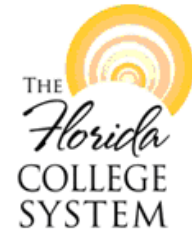




STATE  
UNIVERSITY  
SYSTEM  
of FLORIDA  
Board of Governors



# Unified Library Services Business Plan



DECEMBER 22, 2011

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## 1. EXECUTIVE SUMMARY

### 1.1 Overview

Section 48, Chapter 2011-63, Laws of Florida, requires the State University System (SUS) and the Florida College System (FCS) to establish a new joint library services organization to address the needs of post-secondary academic libraries in Florida. The new organization will replace the Florida Center for Library Automation (FCLA), which serves the universities, and the College Center for Library Automation (CCLA), which supports the college system.

This “Unified Library Services Business Plan” presents the strategy for creating the new joint unified library organization and transitioning services from FCLA and CCLA to the new organization. This plan must be submitted by January 1, 2012, to the Executive Office of the Governor and to the legislative appropriations committees.

### 1.2 Background

In July 2010, the Chancellors of the SUS and FCS chartered a 19-member Task Force on the Future of Academic Libraries in Florida. The Chancellors instructed the Task Force to *“Determine a vision and develop a strategic plan for the future of academic library access, resources, and services in Florida that encompasses emerging trends and changing realities in the areas of instruction, research, technology, and public services within the context of the academic mission.”*

In response to SB 2150 (which ultimately became Section 48, Chapter 2011-63, Laws of Florida), the Chancellors extended the Task Force’s mission to include developing recommendations for creating a single unified library organization to provide the technologies required by both sectors.

In May 2011, the Task Force chartered working groups to develop options and recommendations for the various requirements of the legislation.

The working groups consisted of Task Force members and other selected participants from around the state, based on their unique knowledge and skills. The working groups conducted research, released information-gathering surveys, and developed strategies. The results of these efforts are presented in this Unified Library Services Business Plan. *Section 2, Background, page 6*, further details Task Force activities.

### 1.3 Structure

#### Recommendations

- Board of Directors to provide leadership and oversight, as well as accountability to the two system Chancellors
- Members Council to include full representation of all public higher education institutions
- Internal organization to be based on the services provided by the new organization
- New organization to contract with a post-secondary institution for administrative and other support

To be successful, the new organization must meet the needs of its constituents in an efficient and cost-effective manner. Thus, the organizational structure must provide the technology-based services required by the 39 higher education institutions. In addition, the new organization must be able to adapt over time to changing needs and any potential new members, such as private colleges, private universities, public libraries, and K-12 libraries.

## GOVERNANCE STRUCTURE

This plan outlines an advisory and governance structure that increases the new organization’s accountability over the current structure to the constituents: the post-secondary institutions, students, faculty, and ultimately Florida taxpayers. A Members Council will support the advisory process and will consist of one individual from each academic institution. Five members of the Members Council will serve on the Board of Directors, along with an Academic Provost and an Academic Vice President appointed by the SUS and FCS Chancellors.

The Board of Directors will provide leadership to the Executive Director and govern the new organization. This structure will ensure accountability of the new organization to both the State of Florida and the post-secondary institutions it must serve. *Section 5, Governance, page 16*, describes the proposed model in more detail.

## ORGANIZATIONAL STRUCTURE

It is important to note that the new organization will need to accommodate postsecondary institutions of all sizes, plus libraries with

differing academic missions. Therefore, it is unlikely that the new organization will be able to have a “one-size-fits-all” system or support structure that will accommodate all needs. The new organization must be flexible and adaptable to support rural and metropolitan institutions; large and specialized medical, law, and research libraries; and small colleges with limited funding to major state universities with significant resources.

This plan calls for the establishment of a services-oriented organizational structure and budget focused on the functional areas outlined in the diagram below.

Structuring the organization’s roles, responsibilities, and staff around these service areas will enable the new organization to serve its constituents most effectively. This services-based structure will also help the new organization identify any areas of potential redundancy and overlap between FCLA and CCLA to provide cost savings.

*Section 6, Organizational Model, page 27*, further details the internal structure of the new organization.

<p style="text-align: center;"><b>Content Delivery</b></p> <ul style="list-style-type: none"> <li>• Digital Collections and Archives</li> <li>• Discovery Tool</li> <li>• eResources and eBooks</li> <li>• Library Management System</li> </ul>	<p style="text-align: center;"><b>Support</b></p> <ul style="list-style-type: none"> <li>• Service and Help Desk</li> <li>• Statistics and Reporting</li> <li>• Training and Consultation</li> </ul>
<p style="text-align: center;"><b>New/Enhanced Services</b></p> <ul style="list-style-type: none"> <li>• New Initiatives</li> <li>• Other Legislatively Mandated Functions</li> <li>• Product Development and Service Enhancements</li> </ul>	<p style="text-align: center;"><b>Internal Operations</b></p> <ul style="list-style-type: none"> <li>• Administrative Services</li> <li>• Infrastructure Support</li> <li>• Project and Process Management</li> </ul>

## 1.4 Expandability and Flexibility

### Recommendations

- As the new organization matures, other entities (ICUF institutions, public libraries, K-12) may want to contract for certain services
- The new organization must be able to adapt to ever-changing technologies

The new organization will require approximately two years from its proposed creation on July 1, 2012, to become stabilized in its new structure. As organizational maturity occurs, other entities, e.g., public libraries, members of the Independent Colleges and Universities of Florida (ICUF), or K-12, may want to contract for all or some of the services provided by the new organization, depending on the quality and the cost. Providing a menu of services will allow this transformation and optimization to occur as a natural progression of the new organization.

As the new organization moves to a services-based approach, the Board of Directors could elect to require it to develop service level agreements for each service offered to articulate clear expectations and facilitate alignment of the services all member institutions should expect to receive from the new organization.

The new organization will also need to be flexible to adapt to changing and emerging technologies, based upon input from the Members Council. *Section 4, Current and Future State of Technology and Library Automation, page 13*, further details emerging technologies.

## 1.5 Required Budget

### Recommendations

- No additional funds are requested for the new organization
- Cost savings achieved through consolidating FCLA and CCLA services should be used to provide additional services or offset inflationary costs for eResources

FCLA and CCLA have very different funding mechanisms, fiscal management infrastructures, cultures, service orientations, and organizational structures. The new organization will need to artfully blend these services, technologies, staff, and budgets.

This plan proposes an operational budget for FY 2012-2013 of \$22,495,873, which is the current combined appropriations for FCLA and CCLA. A portion of this amount will be used to start up the new organization. The SUS and FCS Chancellors must allocate this funding among the three entities to ensure an efficient transition of services and staffing.

FCLA and CCLA have experienced significant budget reductions over the past five years. Therefore, maintaining the current level of funding for the new organization will make it difficult to avoid negatively impacting services, especially in licensing eResources. Typically, eResource costs increase 5% to 8% annually due to inflation. In order simply to maintain the existing level of eResources, the new organization will need to shift funds from its operating budget to cover these cost increases. This funding shift will need to be determined by the Board of Directors based on institutional needs.

In response to the legislative directive for greater cost effectiveness, this plan proposes a 5% shift of the operating appropriations to non-recurring funds in FY 2012-2013 and FY 2013-2014.

Potential areas identified for operating cost reductions over the next three fiscal years include:

- Personnel reductions;
- Use of a single discovery tool;
- Reduced hardware costs;
- Reduced facility costs;
- Use of a single library management system platform

Allowing for incremental cost savings based on combined services and staffing will minimize the risk of service disruption. Overall, compared to current funding amounts for CCLA and FCLA, such an approach will reduce funding by at least \$1.5 million in FY 2014-2015, achieving significant savings to the State of Florida.

*Section 10, Proposed Operational Budget, page 62, further discusses the budget and fiscal considerations of this plan.*

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## 1.6 Timeline of Activities

### Recommendations

- The new organization's official start date should be July 1, 2012
- FCLA and CCLA should continue to exist until June 30, 2013, to allow for a smooth transition of services

July 1, 2012, is the most likely start date of the new organization's official activities in order to allow for the legislative process. In the meantime, the Chancellors' offices must conduct critical activities to build the preliminary foundation of the new organization and to ensure the momentum gained in 2011 continues.

Initial challenges for the first year include establishing operating processes, determining a location and contract institution, and addressing human resource issues. As soon as possible

after submitting this plan, the Chancellors should charter a transition team, led by an Interim Director. The selected Interim Director must be adept at policy-level planning and organization, allowing the current FCLA and CCLA leaders to focus on continuity of services and to plan for services/technology consolidation. The Interim Director will also oversee Requests for Information (RFI) for a discovery tool and next-generation library management system (LMS).

During this initial period, it will be very important for the Interim Director and the transition team to work closely with the two Chancellors or their designees. The Members Council and Board of Directors should be finalized in order to take effect July 1, 2012. Once the Members Council and Board of Directors are solidified, the transition team's activities will decrease over time.

The first order of business for the Board of Directors should be to search for a permanent Executive Director, with a target start date of January 1, 2013. The new Executive Director should then begin focusing on tasks such as formalizing the internal organizational structure, developing position descriptions, establishing policies and procedures, and making staff decisions. Care must be taken to minimize any service disruptions.

FCLA and CCLA will transition their services and technologies to the new organization over its first year. This plan includes a schedule over the next two years for decommissioning the computing and data center resources currently located at FCLA and CCLA that the new organization will not require.

By June 30, 2013, the new organization should be fully operational, with FCLA and CCLA ceasing individual operations.

*Section 12, Timeline, page 79, further discusses the expected schedule of activities. This plan and its related milestones must be flexible in order to adapt to unforeseen developments and circumstances.*

## 1.7 Next Steps

### Recommendations

- Identify transition team and Interim Director
- Form Members Council and Board of Directors
- Hire permanent Executive Director
- Contract with post-secondary institution
- Determine location

While the Task Force, CCLA, FCLA, and the Chancellors have been able to accomplish a significant amount of work over the past few months, many activities remain. The immediate next steps include:

- Identifying a transition team and an Interim Director;

- Forming the Members Council and Board of Directors;
- Beginning a search for a permanent Executive Director;
- Establishing a contract with a post-secondary institution for administrative services for the new organization;
- Determining a permanent location for the new organization's headquarters, while considering alternative work arrangements for staff, such as telecommuting.

The Task Force would like to thank the Chancellors of the SUS and FCS, as well as the Florida Legislature, for this opportunity to provide recommendations on the future of Florida's automated library services.

## 2. BACKGROUND

### 2.1 History

The 1984 Florida Legislature created the Florida Center for Library Automation (FCLA) to focus on the library automation needs of the state universities. Similarly, in 1989, the Legislature created the College Center for Library Automation (CCLA) to serve the community colleges. Over time, both FCLA and CCLA grew to support their constituents in unique and diverse ways.

While a King Research report in 1984 suggested a single organization and system for all higher education, Florida's leaders recognized that it would be difficult to consolidate all library automation services under a single organization because the needs of each sector were significantly different. A subsequent King Research report in 1989 identified and recognized several technical, political, and sector differences that made a centralized approach for higher education impractical.

For example, because universities vary greatly and each has its own unique needs, FCLA provides considerable flexibility in what services it provides and how they are delivered. Some universities have their own resources to assist in customization. FCLA therefore has a decentralized decision model that enables each university to configure its own customized view of the online catalog to best serve the needs of its local faculty, specialized researchers, graduate students, and undergraduate students. Conversely, the state college libraries have fewer resources and serve a different type of student population. CCLA employs a more centralized model to provide additional statewide services that some community colleges cannot afford on their own.

Thus, the two statewide library entities remained separate but linked in a variety of ways to improve efficiency and provide cost savings. In fact, there has been a long and robust history of collaboration among all library sectors in Florida to achieve cost savings, even before the advent

#### Key Dates in the History of Florida's Higher Education Academic Libraries

- 1984 FCLA created to provide centralized library automation services for Florida's universities
- 1989 CCLA created to centrally operate all aspects of library automation software for Florida's community/state colleges
- 1998 Annual joint meetings of FCLA and CCLA begin
- 2001 FCLA and CCLA jointly select new software vendor
- 2007 FCLA and CCLA initiate joint steering committee for collaborative ventures
- 2009 FCLA and CCLA joint use library catalog project

of the latest technologies. Library leaders have always been naturally inclined to conduct cooperative ventures to combine limited resources to provide a greater level of service.

