



# Cornell University Library BUDGET PLANNING

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Dear Colleagues,

Thanks to the creativity and cooperation of library managers and staff throughout our organization, we are making excellent progress toward our budget reduction of approximately \$675,000. At this point, one month into the new fiscal year, we have now identified about \$530,000 in savings. We have accomplished this by looking at every vacancy that occurs and coming up with a variety of strategies to avoid filling these positions. In some cases we are reassigning duties, and in others, we are making the decision to rely more heavily on a different level of staff or students to complete work. In a few cases, we have determined that the workload no longer requires our present configuration of staffing, and that a position is no longer essential. In other cases, we are planning to reduce our costs and increase our efficiency by relying on outside operations to support our work. Some staff have requested reduced hours, and we have agreed that we can meet key users needs with part-time assistance. The decision to make these changes is always the result of careful discussion and review, and we consider both the university's and library's priorities, best practices in the profession, and the impact of the decision on our ability to meet our core mission. We know there are trade-offs associated with each choice, and we know we can't always do more with less. The hard reality is that we have fewer resources with which to accomplish an expanding range of objectives. I am encouraged that we are so close to meeting our goal of identifying all necessary reductions by October.

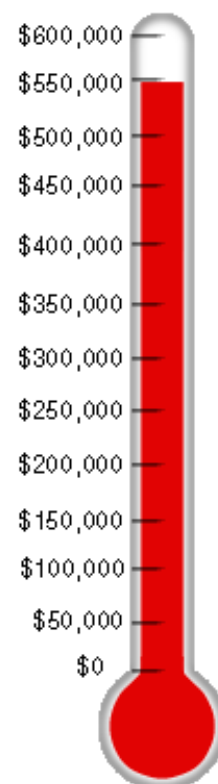
To a large degree, our cuts now are expedient, since we have had only a few months before the budget reduction went into effect to achieve a significant drop in spending. The savings I have reported to you have included only those in the endowed general purpose budget. At the same time the contract colleges and the Hotel Library, whose budgets are administered separately, are also experiencing constrained resources. Although they have not had specific targets for reduction, their units are also experiencing decreasing resources. Mann Library, the Lee Library in Geneva, and the Veterinary Library have lost positions, and the Veterinary Library will be cutting back on some hours. ILR's Catherwood Library has also received a small reduction in its materials budget. The Hotel Library has been reviewing its staffing, and in combination with the Management Library, is reducing costs through staff sharing and coordination of acquisitions.

Our situation at Cornell is not unique. The University of California system is heavily hit, with Berkeley suffering a \$700,000 decline in its materials budget, and UCLA has taken a 7% cut. At Ohio State,

## Did You Know...

Our recent external survey of budget reductions identified these as the top savings options for the 16 responding institutions:

- Reallocating staff (15)
- Consolidating library units (14)
- Reducing service points (11)



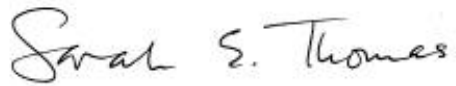
the library has 22 positions that are unlikely to be filled. Even Harvard confesses to tight times. Not that misery loves company, but at least we are able to compare notes and strategies with others. Economic constraints often foster cooperation, and there is evidence that regional, national, and international collaboration is increasing. At a meeting I attended in Chicago in July, participants planned for regional repositories of printed material, preparing for the time when some libraries will rely on shared repositories for access to print, especially print that has been converted into digital form, such as JSTOR journals or other commonly held periodicals. Cornell's MAS2010 (Models of Academic Support) project is looking at the feasibility of common services that can support library, campus, and regional needs in a cost-effective manner.

The LARIS (Library and Related Information Services Workforce Planning) team is also reviewing options for reducing costs in a systematic way. The Workforce Planning effort is strategic, rather than opportunistic. Unlike our budget reductions, which take advantage of vacancies as they occur, workforce planning seeks to restructure processes to be more efficient. We are still formulating our ideas, drawing on the rich reserves of data from our May survey of staff activities and other studies. We'll also be having an External Review Team visit the library on October 1 and 2. The External Review Team, comprised of Paula Kaufman, University Librarian, University of Illinois; Michael Keller, University Librarian, Stanford; and Ann Wolpert, Director of Libraries, MIT, will meet with staff, faculty, students, and administrators before making a report to Provost Biddy Martin. Their report will also be considered by the LARIS team. By mid-October or early November we should have some scenarios and recommendations for public consideration, at which time I'll schedule some town meetings for staff input.

Although it is very quiet here on this sunny August afternoon, I know how hard you have been working, even in the summer. You have all been contributing to the attainment of our goals. Many of you have just moved (Central Technical Services and staff in IRIS). Some of you have been preparing reports for evaluation by LMT or LARIS. Everyone has played a role in preparation for the arrival of students and the start of the new academic year. Personally, I am awed by your accomplishments and your spirit. Thank you for pulling together to create such an outstanding service for Cornellians. I'll end by sharing some comments that came my way this year. The first is from a faculty member in computer science: "I should note that I'm always extremely impressed with Cornell's library resources. In particular, the on-line collection is better than any other place I'm familiar with. It's a true pleasure to be able to pull up a key article in the middle of the night!" The second came from an award-winning scientist who credited the Physical Sciences Library: "One thing is quite certain, however; this would never have happened at all without the ready access I have had, all these years, to a first class science library!" From our humanists we heard that the library was instrumental in recruitment and a powerful plus for their academic review.

It's an honor to be associated with you, and I look forward to our continued progress in the coming year.

Sincerely,



Sarah E. Thomas  
Carl A. Kroch University Librarian

Your ideas, questions, concerns, and comments are welcome.  
Including your name is optional, but encouraged.

Name (optional)

Email (optional)

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# Cornell University Library BUDGET PLANNING



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# Cornell University Library BUDGET PLANNING

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## FAQ

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[23. I attended the Academic Assembly on April 30. Shortly before you](#)



[finished your portion of the presentation, it sounded to me like you said that Lee Cartmill had handed you a piece of paper that accounted for the \\$650,000 budget shortfall through attrition. Did I hear correctly? Does that mean we don't have to worry about layoffs this year?](#)

### ***1. Why did the library receive a budget cut?***

Cornell University, like other institutions of higher learning, is experiencing unparalleled financial uncertainties in both endowed and contract college sectors. The economic environment is contracting, with state contributions declining. At the same time, the University will protect its key priorities and is committed to strengthening academic initiatives, ensuring competitive faculty and staff salaries, and creating a strong undergraduate program. To close the gap between projected resources and planned program expenditures, the University has reduced endowed unit base budgets by approximately 2 percent, after allocating funds for pay improvement and inflation, for 2003/04. This budget reduction has been distributed differentially among endowed colleges and units, informed by the first phase of workforce planning, estimated savings of the network port changes, and institutional priorities. Additional reductions will likely occur in future years. At the same time, the contract colleges are facing significant cuts in programs and resources. Reductions in state funding for 2003/04 could be 15 percent or higher.

### ***2. What is the budget of the Cornell University Library?***

The total 2002/03 budget for the Cornell University Libraries (excluding the Medical College) is \$43,980,000. This includes all funding sources (university and state appropriations, deans funds, gifts, grants and other revenues, and endowment income) and is broken down as follows:

	Personnel \$ Other Non-Materials	Materials	Total
Endowed (incl. Hotel)	\$23,801,000	\$ 10,309,000	\$34,110,000
Contract Colleges	\$ 6,726,000	\$ 3,144,000	\$ 9,870,000
<b>TOTAL</b>	<b>\$ 30,527,000</b>	<b>\$ 13,453,000</b>	<b>\$ 43,980,000</b>

### ***3. What is the budget reduction for 2003/2004?***

The total extent of the budget reduction is not yet known. The University has notified the Library that the reduction for the endowed general purpose budget is approximately \$865,000 (after allocation for pay improvement and inflation). This target is reduced by savings resulting from the new telecommunications rate structure (including all public port costs being covered from central university funds), of \$215,000, resulting in a net reduction of \$650,000. This is a permanent reduction in the base budget of the Endowed general purpose budget.

In addition, since the University's endowments (like investments in general) have not performed well, the payout from endowments in both the endowed and contract colleges will drop by 10%. For the endowed libraries this represents an additional reduction of about \$217,000 in the library materials budget and about \$165,000 in income to support other library operations. Endowment payouts are calculated on a three-year rolling average, so if

market performance increases, the payout will increase. If the market continues to decline, the payout will also continue to decline.

