
−   Leadership Council catering for Annual Conference split between 3200, 3201, 3250, 3275. Budget based on average of previous years: $5,000/4Sections and Interest Groups

Sections

Expenses

- Expenses for sections will be budgeted using the section funding formula in place, a base allocation of $1,000.00 with an additional $0.75 per section member over 400 (as of August 31).
- Interest Groups are allowed up to $150 each. Based on historical requests, $1,500 will be budgeted.
- Leadership Council catering for Annual Conference split between 3200, 3201, 3250, 3275. Budget based on average of previous years: $5,000/4

Liaisons to Higher Education Organizations

Expenses

- See Advocacy section.

Special Events

Expenses

- In recent years, the number of ACRL section and interest group special events at conferences has averaged 16 per year. With the reorganized Midwinter Meeting starting in 2021, the average number of events per year may drop to 13-14 as less units meet onsite. (Project 3833)

Government Relations (Project 3704)

Expenses

- $15,010 for Library Copyright Alliance ($15,010 shown in Scholarly Communication Project 3702)
- $6,000 will be budgeted to cover the costs of the officers (or other leaders) attending ALA's Legislative Day in Washington, D.C. (*Project 3704*) Reduced to $4,000 based on prior year attendance.
- $3,000 for general travel to support legislative and policy advocacy (*Project 3704*). Reduced to $2,000.

Scholarships

Expenses

- Funds for scholarships shall be budgeted as follows, although these amounts may be reduced as the budget gets assembled (Project 3838):
  - ACRL 2021 Conference @ $75,000; Reduced to $60,000
  - 2020 RBMS Conference scholarships @ $16,000 (based on estimated FY19 profit share): Updated to $18,000, average of last three year's profit share
  - Immersion Programs @ $12,000; reduced to $10,000

- E-learning scholarships @ $1,000: eliminated
- Support for 2 ALA Spectrum Scholars @ $14,000
- Miscellaneous @ $3,000; eliminated

Annual Conference Programs

Expenses

- Financial support for ACRL's ALA Annual Conference programs will continue at $20,000 (per Board Action, June 2004). (Project 3835)
- The President's Program budget will be $7,500. (Project 3835)
- Funds of $200 will be budgeted for a front and back flyer that includes the award winners for the ACRL President's Program. (Project 3835)

Enabling programs and services: Publications

Non-periodical publications

Revenues

- In FY21, non-periodical publications will be able to recover costs and net a small-medium excess revenue based on the current list of books in progress and expanding backlist. (Project 3400)
- ACRL should see continued robust sales and royalties from EBSCO and ProQuest in FY21. (Project 3400)

Expenses

- Expenses will be budgeted higher than in previous years to account for increased costs of production, royalty payments, costs of sales, etc. as the new title count and backlist continues to grow. (Project 3400)

Library Statistics (Project 3202)

Revenues

- We expect print sales to further decline as we undertake more aggressive marketing and product enhancements to the ACRL Metrics interface. ACRL Metrics revenue is expected to hold steady at FY19 level unless additional consortial agreements are signed. Sales of the ebook versions of ACRL Trends and Statistics through ProQuest are expected to increase.
- Revenue from the new ACRL/LLAMA Interdivisional Academic Library Facilities Survey database is expected to break even with expenses in the first year and revenue from the will be budgeted in 3202 (FY21).

Expenses

- We will budget to continue the ACRL Academic Library Trends & Statistics project. (Project 3202)

Standards and guidelines (Project 3204)

Revenues

+ A small amount of revenue from sales of bundles of the Standards for Libraries in Higher Education and IL Framework. Estimate of $1,300 is based on FY19 actual sales.

Expenses

− There should be no, or very limited, printing expenses in FY21 due to bulk order of both booklets for per unit cost savings in FY19 (Project 3204).

C&RL (Project 3300)

Revenues

+ *C&RL* revenue should be on par with FY19 actual (conference year to conference year comparison). (Project 3300)

Expenses

− Online hosting expenses should remain steady with FY19 actual. (Project 3300)

C&RL News (Project 3302)

Revenues

+ Subscriptions: Subscriptions dropped approximately 10% between FY18 and FY19. At this time, we will budget a similar drop for FY21 unless we see a material change in FY20 subscriptions year to date. Small annual subscription price increases have been implemented which will partially offset smaller number of subscribers.

+ Product ads: *C&RL News* revenue should be on par with FY19 actual (conference year to conference year comparison).

+ Classified ad revenues will be budgeted about 6.6% less than FY19 actual. Sales grew steadily from 2010 through 2017, then declined slightly in 2018 and 2019 as the job market plateaued. ALA JobLIST maintains high awareness in the LIS niche and is a uniquely powerful recruitment tool for the profession. But an uncertain economic environment and the possibility of new ALA policies restricting the ads JobLIST is allowed to publish—restrictions JobLIST's for-profit competitors don't face—potentially threaten its future performance. Online job ad revenues and expenses are split with *American Libraries* 50/50 through operation of the ALA JobLIST online career center. *(Project 3302)*

Expenses

− Some funds will be budgeted to support marketing initiatives for the online career center, ALA JobLIST. *(Project 3302)*

− $14,000 will be budgeted to contribute to HRDR for operating costs of the ALA JobLIST Placement Center at ALA MW and AC. *(Project 3302)*

− $18,000 will be budgeted for ALA JobLIST's ongoing operating expenses, primarily a monthly fee

to the platform provider. *(Project 3302; line numbers 5430 & 5412)*

− *C&RL News* page counts will remain at FY19 levels, pending revenues and expenses. *(Project 3302)*

− Slight increases in printing and postage are anticipated. *(Project 3302)*

− Ongoing online hosting expenses decreased compared to FY19 actual levels (per issue charges plus ongoing costs for altmetric data, Portico preservation, etc.) following the transition to Open Journal Systems in FY17. Additional expenses for special projects may be incurred as well. (Project 3302)

RBM (Project 3303)

Revenues

+ Subscriptions dropped approximately 10% between FY18 and FY19. At this time, we will budget a similar drop for FY21 unless we see a material change in FY20 subscriptions year to date. Small annual subscription price increases have been implemented which will partially offset smaller number of subscribers.

+ Print and online advertising revenue should be on par with FY19 actual (conference year to conference year comparison).

Expenses

− Online hosting expenses will remain at FY19 levels following the transition to Open Journal Systems in FY17. (Project 3303)

− Slight increases in printing and postage are anticipated. (Project 3303)

− Page counts should remain at FY19 levels. (Project 3303)

CHOICE

Keeping in mind the points made in the overview section, here are the following *pro forma* assumptions regarding the FY21 budget. (All percentages are to FY20 budget):

CHOICE Revenue

+ *Choice Reviews* subscription revenue will fall by 5%.

+ *Choice* magazine and card subscription revenue will both fall by 8%

+ Subscriptions to *Resources for College Libraries* will be in line with FY19 performance, at around $135,000. RCL licensing will remain at $20K for the use of RCL content in ProQuest's eBook Central.

+ Net (to Choice) revenue for cc*Advisor* will be budgeted at around $50K for combined subscriptions and advertising. This figure is contingent on as-yet-untested performance by the EBSCO sales force.

+ Advertising net revenues:

- o We are assuming continued weakness in *Choice* magazine advertising, yielding approximately $300 in gross revenue. Banner ads in *Choice Reviews* will be flat to current year.
- o Content marketing from newsletters, eblasts, white papers, and podcasts, will rise slightly on the strength of growth in podcasts.
- o Gross webinar revenue will remain at around $175K. Assuming the current financial split with ACRL (85/15) for webinars, this delivers around $150K to Choice before sales commissions.
- + Royalties from licensing of *Choice Reviews* will remain at or slightly below current levels, to perhaps $500K, for the reasons described herein.

CHOICE Expenses

- − Choice will budget salary, benefits, and overhead according to the directives of ALA Finance.
- − All other direct expenses, with the exception of amortization of capitalized expenses, will remain at or below FY20B levels, owing to continued economies and a recent reduction in force.
- − Overhead assumption: 13.2% of revenue.

CHOICE Bottom Line

- • Revenues will be down approximately 3%.
- • Expenses will fall approximately 4%.
- • For FY21, net revenue should come in on or close to break-even.

Enabling programs and services: Education

ACRL 2021 Conference (Project 3808)

Revenues

- + All revenues pertaining to ACRL 2021 will be recognized in April 2021 after the conference is held.
- + FY21 is an ACRL Conference year so total ACRL revenues will be approximately more than two million dollars more than FY20 total revenues.
- + Registration revenue for ACRL 2021 will be budgeted at a figure based on the average of our last two west coast conferences, plus ACRL 2019, which equals 3,077 registrants. This is a 1.5 percent increase from our 2019 conference in Cleveland but a 2.9 percent decrease from the average of the past four conferences which was 3,243.
- + We anticipate an increase to the ACRL 2021 registration fee in order to cover expenses (Seattle is a more expensive conference location than Cleveland) and to have a budget with a projected net revenue similar to the FY19 net.

+ ACRL 2021 exhibitor revenues will be budgeted with a modest decrease from 2019. We have dropped between 10-12 booths per conference since 2013 (375 booths actual 2017, 386 booths actual 2015, 398 actual 2013), with a fairly large 48 booth drop from 2017 to 2019. We will budget with a similar booth number as 2019, factoring in a slight decline for 2021.

+ ACRL 2021 sponsorship revenues will be budgeted around $225,000-$250,000 in consultation with the ACRL 2021 Colleagues Committee. We expect fundraising to be challenging due to the economic climate, tight budgets, and ongoing company mergers, so have planned for a decline from FY19 actuals.

+ Because conference revenues have consistently met or exceeded budget for at least the last ten conferences, 100% of revenues will be recognized.

Expenses

– We expect expenses for ACRL 2021 to be higher than FY19 as the cost of doing business continues to increase and Seattle is an expensive conference city in comparison to Cleveland.

– Staff are taking active steps to find cost-savings and reduce expenses when possible.

– The ACRL 2021 conference budget will include a modest amount of funds for "innovation" and/or new programs/services which will enhance the conference.

– Scholarships will be budgeted as a "contra-expense" transfer from ACRL's scholarship project rather than shown as revenue.

Preconferences and workshops

Revenues

+ Revenues generated from registration fees will cover the costs for one Annual preconference, as the event is budgeted to at least break even. We will budget attendance conservatively to minimize the possibility of having to cancel due to low registration numbers. (Project 3811). Given that it is an ACRL Conference year, we will not plan for a preconference at the ALA Annual Conference.

+ The RBMS 61st Annual Conference will be held in FY21. Revenues and expenses for this program will be set to break even. (Project 3800) Given its strong 60+year history, registration revenues continue to be budgeted at 95% of the previous year's registration figures.

Expenses

– Sections sponsoring preconferences (e.g., RBMS) in FY21 may participate in the program to share net revenue with ACRL, which is spent from the fund balance in FY20. (Project 3275 and 3838)

Online learning (Project 3340)

Revenues

+ E-learning webcasts and courses will be developed and offered in FY21. We project the number of multi-week course offerings to stay the same or decrease slightly from FY20 levels and expect

webcast offerings to stay the same from FY20 levels. We anticipate total revenues will be a little down from FY20 actuals. (Project 3340)

+ ACRL and CHOICE will split revenues and expenses (15/85%) for the ACRL/CHOICE sponsored webinars and will budget approximately 30 of them in FY21.

+ ACRL will continue to offer group registration rates for e-Learning webcasts, as well as the "frequent learner program," and special pricing for webcast series. (Project 3340)

Expenses

− ACRL will continue to provide two complimentary e-Learning webcasts to ACRL chapters per fiscal year.

Licensed workshops (Project 3341)

Revenues

+ ACRL will continue to license full-day workshops to institutions, chapters, and consortia upon request. Seven available workshops will cover these topics: the Standards for Libraries in Higher Education, Scholarly Communication, Assessment, Open Educational Resources and Affordability, Research Data Management, the Framework for Information Literacy for Higher Education, and the Scholarship of Teaching and Learning. These programs will be offered on a cost-recovery basis and should generate a modest net. (Project 3341)

+ We project the number of workshops delivered to decrease slightly from FY20 levels due to the ACRL 2021 Conference. We anticipate total revenues will be lower than FY20 actuals. (Project 3341)

Expenses

− ACRL will continue to cover travel costs for new presenters to shadow workshops. With the expectation that ACRL will develop one new workshop in FY20 and one new workshop in FY21 and hire new presenters in FY21, ACRL will budget for 6 new presenters (3 for each new workshop) to shadow one workshop each in FY21.

− $20,000 to hold two curriculum development and refreshes per year.

Enabling programs and services: Advocacy

Strengthening partnerships with other organizations (Project 3501)

Expenses

− $30,000 will be budgeted to support the work of ACRL's External Liaisons Committee (formerly Liaison Coordinating Committee) through its grants working group. (Project 3501). Was budgeted at $22,000; reduced to $18,000.

− ACRL will continue organizational support Project COUNTER, CHEMA, EDUCAUSE (dropped EDUCAUSE Dues from draft budget saving $2,000), FTRF, American Council of Learned Societies, National Humanities Alliance, and CNI. (Project 3501)

- Modest funding to support additional visits (as opportunities arise) to higher education organization conferences and meetings and those of information –related organizations will be included in the budget. (Project 3501)

Communication on major issues and trends in libraries and Higher Education

Expenses
- Continue membership in Library Copyright Alliance at direct cost of $28,000 plus staff time, travel. (Projects 3702 and 3704)
- Funds will be budgeted to support ACRL's advocacy efforts to influence legislative and public policy. (Projects 3702 and 3704)
- The full Board will participate in a virtual spring meeting but $6,000 will be budgeted to cover the costs of the officers (or other leaders) attending ALA's Legislative Day in Washington, D.C. (Project 3704)

Project Outcome (Project 3712)

Revenue
+ Project Outcome offers fee-based group accounts for consortia that may bring in revenue. Fees range from $600 to $5000 per group, depending on the number of institutions. There are likely to be fewer than 5 groups added in a year.

Expenses
- $51,600 will be budgeted for monthly web maintenance costs for the ACRL Project Outcome toolkit. This includes $100/month for Amazon Web Services and $200/month for LarkIT. Community Attributes is paid monthly for maintenance and ad hoc troubleshooting (estimated at $4000/month).
- $20,000 will be budgeted for additional site improvements and new features, working with Community Attributes and in conjunction with PLA.
- $10,000 will be budgeted for continuing promotion of the toolkit at conferences (5 conference trips at $2000 each).
- ACRL staff time of at least 15 hours/week to: provide customer service and technical support for Project Outcome users, act as staff liaison to the Project Outcome for Academic Libraries Editorial Board, and organize new online learning opportunities.

Operations

Operational activities relevant to the quality of ACRL's strategic and enabling programs and services are reported below.

Staff and office

Expenses—ACRL

− ACRL's staff budget will include full staffing and may include an additional full or half-time person.

− $5,000 will be budgeted for contract services as needed. (Project 0000)

− Staffing costs for existing staff will be budgeted as directed by ALA Finance. (Project 0000)

− A small amount of money will be budgeted for replacement printers and furniture as needed. (Project 0000)

− Costs to provide professional development opportunities for staff will be budgeted. Budgeted funds for professional development and membership, business meetings, and general operational costs reduced.

Expenses—CHOICE

− See *Choice* expenses.

ALA Relationship

Long-term investment

+ ACRL's general overhead payment to ALA will be budgeted at FY21 levels as policy requires, currently estimated at about $811,598 (FY19 final actual).

Expenses—CHOICE

− CHOICE's general overhead payment to ALA will be budgeted at approximately $334,014 in FY21, based on FY19 actual (final close).

Association of College & Research Libraries *A division of the*
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Advancing learning
Transforming scholarship

Association of College & Research Libraries
A division of the American Library Association

To: ACRL Budget and Finance Committee

From: Mary Ellen K. Davis, ACRL Executive Director

Date: January 8, 2020

Re: Overview of FY21 budget

cc: ACRL Board of Directors

Executive Summary

ACRL TOTAL	FY21 Budget	FY19 Actual	$ Var from Actual	% Var from
Revenues	$5,114,171	$5,115,731	($1,560)	-0.03%
Expenses	$5,299,392	$5,234,168	$65,224	1.25%
NET	($185,221)	($118,437)	($66,784)	56.39%
Ending net asset balance	$2,205,975	$3,311,824	NA	NA

CHOICE TOTAL	FY21 Budget	FY19 Actual	$ Var from Actual	% Var from
Revenues	2,513,535	$2,520,863	($7,328)	-0.29%
Expenses	2,545,859	$2,698,854	($152,995)	-5.67%
NET	($32,324)	($177,991)	$145,667	-81.84%
Ending net asset balance	$2,530,436	$2,571,980	NA	NA

ACRL Budget overview

The attached spreadsheets (B&F Doc 7.1 & 7.2) document anticipated revenues and expenses for FY21 by project, based on the budget assumptions (B&F Doc 6.0) as developed by staff and the Budget & Finance Committee, and then revised and approved by the ACRL Board at its 2019 Fall Board Virtual Meeting. As we discussed during the Fall Board Meeting, the assumptions were a "wish list" and I was doubtful we could include all of them in the budget without a large deficit (or a sudden windfall—which hasn't happened, yet,

and I don't expect to happen). Staff included all the assumed expenses in the initial draft budget and then reviewed the bottom line.

> The first draft of the FY21 budget, included all of the budget assumptions, and resulted in a significant deficit, in what would typically be a year in which ACRL would generate a significant net revenue due to it being an ACRL Conference year. The initial deficit brought the ending net asset balance closer to the "high risk" scenario the Budget & Finance Committee developed (B&F Doc 8.0). While technically we need only keep in reserve what a 1998 ALA policy requires (it has been average of one-quarter of the last four year's expenses and it is not clear if this policy is still in force, , ACRL adopted its own policy to the same effect, "ACRL will maintain a mandated Reserve Fund equal to at least 25 percent of the average annual expenditures excluding CHOICE over the four most recently completed years. The operating budget contains an expense line for the mandated reserve, and it is appropriately budgeted as part of the annual budget preparation. The Reserve Fund does not accrue interest to ACRL." Source: ACRL Board, July 1986, January 1991, revised June 1997.

In practice ACRL has kept a larger net asset balance. ACRL has done this primarily for two reasons: 1) it provides flexibility and gives the Board resources to tap into to support new initiatives and 2) should there be an extraordinary event, such as an ACRL Conference cancellation or major disruption to the attendance, there would be money on hand to sustain the organization. As another point of comparison, the Council of Higher Ed Management Association executive directors recently shared their net asset balance policies, and many were more conservative than ALA's (B&F Doc 9.0).

At the end of FY15, ACRL's net asset balance was sizeable; it had increased to $5 million. This was the result of careful stewardship, increasingly successful biennial conferences, and some frugality brought on by the Great Recession of 2008.

After reviewing the FY15 net asset balance the Budget & Finance Committee, Board, and staff agreed that more of this money needed to be put to work investing in programs and services that meet member needs, as well as setting some aside in ACRL's Long Term Investment to increase that particular revenue stream. Over the last few years, ACRL put that money to work investing in programs, such as a research agenda on the value of academic libraries, services/education (including developing a database/sandbox) around use of the new *Framework for Information Literacy for Higher Education*, development of a research agenda for scholarly communications, investment in Project Outcome for Academic Libraries, developing curriculum for RoadShows, investments in scholarships to ACRL professional development events (in addition to those donated by individuals), investments in ACRL's LTI, and a transfer to CHOICE to support the development of new products.

After all of these investments, ACRL has successfully reduced its net asset balance to $3,311,824 at the end of FY19 and provided many new contributions/programs to the profession. Deficits budgeted for FY20 could reduce the net asset balance to $2,391,196.

This brings us back to the draft FY21 budget, which currently has a projected net asset balance of $2,205,975 against the minimum required by ALA/ACRL of $1,060,858. To present you with a draft budget that stayed above the net asset balance required by ALA/ACRL and closer to that recommended by previous Budget &

Finance Committees, staff removed/reduced some expenses from those articulated in the FY21 budget assumptions (B&F Doc 6.0, Board Doc 10.0), while still investing in a number of programs and services. Some expenses were "trimmed," e.g., less money for travel, catering, supplies, staff professional development, etc. and some items were removed from the budget. Those removed and those with specific amounts called for and then reduced are noted on the updated Budget Assumptions (B&F Doc 6.0, Board Doc 10.0). A few of the eliminated or reduced expenses listed in the assumptions are highlighted here:

- Removed a staff position that is in the FY20 budget. This is the ACLS fellow position that ACRL extended to a third year at its own expense. This term ends in August 2010 and we will not continue this position.
- $50,000 for unplanned strategic initiatives reduced to $25,000
- Removed $25,000 for 3-year membership survey
- Reduced from $75,000 to $60,000 funds budgeted out of operating budget for ACRL 2021 Conference Scholarships.
- Reduced by $6,000 funds allocated to miscellaneous, e-learning, and Immersion scholarships.
- Reduced from $30,000 to $18,000 budgeted "grants" for liaison work, which has been underused.
- Reduced from $21,000 to $12,000 for grants to present about value of academic libraries as the program is in its 4th year.

The spreadsheets (B&F Doc 7.1, Board Doc 10.2) provide an overall executive summary that identifies revenues and expenses in the three main areas of membership dues and services, publications, and professional development. The next spreadsheet is an executive summary of the budget through the lens of the Plan for Excellence goals and enabling programs and services to provide a quick glance at how strategically ACRL's resources are allocated.

For those new to the ACRL budget, it is important to remember two things. First, ACRL has been in an aggressive spend down of its net asset balance, which had risen to $5 million, and was budgeting deficit budgets to achieve this. Second, ACRL's finances need to be considered as a two-year cycle; fiscal years ending in an even number are expected to have some deficit to cover the planning expenses for the next ACRL Conference. Fiscal years ending in an odd number would typically show net revenues that cover all of the planning expenses from the previous year, as well as excess revenues to support member programs and services. This "seesaw" budget can be seen in Figure 1 (B&F Doc 16.1).

With success at reducing the net asset balance the Budget & Finance Committee should review its net asset balance scenarios (Joint Docs E & M) to determine the appropriate size of the net asset balance. The Committee may also want to suggest scenarios to the Board for any prioritization of ACRL's initiatives.

As one considers the FY21 budget, it becomes evident how dependent ACRL is on revenue from its professional development programs, especially its biennial conference. We continue to look for ways to diversify revenue streams and while there have been some upticks in revenues generated by book sales, classified advertising, and online advertising, these revenue streams can be a bit mercurial and advertising tends to increase in an ACRL Conference year and decrease in the following year (which we are seeing from FY19 to FY20).

FY21 revenue streams
As we consider ACRL's three standard revenue streams, here is how we projected for FY21.

- **Membership.** The number of ACRL members has been in a steady decline despite more efforts at retention. The FY21 revenue was projected based on a decrease of 0.74% on the August 2019 membership of 9,313 (excluding 206 non-dues paying members), the percentage of decrease we have seen in the last five non-conference years. ACRL has historically increased dues slightly up to the HEPI index but no increase is included in this draft budget as the Board has not yet acted on a dues increase. Revenues from consulting are projected to increase over FY20 as contracting with one of ACRL's consultants to manage the program has eliminated the need for a staff position to manage the program. A number of revenue-generating ideas are being explored.

- **Publications** are budgeted fairly flat or with a slight decline over FY20 with even classified advertising showing a small decline based on FY20 first quarter performance. As a reminder, last year ACRL recategorized its advertising revenues to distinguish between those that appear in a publication that is a perquisite of membership and those that do not. The "operating agreement" allows division journal advertising included in a membership publication to be free of overhead payments. In reality most of ACRL's advertising is online in an open access format and does not quality for exemption from overhead. For *C&RL News* alone that adds an expense of about $65,000 to the budget to pay ALA overhead on the many online opportunities that we have created to support advertising. This coupled with a decline in advertising means *C&RL News* may occasionally needs a subsidy rather than returning significant net revenues to support other areas of the association. The first draft FY21 budget has *C&RL News* returning a small net of about $7,500. Book sales are budgeted flat to FY21. Online sales of ACRL Metrics and the new facilities survey database are expected to increase and we are hoping that a new financial arrangement with the vendor will benefit ACRL's bottom line.

- **Education** revenues are up significantly from the FY20 budget due to the ACRL Conference. Net revenues from other professional development events are budgeted to break even and they do in the FY21 draft. Webinar revenues are down from FY19 for two reasons. One, there is uncertainty what ALA's move to standard pricing will mean for ACRL. One proposal would reduce the cost to organizations and would have meant a loss of $13,000 from ACRL's webinars in FY19. Two, FY19 webinar registrations were fueled by the successful series, Scholarship of Teaching and Learning, and it is not always easy to identify the topics for these series that will attract large audiences.

ACRL continues to look to expand newer revenue streams in areas such as licensed workshops, consulting, and digital advertising in the forms of sponsored e-blasts, digital ads, etc. as well as identify new products and services needed by the profession. ACRL has always benefited from the in-kind donations of time and talent from its membership, which make it possible for ACRL to offer such a wide array of programs and services.

Major strategic initiatives

ACRL continues its spend down of the net asset balance in FY21 but just as the libraries ACRL serves have had to prioritize programs/services, ACRL will need to do the same. ACRL may not be able to continue to fund as many new ideas as it has in the past. Specific initiatives included in the FY21 budget are articulated in the Budget Assumptions document (B&F Doc 6.0, Board Doc 10.0) and relate primarily to funding programmatic initiatives that support ACRL's Plan for Excellence strategic goal areas, its new core commitment to equity, diversity, and inclusion, and invest in its enabling programs and services.

The FY21 budget provides support for many of these initiatives:

- $121,000 to support the Research and Scholarly Environment goal which includes $30,000 being made available for research grants, $10,500 being made available for presentations about the agenda to higher ed conferences, and $42,000 to pay for ACRL's membership in other organizations including $30,000 for the Library Copyright Alliance;
- more than $185,000 is budgeted to further ACRL's Value of Academic Libraries initiatives, including the further refinement of Project Outcome for Academic Libraries;
- more than $246,000 is budgeted for initiatives around student learning (most of the expenses in this figure are related to the various immersion programs which are offset by the projected registration revenues);
- More than $9,000 is budgeted to support ACRL's new roles and changing landscape initiative.
- $102,000 is budgeted for scholarships, which includes support for ACRL Conference, RBMS Conference, and Immersion program as well as $14,000 to support two Spectrum Scholars and $3,000 to support three ALA Emerging Leaders;
- $20,000 is budgeted to support the creation of new roadshow curricula.

Historical context for FY21 budget
Note: figures mentioned below can be found in B&F Doc 16.1.

As we consider the FY21 preliminary budget, it is helpful to consider it in its historical context. **Figure 1** shows ACRL's net revenues since FY2012. The peaks are the years in which ACRL held its major conference; the valleys are the even years without the conference revenues. On this chart ACRL's peak net revenue was in FY13 with net revenues of $681,788, which is still a drop from the high in FY07 of net revenues of $866,939. Since then, net revenues in conference years have been about the same although this comparison becomes more complicated as ACRL intentionally spends down its net asset balance. The decline of revenues from ACRL's publishing and dues revenue has contributed to the declining net.

Figure 2 shows ACRL and CHOICE overhead to ALA, since FY12. Overhead rates can vary slightly year-to-year and the current overhead rate is 26.5%. Per the ALA policy outlined in the ACRL Guide to Policies and Procedures, "Revenues from registration fees are assessed at 100% (which includes the ACRL Conference) of the ALA overhead composite rate. ACRL pricing of revenue producing activities must incorporate the cost of these charges." and, "overhead will be assessed at 50% of the ALA composite rate on revenue from net sales of materials, subscriptions, advertising (except in those publications which are provided to division members as a prerequisite of membership, including those that are reformatted, and other miscellaneous fees." Choice currently pays 50% of the overhead rate, and with this rate for FY21, Choice has budgeted a net revenue of ($32,324). It is also important to note that in addition to the overhead Choice pays ALA, Choice also assumes all expenses for its own building, equipment, technology, and office expenses.

Figure 3 shows ACRL Conference revenue trends. G*ross* revenues and attendance has increased up until FY17, and *net* revenues, which take into consideration the expenses for both years of the two-year conference cycle, fluctuate, having declined from a high of $642,298 for the 2005 Conference in Minneapolis to $348,773 for the 2003 Conference in Charlotte, then increased to $597,621 for the 2015 Conference in Portland, and decreased back to $475,320 for the 2017 Conference in Baltimore and dropped again to $254,449 for the 2019 Conference in Cleveland. The net of the 2017 Conference was 17% of conference revenues. Future conference budgets should consider budgeting for net revenues of at least 10-15%% of total revenues to ensure a steady income stream. ACRL has been fortunate to routinely exceed budgeted revenue targets and hold the line on costs, which has led

to our healthy net revenues, but as we look to budget for future conferences, it may be prudent to increase our targeted net.

Figure 4 demonstrates the fluctuations of publishing revenues. Historically, subscription and ad revenues covered all publication expenses and also subsidized member programs. With the move to Open Access and decline in subscriptions *C&RL* and *C&RL News* switched to needing a subsidy from member dues. *C&RL* will continue to need subsidies from other revenue streams, as its online ad revenue does not generate enough income to fully support the open access digital publication. By 2012, *C&RL News* had boosted its revenues with new advertising opportunities, such as ACRL Delivers and ACRL Update, and saw an increase in classified ad revenues, returning the *C&RL News* project to one with positive net revenues. In FY18, we reconsidered which advertising we were paying ALA overhead on since "advertising in journals that are perquisites of membership are overhead-exempt" but other advertising revenue is not. Since more of ACRL's advertising now appears in various digital newsletters, etc., we reclassified that revenue as being subject to overhead, which made the *C&RL News* a deficit budget for the first time since 2010. For FY21, we are budgeting for a modest positive net revenue for *C&RL News*, despite the fact that we will continue to account for most of the advertising revenue at the full overhead rate.

Figure5 shows membership dues revenues for the past ten years. The positive effect of the dues increase, approved in 2005 is quite evident. That dues increase also created a new member rate for students, which the Board reduced to $5 effective with FY18; with that reduction we have seen a 67.9% increase in student members since August 2017. Currently 10.8% or 1,053 ACRL members are joining at the student rate. Of concern is the fact that, although small, regular dues increases have stabilized dues revenue, ACRL membership continues to decline. We will continue to work to articulate ACRL's value proposition in a way that resonates with potential members and builds on ALA's recruitment of academic and research librarians In FY20, ALA hired a new membership director, and has restructured its membership offices to form one unit: Member Relations & Services (MRS), which will focus on providing services to both members and customers, and building relationships and articulating value propositions to drive membership for ALA. ACRL is eager to work with ALA MRS to explore joint recruitment and retention opportunities.

Figure 6 shows the comparison of revenues/expenses by the three major categories for the last 5 years. The charts show the increasing dependence on net revenues from ACRL's educational programs, especially the ACRL Conference, to support the organization.

Choice FY21 Budget Overview:

For fiscal 2021 we have budgeted revenues of $2,513,535 on expenses of $2,545,859[1], for net operating income of -$32,324.

Table 1: Choice Publishing Unit FY21 Overview

	FY21B	FY20B	FY21B v FY20B	FY19	FY21B v FY19
TOTAL REVENUES	2,513,535	2,645,630	(132,095)	2,520,864	(7,329)
TOTAL EXPENSES	2,545,859	2,654,851	108,992	2,698,854	152,995
NET REVENUES	(32,324)	(9,220)	(23,103)	(177,990)	145,666

Revenue

Subscriptions. Despite the introduction of a new subscription product, *ccAdvisor*, in the fall of 2017, subscription revenue has fallen from 53% of unit revenues five years ago to 50% for the FY21 budget. For FY21, we have budgeted for subscription revenues of $1.263K, a 3% decline from FY19.

Table 2: Subscriptions

				FY21B	FY20B	FY21B v FY20B	FY19	FY21B v FY19
SUBSCRIPTIONS								
3900	4110	*Choice* magazine		347,724	386,360	(38,636)	387,925	(40,201)
3901	4110	*Reviews on Cards*		86,073	90,603	(4,531)	92,677	(6,604)
		Subtotal: *Choice* Print		433,797	476,963	(43,166)	480,602	(46,805)
3913	4110	*Choice Reviews*		651,630	664,514	(12,884)	651,630	0
		Subtotal: All Choice		1,085,427	1,141,477	(56,050)	1,132,232	(46,805)
3905	4110	*Resources for College Libraries*	140,000	147,125	(7,125)	132,798	7,202
3918	4110	*ccAdvisor* (Choice)		37,500	37,500	0	41,100	(3,600)
	4110	TOTAL SUBSCRIPTIONS		**1,262,927**	**1,326,102**	**(63,175)**	**1,306,130**	**(43,203)**

Choice "Core" Publications

The traditional core of Choice revenue derived from publication of our reviews in three formats—as a digital database, a print magazine, and a card deck. It is scarcely necessary to rehearse here the ongoing pivot away from the use of reviews in the collection development process, but suffice it to say that while the FY20 budget optimistically looked to hold print (magazine and cards) subscription revenue level to FY19 and even contemplated a modest increase in digital (*Choice Reviews*) revenue, for FY21 we have bowed to the inevitable and brought our print (magazine and cards) estimates down some 10% below FY19 and kept digital revenue flat. Overall, at $1,085,427, subscription revenue from all three Choice sources is budgeted to end the year some 4% to 5% below both FY19 and FY20B, as shown in Table 2, above.

Resources for College Libraries

As recently as FY15 RCL was available in a bundled package with ProQuest's Bowker Book Analysis System (BBAS), but with what was described to us that year as the decommissioning of that product, RCL revenues, deprived of the bundled offer, fell by some $50K. Then this past year ProQuest informed us that while they had indeed stopped accepting any new subscriptions to BBAS, they had maintained a legacy version for existing customers. At the same time, they announced that they were contemplating a revival of the product and enlisted our aid in determining the level of interest among librarians. The usual inconclusive surveys were done. As of this writing it remains unclear as to ProQuest's strategic priorities and the extent to which—and when—it might be willing to invest in this venture, but the promised upgrades, including a renewal of content and marketing ties between BBAS and RCL, are up for discussion again this month. Should the revived product be

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[1] Salaries and benefits are autocalculated by the ALA accounting system. Expense figures reported in this document depend on internal Choice accounting tools and may vary from the final numbers.

reintroduced to the market, we might see growth in RCL revenues, but until we have more information, it seems prudent to hold our expectations in check. We have thus budgeted subscription revenue of $140,000 for FY21, roughly level with recent receipts.

CC Advisor

ccAdvisor, our collaboration with The Charleston Company, launched at the very beginning of FY18 and almost immediately garnered a consortial subscription for the ~215 member libraries in the Center for Research Libraries (CRL). Now in its third year, that subscription brings us around $57K annually, and its renewal has been factored into the FY21 budget. Beyond this one large account, however, growth has been slow, leading to our decision this past spring to turn sales responsibility for the product over to the large and experienced EBSCO sales force. To date, they too have had only modest success, garnering only three to four new subscriptions per month.   As a result, we are budgeting for total subscription revenue roughly level with last year, some $75K, half of which is shared with The Charleston Company, as are all project-related expenses.

Advertising and Sponsored Content. With only half of Choice revenues coming from libraries (in the form of subscriptions), we are aggressively pursuing other sources of income. Replacing this lost subscription revenue has been a challenge, but we have persevered by developing a more diverse suite of opportunities for our advertisers and sponsors. Far from the situation at the beginning of the previous decade, when advertising choices centered around print ads in the magazine, we now offer a wide range of formats and platforms, including sponsored webinars, podcasts, white papers, newsletters, and eblasts, in addition to traditional print and digital advertising. For FY21, these will account for roughly a quarter of Choice total revenue, up from only 18% five years ago.

Table 3: Advertising and Sponsored Content

			FY21B	FY20B	FY21B v FY20B	FY19	FY21B v FY19
ADVERTISING & SPONSORED CONTENT							
3907		**Choice magazine net**	238,750	286,500	(47,750)	258,286	(19,536)
3913		**Choice Reviews net (see Note 2)**	28,650	28,650	0	141,368	(112,718)
3914		**Choice content marketing net**	238,750	222,038	16,713	48,395	225,924
3918		**ccAdvisor net**	9,550	11,938	(2,388)	12,179	(2,629)
3909		**Webinars net**	131,909	152,203	(20,294)	138,882	(13,416)
		TOTAL ADVERTISING & SPONSORED CONTENT	**647,609**	**701,328**	**(53,719)**	**599,110**	**48,499**

Webinars

The Choice-ACRL sponsored webinars continue to impress us with their vitality, with one of our webinars this past year garnering close to 4,000 (!) registrants. FY19 gross sales were in the neighborhood of $162K, and we have budgeted for a similar amount in FY21. Under the terms of our agreement with ACRL, this will be split 85%/15% in our favor, generating net revenue, after the split and after sales commissions, of $138K.

Podcasts

During FY18 Choice launched a podcast program, The Authority File, featuring author interviews and conversations with library leaders. Now entering its third year, the program continues to grow. FY19 total listenership (downloads and streams) was 62% higher than the previous year, and during the first four months of this fiscal year, Authority File episodes were listened to some 13,000 times, up an additional 61% over this time last year. Bolstered by this success, we are now planning to add a new podcast series (name to be determined) featuring in-depth conversations about contemporary trends, best practices, and case studies important to the academic community. Unlike The Authority File's guest Q&A format, the new

series uses a multi-episode narrative format to showcase innovative programs, advocacy, and community connections that librarians and their institutional partners are developing.

This year's gross podcast revenues are up 40% year-over-year, and future bookings have already topped our annual budget for FY20. In light of this, we are budgeting, conservatively, for $30,000 in gross receipts for FY21, but with the expectation that we shall top this figure.

White Papers
To date we have published five white papers, the first four of which have been downloaded over 1,000 times each. (The fifth paper, Carol Tenopir's report on the current status of RDS in academic libraries, launched only a few weeks ago.) Potential underwriters are beginning to take notice, and so once again we have budgeted for two white papers at an estimated $20,000 each.

Traditional Print and Digital Advertising
Given the very narrow range of our current advertisers, and with industry consolidations reducing their number, advertising and sponsored content has proved to be something of a zero-sum game for Choice. The "losers" in this game are traditional print ("space") and digital (banner) advertising, which in FY19 accounted for only about 44% of Choice advertising and sponsored content revenue, compared to a hefty 88% in FY13. It takes no stretch of the imagination to see why advertisers would not prefer the closer relationship with their customers afforded by platforms such as webinars and podcasts. Magazine advertising revenue fell dramatically in FY19, and based on our sales year to date, we do not see the hoped-for rebound. FY21 magazine revenue is thus budgeted flat to FY19. Similarly, banner advertising, which never enjoyed widespread approval (sic), has not grown in three years and is budgeted to remain at FY19 levels for FY21.[2]

Royalties. Licensing has proved a durable, if vulnerable, source of income for Choice. *Durable* in the sense that royalties typically come in the form of multiyear licenses representing recurring and thus highly predictable income; *vulnerable* inasmuch as periodic license renewals present opportunities for licensees to undertake disciplined ROI analyses and to demand—all too often—a lower license fee. That said, since the loss of the $108K license for RCL content in Intota in FY17, licensing revenues have held steady in the neighborhood of $520K, and we expect no major surprises in FY21.

				FY21B	FY20B	FY21B v FY20B	FY19	FY21B v FY19
ROYALTIES								
3900	4421	Choice (CCC, reprints, etc.)		1,300	1,000	300	1,370	(70)
3902	4421	Choice reviews		507,699	510,200	(2,501)	513,321	(5,622)
3905	4421	Resources for College Libraries		10,000	8,000	2,000	7,000	8,630
			TOTAL ROYALTIES	**518,999**	**519,200**	(201)	**521,691**	5,678

Table 4: Royalties

Expenses

In FY13, Choice staff comprised nineteen employees, three editors working as outside contractors, and two freelance administrative personnel, for a total of twenty-four staffers. Over the past six years we have reconfigured our staff, until today we stand at nineteen employees and one open position, soon to be filled, for a total of twenty staffers. Payroll has

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[2] Prior to this year, advertising revenues for *Choice Reviews* included revenue from eblasts and newsletters, properties that share little in common with *Choice Reviews* except for the fact that both are "digital."   To eliminate this historical anachronism and provide a better basis for analyzing our digital revenues, beginning in FY20 newsletters and eblasts have been moved to project 3914, Content Marketing. As a result, year-over-year comparisons of ad revenue for *Choice Reviews* prior to FY20 are no longer valid.

gone up as contractors were converted to full-time employees and with COL adjustments, but our "outside services" expenses, where our temps and contract workers were formerly charged, has fallen by about $300,000 during this same period. Overall, we are doing more with fewer people, so much so that the combined cost of staff services has risen by only 5% in the last six years.

Table 5: Payroll and Outside Services Charges, FY13-19[3]

	FY19	FY18	FY17	FY16	FY15	FY14	FY13
Payroll and Related Expenses	1,665,237	1,618,841	1,586,901	1,380,512	1,388,005	1,412,541	1,286,139
Outside Services	126,324	135,658	271,623	365,043	356,501	317,121	420,770
	1,791,561	1,754,499	1,858,524	1,745,555	1,744,506	1,729,662	1,706,909

As Table 6, below, shows, these same economies are being practiced elsewhere at Choice, with direct expenses slated to come in $146K and $87K below FY19 and FY20B, respectively. Publication-related expenses are level with FY19 after increasing in FY20 to pay for the Choice360 rebuild. Operating costs are down largely through the retirement of capital expenses for the creation of Choice Connect, our back-end database and authoring tool, and reduced depreciation costs for the relaunch of Choice Reviews, which is nearing the end of its five-year depreciation schedule.

Overall, we have been quite successful at holding direct spending virtually flat over the past five years. In the years between FY15 and FY19, total expenses fell by $450K and are budgeted to decrease an additional $150K through the end of FY21. If these figures hold, they will represent a compound annual growth rate (CAGR) of -3.5%, a remarkable achievement even in these times of low inflation.

Table 6: Expenses

			FY21B	FY20B	FY21B v FY20B	FY19	FY21B v FY19
	EXPENSES						
		Payroll and Related Expenses	1,648,951	1,618,065	(30,885)	1,665,237	16,286
		Outside Services	66,831	65,650	(1,181)	101,658	34,827
		Travel and Related Expenses	34,025	36,150	2,125	41,543	7,518
		Meetings and Conferences	16,350	12,600	(3,750)	11,771	(4,579)
		Publication-related Expenses	260,845	348,782	87,937	260,373	(472)
		Operating Expenses	216,228	248,967	32,739	308,930	92,702
	Subtotal Direct Expenses		**2,243,230**	**2,330,215**	86,985	**2,389,512**	146,282
							0
Subtotal Indirect Expenses (IUTs)			(59,050)	(55,135)	3,915	(63,083)	(4,033)
							0
		IUT/Overhead	333,043	350,546	17,503	334,014	971
		IUT/Allocations (Liberty Square)	29,225	29,225	0	38,411	9,186
		UBIT	0	0	0	0	0
		Subtotal Overhead	**362,268**	**379,771**	17,503	**372,425**	10,157
							0
		TOTAL EXPENSES	**2,546,448**	**2,654,851**	108,403	**2,698,854**	152,406

In FY21, Choice will deliver $330K to the ALA general fund, while at the same time paying all costs associated with its offices in Middletown, Connecticut. These include amortization of the loan, maintenance and upkeep, equipment, utilities, parking, and our own IT department. In fiscal 2019, these costs came to just under $300K.

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[3] The Outside Services expenses shown here are for temporary and professional services only. Not included are bank charges, equipment, and repairs, also categorized under Outside Services in ALA accounting. Prior to FY19, RCL editorial reimbursement was counted as revenue. For FY19, the reimbursement was reclassified as a (negative) expense in Outside Services, thus making expenses seem lower than in previous years. To facilitate a valid comparison with previous years, in this Table 5 the reimbursement has been "added back" to Outside Services for FY19.

Chronicle of Higher Education EDI Article

Newkirk, Pamela. "Why Diversity Initiatives Fail: Symbolic gestures and millions of dollars can't overcome apathy." *The Chronicle of Higher Education*, November 6, 2019. https://www.chronicle.com/interactives/20191106-Newkirk.

ACRL Budget & Finance Committee

Brainstorm document:	Determining the appropriate amount for ACRL to maintain as its net asset balance.
Draft:	January 26, 2018	Georgie Donovan
Subgroup:	Georgie Donovan, Rickey Best, Kevin Wade Merriman, Tara Baillargeon

Net Asset Balance: The accumulated revenues minus expenses for ongoing operations. Funds remaining at any given time are the net asset balance. For ACRL, interest earned on the net asset balance returns to ALA (not to ACRL). ALA earns a very modest return on ACRL's net asset balance. In FY16, the rate of return was 2.64% (ACRL MW17 B&F Doc 11.0). Calculating since 1991, the average rate of return was 4.72% (ACRL MW17 B&F Doc 11.0).

Long Term Investment (LTI): The active management of a pool of securities, which includes equities, fixed income (bonds) and real estate investment trusts for the purpose of growing the corpus, assets, and investment resources so as to support current and future Association needs. ACRL earns income from the funds it places in the ALA LTI. The ALA LTI is sometimes described as the "endowment." It is one account and the Endowment Trustees make decisions about asset allocation. Income (interest and dividends), capital appreciation (realized/unrealized gains and losses), and bank fees are proportionately allocated to our share of the endowment (ACRL MW17 B&F Doc 11.0). At the close of FY17 the total ALA LTI was $43,542,028.

ACRL and CHOICE Net Asset and Long-Term Investment Fund Balances
 (2006-2016 columns: ACRL MW17 Joint Board & B&F Doc 2.0; 2016-17 column: August 2017 final close performance reports)

	2006-07*	2007-08	2008-09*	2009-10	2010-11*	2011-12	2012-13*	2013-14	2014-15*	2015-16	2016-17*
ACRL Closing Net Asset Balance	$3,384,614	$3,298,608	$3,854,778	$3,661,257	$4,165,480	$3,943,096	$4,647,419	$4,324,706	$5,002,115	$4,389,385	$4,687,947
Transfers from Net Asset Balance to LTI	$0	$0	$0	$0	$75,000	$0	$0	$0	$150,000	$250,000	$250,000
ACRL LTI Principal	$1,936,362	$1,791,275	$1,646,026	$1,743,644	$2,011,580	$2,148,558	$2,363,276	$2,806,669	$2,903,373	$3,332,978	$3,924,498
ACRL Award Endowments ***	$178,690	$170,558	$155,158	$164,911	$177,297	$185,009	$198,287	$233,587	$224,150	$234,904	$255,527
Sum of LTI Principle & Award Endowments	$2,115,052	$1,962,323	$1,801,184	$1,908,555	$2,188,877	$2,333,567	$2,561,563	$3,040,256	$3,127,523	$3,567,882	$4,180,024
Rate of Return**						10.5%**	17.5%**	7.7%**	-2.9%**	5.8%**	

* ACRL Conference Years   ** Calendar Year End   *** Atkinson, Oberly, Leab award endowments

Additional Reference Documents

[ALA Statement of Revenues and Expenses by Division, February 2015](#)
History of ACRL Endowment Transfers FY12–FY16 | ACRL MW17 Joint Board & B&F Doc 3.0
ALA Endowment Policy 8.5.1 (Spending/Payout/Distribution/Withdrawal) | ACRL MW17 Joint Board B&F Doc 4.0

[How Much in Reserve Funds Should Your Nonprofit Have?](#)
Michael Daily, Executive Director of the Executive Service Corp
Article suggests 6 months operating expenses is a good reserve | and no less than 3 months operating expenses.