While it is not possible to calculate the cost savings from each collaborative venture, the return on investment by Florida's combined efforts comes principally in the form of cost avoidance. For example, if FCLA or CCLA did not exist today, each university and college would have had to purchase its own software and hardware and hire its own technical staff. These costs may be difficult for some institutions to absorb, making it difficult to meet the needs of Florida's students and post-secondary institutions.

Today, FCLA provides library automation support to 79 libraries, on 55 campuses, in 41 cities, as part of the 11 institutions of the State University System (SUS). In 2009, FCLA was designated an Academic Infrastructure Support Organization (AISO), which means it supports all the universities with vital statewide infrastructure and services. The FCLA Director reports to the

University of Florida Academic Provost and Senior Vice President, who oversees FCLA on behalf of the SUS Council of Academic Vice Presidents.

The FCLA Board consists of the eleven university library directors, a representative from the Florida College System, the Director of the Division of Library and Information Services, and a representative of the Board of Governors. The FCLA Board is advisory in nature and meets quarterly. The FCLA Board relies on the advice of committees formed by the Council of State University Libraries. Each of these committees has one or more subcommittees to provide advice on specific details of library operations, such as metadata standards and patron services. New committees are formed as needed based on priorities and initiatives.

CCLA provides library automation support to 82 physical library sites, in 66 cities, as part of the 28 institutions in the Florida College System (FCS). Under a formal agreement, the Chair of the Council of Presidents and the Chancellor of the Florida College System are responsible for CCLA's governance and general oversight. A state-level Contract Administrator is appointed by them to act on their behalf in all matters pertaining to the organization.

CCLA's Advisory Board provides collaborative input to CCLA as it creates library services. Each state college has a representative on the Advisory Board who is appointed by the college president. In addition, the Advisory Board elects a smaller Executive Committee, which appoints various standing committees to focus on different aspects of the library system. Both CCLA's Advisory Board and Executive Committee have permanent representation from the State University System and the Division of Library and Information Services, per the original funding proviso.

The collaboration and innovation of Florida libraries have placed Florida as one of the national leaders in library automation and networking. The development of library automation and computer networks in Florida has not happened overnight, but rather incrementally over several decades. Florida has

made incredible progress, allowing libraries and library users to link worldwide and share services and unique resources. This progress was made even with resource shortages, technological limitations, and the need for staff re-education and retraining.

Both FCLA and CCLA have been recognized nationally for their innovation. Florida can be proud of the leadership and achievements of FCLA and CCLA throughout their histories.

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## 2.2 Legislative Language and Plan Development

Over the last two years, the Legislature has been interested in expanding access to post-secondary library resources. At the same time, Florida's economic situation and the corresponding fiscal challenges have caused a desire to consolidate and combine like activities to reduce fiscal expenditures.

Given this current environment, the Chancellors of the SUS and the FCS created the Task Force on the Future of Academic Libraries in Florida to:

*“Determine a vision and develop a strategic plan for the future of academic library access, resources and services in Florida that encompasses emerging trends and changing realities in the areas of instruction, research, technology and public services within the context of the academic mission. The plan needs to assess ramifications of the identified trends and realities on currently utilized tools and organizations and the impact on our students, faculty and academic community.”*

Hoping to achieve greater savings, the 2011 Legislature called for the creation of a single, joint library organization to meet the needs of all higher education libraries in Florida to replace FCLA and CCLA, as detailed in Section 48 of Chapter 2011-63, Laws of Florida.

*“By January 1, 2012, the Chancellors of the State University System and the Florida College System shall submit a plan to the Executive Office of the Governor and to the legislative appropriations committees for establishing a joint library organization to address the needs of academic libraries in the State University System and the Florida College System that replaces the Florida Center for Library Automation and the College Center for Library Automation.”*

Thus, on March 2, 2011, the Chancellors expanded the charge of the Task Force to include:

*“The establishment of a library technology organizational structure that will meet the needs of academic libraries in both the Florida College System and the State University System in a manner that is more cost-effective than the current organizational structure. The plan must include the resolution of identified challenges, including, but not limited to, governance, staffing, funding, and logistics.”*

The Chancellors required the strategic plan for the new library services organization, be submitted by December 31, 2011. This Unified Library Services Business Plan is the result of the Task Force’s efforts to meet this mandate.

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## TASK FORCE ACTIVITIES

To fulfill this charge by December 31, 2011, the Task Force performed the following activities. All deliverables are identified in *Appendix A, Supporting Task Force Documents*.

- The Task Force first met on July 19, 2010, to discuss the future of academic libraries in general. The Task Force members also reviewed their initial charge from the Chancellors and developed a strategy for meeting these goals.
- The Task Force met on May 20, 2011, to focus on the revised charge from the Chancellors. Breakout sessions focused on governance and reporting structure, services and acquisition, and technology.

## Components of Section 48, Chapter 2011-63, Laws of Florida

- A proposed governance and reporting structure for the joint library organization
- Recommended staffing for the joint library organization
- A recommended process and schedule for the acquisition of a next-generation library management system and its associated services
- A proposed schedule for consolidating/decommissioning the computing and data center resources and equipment used by FCLA and CCLA
- A proposed operational budget for the joint library organization, which is more cost-effective than separately funding both CCLA and FCLA
- Proposed substantive and fiscal policy changes needed
- A timeline and implementation strategies for establishing the joint library organization

- The Task Force consolidated the ideas from these breakout sessions, researched other states’ governance structures, conducted surveys, and prioritized services and options.
- Task Force working groups validated these options for governance and reporting structure, services and acquisition, and technology consolidation and fiscal considerations.
- The Task Force met on September 9, 2011, to consider options. After discussion and consensus, the Task Force approved recommendations as the basis for a long-term strategy.
- The Task Force finalized this strategy in a draft report that included governance and reporting structure, services and acquisition, technology consolidation, operational budget, and statutory changes.

- Task Force working groups validated and refined the draft report and presented the final report to the complete Task Force on November 4, 2011. After discussion and validation, this final report is now complete.
- The Task Force now presents this United Library Services Business Plan to the Chancellors for their approval, recommendations, and changes. The Chancellors will make all final decisions before submitting the plan to the Legislature.

## 3. STRATEGIC GOALS FOR THE FUTURE OF ACADEMIC LIBRARIES

### 3.1 Overview

The Chancellors originally mandated the Task Force to develop a strategic plan for the future of academic library access, resources, and services in Florida (see *Section 2, Background, page 6*, for a complete discussion). In response, a group of Task Force members and other stakeholders created a vision and mission for Florida's post-secondary academic libraries.

To accomplish this mission, the postsecondary libraries will:

- Provide access to content including print collections, archival materials, data sets, licensed eResources, and open access publications;
- Attract and retain qualified and innovative library faculty and staff who will facilitate access through the design and delivery of services including discovery tools, instruction, and research assistance;
- Maintain the technological infrastructure needed to deliver high-quality and innovative library services;
- Model efficiency and effectiveness in the acquisition of resources and deployment of services, leveraging those assets through formal and informal cooperative agreements and collaborative action.

The Task Force subsequently adopted the values, goals, and strategies to guide Florida's post-secondary academic libraries. The values describe why libraries aspire to particular goals. The goals describe a preferred future state of libraries. The strategies are ways libraries will act to move toward fulfilling goals. The following table briefly highlights this plan (see *Appendix B, page 90*, for the complete *Strategic Plan*).

#### Vision

Florida's academic libraries collaborate to develop new models for scholarly communication and create innovative approaches for connecting our users to the world's knowledge.

#### Mission

Students and faculty throughout Florida's post-secondary education system will have access to state-of-the-art libraries (whether physical or virtual) that support their learning, teaching, and research needs and empower Florida residents to compete and succeed in a 21st century knowledge-based economy.

### 3.2 Values, Goals, Strategies

Values	Goals	Strategies
User needs drive the design of library services.	Florida's academic libraries have the capacity and agility to respond to emerging technologies and support the promotion of economic development.	<ul style="list-style-type: none"> <li>• Provide flexibility in products and services to support evolving learning, teaching, and research needs.</li> <li>• Maintain the technological infrastructure needed to deliver high-quality and innovative library services.</li> <li>• Identify and inform funding sources to support adequate investment in library technologies.</li> <li>• Support the incubation of new business startups and creation of a highly skilled workforce through providing resources for degrees in critical need areas.</li> </ul>
Libraries thrive in a culture of collaboration and good will.	Florida's academic libraries work together to leverage their resources, develop new models for scholarly communication, and create innovative approaches for connecting our users to the world's knowledge.	<ul style="list-style-type: none"> <li>• Model efficiency and effectiveness in the acquisition of resources and deployment of services, leveraging those assets.</li> <li>• Build upon existing and seek new opportunities for formal and informal cooperative agreements to foster continuing collaborative action that leverages institutional and statewide resources.</li> <li>• Provide discovery tools and delivery options for students and faculty to access the information resources they need.</li> <li>• Design and deliver instruction that connects students and faculty with the library services and resources they need for academic success.</li> </ul>
Libraries preserve our cultural heritage in all of its diversity and forms.	Florida's academic library collections are rich in content and diverse in format including print collections, archival materials, data sets, licensed eResources, and open access publications.	<ul style="list-style-type: none"> <li>• Attract and retain qualified and innovative library faculty and staff who will facilitate access to library resources through the design and delivery of services including discovery tools, instruction, and research assistance.</li> <li>• Secure funding for acquiring and licensing adequate resources for the express learning, teaching, and research needs of each institution.</li> <li>• Examine and revise collection development practices to reflect the shift from owning materials to licensing content.</li> </ul>
Libraries support the open inquiry that is vital to the advancement of knowledge.	Florida's academic libraries create and support an open, nonproprietary environment for the creation, preservation, and distribution of scholarly work.	<ul style="list-style-type: none"> <li>• Explore opportunities for incorporating nonproprietary, open resources.</li> <li>• Refine the focus of institutional collections to include curating content (e.g. through institutional repositories and data archiving).</li> <li>• Develop attractive, easy to navigate, well-equipped spaces for individual and collaborative work and study.</li> </ul>
Florida's academic libraries serve as protectors and	Florida's academic libraries become a nexus for the exchange and dissemination of	<ul style="list-style-type: none"> <li>• Develop consistent and effective policies and procedures for balancing the protection and appropriate use of intellectual property.</li> </ul>

Values	Goals	Strategies
sponsors of intellectual property while fostering fair use.	scholarship and research, developing new intellectual property and moving it into the real world through licensing and technology transfer.	<ul style="list-style-type: none"><li>• Share strategies for the protection and fair use of intellectual property with all libraries in Florida's academic community.</li><li>• Become a clearinghouse for open content developed by faculty, students, and the wider intellectual community.</li><li>• Form partnerships with university presses in Florida, the United States, and beyond.</li><li>• Support new models for open access publishing.</li><li>• Build mechanisms for archiving and disseminating documentation from all stages of the research cycle (from data collection to final publications).</li><li>• Educate the academic community on the need for open access publishing.</li></ul>

Table 3.1 Values, Goals, and Strategies

## 4. CURRENT AND FUTURE STATE OF TECHNOLOGY AND LIBRARY AUTOMATION

### 4.1 Today's Library Environment

Fifty years ago, libraries were physical locations filled with books and other reading materials. Here, students could sit and read materials or check out books for their studies. Today, in addition to still having physical locations, libraries are also becoming "virtualized," meaning students expect more services provided on their home computer, laptop, and mobile devices. Students, faculty, and staff want all types of library services whether they are at the library, at home, at work, or sitting on the beach.

When library automation began in the late 1960s and 1970s, libraries applied technology to behind-the-desk administrative functions such as circulation, cataloging, and material acquisition. With the birth of the Internet, Florida's higher education libraries adapted to provide their services to people regardless of location or time of day. This change in technology necessitated the development of online catalog search functions, acquisition, and support of electronic resources and electronic books, as well as interconnectivity with other computing systems.

Although the Internet has transformed many aspects of academic library services, traditional library roles and services are still important. Users still look to the library to check out books and conduct research. Libraries also serve as a gathering place for staff and students. In a society such as ours where there is still a desire for community-based functions, library facilities will continue to exist. However, library services will continue to grow and expand exponentially to include both in-library and out-of-library functionality.