Libraries not included under the Endowed general purpose budget (Entomology, Geneva, Hotel, ILR, Mann, and Vet) have not received their budgets as of 3/27/03, but state funding could decrease by 15% or more.

#### ***4. How will the Library handle the budget reduction?***

The Library will solicit ideas and suggestions from all quarters, including library staff, users, and colleagues at other institutions who are experiencing similar cuts. The Library Management Team will review them from the system-wide perspective and make recommendations to the University Librarian, who will make the final decision about reallocation and reductions. This effort will address the more immediate need to reduce spending.

In parallel with this effort, the University Librarian will chair a Library and Related Information Services Workforce Planning Steering Committee formed to make recommendations about how the Library could achieve 10% and 20% reduction and reallocation scenarios. Charged by the Workforce Planning Team, the Steering Committee's recommendations will ultimately be approved by the President, Provost, and Vice President for Administration and Chief Financial Officer. The Workforce Planning review takes a strategic look at resources.

These two initiatives combined will identify and evaluate areas for savings. The Workforce Planning effort is designed to help us manage our budget cuts; savings we identify through Workforce Planning initiatives can be applied to our budget reduction targets. We anticipate further reductions in 2004/2005, and at the same time we know that libraries have expanding responsibilities in many areas. We must reduce or curtail our spending in some areas in order to add emphasis in others.

#### ***5. Are all areas of the budget equally affected? Personnel? Library Materials? Operating expenses?***

The budget reduction is targeted primarily at the non-materials portion of the endowed general purpose budget, of which nearly 90% is personnel related. The endowed materials budget received a small increase, although with the negative impact of the endowment payout decrease and inflation in publications, it will be insufficient to maintain the status quo in purchases. In addition, some contract college libraries have received decreases in the materials budget. For example, Mann Library received a 1% reduction in the base materials budget in 2002/2003 and there is little confidence that the materials budget will increase in 2003/2004.

#### ***6. What values will drive the budget reduction process?***

The Library's mission statement outlines the library's values and these principles will inform our budget reduction process. They are repeated below:

Values ([Goals and Objectives 2002-2007](#))

- Our primary focus is on users.
- We are committed to excellence.
- We respect and treat users and each other with helpfulness and courtesy.
- We embrace diversity in all its forms.

We are a trusted source of information, printed and digital.  
We support self-education, learning, research, and scholarship.  
We are full participants in the educational process.  
We are flexible, proactive, and cooperative.

In addition, LMT and the Council of Librarians have identified the following assumptions as approaches to budget review:

1. Minimizing layoffs is a priority, although it is possible that some will occur.
2. We should protect specialized research that is distinctive.
3. We should protect key user priorities.
4. We will normalize services if they result in savings or improved user efficiency
5. The whole budget, including materials, will be reviewed in considering the impact of systemic changes.
6. We should eliminate duplication of content in multiple formats where possible.
7. We will protect the Library's future through the support of important goals.

### ***7. What is the timeframe for planning and implementation?***

We have already begun planning. It is important to identify some savings immediately because our reduced budget will take effect in July 2003. However, we need to assess the impact of recommendations and communicate them to others, so our implementation dates are not fixed. We should implement most recommendations by January 2004.

### ***8. How can I get involved in the process?***

You can contribute recommendations and solutions by sharing them with your supervisor, by discussing them in unit or functional group meetings, or by sending them to the [suggestion box](#). In some cases the Library will be establishing small teams to evaluate ideas, and you may be asked to share your expertise with these teams.

### ***9. Will there be layoffs?***

We don't know yet, but if layoffs are necessary we will use attrition to minimize the number required. In addition, we may need to reassign and retrain people to perform in the areas where the needs are greatest. We are calculating the number of vacancies that occur during a year and estimating the savings they would yield if we were able to freeze them.

### ***10. Won't the vacancies occur unevenly in the organization and won't some critical positions need to be filled?***

Yes, some positions will need to be filled from outside. These may require special subject, language, or technical expertise that we do not have in the library, so we will continue to recruit for some openings.

### ***11. If layoffs occur, what procedures will you follow?***

If layoffs among non-academic staff occur, the Library will follow Cornell [University Policy 6.12](#): Separations, Voluntary and Involuntary, Including Layoff (Excluding Academic and Bargaining Unit Staff). The appointments of

academic staff are governed by [CUL Procedure #13](#): Appointment and Promotion of Librarians.

## ***12. Is the Library offering retirement incentives?***

If retirement incentives are offered on the endowed side, they will be part of a university plan. Should New York State offer a retirement program for 2003/2004, some employees in the contract colleges may be eligible for state programs. No programs have been announced at this time. The University may consider other incentives to reduce personnel costs. For example, the Library may offer full-time employees the possibility of converting to half-time or three-quarters time status.

## ***13. Will library employees receive pay raises in 2003/2004?***

The University has provided the Library with funding for the endowed pay improvement program. Information on contract colleges will be forthcoming, but we expect that there will be a pay improvement program throughout the Cornell University Library in 2003/2004.

## ***14. What is workforce planning?***

The University has adopted workforce planning to review several administrative functions: alumni affairs and development, facilities, finance, human resources, information technology, and student services. Information about workforce planning is available [online](#). Each workforce planning effort is slightly different, but the goal is to review processes to ensure university-wide effectiveness. On February 28, 2003, Carolyn Ainslie, Vice President for Planning and Budget, and chair of the Workforce Planning Team, charged the University Librarian with establishing a Steering Committee to

- Document the resources devoted to campus information services that support academic research, teaching, and outreach and describe the manner in which these services are funded, organized, and staffed.
- Review functions that fall into the general categories of technical services, public services, collection development, and information systems. The review should examine the purpose and extent of replication of effort and resources associated with these functions and consider if another structure would result in a more cost-effective delivery of service without compromising quality. Develop planning scenarios to achieve 10% and 20% savings in costs, excluding funds committed to acquisitions of library materials.
- Consider the extent and manner to which each library unit is used and the cost and space required to effectively operate each library unit, develop different scenarios that could reduce the overall cost of providing service without reducing essential service quality. This review should include, but not be limited to, examining possible unit consolidation.

## ***15. Why did the Library offer to participate in workforce planning?***

During the process of establishing its Goals and Objectives for 2002-2007, the Library Management Team recognized that additional resources would be necessary to accomplish its goals. These funds would come from fundraising, the university, or internal reallocation. Since the economic downturn, it seemed that reallocation was the alternative that was the most within the Library's control. Workforce planning is a tool for reengineering that can potentially be of great use to the Library. Having the benefit of access and

attention from senior administrators of the university is also an attraction as it offers the opportunity to affirm the library's critical role in the teaching and research mission of the University. The scope of the workforce planning effort encompasses the endowed, contract college, and hotel libraries.

***16. How do the budget reduction, the Goals and Objectives 2002-2007, Workforce Planning, and Models of Academic Support 2010 relate to one another?***

The Library's [Goals and Objectives 2002-2007](#) establish priorities and directions for the library over the next five years. These Goals and Objectives remain as a blueprint for the Library's activities, even in the face of a budget reduction, although progress on them may be slowed with fewer resources at hand to accomplish them. Models of Academic Support 2010 is a planning grant to examine where the library and information services to support academic programs should be in 2010. Workforce Planning is a tool to identify potential new structures and modes of delivering information that would lead to savings. These savings will enable us to absorb the budget reduction and still meet priority service requirements. Savings beyond the budget reduction will provide the resources to accomplish our goals and objectives.

***17. Can the Library save money through energy reduction?***

Energy conservation is an excellent approach for Cornell to reduce spending. Turning off lights when they are not needed and shutting down your computer when you leave for the day are two ways in which the university can achieve savings. The Library is not charged for its energy consumption, however, so the savings will not show up in our budget. Nonetheless, if we are careful consumers of energy, the university will benefit, and that helps all units.

***18. Can the Library reduce travel?***

The Library has reduced its expenses for administrative travel by 40% in the last year, saving several thousand dollars by driving and sharing rides, taking the bus, and requesting reimbursement from organizations when invited to be a speaker or consultant. The Library Management Team feels that professional development is an important component of the work of the Library staff and that travel to conferences can result in importing ideas that can improve our services and effectiveness. Thus we continue to support attendance at meetings and conferences. However, we are planning on coordinating attendance more carefully to reduce multiple attendees at some events, and we are encouraging everyone to choose transportation options and hotels carefully.