Operating Reserves: What are appropriate levels and what is typical in the nonprofit sector?
National Center for Charitable Statistics, Center on Nonprofits & Philanthropy at the Urban Institute, + United Way
Toolkit to determine how many risk factors your organization has; suggests a 3 – 6 month reserve based on risk.

Statement of Revenues & Expenses FY2017 12 Month Financials
from pg. 13 | Division Statement of Revenues and Expenses | ALA Results of Operations FY2017 | Twelve Month Financials | EBD #4.2 / BARC #4.0
available at http://www.ala.org/aboutala/ebd-inventory-2017-2018

FY17	YTD Actual	YTD Budgeted	Prior Year Actual	Beginning Net Assets	Transfers	End Net Assets
AASL	-$703,939	-$454,637	$58,956	$757,638	-	$53,699
ACRL	$548,562	-$295,404	-$360,851	$4,389,385	$250K	$4,687,947
ALCTS	$83,842	-$43,606	-$2,850	$219,866	-	$303,708
ALSC	$285,121	-$22,012	$316,953	$2,461,926	$162K	$2,585,047
ASCLA	-$5,828	-$9,548	$22,087	$136,447	-	$130,619
CHOICE	-$166,361	-$255,899	-$236,392	$2,648,059	-	$2,481,698
LITA	-$8,180	-$9,446	$17,451	$407,081	-	$398,901
LLAMA	$9,877	-$46,320	-$4,486	$195,479	-	$205,356
PLA	-$403,705	-$814,693	$1,042,922	$3,464,585	-	$3,060,880
RUSA	-$92,579	-$86,308	-$82,523	$382,110	-	$289,531
UFL	-$16,741	$2,985	-$18,084	-$193,175	-	-$209,916
YALSA	-$117,974	$47,779	-$36,474	$233,835	-	$115,861
TOTAL	-$594,267	-$1,987,109	$716,707	$15,103,236	$412K	$14,096,969

Relevant Discussion Issues
selected from the Greater Washington Society of CPAs Educational Foundation | Nonprofit Accounting Basics
http://www.nonprofitaccountingbasics.org/reporting-operations/statement-financial-position

Is our cash balance increasing or decreasing?
What are current vs. long-term membership dues trends?
Are we preparing for future programming?
Have we invested enough (or too much) in the strategic plan? In staffing?
Do we need to upgrade our equipment or technology?

PROPOSALS

Primary recommendation:
Reduce the amount of the net asset balance for ACRL by spending down to a reasonable amount, ideally between 3-6 months of operating reserve (3 months = more risk tolerant; 6 months = more conservative). Base the operating reserve on either revenues or expenditures from conference years (which have larger budgets).

Secondary recommendations:
(a) Develop a separate group for determining how to spend these funds and over what period of time.
(b) Develop a strategy to spend the income from the Long Term Investment endowment every year.

Notes:

- Total revenues and expenditures (next page) are taken from pg. 89 of the <u>ACRL MW17 B&F Packet21 : Memo re: 4th Quarter Budget Report, FY2017</u>

- The most recent ACRL Conference (2017) had revenues of ~$2,815,300; other revenues come from publications (~$1,122,000 without CHOICE), dues (~$638,000), other educational offerings (~$650,000), etc. based on FY17 final close.

Proposal #1 (low risk):

Maintain a balance of **six months** reserve based on **total revenues** from the past two conference years (average of 2)

Average of FY17 final close ($5,368,999) +			
FY 15 ($5,282,284) total revenues	=	$5,325,641	
÷		2	(to get six months / one half of year)
Net asset balance should be		$2,662,820	

Proposal 2 (mid risk):

Maintain a balance of **six months** operating reserve based on **total expenditures** from two conference years (average of 2)

Average of FY17 ($4,820,438) +			
FY 15 ($4,604,875) total expenditures	=	$4,712,656	
÷		2	(to get six months / one half of year)
Net asset balance should be		$2,356,328	

Proposal 3 (high risk):

Maintain a balance of **four months** reserve based on **total revenues** from the past two conference years (average of 2)

Average of FY17 ($5,368,999) +			
FY 15 ($5,282,284) total revenues	=	$5,325,641	
÷		3	(to get four months / one third of year)
Net asset balance should be		$1,775,213	

ENVIRONMENTAL SCAN 2019

By the ACRL Research Planning and Review Committee March 2019

Contents

Introduction

Every two years, the ACRL Research Planning and Review Committee writes an Environmental Scan, a summary of the key themes in libraries and higher education. Many topics in this arena are in a state of perpetual change. This year's scan focuses largely on developments from the last two years (2017 and 20018) in long standing themes primarily centered in the U.S. In some cases these build on last year's Top Trends[1] and there are a few instances of notable events that may indicate larger changes to come. The 2019 Environmental Scan will provide an overview for all librarians working in or with an interest in higher education. Since changes can unfold over years, those deeply interested in this landscape should also consult the RPRC documents for the last four years.[2] The footnotes provide a solid starting point for taking a deeper dive into these topics.

Student Characteristics

Student Demographics

According to the National Center for Educational Statistics, undergraduate enrollment in U.S. institutions of higher education is expected to increase by three percent over the next ten years. Between 2016 and 2027, undergraduate enrollment at 2-year institutions is projected to increase by twelve percent (from 6.1 million to 6.8 million students), while enrollment at 4-year institutions is projected to be two percent lower in 2027 than in 2016 (10.6 million students compared with 10.8 million students).[3]

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[1] ACRL Research Planning and Review Committee, "2018 Top Trends in Academic Libraries: A Review of the Trends and Issues Affecting Academic Libraries in Higher Education," *College & Research Libraries News* 79, no. 6 (2018), https://doi.org/10.5860/crln.79.6.286.

[2] "Environmental Scan 2015," Assocation of College and Research Libraries, 2015, http://www.ala.org/acrl/sites/ala.org.acrl/files/content/publications/whitepapers/EnvironmentalScan15.pdf.; Lisabeth Chabot et al., "2016 Top Trends in Academic Libraries a Review of the Trends and Issues Affecting Academic Libraries in Higher Education," (2016).; ACRL Research Planning and Review Committee, "Environmental Scan 2017," Association of College and Research Libraries, 2017, http://www.ala.org/acrl/sites/ala.org.acrl/files/content/publications/whitepapers/EnvironmentalScan2017.pdf.; "2018 Top Trends in Academic Libraries: A Review of the Trends and Issues Affecting Academic Libraries in Higher Education."

[3] *The Condition of Education: Undergraduate Enrollment* (2018), https://nces.ed.gov/programs/coe/indicator_cha.asp.

The composition of students is expected to diversify, but again this change is uneven. There is a projected growth in Hispanic enrollment but a decline in Black enrollment. As a percent of students, White enrollments will decline but still remain four times the enrollment of Black students and three times the enrollment of Hispanic students. Compared with the demographics of the U.S. by 2027, White students will still be disproportionately represented on college campuses.[4]

Choice of Major

What students are studying is changing as well, with an increased emphasis on health professions, biology, and engineering. For bachelor's degrees, there is a decline in the number of students graduating with degrees in humanities and social sciences while business degrees have remained flat from 2010-2016. Business remains the most popular major with 372,000 degrees conferred in 2015-16 compared to 229,000 in the health sciences and 161,000 in social sciences (other than psychology) and history.[5] At the 2-year college level, liberal arts is the most popular area of focus and has nearly doubled in the last fifteen years. The next most popular 2-year degrees are in health sciences and business.[6]

At highly-ranked schools, more students major in humanities and social sciences than their peers at less-selective schools. However, those at highly-ranked schools are also more likely to study hard sciences and engineering. While STEM jobs tend to provide higher salaries, they often require advanced degrees, which could be a barrier for lower-income students. Nearly 58% of biology and life sciences majors get graduate degrees.[7]

Generation Z

The generation cohort of in-coming students has shifted from the Millennial Generation to Generation Z, which is people born from the mid-1990s to 2010.[8] Among the characteristics of this group most relevant to higher education are: concern about college costs, viewing college as

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[4] *The Condition of Education: Undergraduate Enrollment.*

[5] U.S. Institute of Education Sciences. National Center for Educational Statistics, *The Condition of Education: Undergraduate Degree Fields* (2018), https://nces.ed.gov/programs/coe/indicator_cta.asp.

[6] *The Condition of Education: Undergraduate Degree Fields.*

[7] Michelle Cheng, "Students at Most Colleges Don't Pick "Useless" Majors," FiveThirtyEight, 2017, https://fivethirtyeight.com/features/students-at-most-colleges-dont-pick-useless-majors/.

[8] Michael Dimock, "Defining Generations: Where Millennials End and Generation Z Begins," Fact Tank, Pew Research Center, 2019, https://www.pewresearch.org/fact-tank/2019/01/17/where-millennials-end-and-generation-z-begins/.

a gateway to a higher paying job, concern about global issues and societal problems, and intent to be an entrepreneur.[9]

Pragmatism about college is hypothesized to be a product of being of an early age during the recent recession. Students entering college now and for the next decade or so expect to learn practical skills for the workplace. Connected with this focus on practical skills is the desire to have an internship with an employer during their college years.[10] Anxiety about paying for college is a factor in pursuing majors that they believe will position them to get a post-college professional job and hopefully one that will pay off student loans. This doesn't mean that Generation Z is only motivated by money. This cohort is concerned about global and social issues such as climate change and racial equality, and these concerns may be reflected in their choice of studies, research projects, and their co-curricular activities.[11]

While the Millennials were "born digital," Generation Z has grown up with smart phones, streaming media, and online social networks. They are immersed in online video and streaming audio and have some expectations that technology is incorporated into their course instruction.[12] With the instant connectedness of texting, Instagram, and the like comes a degree of social isolation. Hanging out with friends is often an online occurrence outside of school activities. This generation is less likely to have paid work during high school, which is a situation that will impact student workers and their employers as this group learns basic job requirements such as workplace communications and expectations for behavior and performance.[13] Generation Z is also less likely than recent previous generations to have used alcohol or drugs during high school. Overall, they are considered less hedonistic and more serious in their worldview.

Implications

- Shifts in student choice of major may change campus hiring and research priorities which could affect library collection decisions. This might also affect the areas of demand for support for research and instruction librarians.

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[9] Jayne Blodgett, "Taking the Class out of the Classroom: Libraries, Literacy, and Service Learning," ed. Pete McDonnell, *The Experiential Library* (Chandos Publishing, 2017), https://digscholarship.unco.edu/libfacpub/8/.

[10] Elaina Loveland, "Instant Generation," *Journal of College Admission*, https://www.nacacnet.org/news--publications/journal-of-college-admission/instant-generation/.

[11] "Instant Generation."

[12] Katherine J. Mohr and Eric S. Mohr, "Understanding Generation Z Students to Promote a Contemporary Learning Environment," *Journal on Empowering Teaching Excellence* 1, no. 1 (2017), https://doi.org/10.15142/T3M05T.

[13] Gretchen Livingston, "The Way U.S. Teens Spend Their Time Is Changing, but Differences between Boys and Girls Persist," Fact Tank, Pew Research Center, 2019, https://www.pewresearch.org/fact-tank/2019/02/20/the-way-u-s-teens-spend-their-time-is-changing-but-differences-between-boys-and-girls-persist/

- Declines and increases in student enrollment can have a fiscal impact on libraries through changes in FTE pricing and available funds from tuition and other enrollment-based sources.
- Technology-focused students could increase the remote use of library databases and services. Or it might make students less likely to contact librarians for assistance. There will surely be challenges for library awareness, marketing, and outreach.
- Cross-campus concerns about Generation Z isolation and technology dependence could create partnership opportunities for libraries that offer co-curricular programming.

Faculty Demographics

Previous ACRL Environmental Scans in 2015 and in 2017 focused on what faculty wanted from libraries, how they wanted that information delivered, and their point of view on open access and information literacy. As faculty demographics change over time, so might habits and preferences that relate to research, teaching, and use of library resources.

According to the National Center for Education Statistics (NCES) data from 2016, the composition of higher education faculty remains predominantly White and male. Of all full-time faculty in post-secondary education, 76% were White and 41% were White males.[14]

Most NCES statistics about faculty focus on full-time faculty and within this group diversity has increased slightly. Between 2011 and 2015 the percent of faculty who are Black, Hispanic, Asian, Pacific Islander, Native American, or two or more races has increased from 20.7% to 22.5%. The percentage of men versus women has evened out from 33.2% women in 1987 to 49.1% in 2015. The gains in equal employment (in numbers, if not in salaries) for women have progressed much more than for other under-represented populations. The lack of retirements in full-time faculty are leaving few spaces for a change to occur where faculty will reflect the overall demographics of the country or even of the students on campus.[15]

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[14] U.S. Institute of Education Sciences. National Center for Educational Statistics, *The Condition of Education: Characteristics of Postsecondary Faculty* (2018), https://nces.ed.gov/programs/coe/indicator_csc.asp.

[15] *Digest of Educational Statistics. Table 315.20 Full-Time Faculaty in Degree-Granting Postpostsecondary Institutions, by Race/Ethnicity, Sex, and Academic Rank: Fall 2011, Fall 2013, and Fall 2015* (2016), https://nces.ed.gov/programs/digest/d16/tables/dt16_315.20.asp.

There were predictions of mass retirements as members of the baby boomer generation were eligible for retirement.[16] However, from 1987-2013 the percentage of full-time faculty over sixty-five doubled while the percentage of faculty under thirty-five decreased.[17]

In 1987, 11% of the faculty were under thirty-five with only 4% of faculty aged sixty-four or older. (TIAA). By 2017, a survey from the Higher Education Research Institute at UCLA found that 16% of faculty were over age sixty-four and only 5% were thirty-five years of age or younger. There are also fewer faculty in the 35-64 age group than in prior years.[18] Overall faculty are not retiring as early, rates of hiring new full-time faculty have slowed, and there is more reliance on part-time faculty (who are not included in this dataset). Librarians who were waiting for an influx of new full-time faculty to start promoting Open Access, changes in scholarly communications, OERs, etc. may want to rethink their strategies and focus on the growing number of non-tenure track or contingent faculty or find ways to connect with faculty who already have years invested in higher education.

Other data from NCES shows a trend in the increase in the number of part-time hires. Since the 1970s the number of full time faculty has increased, but the percentage of full-time faculty to part-time faculty has decreased from 77.8% in 1970 to 52% in 2015.[19] This reliance on part-time faculty creates challenges in library outreach as campuses may not make part-time hires as well known and may not include them on departmental and campus committees where librarians are likely to meet faculty in their departments.

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[16] Kristin Betts, David Urias, and Keith Betts, "Higher Education and Shifting U.S. Demographics:Need for Visible Administrative Career Paths, Professional Development, Succession Planning & Commitment to Diversity," *Academic Leadership: The Online Journal* 7, no. 2 (2009), https://scholars.fhsu.edu/cgi/viewcontent.cgi?article=1284&context=alj.; Denise K. Magner, "The Imminent Surge in Retirements: Colleges Face a Generational Shift as Professor Hired for the Baby Boom Enter Their 60's," *The Chronicle of Higher Education* 57f, no. 28 (2000).

[17] TIAA Institute, "The Changing Academic Workforce: Composition of the Faculty," 2018, https://www.tiaainstitute.org/sites/default/files/presentations/2018-11/TIAA_Changing_Academic_Workforce%20R1r.%2010-30-18.%20FINAL.pdf.

[18] Ellen Bara Stolzenberg et al., *Undergraduate Teaching Faculty: The Heri Faculty Survey 2016-2017* (Higher Education Research Institute, University of California, Los Angeles, 2019), https://www.heri.ucla.edu/monographs/HERI-FAC2017-monograph.pdf.

[19] U.S. Institute of Education Sciences. National Center for Educational Statistics, *Digest of Educational Statistics. Table 315.10. Number of Faculty in Degree-Granting Postsecondary Institutions, by Employment Status, Sex, Control, and Level of Institution: Selected Years, Fall 1970 through Fall 2015* (2016), https://nces.ed.gov/programs/digest/d16/tables/dt16_315.10.asp.

Implications

- Academic libraries have the opportunity to lead the way in increasing faculty and staff diversity through hiring and retaining diverse populations.
- Campus initiatives for faculty and staff diversity can provide resources and frameworks for library hiring.
- Even though faculty retirements have not happened on the schedule predicted ten years ago, these retirements are still on the viewable horizon. Libraries should plan outreach and initiatives with both an eye to current faculty and prepare for the eventuality of many upcoming retirements in their faculty and staff.

Student Learning Environment

Collections and Spaces

Academic librarians continue to adapt new technologies, services, and approaches to support student learning. Libraries face constant pressure for space as campus demands for real estate increase and libraries seek to expand the services that they house. Libraries continue to shrink on-site collections by shifting to ebooks and ejournals; deselection; or moving print materials to off-site storage all of which can make room for new services and study space.[20] While reactions to space renovations are generally positive, students and faculty can react negatively to changes in access to library collections. When library administrators for the University of Virginia sought to cut the Alderman Library's main stacks by approximately 50%, more than 500 faculty and students signed an open letter protesting the planned changes to the library.[21] The renovation plans will be presented to the Virginia General assembly in 2019 for approval and funding.[22] It is likely that many libraries will be watching this situation evolve.

The University of Virginia example highlights the importance of engaging stakeholders when considering major library renovations and the incorporation of new services that may impact student and faculty use of collections. Librarians are developing and applying discipline-

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[20] William Walters, "The Death and Migration of Book Collections in Academic Libraries," *portal: Libraries the Academy* 18, no. 3 (2018), https://doi.org/10.1353/pla.2018.0025.

[21] Megan Zahneis, "Uva Library's Plan to Cut Stacks by Half Sparks Faculty Concerns," *The Chronicle of Higher Education* (2018), https://www.chronicle.com/article/UVa-Library-s-Plan-to-Cut/243610.

[22] Nik Popli, "Board of Visitors Buildings and Grounds Committee Finalizes the Designs for the Alderman Library Renovation," *Cavealier Daily* (2018), http://www.cavalierdaily.com/article/2018/09/alderman-library-renovation-design-plans-receive-board-of-visitors-approval.

differentiated methods of book deselection in monographic-intensive areas. These methods can assist librarians in offering high-quality collections for students and faculty in the humanities.[23] In addition to staying abreast of technological advancements, libraries must also consider recent studies showing that students favor print sources for certain types of research. Baron, et. al conducted an international study that found that four out of five students prefer print over digital reading.[24] Another study that considered the various demographics of readers (i.e. socioeconomic, school system, culture, etc.) found that out of more than 10,000 tertiary students surveyed worldwide, print was the material of preference based on ability to retain information and focus as well as other reasons.[25] Maintaining a variety of formats to meet student and faculty needs will likely continue to be required to support curriculum and research.

Makerspaces continue to be a popular addition to academic libraries. One recent study has researched four-year college libraries and maker labs, or innovation spaces, to understand their goals and benefits for student learning.[26] Data gathered from library directors found the main reason for creating makerspaces was to "promote learning and literacy," but did not address impacts on collections and research. Challenges accompany the development of expensive new, non-traditional library services especially in terms of impact on library budget priorities and shifts in the kinds of experts needed to manage makerspaces and other new digital services.

Additionally, library administrators are considering how new configurations of library space can benefit the student learning environment. Considering space as service, the literature cues librarians to be mindful of student demographics and varying learning styles, as well as the need to coordinate with the faculty of the university who also have a stake in how student environments and technological services are developed.[27] The 2015 Ithaka Faculty Survey found

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[23] Alex D. McAllister and Allan Scherlen, "Weeding with Wisdom: Tuning Deselection of Print Monographs in Book-Reliant Disciplines," *Collection Management* 42, no. 2 (2017), https://doi.org/10.1080/01462679.2017.1299657.

[24] Naomi S. Baron, Rachelle M. Calixte, and Mazneen Havewala, "The Persistence of Print among University Students: An Exploratory Study," *Telematics and Informatics* 34, no. 5 (2017), https://doi.org/10.1016/j.tele.2016.11.008.

[25] Diane Mizrachi et al., "Academic Reading Format Preferences and Behaviors among University Students Worldwide: A Comparative Survey Analysis," *PLOS ONE* 13, no. 5 (2018). https://doi.org/10.1371/journal.pone.0197444.

[26] Ann Marie Lynn Davis, "Current Trends and Goals in the Development of Makerspaces at New England College and Research Libraries," *Information Technology & Libraries* 37, no. 2 (2018), https://doi.org/10.6017/ital.v37i2.9825.

[27] Mary Ellen Spencer and Sarah Barbara Watstein, "Academic Library Spaces: Advancing Student Success and Helping Students Thrive," *portal: Libraries and the Academy* 17, no. 2 (2017), https://doi.org/10.1353/pla.2017.0024.

that faculty are increasingly concerned with students' information skills since the 2012 survey and place more importance on libraries' roles as an information gateway, archive, buyer, and support for research, teaching, and undergraduates.[28] Further, the Ithaka S+R Library Survey 2016 showed that library directors' views of the library's role in research and teaching are not always in alignment with faculty. Library directors are increasingly influenced by their own staff, colleagues, and senior campus administrators in the development of strategic priorities, with faculty and students seen as less influential.[29] Faculty views and support are an important factor when balancing new services with the traditional functions. As change efforts continue, libraries may need to ensure they are casting a wider net for feedback and engagement.

Information Literacy Instruction

Librarians continue to partner with campus constituents and to be responsive to curricular developments and new pedagogical approaches on campus. Some examples include outreach and instruction to first-year programs, incorporating different learning theories such as active learning, and experimenting with instructional techniques including service learning.[30] Since the 2015 ACRL Framework for Information Literacy for Higher Education was introduced, librarians have been working to integrate the threshold concepts into practice. A search in the database Library Literature and Information Science returns over 40 articles published since 2017 touching on the topic of information literacy and the ACRL Framework. The sheer number of publications on this demonstrates librarians' commitment to evolving the discussion of information literacy and sharing their findings with the profession at large. Some examples include practical techniques for incorporating the Framework in a meaningful way,[31]

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[28] Carl Straumsheim, "College Libraries, Redirected," *Inside Higher Ed* (2017), https://www.insidehighered.com/news/2017/04/03/study-library-directors-moving-ahead-plans-rethink-libraries.

[29] Christine Wolff-Eisenberg, "U.S. Library Survey 2016," Ithaka S+R, updated April 3, 2017, https://doi.org/10.18665/sr.303066.

[30] Blodgett, "Chapter 4 - Taking the Class out of the Classroom."

[31] Dave Harmeyer and Janice J. Baskin, *Implementing the Information Literacy Framework: A Practical Guide for Librarians*, Practical Guides for Librarians (New York: Rowman and Littlefield, 2018).

interpretations for music[32] and nursing disciplines,[33] promoting curiosity in science,[34] the use of metaphor as a tool to reflect on teaching and learning,[35] utilizing reference sources,[36] and incorporating social justice values into information literacy.[37] Articles also investigate potential limitations of the Framework, such as lack of language related to metacognition[38] and the acceptance of traditional notions of truth and authority in the Framework.[39] Additionally, librarians continue to consider how best to deliver and assess one-shot instruction session methodologies,[40] including incorporating active learning principles into a single session[41] and utilizing flipped classroom models to maximize active learning.[42]

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[32] Erin Conor, "Reframing the Framework: Situated Information Literacy in the Music Classroom," *Fontes Artis Musicae* 64, no. 4 (2017), https://muse.jhu.edu/article/680344/summary.

[33] Gloria Willson and Katelyn Angell, "Mapping the Association of College and Research Libraries Information Literacy Framework and Nursing Professional Standards onto an Assessment Rubric," *Journal of the Medical Library Association* 105, no. 2 (2017), https://doi.org/10.5195/jmla.2017.39.

[34] Siu Hong Yu, "Just Curious: How Can Academic Libraries Incite Curiosity to Promote Science Literacy?," *Partnership: The Canadian Journal of Library & Information Practice & Research* 12, no. 1 (2017), https://doi.org/10.21083/partnership.v12i1.3954.

[35] Wendy Holliday, "Frame Works: Using Metaphor in Theory and Practice in Information Literacy," *Communications in Information Literacy* 11, no. 1 (2017), https://doi.org/10.15760/comminfolit.2017.11.1.44.

[36] Kristin E. C. Green, "Dust Off Those Encyclopedias: Using Reference Sources to Teach the ACRL Framework Concepts," *Internet Reference Services Quarterly* 22, no. 2/3 (2017), https://doi.org/10.1080/10875301.2017.1381213.

[37] Lua Gregory and Shana Higgins, "Reorienting an Information Literacy Program toward Social Justice: Mapping the Core Values of Librarianship to the ACRL Framework," *Communications in Information Literacy* 11, no. 1 (2017), https://doi.org/10.15760/comminfolit.2017.11.1.46.

[38] Diane M. Fulkerson, Susan Andriette Ariew, and Trudi E. Jacobson, "Revisiting Metacognition and Metaliteracy in the ACRL Framework," *Communications in Information Literacy* 11, no. 1 (2017), https://doi.org/10.15760/comminfolit.2017.11.1.45.

[39] Nathan Aaron Rinne, "The New Framework: A Truth-Less Construction Just Waiting to Be Scrapped?," *Reference Services Review* 45, no. 1 (2017), https://doi.org/10.1108/RSR-06-2016-0039.

[40] Jacalyn E. Bryan, Darla Asher, and Elana D. Karshmer, "Assessing Librarians' Teaching of One-Shot Sessions: A New Model for Evaluating Instructional Performance," *College & Undergraduate Libraries* 25, no. 4 (2018), https://doi.org/10.1080/10691316.2018.1527268.

[41] David A. Hurley and Robin Potter, "Teaching with the Framework: A Cephalonian Approach," *Reference Services Review* 45, no. 1 (2017), https://doi.org/10.1108/RSR-07-2016-0044.

[42] Ladislava Khailova, "Flipping Library Information Literacy Sessions to Maximize Student Active Learning," *Reference & User Services Quarterly* 56, no. 3 (2017), https://doi.org/10.5860/rusq.56n3.150.

Time to Degree and College Affordability

Universities are finding new ways to address the cost of higher education. Among these are accelerated programs such as fifth-year master's programs (also called 5-year master's programs, dual degree programs, and accelerated masters programs). These accelerated programs generally serve several purposes: to reduce time to degree for students seeking a master's degree, to keep master's students at the same institution where they complete their bachelor's degree, and to provide research opportunities to students earlier in their college careers. By taking selected graduate coursework during the last two years of undergraduate work, students have a quicker path to receiving the graduate degree. While a web search reveals many such 5-year master's degree programs, including from Vanderbilt University and the University of Georgia, there is a lack of scholarly research on the impact on student learning outcomes. The degree programs are offered in a variety of disciplines from the arts and English, to business and education.[43] These programs can impact the way that librarians approach teaching and learning by creating a need to address more advanced research skills at an earlier point in the undergraduate career and in classrooms that may contain a mix of graduate and undergraduate students. These accelerated programs also offer an area of potential research for educators and librarians.

Industrious students have been able to complete a college degree in less than four years, but some colleges and universities are now formally designing three-year bachelor's degree options. According to the Progressive Policy Institute, there are 32 schools that offer a three-year degree option.[44] This is a small number compared to the nearly 2000 colleges and universities that offer Bachelor's degrees. Generally these programs are offered in selected majors and not across all of the university or college programs. Some schools implementing these programs include the University of Massachusetts, Amherst and American University. Accelerated programs could have an impact on number of elective courses, study-abroad, and perhaps on the amount of time that students, and faculty, believe that they have to focus on skills such as critical thinking and information literacy that might be seen as falling outside of the required content of the major. If more universities and colleges opt to design three-year degrees, libraries should pay attention to the curriculum plans and work on the best ways to support these programs and students.

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[43] Hilary Flanagan, "What Is a Fifth Year Master's Degree Program?," www.gradschools.com, updated 2014/10/17, 2014, https://www.gradschools.com/get-informed/before-you-apply/choosing-graduate-program/what-fifth-year-masters-degree-program.

[44] Paul Weinstein Jr., "Which Colleges Offer Three-Year Bachelor's and Why Aren't They Working?," Progressive Policy Institute, updated May 2018, 2018, https://www.progressivepolicy.org/wp-content/uploads/2018/05/PPI_ThreeYearDegrees2018.pdf.

While the efficacy of open educational resources has been firmly established,[45] the libraries' role in their adoption and creation continues to evolve. *OER: A Field Guide for Academic Librarians* explores these evolving roles through a series of case studies on librarian support for adoption of OER in a variety of institutional contexts.[46] Common themes include strategies for local advocacy work, small grant-supported adoption initiatives, and strategies for finding and evaluating quality OERs. This topic was covered more extensively in the 2018 ACRL Top Trends including example OER programs.[47] The Community College Consortium for Open Educational Resources (CCCOER) maintains a robust community of practice online that includes webinars, news, and case studies that will be of interest to academic librarians within and outside of community colleges.[48] The CCCOER is part of the Open Education Consortium which maintains a globally-focused gateway of resources.[49] OERs and other affordable learning initiatives remain a focus for campuses as a way to reduce textbook costs and lower the overall cost of the college degree. Locally this is an area for librarians to engage with their faculty to provide support for OER development and use of e-reserve articles and book chapters in lieu of textbooks that students must each purchase.

The potential of OERs expands beyond replacing traditional textbooks with their free equivalents and toward open pedagogical practices.[50] Connecting students and researchers with existing resources, whether openly available or otherwise, is within the traditional role of librarians. As teaching faculty begin to adopt open pedagogy, defined broadly as student-centered practices that rely on the open availability of educational resources, the role of the librarian may expand beyond locating and evaluating resources. Indeed, the open pedagogy space is rife with teaching opportunities focused on copyright and communication of student-produced works, description

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[45] John Hilton, "Open Educational Resources and College Textbook Choices: A Review of Research on Efficacy and Perceptions," *Educational Technology Research Development* 64, no. 4 (2016), https://doi.org/10.1007/s11423-016-9434-9.

[46] Andrew Wesolek, Jonathan Lashley, and Anne Langley, *OER: A Field Guide for Academic Librarians* (Pacific University Press, 2018), https://commons.pacificu.edu/pup/3/.

[47] ACRL Research Planning and Review Committee, "2018 Top Trends in Academic Libraries: A Review of the Trends and Issues Affecting Academic Libraries in Higher Education."

[48] Community College Consortium for Open Educational Resources, "Community of Practice for Open Education," https://www.cccoer.org/.

[49] Open Educational Consortium, "Open Education Consortium: The Global Network for Open Education," (https://www.oeconsortium.org/.

[50] David Wiley and John Levi Hilton III, "Defining OER-Enabled Pedagogy," *The International Review of Research in Open Distributed Learning* 19, no. 4 (2018), https://doi.org/10.19173/irrodl.v19i4.3601.

and preservation of digitally born and multimodal works, and other areas librarians are well positioned to support.

Student Success Data

Colleges and universities are working to improve student retention and services through analyzing big data. Because many higher education institutions gather data from student coursework and other types of engagement, there is an opportunity to use this information to benefit students.[51] One ambitious example of using libraries using student data is The Greater Western Library Alliance study that used student data from multiple institutions to assess the impact of information literacy instruction on student learning.[52] A student at the University of Central Florida Libraries tracked student IDs across five service points. While the data was intended to connect to a larger campus study, the library was able to learn about how students used their services, including that they typically only used one of the five.[53] Academic advisors are also interested in how data and technology can be leveraged to better support students.[54] Some have expressed concerns that colleges and universities must remain transparent about how the information is gathered and used. It will be important to see additional research gathered in the area of big data and the student learning environment as well as how those developments affect library collections and services as we move forward.

Implications

- To meet the challenges of allocating space for both collections and services, libraries need to consider published research studies, local data, and engage their communities.

- Evolving pedagogical and curricular needs may be a key factor in determining where to innovate in space use and design, as well as inform the design and delivery of information literacy instruction.

- The costs of higher education has garnered national attention and colleges and universities are motivated to find creative solutions such as 3-year Bachelor's degrees, 5-year master's

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[51] Goldie Blumenstyk, "Big Data Is Getting Bigger. So Are the Privacy and Ethical Questions," *The Chronicle of Higher Education* (2018), https://www.chronicle.com/article/Big-Data-Is-Getting-Bigger-So/244099.

[52] Joni Blake et al., "The Impact of Information Literacy Instruction on Student Success: A Multi-Institutional Investigation and Analysis," (2017), https://scholar.smu.edu/libraries_cul_research/13/.

[53] Penny Beile, Kanak Choudhury, and Morgan C. Wang, "Hidden Treasure on the Road to Xanadu: What Connecting Library Service Usage Data to Unique Student Ids Can Reveal," *Journal of Library Administration* 57, no. 2 (2017/02/17 2017). https://doi.org/10.1080/01930826.2016.1235899.

[54] George E. Steele, "Student Success: Academic Advising, Student Learning Data, and Technology," *New Directions for Higher Education* 2018, no. 184 (2018). https://doi.org/10.1002/he.20303.

programs, and OERs and other alternatives to textbooks. These changes can create both challenges and points of connection between librarians and faculty.

- Increasing attention to student data and retention from campus administration requires that libraries foster connections with all academic support services to remain positioned to support student success.

Equity, Diversity, and Inclusion

For several decades, institutions of higher learning and professional organizations, including the American Library Association and the Association of College and Research Libraries,[55] have recognized and launched initiatives in the areas of equity, diversity, and inclusion (EDI). As concepts, equity ensures equitable opportunities for historically underrepresented populations in accessing educational and employment opportunities; diversity embraces the distinctiveness of each individual and recognizes and values differences in external and internal attributes; and inclusion seeks to foster an inclusive work or education environment where all individuals are valued for their unique skills, experiences, and perspectives.[56] Events at recent ALA meetings confirm that statements and codes of conduct are a beginning rather than an end point and that across librarianship – in our professional organizations and our workplaces – there is still much more to be done to create an equitable, diverse, and inclusive environment for ourselves and for our library users.[57]

A 2017 Ithaka survey asked higher education experts about diversity in higher education. Respondents identified the Supreme Court ruling *Fisher v. University of Texas* which upheld affirmative action in admissions as the "most positive high-impact event on the list." This same survey found that 71% of respondents viewed student protests surrounding high-profile controversial speakers as having a negative impact. Ithaka notes that "in their open-ended

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[55] Office for Diversity Literacy American Library Association and Services Outreach, "Equity, Diversity, and Inclusion Recommendations Report 2," updated 2018/01/30/, 2018, http://www.ala.org/aboutala/sites/ala.org.aboutala/files/content/diversity/EBD_5.8_EDI%20Recommendations%20Report_MW2018_Final.pdf.; Association of College and Research Libraries, "ACRL Diversity Alliance," http://www.ala.org/acrl/issues/diversityalliance.; "ACRL Plan for Excellence: Core Commitment," http://www.ala.org/acrl/aboutacrl/strategicplan/stratplan.

[56] American Library Association Office for Diversity, Literacy, and Outreach Services. "ODLOS Glossary of Terms." http://www.ala.org/aboutala/odlos-glossary-terms.

[57] Lindsay McKenzie, "Racism and the American Library Association," *Inside Higher Ed* (2019), https://www.insidehighered.com/news/2019/02/01/american-library-association-criticized-response-racism-complaint.

comments, respondents cited the importance of protecting free speech on campuses, as well as the educational and social costs of suppressing dialogue and diversity of opinion on controversial issues."[58] Campuses are trying different approaches to providing a safe and respectful environment that supports the open exchange of ideas and a more diverse community for students. Racial tension on campuses can lead to a recommitment by college administrators to make diversity-hiring, cultural competency trainings, and curricular changes a priority in order to address racial issues.[59] University policies may also be informed by social network analysis of the interactions of a diverse student body.[60] Administrators may be susceptible to "diversity fatigue" and minority faculty members may feel burdened by the expectation of participating in campus EDI and cultural competency efforts, while simultaneously forced to navigate resistance to such work when they do engage.[61] Looking forward, the Association of American Colleges & Universities conference in 2019 will concentrate on "engaged inclusivity" which aims to "examine what it means to work toward a campus environment where inclusivity thrives through constant reflection, analysis, and accountability."[62] A lack of diversity in certain academic disciplines has led to some inquiries into the effects of building diversity and inclusion into the curriculum for specific programs.[63] The identification of equity and diversity gaps in general education classes and new student orientations also can be viewed as a first step in ensuring

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[58] Rayane Alamuddin, Martin Kurzweil, and Daniel Rossman, "Higher Ed Insights: Results of the Spring 2017 Survey," Ithaka S+R, http://www.sr.ithaka.org/publications/higher-ed-insights-results-of-the-spring-2017-survey/.

[59] Alexander C. Kafka, "This College Is on the Front Lines of America's Divides. Here's How It's Working to Bridge Them," *The Chronicle of Higher Education* (2018), https://www.chronicle.com/article/This-College-Is-on-the-Front/244461.

[60] Faezeh Karimi and Petr Matous, "Mapping Diversity and Inclusion in Student Societies: A Social Network Perspective," *Computers in Human Behavior* 88 (2018), https://doi.org/10.1016/j.chb.2018.07.001.

[61] Mariam B. Lam, "Diversity Fatigue Is Real," *The Chronicle of Higher Education* (2018), https://www.chronicle.com/article/Diversity-Fatigue-Is-Real/244564.

[62] Association of American Colleges and Universities, "2019 Diversity, Equity, and Student Success," updated 2019, 2019, https://www.aacu.org/conferences/dess/2019.

[63] Rebecca A. Atadero et al., "Building Inclusive Engineering Identities: Implications for Changing Engineering Culture," *European Journal of Engineering Education* 43, no. 3 (2018), https://doi.org/10.1080/03043797.2017.1396287.; Alison Cook-Sather, Crystal Des-Ogugua, and Melanie Bahti, "Articulating Identities and Analyzing Belonging: A Multistep Intervention That Affirms and Informs a Diversity of Students," *Teaching in Higher Education* 23, no. 3 (2018), https://doi.org/10.1080/13562517.2017.1391201.; Hironao Okahana et al., "STEM Doctoral Completion of Underrepresented Minority Students: Challenges and Opportunities for Improving Participation in the Doctoral Workforce," *Innovative Higher Education* 43, no. 4 (2018), https://doi.org/10.1007/s10755-018-9425-3.

institutional support of student success for all students.[64] Several campuses nationwide are undertaking a variety of approaches at the macro-, meso-, and micro-levels, in order to advance diversity and inclusion at their institutions.[65]

The ACRL President's Program discussion series for 2018-19 will focus on EDI issues and there is general recognition that far more progress must be made.[66] Academic and research librarians are increasing efforts to raise awareness of EDI by incorporating it into their outreach programs, professional development, and graduate programs, including internationally.[67] Libraries are reviewing displays to ensure a more inclusive visual representation of science,[68] as well as using the Race Card Project to engage users with these topics and foster safe library spaces.[69] Librarians are also writing about functional diversity and factors affecting a positive workplace experience for those with disabilities.[70] Diversity residency programs are an area that has great potential, according to Pickens and Coren, who provide a set of recommendations for institutions looking to start a program or to review an existing one.[71] As this conversation expands, even the Open Access (OA) movement has come under scrutiny in an attempt to ensure that scholarly

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[64] Ed Klonoski, Gregory Barker, and Vernese Edghill-Walden, "General Education: The Front Lines of Equity and Inclusion at a Midsize Public University," *The Journal of General Education* 66, no. 1 (2017), https://doi.org/10.5325/jgeneeduc.66.1-2.0060.

[65] Kathy Takayama, Matthew Kaplan, and Alison Cook-Sather, "Advancing Diversity and Inclusion through Strategic Multilevel Leadership," *Liberal Education* 103, no. 3/4 (2017), https://www.aacu.org/liberaleducation/2017/summer-fall/takayama_kaplan_cook-sather.

[66] Lauren Pressley, "Introducing the ACRL President's Program EDI Discussion Series," *ACRL Insider* (2018), https://www.acrl.ala.org/acrlinsider/archives/16629.

[67] Andrew R. Grissom, "The Alert Collector: Workplace Diversity and Inclusion," *Reference & User Services Quarterly* 57, no. 4 (2018), https://doi.org/10.5860/rusq.57.4.6700.; Roselle S. Maestro et al., "Teaching Diversity, Becoming Inclusive: Perspectives and Possibilities in ASEAN Library and Information Science Schools," *Journal of the Australian Library & Information Association* 67, no. 2 (2018), https://doi.org/10.1080/24750158.2018.1467142.

[68] Mae Evans, Irene M. H. Herold, and Zachary Sharrow, "Hidden Science Superstars: Making Diversity Visible to Increase Inclusion," *College & Research Libraries News* 79, no. 7/8 (2018), https://doi.org/10.5860/crln.79.7.380.

[69] Stephanie Everett, "Visualizing the Silent Dialogue About Race: Diversity Outreach in an Academic Library," *Journal of Academic Librarianship* 44, no. 4 (2018), https://doi.org/10.1016/j.acalib.2018.04.002.

[70] J. J. Pionke, "Functional Diversity Literacy," *Reference Services Review* 46, no. 2 (2018), https://doi.org/10.1108/RSR-02-2018-0024.; Joanne Oud, "Academic Librarians with Disabilities: Job Perceptions and Factors Influencing Positive Workplace Experiences," *Partnership : the Canadian Journal of Library and Information Practice and Research; Toronto* 13, no. 1 (2018), https://doi.org/10.21083/partnership.v13i1.4090.

[71] Chanelle Pickens and Ashleigh D. Coren, "Diversity Residency Programs: Strategies for a Collaborative Approach to Development," *Collaborative Librarianship* 9, no. 2 (2017), https://digitalcommons.du.edu/collaborativelibrarianship/vol9/iss2/7.

communication initiatives seek out social justice and the "missing voices" in order to pursue a truly equitable, global exchange of ideas.[72]

Implications

- Create and foster academic library workplaces in which staff with diverse backgrounds and perspectives can succeed, without expecting all EDI work to be done by employees in under-represented groups.

- Advance outreach activities and supplement instruction with classroom practices and examples that promote inclusion and diversity of thought.

- Library administrators need to seek out and provide for faculty and staff development opportunities that promote intercultural awareness and competencies.

- Libraries are part of broader communities that may provide training and resources to support EDI, such as campuses, local governments, and professional organizations. Local communities can also provide libraries with valuable insight for program development and inclusive instructional design.

Library Neutrality and Free Speech on Campus

The concept of neutrality in libraries, and in particular the idea that librarians should aspire to provide equal access to materials of all viewpoints and treat all users' inquiries as the same regardless of the intolerance that may be expressed, has been debated for quite some time. Commentators from various positions have considered the topic since the 1960s.[73] However, the debate regarding neutrality as a library value has reemerged in professional discussions with a new urgency, due in part to the current polarized U.S. political climate and the pronounced visibility and reemergence of hate groups. Questions of whether neutrality is an essential value for maintaining intellectual freedom, as well as the impossibility of neutrality being an option

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[72] Michelle Baildon, "Extending the Social Justice Mindset: Implications for Scholarly Communication," *College & Research Libraries News* 79, no. 4 (2018), https://doi.org/10.5860/crln.79.4.176.

[73] David K. Berninghausen, "Antithesis in Librarianship: Social Responsibility vs. The Library Bill of Rights," *Library Journal*, no. 97 (1972).; D. J. Foskett, *The Creed of a Librarian – No Politics, No Religion, No Morals* (London: The Library Association, 1962).; *Questioning Library Neutrality: Essays from Progressive Librarian* (Library Juice Press, 2008).; Toni Samek, *Intellectual Freedom and Social Responsibility in American Librarianship, 1967-1974* (Jefferson: McFarland, 2001).; Celeste West, "Secret Garden of Censorship: Ourselves," *Library Journal*, no. 108 (1983).

that one can "choose" when every decision is political in some way, were considered at the 2018 ALA Midwinter President's Program.[74]

In June 2018 at the ALA annual conference, the ALA Council voted to approve an update to the guidelines "Meeting Rooms: An Interpretation of the Library Bill of Rights" with provisional language. After this initial approval but seemingly without the full knowledge of councilors, the draft guidelines were edited to name "hate groups" as an example of people who could not be excluded from library meeting rooms. News of the updated language later reached members of the profession, many of whom expressed outrage at the decision on social media. A petition created by We Here, a community of people of color in the libraries and archives fields, was signed by hundreds in a matter of days.[75] Librarians petitioned councilors to hold another vote on rescinding the language, which passed.[76] Based on these events it is clear that the profession feels strongly about the issue of neutrality, which has very real effects on library collections, space, and the users we serve.

The library neutrality debate is in some ways reflected in the arguments surrounding the battles concerning free speech on higher education campuses. Free speech in higher education has figured largely in news outlets as a debate on whether alt-right speakers seeking a platform should be allowed to speak on campuses, but more consequential questions are raised in terms of student and faculty speech.[77] An analysis of data in March 2018 by the director of Georgetown University's Free Speech Project found that the free speech "crisis" is overblown, and that the same few prominent conservative speakers use these opportunities to promote themselves and claim they are being targeted. Much less publicized but more common, according to the data, is when professors or students of color are not allowed to express themselves.[78] Discussions of free

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[74] Em Claire Knowles et al., "ALA President's Program: Are Libraries Neutral? Have They Ever Been? Should They Be?," in *ALA Midwinter 2018, American Library Association* (Seattle2018), https://2018.alamidwinter.org/speaker/ala-presidents-program.

[75] "Petition to Revise Ala's Statement on Hate Speech & Hate Crime," 2018/07/13/ 2018, https://docs.google.com/document/d/1WxaRj0i63OHKcOG4F55PpKQ4kz7a-Iv4CELfzlqyFKU.

[76] "ALA Council Rescinds Meeting Rooms: An Interpretation of the Library Bill of Rights," news release, 2018/08/16, www.ala.org/news/press-releases/2018/08/ala-council-rescinds-meeting-rooms-interpretation-library-bill-rights.

[77] Katy Steinmetz, "Milo Yiannopoulos Spoke at Berkeley. Protesters Were Louder," *Time* (2017), www.time.com/4955245/milo-yiannopoulos-berkeley-free-speech-week/.

[78] Chris Quintana, "The Real Free-Speech Crisis Is Professors Being Disciplined for Liberal Views, a Scholar Finds," *The Chronicle of Higher Education* (2018), www.chronicle.com/article/The-Real-Free-Speech-Crisis-Is/243284.

speech in higher education are often reduced to a false dichotomy, where diversity and inclusion are believed to be at odds with free expression.

Academic libraries have found themselves involved in controversial campus issues, as with the debate surrounding the "Silent Sam" statue at University of North Carolina at Chapel Hill. A statue of a Confederate soldier, seen as a monument to white supremacy, was toppled by protestors in summer 2018, and the university has since considered various proposals for keeping the statue on campus or removing it altogether. To prevent the university libraries from being considered as a potential site for displaying the statue, nearly half of the UNC Libraries staff signed a statement in opposition to such action, along with a letter from the Administrative Board of the Library.[79] This swift and decisive action appears to have prevented the libraries from being considered as a site for the statue. As the issue of free speech progresses on campuses and across the higher education landscape, academic libraries may find themselves increasingly part of these debates.

Implications

- Academic libraries must consider their positions on meeting spaces, acquisitions, and other reflections of the library's orientation, and make these policies explicit.
- Academic library leaders and staff should be prepared if and when their libraries are put at the forefront of a debate regarding free speech on campus.