### 4.2 Emerging Technologies

Florida's academic libraries have demonstrated their ability to innovate and adapt to new

technologies despite declining budgets and the exponential growth in the services their constituents expect them to provide. In the next few years, new technologies affecting academic libraries will proliferate throughout our society.

### NEXT-GENERATION LIBRARY MANAGEMENT SYSTEMS

The library management system (LMS) currently used by Florida's colleges and universities is significantly more robust than the predecessor systems of only a decade ago. However, just as those older systems eventually gave way to newer technologies, so too are today's systems giving way to the "next-generation" LMSs of tomorrow.

Several key advancements are driving the development of these next-generation systems:

- The vast array of electronic, digital, and other non-traditional resources available from libraries;
- Recent changes to library cataloging formats; and
- Delivery of information services via cloud-based environments.

### NON-TRADITIONAL MATERIALS

Current LMSs were devised to track books, magazines, and other traditional, physical library materials. However, as nontraditional formats (electronic journals, databases, eBooks, digital images, video, audio, and the like) proliferate, LMS vendors are rebuilding their products to better handle these new formats.

### DATA STRUCTURE CHANGES

In the 1960s, the Library of Congress developed an international standard, Machine-Readable Cataloging (MARC), used by libraries to catalog their materials. In order to better support nontraditional materials and access methods,

the MARC standard is now transitioning to a new XML-based cataloging standard, Resource Description and Access (RDA). The new RDA standard substantially changes how records are structured and managed, and its adoption will have a profound impact on Florida's higher education libraries over the next five to ten years, including fundamental changes to library automation systems.

first step toward this transition. However, full-featured next-generation LMS systems are not yet available for full implementation. Some are in the early adoption phase, while other vendors have only recently announced their intentions to develop such systems.

The strategic plan for the new organization, discussed in *Section 3, Strategic Goals, page 10*, and *Appendix B, Strategic Plan, page 90*, reflects some of the current technology trends and issues facing Florida's academic libraries. In addition, Florida's Council of State University Libraries requested its Technology Advisory Group prepare a report on emerging technologies twice a year. The most recent report, from August 2011, identifies many of the same developments.

The following table highlights these movements.

### CLOUD-BASED SERVICES

In addition to changes in standards and formats, there has also been a widespread shift to cloud-based services for the storage, access, and management of digital information. This shift will be leveraged by the next-generation LMSs. Development of these next-generation LMSs is already underway by commercial and open source vendors. Many have introduced XML-based discovery tools and mega-indexes as a

Trends	Considerations for the Future
Cloud Computing	<ul style="list-style-type: none"> <li>• Commonly refers to online access to library services and content that does not necessarily reside physically at the library. The majority of commercial vendors have announced their intention to provide cloud-based next generation systems as their primary offerings for LMS functionality.</li> <li>• Implication is that users can access content and services anytime, anywhere, from any type of device (laptop, smart phone, tablet, etc.).</li> <li>• The new organization will need to provide instant access to information, while managing privacy and control.</li> </ul>
Changing Model of Higher Education	<ul style="list-style-type: none"> <li>• Institutions will have to be creative in how they meet constituent needs and compete with for-profit and online schools.</li> <li>• Research funding from federal agencies is beginning to require commitments from faculty to provide public access to both their research data and their research findings (in published books and articles). Universities have begun to build mechanisms to store, manage, and provide access to primary research data.</li> <li>• The new organization will need to assist the colleges and universities with initiatives such as online textbooks, support of streaming classes, and integration of learning management systems.</li> </ul>
Mobile Devices	<ul style="list-style-type: none"> <li>• Increasingly, students and faculty alike rely on smart phones, tablets, and other mobile devices as their primary access to the Internet.</li> <li>• The new organization will need to ensure that library content and services are available from any device, not just traditional computers and laptops.</li> </ul>
Demands for Accountability	<ul style="list-style-type: none"> <li>• As public spending for education decreases, organizations will be under more scrutiny to demonstrate their value and will need to do more for less money.</li> <li>• The new organization will have to help libraries demonstrate their value to their institutions, students, and taxpayers through transparency and accountability accomplished by providing return on investment and value-added information analysis.</li> </ul>

Trends	Considerations for the Future
Changing Role of Librarians	<ul style="list-style-type: none"> <li>• Today's academic librarians must support a wider range of technology and people with varying skills.</li> <li>• Librarians are increasingly involved in the conversion of digital content. No longer focusing on organizing information, they create metadata structures and user interface systems that allow students and researchers to interact with digitized content in ways unimagined twenty years ago.</li> <li>• The new organization must provide the necessary technology tools and services to keep academic libraries current and relevant.</li> </ul>
Proliferation of Information	<ul style="list-style-type: none"> <li>• Students can search for any subject on the Internet and find thousands of websites, with no indication of what information is trustworthy, accurate, and current.</li> <li>• In addition, students, faculty, and staff need access to research tools that can sift information quickly and accurately.</li> <li>• The new organization will work with the libraries to teach students to be effective consumers of the information available on the Web and from mobile sites and applications.</li> <li>• The new organization must help the academic libraries find cost-effective, reliable technology-based information and provide the tools for broad access.</li> <li>• The new organization will need to provide access to authoritative information resources with ongoing information literacy programs at the institutions it serves.</li> </ul>
Collaboration	<ul style="list-style-type: none"> <li>• Students work and study in a more collaborative environment than ever before.</li> <li>• Today, many of Florida's academic libraries provide physical spaces where students can study and work together. To remain relevant, academic libraries will need to provide more physical and virtual spaces for this teamwork.</li> <li>• The new organization will need to support this collaborative model in ways such as supporting the local libraries in providing faculty the ability to incorporate online information-based content into their curriculum, providing virtual research environments, and improving the sharing of resources.</li> </ul>
Digital Media	<ul style="list-style-type: none"> <li>• The majority of materials used in and generated by teaching and research originate in digital form.</li> <li>• Library users will increasingly demand more online/digital resources.</li> <li>• The new organization must support the needs of academic libraries in creating, managing, and giving access to digital content, as well as supporting campus needs for digital data management and long-term preservation.</li> <li>• The new organization may need to support streaming and archiving.</li> </ul>
Archiving	<ul style="list-style-type: none"> <li>• The new organization may need to support archiving of college and university materials; provide support with cloud archiving, provide training, and keep abreast of trends in archiving.</li> </ul>

Table 4.1 Library Trends

## 5. GOVERNANCE

### Section 48, Chapter 2011-63, Laws of Florida

(1) A proposed governance and reporting structure for the joint library organization.

#### 5.1 Overview

The legislative language requires the development of a proposed governance and reporting structure for the new organization. The establishment of a reporting structure, governance model, and advisory process are key strategic decisions that will provide the foundation for the new library organization.

These three elements (reporting, governance, and advisory), while closely related and critical to the success of the organization, must be considered separately to ensure that the new organization has the balance and flexibility necessary to meet the diverse needs of Florida's higher education institutions, as well as any other groups it may serve in the future. The reporting structure established for the new organization will determine the organization's position and function within Florida's state government, its relationship with other state-level higher education authorities, the process by which it receives and expends funds, and the individual(s) to whom the organization's Executive Director and governance board report.

Because the new organization will provide services to a large and diverse group of institutions, it is imperative that its advisory and governance structure promote equitable relationships between the new organization and each institution served.

#### Strategic Plan

##### Values

Libraries thrive in a culture of collaboration and good will.

##### Goals

Florida's academic libraries work together to leverage their resources, to develop new models for scholarly communication, and to create innovative approaches for connecting our users to the world's knowledge.

This plan proposes a structure that includes the following:

- How control and lines of authority cascade from the governance and advisory structure to the new organization;
- The rules and processes (draft bylaws) by which the governance and advisory structure will operate;
- The contract framework that details the cost and services provided by the selected contract institution to the new organization.

## 5.2 Proposed Governance and Reporting Strategy

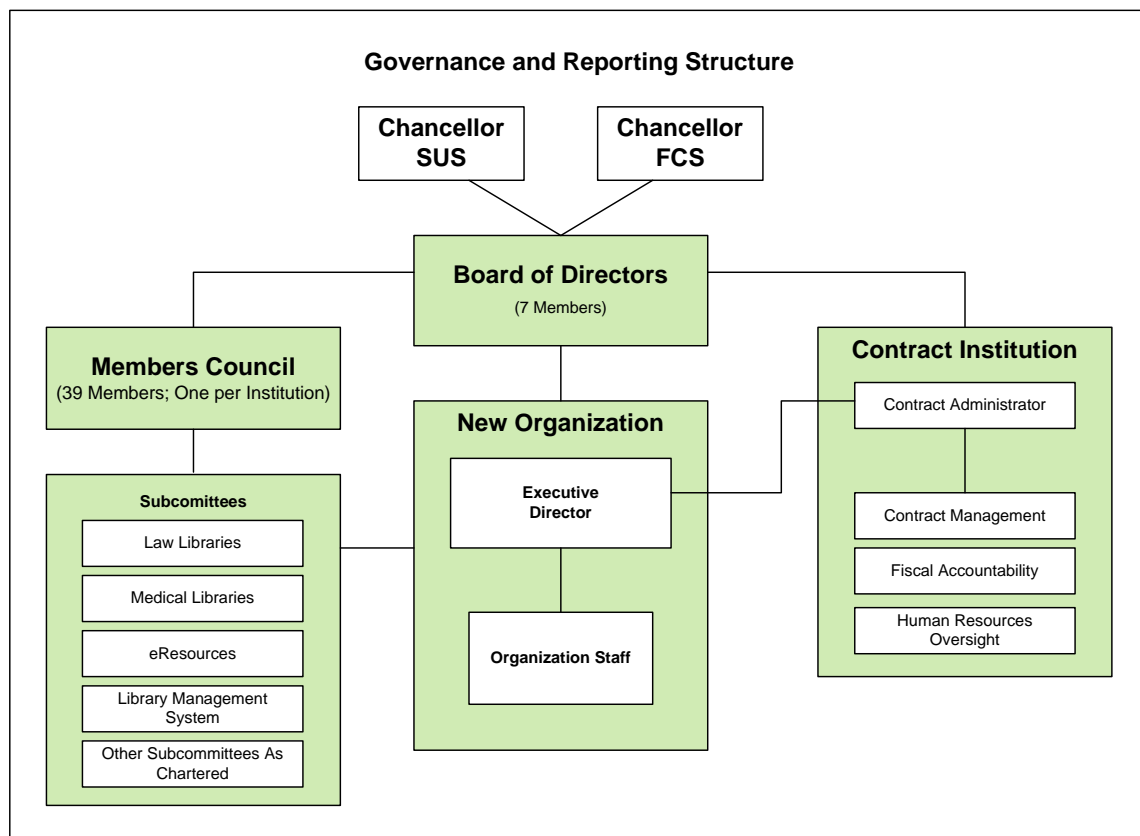
Five groups will have a role in the proposed reporting and governance structure of the new organization.

1. The **Board of Directors** will govern the new organization by establishing policies and objectives, subject to ratification by the two system Chancellors. The Board of Directors will have seven members (five Library Directors from the Members Council and two state representatives). The Executive Director will serve as staff to the Board of Directors while the Contract Administrator will serve as an ex officio member of the Board.
2. The **Members Council** is an advisory body recommending products and services to be offered by the new organization. The

Members Council will have one Library Director from each college and university.

3. The Members Council will charter **Subcommittees**. Four initial standing subcommittees will be medical libraries, law libraries, eResources, and LMS.
4. The **Contract Institution** will provide fiscal and human resources oversight on behalf of the Board of Directors and the two system Chancellors. The contract institution will provide a Contract Administrator.
5. The **New Organization** will provide all services as approved by the Board of Directors, with input from the Members Council. The new organization will consist of an Executive Director and staff.