***19. Can we use money provided by the university for the pay improvement program (PIP) toward meeting our budget reduction goal?***

Several staff have offered to give up their PIP in order to save positions. This is a very generous offer, but it is not one that University Human Resources supports. Over the past several years the University has made a concerted effort to bring staff pay up to market levels, and the Library has supplemented University funds in order to increase salaries. To provide little or no increase in pay this year would erode the advances we have made. The University is striving to have a more efficient operation, with employees who are fairly rewarded for their contributions. We are pleased that the University, even in a tight budget year, has remained committed to improving faculty

and staff salaries.

***20. What were the results of the recent 'Convenient Business Hours' study? Will CUL reduce its hours of operations due to budget cuts? Or, will we be expanding our hours of operations in response to patrons' needs/wants?***

Last year's LibQual survey revealed a concern among our users about "convenient business hours" in the libraries. Those surveyed indicated that we were not meeting their desired hours. To learn more about the needs of our students and faculty, the Library conducted a survey on the meaning of "convenient business hours," the services we should provide, and where additional hours might be the most beneficial. We are still analyzing the results; they have not yet been presented to LMT. However, it seems unlikely that we will adopt a "one size fits all" approach since there is considerable variation in the use of our libraries. Having the data will be very useful as we make decisions about where and when we should offer services.

***21. Is digitization part of our core mission? Should we be digitizing materials that exist in our collection in another format? When we digitize materials from our collection, don't they benefit primarily users outside Cornell, rather than our core community of Cornell faculty and students? Shouldn't we rely primarily on grant funding for digitization?***

Cornell's successful digitization program has been almost exclusively grant-funded. Some users and staff have expressed concern about spending any university funds on in-house digitization, believing that we should not invest in reformatting items we own in paper. However, some of the most heavily used resources we have are JSTOR journals, which have been reformatted by a third-party and which are then sold by subscription to libraries. Increasingly scholars find that the access to digital materials allows them to mine texts more productively and creatively than they can with traditional materials. Commercial vendors are investing heavily in digitization, and we are purchasing access to their products. The Council on Library and Information Resources (CLIR) has written to university presidents, calling on them to consider a mass digitization project that would keep the rights for digitized information within the academy and that would create a critical mass of documents and materials to serve a variety of scholarly needs.

In the Library's Goals and Objectives, Goal I calls on the Library to allocate a portion of the Library budget for digital conversion of analog holdings. This goal is consistent with the best practices of other leading institutions, including the members of the Digital Library Federation and members of the Association of Research Libraries. Cornell faculty and students benefit from materials we convert here, but also from a growing global "library" of digitized materials. Thus, although one might argue that the cost per Cornell user of digitized materials is high, one must also take into account the benefits our users derive from resources other libraries have contributed. A reasonable parallel might be the support of special collections in libraries, where we invest millions of dollars for the common good, rather than because there is consistent, high local demand.

We have protected the collections budget for the acquisition of materials new to the collection or for licensed access to commercially produced publications. To date, no acquisitions funds have been spent on in-house digitization, and our plan is to continue to use gift funds and grant funds for that purpose. However, with the rising demand by faculty in all disciplines for access to digitized text and images, and our experience with heavy use by students of

online materials, we do not plan to reduce expenditures for digitization.

***22. Could we put a donation box near the exits of major library buildings, like the one near the door of the Johnson Art Museum? The revenue generated would be small, but might help with the supplies budget or cover other small expenses.***

Since students are our primary users (along with faculty) and pay tuition that goes partially to support the libraries, it is likely that donation boxes would not be well received nor used. I would guess that a majority of the Museum's visitors are not affiliated with the University and might therefore be more willing to donate to help cover the costs of operation. The library does provide other means for the public to donate such as the honor with books program (brochures are available in many libraries) and with giving links on the Alumni and Friends Access web site.

***23. I attended the Academic Assembly on April 30. Shortly before you finished your portion of the presentation, it sounded to me like you said that Lee Cartmill had handed you a piece of paper that accounted for the \$650,000 budget shortfall through attrition. Did I hear correctly? Does that mean we don't have to worry about layoffs this year?***

We have identified positions that are currently vacant or that we expect will become vacant in the near future (for instance, through retirements). The salaries and benefits for these positions amount to approximately \$650,000. Some of these positions can remain vacant but others will need to be filled. The Library Management Team is evaluating the options presented by these vacancies and is also reviewing other possible savings unrelated to current staffing vacancies. It is reasonable to expect that a significant proportion of the budget reduction, but not all, can come from these vacant positions. We need to continue to look at ways to save not only for 2003/04, but also for anticipated reductions in subsequent years. As we have said, we will do our best to minimize layoffs, but as of this moment cannot say for sure that there will be none for this year.

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# Cornell University Library BUDGET PLANNING



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### June

June 30 : Brown Bag with Janet McCue: Open questions on budget, budget policies, workforce planning.  
Noon to 1 PM in Room 703 Olin Library.

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## Documentation

[updates](#) [Aug. 7 Letter to Cornell University Library Staff from Sarah Thomas](#)

[faq](#) **Useful resources on budget cuts at other institutions:**

[calendar](#) [www.ala.org/pio/funding\\_cuts.html](http://www.ala.org/pio/funding_cuts.html)

[documentation](#) [www.lib.virginia.edu/libra/v9.4/budget.html](http://www.lib.virginia.edu/libra/v9.4/budget.html)

[contacts](#) [www.lib.virginia.edu/budget\\_faqs.html](http://www.lib.virginia.edu/budget_faqs.html)



[www.dartmouth.edu/~library/memofaculty.shtml](http://www.dartmouth.edu/~library/memofaculty.shtml)

[www.dartmouth.edu/~library/oldlibindex.shtml](http://www.dartmouth.edu/~library/oldlibindex.shtml)

[www.acs.ohio-state.edu/offices/facultycouncil/BRDeansULIB.pdf](http://www.acs.ohio-state.edu/offices/facultycouncil/BRDeansULIB.pdf)

[www.lib.berkeley.edu/Collections/index.html](http://www.lib.berkeley.edu/Collections/index.html)

Hennen, Thomas J. Jr., "Performing Triage on Budgets in the Red" *American Libraries* 34, no. 3 (March 2003): 36—39.

ARL Bimonthly Report 225 December 2002—[Collections & Access for the 21st-Century Scholar: Changing Roles of Research Libraries](#). A Report from the ARL Collections & Access Issues Task Force

## CUL Budget-Related Documentation:

[CUL Budget Graphics, 2002—2003](#)

[CUL Survey of Other Libraries' Responses to Budget Cuts](#)

[Goals and Objectives, 2002—2007](#)

[CUL Annual Report 2001—2002](#) (PDF)

[Library and Related Information Services \(LARIS\) Workforce Planning](#)

[CUL Workforce Planning - Technical Services Spring 2003](#)

[CUL Workforce Planning - Technical Services Review for LMT](#) (PPT)

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## Cornell University Library BUDGET PLANNING



### Questions

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Your ideas, questions, concerns, and comments are welcome.  
Including your name is optional, but encouraged.

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Name (optional)



Email (optional)

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## **Update**

### **August 7, 2003**

Dear Colleagues,

Thanks to the creativity and cooperation of library managers and staff throughout our organization, we are making excellent progress toward our budget reduction of approximately \$675,000. At this point, one month into the new fiscal year, we have now identified about \$530,000 in savings. We have accomplished this by looking at every vacancy that occurs and coming up with a variety of strategies to avoid filling these positions. In some cases we are reassigning duties, and in others, we are making the decision to rely more heavily on a different level of staff or students to complete work. In a few cases, we have determined that the workload no longer requires our present configuration of staffing, and that a position is no longer essential. In other cases, we are planning to reduce our costs and increase our efficiency by relying on outside operations to support our work. Some staff have requested reduced hours, and we have agreed that we can meet key users needs with part-time assistance. The decision to make these changes is always the result of careful discussion and review, and we consider both the university's and library's priorities, best practices in the profession, and the impact of the decision on our ability to meet our core mission. We know there are trade-offs associated with each choice, and we know we can't always do more with less. The hard reality is that we have fewer resources with which to accomplish an expanding range of objectives. I am encouraged that we are so close to meeting our goal of identifying all necessary reductions by October.

To a large degree, our cuts now are expedient, since we have had only a few months before the budget reduction went into effect to achieve a significant drop in spending. The savings I have reported to you have included only those in the endowed general purpose budget. At the same time the contract colleges and the Hotel Library, whose budgets are administered separately, are also experiencing constrained resources. Although they have not had specific targets for reduction, their units are also experiencing decreasing resources. Mann Library, the Lee Library in Geneva, and the Veterinary Library have lost positions, and the Veterinary Library will be cutting back on some hours. ILR's Catherwood Library has also received a small reduction in its materials budget. The Hotel Library has been reviewing its staffing, and in combination with the Management Library, is reducing costs through staff sharing and coordination of acquisitions.