Scholarly Communication Landscape

Open Access

In the continually evolving arena of Open Access, recent data highlight the differing approaches between scholars and institutions in European countries and the United States. According to the data on open access publications from European Commission, the percentage of green open access in European Union (EU) countries ranges from 11.2% (Lithuania) to 28.1% (Belgium) and the percentage of gold open access ranges from 7.4% (France) to 20.2% (Latvia). While in US, green open access is 29.1% (higher than the EU country with the highest percentage of green OA) and gold open access is 7.0%.[80] (lower than the EU country with lowest percentage of gold

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[79] Evely Forte, "Almost Half of Unc Libraries Staff Signed Statement against Silent Sam Being Placed in Any Branch," *The Daily Tar Heel* (2018), https://www.dailytarheel.com/article/2018/10/unc-libraries-silent-sam.

[80] European Commission, "Trends for Open Access to Publications," https://ec.europa.eu/info/research-and-innovation/strategy/goals-research-and-innovation-policy/open-science/open-science-monitor/trends-open-access-publications_en.

OA). Compared to EU countries, the U.S. favors the green model that is more publisher-friendly and relies on authors providing free access via deposit in an open access repository rather than freely available at the journal's website. The number of institutions adopting institutional open access policy is increasing year by year. According to the website of the Coalition of Open Access Policy Institutions (COAPI), the number of member institutions has grown to 106 from 94 in May 2017.[81] At the U.S. Federal level, the development of green open access policies has been moving slowly since 2013, when the introduction of the Fair Access to Science and Technology Research Act (FASTR) was made and accompanied an Office of Science and Technology Policy (OSTP) directives.[82]

On the other hand, Europe made a bold move in the gold open access development in 2018, following the OA2020 initiative. COAlition-S, a group of European national research funding organizations, with the support of the European Commission and the European Research Council, launched Plan S in September 2018, as a set of principles targeting 2020 as the deadline for all research funded by participating national and European research councils and funding bodies to be published in "compliant open access journals or on compliant Open Access Platforms."[83] The Plan S is indeed an ambitious proposition and has led to a vigorous debate across sections, including both support and concern, sometimes both.[84] On November 22, 2018, the Guidance on the Implementation of Plan S was released and is now open for public feedback.[85] There is still time, until January 1, 2020, to have the conversation and discussion among researchers, librarians, publishers, funders and scientific societies on the actual implementation.

As the field of scholarly communication librarianship matures, it continues to expand beyond open access and into the areas of Open Data. In the Open Data Space, Wikidata and Wikibase are proving promising pathways toward linked data environments which may improve library discovery systems, as well as providing better understanding of how scholarship is communicated and evaluated. ARL recently developed a task force to explore partnerships with

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[81] SPARC, "Coalition of Open Access Policy Institutions (Coapi)," SPARC, https://sparcopen.org/coapi/.

[82] Roy Kaufman, "Recent Developments in Us Federal Open Access Policies: FASTR Moves Slower," Copyright Clearance Center, 2017, http://www.copyright.com/blog/us-federal-open-access-policies-fastr/.

[83] "'Plan S' and 'Coalition S' – Accelerating the Transition to Full and Immediate Open Access to Scientific Publications," https://www.coalition-s.org/.

[84] Office of Scholarly Communication Univesrity of Cambridge, "Plan S | Unlocking Research | Page 2," 2018, https://unlockingresearch-blog.lib.cam.ac.uk/?p=2163.

[85] Science Europe, "Feedback on the Implementation Guidance of Plan S Generates Large Public Response," news release, 2019, https://www.coalition-s.org/feedback/.

the Wikimedia Foundation, which released a draft white paper for public comment in fall 2018.[86] Notable recommendations include using Wikidata as a repository for open linked data, encouraging staff to edit and contribute to Wikidata, and expand the capacity of Wikipedians-in-Residence.

Implications

- Libraries should have a good understanding of Plan S and its implementation details, determine if there will be potential implication to researchers within the institution, and provide feedback to COAlition-S if necessary.
- Plan S provides libraries with an opportunity to lead discussions on what this means for the international research and publishing landscape and inform their researchers and campus leadership about Open Access issues.
- As OA mandates and initiatives grow, libraries can establish themselves as the campus experts in authorship rights and open access requirements. By partnering with campus stakeholders to develop an institutional open access policy, libraries can raise awareness and help their researchers retain rights to their scholarly works.
- Open Data, in particular open linked data, has potential to improve library discovery systems.

Big Deal Cancellations

Once seen as a cost saving opportunity, many libraries now believe the "Big Deal" packages which bundle together a wide swath of a publisher's journals into one contract locks them into unsustainable price increases and may include paying for packaged content that is of low relevance or quality. As such, many are now weighing the potential costs and opportunities in cancelling their Big Deal subscriptions.

SPARC has been tracking Big Deal cancellations since 2009, but momentum in this space grew in 2018. At the time of this writing, seven institutions and eight consortia/institutes cancelled their Big Deal subscriptions in 2018/2019.[87] Florida State University cancelled its Big Deal subscription with Elsevier, retaining instead subscriptions to a much smaller core of essential journals, while bolstering their ILL capacity.[88] After months of negotiations surrounding the 5

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[86] Association of Research Libraries, "ARL Wikidata Task Force White Paper (Draft for Public Comment)," ARL, updated 2018/11//, 2018,
https://docs.google.com/document/d/1ZsOyw2sOD3a7xJQ6XCSYDGjZUPxGGl8tuvC7vvtlJRU/edit.

[87] SPARC, "Big Deal Cancellation Tracking," 2019, https://sparcopen.org/our-work/big-deal-cancellation-tracking/ (Continuously updated dataset of Big Deal cancellations. Accessed for this publication March 25, 2019.).

[88] "Big Deal Cancellation Tracking."

year Big Deal contract between Elsevier and the University of California system, the latter has terminated its subscriptions with the former.[89] At the time of this writing, UC's actions represent a substantial acceleration of Big Deal cancellation trends. The UC system is responsible for 10% of the research output of the United States and Elsevier is the world's largest publisher of scholarly journals.[90] As such the cancelled contract is sure to have profound, if yet unknown, implications for the scholarly communications ecosystem. Without paid access to Elsevier content, the UC system is encouraging its community to find alternative and increasingly open access to Elsevier articles.[91]

Implications

- It is unclear what impact Big Deal cancellations such as the UC System and Florida State will have on publishers and how this might affect future business models and pricing. Libraries will need to remain alert to changes in the marketplace.
- The experiences of UC, Florida State, and others can inform libraries that are considering canceling a Big Deal package in terms of impact on campus, communications with researchers, library workloads, and ILL costs.

Community-Owned Infrastructure and Institutional Repositories

On August 2, 2017, Elsevier announced its acquisition of bepress.[92] Bepress- Berkeley Electronic Press- is the most dominant product (Digital Commons) and service provider in the North America for institutional repositories. The acquisition positioned Elsevier as a major if not the foremost single player in the institutional repository landscape.[93] The acquisition sent a

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[89] Lindsay McKenzie, "Heavyweight Showdown over Research Access," *Inside Higher Ed* (2018), https://www.insidehighered.com/news/2018/12/13/university-california-challenges-elsevier-over-access-scholarly-research.

[90] Office of the President University of California, "UC Terminates Subscriptions with World's Largest Scientific Publisher in Push for Open Access to Publicly Funded Research," news release, February 28, 2019, 2019, https://www.universityofcalifornia.edu/press-room/uc-terminates-subscriptions-worlds-largest-scientific-publisher-push-open-access-publicly.

[91] Office of Scholarly Communication University of California, "Alternative Access to Elsevier Articles," https://osc.universityofcalifornia.edu/open-access-at-uc/publisher-negotiations/alternative-access-to-articles/.

[92] Tom Reller, "Elsevier Acquires Bepress, a Leading Service Provider Used by Academic Institutions to Showcase Their Research," news release, 2017/08/02, https://www.elsevier.com/about/press-releases/corporate/elsevier-acquires-bepress,-a-leading-service-provider-used-by-academic-institutions-to-showcase-their-research.

[93] Roger C. Schonfeld, "Elsevier Acquires Institutional Repository Provider Bepress," *The Scholarly Kitchen*, 2017, https://scholarlykitchen.sspnet.org/2017/08/02/elsevier-acquires-bepress/.

shockwave throughout the library community and hundreds of institutions that use Digital Commons to support their open access effort on campus woke up the news that their repository services and infrastructure were now owned by Elsevier.[94] Discussions quickly spread through the community. Heather Joseph from SPARC and Kathleen Shearer from Confederation of Open Access Repositories (COAR) wrote a blog post to help frame the organization's responses to the acquisition.[95] At the CNI meeting in December 2017 and the ALA Midwinter meeting in February 2018, SPARC convened members-only events on the topic of "community-controlled infrastructure for scholarly communication." A range of potential actions were proposed and discussed at the events. SPARC took a lead and adopted three initiatives in their program plan in 2018.[96]

- Invest in high-level market expertise to produce a strategic analysis/action plan;

- Redefining parameters for commercial arrangements;

- Revisiting our repositories (can we agree on a vision of next generation repositories that includes mechanisms to ensure they remain community controlled?)

COAR also released a report on next generation repositories with the hope of providing a foundation for distributed, globally networked infrastructure for scholarly communication.[97] Other interesting initiatives that are currently underway include "Beprexit" from University of Pennsylvania and "2.5% Commitment" from David Lewis. When Elsevier announced its acquisition of bepress, Penn Libraries, a bepress customer for 13 years, made a practical, values-based decision to start exploring alternative options in a project called beprexit ("bepress exit").[98] The project's goal was to rethink U. Penn's own scholarly communication infrastructure, the services they provide and the products that can best support community's

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[94] Heather Joseph, "Securing Community-Controlled Infrastructure: Sparc's Plan of Action " *College & Research Libraries News*, https://doi.org/https://doi.org/10.5860/crln.79.8.426.

[95] Heather Joseph and Kathleen Shearer, "Elsevier Acquisition Highlights the Need for Community-Based Scholarly Communication Infrastructure," *SPARC News* (2017), https://sparcopen.org/news/2017/elsevier-acquisition-highlights-the-need-for-community-based-scholarly-communication-infrastructure/.

[96] Joseph, "Securing Community-Controlled Infrastructure."

[97] Next Generation Repositories Working Group, "Next Generation Repositories: Behaviours and Technical Recommendations of the COAR," Confederation of Open Access Repositories, 2017, https://www.coar-repositories.org/files/NGR-Final-Formatted-Report-cc.pdf.

[98] Sarah Wipperman, Shawn Martin, and Chealsye Bowley, "Balancing Influence in a Shifting Scholarly Communication Landscape: Creating Library-Owned, Community-Aligned Infrastructure through Individual, Local, and Community Action," *College & Research Libraries News* 79, no. 5 (2018), https://doi.org/10.5860/crln.79.5.244.

needs. It was hoped that others can learn from their successes and failures and might be inspired to look at their own structures and make decisions about what libraries should own in scholarly communication. The 2.5% commitment initiative proposes that every academic library should commit to invest 2.5% of its total budget to support the common infrastructure needed to create the open scholarly commons.[99]

Implications

- As publishers assert power through purchase of repository platforms, libraries and consortia should proactively plan how and what they can do to retain control of content throughout the scholarly communication lifecycle.

- Libraries should consider strategic allocation of resources to support open access projects locally and as part of consortia.

Research Evaluation and Metrics

The general landscape of research metrics and evaluation has largely remained the same over the last few years. Competition among institutions for researchers, students, and funding remains fierce, particularly but not exclusively at R1 institutions,[100] as does the competition among researchers for tenure-track positions.[101] Top universities are increasingly focused on rankings and garnering more prestige. Two of the most well-known university ranking systems focus 40% of the performance indicators on research output (i.e. reputation, volume, and funding) of institutions and the research influence (i.e. citation counts) of faculty.[102] This emphasis on

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[99] David W. Lewis et al., "Funding Community Controlled Open Infrastructure for Scholarly Communication: The 2.5% Commitment Initiative," *College & Research Libraries News* 79, no. 3 (2018), https://doi.org/10.5860/crln.79.3.133.

[100] The Carnegie Classification of Institutions of Higher Education, "Basic Classification Description," http://carnegieclassifications.iu.edu/classification_descriptions/basic.php.

[101] Marc A. Edwards and Siddhartha Roy, "Academic Research in the 21st Century: Maintaining Scientific Integrity in a Climate of Perverse Incentives and Hypercompetition," *Environmental Engineering Science* 34, no. 1 (2017), https://doi.org/10.1089/ees.2016.0223.

[102] "World University Rankings 2019: Methodology," *Times Higher Education (THE)* (2018), https://www.timeshighereducation.com/world-university-rankings/methodology-world-university-rankings-2019.

objective rankings has led to reliance on quantitative metrics to evaluate institutions and their researchers.[103]

Metrics aim to show the value of a researcher's output and the impact of their work. Some factors are direct measures (e.g. citation count) and others are indirect measures where the researcher inherits some prestige from the journals that they have published in (e.g. impact factors). Impact factors and acceptance rates of journals, *h*-indices of authors, and citation counts and altmetric scores of articles are just some of the many different metrics that have been created to quantify this value. However, these metrics all have their limitations.[104] New metrics have been developed to try and work around flaws in previous systems. Most of these new metrics remain solely in the realm of academic discussion, however, with the entrenched measures (e.g., Journal Impact Factor, *h*-index) remaining the most popular due to a variety of factors.[105] Altmetrics emerged in 2010 as a hot topic in research impact and remains an area of interest for librarians and scholars as it expands the types of impact considered beyond traditional bibliometrics to include factors such as mentions in social media and number of downloads. It is even becoming common to see researchers including their *h*-index and an altmetrics badge on their online profiles and publishers often include impact measure on their journals' websites and at the article level. A market for commercial tools to support research metrics, including altmetrics has emerged with companies such as Plum Analytics and Altmetrics marketing products not only to libraries but also to campus administrators and research units on campuses.

This emphasis on objective rankings is not without controversy. Most bibliometricians agree that, while quantitative metrics can be a useful indicator of prestige, they should not be the sole consideration when making decisions. In fact, the drive by institutions to improve their rankings has led to an increase in what Edwards and Roy call "perverse" academic incentives, with actual effects far removed from what is intended.[106] There is a growing movement among bibliometricians, researchers, and other members of the academic community advocating for the

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[103] Steven Braun, "Supporting Research Impact Metrics in Academic Libraries: A Case Study," *portal: Libraries and the Academy* 17, no. 1 (2017), https://doi.org/10.1353/pla.2017.0007.

[104] James Wilsdon et al., *The Metric Tide: Report of the Independent Review of the Role of Metrics in Research Assessment and Management* (2015), https://doi.org/10.13140/RG.2.1.4929.1363.

[105] Kushwanth Koya and Gobinda Chowdhury, "Metric-Based Vs Peer-Reviewed Evaluation of a Research Output: Lesson Learnt from Uk's National Research Assessment Exercise," *PLOS ONE* 12, no. 7 (2017), https://doi.org/10.1371/journal.pone.0179722.; Ludo Waltman, "A Review of the Literature on Citation Impact Indicators," *arXiv e-prints* (2015), https://ui.adsabs.harvard.edu/\#abs/2015arXiv150702099W.; Björn Hammarfelt and Alexander D. Rushforth, "Indicators as Judgment Devices: An Empirical Study of Citizen Bibliometrics in Research Evaluation," *Research Evaluation* 26, no. 3 (2017), https://doi.org/10.1093/reseval/rvx018.

[106] Edwards and Roy, "Academic Research in the 21st Century."

responsible use of metrics for research evaluation such as the San Francisco Declaration on Research Assessment[107] and the Leiden Manifesto.[108]

Research has shown that while many faculty are aware of different types of research metrics -- mostly journal impact factors and the *h*-index -- they generally lack knowledge of what the metrics mean and how to use them.[109] Libraries can and should help to fill this gap in faculty and administrator knowledge about research metrics. A good starting point for subject liaisons is gaining an understanding of which metrics are most commonly used in each discipline. Faculty in the sciences and social sciences are more likely to use (and already be moderately familiar with) traditional metrics like the Journal Impact Factor and the *h*-index. Faculty in the humanities, particularly those whose scholarship consists primarily of monographs, are far more likely to have little to no familiarity with any sort of metric, traditional or otherwise.[110]

Many tools now exist to help librarians and researchers understand the landscape. Some define the different levels and types of metrics such as the Metrics Toolkit[111] and MyRI.[112] Digital Science's Dimensions[113] and 1science's 1findr[114] are resources that provide a full context, including societal impact, for both traditional (monographs, journal articles, conference proceedings, etc.) and non-traditional (grants, patents, clinical trials, etc.) research outputs. Many librarians in subject liaison roles already help faculty to identify publishing opportunities and track their research; metrics- and research evaluation-related services can be thought of as an extension of this. Some of these services exist already across different types of colleges and

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[107] "San Francisco Declaration on Research Assessment," https://sfdora.org/read/.

[108] Diana Hicks and Pete Wouters, "Leiden Manifesto for Research Metrics," 2015, http://rutgersaaup.org/sites/default/files/images/Leiden-manifesto-research-methods-520429a.pdf and www.leidenmanifesto.org/.

[109] Mindy Thuna and Pam King, "Research Impact Metrics: A Faculty Perspective," *Partnership: The Canadian Journal of Library & Information Practice & Research* 12, no. 1 (2017), https://doi.org/10.21083/partnership.v12i1.3906.

[110] "Research Impact Metrics."; Dan DeSanto and Aaron Nichols, "Scholarly Metrics Baseline: A Survey of Faculty Knowledge, Use, and Opinion About Scholarly Metrics," *College & Research Libraries* 78, no. 2 (2017), https://doi.org/10.5860/crl.78.2.150.

[111] "Metrics Toolkit," http://www.metrics-toolkit.org/.

[112] "MyRI: Measureing Your Research Impact," http://myri.conul.ie/.

[113] Digital Science, "Dimensions," https://www.dimensions.ai/.

[114] 1science, "1findr Free Edition," https://1findr.1science.com/home.

universities.[115] In their literature review Vinyard and Colvin found that libraries at smaller institutions tended to focus on meeting their users at the point of need, while the bibliometric departments at larger institutional libraries were able to devote more time to creating reports for their academic divisions, contributing to the field of bibliometric research, and in some cases developing tools to help their users with collecting and analyzing metrics.[116]

Implications

- Since the limitations of research metrics are not widely understood, libraries need to work with campus administrators on appropriate use of this type of data and advocate with faculty for more inclusive and robust tenure assessments.
- Libraries should prepare for an increase in faculty questions about metrics and evaluation, and plan resources or services accordingly.

Conclusion

The breadth of the landscape that affects libraries in higher education can be daunting, but the issues impact our students, scholars, and colleagues in essential ways. Changes around and within libraries may appear glacially slow or startlingly abrupt depending on one's perspective and level of awareness. Demographics may shift slowly until there is a tipping point of dramatic changes in institutions' programs. Pressures for different uses of spaces may build over time, until funding can be secured and then seemingly rapid decisions can catch users off guard if not well communicated. Changes in the political climate can bring new pressures to campuses and force hard discussions that have been avoided for many years. And the slow pace of diversity efforts is a reminder to work harder. The developments on the OA front may seem abrupt but come after years of campaigns and hard work. It is imperative that librarians have awareness of the broader landscapes of students, higher education pedagogy and policy, publishers, and research and scholarship to enable them to participate rather than just respond.

This iteration of the bi-annual ACRL Environmental Scan highlighted changes in enrollment demographics and student characteristics that could affect issues from funding and resource allocation, to classroom pedagogy and use of technology, to the training needs of student workers. Faculty demographics are slowly becoming more racially and ethnically diverse, but the

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[115] Sarah Visintini et al., "Research Support in Health Sciences Libraries: A Scoping Review," *Journal of the Canadian Health Libraries Association (JCHLA)* 39, no. 2 (2018), https://doi.org/10.29173/jchla29366.

[116] Marc Vinyard and Jaimie Beth Colvin, "How Research Becomes Impact: Librarians Helping Faculty Use Scholarly Metrics to Select Journals," *College & Undergraduate Libraries* 25, no. 2 (2018), https://doi.org/10.1080/10691316.2018.1464995.

predicted wave of faculty retirements has not yet occurred. Changes in the student learning environment generate from many parts of the Academy. Information literacy and Open Pedagogy seek to improve student learning outcomes. Campuses and libraries use student data to track metrics such as retention and grades to assess impact and improve student academic success, and must consider the ethical use of available data. Affordability of higher education spurs campuses and libraries to consider, and partner on, affordable alternatives to textbooks including Open Educational Resources. Libraries continue to work to balance the spaces, services and collections that students and faculty need in light of changes in preferences, vendor landscapes, and budgets. Long standing social issues have taken on new urgency in a polarized political climate and as awareness of inequality and privilege increase. In turn campuses and libraries grapple with upholding and protecting free speech while providing environments that are safe and welcoming to diverse communities. Open Access reaches the twenty-year mark as a movement, but continues to gain momentum and attempt to counterbalance publisher expansions into IR infrastructure and price increases. Faculty and institutional research metrics proliferate and grow in importance, but are not well understood by faculty and administrators which provides an area of service for librarians to increase and use their expertise. This Scan provides a short analysis with implications to draw attention to key areas of attention and action for libraries. The footnotes provide a starting point for deeper understanding for those librarians wishing to delve more deeply into any of the many external factors that shape the Higher Education environment in which academic librarians work.

Appendix A: ACRL Research Planning and Review Committee 2018-2019

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Ginny Boehme
Science Librarian
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Thomas Reed Caswell
Director of Public Services
University of North Florida

Yuan Li
Scholarly Communications Librarian
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———, "Environmental Scan 2017." Association of College and Research Libraries, 2017, http://www.ala.org/acrl/sites/ala.org.acrl/files/content/publications/whitepapers/EnvironmentalScan2017.pdf.

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ACRL Research Planning and Review Committee

2018 top trends in academic libraries

A review of the trends and issues affecting academic libraries in higher education

Every other year, the ACRL Research Planning and Review Committee produces a document on top trends in higher education as they relate to academic librarianship. Topics in this edition of ACRL Top Trends will be familiar to some readers who will hopefully learn of new materials to expand their knowledge. Other readers will be made aware of trends that are outside of their experience. This is the nature of trends in our current technological and educational environments: change is continual, but it affects different libraries at different rates. The 2018 top trends share several overarching themes, including the impact of market forces, technology, and the political environment on libraries.

Publisher and vendor landscape

Publishers and database providers continue to move beyond their traditional functions of research dissemination and distribution into areas of enriched discovery, analytics, productivity, and research workflow.

In August 2017, Elsevier purchased institutional repository and publishing platform bepress. This purchase followed Elsevier's purchases of SSRN and Plum and exemplifies a trend of major publishers purchasing and developing services that radically extend their capabilities beyond publishing.[1] More recently, Digital Science has announced a new tool,

Dimensions, which is intended to "reimagine" article discovery and access through, among other things, a citation databases and research analytics suite.[2] Clarivate Analytics, perhaps best known for providing access to indexing and citation resources, such as Web of Science, Journal Citation Reports, and Endnote, has continued to expand its commercial reach into the scholarly infrastructure realm and ecosystem with the acquisition of Publons (a peer-review platform) and Kopernio (which

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aims to provide more seamless access to licensed and open access content).[3]

As these large publishers and vendors turn more attention to the publishing infrastructure and elements of scholarly communication, they are becoming full-service providers supporting every aspect of scholars' publication workflow from discovery to dissemination.[4] These changes could have major impacts on smaller publishers, independent service providers, and academic libraries in the coming years.[5]

The attraction of this model lies in streamlining disparate elements of academic research and publishing with a single provider that can coordinate funding, data collection and analysis, collaboration across institutional and international boundaries, writing, publication, and promotion of published materials. How researchers find information impacts the marketplace.

Kyle Siler argues that academics are more likely to acquire information through online search than through reading,[6] and if this is the case, large publishers have the infrastructural advantage in making scholarship more visible. This might seem like a familiar conundrum for libraries to contemplate: Is this the new version of the "Big Deal," where we are caught between demonstrating our value to researchers and determining sustainable commitments to licensed content and platforms?

An article in the *Chronicle of Higher Education* is one of the recent calls to members of the academic community to be more informed about the choices they make and be more active to change the climate.[7] The efforts of European institutions, particularly in Germany and the Netherlands, to forward alternative approaches to open access and negotiations with major publishers, are other notable examples of actions toward sustainability of the scholarly information ecosystem.[8]

Attempts to change the payment model for scholarly publishing have also gained traction in the OA2020 movement. This is a trend for librarians to monitor, as it could have significant implications for collections budgets, subscriptions, and campus priorities.

In an effort to streamline access to licensed content and reduce or eliminate the need for users to resort to tools like SciHub and ResearchGate (threatened with a lawsuit), publishers, librarians, and other stakeholders have been collaborating on RA21.[9] Highwire Press, meanwhile, has partnered with Google Scholar to develop CASA (Campus-Activated Subscriber Access).[10] These tools propose a federated identity system that would eliminate the need for IP authentication and proxy servers, allowing users to login once and be recognized across all participating platforms.

There are numbers of issues at play in the establishment and diffusion of federated identity systems,[11] including 1) privacy concerns associated with the aggregation of this much user data, 2) potential challenges for smaller publishers unable to participate in the federated process, and 3) an increase in barriers faced by on-campus users. Access and discovery will continue to be both a priority and a challenge for libraries, as outside companies and individuals develop alternative mechanisms that are perceived as easier to use.[12]

Fake news and information literacy

Though far from being a new phenomenon, *fake news* has proved to be highly influential as a descriptive term and rhetorical device. Fake news played a significant role in the 2016 presidential election,[13] and is a phrase frequently used by the current President of the United States to undermine mainstream news media. Libraries have responded to the issue of fake news, defined as deliberate misinformation that relies on attention-grabbing or inflammatory content to spread widely and influence others, by promoting information literacy as a means of verifying the accuracy and credibility of information. Initiatives, such as IFLA's "How To Spot Fake News" infographic, have gone viral and appeared in international news.[14]

Fake news and other forms of specious information presented as fact have drawn

new attention to the old problems of re-source evaluation and information credibility. Librarians have been quick to respond, and information trust and fake news are topics of forthcoming research studies from Project Information Literacy, a book from ALA Editions, and the spring 2018 issue of *Reference and User Services Quarterly*.[15] Academic librarians have developed numerous workshops and research guides devoted to fighting fake news and to promoting information literacy.

Going forward, it will be important to consider the complexity of fake news and the limits of information literacy in fighting it. A recent study found that fake news may not be as profoundly influential as previously reported, primarily affects hyperpartisan readers, and generally is used by individuals to reinforce what they want to believe.[16] The problem of fake news is not restricted to facts as information alone is unlikely to change one's beliefs.[17] The impact of the fractured and contested media landscape is well worth further consideration and action from the profession, and opens possibilities for partnerships with other people on our campuses who face the same concerns.

Project management approaches in libraries

Project management principles focus on an incremental, team-based approach when tackling large, digital projects, enabling libraries to effectively and efficiently prioritize staffing models, collections, and budgets. Project management has become part of the everyday work of many academic librarians, and most of them have participated in three-to-eight projects in the last five years."[18] This is especially true as academic libraries collaborate on scholarly digital projects or involve institutional partners beyond the library or campus.[19]

Michael J. Dulock and Holley Long report on how their library incorporated project management methodology adapted from techniques used in agile software development to deliver digital objects and collections with recommendation for other libraries.[20]

Documentation and visualization of the iterative process has evolved from group editing bulleted, narrative texts and Gantt charts to more robust, collaborative software and applications that can be shared across many users and several institutional partners.

With an increased need for the knowledge and skills associated with formal project management principles, many professionals traditionally trained in library and information science find themselves lacking or needing additional coursework to become familiar with, or certified, in project management.

James H. Walther, a library and information management professor, examined the specific skill of project management by tailoring graduate coursework to incorporate personal course plans. From this approach he recommends using this teaching method more broadly in library and information science education.[21] Brett D. Currier, Rafia Mirza, and Jeff Downing propose that project management planning skills have always existed within libraries and librarians, but an increased involvement in digital humanities initiatives requires an adjustment to a more "holistic mindset," where librarians "position themselves as collaborative partners on projects instead of service providers to projects."[22]

Textbook affordability and OER

Open Educational Resources (OER) continue to demonstrate importance in a number of ways: sustainable collections in libraries, affordable textbooks for students, new options for curriculum development, and avenues for digital scholarship. Challenges to faculty adoption include difficulty finding resources, lack of resources in a subject area, quality, and the content updates.[23] These perceived barriers can turn into opportunities for librarians to cultivate partnerships with faculty in the discovery, advocacy, and preservation of OER.

To build a sustainable OER collection in any medium, librarians must first identify user needs in supporting curriculum and research through a variety of collection management practices. By incorporating

OER into the curriculum, librarians have the unique opportunity to develop collaborations with faculty, subject librarians, and academic technologists to assist in determining what OER are available, assessing their quality, and adding these materials into the course management system (CMS).[24]

Librarians have also advocated for the adoption of OER through grant award programs and assistance in developing and publishing OER.[25] OER production can be a goal for library-based publishing efforts by leveraging advocacy efforts through the library and publishing experience through university presses to reduce costs for students, while showcasing research and teaching strengths at a university.[26]

Libraries are not the only group advocating for OERs and textbook affordability. There are numerous campus partners, including students. To help students with controlling the cost of their education and to encourage faculty to choose affordable options, some schools include designators in their course registration systems to indicated courses with low-cost and zero-cost required texts.[27]

A number of libraries are also leveraging their e-book content to support textbook affordability initiatives. These initiatives focus on providing e-access to course texts, as well as offering faculty the ability to consider and select available e-book titles for course use.[28] Limitations in the marketplace, such as DRM restrictions and required logins and software that users may not have already installed, are impediments to implementation.

Products from publishers and CMS platforms may create opportunities for libraries to work with faculty. The CMS Canvas allows for a feed from the bookstore into individual courses highlighting required texts.[29] EBSCO Course Builder integrates with the Blackboard CMS to enable faculty to search EBSCO[30] and quickly create their own links to readings from within the CMS.

These approaches are an evolution of the traditional print and e-reserves roles of the library, and leverage content that the library has licensed, creating an opportunity for awareness of the library's value for the library to support faculty course development in new ways.

Learning analytics, data collection, and ethical concerns

The use of learning analytics, which involves the mining and analysis of student data to make improvements or predictions based on past student behavior, has intensified across higher education. Academic libraries are part of this trend, tying the use of library materials and services to student performance measures, such as GPA and retention rates. The use of learning analytics is viewed by some librarians and administrators as a promising tool for achieving positive outcomes for students and institutions, as well as for illustrating ways that academic libraries contribute to institutional productivity and academic achievement. The ACRL *Academic Library Impact* report advocates working with stakeholders to "statistically analyze and predict student learning and success based on shared analytics."[31]

Learning analytics, however, may pose significant conflicts with ALA's Code of Ethics and "professional commitments to promote intellectual freedom; protect patron privacy and confidentiality; and balance intellectual property interests between library users, their institution, and content creators and vendors."[32]

Across higher education, concerns are being raised about reducing student learning and experiences to a set of variables and using data to identify "at-risk" students. The ethical dimensions of involvement in this area will be of increasing importance as college and research library participation in analytics programs progresses.

Librarians and other information professionals have raised concerns regarding how patron data is captured by library discovery tools and, in particular, how and with whom it is shared. Libraries seek to provide more refined and efficient services (marketing, discovery interfaces, collection use), but these

improvements may be generated or informed through the analysis of user activity, creating a conundrum between user service and user privacy.[33] For example, proxy servers might involve collecting user IDs (and associated demographic information) and relating them to use of resources originating from that user. Issues of privacy and data aggregation and retention must be considered and balanced against library service enhancement, and often necessitate sustained communications between campus IT and the library.[34]

Research datasets acquisition, text mining, and data science

With the growth of data science and quantitative research needs, collection managers have engaged in the establishment of more defined guidelines and best practices for the acquisition of standalone spatial and quantitative datasets. Data sources now go beyond text and numeric data, extending to multimedia data, social media data, and hypertext and hypermedia data.[35]

Relevant mining techniques and methods range from information extraction, information retrieval, natural language processing, classification, and clustering to different ways of text summarization.[36]

Datasets possess their own sets of acquisition and management challenges, including licensing restrictions, access and ownership, support, maintenance, discovery, and cost. Some libraries are beginning to offer more secure and dedicated funding lines for research datasets.[37] Most libraries are determining the best means of managing, funding, and developing these small data set collections.[38]

There are challenges to the librarian and researcher since data sources are usually in silos and use different standards, rendering data integration difficult.[39] When dealing with datasets containing sensitive information, such as social media data, enterprise data, and health data, privacy-preserving techniques need to be applied carefully throughout the data integration, sharing, and processing stages.[40]

Getting access to data remains a significant challenge. Many datasets are copyright-protected, and fair use rights could be limited by licenses.[41] There are still a variety of approaches among vendors for access to their respective corpus of data/text, which may or may not be in line with library best practices or library technical capabilities (e.g., dedicated servers for storage or development of content requirement of local developer resources to support).

Librarians can assist researchers by clarifying legal aspects and negotiating licensing permissions with publishers.[42] By creating guides on text and data mining tools and methods and providing information on library databases and data sources, librarians support training and awareness of the data resources and tools that they purchase. Librarians and library technicians also provide support in areas such as digitization, data extraction, data preparation, and even devising models for data analysis.[43] At the end of text and data-mining projects, libraries may help preserve the datasets for reuse, assist researchers to contribute to open access datasets, and record metadata for discovery.[44]

The establishment of data science programs at numerous institutions has led to the need for librarians to adapt and integrate growing management, accessibility, and technical subject expertise to support data scientists.[45] Professional associations and information science programs should continue to expand and enhance training in data management and data analytics to prepare librarians in using and addressing big data questions with colleagues and patrons.[46]

Collection management
Acquisition model developments

Demand-driven acquisition (DDA) patterns continue to evolve as the majority of publishers have altered, restricted or eliminated their short-term loan (STL) options (particularly for front-list titles). These market changes and publisher responses to revenue losses have challenged the sustainability and attractiveness of broad-based e-book DDA.[47]

A more viable option for numerous libraries has been to engage with established library vendors for new DDA plans that do away with the STL model and provide non-DRM (digital rights management) access to university press titles. Although the corpus of titles, particularly frontlist titles, remains limited, aggregators are working to provide more DRM-free options, as well, for purchase through book jobbers.

Outside of "traditional" e-book DDA plans, newer streaming video plans have become increasingly popular to meet demand for streaming content.[48]

The evidence-based acquisitions model (EBM) is a newer development, in which libraries make an upfront financial commitment to a publisher list of titles, and subsequently choose an agreed amount of titles for perpetual ownership. While this model is attractive to libraries and publishers alike, principal concerns of the EBA model are 1) the potential need for long-term annual commitment, due to potential variations in e-book use by discipline, and 2) the need for robust usage statistics for decision-making.

Open access collection development policies and funding schemes

A continuing challenge for collection budgets and policies surrounds the funding of open access initiatives, including the support of article-processing charges. David W. Lewis has called on libraries to consider devoting 2.5% of their budgets to supporting the open access infrastructure.[49] Depending on how the open access investment is defined[50] and an individual library's budget, 2.5% could have a substantial impact on the collections budget.

Cumulatively, if many libraries devote 2.5%, this could also have a substantial impact on open access initiatives. Therefore, it is incumbent upon libraries, particularly collection managers, to establish clear policies that outline parameters for the support and funding of specific open access initiatives and programs.[51] In addition, there is increasing discussion about how to incorporate open access developments into collection decision-making, in particular, in relation to ever-increasing serial budgets (an open access-adjusted cost per download measure as proposed by Kristin Antelman).[52] There has been some movement both in the United States and Europe for vendor licenses that allow for suspension of author-processing charges in the publisher's journal.[53]

Legacy print collections

Several new large-scale print retention initiatives are in various stages of development, including the HathiTrust Print Retention Program, which has amassed retention commitments of more than 4.8 million volumes from member institutions.[54] At the same time as libraries are digitizing collections and purchasing more in electronic format, there is discussion in the profession about how to manage, promote, and engage users with the library print collection. The Arizona State University report on open stacks, funded by the Andrew W. Mellon Foundation, begins to explore potential approaches to better tailor, diversify, and market the local print collection, and includes materials and tools to help guide individual libraries.[55] Interestingly, some traditional measures, such as in-house usage, are being used to better understand patron engagement with onsite collections.[56]

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Equity, Diversity, Inclusion Brainstorming

1. The following list of initiatives were brainstormed during the ACRL Strategic Planning and Orientation Session (SPOS) held during October 23-25, 2019. They are possibilities for the Board to consider and are not in priority order. Appointments Process: review to make more inclusive. Make sure we are not privileging the expectations/requirements of research libraries when we ask people to apply for appointment. Build int welcoming, invitational message to appointments process
2. ALA Ethnic Caucuses: find more ways to routinely include/reach out to ethnic causes. How do we partner with the caucuses?
3. Membership Retention: What can we do to think about retaining those working in academic libraries?
4. Sections are also engaged in this work; how do we better engage with sections/capitalize on their work?
5. Diversity Pipeline: search advocate or search resources at institutions to assist with inclusive hiring practices, reduce biases
6. Consider developing standards/guidelines for recruitment. Oregon State has a "search advocate." Can ACRL model something similar?
7. RoadShows: review for inclusivity.
8. Professional Development:
   a. Consider development of EDI RoadShow that is the beginning of a year-long effort. If developed, investigate subsidized or reduced cost model.
   b. Harvard Leadership Scholarships: Consider asking Harvard if they would support. ACRL had supported for a while but cut from budget due to lack of applicants and cost.
   c. EDI Webcast
   d. EDI Choice podcast
   e. PD for White Fragility: possible book discussion club. Librarians are piloting something similar in the University of Miami and Virginia. Perhaps with university, community college focus to set apart from existing readers' guides.
   f. Is there something we could develop that is free to members, much like New Roles is doing with the change management self-paced course.
   g. How do we provide inclusive leadership training, ally training, implicit bias, etc. to ACRL leaders on rotating basis that is affordable?
   h. Market roadshows to Consortia—Obis-Cascade, GWLA, etc. unconference; informal space where folks can talk—not recorded
9. HBCUs, HSIs & Tribal Colleges: consider ways that ACRL can reach out to HBCUs, HSIs & tribal colleges. Possible ideas:
   a. Invite to apply for an appointment
   b. Invite to become a member
   c. Send a general message from President or ED asking sharing ACRL's Core Commitment and asking for ways that ACRL could support HBCUs or partner on projects.
10. How to get involved webcast: consider ways that EDI could be incorporated.
11. Virtual Leadership Council Inclusivity and Planning

    a. Whom to invite? Invite HBCUs, HSIs, tribal colleges? If inviting to virtual, would need to also invite to in-person breakfast (later decided to keep Leadership Council to usual audience and consider other venues to expand audience)

    b. Consider an informal networking option at the beginning? Do not record these.

    c. How to engage in breakout rooms?

    d. Record and share session for those unable to attend.

    e. Incorporate interactive feature, such as Poll Anywhere

    f. Possible agenda topics: EDI accomplishments

    g. Develop guidelines on how to identify self when logging in. Include name and group in parentheses?

    h. Facilitate introductions—people can add their photo, where they are from, etc. and send in advance of meeting

12. Is there some work that IMLS would support?

13. Recommend academic librarians for the ODLOS speaker series

14. Provide a mentor program for librarians of color undergoing the tenure/appointment process.

15. Look at Oberlin Group examples of lighting talks on EDI, grounded, practical, real-life examples.

16. How to communicate EDI initiatives:

    a. Must be more than a list. Need to focus on outcomes.

    b. Need to frame any reports appropriately, e.g., priorities, activity, impact, outcome

    c. How do we build capacity of ACRL leaders in EDI?

    d. Find stories of EDI; maybe videos that can be shared (some at ACRL 2019 Conference?)

    e. Consider audience. May be some fatigue. How do we go beyond entry level work, recognizing that some entry level work still needed?

    f. Make roadshows, webcasts, part of communication plan

    g. We have heard you, recognize these are high level issues. . .

    h. Consider membership surveys, focus groups

    i. How to best use these venues for communicating about ACRL & EDI:

        i. Chapters Council

        ii. ACRL 2021 Conference

        iii. Town Hall meeting—virtually or at ACRL Conference

        iv. ACRL Officer visits to Chapters

        v. Webinars showcasing how ACRL communities are infusing work with EDI

        vi. Midwinter Leadership Council/Annual Leadership Council

        vii. How to get involved webinar

        viii. Choice Podcasts (The Authority File)

        ix. ACRL 101

        x. Library & Information Science Schools

Implementing ACRL's Core Commitment to Equity, Diversity and Inclusion (EDI)

In October 2018, the Board approved a revised strategic plan to include a Core Commitment to Equity, Diversity and Inclusion.

- o **Core Commitment:** ACRL is dedicated to creating diverse and inclusive communities in the Association and in academic and research libraries. This core commitment permeates the work of the Association, cutting across all ACRL sections, committees, interest and discussion groups, and communities of practice. The Association will acknowledge and address historical racial inequities; challenge oppressive systems within academic libraries; value different ways of knowing; and identify and work to eliminate barriers to equitable services, spaces, resources, and scholarship.

This report lists activities undertaken by ACRL and its members since the core commitment was added to the strategic plan through December 2019.

Unit Activities

- In September 2019, a Call for Volunteers was posted for a joint ACRL/ARL/ODLOS/PLA Task Force to create a framework, *Building Cultural Proficiencies for Racial Equity*, for public and academic librarians. It is anticipated that the project will be completed in a nine-month period, from October 2019 until June of 2020. More than 80 individuals volunteered.
- ACRL published an EDI LibGuide, which includes ACRL's accomplishments for its Core Commitment, including an EDI bibliography of ACRL articles and non-serial publications, EDI calendar, and online learning. This new LibGuide was promoted on ACRL Insider and marketing channels on June 21, 2019.

Scholarships & Funding

- ACRL 2021 Scholarship applications and RBMS Conference Scholarship application criteria have been widened to include non-members as eligible to apply for scholarship.
- ACRL awarded $12,000 in Immersion scholarships to support the participation of six academic and research librarians from under-represented backgrounds or working at under-represented institutions to attend the 2019 Immersion Program.
- Of the $124,210 in ACRL 2019 Conference scholarships awarded, $ $56,688 supported the participation of 78 academic librarians, support staff, and students who self-identified as being from under-represented backgrounds or working at institutions serving under-represented groups.
- ACRL awarded $16,555 to 20 RBMS 2019 Conference scholarship recipients to support the participation of 13 academic librarians and students from under-represented backgrounds or working at under-represented institutions.
- ACRL provided $7,000 to support one ALA Spectrum Scholar in FY19.
- At Midwinter 2019, the Board approved $7,000 disbursement to fund an additional Spectrum Scholar from the ACRL Friends Advancement Fund in FY20.

- ACRL provided $6,500 in matching funds to support the Giving Tuesday fundraising efforts of the Office for Diversity, Literacy, and Outreach Services. (The funds were matched by donors by December 31, 2018).

Professional Development

- ACRL invited ACRL Presidential Forum speaker, Terryl Ross, Assistant Dean of Diversity, Equity, and Inclusion, University of Washington College of the Environment, to present at the ACRL Leadership Council during the 2019 ALA Midwinter Meeting.
- ACRL staff arranged EDI sessions for ACRL institute and roadshow presenters and the general membership including:
  - Jody Gray, Director, ALA Office of Diversity, Literacy, and Outreach Services (ODLOS) led "ACRL Presenter Training 3: Uncovering Privilege" at the ACRL 2019 Conference for ACRL RoadShow presenter teams, the ACRL Immersion team, and the members of ACRL's EDI and goal area committees.
  - Jody Gray, Director, and Kristin Lahurd, Assistant Director for Continuing Education, ALA Office of Diversity, Literacy, and Outreach Services (ODLOS) led two webinar training sessions for RoadShow presenters and the ACRL Immersion team: "ACRL Presenter Training 1: Cultural Competence" and "ACRL Presenter Training 2: Implicit Bias."
  - ODLOS Director Jody Gray held two ally trainings, "Advocating for Social Justice: The Role of the Ally," which was made available for all registrants for the ACRL 2019 Conference.
- The ACRL Diversity Alliance held an ACRL 2019 Preconference, "Taking Charge of Your Narrative." The Preconference attendees heard from nationally recognized speakers on developing a leadership narrative. In addition, participants worked through a career planning tool to develop a road map.
- The theme of ACRL's 2019 Conference, "Recasting the Narrative," directly supports the core commitment, and offers three keynote sessions, several invited papers, chair's choice, and many breakout sessions and posters related to EDI.
- The ACRL 2019 Conference offered numerous sessions on EDI; 9 sessions are listed here: "Belonging, Intentionality, and Study Space for Minoritized and Privileged Students;" "Challenging the 'Good Fit' Narrative: Creating Inclusive Recruitment Practices in Academic Libraries;" "Diversity, Equity, and Inclusion: A Conceptual Framework for Instruction;" "Expanding the Narrative of Intercultural Competence: A Study of Library Faculty and Staff;" "How Do We Help? Academic Libraries and Students with Autism Spectrum Disorder;" "Narratives of (Dis) Engagement: Exploring Black/African-American Undergraduate Students' Experiences with Libraries;" "Quantifying the #metoo Narrative: Incidence and Prevalence of Sexual Harassment in Academic Libraries;" "Recasting an Inclusive Narrative: Exploring Intersectional Theory;" "Sexual Harassment in the Library: Understanding Experiences and Taking Action."
- The ACRL 2019 Conference included its first land acknowledgment at its opening keynote and also provided a set of resources on the Conference website. https://conference.acrl.org/land-acknowledgement-resources/
- Anne Phibbs, a diversity consultant working with ALA, provided training at the Leadership Council at the 2019 ALA Annual Conference on micro-aggressions, implicit bias, and how to be an ally.

- ACRL cosponsored with Ohio State University and ARL the IDEAL '19: Advancing Inclusion, Diversity, Equity, and Accessibility in Libraries & Archives to be held August 6–7, 2019, in Columbus, Ohio. This sold out conference attracted more than 600 attendees and was very well received.
- On Jan. 31, 2019, ACRL e-learning is presenting the webcast "Be Proactive: Overcoming Biases and Microaggressions in the Workplace," http://www.ala.org/acrl/onlinelearning/overcomingbiases, based on the presenters' two-part series in *C&RL News*, "Minimizing and addressing microaggressions in the workplace," https://crln.acrl.org/index.php/crlnews/article/view/17370 and https://crln.acrl.org/index.php/crlnews/article/view/17431/19237.
- The Call for Proposals for the ACRL 2021 Conference was reviewed and revised to be more inclusive. New to this cycle was an equity statement and participation limits. Individuals can present a maximum of two times during the ACRL Conference to allow a larger number of unique presenters.

Presidential Initiatives & Board

- EDI Discussion Series (full series, introduction): a series of EDI blog posts on ACRL Insider to accompany 2018-2019 President Lauren Pressley's president's program.
- ACRL hosted its Presidential Forum, Climbing the Stairs to Diversity & Inclusion Success, at the 2019 Midwinter Meeting, featuring Terryl Ross, Assistant Dean of Diversity, Equity, and Inclusion, University of Washington College of the Environment.
- The President's Program, "Equity, Diversity, Inclusion… and Leadership: Where Do We Go From Here?, was held at the ALA Annual 2019. Dr. Angela Spranger, author of *Why People Stay: Helping Your Employees Feel Seen, Safe, and Valued* addressed contemporary issues around diversity, leadership, and inclusiveness throughout the employment lifecycle.
- The Board contracted with DeEtta Jones & Associates to provide training to the Board and goal area committee leaders and facilitate a portion of the ACRL Board Strategic Planning & Orientation Session (SPOS) in 2019. ACRL leaders completed a series of webinars and with the consultants focused on how ACRL could incorporate EDI into its strategic plan. The Board also invited the leaders of the then Diversity Committee to SPOS
- For the 2020 SPOS, the Board contracted with Kaleel Jamison Consulting Group(KJCG) to facilitate a day of work on inclusion and how to infuse it into ACRL's strategies.