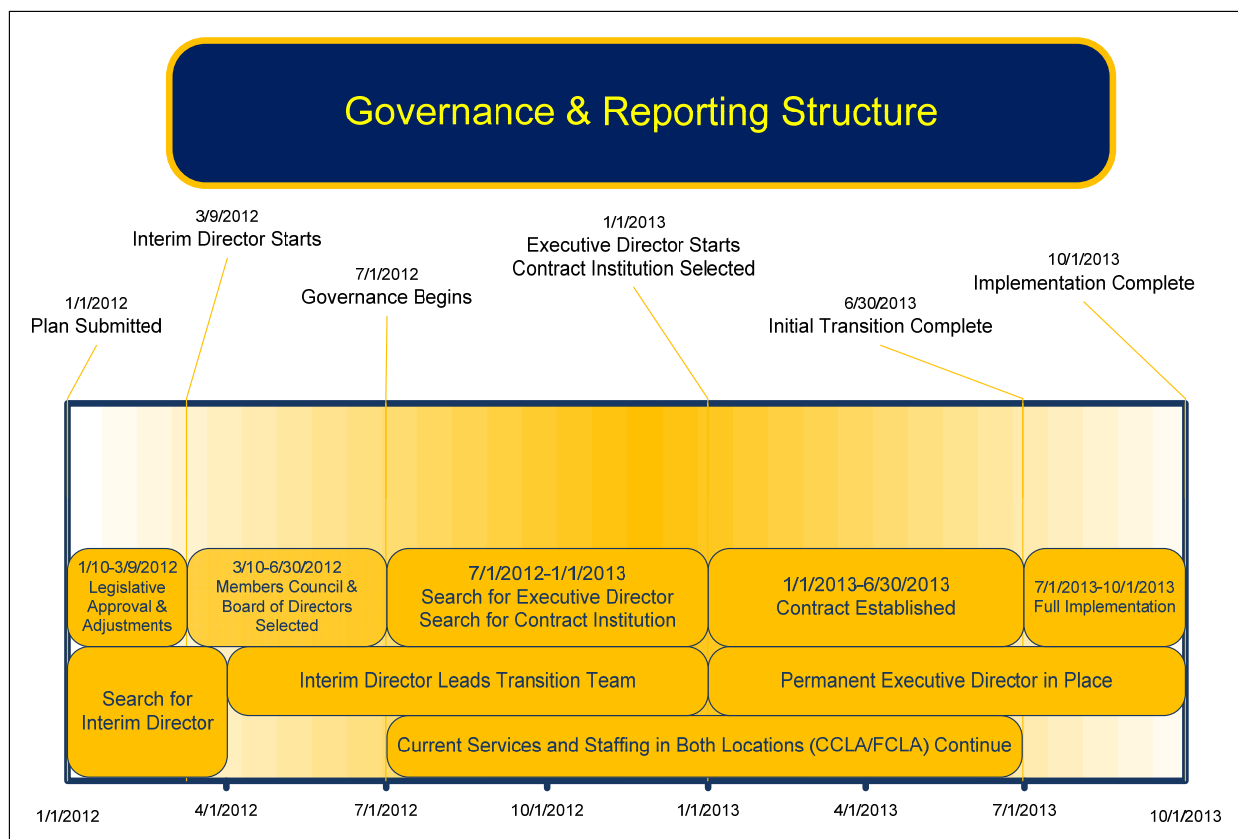
The diagram below depicts this structure, while the following matrix illustrates each group's responsibilities and membership.



Group	Responsibilities	Membership
<b>Board of Directors</b>	<ul style="list-style-type: none"> <li>• Govern the organization by establishing policies and objectives.</li> <li>• Select, appoint, and evaluate the performance of the new organization's Executive Director.</li> <li>• Ensure the availability of adequate financial resources.</li> <li>• Approve annual budgets.</li> <li>• Approve strategic and annual plans.</li> <li>• Decide on services to be provided by the new organization.</li> <li>• Be accountable to the stakeholders for the organization's performance.</li> <li>• In the case of the College Academic Vice President and the University Academic Provost, serve as liaisons between the Board, the Chancellors of the two systems, and their respective academic groups.</li> <li>• Elect to include other public and private libraries to membership, in consultation with the Members Council or as directed by the Legislature.</li> <li>• Modify the bylaws as needed.</li> </ul>	<p>The Board of Directors will have seven members, as follows:</p> <ul style="list-style-type: none"> <li>• One University Academic Provost selected by the Chancellor of the State University System;</li> <li>• One College Academic Vice President selected by the Chancellor of the Florida College System;</li> <li>• The chair, vice chair, and past chair of the Members Council (with the chair alternating between the university and college system);</li> <li>• Two elected representatives from the Members Council (one university and one college representative);</li> <li>• The Contract Administrator will serve as an ex officio member on the Board;</li> <li>• The Executive Director of the new organization will serve as staff to the Board.</li> </ul>
<b>Members Council</b>	<ul style="list-style-type: none"> <li>• Serve as an advisory body regarding products and services offered by the new organization.</li> <li>• The Chair will transmit its advice to the Board of Directors regularly.</li> <li>• Charter subcommittees.</li> </ul>	<ul style="list-style-type: none"> <li>• The Members Council will have 39 members, representing the Library Directors from each college and university. Members will be recommended by the Chief Academic Officer at their institutions and will be officially appointed by the institution's President or the President's designee.</li> <li>• The Chair of the Members Council will alternate between the university and the college system.</li> <li>• The Executive Director and other key employees of the new organization will serve as staff to the Members Council.</li> </ul>

Group	Responsibilities	Membership
<b>Subcommittees</b>	<ul style="list-style-type: none"> <li>Direct the member-driven work of the organization.</li> <li>Conduct activities resulting in recommendations for action by the new organization, through the Members Council and Board of Directors.</li> </ul>	<p>Subcommittees will be chartered as needed with members selected as follows:</p> <ul style="list-style-type: none"> <li>Members will consist of library staff, technical staff, or other institutional representatives with expertise in the subject focus of the subcommittee;</li> <li>Members will be nominated by the Members Council;</li> <li>Each subcommittee membership will not exceed 10 people, chosen equally from the university and college systems, unless the focus of the subcommittee is an issue specific to either sector.</li> </ul> <p>Four initial standing subcommittees will be medical libraries, law libraries, eResources, and LMS.</p>
<b>Contract Institution</b>	<ul style="list-style-type: none"> <li>Provide fiscal accountability and human resources oversight.</li> <li>Contract Manager will provide information to the Executive Director on behalf of the Board of Directors; approve leave for the Executive Director; and perform other functions as required by the Board of Directors..</li> <li>Provide other support services as selected by the Board of Directors, based on a cost-benefit analysis.</li> </ul> <p><i>Note:</i> The final determination of all contract terms will ultimately reside between the new organization and the contract institution, subject to the approval of the Board of Directors and the two system Chancellors.</p>	<p>The contract institution will provide the following:</p> <ul style="list-style-type: none"> <li>Contract Administrator.</li> </ul>
<b>New Organization</b>	<ul style="list-style-type: none"> <li>Provide all services as approved by the Board of Directors, with input from the Members Council.</li> <li>Serve as staff to the Board of Directors, Members Council, and subcommittees as appropriate.</li> </ul>	<p>The new organization will consist of the following:</p> <ul style="list-style-type: none"> <li>Executive Director of the new organization;</li> <li>Staff of the new organization.</li> </ul>

Table 5.1 Responsibilities and Membership



### 5.3 Governance Implementation

There are several key steps and milestones required to implement the proposed governance and reporting structure as detailed in the timeline.

This schedule shows the employment of an Interim Director by the Chancellors soon after the proposed plan is accepted by the Legislature (target date early March). The Interim Director, under the direction of the Chancellors or their designees, will be responsible for leading and managing the following initial governance and reporting structure tasks:

- Formation of the Members Council,
- Formation of the Board of Directors,
- Define process for the search for a permanent Executive Director,
- Define process for the search for a contract institution,

- Leading operational planning, such as branding and image creation (refer to *Section 6, Organizational Model, page 27*).

Based on this schedule, the Members Council and Board of Directors will begin their activities after July 1, 2012. Board of Directors' meetings in the fall of 2012 would include:

- Approving the bylaws,
- Overseeing the search for and identifying the contract institution,
- Overseeing the search for and identifying the permanent Executive Director,
- Approving the recommended brand/image (refer to *Section 6, Organizational Model, page 27*).

#### CONTRACT DEVELOPMENT

The contract institution could be selected through a proposal process that requests offers from any public institution of higher education.

An initial set of expectations for the contract institution is as follows.

### **CONTRACT AGREEMENT**

Agree to a contractual arrangement between the institution and the new organization.

### **FISCAL CONTROLS**

Agree to retain fiscal accountability and audit controls for the new organization, including the provision of regular financial reports and ledger activities. The institution should be compensated for these services at a reasonable contract rate.

### **HUMAN RESOURCES OVERSIGHT**

Oversee and supervise the new organization's human resources functions to ensure proper procedures are being followed and conform to all state and federal laws.

### **OFFER OPTIONAL COST-EFFECTIVE ADMINISTRATIVE SERVICES**

Provide optional cost-effective administrative services to the new organization for a fee. Agree to work with the Board of Directors to guide which services the contract institution will provide, for what cost, and to what service level expectations. The institution should seek to offer

the administrative infrastructure necessary to support the new organization at a lower cost than it would take the new organization to provide or contract for these services directly.

### **ACCESS TO CONTRACT LICENSES**

Provide the ability to use educational and other contractual licensing agreements.

### **NEUTRALITY**

Maintain a neutral position and not influence the decisions of the new organization in favor of its own needs. Maintain support in a manner that reflects a strong commitment to fairness and equality to library services across all member institutions. Ensure a hands-off approach, maintain a nonpolitical perspective, and serve the interests of all 39 higher education institutions.

### **CONTRACT DEVELOPMENT**

Once the institution is selected, the Board of Directors and the selected institution, under the direction of the two system Chancellors, must create a formal contract between the institution and the new organization. Legal counsel should represent both entities during the contract negotiation process.

## 5.4 Alternatives Considered

To determine the most appropriate governance model for the new organization, other state, national, and international models were researched. Initially, twelve models were

examined to determine if any could be potential models for the new organization. These twelve models are briefly described in the following table.

Model	Brief Description
Standalone Model	This model was based on the creation of a new organization as an independent, quasi-governmental, 501(c)(3) organization.
Dual Reporting Model	In this model, the head of the new organization would report to a Provost appointed by the State University System and to a Vice President appointed by the Florida College System. The Chancellors of the SUS and FCS would jointly appoint a third person to serve as a Representative of, and liaison to, the two Chancellors. This third person would be responsible for breaking "tie" votes between the Provost and the Vice President, should any occur.
Modified SUS Model	In this model, which is a modified version of the current SUS structure used by FCLA, the head of the new organization would report to a Board of Directors, but day-to-day functions would be overseen by a Provost at one of the institutions.
Distance Learning Consortium Model	This model would replicate the model currently being considered for the Distance Learning Consortium in which there is both a membership and a governance group.
OhioLINK Model	This model was based on the creation of a new joint library organization following the current OhioLINK approach.
Modified FCS Model	This model was based on the current CCLA model, which serves the Florida College System. In this model, the Chancellors of the two systems could perform governance jointly, while a contract administrator would provide day-to-day supervision.
Workforce Florida, Inc., Model	This model was based on the creation of a nonprofit organization with a governance model similar to the one in place for Workforce Florida, Inc., as of June 14, 2011.
CARLI (Illinois) Model	This model was based on the creation of a consortium organization with a governance model similar to one that exists for the Consortium of Academic and Research Libraries in Illinois (CARLI).
Orbis/Cascade Alliance Model	This model was based on the Orbis/Cascade Alliance Model, which was organized as a 501(c)(3). The Orbis Cascade Alliance is a consortium of 36 academic libraries in Oregon and Washington.
Galileo Model	In the Georgia Galileo model, electronic resources are separate from library management services. Operations for these two services and the Digital Library of Georgia are the responsibility of the Executive Director of Library Services, within the administration of Information Technology Services of the University System of Georgia.
Norway Model	This model was based on the creation of a new organization similar to BIBSYS, a national system serving Norway.
Joint Information Systems Committee Model	This model was based on the creation of a new joint library organization using the structure of the Joint Information Systems Committee in the United Kingdom.

Table 5.2 Other Models Considered

## CONSOLIDATED MODELS

After discussion, the prior list was consolidated into three options, described below. Widespread input on these three models was obtained through an online survey sent to college and university library deans and directors, university provosts, college vice presidents, and Task

Force members (which included K-12 and public library sectors) to determine the best model for the new organization. The ICUF library directors also participated in the survey to determine what type of governance structure would best accommodate them should they decide to participate in the future.