Our situation at Cornell is not unique. The University of California system is heavily hit, with Berkeley suffering a \$700,000 decline in its materials budget, and UCLA has taken a 7% cut. At Ohio State, the library has 22

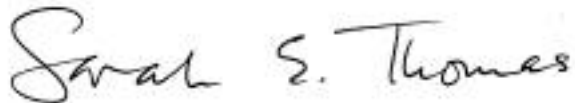
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The LARIS (Library and Related Information Services Workforce Planning) team is also reviewing options for reducing costs in a systematic way. The Workforce Planning effort is strategic, rather than opportunistic. Unlike our budget reductions, which take advantage of vacancies as they occur, workforce planning seeks to restructure processes to be more efficient. We are still formulating our ideas, drawing on the rich reserves of data from our May survey of staff activities and other studies. We'll also be having an External Review Team visit the library on October 1 and 2. The External Review Team, comprised of Paula Kaufman, University Librarian, University of Illinois; Michael Keller, University Librarian, Stanford; and Ann Wolpert, Director of Libraries, MIT, will meet with staff, faculty, students, and administrators before making a report to Provost Biddy Martin. Their report will also be considered by the LARIS team. By mid-October or early November we should have some scenarios and recommendations for public consideration, at which time I'll schedule some town meetings for staff input.

Although it is very quiet here on this sunny August afternoon, I know how hard you have been working, even in the summer. You have all been contributing to the attainment of our goals. Many of you have just moved (Central Technical Services and staff in IRIS). Some of you have been preparing reports for evaluation by LMT or LARIS. Everyone has played a role in preparation for the arrival of students and the start of the new academic year. Personally, I am awed by your accomplishments and your spirit. Thank you for pulling together to create such an outstanding service for Cornellians. I'll end by sharing some comments that came my way this year. The first is from a faculty member in computer science: " I should note that I'm always extremely impressed with Cornell's library resources. In particular, the on-line collection is better than any other place I'm familiar with. It's a true pleasure to be able to pull up a key article in the middle of the night!" The second came from an award-winning scientist who credited the Physical Sciences Library: "One thing is quite certain, however; this would never have happened at all without the ready access

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It's an honor to be associated with you, and I look forward to our continued progress in the coming year.

A handwritten signature in dark ink that reads "Sarah E. Thomas". The script is cursive and fluid, with the first name "Sarah" being more prominent than the last name "Thomas".

Sarah E. Thomas  
Carl A. Kroch University Librarian



# Cornell University Library BUDGET PLANNING

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**August 7, 2003**

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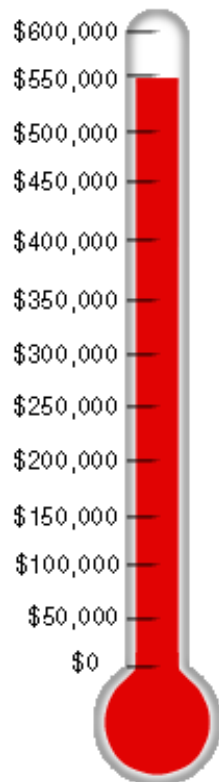
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## Did You Know...

Our recent external survey of budget reductions identified these as the top savings options for the 16 responding institutions:

- Reallocating staff (15)
- Consolidating library units (14)
- Reducing service points (11)



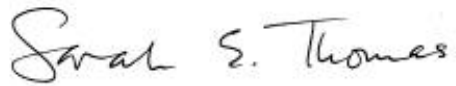
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Sarah E. Thomas  
Carl A. Kroch University Librarian

Your ideas, questions, concerns, and comments are welcome.  
Including your name is optional, but encouraged.

Name (optional)

Email (optional)

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# Cornell University Library

## BUDGET PLANNING

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**July 2, 2003**

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Dear Colleagues,

As we move into the hot summer and the new fiscal year, I want to update you on our progress toward meeting our budget reduction target of approximately \$675,000. The Library Management Team has been evaluating over 50 proposals to save money, and we are continuing to gather information about the potential savings and the impact of various suggestions. Since we started in March we have cut the Library's base budget by approximately \$400,000, leaving us with about \$275,000 in cuts to identify before October, the deadline I have set to complete our decision making on reduction.

So far we have realized savings by planning to reduce the number of volumes we are binding, a decision made possible by the increasing use of electronic titles, saving wear and tear on their print versions; by freezing a portion of the vacancies occurring in Central Technical Services; by allocating selection responsibilities held by retiring Yoram Szekeley to Martha Crowe (religion), Patrick Stevens (Jewish Studies), and Kizer Walker (classics); and by eliminating positions in IRIS and Library Administration. Although we have concentrated on areas where we can make substantial savings, we have also sought to reduce travel costs and make economies in other ways. Thus a number of those attending the American Library Association annual conference in Toronto shared a bus, and we are cutting back on administrative travel. We shall be suspending the Internal Grants program for one year. However, we intend to continue the Library Fellows program, recruiting one candidate, who will be placed in an area of need. The Fellows program has been part of a plan to increase diversity in the library, and we don't want to jeopardize the progress we are making toward developing our library staff to reflect better the community we serve.

We anticipate implementing several other ideas to cut spending. One approach that we are intending to put into place once we have clarified our policy is the elimination of paper copies when we also hold electronic versions. Some print copies with online access will remain—titles popular for browsing, items in subjects where we expect to have a responsibility for maintaining a print archive, or other special use materials. The savings that will result from this change in policy will show up in the materials budget, but also in processing, binding, and shelving. Many other libraries are also making this transition at this time for similar reasons as we are. Another way in which we plan to save money is by increasing the use of approval plans, something our peers at Columbia, Princeton, and Stanford have already done. By defining our collection profile in a manner which allows book vendors to supply appropriate titles for our collections, we save the cost of placing firm orders in acquisitions and enable our selectors to concentrate on acquiring unique materials and spending more time reaching

out to scholars.

Some suggestions entail a structural assessment of various library operations. Are there ways in which we can streamline operations and reduce overhead? These considerations fall in scope for our workforce planning review. Information we collected from the staff survey and other statistics we have compiled are being shared with the Library and Related Information Services Workforce Planning Team who will be developing strategies for possible savings. The Library Management Team will be generating scenarios on July 16, and a team of consultants will also provide ideas. Finally, in the fall, the Library will undergo an external review by experts who we expect will make additional recommendations.

Our ability to meet our target is well within our grasp. In some cases we will have to change our practices, but we will preserve our priorities of strong service to our Cornell students and faculty. Current indications are that we will receive an additional budget reduction next year, so we intend to continue to identify areas in which we can economize or cut back. Thus we can expect 2003/2004 to be a year of continuous assessment and one in which fewer new initiatives are launched. We will focus carefully on our top priorities, which we shall align with those of the university.

Many of you have contributed suggestions and have supported our review through data gathering and analysis. I am very grateful to you for your thoughtful comments and good will. Thanks to your collective effort, we are making excellent progress.

Sincerely,

Sarah

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# Cornell University Library

## BUDGET PLANNING

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I want to give you a brief update on our progress toward meeting our budget reduction target for 2003/2004. We need to reduce our base spending by approximately \$675,000. We have identified almost \$300,000 in savings to date, and members of the Library Management Team and I continue to review other options. When retirements and other departures occur, we are looking first to see if we can assign duties to others on staff, rather than posting the position. This requires some creativity and flexibility on the part of those taking on new responsibilities. Sometimes it means that we will have to accept that some things we have done in the past will not get done. At this point we have reduced staff size by 7.5 FTE.

Although the new fiscal year begins on July 1, I expect it will take us at least three more months to determine how we will balance our budget. We will use salary savings from vacant positions and other discretionary funds to close the gap until we have identified permanent solutions.

In the meantime, the Library and Related Information Services Lead Team continues to meet. I am pleased to say that we had 100% participation in the library survey and that we now have a rich source of data to give us a comprehensive picture of how we devote our time in the Cornell University Library. The next step is to analyze this and other data and to produce scenarios for more efficient approaches that can result in savings. My plan is to solicit scenarios from three groups-- the LARIS team, the Library Management Team, and a pair of external consultants who specialize in budget reduction. We compare these scenarios and see if there are any that hold promise. Later in the fall we will invite three or four librarians and administrators to serve on an External Review Panel. This group will assess the Library's programs and report their findings to the provost. This External review will be similar to the Academic Program reviews that are routine for academic departments. It will be an opportunity to recognize our accomplishments and to highlight areas where we would like to develop. Candidates for the team are being considered now, and the provost should issue invitations in the next few weeks.