Publications

- The ACRL Information Literacy Framework and Standards Committee has revised the tip sheet and checklist for groups developing companion documents to include a recommendation to incorporate EDI as a key component in the development of information literacy documents in the disciplines.
- A list of ACRL serial and non-serial publications with a focus on EDI can be found on the ACRL EDI LibGuide.

Mentorships & Residencies

- The ACRL Diversity Alliance sent out renewals to its members and there are currently 27 members for 2020. Additional reminder notices are being sent.

- This fall, the Dr. E. J. Josey Spectrum Scholar Mentor Program Committee paired 17 ALA Spectrum Scholars interested in pursuing academic librarianship with a mentor from an academic library and also completed a brief early assessment of the cohort paired in the spring of 2018. A free mentoring tips webinar was offered exclusively for the mentors in this program by cross-cultural mentoring trainer Alanna Aiko Moore, Librarian for Ethnic Studies, Critical Gender Studies, and Sociology at UC San Diego Library and herself a 2003 ALA Spectrum Scholar.
- The Dr. E. J. Josey Spectrum Scholar Mentor Program Committee selected the recipients of the six Spectrum Scholar Travel Grants for the ACRL 2019 Conference.

Appointments & Member Support

- The process for appointments was made more inclusive and transparent. The Appointments Board Working Group made recommendations and updated materials to complete the following for last year's and the current year's cycles:
    - Appointments marketing was updated to include more welcoming language on the ACRL volunteer form, webpage, and social media.
    - The decline letter that is sent to non-appointed volunteers was reviewed and edited to expand on opportunities for engagement.
    - Members who volunteered for a committee or section appointment had the option to answer several demographics questions.
    - Following the completion of the appointments process, ACRL compiled demographics data and Karen Munro shared a summary report on ACRL Insider and marketing channels on August 8, 2019.
    - ACRL will continue to include these optional demographics questions, so ACRL can better understand and work to make the appointments process more inclusive.
- Membership group leaders will receive additional EDI updates during their annual online orientation that will take place in May 2019. Leaders will learn about ACRL's Core Commitment to EDI, appointments inclusivity, the Diversity Alliance, and other EDI initiatives.
- At Midwinter 2019, the Board made the following membership group updates:
    - Revised the charge for the Budget & Finance Committee to align their charge with ACRL's Core Commitment to equity, diversity, and inclusion.
    - Renamed the Diversity Committee to the Equity, Diversity and Inclusion Committee, and approved the addition of the past-chair position in the committee's composition rules.
    - Extended the Diversity Alliance Task Force's terms through June 30, 2020.
- ACRL recruited seven new Immersion Program Facilitators with an emphasis on hiring individuals who have a wide range of knowledge and diverse lived experiences, inside and outside of libraries.

Committee & Sections

Equity, Diversity and Inclusion Committee

Charge: To oversee and coordinate ACRL's Core Commitment to equity, diversity, and inclusion, as described in the strategic plan. Work with the Board and other units to initiate, advise and mobilize support for appropriate action related to issues of diversity, equity and inclusion in academic librarianship—including recruitment, advancement and retention of underrepresented groups to academic and research librarianship and the promotion of library and information services for diverse library users.

- At Annual 2019, the committee led a program, "The Sense of the Self: How Identity Informs Academic Librarianship." This session examined diversity and inclusion in librarianship as seen

through an autoethnographic lens. It brought together library professionals across a range of roles and areas—such as those within public services, technical services, and administration—who have engaged in meaningful self-reflections of their experiences and personal identities and how these have directly informed their daily work.

- Joint ACRL/ODLOS Annual Conference 2020 meetup planned to facilitate conversations about EDI activities across ALA units.

New Roles and Changing Landscapes Committee (NRCL)

EDI Objective: Increase diversity, cultivate equity, and nurture inclusion in the academic library workforce.

- Diversity Pipeline project: planning underway. NRCL is working to form project teams to address how ACRL can help institutions be more diverse, equitable, and inclusive. The Committee has identified six areas where efforts can be made to help recruit people to and retain them in the academic library workforce and will begin developing ideas and plans for each area: Pre-MLS, MLS, Non-MLS, First Job, Retention, and Advancement.

Research and Scholarly Environment Committee (ReSEC)

EDI Objective: Increase ACRL's efforts to influence and advocate for more open and equitable dissemination policies and practices.

- Created criteria for new Scholarly Communications Research Grants to emphasize research that demonstrates library contributions to institutional EDI goals.
  - Criteria – Alignment with objectives: How well does the proposed project align with the priority areas suggested in the Open and Equitable Scholarly Communications report? How well does it align with the Research and Scholarly Environment goals and objectives and ACRL's Core Commitment to creating diverse and inclusive communities as stated in ACRL's strategic plan? If this research takes a critical perspective, does the proposal explain how it will further debate in the field and deepen our understanding?
- The research agenda, "Open and Equitable Scholarly Communications: Creating a More Inclusive Future," is grounded in equity and inclusion and all the work ReSEC has done related to it has carried forward that framing.
- Charged the Emerging Leaders project team to design for institutions not typically represented in the scholarly communication research landscape.

Student Learning and Information Literacy Committee (SLILC)

EDI Objective: Empower libraries to build sustainable, equitable, inclusive, and responsive information literacy programs.

- Plans SLILC conference programming and coordinates with other ACRL entities that provide professional development to build partnerships that infuse SLILC's goal into their work.
  - Work with the Framework Roadshow to integrate EDI content into curriculum or consider feasibility of creating new Roadshow for inclusive teaching practices.
  - Internal Partners: Create a list potential partners within ACRL (e.g. LIRRT, RUSA, Chapters & Councils, Equity and Diversity Inclusion Committee, Diversity Standards, etc.).

- o External Partners: Create a list of leaders, organizations, societies, etc. outside of libraries with expertise in inclusive, anti-racist pedagogy for potential professional development collaborations.
- Develop an OER Toolkit to support academic librarians as they advance equitable and inclusive pedagogical practices and environments that support student learning. The Team works to enable academic librarians to transform their teaching to be more inclusive and equitable by investigating, engaging with, and leveraging the open pedagogy landscape.
- Facilitate and produce publications that advance equitable and inclusive pedagogical practices and environments for libraries to support student learning.

Value of Academic Libraries Committee (VAL)

EDI Objective: Support libraries in articulating their role in advancing issues of equity, access, diversity, and inclusion in higher education.

- Updated criteria for VAL travel scholarships for presenting work to the broader, higher education community.
  - o New in 2019-2020 Criteria: Proposals can be about any of ACRL's four strategic goal areas and objectives or the Core Commitment to creating diverse and inclusive communities, as articulated in the ACRL Plan for Excellence.
- Updated criteria for Academic Library Impact Research Grants.
  - o New in 2018-2019 Criteria: Alignment with objectives: How well does the proposed project align with the priority areas suggested in the *Academic Library Impact* Report? How well does it align with the Value of Academic Library goals and objectives as stated in ACRL's strategic plan? If this research takes a critical perspective, does the proposal explain how it will further debate in the field and deepen our understanding? If this research addresses issues related to equity, diversity, and inclusion, does it align with ACRL's Core Commitment as stated in the strategic plan?
- In 2019-2020, VAL will identify and develop resources to empower librarians to conduct Value-based advocacy efforts, particularly those that showcase libraries' efforts to promote equity, diversity, and inclusion at their institutions. Resources will be shared through blog posts and webinars.

Sections

- The Instruction Section's (IS) Diversity & Inclusion Task Force has produced a survey to identify needed diversity & inclusion resources related to information literacy and instruction, and gather recommendations for the future of the Instruction Section regarding supporting diversity and inclusion within instruction programs, as well as making the Instruction Section more inclusive and diverse.

Achieving Our Vision

To build a financially stable Association, we must work together

By Maggie Farrell | January 2, 2020

It is my honor to serve as your treasurer and to receive the baton from Susan Hildreth. Susan provided strong leadership for our financial operations with expertise and diligence, and her collegiality is a model for me as we—ALA offices, divisions, round tables, and other units— work together toward a financially stable Association.

I start my tenure by reporting mixed results for our finances, but I am optimistic about the work being done to advance libraries.

In 2018, the ALA Executive Board approved a plan to strategically invest in three critical areas: information technology, advocacy, and development. Over a three-year period already underway, $8.8 million has been dedicated to upgrading software and capabilities to better manage Association operations that improve member services. Funding for advocacy will strengthen relationships with key D.C. stakeholders for proactive and targeted interactions that support library issues. And expanding development activities will increase private and corporate donations for our Association, furthering vital initiatives and building endowments to contribute to our future work.

This has been a bold move. The Budget Analysis and Review Committee (BARC), chaired by Peter Hepburn, is working closely with ALA offices and the Executive Board to develop metrics to assess these investments. Their work will be presented at the ALA Midwinter Meeting, and it is my commitment to keep members aware of our progress.

Strategic investments are necessary and overdue, but they alone cannot make up for increased operational costs, new ways of working, and a different economic environment that impacts Membership, Publishing, and conferences.

ALA is examining operations to determine possible streamlining and efficiencies. With the Executive Board, ALA is asking difficult questions about how we fund activities, staff operations, and conduct our work. During the next three years, we will need to make difficult choices based on our priorities. This work has already started, as Executive Director Mary Ghikas has noted in past columns about the streams of change.

Members are considering our Association structure through intense conversations related to the Steering Committee on Organizational Effectiveness (SCOE). We have examined the costs of the ALA headquarters building in Chicago, noting the significant maintenance and modernization costs compared with favorable leasing rates and the ability to significantly add to our ALA endowment.

Together, we are creating a strong foundation for the future through better technology, increased member engagement, and increased private revenues.

As members, you have been engaged in such efforts in your own libraries—determining priorities, staffing activities that advance your mission, examining operations, and dealing with aging facilities. That is why your input on SCOE, service for ALA, and involvement are so critical in these efforts. Your insights into operational effectiveness and experience in making difficult decisions contribute to our broad conversations about how we engage members to further our libraries.

Financial information is available on the ALA website on the Executive Board, Finance and Audit Committee, and BARC pages. Peter and I are working to make our financial information readily available and easier to understand, but please do not hesitate to contact me directly at any time if you need more information.

I am excited about the future of ALA because of members like you who are talented, creative, dedicated, and smart. Your involvement in streams of change will enable us to collectively build the Association that our profession so richly deserves.

MAGGIE FARRELL is dean of university libraries at University of Nevada, Las Vegas.

Forward Together

Charting a path to a more vibrant and effective organization

By Wanda Kay Brown | January 2, 2020

Meeting members and learning how and where they found their place in ALA has given me the opportunity to reflect on my own path. I was lucky enough to be guided and mentored early on by members of the Black Caucus of the American Library Association, and through my involvement in that group, I found a path for engagement and leadership that brought me to where I am today.

But as we hear often, many members find the path to engagement too confusing, too insular, and too expensive. How do we address these concerns while also modernizing the way our Association functions?

This is where we start. For the past 18 months, as a member of the Steering Committee on Organizational Effectiveness (SCOE), I've been on the front lines of a once-in-a-generation opportunity to create a more vibrant and effective Association that supports libraries and library workers in a society and culture that was almost unimaginable when our current structure was developed. To help realign our Association with the world we live in today, we have collected recommendations called Forward Together.

It wasn't easy to get here. As a committee member, I can assure you we didn't always agree with one another. But I watched as we struggled with our differences and focused on the greater good. Each of us represents a distinct perspective, discipline, or library type, and we used our backgrounds to ensure our final recommendations will work for all members, not just ourselves or people who think like we do.

Our aim is to encourage those who don't feel they have a place in ALA to participate and flourish. Forward Together codifies an institutional commitment to diversity in our governing bodies and builds safeguards against homogeneity.

Not everyone will agree with our recommendations. We understand there are a few caring and extremely involved members who are concerned that the ALA described in Forward Together may take away levers of power. These members have given much through their service to ALA within the current structure and may be less receptive to change. We do understand that. However, we feel strongly that this plan can and will work. While we continue to review and refine our recommendations, we are weaving in some of the strategies we are so excited about.

We currently have no exact correlation for the proposed leadership assemblies described in Forward Together, but they seek to be direct, open lines of influence to the Board of Directors. Leadership assemblies maintain the functions and strengths of existing groups such as ALA Council, the Chapter Leaders Forum, and the Round Table Coordinating Assembly. (In fact, this is already happening: In October 2019, leaders convened virtually for the first Chapters Assembly, and I heard great things about it from participants!)

What this means practically is that the first Council vote on the adoption of these recommendations will likely not take place at the 2020 Annual Conference in Chicago as originally stated but instead at the 2021 Midwinter Meeting.

This extended timeline provides the opportunity to do an in-depth financial review. It also allows the votes to happen with the same Council rather than a split group. One of SCOE's stated goals was to "enable sustainable, long-term change (including evaluation of progress and more frequent future adjustments)." We are modeling that by trying and doing as we go.

Changing culture takes time and intent. I invite you to read the report and engage with its conclusions at forwardtogether.ala.org. I believe our work will help many more members find their place within ALA.

WANDA KAY BROWN is director of library services at C. G. O'Kelly Library at Winston-Salem (N.C.) State University.

Forward Together
Recommendations for a reimagined
American Library Association governance model
October 2019

A Note from SCOE

We heard you. Members want an effective, nimble, inclusive, member-driven American Library Association. Maintaining the status quo with our 100-year-old governance structure will not propel ALA as the leading library association that members demand. In order for libraries and librarianship to thrive in the future, we invite members to move ALA *Forward Together*.

Relying on input from thousands of members and data about ALA membership trends and finances, the Steering Committee on Organizational Effectiveness (SCOE) worked since 2018 to develop and refine a package of recommendations to ALA members. *Forward Together* aligns with the streams of change already underway within ALA related to finances, real estate holdings, technology and staffing.

Forward Together proposes a package of interrelated recommendations which are necessarily complex because ALA is large and complex. We recommend changes to the board and committees for more direct election and input by members. *Forward Together* streamlines ways for members to get involved, participate, and influence ALA.

The financial realities and advocacy needs faced by libraries demands ALA members to be bold. Share the excitement in moving ALA *Forward Together*. We invite you to review the attached document that details the input and refinement process, background information, rationale for recommendations, and some of the most important data reviewed related to membership trends and dues, ALA finances, and streams of change.

Forward Together was presented to the ALA Executive Board at their Fall Meeting in October. Recognizing the multiple streams of change occurring in the association right now, the Executive Board decided to move forward with the next phase of *Forward Together* including a transition of the work from SCOE to a new member group, extending the timeline of voting on recommendations by members. The details of this transition, timeline, and move to the next phase are still being developed and we hope to share more information with you all closer to Midwinter. The new, extended timeline will allow for ongoing, continuous changes to our governance model and *Forward Together,* modeling the iterative, 12-month process with checks and balances to increase member participation in not only *Forward Together* but also in our association. The following report is presented as it was to the Executive Board.

We invite you to review the current iteration of the recommendations, provide feedback, and continue in the drive towards a stronger ALA together.

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Executive Summary

Forward Together imagines a vibrant and effective American Library Association that supports libraries and library workers. Relying on input from thousands of members and data about ALA membership and finances, the Steering Committee on Organizational Effectiveness has worked since early 2018 to develop and refine a package of recommendations with members. *Forward Together* aligns with the streams of change already underway within ALA and propels them into a future thinking organization. *Forward Together* proposes this once-in-a-generation opportunity to modernize ALA's governance structure through evidence-based recommendations for improved member engagement and effective governance. These recommendations will help lower barriers to member engagement, increase individual member impact, and widen the pool of potential leaders, creating a stronger association overall.

Board of Directors

The Board of Directors and will be directly elected by members with five appointed positions to fill in gaps of diversity left by the election process. The board envisioned here has reset expectations, is accountable directly to the membership, and will receive critical, ongoing input from general members and assemblies of leaders on an ongoing basis.

6 Standing Committees of the Board of Directors

The proposed ALA Standing Committees of the Board of Directors are: Finance and Audit; Nominating; Leadership Development; Association Policy; Public Policy and Advocacy; and Social Justice.

ALA Members will directly elect two-thirds of the member leaders on these committees and the Board of Directors will work with the Nominating and Leadership Development Committees to appoint one-third of the member leaders to ensure the skills, experiences, and diversity to fill in gaps of skills, knowledge, and diversity left by the election process. Many of the functions of the current 187 member Council will occur within these six standing committees comprised of 90 members, as well as the below Leadership Assemblies comprised of over 100 members.

Leadership Assemblies

The Division, Round Table, Chapter, and Affiliate Leadership Assemblies will directly participate in ALA's governance and influence the Board of Directors. The four assemblies will facilitate information sharing, partnership building, and networking within and between assembly participants. The functions of leadership assemblies build upon the strengths of current groups like ALA Council, the Chapter Leaders Forum, and the Round Table Coordinating Assembly by maintaining a place for discussion and influence while opening participation to more members and creating a direct path to recommending and influencing change.

Member Engagement Opportunities

Communities of Interest, Working Groups, and Advisory Groups all serve as avenues for meaningful and influential engagement in ALA. Each opportunity provides a different member experience and engagement level, meeting members with the type of engagement and participation level they desire.

Divisions

Forward Together imagines divisions that collaborate with each other and with the rest of the association to build on the enriching experience members have in their division home as well as the expertise division members hold. A direct line of influence to the Board of Directors will exist through the Division Leadership Assembly. Additional recommendations include:

- A regular review of each division in consultation with the ALA executive director. Potential mergers within the divisions may occur, including one merger already being discussed between LLAMA, ALCTS, and LITA to create one new proposed division, CORE: Leadership, Infrastructure, Futures.
- A review of the "Operating Agreement" in relationship to the *Forward Together*.
- Work with the Membership Office and Membership Committee to align dues and dues structures across ALA and divisions.
- Align member engagement structures in the divisions and throughout ALA. Divisions may have advisory groups, working groups, communities of interest, and sections.

Round Tables

Forward Together imagines round tables that collaborate with each other and the rest of the association to build on the enriching experience members have as well as the expertise of their round table. Round tables will be encouraged to recommend advisory groups and working groups to the Board of Directors to bring action and influence around important issues. They will have a direct line of communication and influence with the board through the Round Table Leadership Assembly and will be looked to for their expertise and advice around issues important to them. A number of recommendations have been made for round tables to enable focus on mission, programming, and member driven aspects, including:

- Replace individual round table bylaws and create a shared policies and procedures document. This will identify the relationship and fiscal responsibility of round tables with members, clarifying the symbiotic relationship between round tables and all of ALA.
- Work with the Membership Office and Membership Committee to align dues and dues structures across ALA and round tables.
- Increase the minimum number of dues-paying members needed to create a round table to one percent of ALA's membership unless identified as a strategic priority by the Board of Directors to ensure the necessary volunteer and staff support needed.

Members seek a modern ALA that is the voice for libraries and librarianship into the future. The financial realities and advocacy needs faced by libraries today demands ALA members to be bold as we move the association forward. The following report details the input and refinement process, background information, recommendations, rationale, and some of the most important data reviewed related to membership trends and dues, ALA finances, and streams of change. There is excitement in moving ALA forward together with and for our members.

Introduction

For decades, library leaders and members have recognized that the American Library Association (ALA) needs change. A change which has become more urgent following the 2008 recession as ALA membership declines and resources become stretched thin. Past members of the association often did not renew their membership because of feelings of disconnectedness and an inability to find a home within ALA. Most of these past members let their memberships lapse after only three years, indicating ALA is not meeting the needs of its newest library advocates and workers and is not relevant to those who are further along in their careers. Members join ALA because they see the association as a strong library advocate, a place for professional development, and an opportunity to connect with other passionate members, values that are a strength of the association. What newer members need in addition to these things to stay members and to continue finding the value in ALA membership is to also be part of an association that is a leader in the field, is mission driven, is inclusive, is responsive to the issues of the profession, and is proactive in advocating for libraries.

The structural changes that our association has struggled with over the last few decades and the resulting complexity has created an organization that is large, complicated, and difficult to change. ALA now has a once-in-a-lifetime opportunity to realign our association for the world we live in today. This opportunity includes an examination of how priorities are established for the association, how members identify the most significant challenges facing them, and how the efficiency of that work can be improved. Past efforts have resulted in tweaks, but to move ALA forward, a large, comprehensive evaluation of the most effective methods of member engagement and prioritization needs to take place.

Building Momentum for Change

The only way that an organization like ALA can successfully move forward is through a member-driven and member-led process that relies on broad input and ideas, incorporation of those input and ideas, and member-driven action. Following the footsteps of many other large associations that have recently engaged in this type of review in response to the economic and societal changes around us, ALA 2017–18 President Jim Neal, in his November/December 2017 *American Libraries* President's Column, expressed a call to action to review our association's current structure. He wrote that this process of review must embrace our core values and focus on member engagement. He prompted readers to think about the complexity of the organization and how we might evolve for the future. With this as a stage, and with the recognition that this type of review needs to occur on a regular basis, the process toward *Forward Together*, the report of the Steering Committee on Organizational Effectiveness (SCOE), began to take shape.

Answering President Neal's call to action in fall 2017, the ALA Executive Board authorized the predecessor to SCOE, an exploratory subcommittee focusing on the concept of organizational effectiveness and governance review. Then board members Andrew K. Pace, Lessa

Kanani'opua Pelayo-Lozada and Patricia "Patty" M. Wong conducted research, compiled information from past surveys and focus groups, and explored previous organizational effectiveness and reorganization efforts. In addition to this research, the subcommittee held several feedback sessions at the 2018 ALA Midwinter Meeting. The subcommittee report, presented to Council at the 2018 ALA Annual Conference (and included as appendix c) concluded that members find ALA extremely complex and difficult to navigate, contributing to a decline in ALA membership and overall support for the association and its work.

At the same time, other important changes occurred in the association. The Membership Office worked with consultants from Avenue M to study ALA membership trends (see appendix D), and the Executive Board authorized an investment budget for the association, prioritizing and investing extra money into areas of need. The investment budget focused on five main "streams of change": information technology investment, Development Office investment, real estate exploration, Midwinter Restructuring, and Organizational Effectiveness. This investment budget was another signal that the association has large changes that need to be made in order to meet its mission and engage as many members as possible while remaining true to its core values.

These reports, investments, and proposed changes are all intertwined and rest on a cohesive, unified, forward-thinking association working toward the same goal. For one area to be successful, the others must also be successful. These changes and these needs led to the creation of SCOE, a group of twenty-three passionate members and staff from across the association who were tasked with conducting a comprehensive review and study of ALA's governance, member participation, and legal structures and systems, with the goal of proposing changes that will revitalize its success, strength, and agility as a modern association for a modern profession.

The Committee

SCOE was appointed in June 2018 by then ALA President Jim Neal with support of the Executive Board and the next two ALA Presidents, 2018–19 ALA President Loida Garcia Febo and 2019–20 ALA President Wanda K. Brown, also a SCOE member. Appointments were made to solicit a wide variety of distinct perspectives, disciplines, library types, and ALA experiences. An intentionally large committee to incorporate as many varied intersections and perspectives as possible, SCOE used this strength to seek inclusion of and solicit input from all members into the recommendations, not just themselves or people who think like them.

Executive Board Member Lessa Kanani'opua Pelayo-Lozada serves as the SCOE chair and ALA Executive Board liaison. A full roster of the committee can be found on the ALA website and is listed below:

- Lessa Kanani'opua Pelayo-Lozada, Chair (Palos Verdes Library District)
- Wanda K. Brown (Winston-Salem State University)
- Emily Daly (Duke University)

- Emmanuel Faulkner Sr. (Baltimore City Public Schools)
- Kenny Garcia (California State University, Monterey Bay)
- Mandi Goodsett (Cleveland State University)
- Terri Grief (Retired, McCracken County High School, Instructor for Murray State University)
- Alexia Hudson-Ward (Oberlin College)
- Ben Hunter (University of Idaho)
- Steve Laird (Infogroup)
- Jack Martin (Providence Public Library)
- Alanna Aiko Moore (University of California San Diego)
- Jim Neal (Columbia University, emeritus)
- Lucinda Nord (Indiana Library Federation)
- Vailey Oehlke (Multnomah County Library)
- Andrew Pace (OCLC)
- Juan Rivera (A. Phillip Randolph Campus High School)
- Karen G. Schneider (Sonoma State University)
- Felton Thomas (Cleveland Public Library)
- Kerry Ward (ALA/Library Leadership & Management Association)
- Nora Wiltse (Chicago Public Schools)
- Steven D. Yates (University of Alabama)
- Shali Zhang (Auburn University)

ALA Staff Liaisons are Mary Ghikas and Raymond Garcia. Jim Meffert and Paul Meyer of Tecker International Consulting have provided guidance and support to the committee.

In addition to SCOE, a Fiscal Analysis Working Group was created to begin identifying the financial implications of the preliminary recommendations. This working group was chaired by ALA Immediate Past Treasurer Susan Hildreth, and more information on the Working Group and its work is in appendix A.

Creating the Recommendations

Member participation and engagement was critical to developing *Forward Together*. The process for creating the recommendations included broad input from members across the association and represents a collaborative and iterative process that drew from knowledge, evidence, and feedback. Transparency was valued in communication and input which occurred through several avenues, including:
- eight in-person public input sessions;
- seven virtual webinars and feedback sessions;
- eleven ALA staff focus groups;
- meetings with more than 40 different groups across ALA, including Council, divisions, round tables, and committees; and
- the "Organizational Effectiveness (SCOE) Discussion Forum," a public space on ALA Connect for members to share their thoughts, questions, and concerns, with 378 members and growing.

Between these channels of communication, SCOE has reached thousands of ALA members: new, longstanding, past, and prospective, all of which have helped to inform and transform ideas and recommendations over the last year.

SCOE met in person for an initial two-day Design Summit in October 2018 in Itasca, Illinois. A change to ALA's current structure was not a foregone conclusion. The committee first considered a "no change" recommendation, but as its work progressed and member input was received it became clear that change was needed and members had many great ideas for ways to improve the work of the association. During the Design Summit, SCOE reviewed input from past discussions, including conversations within the library community over the last six years, kitchen-table conversations, membership surveys, interviews with stakeholders, and reports from previous efforts at organizational change within ALA. The committee also reviewed best practices for organizational change and models from other large membership associations. It was clear from those discussions, from studying other associations, and from past efforts to refine the decision-making structure of ALA, that the current ALA structure needs to change. The current structure has multiple, repetitive steps to joining, offers few opportunities for members to engage directly in helping the association prioritize issues affecting them, and is not reflective of the kind of community engagement we value in our libraries today.

Particular consideration was given to the need to infuse the values of equity, diversity and inclusion (EDI) into ALA's core. SCOE heard and recognized that many people who are underrepresented in the association feel disillusioned and excluded from ALA's current structure and are unable to see a path toward leadership, professional development, and moving the association forward. To address these issues, the committee took a close look at the institutional and structural barriers to participation and influence including cost, ability to travel, institutional support, oppression and marginalization of groups, and political differences. The recommendations seek to make an association that creates an equitable playing field, supports its members in their endeavors, and creates spaces for underrepresented people to gain desired support and experiences in professional development and focused, intentional leadership paths.

From the Design Summit, several ideas the committee wanted to test were brought to members at the 2019 Midwinter Meeting for in-person input sessions. Other opportunities for feedback were offered after Midwinter through virtual input sessions, online feedback forms, and email. Video-conferencing technology made it possible to host virtual opportunities, allowing SCOE to model and test their recommendations in real time. By using technology to gather feedback and input, SCOE explored the ways proposed recommendations could help create an association by and for all its members, where and when they can engage.

SCOE met again for two days in May 2019 at ALA headquarters in Chicago to incorporate member feedback into the original ideas and create preliminary recommendations. These preliminary recommendations were brought to members for feedback in June and July 2019 via in-person and virtual feedback sessions, as well as email and the ALA Connect discussion group. SCOE convened for a third face-to-face meeting for two days in September 2019 to

integrate the feedback gathered over the summer and create the recommendations provided in this report.

All SCOE meetings and public in-person input sessions included facilitators Jim Meffert and Paul Meyer from Tecker International. Additional ALA staff were brought into some of these meetings for their unique perspectives: Miguel Figueroa, director of the Center for the Future of Libraries; Jody Gray, director of the Office for Diversity, Literacy, and Outreach Services; and Stephanie Hlywak, director of the Communications & Marketing Office. In addition to in-person meetings, the committee held many virtual meetings and discussions via email and ALA Connect.

Members of the committee hope that ALA members and staff recognize this effort as a once-in-a-lifetime opportunity to move our association forward together and that we all need to look at ALA as a whole, not just our individual pieces. The committee members did not always agree with each other at every step throughout the process, but there was an understanding that consensus would lead to broad inclusion and increased benefits for members. Members want ALA to become a model for other associations to follow. Members want ALA to become an association that infuses equity, diversity and inclusion into every action. Members want ALA to become an association that will allow for stronger member participation and influence in an organization that supports libraries and library workers in a society and culture that was almost unimaginable when the current structure was developed. Member's aspiration and goals for ALA are the lens through which *Forward Together* was created.

The Recommendations

In the spirit of a once-in-a-lifetime opportunity, SCOE members took time and care in the creation of recommendations that build upon more than a century of work by passionate member leaders. The committee sought to be as brave in its recommendations and think as aspirationally for the association as its founders did, with the understanding that our society and landscape has changed dramatically since the association's inception. This understanding of change was paired with the recognition that ALA's members are still united in its mission: "To provide leadership for the development, promotion, and improvement of library and information services and the profession of librarianship in order to enhance learning and ensure access to information for all."

The recommendations, collectively known as *Forward Together*, are intended to reflect the changes in society and in member expectations. One of the main changes recommended is to provide multiple avenues for year-round engagement by all members rather than just twice a year at Midwinter Meetings and Annual Conferences by a few select members. Another main change recommended is institutionalized intentionality and diversity in our governing bodies and structures and safeguards to protect us against homogeny. The recommendations are so intertwined with one another that it is difficult to pull out one example without affecting another area of the association.

The recommendations are complex because ALA, as currently structured, is incredibly complex. This complexity has made it difficult for members to get involved and find their way and has stifled past efforts to innovate. This complexity also requires us to look at the totality of the recommendations and not just focus on parts we favor, find convenient, or consider questionable. With these recommendations, SCOE hopes to accomplish a vision of a unified association that works towards one mission and supports all facets of its work. The pieces of the association are all of the parts that make us whole, and the facets described below work as one unit to create a strong ALA with increased member participation, member influence, and member engagement.

To guide the outcomes of the project, the following characteristics of a future ALA were developed through member feedback. The ALA of the future must
- enable consistent, strategic, and effective member engagement;
- enable organization-wide planning focused on a common mission and vision for library workers, library supporters, and libraries;
- be financially sustainable;
- enable sustainable, long-term change (including evaluation of progress and more frequent future adjustments);
- allow stakeholders to have confidence in decisions made when they are not in the room;
- deliver high-value support and impact for members;
- pursue environmental sustainability in its activities; and
- center equity, diversity, and inclusion.

With those goals in mind, as informed by ALA's members, *Forward Together* proposes the following recommendations:

Board of Directors

Future Composition of the Board of Directors of the American Library Association:	Current Composition of the Executive Board of the American Library Association:
17 volunteer members and 1 staff member ● 4 elected by membership: president, president elect, immediate past president, treasurer ● 8 elected by membership: at-large members ● 5 appointed by the Board for unique skills and perspectives not represented by elected members ● 1 staff (executive director, ex-officio, non-voting) Term Length: 3 years, staggered Sub-committees of the Board: Executive and Board Effectiveness (Endowment Trustees discussed in Member Engagement Opportunities)	12 volunteer members and 1 staff member ● 4 elected by membership: president, president elect, immediate past president, treasurer ● 8 elected by Council from current Councilors* ● 1 staff (executive director, ex officio, non-voting) Term Length: 3 years, staggered Committees of the Board: Executive, Board Effectiveness, Finance and Audit, Endowment Trustees *At-large members of Council are elected by ALA membership. Councilors representing a specific division or round table are elected by their members and Chapter Councilors are elected by their chapter's members.*

Forward Together envisions a diverse, responsive, and inclusive Board of Directors. Currently only four members of the Executive Board are directly elected by the full membership: the president, president elect, immediate past president, and treasurer. In *Forward Together*, the majority of board members, twelve, will be directly elected by the membership, and an additional five positions will be appointed by the Board of Directors with the help of the Nominating Committee and Leadership Development Committee. These appointments will be made to ensure a diverse and inclusive board that incorporates skills, library types, and backgrounds not represented by elected members. The Board of Directors will continue to receive funding from the association for Board-related activities, including travel to meetings and conferences, reducing economic barriers to participation. Direct election of the majority of Board members places accountability of elected leaders of the association in the hands of the many, rather than the current multi-step process that results in less than 200 members selecting the majority of the Executive Board. The current multi-step process includes the election of eight at-large Executive Board members by and from ALA Council, some of whom were elected by the full membership, some by round table membership, some by division membership, and some by chapter membership. A single governing body with direct accountability to members as is proposed in the Board of Directors will enable Board members to take a larger view of the association rather than represent and promote the interests of one particular area.

Accountability is paramount to the role of the Board of Directors. Members of the Board are accountable to the association's membership, regardless of whether they have been elected or

voted onto the Board. This accountability to members requires Board members to listen to and create action on behalf of members and be able to articulate and explain their actions to members for transparency and trust.

This accountability and trust is also represented in the proposed name change from "Executive Board" to "Board of Directors." The name change is intended to reset expectations of the Board. The Board of Directors as envisioned here is accountable directly to the membership and will receive critical, ongoing input from general members and assemblies of leaders. Moreover, the name change denotes the Board's existing and increased accountability for legal, financial, and administrative responsibilities and direction given to the ALA executive director, whom the board is responsible for hiring. The new name also further distinguishes the Board of Directors from the Executive Committee, a five member subgroup of the Board made up of the ALA president, president elect, immediate past president, treasurer, and executive director.

Each Board member, as they do now, will have a direct liaison responsibility with a committee of the Board, leadership assembly, and area of the association (offices, divisions, round tables, etc.). These liaison roles are intended to provide direct input to the Board of Directors, and communication will be regular and timely. Board members will not only report out to their designated groups, they will bring back suggestions, requests, and expertise to inform and influence Board decisions. These two way relationships are intended to not only improve communication between the Board of Directors, member leaders, and members, but also to encourage accountability and allow for larger numbers of members to voice their support or opposition to association policy, legislative issues, and more.

Standing Committees of the Board of Directors

Future Standing Committees of the ALA Board of Directors:	Current ALA comparison:
6 committees: - Finance and Audit - Nominating - Leadership Development - Association Policy - Public Policy and Advocacy - Social Justice 15 members per committee: 10 elected by ALA members 5 appointed by the Board, one of which is a Board member and acts as the Board liaison to the committee 1 ALA staff member each - Each standing committee will also hold regular in-person and virtual committee membership meetings (except the Nominating Committee). - Standing committees will work in conjunction with advisory groups, working groups, and communities of practice	- There is no direct correlation to current ALA structure. The future standing committees are comparable to: - some of the Committees of Council such as Policy Monitoring and Committee on Committees; - some of the Committees of the Association such as Nominating, Appointments, and Constitution and Bylaws; - some of the functions of ALA Council such as policy development. - The number of members per committee varies as does their member composition. Most committees are appointed by the Committee on Committees or the Appointment Committee, but some Committees of Council such as Policy Monitoring may only be comprised of Councilors. 1 Executive Board liaison each 1 ALA staff member each

Six standing committees will accomplish the core functions of the association. These committees will be supported by advisory groups, working groups, and communities of interest, each of which will provide greater opportunities for member participation than the current structure. These standing committees will also work closely with divisions and round tables to seek recommendations, input, and expertise from their areas.

To have broad member input and increase democratic participation from the few to the many, committees will also hold membership meetings focused around their charge. The membership meetings will be both in-person and virtual, providing opportunities for all interested ALA members to supply input, feedback, and recommendations to the committee for consideration. These focused membership meetings will be in addition to regular general membership meetings which will be held in-person and virtually to give a view of the entire association. Only

the Nominating Committee will not hold membership meetings because of the confidential nature of its work. To promote transparency, the committee will put out open calls for nominations from members and may hold open online meetings to share their process.

The members of all standing committees will be selected by a hybrid process just as the Board of Directors. Out of the fifteen members of each committee, ten members will be directly elected by members and five members will be appointed by the Board of Directors. Appointments will ensure a diverse and inclusive board that includes perspectives, skills, library types, and backgrounds not represented by elected members. The process for appointing and identifying potential members will include working with the ALA Leadership Committee, ALA staff, and other entities of the organization that may wish to provide input. One of these appointments will be a Board member who also acts as the committee's liaison. Members will serve two-year staggered terms and may serve up to two non-consecutive terms in their lifetime. Nominating Committee members will serve one-year, once in a lifetime terms. Each committee will also have a committed ALA Staff Member to support their work.

The proposed ALA Standing Committees are:
1. Finance and Audit
2. Nominating
3. Leadership Development
4. Association Policy
5. Public Policy and Advocacy
6. Social Justice

Finance and Audit Committee
The Finance and Audit Committee's charge will include reviewing ALA's proposed budget within the context of the association's strategic plan and strategic priorities, reviewing the financial impact of actions taken by the Board of Directors, and making budget recommendations to the Board of Directors. This committee will also work with the endowment trustees, review financial projections, and perform other fiscal duties as necessary. This committee will be chaired by the ALA treasurer.

Nominating Committee
The Nominating Committee's charge will include nominating the election slate for ALA officers and committees, overseeing the petition process for those members who wish to run as petition candidates for a position, and nominating chairs for the six standing committees of the Board of Directors. Nominations for committee chairs will be given to the Board of Directors for appointment. The Nominating Committee might opt to form sub-committees to help oversee appointments to advisory groups or working groups or to manage the Volunteer Clearinghouse, a new entity described in further detail later in this report under "Additional Recommendations." The Nominating Committee will also identify and nominate members and conveners for advisory groups and working groups. These nominations will be given to the Board of Directors for appointment. The Nominating Committee will work closely with the Leadership Development Committee to identify candidates and will encourage a self-nomination process. This committee

is intended to be highly inclusive and provide more members the opportunity to participate. The Nominating Committee will be chaired by the President-Elect.

Leadership Development Committee
The Leadership Development Committee's charge will be to identify, cultivate, develop, and grow potential member leaders within the association. This committee will focus on ensuring members from underrepresented backgrounds have opportunities to serve within the association and will have strong staff support to ensure continuity and priority. Leadership development programs such as Emerging Leaders and Spectrum Scholars would work closely with this committee. The Leadership Development Committee would also work closely with the Nominating Committee to identify potential candidates. These two committees would also work together to identify potential candidates and member leaders who may need more support and guidance in running successfully for office, chairing a committee, or serving the association in another capacity, and to identify resources and support for these members. The Leadership Development Committee will also recommend and solicit names to and from the Volunteer Clearinghouse. The Leadership and Development Committee will be chaired by the past president.

Association Policy Committee
The Association Policy Committee's charge will focus on issues and topics of internal association governance and policy as related to the work of ALA. This committee will work closely with all facets of the Association to regularly review and ensure best practices and policies that create an equitable, diverse, and inclusive association. This committee will also be charged with identifying and recommending members for honorary membership in the association. The Association Policy Committee will be chaired by an appointed member as recommended by the Nominating Committee.

Public Policy and Advocacy Committee
The Public Policy and Advocacy Committee's charge will include focusing on issues and topics of importance to libraries, especially in the areas of public policy and advocacy. Members will seek input and expertise from librarians across the association, and its actions may include recommendations for the creation of advisory committees, working groups, and communities of practice. The Public Policy and Advocacy Committee will be chaired by an appointed member as recommended by the Nominating Committee.

Social Justice Committee
The Social Justice Committee's charge will focus on issues and topics of importance to libraries and the association in the context of social justice and equity, diversity, and inclusion. Members will seek input and expertise from librarians across the association, and its actions may include recommendations for the creation of advisory groups, working groups, and communities of practice. The Social Justice Committee will be chaired by an appointed member as recommended by the Nominating Committee.

Leadership Assemblies

Future leadership assemblies:	Current leadership assemblies:
1. Chapter Leadership Assembly (50-80 members) 2. Round Table Leadership Assembly (21 members) 3. Division Leadership Assembly (9 members) 4. Affiliates Leadership Assembly (30 members)	There is currently no direct correlation for the proposed leadership assemblies, but they seek to be direct, open lines of influence to the Board of Directors. Leadership assemblies maintain the functions and strengths of several existing groups such as ALA Council, the Chapter Leaders Forum and the Round Table Coordinating Assembly.

Four leadership assemblies with representation from four areas of the association will be convened both in-person and virtually multiples times throughout the year. Leadership assemblies have a hand in ALA's governance and are direct, open lines of influence to the Board of Directors. Members of the leadership assemblies will share information, influence priority setting, and make recommendations to the Board of Directors. Recommendations may include the creation and appointment of working groups or advisory groups or focus on a strategic area. Convenings of the leadership assemblies will be open to all interested ALA members, and agendas will be set and determined by core members.

The four leadership assemblies and their members are identified below. Member numbers are determined as of October 2019 except for the divisions which assumes a successful merger of LLAMA, LITA, and ALCTS into CORE: Leadership, Infrastructure, Futures.

1. *Chapter Leadership Assembly:* Approximately 80 members. All ALA chapters (including of regional chapters), AASL affiliates, and ACRL chapters would have a representative.
2. *Round Table Leadership Assembly:* All 21 round tables would have a representative.
3. *Division Leadership Assembly:* All 9 divisions would have a representative.
4. *Affiliates:* Up to 30 representatives, including all ALA affiliates.

Each leadership assembly will be led by two co-conveners with staggered year terms. These co-conveners are selected by their members and formally appointed by the Board of Directors upon receipt of the recommended appointments. Members will determine the process of appointment or election of the conveners. This may include an election, rotating appointment, or another mechanism. The process for appointment recommendations are intentionally left up to members of the leadership assemblies because each one functions uniquely and their needs and relationships with each other vary. In-person participation would not be required for meetings convened at conferences and members would be able to designate who their representative is for each meeting. Members may select one or a few individuals to represent their interests. Each leadership assembly will have a liaison from the Board of Directors and ALA staff.

The functions of these leadership assemblies build upon the strengths of current groups like ALA Council, the Chapter Leaders Forum, and the Round Table Coordinating Assembly by maintaining a place for discussion and influence, by opening membership to wider representation, and by creating a direct path to recommending change. The groups of each assembly, while directly participating in ALA's governance, also can facilitate information sharing, partnership building, and networking between each other, and, ultimately, between the assemblies themselves. The open nature of these assemblies to be shaped by the groups represented allows for the unique cultures of each to set the agenda and topics for discussion while coming together to strengthen the association.

Member Engagement Opportunities

Future Member Engagement Opportunities:	Current Member Engagement Opportunities:
● Communities of Interest ● Working Groups ● Advisory Groups ● Standing Committees of the Board of Directors ● Endowment Trustees ● Committee on Accreditation* *Name to be changed to reflect unique role within the association upon findings of working group	● Standing Committees of the Association ● Standing Committees of Council ● Task Forces and Working Groups appointed for special projects ● Endowment Trustees

The results of the surveys and member input indicated changes in members' vision of ideal participation in the association. Members no longer want long-term appointments with no potential end results. Members want to engage in the association for shorter amounts of time doing work that they are passionate about, they have expertise in, and that influences the association. The member engagement opportunities below are intended to provide a variety of options for members to meaningfully engage with the association, helping them to see value in the work of the association and, ultimately, their membership. In addition to engagement through the Board of Directors, standing committees, membership meetings, and leadership assemblies, communities of interest, working groups, and advisory groups are proposed to give a wide range of engagement opportunities.

Communities of Interest
Communities of interest are ALA Connect communities where members can create conversations around newer areas of interest within the profession and the association. Communities of interest may develop enough conversation to identify a need for the creation of an advisory group or may identify necessary actions to create a working group. These communities will be monitored by the Board of Directors to identify emerging issues, trends, and experts. An ALA staff member will be identified to help members create communities of interest in ALA Connect and troubleshoot technical issues. If a community of interest goes inactive for

two years, their discussions and documentation will be archived in ALA Connect. Some examples of what a community of interest might focus on include virtual reality or STEM.

Working Groups
Working groups are intended to be time-bound, project-based groups whose work results in an end product such as a toolkit, report on best practices, or an update to ALA materials. Examples of working groups include: the Monetary Library Fines Working Group, the Awards and Scholarships Review Working Group, and the Library Bill of Rights Working Group.

The size of working groups will vary with the task and the actions required. Each working group will have a minimum of five members with a recommended total membership of no more than fifteen members and a convener. Appointments will be made by the Board of Directors in collaboration with the Nominating Committee, the Leadership Development Committee, and the group who recommended the working group if applicable. These appointments will seek members with the appropriate skills and background for the work at hand with room for mentoring and growth of newer members. Appointments will be short-term: initially one year or less with the potential for extension if the work requires.

Advisory Groups
Advisory groups will advise the ALA Board of Directors and relevant standing committees on important, timely issues by monitoring the profession and the association. They will be encouraged to propose working groups to the ALA Board of Directors to complete tasks or projects in relationship to the issues they are advising on and monitoring. The number of advisory groups will be flexible and change over time based upon the needs of the profession and the association. This process may look like the following example:
1. The Intellectual Freedom Advisory Group works with the Office for Intellectual Freedom to track a new issue, determine its scope, and gather some details.
2. It is determined that a series of recommendations may need to be made to influence policy and advocacy around a particular area. The Intellectual Freedom Advisory Group then recommends to the Board of Directors the appointment of a working group and the Board of Directors works with the advisory group and the Leadership Development Committee to determine appointments.
3. The working group them becomes accountable to the Board of Directors, who relies upon the Intellectual Freedom Advisory Group for their expertise and skills in determining the course of action regarding the results of the working group.

Examples of possible topics for advisory groups include intellectual freedom, sustainability at conferences, and professional ethics.

Advisory groups comprise of a chair, chair-elect, and past chair with a three-year commitment, one year in each role, to promote institutional knowledge and appropriate preparation for the role of chair. Members of the advisory groups will be nominated by the Nominating Committee and appointed by the Board of Directors for two-year terms. Advisory group members can serve up to two consecutive two-year terms.

Once *Forward Together* is approved by ALA members, a reconstitution phase is proposed to get to the new member engagement structure: All ALA and Council committees will have one year to reconstitute as an advisory group, working group, round table, or community of interest. The reconstitution proposals will be submitted to the Board of Directors and require a rationale and proposed outcomes. Existing committees will be encouraged to review their work as it relates to the work of other existing committees and propose merging or rearticulating their goals and purpose where needed. Committees that do not submit a reconstitution proposal during that time will be sunsetted at the end of the reconstitution period.

Additional Engagement Opportunities
The current ALA Committee on Accreditation plays a unique role within the association and structurally does not fit into the proposed member engagement opportunities in *Forward Together*. Taking into account the unique role and a possible need for restructuring the work of the committee, the Committee on Accreditation will request the establishment of a Committee on Accreditation Working Group by the Executive Board at its Fall 2019 meeting to address issues raised by the committee. This working group will bring an interim report to the Spring 2020 meeting of the Executive Board and the results may be included in the final *Forward Together* recommendations at the 2020 ALA Annual Conference. SCOE recommends that the Committee also change its name to reflect its unique role and scope of work.