Model	Brief Description	Governance Structure	Hosting Organization Affiliation
Model L	In Model L, the new organization could be associated with an institution (receiving core support services from that institution) or the organization could operate as a freestanding entity guided by a contractual arrangement.	Model L would be structured as follows: 1. Advisory Board (41 members) 2. Executive Committee (7 members) 3. Head of the New Organization and Staff	The new organization could be housed under contract with a university or state college. The organization could be part of the hosting entity, created as a separate independent entity, or established as an independent 501(c)(3) non-profit organization.
Model Y	Model Y was similar to Model L, except that the Oversight Committee contained fewer members. In addition, this model was predicated on housing the joint library organization as part of an institution. The Chancellors of the State University System and the Florida College System would jointly select which educational institution would host the new organization. The Provost or Vice President of that institution would then provide direct management for the head of the new organization.	Model Y would be organized as follows: 1. Oversight Committee (3 members) 2. Advisory Board (41 members) 3. Head of the New Organization and Staff	The new organization could be housed as part of a university or state college.
Model S	In Model S, the new organization would operate as a completely freestanding entity guided by a contractual arrangement.	Model S would be organized as follows: 1. Board of Trustees (13 members) 2. Executive Committee (5 members) 3. Advisory Council (39 members) 4. Head of the New Organization and Staff	The new organization would be an independent organization under a contractual arrangement or established as a 501(c)(3) nonprofit entity.

Table 5.3 Consolidated Models

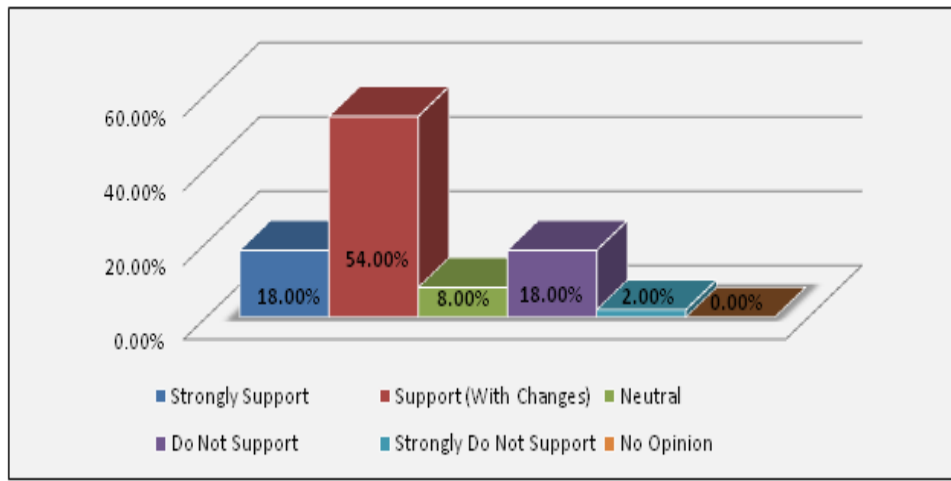
The survey responses clearly indicated a strong desire to have full representation by all institutions (i.e. one person per institution). In addition, the majority of respondents preferred Model L, but there were clearly some adjustments required. Through additional input

and feedback, Model L was adapted and refined until it became the recommended governance and reporting structure model for the new organization.

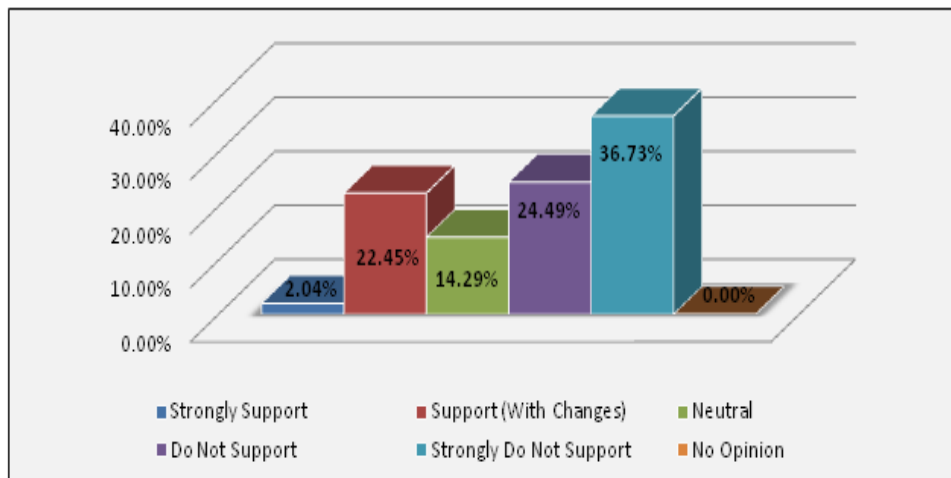
The following provides a high-level overview of the governance survey results.

GENERAL SURVEY RESULTS (SUS, FCS RESULTS ONLY)

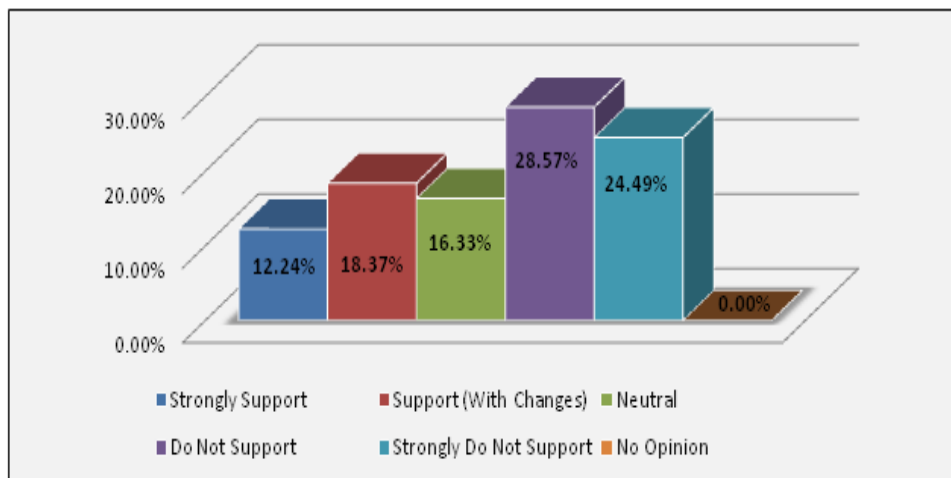
MODEL L



MODEL Y

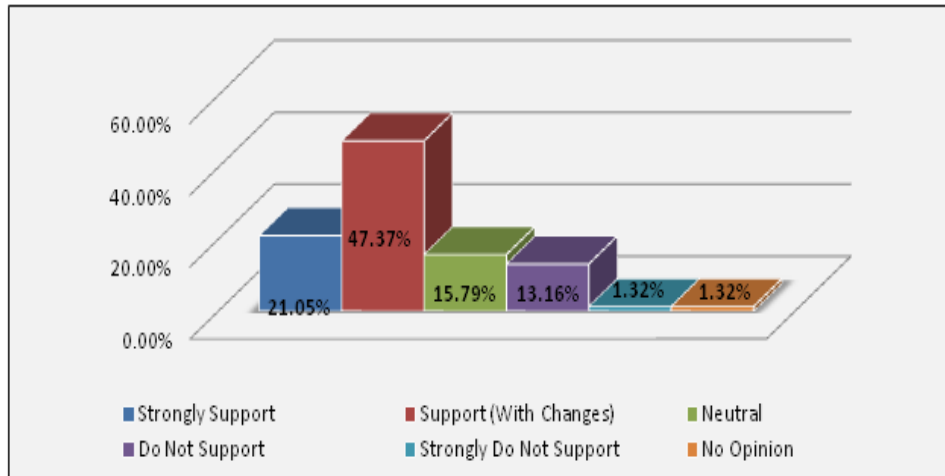


MODEL S

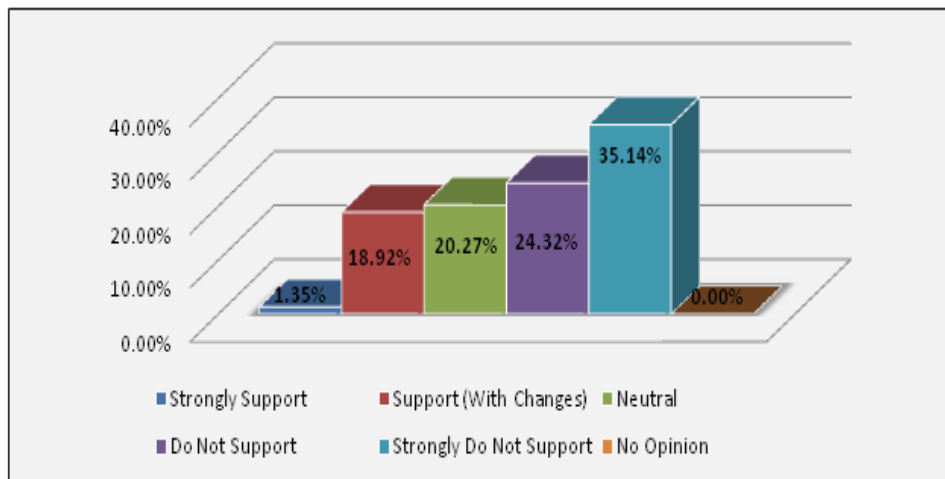


GENERAL SURVEY RESULTS (ALL RESULTS)

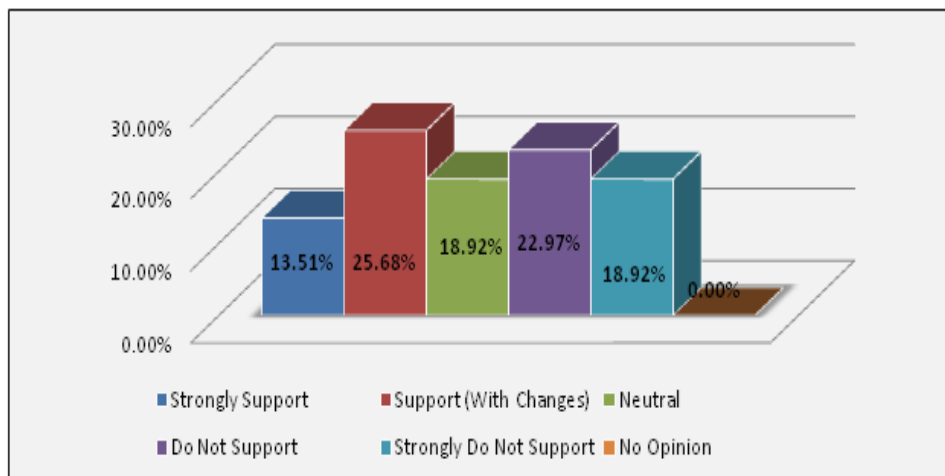
MODEL L



MODEL Y



MODEL S



## **5.5 Implementation Considerations**

The Florida Council of State University Libraries and the Florida College System's Council of Instructional Affairs, Learning Resources Standing Committee, are two statewide organizations that address broad goals and objectives for Florida's post-secondary libraries. Their important roles should continue as they do today.

As outlined in this plan, the Board of Directors, Members Councils, and Subcommittee structure should replace the current FCLA Board and the CCLA Board, along with their various

subcommittees. This transition should begin on July 1, 2012.

In addition, as part of the governance and reporting structure tasks, draft bylaws and a framework for the contract between the selected institution and the new organization were developed. These items will require additional review and assessment by the Members Council, Board of Directors, and the selected contract institution before they are finalized. These draft items are located in *Appendix C, Draft Bylaws and Contract Framework, page 97.*

## 6. ORGANIZATIONAL MODEL

### Section 48, Chapter 2011-63, Laws of Florida

(2) Recommended staffing for the joint library organization, which includes roles and responsibilities.

#### 6.1 Overview

To be successful, the new organization must focus on the needs of its constituents. Thus, the internal structure of the new organization must reflect the services required by the 39 higher education institutions and must adapt over time based on changing needs and new potential members.

#### 6.2 Proposed Organizational Strategy

The legislative language requires the identification of recommended staffing for the new organization, including roles and responsibilities.