Karen Calhoun, Anne Kenney, and I have all held brown bag lunches to answer questions you have had about the budget and to keep you posted on what's happening. Janet McCue will hold the next session on Monday, June 30th, noon - 1PM in 703 Olin Library. As we receive questions we post them in the FAQs on the budget web site <http://www.library.cornell.edu/staffweb/strategy/faq.html>.

Thank you for your support and your ideas as we meet this challenge.

Sincerely,

Sarah

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# Cornell University Library

## BUDGET PLANNING

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### Update April 16, 2003

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I'd like to update you on the Library's budget reduction process and the Library and Related Information Services (LARIS) Workforce Planning activity. Over the past few weeks the Library Management Team has held several two-hour meetings. We brainstormed a list of ideas and voted on which ones held the most promise for further investigation. In our meetings we debate the merit of each item, make sure we all understand what is meant by the suggestion, and then decide what additional information we need to be able to decide if we will implement the recommended cost-saving measure. A suggestion that we eliminate print if electronic versions are available gets qualified in our deliberations. How many journals exist in both in print and paper? What would the savings be in acquisitions, processing, shelving, and preservation? What about journals like Science and Nature that faculty and students like to browse in paper form? What does a decision to eliminate say about our commitment to enduring access? How can we work with other libraries to share the responsibility for archival access? How would we communicate this decision to faculty? What would the impact be on staffing? This one example, which outwardly seems so simple, reveals the complexity of our task. In each case, we designate a member of the Library Management Team to explore the idea further through data gathering and discussions in committees and with other staff.

Over the next few weeks and longer, we shall accept and reject ideas, eventually achieving our target reduction. Along the way, there is plenty of opportunity for input. Recently I consulted with our Student Library Advisory Council about the budget. In addition to urging us to think about energy reduction, they proposed instituting a fee for borrowing laptops, charging scholars from outside Cornell to use our special collections, or putting a price on use of ILL. Last Monday I held the first of a series of brown-bag lunches in which you could ask me directly what was happening and contribute ideas. This was a good opportunity for me to hear people's concerns firsthand. Some of the questions I was asked there will find their way into the FAQ on the budget website (<http://www.library.cornell.edu/staffweb/strategy/>)

On April 2 I chaired the first meeting of the LARIS workforce planning steering committee. The members of the committee are Patsy Brannon, dean of human ecology; Dan Huttenlocher, professor in the Johnson School and in computer science, Scott MacDonald, professor of philosophy; Eric Nelson, professor of plant pathology; John Sebastian, graduate student in medieval studies; and Paul Streeter, liaison from the Office of Planning and Budget. This was an orientation session to review the charge, get an overview of the library, and chart out our course. The committee members asked about trends in print versus electronic, about comparisons in staffing and productivity with peer institutions, and about potential differences by discipline. They were also interested in the extent of duplication in our

collections and acquisitions, and in why the collections weren't also in scope for the review. Pat Schafer, Lee Cartmill, and Ed Weissman are helping me by gathering data for the committee, and they have been working with Karen Calhoun and others in the Library to devise a survey instrument to collect the information that has been requested. I'll be asking you to help us by completing the survey when you receive it in early May.

I've been warmed by the positive manner in which people are approaching the budget situation. There have been many constructive suggestions, and they are accompanied by great concern for the well being of our staff. We have identified about 10% of our budget reduction goal so far, but we have several other promising ideas under consideration.

Check the budget web site for updates and keep submitting your recommendations. I'll write again in a couple of weeks.

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# Cornell University Library

## BUDGET PLANNING

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**Update**  
**March 28, 2003**

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Recently, I distributed to all of you a [memorandum](#) describing the nature of the budget reductions facing the Library. The economic environment is very challenging now, and in the budget for 2003-2004, which the University has recently released, the Library will experience another significant reduction in its general-purpose budget, totaling approximately \$650,000. This is a permanent reduction to the base of the endowed general purpose budget (excluding materials), which is \$18,048,030 for 2003/2004. In addition, the Library will receive a 10% reduction in endowment payout, a reduction from this year's income of about \$380,000. Libraries not included under the endowed general purpose budget (Geneva, Hotel, ILR, Mann, and Vet) have not received their budgets, as of 3/27/03, but we know they too are under great strain. Indeed, throughout the university and at many, many other universities, there are similar shortfalls in revenue and expectations of budget cuts.

I have established this Library Budget Planning Web site to ensure access to information as it becomes available and to facilitate your input into the effort. We will be adding new information on a regular basis, via frequent communiqués from me or other members of the Library Management Team.

This site contains an [FAQ](#) containing 16 questions already asked by library staff. We'll continue to populate this database as new ones are received. There is a [question/suggestion box](#) to facilitate your direct input. We've also begun a [calendar](#) of events and if you click on that link, you will note that there are several forums scheduled over the next two months for discussions of the budget and planning process. To put this effort into context and to stimulate new ideas, we'll post information under the [documentation](#) link on budget planning efforts underway within the Library, the university, and elsewhere. Check the link frequently for new information. The [contact](#) link will take you to lists of various planning groups and other resources.

The site will continue to grow. We'll add information on the Work Force Planning effort, a planning and implementation timeline, and projections on how we're meeting our goals. Ideas and suggestions for other additions are welcome.

Sincerely,

*Sarah S. Thomas*

**Did You Know...**  
that of the 48 respondents to a recent ARL survey of library directors, 31 anticipated budget cuts in the next fiscal year?

Sarah E. Thomas  
Carl A. Kroch University Librarian

Your ideas, questions, concerns, and comments are welcome.  
Including your name is optional, but encouraged.

Name (optional)

Email (optional)

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## FAQ

### ***1. Why did the library receive a budget cut?***

Cornell University, like other institutions of higher learning, is experiencing unparalleled financial uncertainties in both endowed and contract college sectors. The economic environment is contracting, with state contributions declining. At the same time, the University will protect its key priorities and is committed to strengthening academic initiatives, ensuring competitive faculty and staff salaries, and creating a strong undergraduate program. To close the gap between projected resources and planned program expenditures, the University has reduced endowed unit base budgets by approximately 2 percent, after allocating funds for pay improvement and inflation, for 2003/04. This budget reduction has been distributed differentially among endowed colleges and units, informed by the first phase of workforce planning, estimated savings of the network port changes, and institutional priorities. Additional reductions will likely occur in future years. At the same time, the contract colleges are facing significant cuts in programs and resources. Reductions in state funding for 2003/04 could be 15 percent or higher.

### ***2. What is the budget of the Cornell University Library?***

The total 2002/03 budget for the Cornell University Libraries (excluding the Medical College) is \$43,980,000. This includes all funding sources (university and state appropriations, deans funds, gifts, grants and other revenues, and endowment income) and is broken down as follows:

	Personnel \$ Other Non-Materials	Materials	Total
Endowed (incl. Hotel)	\$23,530,000	\$ 10,580,000	\$32,883,000
Contract Colleges	\$ 6,726,000	\$ 3,144,000	\$ 9,870,000
<b>TOTAL</b>	<b>\$ 30,256,000</b>	<b>\$ 13,724,000</b>	<b>\$ 43,980,000</b>

### ***3. What is the budget reduction for 2003/2004?***

The total extent of the budget reduction is not yet known. The University has notified the Library that the reduction for the endowed general purpose budget is approximately \$865,000 (after allocation for pay improvement and inflation). This target is reduced by savings resulting from the new telecommunications rate structure (including all public port costs being

covered from central university funds), of \$215,000, resulting in a net reduction of \$650,000. This is a permanent reduction in the base budget of the Endowed general purpose budget.

In addition, since the University's endowments (like investments in general) have not performed well, the payout from endowments in both the endowed and contract colleges will drop by 10%. For the endowed libraries this represents an additional reduction of about \$217,000 in the library materials budget and about \$165,000 in income to support other library operations. Endowment payouts are calculated on a three-year rolling average, so if market performance increases, the payout will increase. If the market continues to decline, the payout will also continue to decline.

Libraries not included under the Endowed general purpose budget (Entomology, Geneva, Hotel, ILR, Mann, and Vet) have not received their budgets as of 3/27/03, but state funding could decrease by 15% or more.

#### ***4. How will the Library handle the budget reduction?***

The Library will solicit ideas and suggestions from all quarters, including library staff, users, and colleagues at other institutions who are experiencing similar cuts. The Library Management Team will review them from the system-wide perspective and make recommendations to the University Librarian, who will make the final decision about reallocation and reductions. This effort will address the more immediate need to reduce spending.