The current Endowment Trustees structure and function does not have any recommended changes.

Divisions of the American Library Association

ALA Divisions provide a focal point for the important and unique issues facing different types of libraries and library work in addition to helping members find a natural home in the Association based on the uniqueness of their work place or work type and their expertise.

With this in mind, and considering the unique expertise that each division holds, *Forward Together* encourages the divisions to work together to increase their strengths and lean on each other for support in areas of need. Divisions will have a direct line of communication and influence with the Board of Directors through the Division Leadership Assembly, which will foster communication and collaboration between the divisions and other facets of the association. It is also important to note that because division members are also association members, individuals elected or appointed to: the Board of Directors, standing committees, advisory groups, working groups, or communities of interest, will provide not only their individual perspective, but also their important perspective from membership in a division. It is through this lens that the recommendations for ALA's divisions are the following:
● A regular review of each division in consultation with the ALA executive director. Potential mergers within the divisions may occur, including one merger already

underway between LLAMA, ALCTS, and LITA to create one new proposed division, CORE: Leadership, Infrastructure, Futures.

- A review of the "Operating Agreement" in relationship to the *Forward Together* recommendations. This review may include but is not limited to a review of bylaws, dues, and dues structures. Within this larger umbrella of the Operating Agreement are several recommendations:
  - Replace individual division bylaws with a shared policies and procedures document. This will help define the relationship and fiscal responsibility of divisions, helping members understand the symbiotic relationship between divisions and the rest of ALA.
  - With assistance from the Membership Office and the Membership Committee, align dues and dues structures across the divisions. This makes the process easier for members to join divisions and helps members understand how dues are spent. It is recommended to explore the rate of $70 for each division from the preliminary fiscal analysis models. This would have the least fiscal impact overall and is only a recommendation for the Membership Office and Committee to further explore and test this model.
  - Schedule a regular review of the Operating Agreement.
  - A process and timeline for the above recommendations is to be determined in consultation with the divisions and the executive director.
- Align member engagement structures in the divisions and throughout ALA. Divisions may have, but are not required to have: advisory groups, working groups, and communities of interest. Sections can continue to exist in their current form, but it is strongly recommended that each Section consider whether they should instead be reconstituted as an advisory group, working group, or community of interest. Section elections will be administered through an online platform following best practices developed by ALA staff.
- Empower ALA staff to investigate and recommend best practices for efficient elections for divisions for positions such as division president.
- Charge divisions to develop an action plan to implement *Forward Together* recommendations within two years of the approval by members.

Round Tables of the American Library Association

As issue-based and identity-based groups, round tables have provided an important home for members that crosses the many intersections of their lives. The twenty-one round tables are often the home for newer and emerging issues within the association, raising important and unique concerns and focus on different types of library work, experiences of library workers, and experiences of library users. Over the last several years, round tables have experienced increased membership growth and the creation of new round tables, indicating an importance to the association and value to members.

Round tables will be encouraged to recommend advisory groups and working groups to the Board of Directors to help accomplish their work and bring action and influence around

important issues. They will have a direct line of communication and influence with the Board of Directors through the Round Table Leadership Assembly and will be looked to for their expertise and advice around issues important to them. An important note of the Round Table Leadership Assembly is the inclusion of all round tables, regardless of membership size, to have full participation in the assembly.

Efficiency recommendations are provided below to help the round tables focus on the important work of their members. By freeing up ALA staff time from administrative work, staff can help members accomplish their goals for the round table and focus more attention on mission-based tasks. The Round Table Effectiveness Committee, a collaborative effort of several round tables, will begin work in November to determine best and efficient practices for round tables.

These recommendations, some of which are already being discussed by the Round Table Effectiveness Committee identified above include the following:
- Post all future documents in ALA Connect to help share institutional knowledge and give member access to as much information as possible. In addition to improving efficiency, this will help members identify what a round table is about and what they do, making it clear how a new member can participate.
- Administer all necessary elections through ALA Connect.
- Replace individual round table bylaws and create a shared policies and procedures document. This will help identify the relationship and fiscal responsibility of round tables with members and leaders, helping them understand the symbiotic relationship between round tables and all of ALA.
- Work with the Membership Office and Membership Committee to align dues and dues structures across ALA so that discounted rate opportunities for special categories are consistent across the association. It is recommended to explore the rate of $20 for each round table from the preliminary fiscal analysis models. This would have the least fiscal impact overall and is only a recommendation for the Membership Office and Committee to further explore and test this model.
- Increase the minimum number of dues-paying members needed to create a round table to one percent of ALA's membership unless identified as a strategic priority by the Board of Directors. Membership numbers will be revisited and averaged over a period of three years. Current round tables will be able to remain intact for the first three years to provide them the opportunity to grow their membership. This will provide round tables with more fiscal stability and the resources to accomplish their mission-driven goals.

Additional Recommendations
The charge of SCOE was to focus on large, structural change of the association. While the primary focus of this report is on organizational effectiveness and governance there are a few recommendations that have no large structural home:
- ALA's governance structure and organizational effectiveness should be subject to regular, institutionalized review to make incremental change rather than rely upon a large reorganization as is recommended in *Forward Together*.
- A robust virtual member orientation should be established and conducted by the Membership Office and Membership Committee to welcome new members into the

whole organization, explain engagement opportunities, and provide a refresher for current members.
- A clearinghouse of volunteers should be created. Volunteer forms should be accepted on an ongoing basis and solicited when new advisory groups and working groups are formed. The form should identify volunteer interests, skills, expertise, and passions and would be used by all facets of the organization to determine potential volunteers.
- Upon acceptance and approval of *Forward Together* by ALA members, an Implementation Working Group should be established and appointed to identify timelines and tasks necessary to complete the work of the recommendations. Timelines provided in the recommendations of this report are subject to modification by the Implementation Working Group. The Committee anticipates implementation will take several years.

Member Process: How It All Works Together

Forward Together envisions a cohesive structure which allows many different opportunities for members to participate, engage, and bring forth issues for prioritization by the association. The following examples of the current process for members and the future process for members demonstrate the nimble, responsive nature of *Forward Together*.

Getting Involved as a New Member
Feedback and survey data indicate that many ALA members feel disengaged from the association, in part due to the complexity of ALA's structure. According to the Avenue M membership study, most ALA members are members for three years or less. With this in mind, today, the process for getting involved as a new member might look something like this:
- New member joins ALA and adds on divisions and round tables that sound interesting or align with professional/interest goals
- New member may (or may not) receive a welcome email from each group with varying degrees of information about the group and how to get involved
- New member feels overwhelmed by options to participate and different modes of operation. New member never moves past paying membership dues, and never finds the wealth of value or resources in the association
- OR, member fills out a volunteer form and is placed on a committee that has no clear goals or projects and loses interest in participation; sometimes never hears a response
- OR, member has no institutional support and cannot attend conferences or committee meetings, losing out on member engagement opportunities.
- OR, member has an idea for improving the association but has no clear sense for how to communicate it, preventing the association from benefiting from our newest members' innovative ideas.

Imagine the process in *Forward Together*:
- New member joins ALA and adds on divisions and round tables that sound interesting or align with professional goals

- New member receives a welcome email outlining groups joined and listservs added to, with an invitation to a virtual orientation to learn more about getting involved in ALA as well as to fill out a volunteer form if they are ready
- New member attends the orientation and is invited to participate in areas of interest and projects of interest based upon their volunteer form indications, leading to a fulfilling and engaging experience.
- Participation is offered through a variety of in-person and online channels to expand participation beyond those who can afford the expense of conference participation.

The Passionate Member Experience

The Avenue M membership survey reported that, while most members of ALA were "satisfied" with their membership, the members who were "Very Satisfied" were those who were long-term, engaged, and passionate ALA members. "Very Satisfied" is the type of member *Forward Together* seeks the majority of ALA members to be. With this in mind, today, the process for engaging the passionate member might look something like:

- Member leader identifies member who attends ALA conferences and attends division or round table meetings they also attend
- Member is encouraged to get more involved by joining a committee or running for a round table or division role.
- OR member is encouraged to run for ALA Council. If the member is successful, they become part of an approximately 190-person policy-making body that requires formal processes that are highly formal and challenging to learn. Most new Council members limit their participation during their three years to voting on resolutions crafted by a handful of seasoned peers.

These options assume that the member has the resources and support to attend face-to-face meetings for several consecutive years and is satisfied with a low level of participation (meeting twice a year) extended over a long period of time (one to three years). A member with a specific passion or goal must "work their way up," regardless of their expertise or the timeliness of their issue. Members with finite resources for travel have to be willing to dedicate those resources to ALA participation. As a result, the vast majority of ALA members do not participate or engage in the work of the association.

Imagine the process in Forward Together:

- A member joins ALA and upon receiving their welcome email, decides to attend a virtual assembly or division or round table meeting. There are enough meetings year-round that the member can "jump on board" at any point, at no additional cost, rather than waiting to attend a face-to-face meeting
- The member hears a conversation specific to their identity, affinity, or professional interest. The meeting is small and focused enough that the member can envision themselves participating
- The member volunteers for an opportunity or proposes an issue to pursue

Raising Issues for Discussion or Action

Oftentimes, issues come up in libraries across the nation that have not been identified by the association for discussion or action. Members who are working on the frontlines may begin conversations with one another about the need for attention to an issue by the association to help provide guidance, resources, or awareness. Round tables are often the home of such scenarios. Today, the process for raising an issue through a round table might look like:

● A member has an issue they bring to the leadership of a round table.
● That issue may be reviewed by round table leadership to frame into a resolution.
● The round table's councilor (if they have their own) takes that resolution to ALA Council.
● Depending on the required action, if passed by Council, the Executive Director proceeds with the desired actions of Council and will provide a report to Councilors over the next 6 months.
● If the resolution is referred, a report could take up to six months to be developed and reported back to Council to determine a vote.
● If the resolution is passed and requires a policy change, Council will have to vote on the resolution again in six months at the next meeting before the resolution can take effect.
● It may take at least a year or more for the process to complete depending on the actions required in the resolution.

Imagine the process in *Forward Together*:

● A member has an issue that they bring to the Round Table Leadership Assembly at the next convening, held multiple times a year. All round table leaders provide input. Round table members are informed and provide input to strengthen the information around the issue.
● The Round Table Leadership Assembly brings the issue to the Public Policy & Advocacy Committee who adds input and helps to identify the scope, impact, and resources necessary to take action on that idea if the round table has not already done so. The Committee could reach out to the general membership and/or specific stakeholder groups including division, chapter, and affiliate leaders through the Leadership Assembly communications tools (more on leadership assemblies in the above section).
● The issue (with a report from the Public Policy & Advocacy Committee) then goes to the Board of Directors for adoption as policy or action.
● The whole process could take a few months, perhaps even weeks.

Moving Legislative and Public Policy Advocacy

In the Avenue M report, members indicated they expect and find value in ALA as the voice for libraries in federal public policy, library funding, and the regulatory framework related to library values and services. Today, the process for legislation and public policy advocacy is often *reactive* to external threats to library-supportive policies and funding. A reaction today might look like:

● Any of ALA's number of legislative and advocacy focused committees may *respond* to library-related legislation driven by external forces with or without consulting with one another

- OR at one of its two meetings a year, ALA Council may pass a resolution against the threatening legislation and public policy. If the resolution is referred to a committee for review, it may take up to a year for the resolution to pass and for action to be taken.

ALA and its member groups are effective at mobilizing members to respond when libraries are threatened, yet struggle to unite members in a timely manner around shared public policy goals that would advance or sustain libraries for the future. This is in part to difficulty in identifying potential risks as well as a lack of process for public policy proposals to be proposed and vetted by members. When proactive proposals are sought by ALA members, policies tend to focus on a narrow objective that may be advanced at the expense of ALA's strategic directions or long-term policy goals.

Imagine legislative and public policy advocacy in *Forward Together*:
- ALA will advance public policies that support funding, legislation and a regulatory framework for thriving libraries and into the future
- Library-specific public policy ideas may be initiated through members, leadership assemblies, or Board-appointed working groups.
- The Public Policy and Advocacy Committee will develop and recommend to the Board a proactive policy agenda that is aligned with ALA's mission, core values and strategic directions. The Committee will assess progress in proactive and reactive policy advocacy.
- ALA will mobilize members and supporters in advocacy strategies that maximize local, state, and federal relationships with policymakers and influencers, as well as the expertise of policy professionals.
- In addition to ALA's grassroots and grasstop networks, ALA will deploy technology-based advocacy and communications tools so that an increased number of members and supporters are informed of library-related policy issues and will take action for the benefit of libraries and the communities served by libraries.
- Members will be encouraged to strengthen their relationships as advocates with their elected officials.

Influencing ALA Policy
Today, the process for influencing ALA Policy might look something like:
- A member wants to suggest an edit to the ALA Code of Conduct to be more reflective of ALA values.
- The member notices there is no information in the Code of Conduct as to who maintains and updates it.
- The member may try to contact a number of different groups to share their idea with varying degrees of success and contact. There is no clear path towards proposing this change.

Imagine the process in *Forward Together*:
- A member may propose their suggested edit through any of the leadership assemblies, committee membership meetings, or member engagement opportunities.

- Each of these assemblies, membership meetings, and member engagement opportunities will have a Board of Directors liaison and an ALA staff member who will hear the suggestion and direct it to the appropriate body for review.
- The member has now provided the association with their idea, feels heard, and receives a follow-up to their request from the group that helped initiate their proposal.

These simplistic examples are just a few ways Forward Together can help to increase membership participation, influence, and engagement. The ultimate goal of these recommendations is to ensure members have a clear path to help move the association forward and *Forward Together* creates multiple clear paths to accomplish member and association goals together.

Next Steps

After discussion with the ALA Executive Board at the Fall Meeting, SCOE recommends a legal analysis to be conducted by the 2020 ALA Midwinter Meeting and a Constitution and Bylaws Committee analysis and a Committee on Organization analysis of *Forward Together* to be presented at the 2020 ALA Annual Conference. Initially, SCOE recommended conducting a more robust fiscal analysis and identifying a *Forward Together* Implementation Working Group prior to the 2020 ALA Midwinter Meeting. SCOE now recommends first conducting a legal analysis, Bylaws Committee analysis, and a Committee on Organization analysis so that we can gain a more complete understanding of the implementation needs before proceeding with the fiscal analysis and Implementation Working Group. A full timeline of SCOE events past and present and an explanation of changes to the timeline can be found in appendix B.

Conclusion

To become the leading library association that members demand, the necessary changes within ALA requires its members to be bold. The work of many similar groups that have come before the Steering Committee on Organizational Effectiveness have resulted in small tweaks to our association and its governance, but there has not been the same momentum or the same urgency felt now by members and member leaders. As society and technology moves forward, ALA has not changed its practice and member engagement models. That inaction has led us and our members to hunger for innovation and forward thinking. The recommendations included in *Forward Together,* informed and created by ALA members, are intended to do just what the title states; move the world's oldest and largest library association forward together, as a whole, with established members and new members to advocate and "provide leadership for the development, promotion, and improvement of library and information services and the profession of librarianship in order to enhance learning and ensure access to information for all."

These recommendations are intended to be taken as a package, for it is only when we look at all facets of our organization that we can make true, lasting change.

Appendix A: Fiscal Analysis

The report of the Fiscal Analysis Working Group was completed and given to SCOE on September 16, 2019. The report is presented as it was prepared for SCOE members at the time.

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REPORT OF SCOE FISCAL ANALYSIS WORKING GROUP

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The Steering Committee on Organizational Effectiveness (SCOE) Fiscal Analysis Working Group is comprised of Susan Hildreth, Chair and immediate past Treasurer, Andrew Pace and Alexia Hudson-Ward, SCOE members, John Lehner, Budget Analysis and Review Committee (BARC) liaison and Clara Bohrer, engaged ALA member with in-depth knowledge of ALA finances. ALA staff working with the group are Mary Ghikas, Executive Director, Mark Leon, Chief Financial Officer, Melissa Walling, Membership Director and Raymond Garcia, Special Assistant to the Executive Director.

The group met virtually in August and September. Although the group had limited time to conduct any type of comprehensive analysis, we wanted to identify key areas of potential fiscal impact that could result from SCOE recommendations. We recommend that a more detailed analysis be conducted after SCOE has made its final recommendations to the Executive Board in October 2019.

It must be noted that there are several other ALA change streams which could impact the SCOE recommendations on changes to its governance structure. Because SCOE recommendations may impact membership models and ALA is reviewing membership models on a parallel path with SCOE efforts, the working group focused primarily on potential fiscal impacts of SCOE considerations for Division and Round Table dues.

Membership Models/Division and Round Table Uniform Dues Analysis

ALA, supported by research done by Avenue M, is considering a variety of membership models. Changes in the general membership model could impact SCOE recommendations as well as memberships in ALA divisions and round tables. It is likely that new membership models will be less complex than the current structure. The current strategic investment in ALA Information Technology (IT) infrastructure will be useful in supporting a responsive member database that can support the implementation of pricing model changes. Additional IT investments may be necessary depending on required functionality to support a new member database platform.

Current or potential members are often confused by the diverse dues structure for divisions and round tables. SCOE suggested that uniform dues for divisions and round tables be considered. This recommendation would not preclude divisions and round tables from having different categories of memberships, i.e. international, student, etc. The suggestion was that these categories have uniform dues amounts for each division or round table. ALA staff, led by Melissa Walling and Mark Leon, are testing models that show the financial impact of division

dues at $60, $65 and $70 and round table dues at $10, $15 and $20 annually. This analysis is looking only at the regular member dues category for divisions and round tables.

In developing this model analysis, the working group had a detailed discussion regarding what divisions considered as basic services for their members and what was the cost of those services. Based on information from PLA and ACRL (provided by Clara Bohrer and John Lehner who have knowledge of PLA and ACRL finances, respectively), 1) basic services for each division vary significantly; 2) basic services are not covered by annual division regular member dues; 3) PLA and ACRL have resources to provide these services from other revenues but that is not the case for other divisions.

This analysis is rather complicated but provides ALA Membership, Finance and IT staff to have some "skin in the game" in analyzing potential restructuring impacts. The analysis is in process and staff hope to have initial information available for review at the September SCOE meeting.

SCOE Recommendations/Potential Fiscal Impact

Outlined below are specific SCOE recommendations which may have fiscal impact. Each area must receive further fiscal analysis. In all cases, effective provision of virtual platforms by ALA IT will be critical for the success of these new structures. The current strategic investment in IT will be useful in supporting engagement platforms. Additional IT investments may be necessary depending on required functionality to support the virtual engagement platforms. There may be additional training costs to ensure that members and staff are able to effectively use virtual tools and facilitate meetings and discussions in a virtual environment.

Area 1: Board of Directors: Increasing from 12 members to 17 members

- Elimination of ALA Council will result in an estimated cost savings of $800,000 annually. ALA Council costs at the Annual and Mid-Winter conferences are estimated at $400,000 each. ALA staff led by Mark Leon are preparing a detailed cross-functional analysis of Council costs that will be available later in September.
- The operational costs for an expanded executive board will increase and must be factored into fiscal impact.

Area 2: Redesigned Volunteer Work and Committees: Reducing 37 Standing and Council Committees to 3 Executive Board Committees, advisory committees, working groups, communities of practice and leadership assemblies

- Although the exact number of advisory groups has not been determined, these groups will function primarily in a virtual manner and may result in less staff time that could be redirected to other activities.
- As mentioned above, the impact on IT development and related costs needs to be examined to make sure that the provision of virtual platforms currently being developed will be sufficient.

- The extent of saving will not be known until it is determined during implementation discussions how the groups actually will engage in their work and interact with each other and staff.

Area 3: Divisions, Round Tables and Membership Initiative Groups: Make organizational structures consistent and uniform, consider potential merger of groups and focus on virtual operations

- Simplification of organizational structure, elections and other activities will result in less staff time and cost which could be redirected to more impactful activities.
- ALA's operating agreement with divisions and round tables should be reviewed and updated in light of new governance and membership models as well as standard 21st century professional organization and business practices that were not in place when the agreement was developed in 1982. A change in ALA's operating agreement may have fiscal impact.

New Winter Meeting

ALA is also revising the format and focus of its Mid-Winter meeting with a smaller footprint which will have impacts on revenue and expenses, staff time and member engagement and committee work.   It is anticipated that the new Mid-Winter format will result in less revenue and less expenses and provide more opportunities for regional engagement. The continuing education focus of Mid-Winter will require stable and intuitive virtual platforms for member engagement.   Although not directly related to SCOE fiscal analysis, these meeting changes will impact member engagement and staff workload.   Member engagement will become more virtual. Staff workload could be redirected to alternate activities when not preparing for and staffing a major conference.

Recommendations

The fiscal analysis of SCOE recommendations is impacted by other changes currently being considered by ALA. This is really complicated! Having said that, at this time, we do not see any significant issues that would constrain further development and consideration of SCOE recommendations.

The work of SCOE was undertaken to enhance member engagement, not to reduce operating costs. We think there may be increased costs in some areas that would be offset by reduced costs in other areas. With simplification of governance and membership organization, it is anticipated that staff time would be able to be redirected to enhanced member engagement.

ALA is making strategic and critical investments in its IT infrastructure and platforms. These timely and valuable investments are moving ALA forward to function more effectively in a connected world. It is anticipated that additional IT investments will be required to support a streamlined membership database and useful and intuitive virtual platforms for member

engagement. Although we cannot specifically estimate the cost at this time, support for needed IT enhancements and for staff and member training to effectively use these platforms will be critical for the success of streamlined governance and organizational models.

Because of the limited time available to the working group and the preliminary nature of SCOE recommendations, we recommend a more detailed analysis be conducted when the Executive Board makes its final decision to move forward.   We also recommend that a larger body be appointed to undertake further analysis, including representation from a variety of ALA stakeholder groups.

We would like to thank all members and staff who participated in the working group.   We would especially like to thank Melissa Walling, ALA's new Membership Director, who provided useful expertise and knowledge on association membership trends and practices.

Appendix B: Steering Committee on Organizational Effectiveness Timeline

Appointment of SCOE by ALA President Jim Neal (New Orleans)	June 2018
Remodeling Summit (Chicago)	October 2018
Initial ideas presentations to members (Seattle)	January 2019
Virtual ideas presentation to members	February 2019
Executive Committee Meeting, meetings with ALA staff (Chicago)	March 23, 2019
4 virtual input sessions with specific member groups	April 2019
SCOE review and developing preliminary recommendations (Chicago)	May 7-8 2019
Meetings with ALA staff (Chicago)	May 20, 2019
Presentation of preliminary recommendations to members (Washington, DC)	June 2019
Virtual presentation of preliminary recommendations to members	July 8 & July 19, 2019
Meetings with ALA staff (Washington, DC)	July 15, 2019
Fiscal analysis by working group, integration of chapters and affiliates	July - September 2019
Development of recommendations (Chicago)*	September 2019
Presentation of recommendations to Executive Board*	October 2019
Legal Analysis	November - December 2019
Constitution & Bylaws Committee and Committee on Organizations Analyses*	November 2019 - April 2020
Introduction of new ALA executive director	January 2020
Presentation to Council at Midwinter Meeting (Philadelphia)	January 2020
Council vote 1 at Annual Conference (Chicago)	June 2020
Council vote 2 at Midwinter Meeting (Indianapolis) Note: Will occur only if Council accepts the Constitution & Bylaws and Policy changes in June 2020	January 2021
Begin Identifying potential Implementation Working Group to begin their work after the Spring 2021 membership ballot (assuming successful passage)	

Membership ballot vote Note: Will occur only if Council accepts the Constitution & Bylaws changes again in January 2021	Spring 2021
Implementation Working Group takes over Note: Will only occur upon successful passage of the Constitution & Bylaws changes in Spring 2021	June 2021
Larger in-depth fiscal analysis	TBD

*Explanation of changes to the Timeline since July 2019:

1. The word "final" was removed from the development of recommendations in the September 2019 development and the October 2019 presentation to the Executive Board to recognize that due to the iterative nature of SCOE's process, additional changes may be needed through the final presentation and vote with Council in June 2020.
2. The second fiscal analysis and the Constitution & Bylaws Analysis was originally slated for November - December 2019. Changes were made to these based upon the report of the first fiscal analysis subcommittee and the workload of the Constitution & Bylaws Committee and the Committee on Organization. The fiscal analysis working group recommended an expanded review of the financial impact of the recommendations after acceptance and approval of the recommendations. This is in part because ALA staff and members would be unable to complete this analysis without many implementation details.
3. Identification of the Implementation Team/Implementation Working Group, originally slated for November 2019 will be postponed until after the initial work of the Constitution & Bylaws Committee and the Committee on Organization to determine the exact needs of the Working Group.To begin the implementation process analysis and ensure member input, SCOE would like to draw upon the expertise of the Constitution & Bylaws Committee and the Committee on Organization to determine what implementation steps will be necessary. SCOE asks that this analysis be done by May 1, 2020 to allow for inclusion in the final materials and report that will be shared with Council for a vote.

Appendix C: 2017-2018 ALA CD#35.1 2018 ALA Annual Conference

This Council Document is presented in its original form with the exception of document appendices which have been removed for length. For the full appendix which includes list of chapters, organizational charts, and kitchen table talk discussions and additional resources please refer to the full council document.

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American Library Association

Organizational Effectiveness Plan

2018 Annual Conference – New Orleans, LA

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BACKGROUND:

Following the 2018 ALA Midwinter Meeting, the ALA Executive Board working group on governance and organizational effectiveness—Mary Ghikas, Andrew K. Pace, Lessa K. Pelayo-Lozada and Patricia Wong—transcribed and created a database of feedback from the discussions at ALA Council and at PBA, as well as other feedback received – over 300 documents. Wordles were also created to assist working group members in the analysis. The resulting files were reviewed by members of the working group.

On April 5, the working group met to discuss next steps and to review an initial draft of this document. Based on that discussion and review, at their spring meeting, the ALA Executive Board decided to retain outside consultants to advance this discussion. In addition, ALA President Jim Neal will appoint an ad hoc Steering Committee and Executive Oversight group. What follows is a summary of the Midwinter 2018 feedback, a draft timeline for next steps, a steering committee structure, and structure for facilitated discussions to take place at ALA Annual 2018 in New Orleans.

Attachments:
- (1) APPENDIX 1: Council and PBA feedback on Organizational Effectiveness discussion (Wordles)
- (2) APPENDIX 2: Concurrent Activities
- (3) APPENDIX 3: 2017-2018 ALA CD#35, 2018 ALA Midwinter Meeting – American Library Association, Organizational Effectiveness Discussion

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ALA Governance Review Process

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The following outline attempts to look at the reorganization process from two perspectives: what we know and how we might move forward.

A series of appendices provide additional information, including: (1) Wordle images of what we

know, (2) descriptions of related ongoing work that both the ALA Membership and Management will need to be aware of as this process proceeds, and (3) the 2018 Midwinter discussion document.

Purpose and Key Question:

The purposes of the Governance Review were laid out in the Midwinter 2018 document -- 2017-2018 CD#35. (See Appendix 3) CD#35 also positioned the ALA Mission as a central guide for this work, along with a set of "guiding principles."

ALA Mission: *To provide leadership for the development, promotion, and improvement of library and information services and the profession of librarianship in order to enhance learning and ensure access to information for all.*

To achieve this mission, ALA has defined four strategic directions:

- Advocacy
- Equity, Diversity and Inclusion
- Information Policy
- Professional and Leadership Development

As we think about how we organize to support this mission, these "guiding principles," articulated in the 2018 Midwinter Meeting discussion document, need to be kept in mind:

1. We will build upon ALA's strengths
2. We will focus on ALA's Strategic Directions—Advocacy; Information Policy; Professional & Leadership Development; Equity, Diversity, and Inclusion
3. We will enable open, flexible, and easy member engagement
4. We will simplify and streamline process
5. We will ensure a governance and coordinating structure that enables members and staff to be effective, engaging in meaningful and productive work
6. We will empower member engagement
7. We will adopt a new mindset
8. We will optimize use of ALA staff time
9. We will experiment and try new approaches; we will learn from our experiences and be intentional about assessment
10. We hope to be a model of innovation for professional associations

ALA is an association. As such, its primary asset for achieving its mission is its members, working with staff to achieve a shared mission and shared goals. The ALA membership includes over 58,000 individuals, organizations and corporations. Indirectly, through chapters and affiliates, which typically have overlapping memberships with ALA, the reach is significantly larger. Collectively, membership and those associated through chapter or affiliate membership represent librarians, a wide range of other individuals with many specializations who work in or for libraries, trustees, friends and advocates for libraries, corporate leaders invested in the library ecosystem, content creators, and others.

While the mission and membership focus remain, the question implicitly posed by the document developed for the 2018 Midwinter Meeting discussion was: "How can ALA best organize itself to fulfill its mission in the 21st century?"

What We Know Now: Midwinter 2018 feedback

Feedback from discussion with Council and other active members during the 2018 Midwinter Meeting, as well as some email feedback, largely confirmed the "findings" of the Kitchen Table Conversation. (see Appendix 3) But, as would be expected from a largely more active and ALA-experienced group, extended them in some respects. (see Appendix 1)

- ALA needs to be relevant to those with an MLS – and to those without an MLS who work in libraries, do work related to libraries; and, focus on or support libraries and their missions. There is also a desire for clearer, stronger focus on the needs and interests of library workers, which suggests that a comprehensive look at ALA may necessarily involve a close look at ALA-APA, and at potential funding mechanisms.
- Given the experience of many participants and the complexity of the organization, unsurprisingly one focus of attention was figuring out where to start. Which thread do you pull? Where are the innovative opportunities? Can we look at the question from an "issue perspective" not a "type of library perspective"?
- There was significant emphasis – echoed in internal (staff) discussions – about focus on advocacy, or perhaps on advocacy and education.
- There was strong focus on mindful, consistent relationship development – encompassing ALA Chapters and other state associations (e.g., AASL and ACRL-affiliated organizations, ALA Affiliates, and other organizations, both within ALA's unique areas of focus and broader areas representing member values).
- In both the discussions on advocacy and on relationships, there is interest in stronger collaboration between ALA and chapters/state associations and in being able to act locally.
- Feedback echoed the Midwinter document's focus on reduced complexity and reduced redundancy – but both complexity and redundancy are to some extent in the eye of the beholder. Comments included the need to "force prioritization," "focus on what matters," disband groups are "aren't effective," and shift to a more "as needed" structure, rather than so many standing bodies.
    - There is a perceived tension between resolving complexity/reducing or eliminating silos and the desire to find "my place," "my home." This tension will have to be addressed.
- Clarity in both structure and communications was a strong focus. Members want to "feel impassioned, invested, and relevant." As was clear in the Kitchen Table Conversation findings, they want "clear pathways to engagement." Other comments focused on member ROI; a collective and sustainable focus; a member-centric vs. member-led organization and enabling "complete and robust participation."
- There is recurring interest in investing in IT – including the technology for "virtual" or digital participation and learning.

Moving Forward: 18-month timeline

The question then is "what are the next steps?" While the Midwinter Meeting largely confirmed many aspects of the diagnosis, and suggested elements of a solution, the difficult work of negotiating a "solution" in a highly participative and complex organization, with interests that sometimes compete, remains to be done.

For that purpose, the Board wishes to retain a consultant. While consultants coming from the library arena, with ALA experience, will bring knowledge of ALA's culture(s), consultants coming from the association arena will bring knowledge of the wide array of models among associations – and their relative success in achieving specified aims. Management and the Board recommend a consultant from the Association or nonprofit environment, knowledgeable in the variations and purposes of association governance structures. Given the demands of the process, consultation and member facilitation of the change management process itself may be highly desirable. Since consultation with a deep understanding of current ALA organization and governance is also desired, the Board is recommending a Steering Committee to work closely with the outside consultant to guide what is likely to be a complex process, extending over 12-18 months, followed by an implementation phase.

A working calendar is outlined below – primarily to show the feasibility of the time frame proposed. It is highly likely that the specific approaches and intermediate steps within the timeline will change as ALA begins working with specific consultants and establishes the steering committee.

> (1)   Now – Through Annual Conference 2018

Conduct a series of facilitated focus groups or discussions built around some of the specific questions sitting behind many of the comments/concerns raised in both the Kitchen Table Conversations and at the 2018 Midwinter Meeting. These facilitated discussions will take place at ALA Annual and virtually. These may be structured around several "what if" scenarios, for instance:

- A shift from a structure largely based on standing committees to one largely based on as-needed groups, with a (small) core of "standing" committees.
- A shift from a "governance" model to an "engagement" model for many specialty groups, e.g. Round Tables. (see, for example, http://growglobally.org/?p=1394)
- A stronger ALA-Chapter/State Association structure.
- A different Board/Council composition/structure/relationship
- A potential change in or streamlining of the current ALA/Division relationship

> (2)   Annual Conference 2018 to Fall 2018 Board meeting

Based on feedback to date, work with consultant(s) to create multiple versions of a "new" ALA.

(3)   2018 Board Meeting to Midwinter 2019

Review scenarios at Fall Board meeting. Adjust scenarios based on Board feedback. Distribute adjusted scenarios for member/potential member feedback. Prepare discussion documents for 2019 Midwinter Meeting discussion.

(4)   Midwinter 2019

Hold facilitated discussions (National Issues Forum-style discussions) at Midwinter 2019, aimed at identifying "common threads" in member response. The objective is to arrive at a "new ALA" model.

(5)   Midwinter 2019-Spring 2019 Board Meeting

Prepare draft "new ALA" scenario (single) and related discussion materials for discussion at Spring 2019 Board meeting.

(6)   2019 Spring Board Meeting – 2019 Annual Conference

Adjust scenario and related materials based on Board discussion. Distribute widely for consideration prior to the 2019 Annual Conference.

(7)   2019 Annual Conference

Hold series of facilitated discussions on proposed model. Continue to develop model, based on feedback.

(8)   2019 Annual to 2020 Midwinter Meeting

Develop action document(s) for Council/membership. Develop potential implementation plan/schedule. Develop FAQ.

(9)   2019 Annual to Spring Election

Share information widely. Schedule online discussion sessions. Develop spring ballot materials. Refine implementation plan based on feedback.

 Spring 2020 Election and forward.

Based on Spring 2020 election plan, begin implementation.

Guiding the Process

2017-2018 ALA President Jim Neal has committed to leading this process through to completion – at least completion of the design and initial decision process. Vice President / President-elect

Loida Garcia-Febo has already indicated that President Neal will continue in an oversight/leadership role after his presidential term ends in 2018. The Executive Board has approved this structure to guide the process.

Executive Oversight Group: Jim Neal (2017-2018 ALA President; Past President, 2018-2019)
Mary Ghikas (ALA Executive Director)
TBD, Steering Committee Chair
Consultant (s)

Steering Committee: Executive Board (2) (including Chair)
Council (2)
Division Leadership (2)
Round Tables (1)
Chapters (2)
ALA Ethnic Affiliate (1)
Emerging professional (e.g. NMRT, Emerging Leader, Spectrum Scholar) (1)
At-large (1)
ALA Staff (1)

There should be significant attention to diversity of all types – including diversity in length of membership – in forming the steering committee.

This work is also taking place within the context of multiple "streams" of change (see Appendix 2). It will be important for the Board, Management and, to a lesser extent, the Steering Committee to remain aware of these additional change streams and to consider their potential impacts.

Appendix D: Avenue M Survey Results

The full Avenue M. - Final Survey Report is approximately 70 pages long and can be read at the link provided (https://bit.ly/31aTtWG). The following slides are a summary presented to the ALA Executive Board at their Fall 2018 meeting as EBD#12.12 ALA Survey Results: Avenue M Presentation.

ALA Executive Board
Fall Board Meeting

TOPIC: ALA Survey Results: Avenue M Presentation [PPTs]

ACTION REQUESTED: Discussion

DRAFT MOTION: NA

REQUESTED BY: Mary Ghikas, ALA Executive Director
                      Lorelle Swader, Associate Executive Director, ALA Offices and Member Relations

DATE: 23 October 2018

BACKGROUND:

In spring 2018, ALA contracted with Avenue M Group, a market research firm, to conduct a communications and membership study with the goal of improving our services to members.

On membership, questions such as the following were posed to Avenue M:
- *What are the barriers that may prevent individuals from joining ALA?*
- *Are there membership models that might better respond to the needs of current and prospective members?*
- *How might we improve or increase member engagement?*

In the areas of communications, the key objective was to develop an overall high-level strategy for more consistent communications with members. Questions included such things as:
- *How do we refresh and refocus our message framework?*
- *How do we focus individual communications more specifically to avoid "over-communicating" with members (a frequent member complaint)?*
- *How might we more effectively coordinate and collaborate across units – again, to avoid "over-communicating" and confusion.*

Work on the study began in April with interviews of ALA staff and members. In July 2018, a survey was sent to 65,000 individuals – ALA members, recently lapsed ALA members and other non-members. Over 10,000 responses were received.   These responses, as well as interviews and other research, formed the basis for recommendations in three reports:
- American Library Association (ALA) -- 2018 Membership Study – CBD#9
- American Library Association (ALA) – Marketing Communications Assessment and Strategy – CBD#8
- American Library Association (ALA) – 2018 Membership Models Report – CBD#10

Sheri Jacobs, President and CEO of Avenue M, will meet with the ALA Executive Board on Friday, October 26, to provide a high-level review of the survey results and their implications for ALA. (2018-2019 EBD#12.12, attached).

Current ALA staff members who were part of the internal Membership and Communication Study selection team were: Beth Nawalinski (Executive Director, United for Libraries); Christopher Keech (Director, Production Services, ALA Publishing); Eleanor Diaz (Program Officer, ALA Office for Intellectual Freedom); Emily Wagner (Assistant Director, ALA Washington Office); Jan Carmichael (Web/New Media Manager, Communications and Marketing Office); Sheila O'Donnell (Director, ALA Development Office); Terra Dankowski (Associate Editor, American Libraries); Thomas Ferren (Registration Coordinator, ALA Member and Customer Service); Allison Cline (Deputy Executive Director, American Association of School Librarians); Denise Moritz (Director of Financial Reporting and Compliance, ALA Finance); Kerry Ward (Executive Director, Library Leadership and Management Association); Lindsey Simon (Campaign Coordinator, Communications and Marketing Office); Michael Dowling (Director, ALA Office for International Relations/ALA Office for Chapter Relations); and, Tim Smith (Deputy Director, ALA Information Technology and Telecommunications Services). With the July 2018 retirement of Cathleen Bourdon (Associate Executive Director, Communications & Member Relations), overall leadership for the process was passed to Lorelle Swader (Associate Executive Director for ALA Offices and Member Relations).

Over the coming weeks and months, a number of staff and member groups will be reviewing recommendations and developing strategies to enhance organization effectiveness, increase member engagement, and build an agile model for future ALA support for libraries and library workers.

ALA Survey Results

October 2018

Project Overview: Membership Research

Research Goals

Better understand the interests, needs, motivations, habits and behaviors of current and former members and those who have never been members of ALA.

Electronic Survey: July 10 – July 27, 2018

- Survey delivered to 65,152 individual email addresses.
- 10,386 survey responses; overall response rate = 16%
- Margin of error of +/-1% at the 95% confidence level is well within the industry standard

Study Participants*

Work Setting
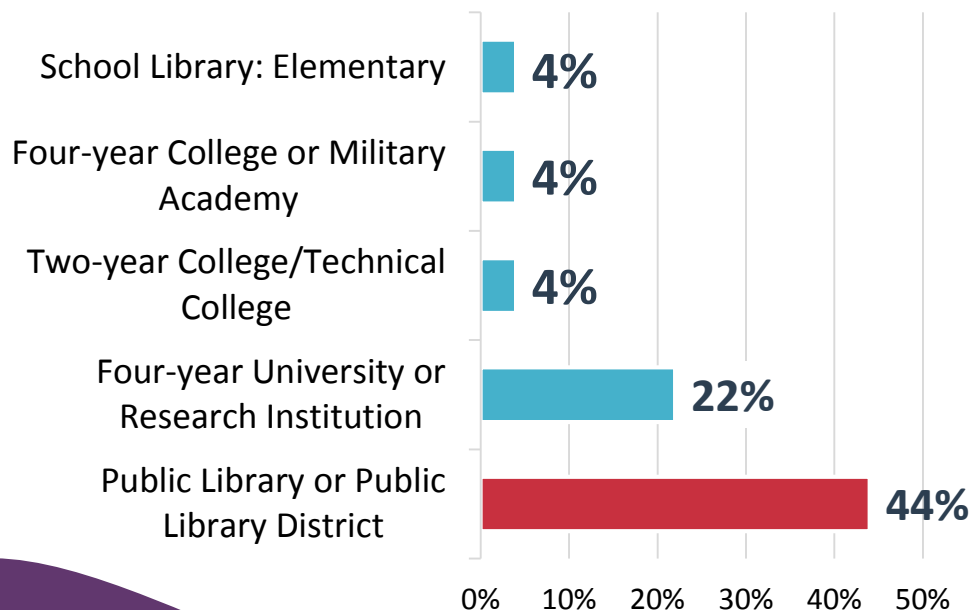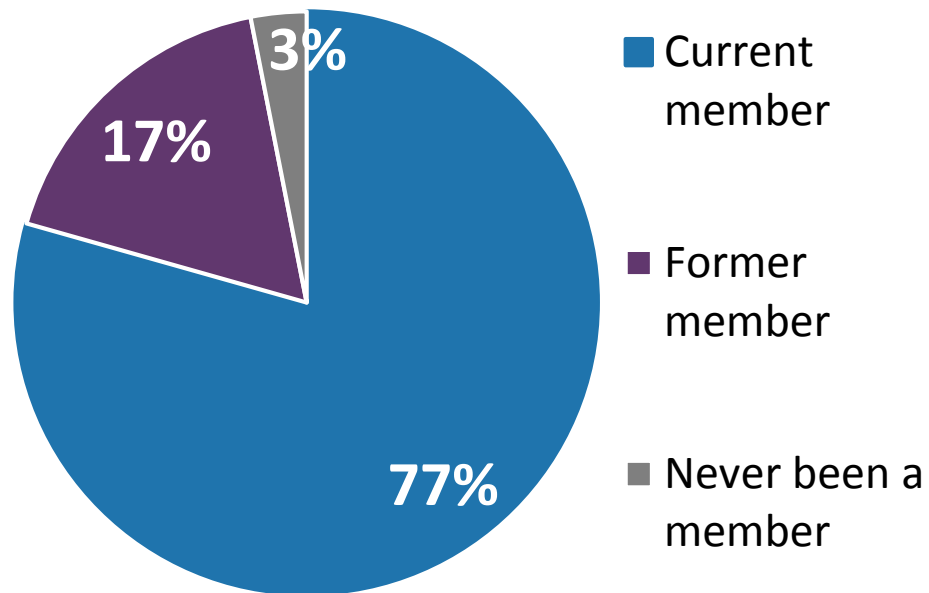
School Library: Elementary — **4%**

Four-year College or Military Academy — **4%**

Two-year College/Technical College — **4%**

Four-year University or Research Institution — **22%**

Public Library or Public Library District — **44%**

0% 10% 20% 30% 40% 50%

Membership Status

- Current member — **77%**
- Former member — **17%**
- Never been a member — **3%**

*Please note this is an overview of the demographics, and some figures have been rounded or excluded. Please refer to the Excel file for all data.

81% are white

80% are female

3

Study Participants*

Years a Member	Respondents
1 year or less	21%
2– 3 years	**41%**
4 – 5 years	14%
6 – 10 years	10%
11 – 15 years	4%
16 – 20 years	2%
21 – 30 years	2%
31 or more years	1%

Years in Profession	Respondents
Less than 1 year	2%
1 – 5 years	**22%**
6 – 10 years	20%
11 – 15 years	16%
16 – 20 years	12%
21 – 30 years	15%
31 or more years	10%

*Please note this is an overview of the demographics, and some figures have been rounded or excluded. Please refer to the Excel file for all data.

Key Findings

ALA members are drawn to membership because they see ALA as an advocate for the profession.

Drivers of Membership	Not a Driver	Low Driver	Medium Driver	High Driver
Believe in supporting my profession	3%	10%	34%	**54%**
Support advocacy for the profession	5%	14%	37%	**44%**
Support intellectual freedom	7%	17%	36%	**40%**
Learn new skills to become more proficient in my job	10%	15%	**38%**	37%
Keep up-to-date through ALA publications	8%	19%	**40%**	33%
Access to ALA Division	25%	22%	**27%**	26%
Employer pays my dues	**67%**	6%	10%	16%
Gain leadership experience through volunteer service	**34%**	30%	23%	13%
Receive member discounts for continuing education	**38%**	28%	23%	11%

Though roughly half of members are satisfied, few are extremely satisfied with their ALA membership.
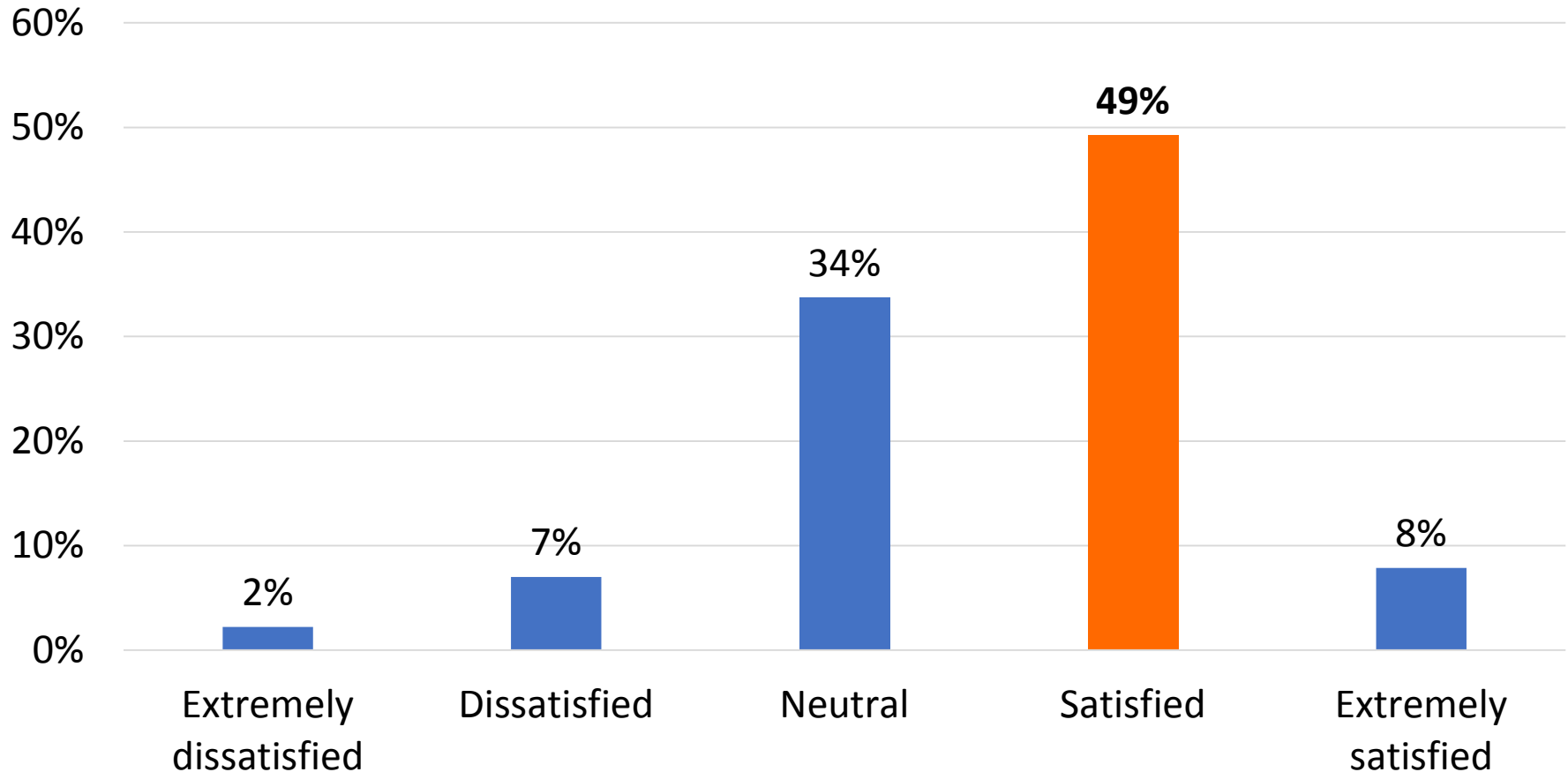
ALA Membership Satisfaction

- The proportion of ALA members who are extremely satisfied with membership is lower than the average of 25% observed in Avenue M's database*.