The plan must also include a strategy for creating the new organization and transitioning

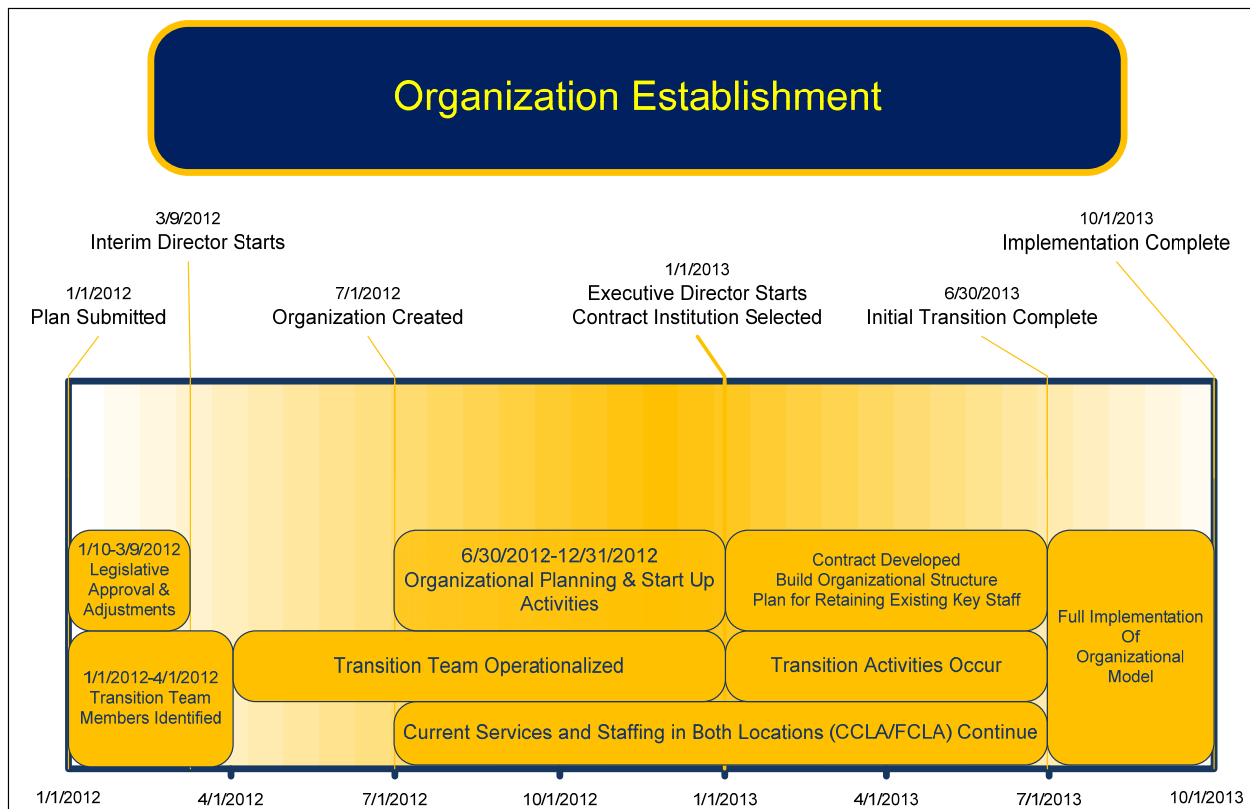
**Strategic Plan**

**Values**  
User needs drive the design of library services.

**Goals**  
Florida's academic libraries have the capacity and agility to respond to emerging technologies.

FCLA and CCLA services with the least disruption to library users and library operations.

There are several key steps and milestones required to create the new organization as illustrated in the timeline.



The new organization cannot legally be formed until legislative action is taken, making July 1, 2012, the most likely start date for official activities. However, there are key activities that must occur between when the plan is submitted on January 1, 2012, and when the organizational activities can officially begin.

As soon as possible after submitting this plan, the Chancellors should charter a transition team. The Interim Director, as detailed in *Section 5, Governance, page 16* should lead this transition team.

The transition team should begin the advance planning and setup required of the new organization. This team should also conduct the tactical and detailed work associated with implementing the tasks contained in this plan, while at the same time ensuring a smooth transition of services and resources from FCLA and CCLA to the new organization.

The transition team must address a number of critical legal, fiscal, contractual, and human resources issues that are inherent in a transformation of this magnitude. These issues, identified in *Section 10, Proposed Operational Budget, page 62*, all have fiscal ramifications.

The transition team should consist of no more than 10 members, with equal representation from both university and college sectors including:

- The Interim Director,
- Representatives from the Chancellors' offices,
- Institutional representation,
- CCLA and FCLA executive staff.

Legal, human resource, and fiscal experts from both the FCS and SUS will need to supplement the team's efforts.

In parallel with these transition efforts, the transition team should conduct activities associated with naming and branding the new organization. Because the organization will support all public institutions of higher education in Florida in a new way, and will receive national recognition and attention, the name and

branding of the organization must ensure it reflects a fresh, new, and innovative approach.

Options for branding efforts include contracting with a private firm, using the existing marketing talent within Florida's higher education system, or including it as an evaluation factor when selecting the contract institution.

Once the Board of Directors is operationalized, the transition team's activities will decrease and possibly cease.

Once selected, the new Executive Director should then begin focusing on tasks such as establishing an internal organizational structure, developing position descriptions, establishing policies and procedures, and making staff decisions. These efforts must be based on the proposed guiding principles and the internal functional areas described in this section. At this point, the Executive Director should also oversee the creation of a detailed internal organizational chart.

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## GUIDING PRINCIPLES

When creating and operating the new organization, the new Executive Director should adhere to the following guiding principles.

### REPRESENTATION

- The new organization must include libraries of all sizes and missions, ranging from large to small institutions in both rural and metropolitan areas.
- The new organization must support the delivery of library services to all public higher education institutions and their students and faculty.
- The new organization should be flexible enough to allow for the potential future inclusion of other organizations, such as private colleges and universities.
- The new organization must provide equitable services to all member institutions.

### FISCAL RESPONSIBILITIES

- The new organization must establish accounting and time reporting systems to

provide its governing, advisory, and legislative stakeholders with return on investment data for each service it delivers.

- The new organization must continue to seek statewide funding from the state for the cost-effective procurement of eResources.

### ACCOUNTABILITY

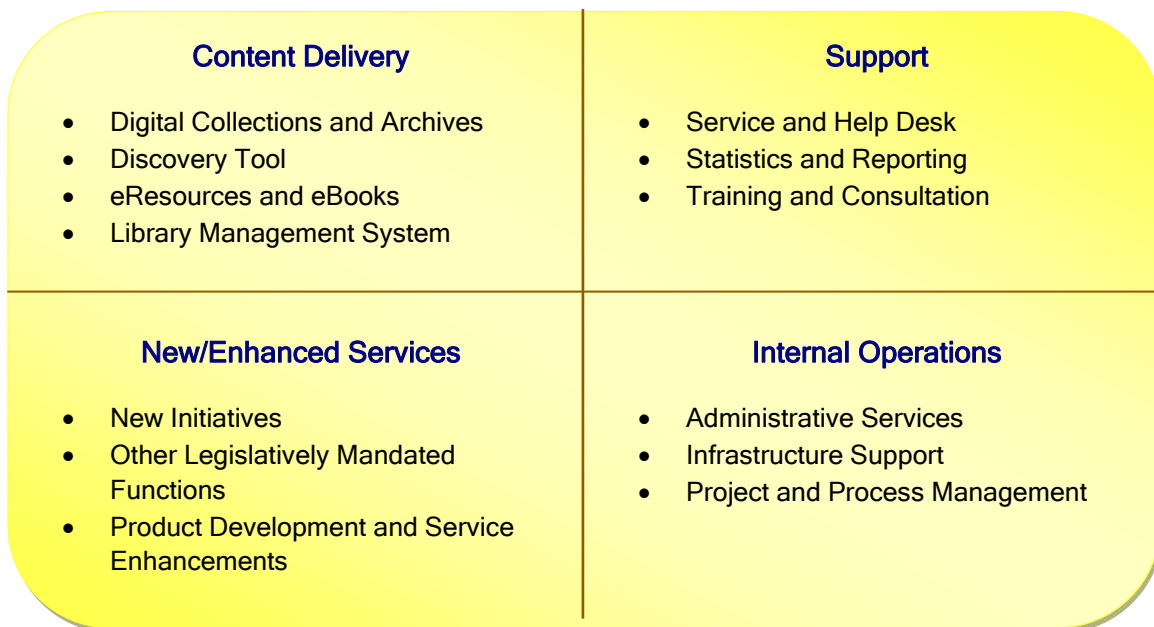
- The new organization must implement new and existing services as approved by the Board of Directors.
- The new organization must support the information needs of students, faculty, library staff and administration, and institutional administration.
- Transparency, quality, and service must guide the new organization. The new organization must measure its performance by metrics to quantify its outcomes and results.

### OPERATIONAL RESPONSIBILITIES

- The new organization should base its internal structure on the services it delivers.
- Ongoing and initial project management is critical to ensure the successful transition of existing services to the new organization and to avoid any lapse in services to library users.

### FUNCTIONAL ORGANIZATION

- As the new organization is created, it must support the functional areas identified in the following diagram. The higher education libraries identified this initial set of functional requirements (i.e., core services). *Section 7, Functional Requirements, page 35*, provides further details.



### 6.3 Staffing, Roles, and Responsibilities

This plan proposes an initial staff of 134 FTE, which equals the combined current FTE at CCLA and FCLA with little to no optimization except through reductions as a result of normal staff attrition. This approach is recommended because planning for the consolidation of services and associated resources will create a significant workload for both organizations in FY 2012-2013. In addition, existing staff will need to ensure current services are not disrupted.

The new Executive Director must decrease this FTE count after consolidating services and transferring some to newer technologies. However, this FTE count could potentially increase if additional responsibilities (such as K-12) are added to the new organization by the Legislature. Additionally, if other sectors, such as the independent colleges and universities or public libraries, find sufficient value in the services offered, they may decide to contract with the organization for services, using a pay-as-you-go funding model, which could also add to the FTE count of the new organization.

The milestones expected for the adjustment of the organizational size and subsequently the FTE requirements should be as follows:

- July 2013: Impact of services and staffing consolidation.
- Spring 2014: Impact of new LMS selection.
- Fall 2014: Impact of potential new users.

The following matrix identifies the roles, responsibilities, and the staff required to support the initial set of functional requirements expected from the new organization.

It is important to note that the new organization will need to accommodate postsecondary institutions of all sizes, plus libraries with differing academic missions. Therefore, it is unlikely that the new organization will be able to have a “one-size-fits-all” system or support structure that will accommodate all needs. The new organization must be flexible and adaptable to support rural and metropolitan institutions; large and specialized medical, law, and research libraries; small colleges with limited funding; and major state universities with significant resources.

Function	Organizational Role	Responsibilities	Existing Staffing Levels (combined CCLA and FCLA)	Future Considerations
Administrative Services	Head of the new organization, plus executive staff necessary to lead the new unified library, as well as business and financial services.	<ul style="list-style-type: none"> <li>• Organizational leadership</li> <li>• Budget management</li> <li>• Members Council support</li> <li>• Board of Directors support</li> <li>• Human resources</li> <li>• Finance and accounting</li> <li>• Contract management</li> <li>• Procurement</li> <li>• Policies and procedures</li> </ul>	9.5 FTE	The services supplied by the contract institution will impact the number of staff for this function.
Infrastructure Support	Facilities, organizational infrastructure and support, disaster recovery, among other miscellaneous items.	<ul style="list-style-type: none"> <li>• Facilities</li> <li>• Organizational technologies</li> <li>• Hardware support</li> <li>• Software support</li> <li>• Security and intrusion detection</li> <li>• Disaster recovery</li> </ul>	19.5 FTE	Future technology decisions will impact the number of staff required for this function.
Project and Process Management	Successful execution of the CCLA/FCLA transition activities and implementation of all future services.	<ul style="list-style-type: none"> <li>• Transition project management</li> <li>• New services project management</li> <li>• Service upgrade project management</li> </ul>	8 FTE	The number of staff required for this function depends on the extent to which project and process management is infused in the new organization.
Discovery Tool	Configuration and support of a single discovery tool for higher education.	<ul style="list-style-type: none"> <li>• Facilitate discovery tool selection</li> <li>• Configure/support discovery tool</li> <li>• Online public access to the union catalog</li> <li>• Product architecture</li> <li>• Cross-service functions</li> </ul>	19 FTE	The selection of a future statewide discovery tool will impact the number of staff in this functional area (i.e. an off-the-shelf product, an open source product, or a locally-developed product).