In parallel with this effort, the University Librarian will chair a Library and Related Information Services Workforce Planning Steering Committee formed to make recommendations about how the Library could achieve 10% and 20% reduction and reallocation scenarios. Charged by the Workforce Planning Team, the Steering Committee's recommendations will ultimately be approved by the President, Provost, and Vice President for Administration and Chief Financial Officer. The Workforce Planning review takes a strategic look at resources.

These two initiatives combined will identify and evaluate areas for savings. The Workforce Planning effort is designed to help us manage our budget cuts; savings we identify through Workforce Planning initiatives can be applied to our budget reduction targets. We anticipate further reductions in 2004/2005, and at the same time we know that libraries have expanding responsibilities in many areas. We must reduce or curtail our spending in some areas in order to add emphasis in others.

#### ***5. Are all areas of the budget equally affected? Personnel? Library***

## ***Materials? Operating expenses?***

The budget reduction is targeted primarily at the non-materials portion of the endowed general purpose budget, of which nearly 90% is personnel related. The endowed materials budget received a small increase, although with the negative impact of the endowment payout decrease and inflation in publications, it will be insufficient to maintain the status quo in purchases. In addition, some contract college libraries have received decreases in the materials budget. For example, Mann Library received a 1% reduction in the base materials budget in 2002/2003 and there is little confidence that the materials budget will increase in 2003/2004.

## ***6. What values will drive the budget reduction process?***

The Library's mission statement outlines the library's values and these principles will inform our budget reduction process. They are repeated below:

Values ([Goals and Objectives 2002-2007](#))

Our primary focus is on users.

We are committed to excellence.

We respect and treat users and each other with helpfulness and courtesy.

We embrace diversity in all its forms.

We are a trusted source of information, printed and digital.

We support self-education, learning, research, and scholarship.

We are full participants in the educational process.

We are flexible, proactive, and cooperative.

In addition, LMT and the Council of Librarians have identified the following assumptions as approaches to budget review:

1. Minimizing layoffs is a priority, although it is possible that some will occur.
2. We should protect specialized research that is distinctive.
3. We should protect key user priorities.
4. We will normalize services if they result in savings or improved user efficiency
5. The whole budget, including materials, will be reviewed in considering the impact of systemic changes.
6. We should eliminate duplication of content in multiple formats where possible.
7. We will protect the Library's future through the support of important goals.

## ***7. What is the timeframe for planning and implementation?***

We have already begun planning. It is important to identify some savings immediately because our reduced budget will take effect in July 2003. However, we need to assess the impact of recommendations and communicate them to others, so our implementation dates are not fixed. We should implement most recommendations by January 2004.

## ***8. How can I get involved in the process?***

You can contribute recommendations and solutions by sharing them with your supervisor, by discussing them in unit or functional group meetings, or by sending them to the [suggestion box](#). In some cases the Library will be establishing small teams to evaluate ideas, and you may be asked to share your expertise with these teams.

## ***9. Will there be layoffs?***

We don't know yet, but if layoffs are necessary we will use attrition to minimize the number required. In addition, we may need to reassign and retrain people to perform in the areas where the needs are greatest. We are calculating the number of vacancies that occur during a year and estimating the savings they would yield if we were able to freeze them.

## ***10. Won't the vacancies occur unevenly in the organization and won't some critical positions need to be filled?***

Yes, some positions will need to be filled from outside. These may require special subject, language, or technical expertise that we do not have in the library, so we will continue to recruit for some openings.

## ***11. If layoffs occur, what procedures will you follow?***

If layoffs among non-academic staff occur, the Library will follow Cornell [University Policy 6.12](#): Separations, Voluntary and Involuntary, Including Layoff (Excluding Academic and Bargaining Unit Staff). The appointments of academic staff are governed by [CUL Procedure #13](#): Appointment and Promotion of Librarians.

## ***12. Is the Library offering retirement incentives?***

If retirement incentives are offered on the endowed side, they will be part of a university plan. Should New York State offer a retirement program for

2003/2004, some employees in the contract colleges may be eligible for state programs. No programs have been announced at this time. The University may consider other incentives to reduce personnel costs. For example, the Library may offer full-time employees the possibility of converting to half-time or three-quarters time status.

### ***13. Will library employees receive pay raises in 2003/2004?***

The University has provided the Library with funding for the endowed pay improvement program. Information on contract colleges will be forthcoming, but we expect that there will be a pay improvement program throughout the Cornell University Library in 2003/2004.

### ***14. What is workforce planning?***

The University has adopted workforce planning to review several administrative functions: alumni affairs and development, facilities, finance, human resources, information technology, and student services. Information about workforce planning is available [online](#). Each workforce planning effort is slightly different, but the goal is to review processes to ensure university-wide effectiveness. On February 28, 2003, Carolyn Ainslie, Vice President for Planning and Budget, and chair of the Workforce Planning Team, charged the University Librarian with establishing a Steering Committee to

- Document the resources devoted to campus information services that support academic research, teaching, and outreach and describe the manner in which these services are funded, organized, and staffed.
- Review functions that fall into the general categories of technical services, public services, collection development, and information systems. The review should examine the purpose and extent of replication of effort and resources associated with these functions and consider if another structure would result in a more cost-effective delivery of service without compromising quality. Develop planning scenarios to achieve 10% and 20% savings in costs, excluding funds committed to acquisitions of library materials.
- Consider the extent and manner to which each library unit is used and the cost and space required to effectively operate each library unit, develop different scenarios that could reduce the overall cost of providing service without reducing essential service quality. This review should include, but not be limited to, examining possible unit consolidation.

### ***15. Why did the Library offer to participate in workforce planning?***

During the process of establishing its Goals and Objectives for 2002-2007, the Library Management Team recognized that additional resources would be necessary to accomplish its goals. These funds would come from fundraising, the university, or internal reallocation. Since the economic downturn, it seemed that reallocation was the alternative that was the most within the Library's control. Workforce planning is a tool for reengineering that can potentially be of great use to the Library. Having the benefit of access and attention from senior administrators of the university is also an attraction as it offers the opportunity to affirm the library's critical role in the teaching and research mission of the University. The scope of the workforce planning effort encompasses the endowed, contract college, and hotel libraries.

***16. How do the budget reduction, the Goals and Objectives 2002-2007, Workforce Planning, and Models of Academic Support 2010 relate to one another?***

The Library's [Goals and Objectives 2002-2007](#) establish priorities and directions for the library over the next five years. These Goals and Objectives remain as a blueprint for the Library's activities, even in the face of a budget reduction, although progress on them may be slowed with fewer resources at hand to accomplish them. Models of Academic Support 2010 is a planning grant to examine where the library and information services to support academic programs should be in 2010. Workforce Planning is a tool to identify potential new structures and modes of delivering information that would lead to savings. These savings will enable us to absorb the budget reduction and still meet priority service requirements. Savings beyond the budget reduction will provide the resources to accomplish our goals and objectives.

## **Cornell University Library: Review of Organizational Responses to Budget Cuts**

Last revised April 14, 2003

### **Executive Summary**

With budget reductions looming, Cornell University Library canvassed universities that have or will be experiencing budget cuts to identify bold and creative organizational responses to them. We assumed that several options (freezing positions, reducing library hours, and reducing student hours) would be common to most institutions. To encourage other responses, to help identify more activities, and to get a broad sense of what these universities are doing, we suggested a list of 15 potential organizational response options as examples in our brief survey. The results of the survey and some observations from a series of follow up phone calls with some of the institutions are summarized here. A summary table of the responses to the email survey is included in the results below, and Attachment 1 contains the method used for the review and a sample email survey.

Key strategies identified include:

- Every unit should give up something (symbolic)
- Look for significant cuts (consider targeting cuts of so many thousand dollars and above). Some cuts cost more to implement than they return in savings
- Make some or all cuts visible, especially when cuts affect users (directly or indirectly)
- Target things that least affect patrons
- Provide substitutes for some cuts, e.g., if one library is closed due to reductions in hours, ensure that users know that another library is open
- Require technical skills in all new staff to offset demand for technical support and services
- Factor performance into decisions about staff reductions
- Make the process to identify and implement reductions visible and accessible, e.g., communicate even when all of the information is not available; include staff at all levels in planning and discussions whenever possible
- Provide support from HR and other units to address the impact of reductions throughout the process
- When staff layoffs are necessary, be honest and matter of fact when informing affected staff

One quote that stood out was from a University President who advised the Library and other affected units not to engage in repeated budget cut scenario exercises telling them that: “it’s like being told every day you’re going to be shot tomorrow.” He urged staff not to dwell on the budget cuts – advice that is worth noting, if impossible to heed. [6]

## Summary of Survey Results

The top options responding institutions are considering include (the number of institutions responding for each option appears in parentheses): reallocating staff (15), consolidating library units (14); and reducing the number of service points (11).