- Satisfaction is higher among members who have been in the profession longer (21+ years), and it is lower for those newer to the field.

*Avenue M's database includes professional membership associations from a range of industries.

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Net Promoter Score

Number of Results per Total Score

Detractors · Passives · Promoters

Total score	0	1	2	3	4	5	6	7	8	9	10
%	1%	1%	2%	2%	2%	8%	10%	16%	19%	10%	29%
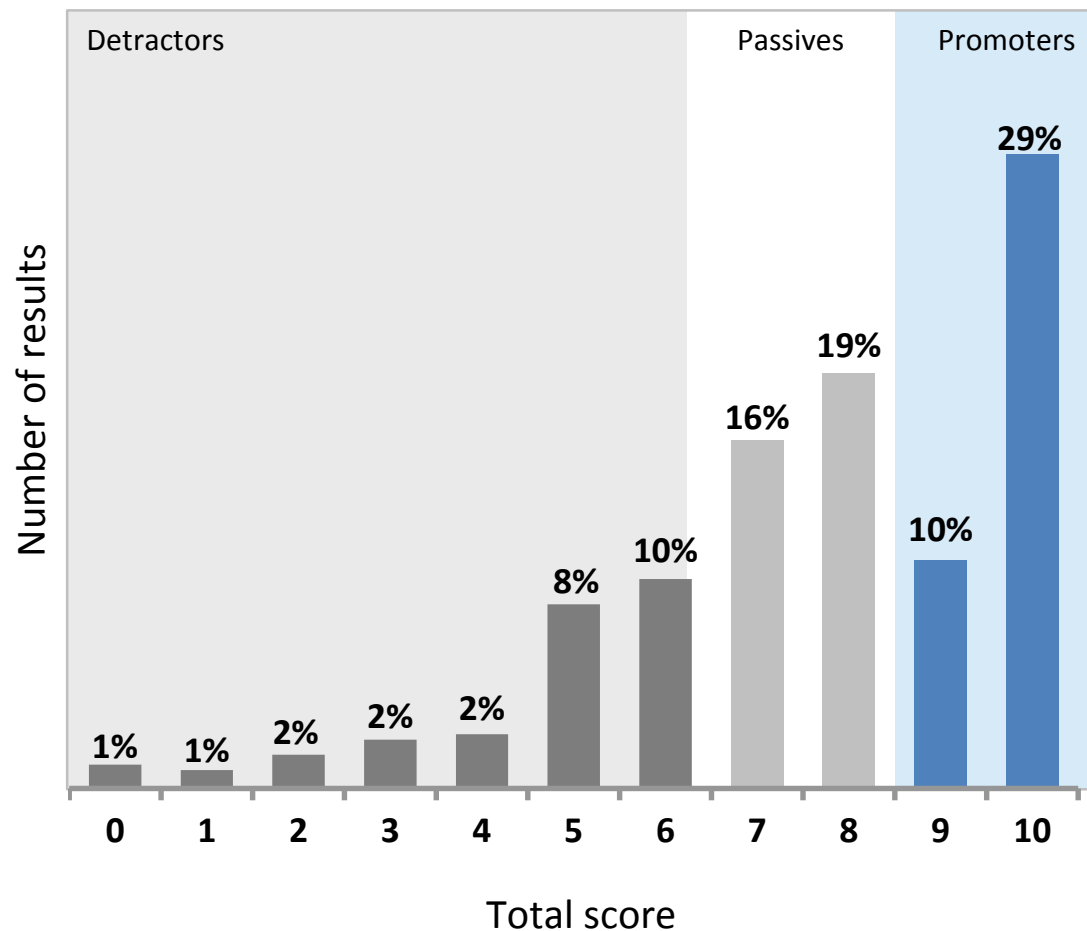
NPS (Net Promoter Score)

% Promoters - % Detractors =

+13

-100   +100

- Promoters 39%
- Passives 35%
- Detractors 26%
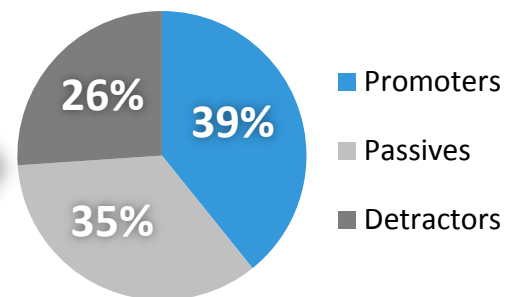
Member loyalty is low relative to other professional associations.

Net Promoter Score
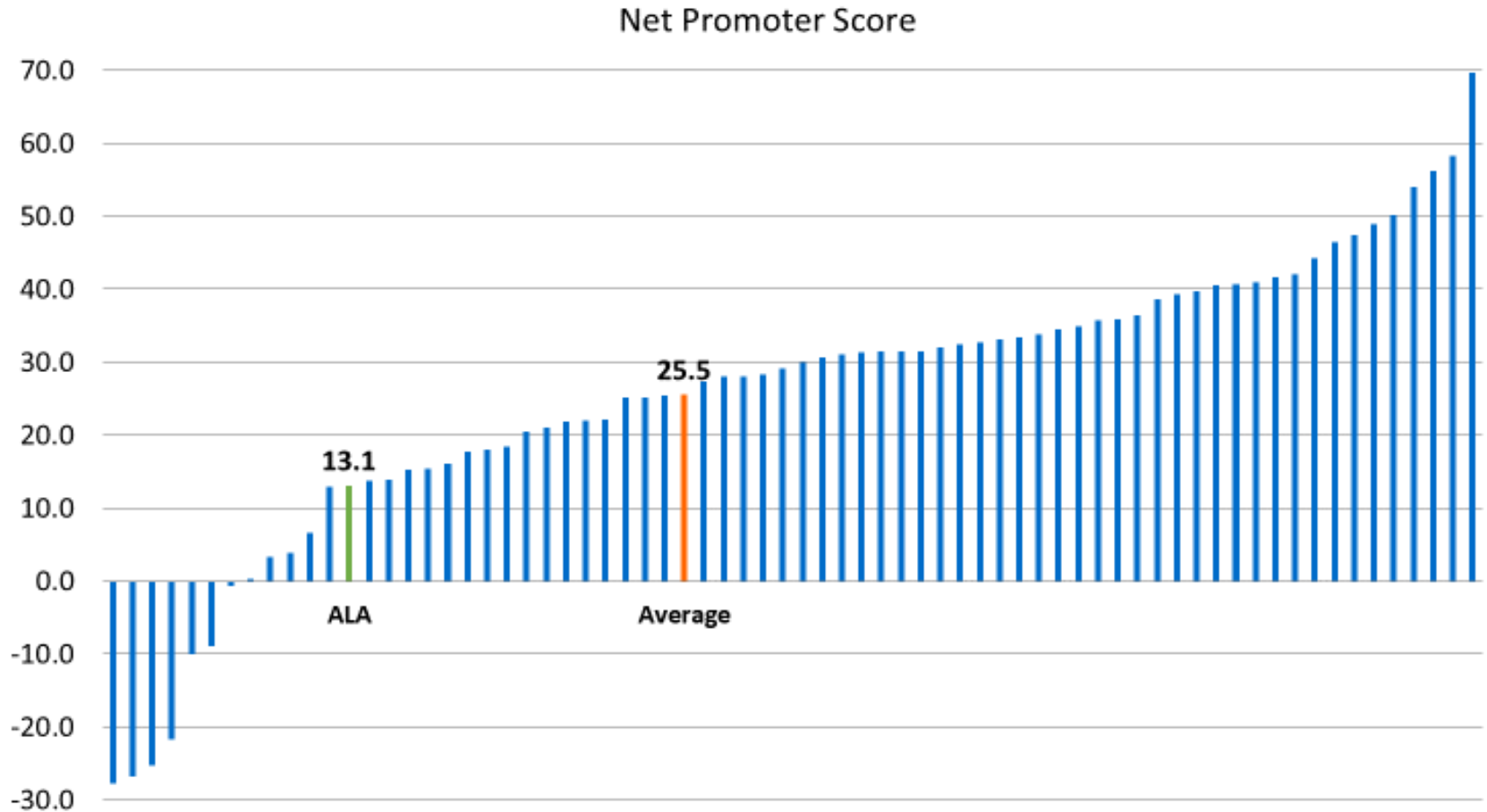
Two-thirds of members pay their own ALA membership dues.

53% pay for dues associated with divisions and/or roundtables.

How to Increase the Value of Membership?

1 Free registration to a CE course/webinar with membership (52%)

2 More virtual conferences (24%)

3 Improve accessibility of resources on website (20%)

4 More opportunities to increase skillsets (20%)

5 Increase state/local advocacy (19%)

How to Increase the Value of Division Membership?

1 Free registration to a CE course/webinar with membership (44%)

2 More virtual conferences (22%)

3 Make it easier to find resources online (17%)

4 More opportunities to increase skillsets (16%)

5 Increase state/local advocacy (16%)

Members of ALA Divisions often derive more value from their Division membership than their National membership.

Value of National Verse Division Membership	Percent
I receive more value from my division membership(s)	**48%**
I receive equal value from my ALA membership and my division membership(s)	24%
I receive more value from my ALA membership	12%
I don't know	16%

ALA members believe that ALA National is most effective in advocating for the profession and helping them stay up-to-date.

Which branch of ALA is most effective?	ALA (National)	ALA Division(s)	ALA Regional/ State Chapters	ALA Round Table(s)	Non-ALA Association
Advocates effectively on behalf of my profession	**67%**	11%	13%	1%	7%
Helps me stay up-to-date on the latest information in my profession	**52%**	28%	9%	2%	9%
Provides high quality, affordable education	**29%**	26%	18%	1%	26%
Facilitates networking or the exchange of information between peers	25%	26%	**27%**	5%	17%
Offers volunteer opportunities	17%	26%	**29%**	6%	22%

ALA's most widely utilized benefits:

- *American Libraries* Magazine (78%)
- ALA Annual Conference (58%)
- AL Direct (41%)
- ALA eLearning (41%)
- ALA Standards and Guidelines (40%)

Satisfaction for ALA's core benefits is generally strong.

Benefit Usage and Satisfaction	Usage	Satisfaction (Satisfied + Extremely Satisfied)
American Libraries	78%	74%
ALA Annual Conference	58%	77%
AL Direct e-publication/newsletter	41%	75%
ALA eLearning (webinars, online courses)	41%	71%
ALA Standards and Guidelines	40%	79%
ALA Midwinter Meeting	33%	62%
ALA Connect	29%	46%
Division Conference/Symposium/Forum	29%	85%
Libraries Transform public awareness resources	23%	83%
ALA Library Resource Guides	21%	75%
Career Resources	21%	59%
I Love Libraries Website	20%	78%
ALA online discussion lists	19%	65%
Advocacy Resources	17%	81%

The ALA Midwinter meeting and Annual Conference have the strongest relative impact on overall membership satisfaction.

Satisfaction with Offerings & Impact on Overall ALA Satisfaction

Division Conference

Libraries Transform

Standards/Guidelines

ALA Annual Conference

AL Direct

American Libraries

Volunteer opportunities

ALA eLearning

Career Resources

Midwinter Meeting

ALA Connect

Low <-- Average Satisfaction with Offering --> High

Low   **<--- Impact on Overall Satisfaction with ALA --->**   **High**

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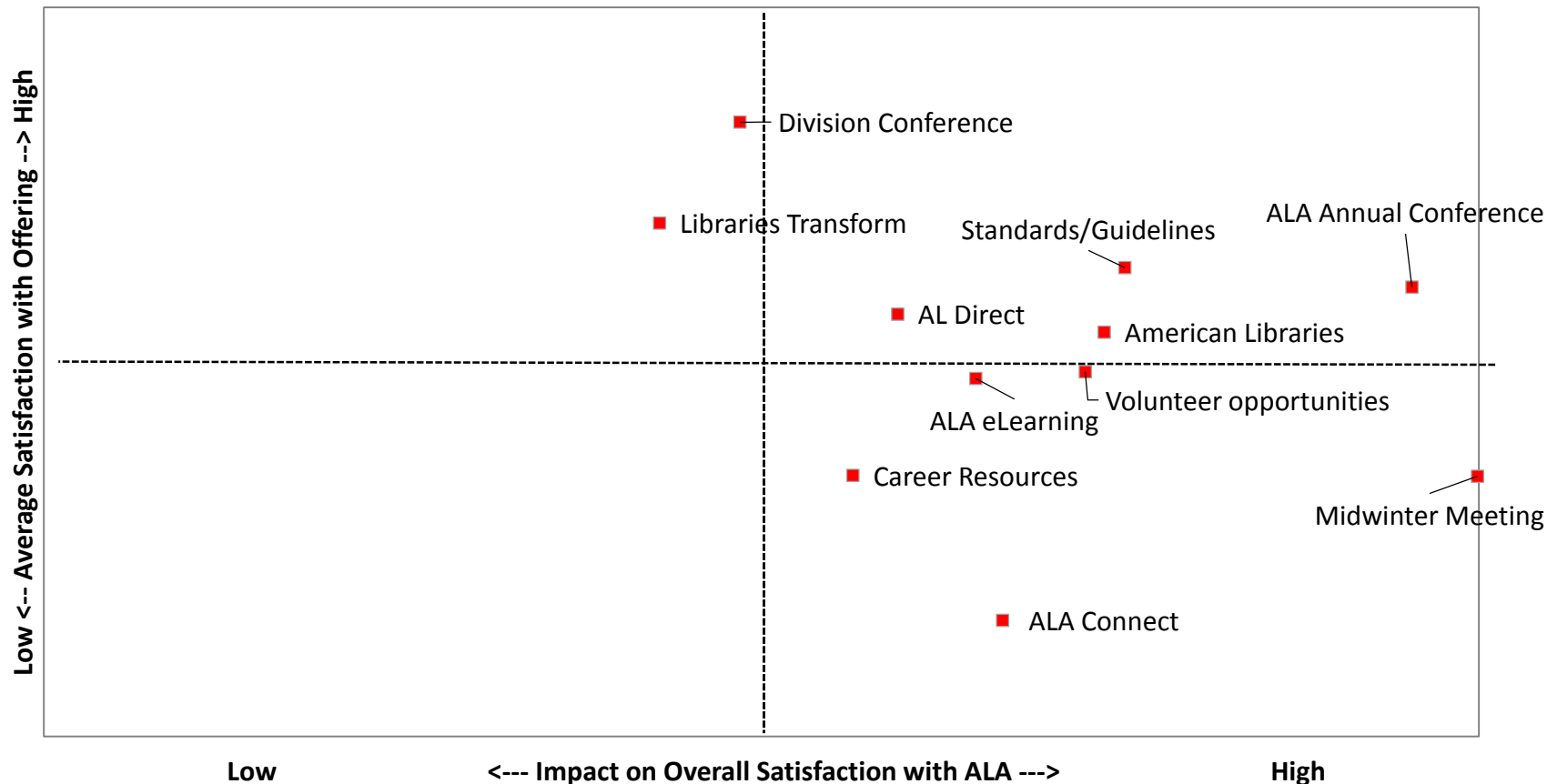
Connectedness to ALA

34% of members feel connected to ALA, 20% feel disconnected and 46% are neutral.

- Long-term members have a stronger sense of connectedness to ALA than their peers.

- Newer members (5 years or less) are more likely to feel disconnected.

Connectedness to ALA (continued)

Members indicated that the top ways they feel connected or would feel more connected to ALA are...

- Meeting other librarians and library workers (36%)

- Learning new things from ALA educational offerings (33%)

- Collaborating with peers (31%)

- Meeting colleagues/peers at events (31%)

ALA is described as informative and relevant but also expensive and bureaucratic.

Positive Attributes

Negative Attributes

Informative
(60%)

Expensive
(43%)

Relevant (33%)

Bureaucratic
(34%)

ALA Brand

Authoritative
(25%)

Exclusionary
(13%)

Collaborative
(25%)

Formal
(12%)

Engaged (25%)

Self-Serving
(11%)

Supportive
(24%)

Disconnected
(10%)
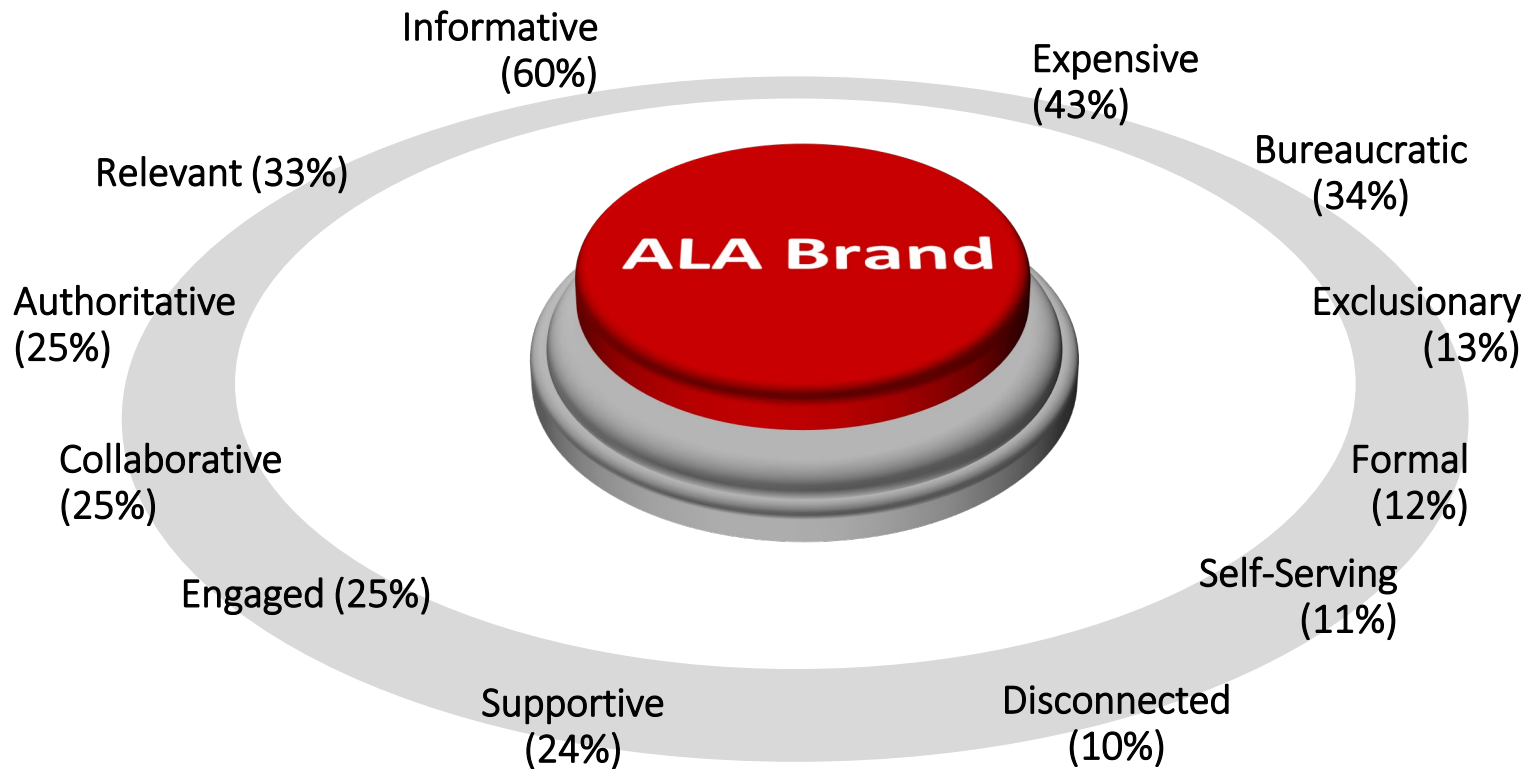
Non-Member Survey Respondents

The majority of former members did not make it past the three-year mark of membership (62%).

A misalignment between dues and value is the number one reason some library professionals are not members of ALA.

Just one in five non-members say they are likely (15%) or extremely likely (5%) to join ALA in the next year.

Keeping up-to-date is library professionals' number one challenge.

Professional Challenges	Percent
Keeping up-to-date with new trends and developments in the field	**41%**
Dealing with budget constraints	37%
Personal considerations (e.g., work/life balance, family commitments)	30%
Expanding my knowledge/level of expertise	29%
Finding a job or making a job change	23%

ALA effectively helps library professionals address some of the challenges they face.

How Well Do You Feel ALA Addresses Each of These Issues?	Bottom-two box (Not well + Not well at all)	Top-two box (Well + Very Well)	Unsure
Keeping up-to-date with new trends and developments in the field	4%	**72%**	6%
Expanding my knowledge/level of expertise	10%	**51%**	12%
Expanding my network/connections with other library professionals	17%	**40%**	12%
Finding a job or making a job change	**30%**	20%	19%
Dealing with budget constraints	**32%**	17%	22%
Personal considerations	**40%**	6%	35%

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Next Steps - Recommendations

Recommendations

- Develop a wide range of volunteer opportunities and emphasize the benefits of these opportunities on the volunteer and on the profession.

- Diversify communications to members and prospects about the opportunities at ALA.

- Demonstrate the value of paid ALA resources over free alternatives.

- Increase awareness of ALA's advocacy-related successes. Make it easier for members to become involved in advocacy issues.

- Guide members to ALA's educational and professional development offerings that best fit their career stage, topical interests and formatting preferences.

- Use this research to further evaluate ALA's portfolio of programs, products and services. Guide members to the offerings that best address their needs.

- Highlight how ALA membership can save members time and money in the short- and long-term.

Sheri Jacobs, FASAE, CAE, President & CEO

Trevor Schlusemann, CIPP/E, Vice President, Market Research and Analytics

Nick Fernandes, Senior Director, Marketing Research

Matt Cavers, Senior Market Research Analyst

Emily Thomas, Market Research Analyst

Greer Faber, Marketing Assistant

Prepared by Avenue M Group

EBD #12.31

2019-2020

TO: ALA Executive Board

RE: Steering Committee on Organizational Effectiveness (SCOE)

Action Requested/Information/Report:
Update on activities of SCOE

Draft Motion:
No motion proposed – informational only

Date: January 28, 2020

Requested by: Lessa Kanani'opua Pelayo-Lozada, Chair, SCOE

Background:

The Steering Committee on Organizational Effectiveness (SCOE) is pleased to present an update of its activities.

Forward Together Report

After the board convened in October for its Fall meeting, _Forward Together_ was shared with members in mid-November on ALA Connect. Since mid-December, the report can also be viewed on the _Forward Together_ website (forwardtogether.ala.org). Other than the timeline, the report itself has not significantly changed. Attached is an executive summary of the report for reference.

Committee on Organizations (COO) and Constitution & Bylaws Committee (C&B)

The Board approved _Forward Together_ to be further analyzed by COO and C&B. This analysis is to include a determination of what areas of the Constitution and Bylaws and the structure of the organization will be affected by the recommendations in the report. An update will provided to the board at its spring meeting.

Eli Mina, ALA Parliamentarian, conducted a review of ALA's Bylaws. His report is attached.

New Committee

In Spring 2020 a new committee(s) of members and staff will be established and appointed to carry on the work of SCOE and _Forward Together_. This work will include testing and piloting certain parts of the model and evaluating its success as well as more in depth analyses of it's potential impacts on members and the organization.

Timeline and Framework

SCOE is developing preliminary timelines and frameworks for each part of _Forward Together_. This information will be passed along to the new group.

Executive Summary

The Steering Committee on Organizational Effectiveness (SCOE) is proud to present *Forward Together* which aims to create a vibrant and effective organization that supports libraries and library workers. Relying on input from thousands of members and data about ALA membership and finances, SCOE has worked since early 2018 to develop and refine a package of recommendations to members. *Forward Together* aligns with the streams of change already underway within ALA related to finances, real estate holdings, technology and staffing.

Forward Together proposes this once-in-a-century opportunity to modernize the governance structure—not through incremental tweaks, but through evidence-based structures for improved member engagement and effective governance. This will help lower barriers to member engagement, increase individual member impact, and widen the pool of potential leaders.

Board of Directors

The Executive Board will be known as the Board of Directors and will be directly elected by members with five appointed positions to fill in gaps of diversity left by the election process. The name change is intended to reset expectations of the Board. The Board envisioned here is accountable directly to the membership and will receive critical, ongoing input from general members and assemblies of leaders.

6 Standing Committees of the Board

The proposed ALA Standing Committees are: 1. Finance and Audit 2. Nominating 3. Leadership Development 4. Association Policy 5. Public Policy and Advocacy 6. Social Justice.

The functions of the 187 member Council will be replaced with these six standing committees, which each will have direct input to the Board. ALA Members will elect two-thirds of the leaders on these committees and the Board of Directors, and Nominating and Leadership Development Committees will appoint one-third of the member leaders to ensure the best skills, experiences and diversity involved with governance of such a large and complex organization.

Leadership Assemblies

The functions of leadership assemblies build upon the strengths of current groups like ALA Council, the Chapter Leaders Forum, and the Round Table Coordinating Assembly by maintaining a place for discussion and influence, by opening membership to wider representation, and by creating a direct path to recommending change. The groups of each assembly, while directly participating in ALA's governance, also can facilitate information sharing, partnership building, and networking between each other, and, ultimately, between the assemblies themselves.

Member Engagement Opportunities

Communities of Interest, Working Groups, and Advisory Groups all serve as avenues for meaningful and influential engagement in ALA. Once Forward Together is approved by ALA members, a reconstitution phase is proposed to get to the new member engagement structure: All ALA and Council committees will have one year to reconstitute as an advisory group, working group, round table, or community of interest

Divisions

Forward Together imagines divisions that collaborate with each other and with the rest of the association to build on the enriching experience members have in their division home as well as the expertise division members hold. A direct line of influence to the Board of Directors will exist through the Division Leadership Assembly. Several recommendations have been made for divisions:

● A regular review of each division in consultation with the ALA executive director. Potential mergers within the divisions may occur, including one merger already underway between LLAMA, ALCTS, and LITA to create one new proposed division, CORE: Leadership, Infrastructure, Futures.

● A review of the "Operating Agreement" in relationship to the Forward Together recommendations. This review may include but is not limited to a review of bylaws, dues, and dues structures.

● Align member engagement structures in the divisions and throughout ALA. Divisions may have, but are not required to have: advisory groups, working groups, and communities of interest. Sections can continue to exist in their current form, but it is strongly recommended that each Section consider whether they should instead be reconstituted as an advisory group, working group, or community of interest. Section elections will be administered through an online platform following best practices developed by ALA staff.

Round Tables

Like divisions, *Forward Together* imagines round tables that collaborate with each other and the rest of the association to build on the enriching experience members have as well as the expertise of their round table. Round tables will be encouraged to recommend advisory groups and working groups to the Board of Directors to help accomplish their work and bring action and influence around important issues. They will have a direct line of communication and influence with the Board of Directors through the Round Table Leadership Assembly and will be looked to for their expertise and advice around issues important to them. A number of recommendations have been made for round tables to focus on the programming and member driven aspects of the groups and are already being reviewed by the Round Table Effectiveness Committee including:

● Replace individual round table bylaws and create a shared policies and procedures document. This will help identify the relationship and fiscal responsibility of round tables with members and leaders, helping them understand the symbiotic relationship between round tables and all of ALA.

● Work with the Membership Office and Membership Committee to align dues and dues structures across ALA so that discounted rate opportunities for special categories are consistent across the association.

● Increase the minimum number of dues-paying members needed to create a round table to one percent of ALA's membership unless identified as a strategic priority by the Board of Directors.

Overall members seek a modern ALA that is the voice for libraries and librarianship into the future. The financial realities and advocacy needs faced by libraries demands ALA members to be bold. Share the excitement in moving ALA *Forward Together*. We invite you to review the full report that details the input and refinement process, background information, rationale for recommendations, and some of the most important data reviewed related to membership trends and dues, ALA finances and streams of change.

ALA Bylaw Revision: Goals and Principles   Prepared By Eli Mina PRP 12/2019

1. Association Bylaws in General (Positive versus Negative Traits)

Association Bylaws should:
- Provide an appropriate balance between individual and organizational rights;
- Provide an appropriate balance between unit rights and organizational rights;
- Advance knowledge-intensive governance that values and engages relevant input;
- Have a logical flow, thereby making it easy to locate significant provisions;
- Be easy to understand, increasing usage of plain language over complex legal terminology;
- Be sensible and natural to embrace **willingly**, thereby becoming more enforceable;
- Be concise, clear and brief, and contain no more than the essential information;
- Conform with all relevant legislative provisions;
- Help ALA earn the respect and trust of the Library Community and the General Public.

Association Bylaws should not:
- Be overly-prescriptive, constraining, oppressive, inflexible, and difficult to adhere to;
- Inadvertently slow things down and prevent or impede efficient and effective governance;
- Contain vague, esoteric, overly legalistic, ambiguous provisions;
- Contain provisions that are senseless and unreasonable to follow;
- Fail to balance rights and entitlements of individuals and units versus organizational rights;
- Be confusing and poorly organized, therefore making it hard to locate relevant provisions;
- Contain contradictions and inconsistencies;
- Contain formalities that slow things down, without producing benefits;
- Contain language that can place an organization at increased levels of risk.

2. Weaknesses in the Current ALA Governing Documents

Having worked with ALA's Constitution and Bylaws since 2002, I have these observations:

- As the current governing documents have been in place for several decades, they are quite outdated and do not reflect contemporary governance discipline and practices. As an example, instead of setting governance structures that promote a knowledge-based organization, these governing documents seem to focus more on rights and entitlements.

- The current documents are far too detailed and prescriptive. My experience with numerous organizations has shown me that it is futile to attempt to anticipate all eventualities and then prescribe how each of them would be tackled. What this complex task requires is a nimble drafting style and a focus on the best ways to deliver ALA's mandate.

- The current governing documents entrench a complex and unwieldy structure. They firmly establish numerous silos within the Association and make it clumsy and awkward to move forward, especially in fast changing realities that ALA Membership and Society face.

ALA Bylaw Revision: Goals and Principles   Prepared By Eli Mina PRP 12/2019

3. Bylaw Revision Process

Recently the Steering Committee on Organizational Effectiveness (SCOE) developed and proposed substantial structural changes for ALA. These changes are intended to make ALA more efficient, nimble and responsive to the needs of its Membership and Society. These changes need to be reflected in ALA's governing documents, or its Constitution and Bylaws. Here are my suggestions regarding the re-drafting process:

- Given the substantial scope and magnitude of the changes that SCOE has proposed, I believe **a total re-write** would be the most effective and efficient approach to this task. Piecemeal amendments will likely make the assignment tedious and ineffective.

- ALA now has two core governing documents that define it: Constitution and Bylaws. Unless there is a specific legal requirement to have two separate documents, the two should be combined into one (**Bylaws**), with only one amending formula instead of two.

- Having assisted several organizations in re-structuring, my most important observation is that `***The devil is in the details***.' SCOE defined ALA's re-structuring with a high level intent of simplifying the Association and making it more efficient, cost effective, nimble and responsive, and having greater capacity to deliver its important mandate. However, I have often witnessed good intentions followed by tough discussions at the detail level, as well as inadvertent yet significant errors that becoming apparent later on.

- Given the above observations, the Revision process will benefit from these suggestions:

    o   Engaging professionals, possibly including a professional writer, as well as ALA's Legal Counsel and a Parliamentarian, to achieve concise and clear documents.

    o   Engaging a Committee at the oversight level, to ask questions like:

    a. How easy are SCOE's proposed changes to implement? Are changes needed?
    b. How will certain structural changes fit within ALA's practical realities?
    c. What must happen to make desirable but challenging changes possible?
    d. At what pace should ALA shift from the current structure to the new one?
    e. How should strong selection, orientation and evaluation processes supplement the Bylaws and help achieve judicious and responsible governance?
    f. Where would policies fit in the context of developing a new set of Bylaws?

    o   Engaging the ALA Executive Board, Council, and ALA Units in discussions of the fine and delicate aspects that will benefit from their feedback.

    o   Allowing enough time for a few drafts to evolve before the revision is put to TWO Council votes and then a Membership vote. By investing the needed time while proceeding in a disciplined and professional manner, the Association will achieve stronger and better governing documents as well as better governance structures.

ACRL Net Asset Balance Projections

Legend: Mandated Reserve · Current Spending · 95% · 90% · 85%
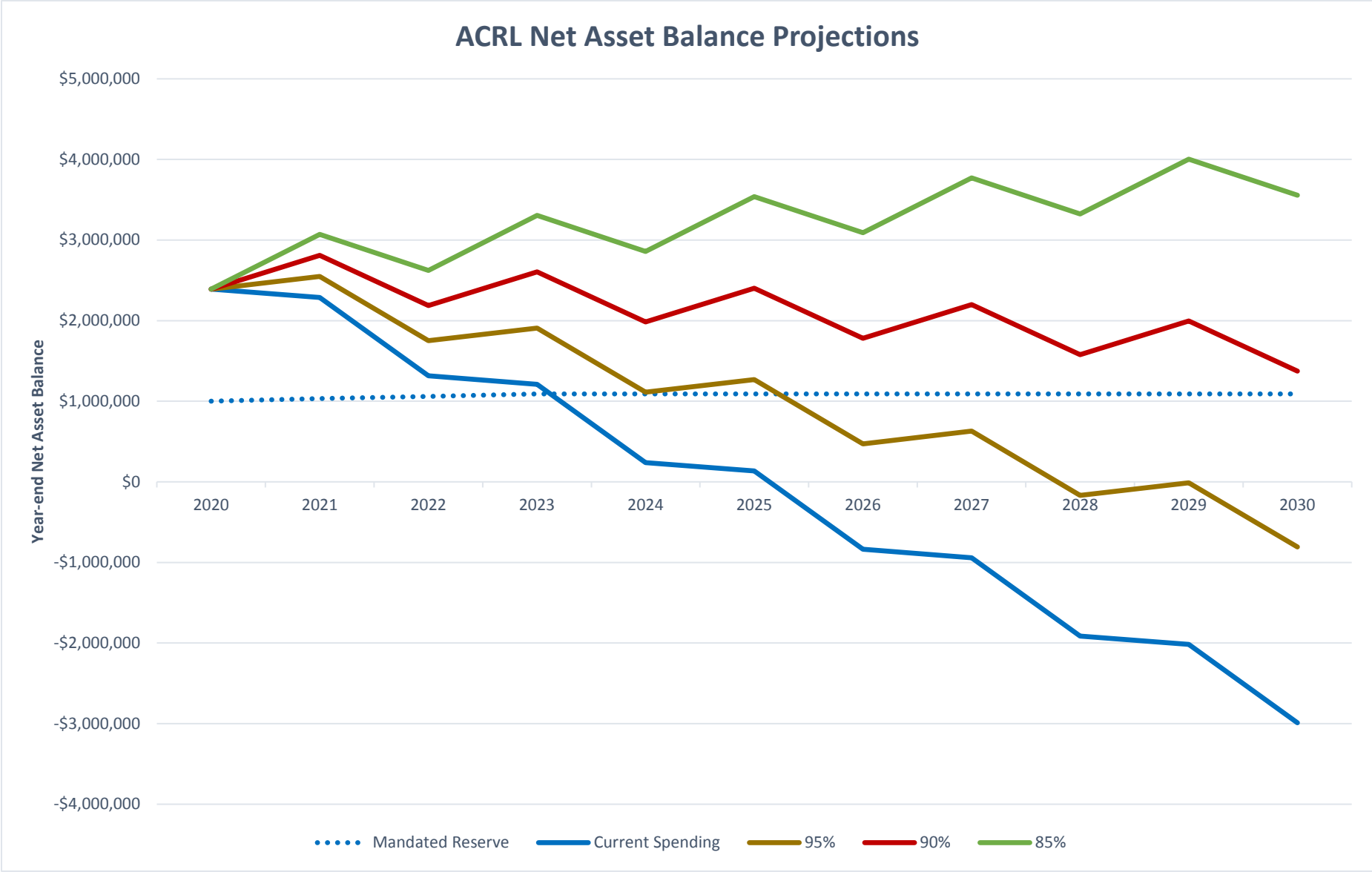
The above chart shows ACRL's projected net asset balance for scenarios including spending at FY19 levels in odd years and FY20 budgeted levels in even years. The chart demonstrates the effect of reducing spending by 5%, 10%, and 15% of those spending levels. Projected revenue for even/odd years was based on an average of the last four even/odd years of actual revenue. The mandated reserve ACRL has set (25% of the average of the last four year's expenses) shows the mandated reserve level for FY20.

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American Library Association
Short-term Investments
FY 2016 through November 30, 2019

$16,000,000	
$14,000,000	
$12,000,000	
$10,000,000	
$8,000,000	
$6,000,000	
$4,000,000	
$2,000,000	
$0	

FY 2016	FY 2017	FY 2018	FY 2019	November 30, 2019
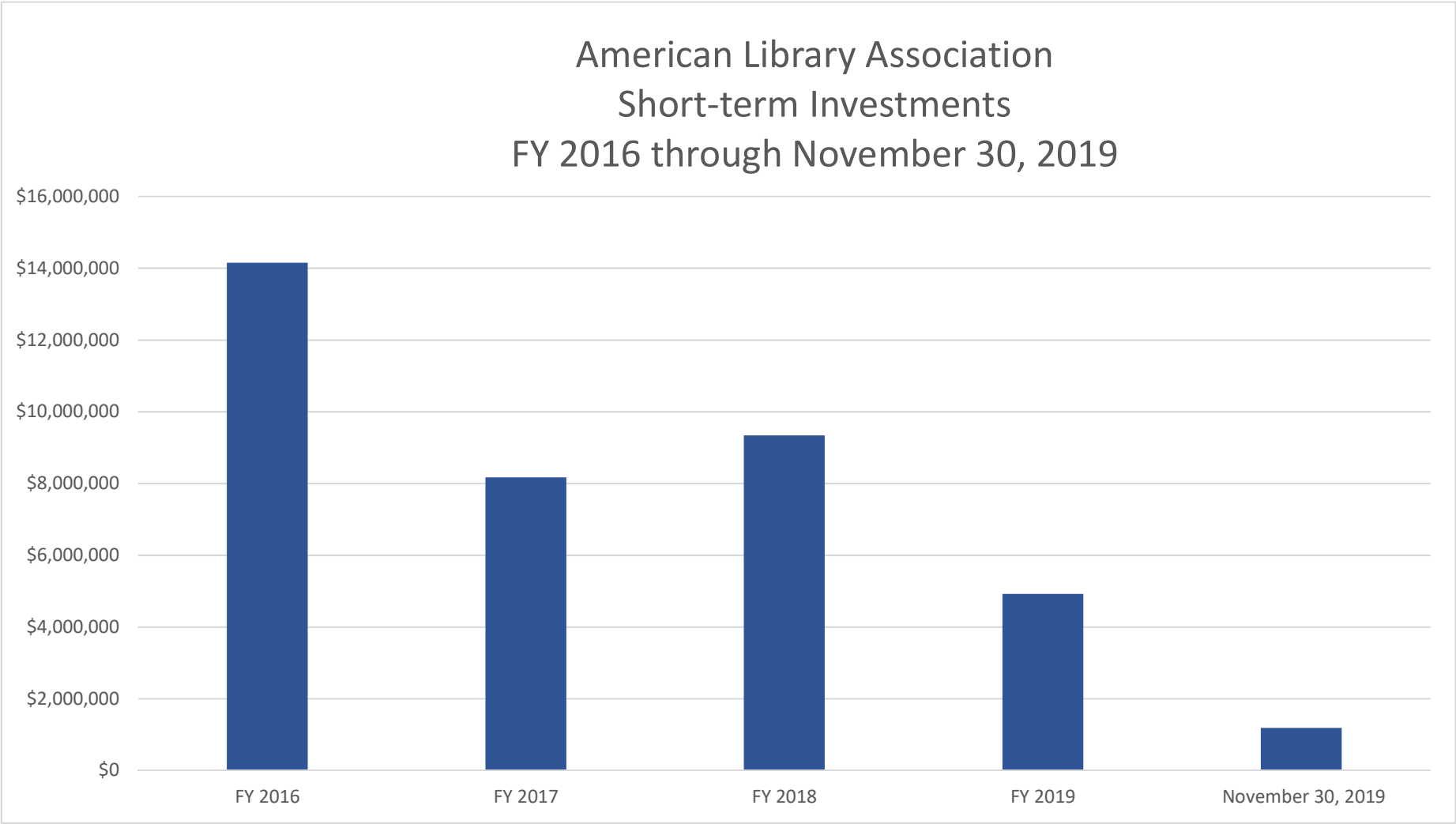
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January 14, 2020

Wanda Brown
President, American Library Association

Dear Wanda,

The Boards of Directors of ACRL and PLA are writing in response to recommendations contained in SCOE's *Forward Together* report. We thank and commend SCOE for its thoughtful work on long-standing and complex issues. We agree that change is needed and that ALA is not nimble and can seem confusing. Additionally, ALA's serious financial challenges demand strategic thinking, a willingness to make difficult decisions, and an on-going commitment to transparency as modelled by SCOE. SCOE chair Lessa Pelayo-Lozada has been phenomenal in leading the committee; seeking input across the association; and responding quickly and thoroughly. We are writing, however, to share our concern that conscientious members cannot support the proposal without a clear understanding how such changes would be implemented.

Our successes as divisions rest in the commitment and generosity of our members. Division members (who represent 60% of ALA members) engage with us to develop new programs, initiatives, and resources for the field. Our members, by the thousands, have contributed their time, their expertise, and their dollars, toward creating and supporting resources for the field. They have put their trust in us to ensure we continue to strategically and successfully invest in programs that will strengthen libraries and library staff. We are writing as stewards of our members' trust.

While we are interested in all facets of the SCOE recommendations, our focus here relates to SCOE recommendations that most directly impact divisions. SCOE recommendations for the ALA Board, standing committees, and leadership assemblies are specific in spelling out composition, charges, and authority. SCOE's recommendations related to divisions are less so.

From Forward Together, we note the following (page 20, italics added for emphasis):

"A review of the "Operating Agreement" in relationship to the Forward Together recommendations. This review may include **but is not limited to** a review of bylaws, dues, and dues structures. Within this larger umbrella of the Operating Agreement are several recommendations:

○ Replace individual division bylaws with a shared policies and procedures document. This will help define the relationship and fiscal responsibility of divisions, helping members understand the symbiotic relationship between divisions and the rest of ALA.

○ With assistance from the Membership Office and the Membership Committee, align dues and dues structures across the divisions. This makes the process easier for members to join divisions and helps members understand how dues are spent. It is recommended to explore the rate of $70 for each division from the preliminary fiscal analysis models. This would have the least fiscal impact overall and is

only a recommendation for the Membership Office and Committee to further explore and test this model.

    ○ Schedule a regular review of the Operating Agreement.

    ○ ***A process and timeline for the above recommendations is to be determined in consultation with the divisions and the executive director."***

Our Response

1. The ALA Operating Agreement (pages 23-37) defines ALA policy related to divisions including governance, standards and programs, and financial relationships. ***The OA has not been fully reviewed for 30 years.*** We agree it is long past time to do so; that regular reviews going forward are essential; and that the review process requires trust to be successful. We also note that the last time the OA was approved extensive, regular reviews were written into policy (see ALA Policy Manual A.4.3.4.4 Purpose, Scope, Implementation, Review Process, and Definitions) but this has not happened. How will the current recommendation be different to ensure regular reviews occur? Any major revision to the OA, as with changes to bylaws, will have major impacts on division autonomy and function.

2. The description of the review process, "This review may include ***but is not limited to*** a review of bylaws, dues, and dues structures," is so vague that conscientious members would have no idea of what they were voting to support in the SCOE recommendations. A clear timeline, process, and specific stakeholder group must be developed and defined before division members can act knowledgeably. We recognize that SCOE is in the process of charging an implementation team to do a closer review. This work must be completed before Council and membership votes take place and ALA's new Executive Director should have the opportunity to weigh in.

3. Divisions have the knowledge and commitment and want to help address how to update the OA. Division members should have a seat at the table in these discussions and decisions.

4. Related to SCOE's recommendation to align dues across the divisions, division staff have for years offered to move to one dues rate to ease internal complexity. Divisions were told doing so would not be helpful in resolving IT complexity issues; that the ALA tiered structure (1st, 2nd, 3rd year memberships) needed to be resolved first and was the larger issue. We agree with SCOE; standardized dues should be explored, coupled with a mechanism for regular dues increases.

5. SCOE recommends the elimination of Council. Per Article VI of the ALA Bylaws, the Council is the authorizing body for the divisions. How/who will make bylaw changes in the short run given the proposed elimination of Council? We believe revised bylaws should be developed and shared prior to any vote so that the division members understand the impact on their work.

Conclusion

Beyond SCOE's focus on ALA's complexity, there are several factors contributing to member confusion and uncertainty that impact how SCOE recommendations are received. These include: uncertainty about the "new Midwinter;" the lengthy timeframe for hiring and onboarding a new ALA ED; the sale of the ALA HQ and perceived loss of a real estate asset; the move to leasing space and uncertainty about future costs; continuing lack of capacity in IT; a lack of clear business rules applied consistently across the entire organization; the inability of ALA to provide mechanisms for targeted communication and accessible platforms for member engagement; and overall concern about ALA's serious financial situation.

Since ALA will have a new Executive Director in place soon, time should be allowed for the ED to review, assess, and identify what changes s/he would support to the Operating Agreement and bylaws in consultation with division staff and member leaders. Until then, and until we have the ancillary draft documents that show more specifically how the recommendations would be implemented for divisions, as well as a better understanding of ALA's financial picture, we cannot take a position on SCOE's recommendations. We realize much of this goes beyond SCOE's scope and believe that senior ALA leaders and staff can, and should, begin to address this missing material immediately and transparently. ALA finances must be included in the context of these discussions. We need a clear understanding of the financial implications and the financial sustainability of the new model as well as a clear understanding of the role of divisions within ALA.

We again want to take this opportunity to thank you for your hard work, passion, and vision for a new ALA. We look forward to working with you to draft the new authorizing documents for ALA.

Respectfully,

ACRL Board, Karen Munro, President

PLA Board, Ramiro Salazar, President

Cc: Lessa Pelayo-Lozada, Chair, SCOE

        Mary Ellen Davis, ACRL Executive Director

        Barb Macikas, PLA Executive Director

        Mary Ghikas, ALA Executive Director

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TO: ALA Executive Board

RE: Proposed return on investment (ROI) metrics

ACTION REQUESTED/INFORMATION/REPORT:
To adopt the proposed Strategic Framework for Return on Investment Metrics Associated with the American Library Association's 2019, 2020, and 2021 Investment Budgets

ACTION REQUESTED BY:
Budget Analysis and Review Committee (BARC)

CONTACT PERSON:
Peter Hepburn, chair
773.426.8082
peter.hepburn@canyons.edu

DRAFT OF MOTION:
BARC moves adoption of the Strategic Framework for Return on Investment Metrics Associated with the American Library Association's 2019, 2020, and 2021 Investment Budgets.