Function	Organizational Role	Responsibilities	Existing Staffing Levels (combined CCLA and FCLA)	Future Considerations
Library Management System	Successful configuration and operations of the statewide library management system.	<ul style="list-style-type: none"> <li>Facilitate LMS selection</li> <li>Configure LMS</li> <li>Support products</li> <li>Cataloging</li> <li>Acquisition/serials control</li> <li>Circulation</li> <li>Interlibrary loans</li> <li>Course reserves</li> <li>Automated bibliographic processing services</li> <li>User authentication</li> <li>Self-check devices</li> <li>Patron loading</li> <li>Document and book delivery</li> </ul>	16.5 FTE	The selection of a future, next generation, statewide LMS will impact the number of staff in this functional area (i.e., off-the-shelf product, open source, or in-house/hosted/cloud-based services).
eResources and eBooks	Coordination, licensing, and purchasing of electronic resources.	<ul style="list-style-type: none"> <li>Annual product selection</li> <li>Statewide licensing of eResources</li> <li>Collaborative purchases (paid by universities and colleges)</li> <li>Purchase of eBooks</li> <li>Statewide funding</li> </ul>	6.5 FTE	
Training and Consultation	Ongoing training for the organizational services and consultation.	<ul style="list-style-type: none"> <li>Training materials development</li> <li>Provision of training on all services</li> <li>Consulting on all products</li> <li>Integration/network consulting</li> <li>Online help, documentation, etc.</li> <li>Discussion lists</li> <li>Library staff resources website</li> </ul>	14 FTE	Shared services, consolidated travel among higher education institutions in the same geographical area, and shared materials may offer staff efficiencies in this area.
Service and Help Desk	Service desk to provide support according to the needs of the member libraries.	<ul style="list-style-type: none"> <li>Problem reporting and assistance</li> </ul>	8 FTE	If universities desire a full-service help desk, additional staffing would be required because a 24x7 service desk is not currently provided for universities.

Function	Organizational Role	Responsibilities	Existing Staffing Levels (combined CCLA and FCLA)	Future Considerations
Product Development and Service Enhancements	Custom software development, integration with institutional enterprise systems, and the creation of mobile applications; may include software development for the discovery tool or LMS if open source is ultimately selected.	<ul style="list-style-type: none"> <li>Seamless authentication</li> <li>Institutional administrative interfaces</li> <li>Product development lifecycle</li> <li>User centered design</li> <li>Quality assurance</li> <li>Model site</li> </ul>	12 FTE	The selection of a new discovery tool and a next-generation LMS will impact the number of staff in this functional area.
Digital Collections and Archives	Consultation, support, product development, and service enhancement of Florida's higher education digital collections, digital data management, and digital preservation efforts.	<ul style="list-style-type: none"> <li>Public access to archives</li> <li>Institutional access to Florida Digital Archive</li> <li>Hosting Florida on Florida</li> <li>Digital asset management</li> <li>Archive consultation</li> <li>Public access to digital collections</li> </ul>	10 FTE	
Statistics and Reporting	Generation of statistics and reports to support library purchases, services provided, and accreditation.	<ul style="list-style-type: none"> <li>Usage statistics and reports</li> <li>Accreditation support</li> <li>External reporting support</li> <li>Assessment</li> </ul>	6 FTE	Shared report development may offer efficiencies in this area.
New Initiatives	Ongoing identification of new services for Florida's higher education institutions and the piloting of these services before statewide activation.	<ul style="list-style-type: none"> <li>Identification of new products, services, and technologies</li> <li>Resource sharing opportunities</li> <li>Usability/accessibility testing</li> <li>Model site support</li> <li>New technology standards</li> </ul>	4 FTE	
Other Legislatively Mandated Functions	Support for any functions mandated by the Legislature.	<ul style="list-style-type: none"> <li>K-12 catalog</li> <li>FLA-PASS</li> </ul>	1 FTE	

Table 6.1 Staffing for Functional Requirements

## **6.4 Alternatives Considered**

Thought was given to structuring the new organization around the two different sectors that will be immediately serviced: the SUS and FCS institutions. However, this approach was dismissed for three reasons:

- The new organization must support the service needs of all constituents (i.e., public colleges and universities) and must plan for the eventual inclusion of other groups (i.e., ICUF). While these constituent groups have differing missions and styles of operation, their basic need for a core set of technology-based library services is similar.
- An internal organizational model that has a university division and a college division will not meet the expectations of the new legislation, nor provide the anticipated cost savings.
- The organization must be neutral between the two educational sectors.

For these reasons, the services-based functional model is the recommended structure of the new organization.

## **6.5 Implementation Considerations**

There are two key implementation considerations related to the organizational structure:

- To minimize financial payouts and lessen the impact, existing staff will need to be notified within the notice period specified in UF's termination policy and TCC's contract renewal procedure. Ideally, all current FCLA and CCLA staff should be notified that their positions will no longer exist in their current structure as of July 1, 2013, and that positions will be created in the new organization according to need.
- Any current or vacant FCLA and CCLA positions for 2011 through 2013 should remain unfilled or accommodated through OPS or contractual relationships, unless the position supports a mission-critical function that will compromise central services.

## 7. FUNCTIONAL REQUIREMENTS

### Section 48, Chapter 2011-63, Laws of Florida

(3) A recommended process and schedule for the acquisition of a next generation library management system and its associated services which includes a discovery tool provided by the joint library organization. The library management system will replace the current systems and services provided by the Florida Center for Library Automation and the College Center for Library Automation. The process for acquiring the next generation library management system must involve **the identification of the functional requirements** necessary to meet the needs of the post-secondary education library users and be scalable in order to meet any additional library user needs that are identified as being necessary and in the best interest of the state.

### 7.1 Overview

As part of Section 48(3) of Chapter 2011-63, Laws of Florida, the Legislature has requested the “identification of the functional requirements necessary to meet the needs of the post-secondary education library users.” For both existing organizations, FCLA and CCLA, a set of functional requirements equates to those automated library services offered to their respective institutions. For this reason, the requirements in this section include those services the new organization must provide.

The institutions and libraries involved in creating this plan emphasized that the new organization must be “services-based” to reinforce that the organization exists to offer cost-value services to its member institutions. Thus, all budgeting, organizational, and functional requirements contained in this plan reflect this services-based approach. By carrying this services-based philosophy into the future, the member organizations will have a strong voice through the Members Council and Board of Directors, in what services are offered, added, or discontinued, and where cost efficiencies can and should occur.

### Strategic Plan

#### Values

User needs drive the design of library services.

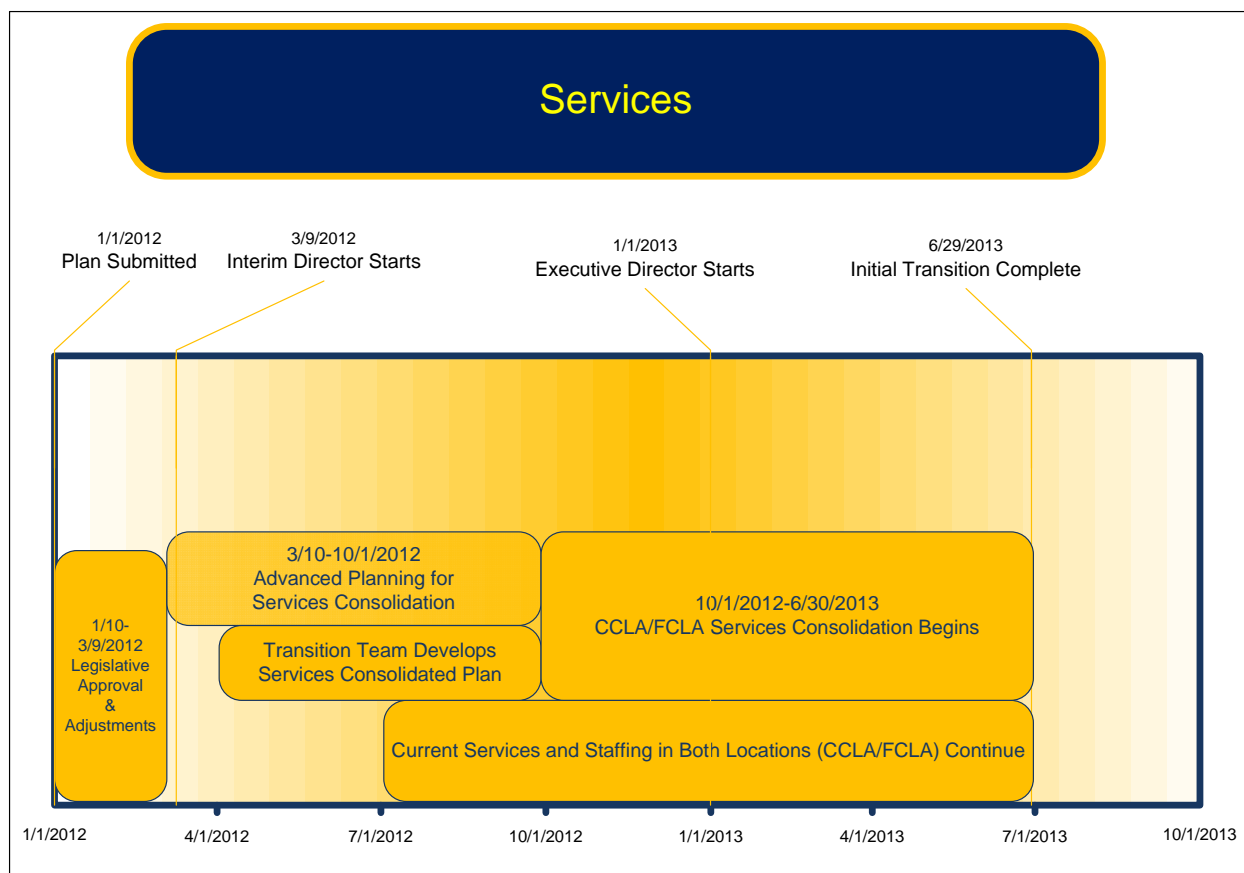
#### Goals

Florida’s academic libraries have the capacity and agility to respond to emerging technologies.

### 7.2 Proposed Functional Requirements Strategy

There are several key steps and milestones required to combine the related services of FCLA and CCLA into a new organization. These efforts must proceed in such a way as to avoid disrupting student services.

The following schedule shows the transition team, led by the Interim Director, developing a service consolidation plan beginning immediately after legislative decisions are made in 2012. This advanced planning for services will need to be tightly aligned with the technology consolidation, decommissioning, and acquisition efforts detailed in *Section 9, Technology Direction, page 53*.



This planning, already underway by FCLA and CCLA, should include decisions on the following questions:

- For each service offering identified in this section, what is the strategy for consolidating the service?
- Are there any services that should remain as-is in the short-term because there are pending strategic decisions the new organization will need to make?
- For services to be combined, where is the logical place to house the service and related hardware (if any)? Should the service be moved to a cloud environment or to a state data center?
- What are the tactical steps required to achieve the consolidation of services?

The transition team will be responsible for planning and decision-making, with final approval and oversight by the Chancellors and the Interim Director (once selected). On July 1, 2012, FCLA and CCLA should begin

consolidating services under the direction of the new organization.

For services related to the discovery tool and the LMS, consolidation planning will need to occur after the RFI and ITN processes are completed as detailed in *Section 9, Acquisition, page 53*.

### 7.3 Survey

To develop functional requirements, it was determined that a baseline of services required by the academic libraries must be established. To do so, a list of current services offered by FCLA and CCLA was used to form the basis of an online services survey. The purpose was to determine what services are viewed as critical by the academic libraries. Access to the survey was provided to each college and university library director/dean, each member of the Task Force, and each ICUF library director.

For each of the services, respondents were asked to select from the following options:

- Required core service,
- Optional desired service,
- Not needed,
- Don't know,
- Provided by other means.

Survey results became the basis of the functional requirements to be offered by the new

organization. The matrix on the following pages provides a high-level overview of the survey responses.

The "State University" category includes responses from research, medical, and law libraries housed at the institutions, which is why the total responses (14) is greater than the total number of universities (11).

Note: Highlighted cells indicate where the most responses were received.