Only a few institutions are considering several of the options we identified in our email query: creating staff swat teams to deploy as needed (3), instituting reduced work-weeks (1); and renting out library facilities (1). And one option, shortened appointments for professionals, is not being considered by any of the responding institutions.

All 16 responding universities are using existing management groups to manage the Library's response to budget cuts. Several institutions are supplementing their existing management groups with swat teams and focus groups for targeted areas, especially when potential reductions involve multiple units or the whole system.

### Have you considered any of the following options?

Responding institutions as of March 21. Institutions called have an \* after the name.

University Name	Options proposed for consideration (list provided below)															
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Arizona	•	•	•	•				•		•		•	•	•		•
Arizona State *		•	•	•				•	•			•	•	•		
UC Berkeley	•		•	•	•	•		•	•			•				
UC-Riverside *				•				•				•				
Illinois *	•		•	•				•	E		•	•	•	•		•
Massachusetts *	•	•	•	•	•			•	•		•	•			•	
Michigan *	•	•		•				•		E	N			•	•	•
Minnesota *			•		•			•				•		•		
Missouri	•	•			•			•	•					•		
Nebraska *				•				•	•				•		•	
Ohio *	•	•		•												
Ohio State	•	•	•	•				•				•				
Oklahoma State *			•	•	•			•							•	•
SUNY Albany		•	•	•				•	•		•			N	•	•
Texas	•	E	•	•	•	N	N	•	•			•		•		•
Washington State *	•	•	•	•	•			•	•			•	•		•	
<b>Total yes responses</b>	10	9	11	14	7	1	0	15	8	1	3	10	5	7	6	6

• = Yes, considering or working on or doing (clarifying notes from some institutions are included below)

E = an existing program, not in response to cuts (not counted in totals)

N = comment: not doing, tried it and stopped; or cannot do this

Possible organizational responses offered as suggestions (each corresponds to a column in the table above):

- |   |  |
|---|--|
| 1 reducing collections processing (decreasing scope of binding program, opting out of full cataloging for all/some materials) | 9 "golden parachute" or other special retirement arrangements                          |
| 2 substituting non-professional for professional staff  | 10 renting out library facilities  |
| 3 reducing the number of service points or offering less than full services in some or all library units                      | 11 creating staff swat teams to deploy as needed                                       |
| 4 consolidating library units   | 12 initiating or dramatically expanding cross-unit or cross-function staff development |
| 5 closing during intercessions or during slow periods   | 13 establishing or expanding cost-recovery mechanisms for currently free services      |
| 6 instituting reduced work weeks  | 14 launching income-generating services  |
| 7 shortened appointments for professionals, e.g., 9 months  | 15 targeting whole services or functions or looking at across-the-board cuts           |
| 8 reallocating staff  | 16 other (please describe)   |

## Organizational Response Categories

We grouped the suggestions seven into categories: five that focus on the email survey responses followed by 2 that emerged from the follow up phone calls. The number of survey responses for each organizational response is indicated in parentheses. The excerpts from phone call notes indicate the number of the interview in brackets.

### Human Resource Management

Organizational responses that pertain to human resources management have the greatest overall number of responses and the greatest range of options being considered by universities.

- **reallocating staff (14)**  
*email survey - comments:*
  - “As indicated above, we have done this and have helped set the stage for this through our long-time staff sharing program. This permits a staff member to spend a specific amount of time in another unit learning additional skills that may assist them with promotional opportunities and it certainly helps administratively to have staff who have learned skills beyond those in their specific job assignments.” (Texas)
- **initiating or dramatically expanding cross-unit or cross-function staff development (10)**  
*email survey - comments:*
  - “As indicated above, we have for years had formal programs in place to encourage this type of activity. It has been very successful.” (Texas)
- **substituting non-professional for professional staff (9)**  
*email survey - comments:*
  - “We ask this question of every appropriate vacancy.” (SUNY-Albany)
  - “We have been doing this for some time, utilizing para-professional staff in cataloging and reference and similar activities where it's appropriate. We are also utilizing more student assistance, replacing many half-time budgeted positions into hourly staff.” (Texas)
- **“golden parachute” or other special retirement arrangements (8)**  
*email survey - comments:*
  - “I might point out here that the “Golden Parachute” was offered by the state to all state employees and they (the State) took the funding and the positions!” (Massachusetts)
  - “We have no package beyond the early retirement incentives offered by NYS.” (SUNY-Albany)
  - “Discussed a lot, but nothing developed on either a state or institutional basis.” (Texas)
- **creating staff SWAT teams to deploy as needed (3)**  
*email survey - comments:*
  - “Tried it years ago, was not sustainable” (Michigan)
  - “We have a preservation/conservations SWAT team for emergencies, and I would like to develop more shared staff arrangements whereby units would share staff members on a regular basis or be prepared to fill in at other units on an as-needed basis. We are slowly doing some of this, but not on the scale that I believe would be more useful.” (Texas)
- **instituting reduced work weeks (1)**  
*email survey - comments:*
  - “We've not done this except in the assignment of hourly resources to better utilize them.” (Texas)
- **shortened appointments for professionals, e.g., 9 months (0)**  
*email survey - comments:*
  - “No, we cannot do this unless a staff member requests a reduction of work hours or requests a leave without pay for additional vacation time during the summer. Some staff have requested such arrangements because of personal needs -- but we cannot reshape the total work force in this manner.” (Texas)
- **email survey - other responses:**
  - targeting administrative functions, and reducing them while protecting scholarly programs (Michigan)
  - eliminating special programs such as Fellow and Residency (Michigan)

- **excerpts from phone call notes:**
  - They have increased their use of paraprofessionals, e.g. in microform collections or current periodicals, and have hired paraprofessionals with specific expertise for collection development. [2]
  - They are moving to increased use of less expensive staff when possible. [9]
  - They have developed swat teams for some functions such as stacks management, and have developed cross-functional training in acquisitions and cataloging. [2]
  - Swat teams were made up of members representing all job families and were charged with looking at targeted functions across lines in the organization. [5]
  - They are developing overall technical skills to slow the appetite for incremental staff for technology. [4]

## Collections Management

The phone interviews verified that though most of the universities are not facing a reduction in the materials budget, a number were looking at ways to shift costs to that budget and at reduced materials processing.

- **reducing collections processing** (decreasing the scope of the binding program, opting out of full cataloging for all or some materials) (10)
  - email survey - comments:*
    - “We began shrink-wrapping (rather than binding) paper copies of e-journals, and sending them directly to storage. Strongly considering outsourcing copy cataloging to free up positions for public service and other priority work.” (*Ohio*)
    - “We’ve done some of this, placing more and more unbound publications on our shelves. I think we have tightened the detail of our cataloging, but I can’t say that we’ve reduced it for our general holdings.” (*Texas*)
- **email survey - other responses:**
  - fine tuning use of cataloging utilities (*Michigan*)
  - updating [book] labeling system to greatly expedite work (*Michigan*)
  - reduce redundancies (*Minnesota*)
- **excerpts from phone call notes:**
  - They have not had serious backlog but are planning to allow backlog to grow. [2]
  - They are looking at moving RLG and OCLC costs to collection development funds. [3]

## Hours and Services Reductions

The phone calls confirmed that most universities are looking at reducing and consolidating service points, but none of those contacted are targeting whole services or functions.