DATE: January 6, 2020

BACKGROUND:
In spring 2019, BARC members Brett Bonfield and Steve Potter undertook work on behalf of the committee to develop a framework for a set of metrics for use by the association in measuring the return on the investment made in three key areas: advocacy, development, and IT. In view of the decision to spend in these critical areas, BARC agreed that it would be valuable for there to be metrics in place by which the success of the investments could be determined.

In the months that followed, the two worked with then-CFO Mark Leon, other ALA staff, and with member-leaders to shape the framework. BARC members then had the opportunity to review the framework document, and in early autumn 2019, the document was shared with key ALA staff who were, in turn, invited to provide feedback.

At its fall meeting in Chicago, BARC discussed and moved approval of a final draft of the framework (EDB/BARC #3.12 as attached). The action taken by BARC places the strategic framework for ROI metrics before the ALA Executive Board for its approval.

ATTACHMENTS:
EBD/BARC #3.12 (Fall 2019 joint BARC/F&A meeting)

Budget Analysis and Review Committee
**Proposed Strategic Framework for Return on Investment Metrics Associated with the
American Library Association's 2019, 2020, and 2021 Investment Budgets**
Last Updated: July 11, 2019

Share your ideas within this document [https://is.gd/ALAInvestmentBudgetMetrics] or email:
Steven V. Potter, Library Director and Chief Executive Officer, Mid-Continent Public Library
Brett Bonfield, Chief Operating Officer, Public Library of Cincinnati and Hamilton County

A Modern Association for a Modern Profession
Revenue from ALA's primary sources—membership, publishing, and conferences—has been flat
or declined for a decade or more. Even in years when revenues did not decrease, the
association experienced operating losses. Efforts to reduce expenses in order to balance our
budgets ultimately exacerbated problems by harming operations and thwarting innovation.

These trends inspired multiple questions, including:
- Which ALA activities and assets can help to support our financial sustainability?
- What capabilities, skills, and staff would address our information technology needs?
- What membership models would enable us to serve our members sustainably?
- How can we improve ALA's governance and organizational structure?

ALA created a dual strategy in order to meet our members' need for a sustainable organization:
- Improve our capabilities by investing in IT, Advocacy, and Development.
- Streamline the organizational structure to focus resources on mission and growth.

ALA launched this strategy in budget year 2019 and planned investment budgets for each of the
subsequent two years. In order to evaluate whether these investment budgets serve ALA
members' needs and satisfy their expectations, BARC proposed a Strategic Framework that
focuses on Return on Investment (ROI). The Framework consists of 3-5 metrics per area, along
with overall measurements that help to indicate the strength or "health" of the organization.

In preparing the Strategic Framework, BARC established the following guiding principles:
- The measures should indicate ALA's strengths, and should make sense to ALA members
  who are not familiar with advocacy, philanthropy, or IT.
- The outcomes implied by the measures should be meaningfully associated with
  increased membership renewals, engagement, satisfaction, and operational stability.
- The measures should be developed in cooperation with ALA staff, should not require a
  great deal of staff members' time to collect, analyze, or communicate, and should be

evaluated by ALA staff members and BARC on a semiannual basis as part of BARC's regularly scheduled meetings. These evaluations should include:

- o Determining the burden of collecting data and preparing the reports
- o Assessing the ROI measures' ongoing validity as a proxy for beneficial outcomes
- o Analyzing the trends that are indicated within the metrics

Proposed timeline for approval and implementation of the Strategic Framework

- ALA Annual 2019: Introduce the proposed Strategic Framework and solicit feedback.
- By July 30, 2019: BARC will share the revised plan with ALA staff members in Development, IT, the Washington Office, Finance, and Membership, as well as the Association and Division Executive Directors and Fiscal Officers.
- By September 13, 2019: ALA staff will share feedback. BARC will be available to hear concerns, answer questions, and negotiate language during this evaluation period.
- By October 20, 2019: BARC will recommend the Strategic Framework to the ALA Executive Board.
- The first report will be introduced at Midwinter 2020, with semiannual updates corresponding to ALA's two membership conferences. The report should be shared directly with BARC and posted on the Treasurer's section of the ALA website.

Strategic Framework
- Development (2-4 quantitative measures; 1-2 qualitative or narrative measures; no more than 5 measures in total). Suggestions:
    - o A decade or more of year-over-year totals of donors and dollars raised
    - o A decade or more of year-over-year totals of major and planned gifts
    - o Board participation rates (percentage of elected board members across the association who donate to ALA each year)
    - o Where is ALA within your charitable priorities? (annual membership survey)
    - o Narrative explanation of cultivation plan, including visits and efforts
- Advocacy (2-4 quantitative measures; 1-2 qualitative or narrative measures; no more than 5 measures in total). Suggestions:
    - o Measure of satisfaction with advocacy efforts (annual membership survey)
    - o Member and non-member participation rates in advocacy campaigns
    - o Advocacy Effectiveness Dashboard (like "IT Health Scorecard") (review semi-annually)
- IT (2-4 quantitative measures; 1-2 qualitative or narrative measures; no more than 5 measures in total). Suggestions:
    - o Year-over-year Membership perceptions of ALA interfaces (website, Connect) (annual membership survey)
    - o Staff perceptions of IT (e.g. infrastructure, services) (semi-annual staff survey)
    - o Create and self-assess "IT Health Scorecard" (e.g. downtime, average time to close tickets, completed projects) (review semi-annually)
- Overall measures of Investment Plan effectiveness (2-4 quantitative measures; 1-2 qualitative or narrative measures; no more than 5 measures in total). Suggestions:
    - o [Net Promoter Score](#) (annual membership survey)
    - o A decade or more of year-over-year totals of voting rates in ALA elections

- o A decade or more of year-over-year ALA membership totals
- o ALA member-to-staff ratio
- o Student membership retention and conversion rate

ALA Information Technology

Strategy & Project Summary of Operating and Capital Investments

ALA Mid Winter Meeting – January 2020

FY20-FY24

Jim Gibson, ALA Interim CIO

Sherri Vanyek, Director, IT

ALA American Library Association

DelCor IT Summary

The goals of the ITMM report conducted in late 2018 were to provide insight on 4 key areas with progress to date from the start of the interim CIO on February 5, 2019 and are on the following slides:

- Network Infrastructure

- Data Management

- Digital Presence

- Technology Management

ITMM Recommendations Progress

Infrastructure Management Progress since August 2019:

- ALA will proceed with the plan of *temporarily* co-locating the existing servers at an off-site data center.

- The office move plan and budget is currently being re-worked.

- ALA will decommission the legacy services Novell and Windows 2008 environments.

- A total laptop refresh was completed by December 2019.

- Knowbe4 Security training was rolled out annually to all ALA staff.

- The Security Audit was completed and the two most vulnerable servers were removed.

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ITMM Recommendations Progress

Data Management Progress since August 2019:

- The Salesforce Pilot went live in July 2019 for Advocacy and August 2019 for Development.

- IT staffing for a User Experience Manager was completed in October of 2019 and a DBA position has been posted and interviews are in progress.

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ITMM Recommendations Progress

Digital Management Progress since August 2019:

- The digital asset audit was completed in April of 2019. Final count: 265 digital properties (excludes ALA Connect, email marketing, social media).

- A decrease in the digital footprint of 30% was achieved by December 2019.

- Archiving protocols around decommissioning sites were revisited and reinforced.

- A user's group for staff content editors has been established.

Next Steps:
✓Establish Accessibility and Analytics standards
✓Revisit intake process when creating new properties
✓Start work on Content & Digital Strategies

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ITMM Recommendations Progress

Technology Management Progress since August 2019:

- An interim CIO is in place until April 2020 from DelCor and a permanent role is in the investment budget for FY21.

- A new IT organizational structure has been finalized.

- The IT Ticket Tracking System has been upgraded as of October 2019.

- A weekly high-level project portfolio and scorecard have been created.

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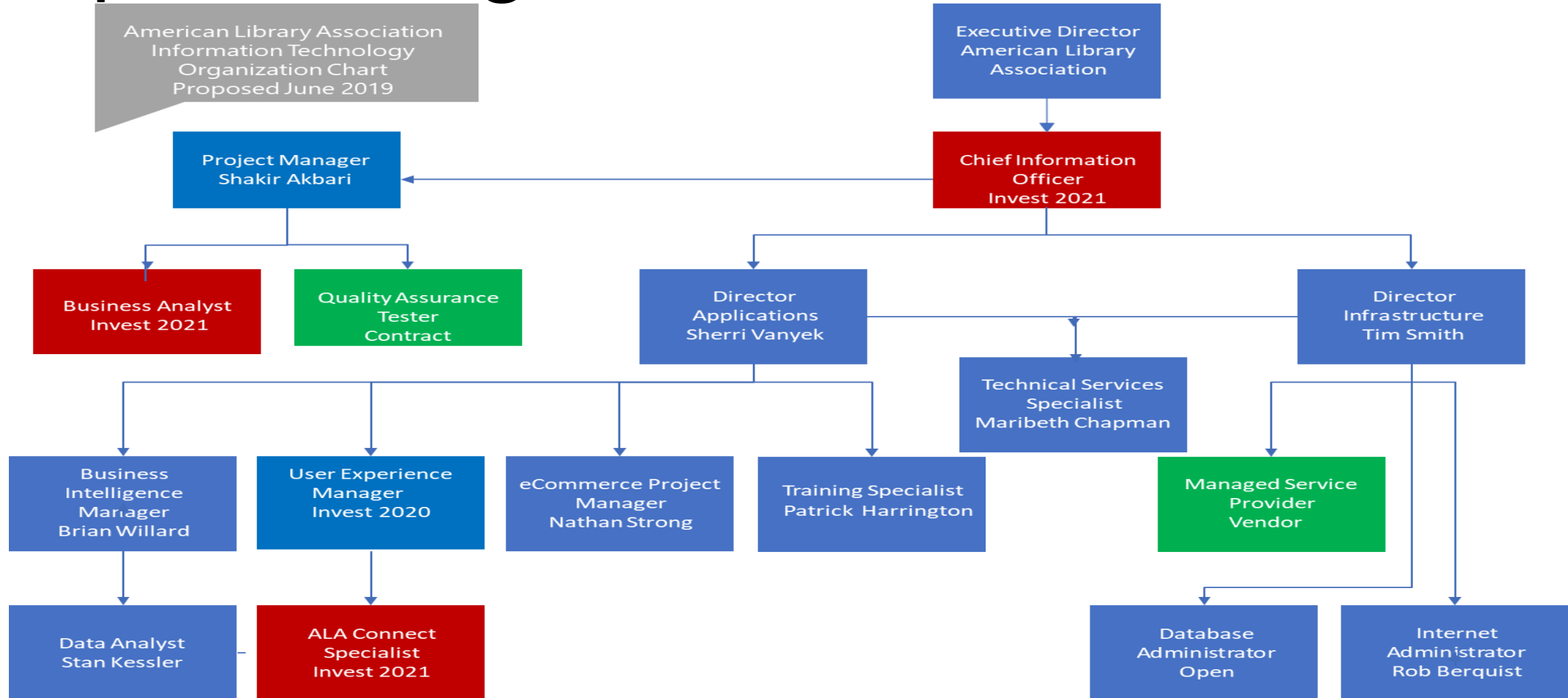
Proposed IT Org Chart

IT Current Project Portfolio

ALA Technology Project Portfolio

Project	Project Objective	Category
Volunteer Management (Connect module) - Requirements Gathering	Ability to appoint volunteers to commitees, track appliciations, and maintain historical records	Engagement
Finance – Cash Based Reporting	Ability to forecast cash flows. Manage actual cash inflows and relate to accrual inflows	Workforce Agility
Finance – Great Plaines Upgrade	Great Plaines upgraded to latest version, is hosted in the cloud, is accessible from off the ALA network. Reduces our need for remote access software.	Workforce Agility
AirTable Pilot Program	Define use cases, determine how Airtable can support, productize repeated workflows	Workforce Agility
SalesForce Phase 2	Add additional tracking for Advocacy, Development, and explore other areas to benefit from the software. Enhanced ability to mobilize members on Advocacy issues. Reduces member touch points for Fundraising. Improves the ability to track relationships for Advocacy and Fundraising initiatives. Increase fund raising revenue by approx 2% annually.	Fundraising/Advocacy
Business Intelligence Software RFP	This will enable all units to make better decisions on real-time data. Provides the ability to collect data from multiple systems into a central location and extract comprehensive and interactive reports. Reduce labor cost by approx 1% annually (assume 50 users). Increase potential revenue by creating data products.	Business Intelligence

American Library Association

IT Sample Scorecard

Sample IT Dept Scorecard - December 2019

ALA.org Uptime Goal: 99% Uptime Actual: 100% Unique Visitors: 382,239	iMIS Uptime Goal: 99% Uptime: 100%	Connect Uptime Goal: 99% Uptime Actual: 100% Discussion Posts: 3208
ALA Store Uptime Goal: 99% Uptime Actual: 88% Unique Visitors: 39,441	Dues & Donations Uptime Goal: 99% Uptime Actual: 100% Unique Visitors: 9,982	Salesforce Uptime Goal: 99% Uptime Actual: 100%
Network Infrastructure Uptime Goal: 99% Uptime Actual: 100% Up for 685 days	TrackIt Tickets Opened: 265 Tickets Closed: 251	TrackIt Response Timing Critical Tickets: 1.13 hours* High Tickets: 2.24 hours*
Shibboleth Uptime Goal: 99% Uptime Actual: 100%	Network File Server Uptime Goal: 99% Uptime Actual: 100%	KnowBe4 Compliance Goal: 99% Compliance Actual: 98.1% Tests Sent / Failed: 259/5

1 - ALA Store outage 12/9/2019 to 12/13/2019

*Numbers are for Demonstrative Purposes Only

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ALA American Library Association

ALA Technology Investment FY19-FY24

FY19 – FY24 – Total Investment Budget - $5,930,500

Requested Investment Budget:

$1,360,500 FY19 operating + capital

$4,570,000 $3,793,000 operating FY20-24

$777,000 capital FY20-24

FY20-FY24 Roadmap and projects listed on next slides

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ALA Technology Roadmap FY20-FY24

	2020	2021	2022	2023	2024
Access Anywhere		Event App Review			
	Advocacy App	Internal File Migration			
Communication & Collaboration	Website Strategy		LMS RFP	LMS Implementation	
		SalesForce Phase 2	DAMS RFP	DAMS Implementation	
Personalization	ALA Connect Break/Fix	ALA Connect enhancements			
		SSO Implementation	SSO Support		
On Demand Learning		LMS RFP	LMS Implementation		
Business Intelligence		BI Implementation	BI Enhanced Dashboards	BI Enhanced Dashboards	BI Enhanced Dashboards
		BI RFP			
Workforce Agility		Finance System Cloud Migration			
	AirTable Pilot	CMS RFP	CMS Implementation		
		iMIS Assessment			
Infrastructure	IT Move	DCaaS Design	DCaaS Implementation		
			Cloud Migration	DCaaS Support	

FY20 Overview of in Progress Projects Costs

- Move to new location (separate budget) - $710,715
  - Unified Mgmt. Platform, Co-Location, Cloud, Wireless, Phones, Consulting

- CRM SalesForce implementation - $127,000 (capital has been spent)
- Single Sign-On Support - $16,000 (operating)
- Data Center Design - $63,000 (operating)

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FY20 Overview of Investment Positions

- UX Manager - *$130,000 (Started October 2019)

FY21 Overview of Investment Positions

- Chief Information Officer - *$185,000 (assume September 2020 start)

- Business Analyst - *$90,000 (assume October 2020 start)

- ALA Connect Specialist - *$90,000 (assume October 2020 start)

* Salary amounts are for a full year

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FY20-FY24 Estimated Direct Savings for IT Projects

- Data Center as a Service Project –

  Estimated savings of $50,000 in reduced cost per year in 2022 – 2024.

- Managed Service Provider –
  Estimated savings of $25,000 in reduced labor cost in FY2020.
  Estimated savings of $96,000 in reduced labor cost annually in FY21-24.

Total estimated savings of $559,000 for FY20-FY24.

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Thank you!

Jim Gibson (jgibson@delcor.com)
ALA Interim CIO

Sherri Vanyek (svanyek@ala.org)
Director, ALA IT

The ALA IT Investment Update was prepared as an Excel file for the ALA Executive Board, and can be downloaded by clicking the following link:

2020-24 IT Strategy Investment Update

EBD #12.30
2019-2020

TO: ALA Executive Board

RE: ALA Membership Report

ACTION REQUESTED/INFORMATION/REPORT:
        Information report

ACTION REQUESTED BY:
        Melissa Walling, CAE, IOM, Director, Member Relations & Services

CONTACT PERSON:
        Melissa Walling, mwalling@ala.org, ext. 2159

DRAFT OF MOTION:
        N/A

DATE: January 6, 2020

BACKGROUND:
        Report on membership dues and budget performance during the first quarter of FY20.

ATTACHMENTS:
        Report on membership dues and budget performance.

FY20 Membership Key Activities and Focus Areas
The key drivers of dues revenue are membership retention, recruitment and engagement. In the area of **membership retention**, we conducted a pilot with an outside firm to conduct personal phone calls to unpaid members prior to their membership lapsing. We contacted nearly 1,500 members who were in their final month of membership and 13.6% of them ended up renewing. We are going to do a second pilot in February before we determine whether this pilot will continue. We are also piloting sending renewal emails to our joint student members via Informz instead of Outlook which gives us behavioral analytics currently not available to us. Lastly, we are continuing our work with IT to expand installment and auto-renewal options.

With membership engagement, a new navigation menu launched on the ALA Connect website in November 2019. This new menu serves personalized features such as "join" information for non-members on the site which has started us moving in the direction of a personalized ALA Connect. Plans are also underway for a virtual membership orientation this spring to familiarize members with their benefits and how to access them. **For membership recruitment,** the APA Salary Survey as a member benefit gives us a new opportunity to contact lapsed members and prospective members to encourage them to join. As mentioned in the October board meeting, we will work closely with the Public Policy & Advocacy Office as well as other units across ALA to encourage member prospects to join the organization. Once we have marketing automation in place in 2020, we can use drip marketing campaigns to contact these prospects.

Membership Messaging
In September, a cross-functional staff group participated in a brainstorming session on membership value messaging led by Stephanie Hylwak, Director, Communications and Marketing Office. The result of this brainstorming session, combined with the results of the Avenue M study, we have a new elevator pitch and membership value proposition. These will be presented to the Member Promotions Task Force for feedback at Midwinter.

Membership Model Update
After the October board meeting, I led a discussion with the Membership Committee and the Division Executive Directors on the two new models that are under consideration (Current and Enhanced, and Two Tier). The general consensus is that we are on the right track, and there remain outstanding questions about the financial analysis and the benefit structure with this simplified model. The Membership Committee is discussing the member benefits during this committee meeting at Midwinter which will inform the financial analysis. It remains imperative that we collapse the number of ALA membership categories to align with our organizational goals and to start to minimize the complexity of IT integrations.

Individual Memberships:

We are closing the first quarter with 51,998 personal (individual) members and 57,331 total members. While this is a 1.71% decline in individual members from this time last year, a more accurate comparison is to November 2017 because of the Division conference cycle. This comparison reflects a slight decrease in individual members of 95 which means we are relatively flat. Our largest area of growth remains student members which now represent 17% of individual members.
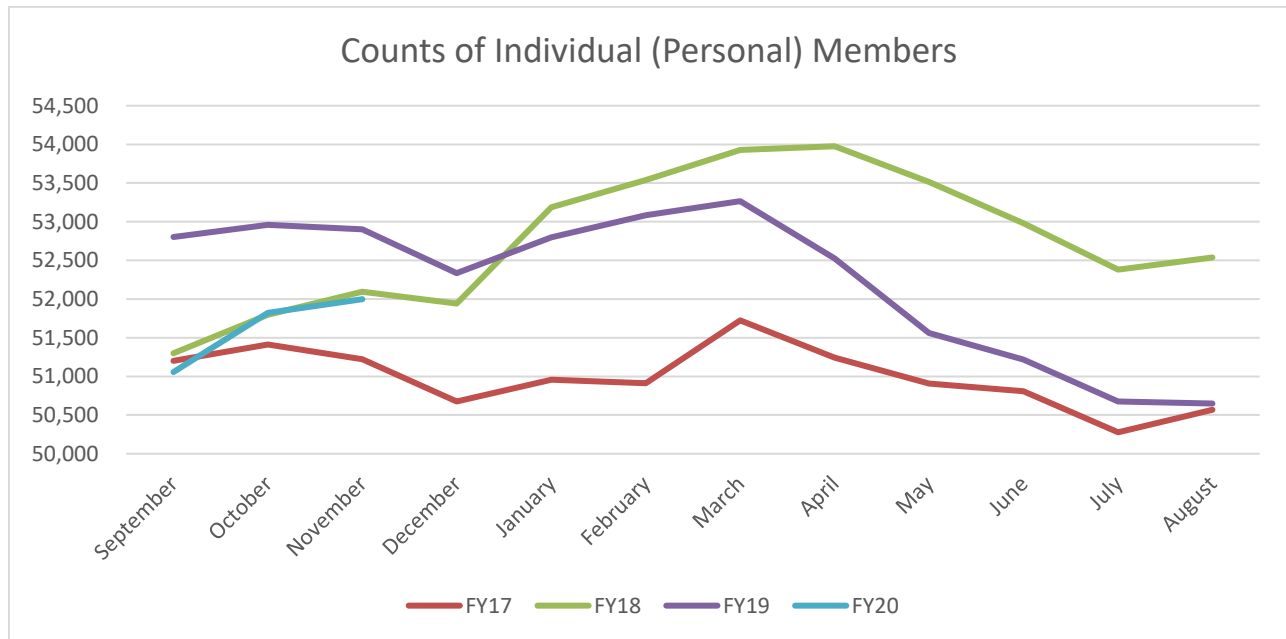
Organizational and Corporate Memberships:

In comparison to FY18, we have a 5.7% increase in organizational members and an 11% decrease in corporate members (19 members). The largest area of increase in organizational members is in our UNITED members with slight increases and decreases across the other library types. Our corporate membership decrease is primarily with our general corporate contributor membership.

Division Memberships:

At the end of the first quarter, we have 51,291 division members* which is a steady increase in division membership since the fiscal year began. We had a 0.5% increase in division membership this month, and we had five divisions with growth this month. The top three divisions with growth were PLA with 4.3%, UNITED with 2.6% and LLAMA with 0.6%.

	ALA	AASL	ACRL	ALCTS	ALSC	ASGCLA	LITA	LLAMA	PLA	RUSA	UNITED	YALSA	Total
Aug. 2019	56,049	7,290	10,157	3,072	3,950	914	2,134	3,555	7,893	2,798	4,251	4,299	50,313
Sept. 2019	56,444	7,390	10,158	3,064	3,962	897	2,109	3,577	8,261	2,778	4,244	4,307	50,747
Oct. 2019	57,038	7,454	10,147	3,050	3,962	875	2,093	3,564	8,726	2,753	4,067	4,310	51,001
Nov. 2019	57,331	7,338	10,111	3,051	3,938	875	2,100	3,584	9,098	2,750	4,171	4,275	51,291
1 Month Trend	0.5%	-1.6%	-0.4%	0.0%	-0.6%	0.0%	0.3%	0.6%	4.3%	-0.1%	2.6%	-0.8%	0.6%

Round Table Memberships:

Round Tables have also experienced growth since the beginning of the year, and we now have 18,166 round table members*. We had a 1% increase in round table membership this month with 11 of the round tables increasing in membership. The largest growth areas were EMIRET which grew by 5.2%, GNCRT by 4.9% and FMRT by 3.2%.

	ALA	EMIERT	ERT	FMRT	GAMERT	GNCRT	GODORT	IFRT	IRRT	LEARNRT	LHRT
Aug. 2019	**56,049**	954	374	664	745	788	544	1,250	1,582	417	431
Sept. 2019	**56,444**	947	373	686	739	835	537	1,234	1,551	419	424
Oct. 2019	**57,038**	943	368	682	731	875	532	1,242	1,553	421	429
Nov. 2019	**57,331**	992	362	704	732	918	531	1,236	1,548	425	436
1 Month Trend	0.5%	5.2%	-1.6%	3.2%	0.1%	4.9%	-0.2%	-0.5%	-0.3%	1.0%	1.6%

LIRT	LRRT	LSSIRT	MAGIRT	NMRT	RMRT	RRT (GLBTRT)	SRRT	SORT	SUSTRT	Total
1,784	1,311	418	266	1,426	321	1,457	1,872	188	1,141	**17,933**
1,775	1,316	411	268	1,439	313	1,447	1,890	189	1,149	**17,942**
1,783	1,319	409	267	1,441	313	1,435	1,891	191	1,170	**17,995**
1,762	1,317	408	265	1,435	321	1,463	1,916	193	1,202	**18,166**
-1.2%	-0.2%	-0.2%	-0.7%	-0.4%	2.6%	2.0%	1.3%	1.0%	2.7%	1.0%

these numbers reflect memberships, not members. This means that those who hold multiple memberships are counted in each division or round table.

TO: ALA Executive Board

RE: Discussion of Midwinter 2020 Performance, The Future of Midwinter, Site for 2028 Annual Conference

ACTION REQUESTED/INFORMATION/REPORT:
 Discussion. Approval of site for 2028 Annual Conference.

DRAFT MOTION:
The Executive Board approves Denver as the site of the 2028 ALA Annual Conference on the recommendation of ALA Management, as reviewed by the ALA Conference Committee. The 2025 January meeting previously scheduled in Denver will be moved to a different site.

ACTION REQUESTED BY:
Earla Jones – Director, Conference Services

CONTACT PERSON:
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DRAFT OF MOTION:
The Executive Board approves Denver as the site of the 2028 ALA Annual Conference on the recommendation of ALA Management, as reviewed by the ALA Conference Committee. The 2025 Midwinter Meeting previously scheduled in Denver will be moved to a different site.

DATE: 1/10/2020

BACKGROUND:

As with other parts of the Association, this is a time of significant change in Conference Services. Over the past several years, Conference Services – in collaboration with the ALA Conference Committee, the ALA Center for the Future of Libraries, or others across the Association – has been transitioning from a technical/implementation group, responsible for site organization, to a complete conference/meeting planning unit, with a significant focus on content and learning. In November 2019, Emily Day, Conference Content Manager, joined Conference Services and will provide strong content coordination and leadership.

Beginning with the 2018 ALA Annual Conference, ALA implemented a centralized content submission process, in conjunction with a tightly organized campus, to increase value for attendees. In an overlapping process, the ALA Conference Committee and ALA Conference Services began development of an alternative January event with a primary focus on professional development, but a retained capacity to support essential governance events.

Additional details are provided in the following attachments:

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ATTACHMENTS:

(1) Midwinter 2020 Performance
(2) The Future of Midwinter
(3) Annual Conference 2028

MIDWINTER 2020 PERFORMANCE
AS OF 1/10/2020

ALA 2020 Midwinter Pace Report	January 26 2 Weeks	January 11 2 Weeks	January 10 2 Weeks	Income to Date	
	2018	2019	2020		
	Denver	Seattle	Philadelphia		
ALA Members	2595	2815	1991	$	577,617.00
Other Members	483	731	458	$	64,545.00
NonMembers	186	326	138	$	59,785.00
One Day	86	115	94	$	18,679.00
Total:	3350	3987	2681		
Exhibits Only/EO Guests	589	662	871	$	30,470.00
Complimentary Regs	470	435	404		
Exhibitors	2181	1888	1716		
Total:	3240	2985	2991		
TOTAL REGISTRATIONS:	6590	6972	5672		
Total Projected Income				$	1,040,000.00
TOTAL REG INCOME				$	751,096.00
Percentage of Budget					72%
Ticketed Events					
RDA Toolkit Workshop	ALA1		17	$	1,700.00
RDA Toolkit Workshop	ALA2		29	$	2,920.00
Chapter Leaders Forum	CRO1		52	$	4,160.00
Coffee & Comics	GNC1		38	$	570.00
Professional Etiquette	HRD1		42	$	-
Genealogy Institute	RUS1		19	$	200.00
Trustees, Friends	UNI1		144	$	-
Gala Author Tea	UNI2		45	$	2,665.00
Morris & Nonfiction	YAL1		129	$	3,225.00
Carbon Offset Pledge			224	$	896.00
Attendee Program Book Requests			896		

Sales (Hall-Erickson)

As of 1.3.2020	2018 Actual	2019 Budget	2019 Actual	2020 Budget	2020 Projected	Actual
Cognotes	$68,814	$75,000	$67,512	$65,000	$ 0	$ 0
Program Book	$60,308	$80,000	$18,664	$45,000	$25,000	$36,824
Exhibits Opportunities (signs, banners, conference rooms)	$68,625	$60,000	$88,700	$65,000	$75,000	$55,550
Registration Opportunities (lanyards, bag stuffers, WIFI)	$21,500	$45,000	$19,250	$40,000	$45,000	$7,900

Sponsor/Advertising TOTAL	$219,247	$260,000	$194,126	$215,000	$145,000	$100,274
Exhibit Sales TOTAL	$1,193,287	$1,185,000	$1,058,187	$1,000,000	$900,000	$911,288

FUTURE OF MIDWINTER

Future of Midwinter - as we are in the development phase of the New Event, conducted focus groups/interviews on Saturday and Sunday. Based on the outcomes from the Conference Committee meeting, invitations were extended to the following member segments, to provide input with our consultant who is guiding the design process:

- o 1st timers (MW and/or were 1st timers at annual in DC)
- o Symposium attendees
- o Exhibitors
- o Students (pool of 61)

Description provided to participants:

ALA has initiated a process to re-imagine the mid-winter event experience and develop a strategy for a newly designed event. As part of this process, ALA has contracted with the University of Central Oklahoma to facilitate the strategy and design process.

- **Purpose:** As part of this design process, we are collecting input from ALA community members that will be used to inform the design of a re-imaged mid-winter event. The focus of this event will include providing professional learning opportunities.

- **Goals:** The primary goal for this interview/focus group is to collect ideas and opinions on key questions about to your preferences for professional conference learning events.

- **Expectations:** In an informal 30-minute session, we will ask a series of questions and note your responses. Our notes will be used for internal planning purposes and will not include any identifying information. We will not be audio or video recording the sessions.

Capacities are limited.

ANNUAL CONFERENCE 2028

Sites for the ALA Annual Conference are approved by the ALA Executive Board on recommendation of ALA Conference Services. Prior to action by the Executive Board, ALA Management reviews recommended sites with the ALA Conference Committee and the board of the Exhibits Round Table. Consistent with this past practice, the site recommendation has been reviewed and supported by the ALA Conference Committee and the by the board of the Exhibits Round Table.

As described in the background, ALA Conference Committee and ALA Conference Services began development of an alternative January event, and shifting from cold weather destinations is a goal of the new model. Upon review of future locations and past performance – Denver, formerly slotted for February 9-13, 2024 was determined to be an unfavorable combination with foreseeable challenges regarding date and climate. Annual Conference locations have been secured through 2027 with the next open year of 2028 – also an open year for the Colorado Convention Center. The proposal from Visit

Denver meets ALA needs for convention center and hotel facilities, a range of hotel types and price points, and transportation to and within the city.

Factors:
- Denver offers an expanded convention center with new ballroom space that will provide ALA an opportunity to continue the practice of a smaller campus.
- While the Midwinter Meeting in January 2018 moderately performed, Denver in June will provide a much more desirable experience for conference attendance.
- The hotel package in Denver will be expanding to include several hotels (1700 rooms) including a 500+ room Marriott directly across from the Colorado Convention Center. Most of the hotel package with be walkable or with 2 blocks of the Denver Light Rail system.
- Colorado Labor Peace Act is considered the best union labor law in the nation. Right-to-work laws do not require an employee to join a unionized company or to pay dues for representation, while union cities do. Right-to-work does not keep workers from unionizing, but the workers are not compelled to join the union or pay dues. This is a positive for the exhibitor experience and their show services/booth construction.

Future Dates and Locations

2020	Midwinter Meeting, Philadelphia, PA: January 24-28, 2020
	Annual Conference, Chicago, IL: June 25-30, 2020
2021	Midwinter Meeting, Indianapolis, IN: January 22-26, 2021
	Annual Conference, Chicago, IL: June 24-29, 2021
2022	Launch of New January Event, San Antonio, TX: January 21-25, 2022
	Annual Conference, Washington, DC: June 23-28, 2022
2023	New January Event, New Orleans, LA: January 27-31, 2023
	Annual Conference, Chicago, IL: June 22-27, 2023
2024	New January Event – Location/Date TBD****
	Annual Conference, San Diego, CA: June 27 - July 2, 2024
2025	New January Event – Location/Date TBD****
	Annual Conference, Philadelphia, PA: June 26 - July 1, 2025
2026	New January Event – Location/Date TBD****
	Annual Conference, Chicago, IL: June 25-30, 2026
2027	New January Event – Philadelphia, PA: January 22-26, 2027
	Annual Conference, New Orleans, LA: June 24-29, 2027
2028	New January Event – Washington, DC: January 21-25, 2028****
	Annual Conference – Denver, CO: June 23-27, 2028
2029	New January Event – Location/Date TBD
	Annual Conference, Washington, DC: June 21-26, 2029

****negotiations in progress

TO: ALA Executive Board

RE: Update on Core: Leadership, Infrastructure, Futures

ACTION REQUESTED/INFORMATION/REPORT:
No action; planning update on a possible new ALA division

ACTION REQUESTED BY:
Jenny Levine, LITA Executive Director; Kerry Ward ALCTS Interim Executive Director/LLAMA Executive Director

CONTACT PERSON:
Kerry Ward, kward@ala.org

DATE: January 6, 2020

BACKGROUND:
Throughout 2019, the members and staff of the Association for Library Collections & Technical Services (ALCTS), the Library Information Technology Association (LITA), and the Library Leadership & Management Association (LLAMA), under the leadership of the Core Steering Committee, did extensive planning for a possible new division to replace the current three divisions. At the 2020 Midwinter Meeting, the three division Boards are expected to approve placing on the spring ballot the recommendation that their respective memberships vote to discontinue ALCTS, LITA, and LLAMA in order to form a new division, Core: Leadership, Infrastructure, Futures.

This recommendation is based on our shared desire to create a new division that reflects the services, capacities, and professional development needs that are central to every kind of library and information organization. It also reflects an awareness of the alignment of the work and expertise of members across the increasingly intertwined and multifaceted library landscape.

By combining our resources, we can create the kind of sustainable and engaging community where members can learn from each other and continue to grow throughout our careers. We can't create that kind of member experience on our own. Declining membership (consistent with most other ALA divisions), along with small, siloed staff doing duplicative work, are progressively limiting our ability to engage members.

If approved, the new Core Board will evaluate current and emerging member needs to determine which initiatives, programs, and services will continue, combine, or sunset. The staff will focus more fully on their areas of expertise, devoting more time to membership, marketing, fundraising, advocacy, and other strategic initiatives. Guiding all this work will be the division's values: Transparency, Diversity, Inclusion, Knowledge Sharing, Collaboration, Sustainability, and Innovation.

Timeline:
- Midwinter Meeting: The three Boards vote to place the Core question on their respective ballots for a vote of each division membership.

- April 10: Election results.
    - o If any of the three memberships do not approve Core, the project will end, and no further action will be taken by the division Boards.
    - o If all three memberships approve Core, the project will move forward, with requests for ALA approval.

- Spring 2020: extensive communication and planning with ALA staff leadership, Executive Board, Committee on Organization (COO), and Council members.

- Annual Conference: the three division Boards will formally ask COO for support and transmittal of ALA Council resolutions. In accordance with ALA Bylaws, the Council must hold consecutive votes on this structural change:
    - o Council 2 – vote one to discontinue ALCTS, LITA, LLAMA as divisions of the American Library Association.
    - o Council 3 – vote two to discontinue ALCTS, LITA, LLAMA as divisions of the American Library Association, and vote to authorize Core: Leadership, Infrastructure, Futures as a new division of the American Library Association.

- Summer 2020: extensive operational planning, member communication, etc.

- September 1: Core: Leadership, Infrastructure, Futures, a Division of the American Library Association, formally comes into existence with a transitional Core Board of Directors. ALCTS, LITA, and LLAMA cease operations and members of the three divisions are transitioned to Core.

- A special member election takes place to choose the new Core President and President-elect.

ALA Operating Agreement

A.4.3.4.1 Policies of the American Library Association in Relation to its Membership Divisions (Old Number 6.4.1)

1. Preamble
2. Current Organizational Values of ALA
   1. Unity
   2. Diversity
   3. Authority
   4. Autonomy
   5. Collaboration/Cooperation
3. Purpose, Scope, Implementation, Review Process, and Definitions
   1. Purpose and Scope
   2. Implementation
   3. Review Process
   4. Definitions
4. Use of ALA Services
5. Financial
   1. Dues
   2. Council Actions with Fiscal Implications
   3. Services and Charges
   4. Fund Balances
   5. Endowments
   6. Furniture and Equipment
   7. Division Budget Review
   8. Divisons with Small Revenue Bases/Number of Members
   9. Association Finances
   10. Other
6. Publishing Activities
7. Personnel
8. Division national Conferences, Preconferences, and Related Activities
9. Annual Conference and Midwinter Meeting
10. Special Projects of Divisions
11. Planning

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1. *Preamble*

   The American Library Association (ALA) is unique among American associations in the manner in which it is structured. It is one association, with indivisible assets and a single set of uniform administrative, financial, and personnel policies and procedures. It is governed by one Council, from which its Executive Board is elected, and is managed by an Executive Director who serves at the pleasure of that Board.

   It is also the home for eleven Divisions, each of which has:

   - a statement of responsibility developed by its members and approved by ALA Council;

- a set of goals and objectives established by its members, which drive its activities;
- an Executive Director and other personnel as necessary to carry out its programs;
- responsibility for generating revenue to support staff and carry out its programs; and,
- a separate Board of Directors, elected by its members, and responsible to ALA Council.

Divisions and all other units of ALA are inextricably interrelated in structure, personnel, resources, overall mission, and operations. All members of Divisions are first members of ALA. Their voluntary selection of Division membership is an indication of their special interests, in addition to their general concern for libraries and librarianship, and it demands the commitment of the Divisions to serve those special interests.

By this commitment, expressed in publications, conference programming, advisory services, and other educational activities germane to their mission statements, the Divisions serve the American Library Association as a whole. By supporting Division operations through the provision of space and services, ALA gives tangible evidence of its recognition of the importance of Divisions in meeting the needs of its members.

The nature of the relationships among the various ALA units is a dynamic one. Divisions and ALA are committed to maintaining a collaborative style of interaction and to remaining flexible enough to address the ever-changing issues facing libraries and librarians.

This collaborative model implies mutuality in all relationships, the ability of any aggregation of units to work together for the common good, and the coexistence of Division autonomy and ALA unity.

This policy document implies the need for a mutual understanding of the differences between Divisions and other ALA units, differences which are balanced by a similarity of interest and activity. It underscores the Divisions' willingness to support and contribute to ALA as a whole and their recognition of the interdependence of all ALA units.

These policies must be based on an appreciation by the total membership and by other ALA units of the Divisions' contributions to ALA as a whole. An activity carried out by a Division is an ALA activity. Division staff members are ALA staff members and represent ALA as well as their own Divisions in work with members and the general public. Division officers and members must recognize the value to the Division of the services provided by ALA, and ALA members and units must recognize the value to ALA as a whole of the services provided by Divisions.

Divisions are integrally involved in the decision-making process of the Association. They exercise their decision-making prerogatives through the following means:

- Full authority within those areas of responsibility designated by ALA Council (ALA Bylaws, Article VI, Section 2b)
- Representation on ALA Council to raise issues and to set policy (ALA Bylaws, Article IV, Section 2c; ALA Policy 5.3)
- Representation on the Planning and Budget Assembly (ALA Bylaws, Article VIII, Section 2)
- Negotiation of performance objectives of Division Executive Directors with the Associate Executive Director, Member Programs and Services (ALA Policy 6.4.1 VII)
- Day-to-day involvement of Division staff in the operations and deliberations of the Association Representation on Association-wide bodies including the Legislative Assembly, the Library Education Assembly, and the Membership Promotion Task Force

- Participation in the planning process.

In sum, this document is designed to continue a cooperative framework in which the inevitable questions of organizational relationships can be addressed and resolved.

2. *Current Organizational Values of ALA*

This statement reflects the current organizational values of the American Library Association and was developed through reference to existing ALA documents.

1. *Unity*

   ALA is one association. It has a single set of administrative, financial, and personnel policies and procedures, as well as indivisible assets. All members of Divisions are members of ALA. Divisions and all other ALA units are inextricably interrelated in structure, personnel, resources, overall mission, and operations.

2. *Diversity*

   ALA has a stake in the work of each of its Divisions. Division activities and services are of value and importance to the Association. They provide for a rich and diverse program that gives opportunities to all segments of the profession for involvement, leadership, and participation in activities that carry out the mission, goals, and priorities of the Association.

3. *Authority*

   Recognizing the significant contribution, resources, and expertise of its Divisions, ALA delegates to each Division the authority and responsibility to represent the Association in designated areas. Each Division provides unique programs and services to its members, to all members of the Association, to the profession of librarianship, to the broader educational community, and to the public at large.

4. *Autonomy*

   ALA provides leadership for the development, promotion, and improvement of library service. ALA values the strength and effectiveness of its Divisions. Divisions are best able to carry out their missions when their members have the autonomy, independence, and freedom to pursue goals and objectives of particular concern to them, as well as to participate democratically in the Division's direction, governance, and financial decisions.

5. *Collaboration/Cooperation*

   ALA and its Divisions have opportunities through the Association's unique governance and administrative structure to stimulate and build on one another's strengths and resources to advance shared, as well as diverse, goals.

http://www.ala.org/aboutala/governance/policymanual/updatedpolicymanual/section1/operatingagreement

3. *Purpose, Scope, Implementation, Review Process, and Definitions*
    0. *Purpose and Scope*

        Divisions have a substantial degree of autonomy and responsibility; however, the corporate and legal entity is the American Library Association. Any responsibilities not specifically delegated to Divisions remain within the authority of the Executive Board and ALA Council. The principal intent of this document is to define the policies governing the relationship between ALA and its membership Divisions.

        In addition to the ALA Constitution and Bylaws and other ALA Policies, this document provides a framework of guiding principles for that relationship. As a policy document, its adoption and approval of revisions are the responsibility of the ALA Council. ALA has other policies and procedures that govern the relationships with other organizational units.

    1. *Implementation*

        Implementation of these policies will be carried out under the direction of the ALA Executive Director, working with the department heads and Division executive directors. Major operational decisions made in that implementation will be codified in documents referred to as "Operational Practices."

    2. *Review Process*

        To make this Agreement responsive to the needs of the Association, it shall be reviewed on an annual basis by those responsible for the governance of ALA and its membership Divisions. Changes may be recommended by Division leadership, ALA staff and management, or other interested parties at any time; however, BARC shall initiate the review process annually according to the following schedule:

        - Fall BARC Meeting-At this meeting, BARC develops agenda of major emerging issues and requests input from Divisions. The annual indirect cost study shall be available.
        - Midwinter-Divisions discuss any operating agreement issues identified by BARC and raise other operating agreement issues to be discussed by BARC at its Spring meeting. The Planning and Budget Assembly (PBA) may be used as a forum for PBA participants to identify operating agreement issues of concern.
        - Spring BARC Meeting-Mandated discussion of operating agreement issues raised by Divisions, ALA staff and management, and/or other interested parties. BARC recommends mechanism and time table for cooperative actions with Divisions to address proposed changes.
        - Annual-Operating agreement is a mandated item on PBA agenda. Division Boards review any BARC recommendations and respond to BARC. BARC forwards any necessary recommendations to Executive Board for action by Council. Any changes undertaken in this Operating Agreement shall be implemented consistent with the budget cycle of ALA and its Divisions and shall be done in such a manner as to minimize negative impact on the program of ALA and of the Divisions.

http://www.ala.org/aboutala/governance/policymanual/updatedpolicymanual/section1/operatingagreement

Roles of Key Parties to operating agreement

- Division Boards: identify problem areas and issues; initiate actions necessary for revisions; work with Division staff and other Divisions as appropriate to explore problems and solutions; make recommendations to BARC to initiate revisions.
- BARC: identify problem areas and issues; communicate information concerning the operating agreement through PBA to Council and to ALA at large; work with Division leaders and ALA management to recommend solutions and consequent revisions to operating agreement.
- ALA Management: identify problem areas and issues and work with the Division Executive Directors to explore problems and solutions. Review policies and make recommendations as appropriate to BARC and Executive Board. Division
- Executive Directors: identify problem areas and issues and review as appropriate with management and Division Boards.

3. *Definitions*

   The following definitions are guidelines for members and staff in the development, review, and implementation of these policies:

   - *Policies*: Guiding principles that provide the framework for the relationship between ALA and its membership Divisions. Policies reflect the views and thinking of membership, and provide a guide to action to achieve the goals of the American Library Association. Policies are adopted by the Council of the American Library Association.
   - *Operational Practices*: Definitions of the manner or method of implementing policies. Operational Practices (1) deal with terms under which services will be provided free of charge or at a cost; (2) define roles and responsibilities in policy implementation; and (3) reflect other issues contained in the ''Policies'' document that may require negotiation between departments and membership Divisions.

     Operational Practices are developed by the ALA Executive Director with the ALA Department Heads in consultation with the Division executive directors and appropriate personnel in the department responsible for the activity described. Department personnel will provide draft copies of those procedures for review and comment to appropriate ALA staff members whose work will be affected by those procedures. Copies of Operational Practices are supplied to appropriate membership units responsible for the governance of ALA and its membership Divisions.

     Detailed information about implementation of the policies outlined throughout this document are found in the Operational Practices for the Implementation of Policies of the American Library Association in Relation to Its Membership Divisions.

   - *ALA Basic Services*: Those services made available to all ALA members at no additional charge beyond their ALA dues. Dues provide the primary support for basic services. Basic services may be supported by dues or other options as approved by the Executive Board. Basic ALA services include: American Libraries, information/advisory services, support for governance/member

- groups, public/professional relations, administration of awards and scholarships, membership promotion/retention, executive/ administrative/financial services; offices: research, personnel resources, outreach services, government relations, intellectual freedom, accreditation; Library.
- *Division Basic Services*: Those services made available to all Division members at no additional charge beyond their Division dues. Dues provide the primary support for basic services. Basic services may be supported by dues or other options as determined by Division Boards. Basic Division services include: periodical publications designated as perquisites of membership, information/advisory services, support for governance/member groups, public/professional relations, administration of awards and scholarships, membership promotion/retention, executive/administrative/financial services.
- *Overhead*:
  1. Internal: that overhead rate applied to units of ALA, e.g., the annual overhead rate paid by divisions for revenue-generating activities identified in this policy document.
  2. External: that overhead rate applied for the purposes of external reporting, e.g., grants and taxes.
- *Fund Balance*: Accumulated net revenue.

4. *Use of ALA Services*

All ALA Divisions must use exclusively the following services provided by ALA: Human Resources, Membership Services, telephone, insurance, purchasing, Fiscal Services Department, Legal Counsel, and Archives. ALA Divisions must be housed in properties owned or leased by the Association.