- **reducing the number of service points or offering less than full services in some or all library units** (11)
  - email survey - comments:*
    - “We have consolidated 4 service units in the main library into one, and are looking for opportunities to do more of this.” (*Ohio*)
    - “We’ve moved towards consolidation, but have not pursued these steps as much as we might; we have reduced Main Library hours from ca. 24/7 to earlier closing times and have tinkered with other hours of opening for various units.” (*Texas*)
- **closing during intercessions or during slow periods** (7)
  - email survey - comments:*
    - “We’ve tightened hours. There is such a heavy use on UT Library Online during late hours that it’s clear from this -- and a reduction in our circulation to half what it was 1995 -- that we must continue to study where we need to apply resources and where we need to reduce them. We need to continue looking for ways to reduce the pipeline in some areas and better balance resources.” (*Texas*)
- **targeting whole services or functions or looking at across-the-board cuts** (6)
- **email survey - other responses:**
  - looking at more looking at more self-service services (*Arizona*)
  - looking at using technology, automating to reduce what people do (*Arizona, Minnesota*)

- virtual consolidation of some functions that are now dispersed (*Illinois*)
- reducing weekend hours, branch library hours (*Michigan, SUNY-Albany*)
- taking work out of the system (*Minnesota*)
- establishing electronic notices (*Texas*)
- **excerpts from phone call notes:**
  - Cutting hours is symbolic, however, it's not really a big cost savings. [1]
  - Incremental reductions in hours are too scattershot and not productive. They are using gate counts to gauge. They only want to cut where they can save large amounts not small (e.g., greater than so many thousand). They are having hourly counts based on gate counts and are looking at this in the context of the entire library. They want to put together a more coherent plan for hours. [4]
  - They have combined A-V with Microforms and are making it as self-serve as possible [2]
  - They have not developed cost recovery services - the overhead to get started is too high. Also, have to be careful of pricing issues (legal issues in competing with outside information service providers). [2]
  - They are doing some things with direct impact on users: reduced staff at service points, reduced service point hours, collections (modest cuts). Faculty response: the more honest, the better. The one area of flack is the fee for book delivery. [4]
  - They are analyzing technical services, for example: How much time to do analytics? Can we rely on indices? How many hours would that remove? What about taking away the subject description and keywords? In their technical services, when they had vacancies, they looked at the work across the entire unit with a view toward what work could be eliminated (e.g. analytics, not doing subject descriptions or theses cataloging). They expect some political fallout from analytic work being ceased. [4]

## Facilities Management

Though a few universities are not able to consolidate library units or have already done so and need to identify other options, most are looking at opportunities to reduce the number of library units or branches, though the politics surrounding consolidations was noted. Other reductions in facilities, especially in maintenance, were identified as short-term and undesirable.

- **consolidating library units** (14)  
email survey – comments:
  - “Space precludes this for now.” (*Illinois*)
  - “We have done quite a bit of shifting collections and services so that we have been able to consolidate service points in our Main Library and Undergraduate Library while improving the quality of facilities and services in conjunction with these changes. This has allowed a reduction in staffing. It's likely that we will pursue additional "consolidation" or tightening of staffs to share responsibilities across unit lines.” (*Texas*)
- **email survey - other responses:**
  - reducing equipment, computer replacement cycle, travel, facilities, etc. (*Michigan*)
- **excerpts from phone call notes:**
  - They need to identify commitments to faculty before consolidating. [7]
  - They want to use the money saved from reducing staff to buy bonds to build a storage facility. [10]

## Fee Increases and Implementations

Phone interviews referenced start up costs and negative feedback as deterrents, but a number are exploring.

- **establishing or expanding cost-recovery mechanisms for currently free services** (5)
- **launching income-generating services** (7)  
email survey – comments:
  - “Especially in digital conversion area” (*Michigan*)
  - “We are looking at our income operations and assessing rates and areas where subsidies are used. As part of this we will be assessing whether we introduce fees for book delivery (already charge for article delivery) (*Minnesota*)
  - “We can't compete with any established business.” (*SUNY-Albany*)

- “We have some such services in place, for example expanding our responsibility for photocopying to a campus-wide responsibility -- a larger job but additional income to help with other programs. More needs to be done.” (*Texas*)
- **renting out library facilities (1)**  
*email survey – comments:*
  - “We do, but not for this reason.” (*Michigan*)
- **email survey - other responses:**
  - new student library fees (*Oklahoma State*)<sup>1</sup>

## **Planning and Implementation Process**

- **excerpts from phone call notes:**
  - They asked unit heads to form small groups to brainstorm and make recommendations for cuts, and to recommend process for doing so; they had tremendous buy-in from this process. Some early recommendations from units were for things they felt would never be cut hoping to avoid cuts. [3]
  - They had counselor from HR to help managers deal with anxiety about the process and for helping staff to deal with cuts. [3, 5]
  - Communication is critical. They had an all staff meeting in which they reviewed the current budget, how the library gets funding from university, what the cuts were and how the cuts would affect library. This was an opportunity to educate staff in budget process. They set up series of small venues (12-25 people attending) for Q & A sessions for staff and had the HR director there. [3]
  - The good side is it gave them a chance to think about things differently. They are having a celebration of the end of the old structure. They learned that it was best to share as much information as possible and to be clear about what they know and don’t know. They are factual when talking to staff about losing jobs, not overly sympathetic, which the staff has appreciated. They have focused on preparation and communication. They have counseling for staff. [10]
  - Look at ARL SPEC Kits for relevant information on hours, services, and other key areas:
    - SPEC Kit 259: Fee-Based Services, August 2000 <http://www.arl.org/spec/259sum.html>
    - SPEC Kit 264: Extended Library Hours, September 2001 <http://www.arl.org/spec/264sum.html>

## **Budget priorities, targets, and protected areas**

- **email survey - other responses:**
  - applying greater use of endowment income (*Michigan*)
- **excerpts from phone call notes:**
  - Every unit is giving up something: sometimes vacant posts. They targeted things least directly related to the user; protected Reference and Access. [3]
  - Their university administration asked that there be a cut in library administration. So, 1 director and 3 assistant directors are now sharing an administrative assistant. [3]
  - They want multiple voices on each cut to fully assess the implications because the impacts are felt in multiple places. [4]
  - They took a self-imposed cut to right-size the budget because they feared a bigger deficit than they were comfortable with. [4]
  - They have slowed investment, e.g., in staff development [4]
  - They are factoring performance into budget decisions about staffing. [10]
  - They are holding open vacancies. Previously, they would fill then lay off through bumping by seniority. [6]

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<sup>1</sup> Explanatory note from Arizona’s survey: On the bright side the OSU Regents approved an "Electronic Library Resource Fee" of \$3.00/sch. If approved by the state it will generate about \$1.5 million for the Library.

## Attachment 1. Review Method

*Email survey:* Unlike many other reviews of activities at other universities, information about topics such as an organization's response to budget cuts is generally not going to be posted on the institution's Web site, or not in sufficient detail. To identify innovative organizational responses to budget reductions, we reviewed the findings of a recent survey by the University of Arizona of ARL Directors' on recent and pending budget cuts to identify institutions that are facing cuts and seem most likely, based upon their responses, to be doing something bold and creative. Of the 47 universities that responded to the Arizona survey, we sent our email survey to 16 universities and added 3 additional institutions that were suggested by CUL managers. To encourage responses, to help identify more activities, and to get a broad sense of what these universities are doing, we developed a list of potential organizational response options and suggested 15 possibilities as examples in our brief survey. A sample of the email we sent out is provided below.

*Response and follow up:* As of March 21, we received responses from 16 of the 19 universities we contacted. All of the Directors who responded were willing to be contacted for clarifications. We had followed up phone calls with 10 institutions, for the most part determined by the timeframe and availability. We assured the institutions at the start of the phone calls that we would not share the details of those interviews.

*Compilation and review:* We compiled and summarized the email responses we received. We have included a few very general observations from the calls in this summary. The review produced a summary table of the responses by institution, and a compilation of additional comments that accompanied the email survey responses.

Hello x.

We've been reviewing the results of a recent ARL Directors' survey on budget reductions. The results are fascinating and timely and indicate that many institutions are struggling to maintain quality service in the face of incremental or deep reductions. Typical responses have included freezing positions, reducing library hours, and reducing student hours.

Cornell is interested in identifying other types of responses to current or looming budget cuts --especially innovative alternatives. Would you be willing to take a minute to help us by responding to the following two questions?

Have you considered any of the following options (please check any that apply)?

- ☐ reducing collections processing (decreasing the scope of the binding program, opting out of full cataloging for all or some materials)
- ☐ substituting non-professional for professional staff
- ☐ reducing the number of service points or offering less than full services in some or all library units
- ☐ consolidating library units
- ☐ closing during intercessions or during slow periods
- ☐ instituting reduced work weeks
- ☐ shortened appointments for professionals, e.g., 9 months
- ☐ reallocating staff
- ☐ "golden parachute" or other special retirement arrangements
- ☐ renting out library facilities
- ☐ creating staff SWAT teams to deploy as needed
- ☐ initiating or dramatically expanding cross-unit or cross-function staff development
- ☐ establishing or expanding cost-recovery mechanisms for currently free services
- ☐ launching income-generating services
- ☐ targeting whole services or functions or looking at across-the-board cuts
- ☐ other (please describe): \_\_\_\_\_

Are decisions regarding budget reductions being planned/coordinated by an existing library management group or by a special committee or task force?

Many thanks. Would you be willing to be contacted for a quick follow-up phone call if needed (we would email you in advance)?

(X) yes ( ) no