5. *Financial*

Divisions are governed by prevailing ALA fiscal policies and procedures. Divisions shall participate in formulating and revising these policies and procedures.

0. *Dues*

Divisions have the right to establish their own personal and organizational dues structures and set membership perquisites. (ALA Bylaws, Article I, Section2; Article VI, Section 6)

Discount and special promotion dues authorized by the ALA Executive Board apply only to that portion of dues applying to ALA membership. Divisions receive proportionate reimbursements for ''free'' Division choices of continuing and life members. (ALA Bylaws, Article I, Section 2 A.7)

1. *Council Actions with Fiscal Implications*

Council resolutions that would impose specific assignments on a Division shall be reviewed by BARC with the Division Board of Directors to assess any financial implications of that assignment. BARC shall report back to Council with recommendations as to any budgetary adjustments necessary to implement such assignments prior to final Council action on that item. (ALA Policy 5.2)

2. *Services and Charges*

   The fiscal arrangements between ALA and its membership Divisions in regard to charges for services can be categorized in five ways. The five categories are defined below. Specific examples of the services in each category are given.

   1. ALA provides to Divisions at no direct charge the following services of ALA Departments and Offices:
      1. Staff Support Services Department
         - Office space and related services
         - Telephone services: switchboard, 800 number, and internal service, as defined in an Operational Practice
         - Distribution services
         - Basic furniture and equipment (as defined in an Operational Practice) for each regular Division staff member
         - Equipment maintenance on equipment supplied by ALA
         - Personnel services
         - Purchasing
         - Data processing (as defined in an Operational Practice)
         - Storage and warehouse space
      2. Member Programs and Services and Communications Departments
         - Conference Arrangements, including:
            - Staff travel costs and per diem for Midwinter Meetings and Annual Conferences
            - Equipment (e.g., AV and computers including the cost of labor), supplies, services, and space for programs, meetings and offices at the Midwinter Meeting and Annual Conference (as defined in an Operational Practice)
            - Exhibit space at Annual Conference
         - Membership services
         - Public information services, including the preparation and distribution of news releases
      3. Fiscal Services Department
         - Accounting
         - Financial systems
         - Planning and budgeting
         - Business expense (insurance, legal, audit)
         - Credit and collections
      4. Publishing Department
         - Copyright service
         - Rights and permissions
      5. Executive Office
      6. Washington Office
      7. Office for Intellectual Freedom

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8. Office for Literacy and Outreach Services
9. Office for Library Personnel Resources
10. Office for Research
11. Library and Research Center

2. ALA charges Divisions for the actual costs of the following services of ALA departments:
    1. Staff Support Services
        - Specialized data processing, as defined in an Operational Practice
        - Equipment maintenance for equipment puchased by the Division over which the Division exercises sole use and control
        - Printing and duplication, as defined in an Operational Practice
        - Telephone services not specifiec in V.C.1.a., as defined in an Operational Practice
        - Postage for special mailings, as defined in an Operational Agreement
    2. Fiscal Services
        - Overhead on non-dues revenue-generating activities. The rate will be set annually accouding to an ALA Operational Practice and will be assessed as explained below on non-dues revenue at a composite rate.
        - Overhead will be assessed at 100% of the ALA composite rate (at the end of a four-year phase-in period, beginning in 1991 and ending in 1994) on revenue from:
            - registration fees
            - exhibit space rental
            - meal functions, except for separately-ticketed events (The schedule for phase-in of the ALA composite overhead rate on revenues is:
            - 50% of the ALA composite rate in 1991 and 1992
            - 75% of the ALA composite rate in 1993
            - 100% of the ALA composite rate in 1994).
        - Overhead will be assessed at 50% of the ALA composite rate (at the end of a five-year phase-in period, beginning in 1991 and ending in 1995, in equal annual increments) on revenues from:
            - net sales of materials
            - subscriptions
            - advertising except in those publicataions which are provided to Division members as a perquisite of membership
            - other miscellaneous fees.
        - Overhead will not be assessed on revenues from:
            - dues
            - donations
            - interest income
            - ALA royalties to Divisions
            - travel expense reimbursements from outside organizations
            - separately-ticketed events at conferences (e.g., tours and meal functions)
            - advertising in those publications which are provided to Division members as a perquisite of membership

3. Publishing
   - Subscription and order billing services
   - Central production services
   - Marketing services
3. ALA and the Divisions share the costs of the following:
   - Division Leadership Enhancement Program
   - Awards promotion
4. Divisions assume total responsibility for the following costs:
   - Division personnel compensation
   - Projects and activities of the Divisions except as specified in this agreement
   - Membership group support (governance - boards, committees, etc.)
   - Furnishings and equipment purchased by Divisions and over which they have sole control and use. *See also* Section IX, Annual Conference and Midwinter Meeting.
5. Divisions may:

   Purchase services or products from other ALA units and outside agencies, consistent with ALA policy.

3. *Fund Balances*
   0. ALA Divisions build and maintain fund balances appropriate to their needs. A fund balance is defined as accumulated net revenue.
   1. Divisions will not receive interest on fund balances or deferred revenue.
4. *Endowments*

   Divisions may establish endowments or add to existing Division endowments from any source including existing fund balances once the Division has reached a minimum fund balance as determined by the Division and approved in accordance with the budget review process and approved financial plan. The establishment of Division endowments will follow the guidelines outlined in ALA policy. The use of the interest from these Division endowments will be subject to Division Board approval and applicable ALA policy.

5. *Furniture and Equipment*

   ALA will provide basic furniture and equipment to each regular Division staff member.

   Divisions will retain sole control and use of all furniture and equipment purchased with Division funds.

   Divisons may acquire additional furniture and equipment in two ways:

   0. Above the capitalization limit:
      0. Divisions have authority to purchase capital equipment outright by paying the full price to ALA, with ALA taking the depreciation.
      1. Divisions can purchase furniture and equipment through ALA budget request process by paying the sceduled depreciation, subject to ALA priorities and approvals.
   1. Below the capitalization level, Division have the authority to purchase equipment outright.

6. *Division Budget Review*

   Division Boards have responsibility for developing and approving budgets and multi-year program and financial plans, which are then reviewed by ALA management and BARC. Annual budgets are approved by the ALA Executive Board. Divisions also have the responsibility to alert the Association to any planned activities that could have a potential negative impact upon the fiscal stability of the Association.

7. *Divisions with Small Revenue Bases/Number of Members*
   ALA Council has assigned specific responsibilities to Divisions. To carry out these responsibilities, each Division requires a base of operating revenue. ALA recognizes that each Division must have staff and must provide basic services to its members as defined in Section III. When a Division's current revenue from dues and other sources excluded from overhead is not sufficient, ALA recognizes its obligation to provide supplemental financial support up to a maximum of 50% of the funding required. This support would be provided only as a result of a well-planned process that is an integral part of the annual budget process that includes review by BARC and approval by the Executive Board. This type of support would not be available to a Division, which, at the end of a fiscal year happened to find itself in a deficit position. Annually BARC and the Executive Board will determine and approve the specific amount of funding required to provide a minimum level of staff and basic services, compare this amount to the Division's estimated revenue, and allocate an appropriate General Fund supplement.

   Divisions must generate from dues and other revenue excluded from overhead at least 50% of the funding required to provide basic services. If a Division is unable to meet this 50% level for two consecutive years, its status as a Division must be referred to Council by the Executive Board, with an appropriate recommendation. Money from the General Fund will not be used to offset expenses for non-dues revenue-generating products and services. Divisions may retain the net revenue from these activities to initiate and support other similar activities in the future.

8. *Association Finances*

   The Divisions will be kept informed about the Association's financial health and will be involved in meaningful consultation when there is potential impact on Divisions, collectively or individually.

9. *Other*
   0. Credit and Collections
      Management will provide effective credit and collection policies and services to the Divisions. Divisions will be charged for their bad debts in accordance with ALA policy.
   1. Unrelated Business Income Taxes (UBIT)

      To the extent that Divisions incur unrelated business income, they will assume responsibility for paying the resulting taxes.

6. *Publishing Activities*

http://www.ala.org/aboutala/governance/policymanual/updatedpolicymanual/section1/operatingagreement

The ALA Publishing Committee has the responsibility for control of the ALA imprint.

A Division may publish materials in three ways: through ALA Publishing Services, on its own, or through an outside publisher. Materials prepared by a Division for other than its own publication must be offered to ALA Publishing Services for first consideration. A Division has the right to accept or reject ALA's offer and pursue other publishing opportunities.

Divisions exercise editorial and managerial control over their periodicals.

The ALA Publishing Committee shall be informed of plans for any new Division periodicals prior to publication.

A Division may purchase production and distribution services from ALA's central production unit. A Division may also purchase marketing services from the Publishing Services Department.

ALA Publishing Services pays royalties to Divisions for Division-generated materials. Divisions may negotiate with ALA Publishing Services on royalties and other variables of publishing. An ''Intra-mural Agreement of Publishing Responsibility'' is signed by the Division Executive Director and the Director of Publishing Services for each publishing project.

ALA has the sole right to record and market tapes of programs at ALA conferences with the advance consent of the units and speakers. Divisions receive royalties from the sale of tapes of a Division's conference programs. Divisions have the right to record and market tapes of Division preconferences, programs at ALA Annual Conferences which ALA chooses not to record, Division national conferences and regional institutes.

7. *Personnel*

All ALA personnel are responsible to the ALA Executive Director, and through the Executive Director to the entire membership. Unlike other ALA personnel, Division Executive Directors are also responsible to Division Boards and through those Boards to the memberships of their respective Divisions.

All ALA employees are subject to ALA's personnel policies. Each Division shall be responsible for generating the income required for the salaries, wages, and benefits of Division employees.

Each Division Executive Director serves as an ALA Program Director, a senior professional position, and is responsible for advising on ALA plans and preparing recommendations on priorities and alternatives, especially as they relate to the Division's priorities, goals, and objectives. The Division Executive Director meets regularly with other ALA staff members and communicates, cooperates, and coordinates Division activities with those of other ALA units.

The assignment of the appropriate grade for Division staff is made according to ALA personnel policies. The determination of the appropriate staffing pattern (number and position descriptions) shall be made by the Division Executive Director and the Division Board in consultation with the ALA Executive Director.

http://www.ala.org/aboutala/governance/policymanual/updatedpolicymanual/section1/operatingagreement

The recruitment, appointment, and termination of Division Executive Directors shall be a process involving consultation by the ALA Executive Director with the Division Board of Directors or its designates.

Each Division's Board of Directors shall annually review the performance of the Division's Executive Director based upon a single set of goals and objectives as agreed upon by the Division Board, Associate Executive Director, Member Programs and Services, and Division Executive Director. The Division Board shall convey its recommendation to the Associate Executive Director, Member Programs and Services, to whom the ALA Executive Director has delegated the responsibility for evaluating the performance of Division Executive Directors. The Associate Executive Director, Member Programs and Services, shall discuss the confidential report of the performance review with the Division's President upon request.

Division Executive Directors shall have the authority to select, evaluate, and recommend termination of all Division employees, consistent with ALA personnel policies and procedures. Assignments of Division staff to ALA internal committees are arrived at in the context of Division priorities and are kept at a reasonable level.

8. *Division National Conferences, Preconferences, and Related Activities*

   Divisions may conduct preconferences, workshops, institutes, seminars, and Division national conferences, in accordance with ALA Policy, at intervals determined by Division program priorities and supported by sound financial management. A Division is responsible for all costs incurred in planning and carrying out such activities. (ALA Policy 7.2.2)

   Division National Conferences shall be defined as ''non-business conferences removed in time and place from the American Library Association's Annual Conference'' and Midwinter Meeting in order' 'to view and explore areas of divisional concerns in depth.'' Proposals for Division National Conferences should be made to the ALA Executive Board at least two years in advance of the anticipated meeting date following a prescribed proposal outline. ALA state and regional chapters in the geographical area of a proposed conference shall be notified in writing of a desired conference prior to submitting the request to the Executive Board. Such notice shall seek the cooperation of the chapters with respect to scheduling and programming to the extent feasible. The Division shall contact the host Chapter prior to determining date availability with the host city. The Division shall contact the chapters in the geographical area immediately after determining date availability with the host city. In the event of a conflict with the ALA state or regional chapters and the proposed divisional conference, the ALA Executive Board shall make the decision in consultation with the chapters.

9. *Annual Conference and Midwinter Meeting*

   ALA provides the support necessary for Divisions to conduct business and plan and present Conference programs. Some Conference program costs may be borne by the Division except financial support for staffing and equipment as described in Section V.C.1.b. Recognizing that conference programming benefits all attendees, financial support in the form of General and Special Allocations from ALA to Divisions and other units for Annual Conference programming shall be provided; this support will be arrived at as the result of an explicit and equitable

process in which the Divisions participate. Meal functions and special events must be self-supporting.

10. *Special Projects of Divisions*

   Divisions may seek external (non-ALA) funding to pursue projects to enhance Division program priorities. Division Boards of Directors have the responsibility for assessing programmatic impact and must approve all requests for funding external projects. Additionally, all proposals and contracts for such funds are signed by the Executive Director of ALA in the name of the Association. All special projects are reviewed, approved, and conducted in accordance with established ALA policies and procedures and the conditions of the grant or contract. All costs for projects funded through grants or contracts from outside agencies or organizations should be covered by project funding.

11. *Planning*

   Each Division has autonomy in its own planning processes within its area of responsibility as designated by ALA Council, subject to present and future ALA policies. They have the responsibility to develop and implement a planning process to guide their program and allocate their resources within the areas of responsibility assigned to them by the ALA Council. Since Divisions contribute to the formulation of ALA goals, it may be expected that many of the priorities and activities reflected in the plans will also be a part of Division priorities and activities. Further, each Division has responsibility for providing ALA with a multi-year financial plan consistent with ALA's existing financial policies and resting on multi-year program plans reflecting the priorities of the Division's members. Divisions have a responsibility to assist and inform the ALA Executive Board of their strategic plans on a regular basis, and to inform the ALA Executive Board of their work through timely and comprehensive reporting.

ALA American Library Association

Planning & Budget Assembly (PBA),
Budget Analysis & Review Committee (BARC),
and Division Leadership Joint Meeting

2020 Midwinter Meeting – Philadelphia, PA
Sunday, January 26, 2020
1:00 – 3:00 p.m.
PCC – Room 120 ABC

Agenda

1:00 – 1:10	Welcome and Introductions	Julius C. Jefferson Jr., President Elect
1:10 – 1:20	Presidential Focus	Julius C. Jefferson Jr., President Elect
1:20 – 1:35	Forward Together Fiscal Analysis Update	Lessa Pelayo-Lozada, Executive Board and SCOE Chair
1:35 – 2:00	FY19 and FY20 Budget Review and Real Estate Sale Update	Peter Hepburn, BARC Chair and Maggie Farrell, Treasurer
2:00 – 2:50	Overhead Review and Discussion	Maggie Farrell, Treasurer
2:50 – 3:00	Wrap Up	Peter Hepburn, BARC Chair

This page included to accommodate double sided printing.

ALA Executive Board Document: BARC/Budget/Financial Documents

Please click the following URLs to access the ALA financial documents.

- [FY19 Year End Financial Results - Executive Summary](#)
- [FY20 Three-Month Results Financial Report](#)
- [FY20 Three-Month Results Financial Commentary](#)

TO: ALA Executive Board

RE: ALA Financial Planning: 2020 and Beyond

ACTION REQUESTED: Discuss likely strategies for reducing the organizational footprint while continuing high priority investments for the future of ALA

DRAFT MOTION: **na**

REQUESTED BY: Mary W. Ghikas, ALA Executive Director
Denise Moritz, ALA Interim Chief Financial Officer

DATE: 16 January 2020

DOCUMENT OVERVIEW:
Part 1 - Background (p2-7)
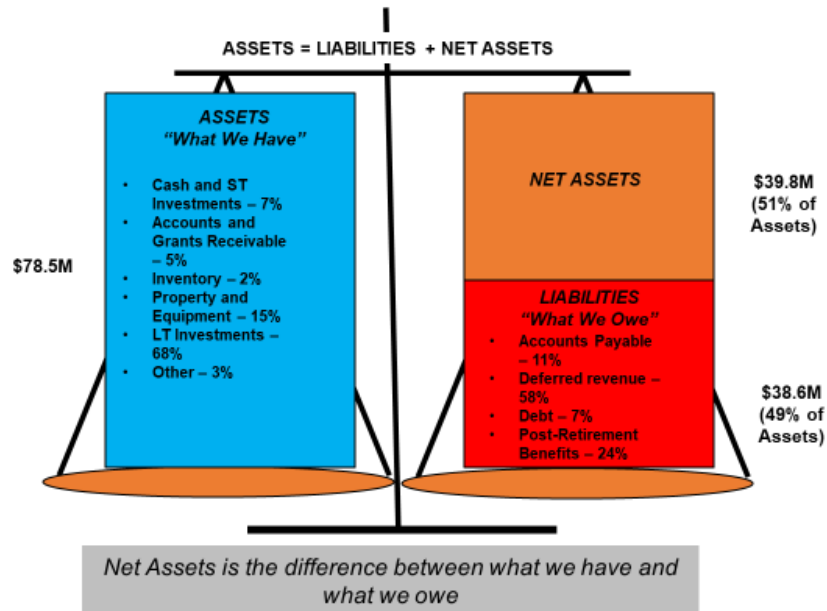**Part 2 -- 2020 Status (p7-11)**
Part 3 -- Beyond 2020 (p11-14)

1- BACKGROUND: Getting to 2020

Historically, ALA is no stranger to precarious finances. Like many other organizations, over its 140+ years, ALA has weathered downturns in the larger economy, changes in the library economy, cycles of expansion and contraction in library-related industry. Through the efforts of members and staff, the Association has built a healthy balance sheet, albeit heavily weighted with non-liquid assets**.** The combination of a four years of budget shortfalls; much-needed, but extraordinary investment in IT, Development and Advocacy; and, slower revenue growth than initially projected have created significant stress on both the operating budget and cash. Reaching a long-term sustainable position that will support the ongoing investments in staff skills, technology and new service or product development that is essential in a changing world will require the Association to rethink how it works. As with libraries, it will need to make progress on mission-achievement while adjusting its processes, its footprint and its resource mix.

The following summary provides (a) a concise summary of decisions made, (b) 2020 options and explorations and (c) questions for the future.

ALA's Balance Sheet as of FY 2019 (unaudited)

ASSETS = LIABILITIES + NET ASSETS

ASSETS
"What We Have"

$78.5M

- Cash and ST Investments – 7%
- Accounts and Grants Receivable – 5%
- Inventory – 2%
- Property and Equipment – 15%
- LT Investments – 68%
- Other – 3%

NET ASSETS

$39.8M (51% of Assets)

LIABILITIES
"What We Owe"

- Accounts Payable – 11%
- Deferred revenue – 58%
- Debt – 7%
- Post-Retirement Benefits – 24%

$38.6M (49% of Assets)

Net Assets is the difference between what we have and what we owe

In Fall 2017, the ALA Executive Board reviewed a substantial amount of data, developed by the Management Team. Data reviewed included:

- 10-year financial summaries for ALA revenue areas, completed by ALA Finance to support ongoing executive planning as well as the work of individual business groups, e.g. Publishing, Conferences, Membership, Divisions.
- FY2017 Operating Results and Balance Sheet;
- A Development Audit, with accompanying recommendations from Sheila O'Donnell (Director, ALA Development);
- An IT investment plan, developed by Sherri Vanyek (then Director, ALA ITTS) and Jenny Levine (Executive Director, LITA);
- Membership 10-Year Summary, developed by Cathleen Bourdon, then AED Communications & Marketing, and Ron Jankowski, then Director, Membership Development; and,
- The FY2018 budget, which had been substantially reduced, based on FY2017 results and other changes in the budget environment, including both additional grant overhead and favorable employee benefit negotiations, as well as lower revenue assumptions.

In presenting this data, Management strongly recommended (a) that in FY2019 ALA begin a multiyear investment cycle, designed to fundamentally change the operating and business environments of ALA to be sustainable well into the future, (b) that making needed investments – particularly in specialized personnel – would require internal reorganization, (c) that extraordinary investment steps would also be required to undertake these improvements, and (d) that ALA is now positioned – based on earlier work, such as the Development study, to undertake such investment.

- 10-year financial data showed flat or declining revenues in all ALA business areas. This is not a sustainable position for any operation, including a nonprofit.
- Opportunities for innovation had not been fully realized due to underinvestment since the 2008 recession.
- Both labor market decline and membership decline had negatively impacted the Association; however, data on employment trends and LIS program enrollments provided some grounds for optimism. ALA's market penetration rested at about 50%, with variations between subsets of the market. The potential for growth exists.

Based on extensive discussion during the Board meeting, there was support for the following steps:
- Management would proceed with the necessary internal reorganization. Internal reorganization is essential (a) to increase staffing in investment areas and (b) to enable new ways of working to respond to both new opportunities and new challenges.
- Development of the FY2019 budget would proceed with the understanding that an "investment budget" would be developed.
- Management was authorized by the Board to explore other options for "extraordinary" investment, including loans and use of ALA assets, including potential monetization of ALA real estate assets, with recommendations to go back to the Board for decision.

   Year-by-year recap: FY2017→FY2018

The priority for Management at the beginning of FY 2018 was to modify the FY2018 budget, particularly for the General Fund, for Board review at the FY2018 (Fall 2017) Board Meeting, based on FY2017 results. While change in the Total ALA gross revenue was modest (a roughly $20,000 increase in projected 2018 Annual Conference revenue), there were significant changes within the FY2018 budget:
- FY2018 ALA Publishing gross revenues were reduced by $911,007. Expenses related to non-repeating artifacts (e.g. the warehouse move) in Publishing's FY2017 performance were set aside. Projected revenues from the new *AASL Standards* were considered, along with the likely impact of major staffing changes in ALA Publishing.
- FY2018 Membership gross revenue was reduced by $118,000.
- Grant revenue was increased by $1,504,337, based on new grants received or credibly in the pipeline, including a major grant from the Bill and Melinda Gates Foundation through PLA.

Those top-level changes had significant impact on the ALA General Fund budget. The FY2018 budget also reflected initial changes based on internal reorganization. (EBD#14.9, 2018 Spring Meeting)

While Total ALA ended FY2018 with $1.7M in net operating revenues greater than the FY2018 budget and an increase in total net assets of $7.2M, the General Fund FY2018 budget performance would fall short of plan by $955k (revenues lower by 1% and expenses higher by

2%). This was due to lower overhead from the 2018 (Denver) Midwinter Meeting and grants, as well as lower net revenues from Publishing.

TOTAL ALA (ALL COMBINED FUNDS)		FY 2019 Actual	FY 2018 Actual	FY 2017 Actual
Total Revenues		$ 49,678,568	$ 53,190,557	$ 48,808,627
Total Expenses		54,142,710	53,400,525	50,922,158
Net Revenues (Expenses)		$ (4,464,142)	$ (209,968)	$ (2,113,531)

Year-by-Year Recap: **FY2018→FY2019**

FY2019 marked the beginning of a planned three-year, $8.8M investment cycle, designed to lead to revitalized revenue streams and more mission-effective operations in a period of rapid, continuing change. Planned changes included new positions, systems and initiatives to build organizational capability, to lead to longer term financial sustainability. The Spring 2018 budget presentation also outlined initial internal reorganization, reallocation of some positions to priority areas, as well as the impact of the post-recession decade on ALA.

Initial steps in the three-year investment cycle were outlined in the Spring 2018 document:
- 2 new positions in IT – a project manager and a Drupal developer; the Drupal developer position was later dropped in favor of a User Experience Manager, in line with recommendations from both the ALA Executive Board and the (new) Interim CIO. There were also added capital projects and non-personnel operational investments to improve user experience and engagement.
- 2.5 additional FTE in ALA Development, plus increased non-personnel support.
- Initial implementation of the "Fly-in" to support Advocacy, initial implementation of the CRM (Salesforce) and other operational support for Advocacy, coordinated by the ALA Washington Office.

While the initial (Spring 2018) FY2019 budget included funding for two consulting reports – one for communications and one for membership – by late FY2018, two additional consultancies were underway – an organizational review and an IT review. The initial consulting reports (Communications, Membership) were concluded by early FY2019 (October 2018). The IT report was concluded In June 2018 (FY2019), although a limited contract continues to provide some interim IT management services. The organizational review is ongoing, continuing into FY2020.

Finally, based on initial authorization, in mid-FY2018, Management contracted with a major commercial real estate firm to explore the "highest and best use" of ALA's Chicago real estate. An initial report, presented to the ALA Executive Board in June 2018, resulted in a decision by the Board to take the next step in exploration by placing the property on the market. In December 2018, the Board authorized Management to sign a letter of intent, leading to a period of intense examination and beginning initial exploration of possible alternative sites.

(Sale of the building was concluded in late November 2019 (early in FY20), followed by lease of alternative space. Relocation is anticipated in late April 2020.)

Year-by-Year Recap: **FY19→FY20**

The initial FY20 budget (Fall 2018) was based on year-to-date performance during the first five months of FY2019 (September – January) and, based on that performance, FY2019 year-end projections. FY2019 year-end results were re-projected in advance of the 2019 Annual Conference meeting, and final approval of the FY2020 budget was based on the preliminary FY2019 close.   Major factors recurring in successive projections were:

- Lower than budgeted gross revenues from ALA Publishing --$10,819,531 actual vs. $11,493,944 budget.
- Lower than budgeted interest income - $804,186 vs. $1,200,000.
- Lower than budgeted net revenue from the 2019 ALA Midwinter Meeting, based primarily on higher expenses, with net revenues of $(578,203 against a budget of ($76,388). Gross revenues were close to target -- though a slight reduction reduced overhead. AV and electrical costs were significantly over budget by $419,754, including over $160,000 in AV and electrical for ALA Council.
- Lower than budgeted overhead -- $7,534,708 vs. $7,732,342 -- based on lower than budgeted gross revenues in Publishing, Conference, Division operating revenues, and PLA grant revenue. (Overhead is a percentage of gross revenue.)

Note that budgeting for FY2020 did not include any anticipated gains on sale of the ALA HQ, nor expenses related to the move. A separate "move budget" was developed during the ongoing process. There were, however, some assumptions made about the FY2020 budget based on a potential sale.

Overall, initial framework assumptions about the developing FY2020 budget were level to FY2019 budget, including the overhead rate, which remained flat at 26.5% (full – assessed on conference revenues and ALA Publishing revenues) or 13.25% (50% rate, assessed on Division web-CE and publishing revenues).   Note that no overhead is assessed on membership revenues.

As planning for FY2020 proceeded, the following performance assumptions were made:

- ALA Publishing gross revenues would edge up slightly from FY 2019 finals, primarily based on analysis of the pipeline in ALA Editions/Neal-Schuman – including titles delayed from FY2019 to FY2020.
- ALA Conference Services assumed a strong performance from the 2020 Annual (Chicago), with some challenges at the 2020 Midwinter (Philadelphia – a high-labor-cost city).   Personnel changes were slated for FY2020, including addition of a content-focused position.
- Modest ALA Membership growth was assumed, with a new Membership Director, hired late in FY2019, on board.

- An Endowment spending rate of 5% (flat to FY2019) was approved by the Endowment Trustees and included in the budget for Board approval.

Planned General Fund expenses for FY2020 – the 2nd year of the planned 3-year investment cycle – were budgeted at $19,059,860. (compared to the FY 2019 budget of $18,211,756 and FY 2019 actuals of $18,574,629).

- Overhead was budgeted at $8,133,876 compared to final FY2019 at $7,534,708. The increase in Overhead from FY2019 to FY2020 was based primarily on ALA's normal two-year cycle, with two Division conferences in even-numbered years (AASL/PLA) and one in odd-number years (ACRL).
  Note: Indirect cost recovery (overhead) behaves like a revenue source in a five-year plan, but on a year-to-year budget basis is actually a negative expense (an offset). It is a percentage of gross revenue – and itself impacts net revenue.
- A 2% salary increase for ALA staff, effective January 1, 2020, was budgeted.
- Employee benefit negotiations for calendar 2020 ("benefits year") occur between the Spring and Fall Board meetings, so budgeting is based on market trends. A moderately conservative 7% increase was budgeted in FY2020.

  Several factors with potential budget impact were still undecided as the budget preparation cycle came to an end:

- A major review and new visioning of ALA's organizational structure (the Steering Committee on Organizational Effectiveness, with support from Tecker International) was ongoing, with significant potential impact on Association structure and resources.
- Internal reorganization (including continued reorganization of ALA's core advocacy/public policy work) was ongoing.
- The sale was ALA's Chicago real estate assets was not yet completed. Sale was not completed until late in the 1st quarter of FY2020.

These would all potentially impact the FY2020 budget – as well as development of the FY2021 budget.

Key Investments in the Approved FY2020 Budget (October 2019) include the following:

Public Policy & Advocacy

- Support for year-two of the "Fly-In," an invitational (based on key Congressional districts in the upcoming legislative cycle) advocacy event timed early in the appropriations cycle.
- A revamped Library Legislative Day in early May (no Library Legislative Day was held in FY2019).
- Implementation of phase 2 of a pilot project in Salesforce, a customer-relations management system, also involved ALA Development, with technical support from ALA IT. Phase 1 was budgeted and completed in FY2019. Phase 2 included expansion of participation and addition of Einstein Plus Analytics. The focus of the continuing project

is on supporting collection and easy retrieval of "relationship" information which is critical to both advocacy and development.

- Development of the National Network was continued, based on a minimum of one key contact in every Congressional district and development of a ground-up network to support advocacy for libraries, their staff and the communities they serve. This requires a collaborative relationship with ALA Chapters/AASL Affiliates/ACRL Chapters, as well as state library agencies and other key groups. A FY2020 pilot project to test requirements and processes is slated, in cooperation with Florida, Alabama and New York.
- The Policy Fellows Program was continued, integrated with the National Network.
- Additionally, a project to use national conferences to reach key audiences was developed by Chapter Relations Office, Public Policy and Advocacy, PLA and AASL. The project will cover costs of participation in conferences attracting key audiences, e.g. National League of Cities Summit, National Association of Counties, National School Board Association, etc. The modest budget will cover the cost of exhibits and/or programming; existing personnel budgets will cover staff cost.
- Two positions were reallocated within the Association (FY2019) and were budgeted to be filled in ALA Public Policy and Advocacy in FY2020.

  Development
- Initial staffing increases laid out in the 2018 Development assessment were completed in FY2019. All positions will continue in FY2020.
- ALA Development will continue participation with ALA Public Policy and Advocacy (Washington) and IT on the Salesforce implementation.
- A Philanthropy Advisory Group (PAG), approved in 2019, will be implemented in FY2020, provided critical member support for the enhancement of ALA Development.

  ALA IT
- External review and assessment (DelCor) of IT in FY2019 resulted in reorganization, with addition of a CIO (interim) and reorganization of IT into two clearly-delineated operating groups (Applications, Infrastructure) for improved management.
- Implementation of the IT continues in FY2020.
  http://www.ala.org/aboutala/sites/ala.org.aboutala/files/content/governance/ExecutiveBoard/20192020Docs/ebd%2012.11%20IT%20Strategy%20%20Investment%20Presentation%20October%20Meeting%202019.pdf

We ended FY2019 with a roughly $2M unbudgeted loss. Coming after three successive years of deficit budgets, this set the stage for difficult FY2020 decisions.

2 - FY2020 STATUS

With the end of the fiscal year, a transition in Finance leadership at ALA, and the sale of ALA's Chicago real estate assets, attention shifted to changes in the approved FY2020 budget. While the approved budget stands, it became clear that operationally a number of significant changes

would, in fact, need to be accommodated in budget implementation. Significant urgency was added to this reconsideration by liquidity concerns.

American Library Association
Short-term Investments
FY 2016 through November 30, 2019
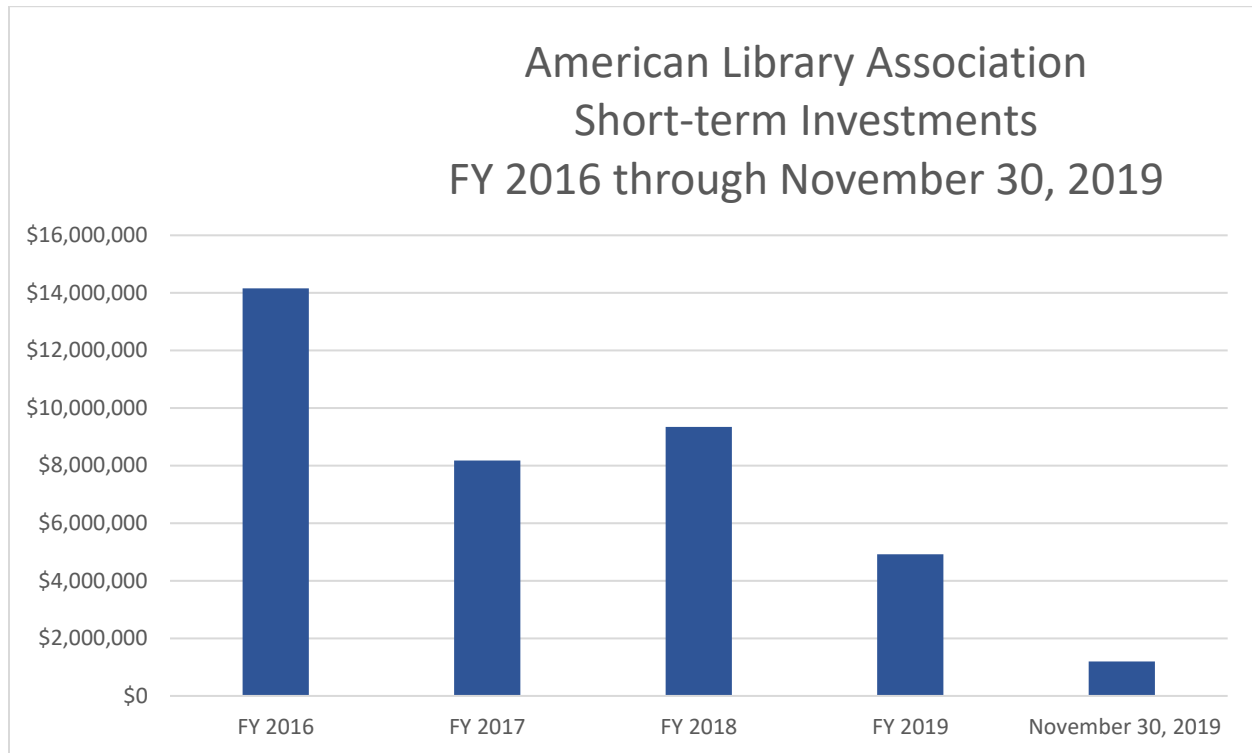
FY2020 additions:

$450,000 addition to IT depreciation: Late in FY2019, it became clear that the capital spending in IT was significantly over budget. The 2021 budget will be impacted by this addition – and also by the accompanying reductions in the 2020 and future capital budgets. This addition has a 2020 budget impact, but not a cash impact; the cash impact was absorbed in 2018 and 2019.

[NOTE: ALA IT capital expenses are typically depreciated over a five-year period, with 50% of the one-year depreciation in year one and six, and a full-year depreciation in years 2-5; cash impact is entirely in the year of purchase. So, depreciation from 2015 and 2016 expenditures will begin to roll off the current list, but new 2020 and 2021 expenditures will be added to the depreciation list.]

	Capital Requests	Capital Expenditures	Under (Over) Spent	
FY 2015	$ 33,808	$ 3,983	$ 29,825	
FY 2016	75,000	48,908	26,092	
FY 2017	124,000	50,362	73,638	
FY 2018	124,000	20,760	103,240	
FY 2019	150,000	10,302	139,698	
FY 2020	150,000			
	$ 656,808	$ 134,314	$ 372,494	

Internal process changes have been made to increase control; however, it was also necessary to adjust both the FY2020 operating and capital plans to accommodate this.

- To date, reductions in FY 2020 IT operating expenses are estimated at $300k.
- The following IT capital expenditures were pushed to FY 2021:
    - Business Intelligence Software Implementation - $100,000
    - CRM Salesforce Phase II Implementation & iMIS Integration - $127,266
    - Financial System cloud migration - $50,000
    - Data Center as a Service (DCaas) Design - $2,000 reduction in cost

$500,000 in new headquarters rent, based on standard accounting practice: As a result of lease negotiations, ALA will have no cash outlay for rent in FY2020 for the new headquarters. Accounting conventions, however, require ALA to record rent expense when ALA has the right to use the space (the move-in date). This addition has a 2020 budget impact, but not a 2020 cash impact.

- $100,000 in rent/property tax expense at Huron St. location: With the conclusion of the sale at 40 & 50 East Huron, ALA incurs rent and pro-rated property tax expense. This is anticipated at $328k (approximately $100k more than initially budgeted). This addition impacts both the 2020 budget and cash.

- $375,000 in estimated additional maintenance cost for time remaining at 40/50 E. Huron: The FY2020 budget was built on the assumptions that the sale would be completed before the start of FY2020 and a move-in date of December 1, 2019. With the lengthier sale process, some security and maintenance costs at 40/50 E. Huron need to be built back into the FY2020 budget. This addition impacts the FY2020 budget and cash.

- $25,000 in major repairs for the Washington Office space: ALA owns condominium space in Washington DC. Based on the need for a roof replacement, this is the

assessment to ALA from the condo board. This addition impacts both the 2020 budget and cash.

- $165,000 interest on financing: Because of liquidity concerns, ALA negotiated an increase in an existing line of credit.

  Additionally, in the process of the sale of existing headquarters and negotiation of a lease for the new headquarters, it became clear that, to the extent possible, ALA would be advised to maximize the contribution to the ALA Endowment and use a commercial loan for out-of-pocket costs of the move; the additional interest earned on money in the Endowment would exceed the interest paid to the bank on the money borrowed. Nevertheless, that interest must be budgeted. This has both an FY2020 budget and a cash impact.

- $500,000 estimated net shortfall on 2020 ALA Midwinter Meeting. Conference Services is estimating a $500,000 net shortfall on the 2020 ALA Midwinter Meeting. While this is not an "addition" such as the items above, it should prudently be addressed as early as possible in the FY2020 budget implementation. The net impact on the budget may change over the next several months, along with the impact on cash.

  Some changes have been made within the Midwinter budget: reduced staff travel to Midwinter, elimination of *Cognotes* at the Midwinter Meeting, reduction in AV (including some reduction in Council AV), as well as other reductions wherever possible in Midwinter budget lines. Any net reductions, as well as reductions in overhead received from the Midwinter Meeting, will impact revenues available for the Association and will be absorbed elsewhere in the budget.

FY2020 Expense Reductions:

- IT FY20 reductions are outlined on p.9.

- A conservative $325,000 net estimated in Salary Savings/Deferred Hires: This includes the change in the new Executive Director start date (to accommodate existing commitments of the designate), as well as delayed or deferred hiring for a number of open positions, including two in the ALA Washington Office (National Network), one in Communications and Marketing,

- $165,000 total, including $115,500 in the General Fund, from reversal of employee benefits increase: ALA's benefits' year begins on January 1, while the fiscal year is September 1. The current year budget is completed prior to the completion of annual benefits negotiations. ALA budgeted a prudent 7% increase in the cost of benefits but actual increase will be closer to 0%.

The need for FY2020 change has been reviewed with managers. Managers are being asked to do the following:
- Continue and accelerate where possible the good work they are doing to streamline processes, eliminate redundancies and enhance positive impact on members and mission.
- Review and reduce any discretionary spending over the coming months, based on member and mission impact.
- Defer/spread out major expenses to reach goals with manageable cash impact.
- Differentiate "nice to" and necessary wherever possible.

While necessary, these steps will ultimately be insufficient. It is essential that ALA reduce its organizational footprint. This will require both member leaders and staff to rethink both governance and operational practices, to weigh the costs against benefits from new projects and initiatives and focus on mission-critical issues and functions.

3 – BEYOND 2020

Attention in late FY2019 focused heavily on the 5-Year Plan – see http://www.ala.org/aboutala/sites/ala.org.aboutala/files/content/Finance/EBD%203.2%20BARC%203.2%205-Year%20Financial%20Plan%20FY20-24%20Fall%202019%20v1.pdf -- with particular attention on the work needed to close the **Investment Period to Post-Investment Period Gap.**

      Investment Period → Post-Investment Period Gap: The investment process represents an extraordinary effort to "jump start" change and growth. The investments represent significant potential for fundamental change in the operation of the Association – with a shift to accessible cloud-based services, a modernized working environment for staff, intentional organization for more digital interaction with and between members. At the same time, examination of the investment process makes it clear there are not just one-time but substantial ongoing costs, e.g. personnel, recurring events, ongoing IT services within the investments.

Over the past two years, both the Executive Director and the Chief Financial Officer had estimated that gap at $2-3M/year. The conclusion is that newer ways of working and organizing must replace – not layer over – existing processes and structure. The investment process must be seen by everyone as a fundamental change process, not a series of additions.

Realistically – both to address the short-term budget and cash issues and to allow time for revenue growth in both new and existing revenue areas, we will need to stretch out the investment period. This allows time for revenue growth.

Also on the list of strategies to fill that gap are:

- Endowment growth, based on sale of ALA's Chicago real estate assets: $5M was transferred to the Endowment Fund for investment on December 11, 2019. The annual increase in operating revenue for ALA is estimated at $250,000/year. The impact of the additional Endowment investment will be seen in the ALA Operating Budget beginning in FY2021.

  ALA Policy 8.5.1: *In the preparation of the ALA annual budget, the ALA Executive Director is authorized to include a payout rate of 3% - 5% of the five-year trailing calendar quarterly (20) rolling average of the net asset balance of the ALA Future Fund. Additionally, the Executive Directors of the Divisions and the liaisons for the Round Tables and others responsible for endowment funds are authorized to include in the preparation of their annual budgets, the anticipated payout value as provided by the Finance department. The payouts will be subject to any donor restrictions related to a particular fund and will be made from allowable temporarily restricted and unrestricted net assets. Additionally, the annual payout rate (3% - 5%) will be reviewed, determined and recommended by the ALA Endowment Trustees and the Finance and Audit committee of the ALA Executive Board, with final approval by the ALA Executive Board.*

  An additional $1M was transferred to the Short-Term Investment account, where it will have modest impact on the operating budget. An additional $250,000 will be received when ALA vacates the 40-50 E. Huron property; that will also go to the Short-Term Investment account.

- Revenue growth: The current version of the 5-year plan assumes relatively modest revenue growth within ALA's traditional business areas -- Publishing, Conferences and Membership. On average, growth projections are between 1-2%. Overall, these rates of growth are essentially "replacement" rates, basically supporting ongoing growth in salary and benefits costs and other normal inflation. This is positive, but not sufficient for long-term financial health.

- Development growth: The 5-year plan assumes Development gain of $300-$600,000 annually, based on continued investment in ALA Development.

- Expense reductions/offsets – Internal Reorganization: The initial reorganization has focused on three primary strategies:
  - Reducing the number of separate budgetary units within ALA (e.g. Offices), since the ALA's array of (generally small) offices results in duplicative activities
  - Examining contractual alternatives for essential but not mission-specific functions – areas not unique to ALA and its mission, and
  - Reevaluating areas where ALA was making investments insufficient to create sufficient impact on members or mission -- making careful prioritization choices, seeking alternative approaches and shifting resources to core mission or member impact areas.

ALA has consolidated two sets of offices. The Office for Literacy and Outreach Services was merged with the Office for Diversity to form the Office for Diversity, Literacy & Outreach. The Chicago-based Office for Library Advocacy was merged with the DC-based Public Policy and Advocacy Office.

Accounts Payable and Accounts Receivable functions (Finance & Accounting) were outsourced, to both reduce long-term costs and gain enhanced technology outside of ALA's core areas of technology investment.

Positions in several other areas were either reallocated (in lieu of adding new positions) or eliminated (cost-savings), including positions in the Office for Research & Evaluation, a senior management position and a support position.   The Office for Research & Evaluation was eliminated, with some functions shifted to the ALA Library and others to be handled through contractual services on an as-needed basis. The work of internal restructuring will continue.

Internal reorganization will necessarily continue. The organization cannot be sustained within current revenue growth projections.

- Broader ALA reorganization and process redesign: These are long-game strategies, involving significant work by member leaders and staff, as well as change to policy and governing documents, including Bylaws.

  - In 2018, the ALA Steering Committee on Organizational Excellence (SCOE) began work. A significantly diverse group of members (not explicitly "representational"), supported by a consultant (Tecker International) began work to answer the fundamental question "how might we best organize today" – based on feedback from members and consideration of our changed environment (e.g. technology-enabled, economically-challenged). That work has the potential to fundamentally change ALA's structure, both internally and externally, both opening up broader member participation and focusing attention on high-impact areas. Of particular note is SCOE's focus on digital communications/meetings and the increasing focus on simplification and consistency in structure and process. **Both complexity and unnecessary organizational and process variations drive costs across the Association in areas ranging from IT to staff utilization.**

  - Both financial stress and the work of SCOE highlighted the need to revisit the complex relationship between the Association and its Divisions, which, combined with ALA's own membership structure, has led to a nested structure with excessively complex pricing rules – significantly adding to the cost of IT, for instance; a competitive internal structure, and unsustainable economics.

- New Business Development: In 2017-18, the New Business Development group, including both executi leadership (both the ALA President and ALA Executive Director) and Endowment Leadership (Senior Trustee) recommended and the Endowment Trustees agreed to earmark $500,000 for new business development. The Executive Director was empowered to consider and fund proposals up to $25,000, with larger proposals to go to the Endowment Trustees
  - Two proposals of $25,000 or less were funded for Booklist, to test potential future options.
  - Booklist will present a longer-term product proposal to the Endowment Trustees in January 2020.
  - ALA Editions/Neal-Schuman received support to experiment with patron-facing brochures ("Grab-and-go Pamphlets") that were released in December 2018, with a focus on readers-advisory. The money committed by the Endowment Trustees supported production costs and a special marketing campaign to ensure the right decision-makers are reached with this new kind of product.

Having taken a bold step in making high-stakes investments, the question about how to retool, restructure and rethink for ongoing sustainability remains the high-priority focus for the Association.

Examination of financial performance over the past decade makes it clear that the current revenue/expense balance and structure is not sustainable. There are two challenges – each with different stresses. There must be fundamental change – which takes time. There must also be short-term changes or fixes to purchase the time needed to create long-term sustainability. The objective is to make ALA not just viable but strong for the coming decades.

In reviewing FY2020 recalibration options, business managers in all areas laid out work-in-progress that is aimed at revenue growth, greater member engagement and enhanced mission impact. The challenge over the coming few years will be to buy the time for current projects and changes to succeed.

Document Trail

- 2017-2018 EBD#14.9 ALA Executive Board, Spring Board Meeting: Planning for FY19 and Beyond.
- 5-Year Plan FY2019-2023 EBD#13.9 2017-2018
- 2017-2018 EBD#3.2 – ALA Executive Board, October 2018, FY 2019 Final ALA Budget
- 2018-2019 EBD#4.9 (BARC #4.9) – ALA Three-Year Investment Plan, October 25, 2018, updated January 17, 2019
- ALA Ten-Year Financial Results FY2009-FY2018 (INFO #4)
- 2018-2019 EBD#3.10 – ALA Executive Board, Spring Meeting: Planning for FY2020 and Beyond.

Gardner, Lee. *The Chronicle*. "Mega-Universities Are On the Rise. They Could Reshape Higher Ed as We Know It." February 18, 2019.

Subscription required: https://www.chronicle.com/interactives/Trend19-MegaU-Main

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