Service Categories	Service	State Universities (14 Responses)					State/Community Colleges (25 Responses)				
		Required	Optional	Not Needed	Don't Know	Other Means	Required	Optional	Not Needed	Don't Know	Other Means
Discovery Tool	Online Public Access to Union Catalog Provide online access to the aggregate collections of all libraries in the university and college systems.	13	1				22	3			
	Online Access to My Institutions Catalog Only Provide online access to the collections of your institutions library(ies).	13	1				24				
	Discovery Tool Discovery tools provide a single point of access to a broad range of library materials, including access to catalogs, subscription content from multiple providers, eBooks, archival collections, electronic journals, research databases, and other resources on the internet.	7	2	1		4	23	2			
	Discovery Tool Customization Discovery tools that can be modified for each individual institution.	9	2			3	24	1			
	User Authentication and Authorization Software programs used to regulate user access to services and eResources content.	11	1		1	1	23	1		1	
Library Management System	Cataloging - Library Management System Software to create, locate, and manage the bibliographic records of library resources using current industry standards.	11	1		1	1	25				
	Acquisition/Serials Control - Library Management System Software used to manage the ordering, receiving, and accounting of library materials.	10	2		1	1	21	3	1		
	Circulation - Library Management System Software used to manage the checking in and out of materials as well as a comprehensive inventory system.	13	1				25				

Service Categories	Service	State Universities (14 Responses)					State/Community Colleges (25 Responses)				
		Required	Optional	Not Needed	Don't Know	Other Means	Required	Optional	Not Needed	Don't Know	Other Means
Library Management System (continued)	Interlibrary Loan - Library Management System Software used to manage the processing and fulfillment of interlibrary loan requests placed by patrons or staff.	6	3			4	23				1
	Course Reserves - Library Management System Software to manage reserved library materials.	8	3	1		2	23	2			
	Automated Bibliographic Processing Services - Library Management System Includes automated loading, processing, enriching, de-duping, matching, deletion of bibliographic records, etc.	11	3				23	2			
	Configuration - Library Management System Ability to configure the library management system software for the institutions' unique use.	12	2				23	2			
	Online Help, Documentation, FAQs - Library Management System Online help, manuals, searchable help tools, and other documentation to assist users with the Library Management System.	9	3		1		24	1			
	Self-Check Devices Support for configuring, encrypting, and troubleshooting self-check stations, as well as linking them with the Library Management System.	5	6	3			12	8	4		1
	Patron Record Loading Automated loading of patron records.	14					25				
eResources and eBooks	User Authentication and Authorization Software programs used to regulate user access to services and eResources content.	11	1		1	1	23	1		1	
	eResources/eBooks Licensing and Support Contract negotiation and licensing for shared eResources.	12	2				23	1			

Service Categories	Service	State Universities (14 Responses)					State/Community Colleges (25 Responses)				
		Required	Optional	Not Needed	Don't Know	Other Means	Required	Optional	Not Needed	Don't Know	Other Means
eResources and eBooks (continued)	<b>Hosting Open Journals</b> Hosting for Open journals, which is the publishing of electronic journals that support the editorial processes of editing, peer review, and revision, as well as providing web access to the journal content.	3	7		1	3	5	14	2	4	
Training and Consultation	<b>Online Help, Documentation, FAQs - Library Management System</b> Online help, manuals, searchable help tools, and other documentation to assist users with the Library Management System.	9	3		1		24	1			
	<b>Discussion Lists (listservs) for Library Staff/Administrators</b> Dedicated online forums for library staff/administrators to receive news, exchange ideas, share information, and submit comments or questions.	6	7	1			14	8	2		1
	<b>Library Staff Resources Website</b> Dedicated online resource for library staff that provides centralized access to information.	5	8		1		18	4	2		
	<b>Onsite Consultation</b> Onsite consultation by library services consultants to address local institutional and system-level issues.	6	5	1	1	1	13	6	4		2
	<b>Network Consultation</b> Technical liaison to institutions on matters concerning connectivity to resources and other system-related issues.	10	1	1		2	23	2			
	<b>Technical Services Evaluations</b> Onsite consultations to provide recommendations for efficiencies in technical services.	1	7	4	1	1	8	11	4		2
	<b>In-Person Instruction</b> Formal, live, instructor-led courses for library staff on product use.	5	6	2		1	8	12	4		1
	<b>Computer-Based Instruction</b> Formal, sequential, self-paced online courses for library staff on product use.	6	5	1	1	1	20	4		1	

Service Categories	Service	State Universities (14 Responses)					State/Community Colleges (25 Responses)				
		Required	Optional	Not Needed	Don't Know	Other Means	Required	Optional	Not Needed	Don't Know	Other Means
Training and Consultation (continued)	Live Web Classes Formal, live, web-based courses for library staff on product use.	6	6		1	1	17	6	1	1	
	Web Tutorials Production of locally customizable web-based videos instructing users on product use.	3	7		1	1	11	10	1	2	1
Service and Help Desk	Service/Help Desk Customer support center for library staff.	13	1				25				
Infrastructure Support	Security Services Secure management of all library resources and patron data.	13			1		24				
	Disaster Recovery/COOP (Continuity of Operations Plan) Services Offsite recovery of services in the event of a disaster.	14					23	2			
	Hardware and Software Support for Internal and External Operations	Required for All Other Services									
Digital Collections and Digital Archives	Public Access to Archives Provide public access to a statewide database of searchable inventories of archives and special collections held by Florida institutions.	6	6		1	1	11	11	1	2	
	Institutional Access to Florida Digital Archive The Florida Digital Archive is a long-term preservation repository to ensure long-term availability of and access to library content in audio, video, text, and image formats (not providing public access).	8	5			1	9	15	1		
	Hosting Florida on Florida Ability to host Florida on Florida, a portal to digital content related to Florida.	3	5	1	4	1	5	14	1	5	
	Digital Asset Management Provides tools for the management of local digital content.	4	2			5	8	13	2		2

Service Categories	Service	State Universities (14 Responses)					State/Community Colleges (25 Responses)				
		Required	Optional	Not Needed	Don't Know	Other Means	Required	Optional	Not Needed	Don't Know	Other Means
Digital Collections and Digital Archives (continued)	Archive Consultation Onsite and offsite consultation on digital archiving tools.	2	7	1		4	4	12	7		2
Statistics and Reporting	Usage Statistics and Reports Reports and usage statistics providing institutions with information to guide library management decisions (e.g., circulation statistics to determine materials to acquire).	13		1			25				
	Accreditation Support Customized automated reports and instructions in support of institutional accreditation activities (e.g., SACS).	8	4		2		14	6	4	1	
	External Reporting Support Customized automated statistical support and instructions to assist libraries with reporting.	9	5				17	5	2	1	
New Initiatives	New Products and Services Support for statewide research and investigation on new products and services.	7	6		1		17	4		1	3
	Usability/Accessibility Testing Usability and accessibility testing to collect information about user interaction with products.	9	4			1	19	5	1		
	Model Site Onsite testing environment to aid in product and service testing.	9		1	2	2	18	4	1	1	1
Product Development and Service Enhancements	Single Sign-On Function of allowing users to log in only once to access accounts, interlibrary loan functions, or discovery tools once the users have logged into an institutions' local portal.	6	5	2		1	19	4			2
	Mobile Interfaces or Applications Websites or downloadable software that allow users to access library services using their smart phones or other mobile devices.	12	1	1			22	3			

Service Categories	Service	State Universities (14 Responses)					State/Community Colleges (25 Responses)				
		Required	Optional	Not Needed	Don't Know	Other Means	Required	Optional	Not Needed	Don't Know	Other Means
Product Development and Service Enhancements (continued)	Institutional Administrative Interfaces Interfaces and data exchange between the Library Management System and university or college student, financial, or other systems.	14					19	5		1	
	Custom Software Development	Required Depending on the Structure of the New Organization									
Administrative Services	Statewide/ National/ International Participation Participation by the new organization staff in university, college, or library support groups as appropriate.	8	5		1		15	7	1	2	
	Human Resources, Finance & Accounting, Contract Management, Procurement	Variable, Based On Contract with Selected Institution									
Project and Process Management	Project Management	Variable, Based on New Organization									
	Quality Assurance	Variable, Based on New Organization									
Other Legislative Mandated Functions	K-12 Catalog and Statistics	Required by Legislature									
	FLA-PASS	Required by Legislature									

Table 7.1 Services Survey Results for Universities and Colleges

**INDEPENDENT COLLEGES AND UNIVERSITIES**

Fourteen ICUF members also responded to the survey. Their responses are depicted below. The new organization should

consider these results when developing the ability for other institutions to purchase its services.

Note: Highlighted cells indicate where the most responses were received.

Service Categories	Service	ICUF Responses (13 Total)				
		Required	Optional	Not Needed	Don't Know	Other Means
Discovery Tool	Online Public Access to Union Catalog	4	9			
	Online Access to My Institutions Catalog Only	5	2	1		5
	Discovery Tool	1	5	2	1	4
	Discovery Tool Customization	2	6	1	2	2
	User Authentication and Authorization	6	3			4
Library Management System	Cataloging - Library Management System	4	2	2		5
	Acquisition/Serials Control - Library Management System	4	3			5
	Circulation - Library Management System	6	2			5
	Interlibrary Loan - Library Management System	5	2	1	1	3
	Course Reserves - Library Management System	3	3	2		5
	Automated Bibliographic Processing Services - Library Management System	5	2	1	1	4
	Configuration - Library Management System	5	3		1	4
	Online Help, Documentation, FAQs - Library Management System	5	4			3
	Self-Check Devices	1	7	4		1
	Patron Record Loading	4	1		2	5
eResources and eBooks	User Authentication and Authorization	6	3			4
	eResources Licensing and Support	7	6			
	Hosting Open Journals		11	1	1	

Service Categories	Service	ICUF Responses (13 Total)				
		Required	Optional	Not Needed	Don't Know	Other Means
Training and Consultation	Online Help, Documentation, FAQs - Library Management System	5	4			3
	Discussion Lists (listservs) for Library Staff/Administrators	2	9		2	
	Library Staff Resources Website	2	6		2	2
	Onsite Consultation		8		2	2
	Network Consultation	4	5	1	1	2
	Technical Services Evaluations		9	1	2	1
	In-Person Instruction		7	2	1	2
	Computer-Based Instruction	4	7			1
	Live Web Classes	3	7			1
	Web Tutorials	2	8		1	1
Service and Help Desk	Service/Help Desk	9	2		1	1
Infrastructure Support	Security Services	7	2	1		2
	Disaster Recovery/COOP (Continuity of Operations Plan) Services	5	4		2	1
Digital Collections and Digital Archives	Public Access to Archives	2	11			
	Institutional Access to Florida Digital Archive	2	8		3	
	Hosting Florida on Florida	2	6	1	4	
	Digital Asset Management	1	8			4
	Archive Consultation		8	4		1
Statistics and Reporting	Usage Statistics and Reports	6	4			3
	Accreditation Support	5	4	1	1	2
	External Reporting Support	3	7			3
New Initiatives	New Products and Services	5	6		1	
	Usability/Accessibility Testing	1	9	1	1	

Service Categories	Service	ICUF Responses (13 Total)				
		Required	Optional	Not Needed	Don't Know	Other Means
New Initiatives (continued)	Model Site	4	6	1	1	
Product Development and Service Enhancements	Single Sign-On	3	5		1	4
	Mobile Interfaces or Applications	6	7			
	Institutional Administrative Interfaces	2	6		2	3
Administrative Services	Statewide/ National/ International Participation	4	6		2	

Table 7.2 Survey Results for ICUF Institutions

**HIGHLIGHTS OF THE SURVEY RESULTS**

Of the 44 services included in the survey, each service was rated as a Required Core Service or an Optional Desired Service by the greatest

number of individual responses. Services rated as Required are grouped in the table below.

Note: The following table includes all individual survey responses.

<b>Services Required by 75% or More of Individual Responses</b>	
<ul style="list-style-type: none"> <li>• Online Public Access to Union Catalog</li> <li>• Online Access to My Institution’s Catalog Only</li> <li>• User Authentication and Authorization</li> <li>• Cataloging - Library Management System</li> <li>• Circulation - Library Management System</li> <li>• Online Help, Documentation, FAQs - Library Management System</li> </ul>	<ul style="list-style-type: none"> <li>• eResources Licensing and Support</li> <li>• Usage Statistics and Reports</li> <li>• Patron Record Loading</li> <li>• Service/Help Desk</li> <li>• Security Services</li> <li>• Disaster Recovery/COOP (Continuity of Operations Plan) Services</li> </ul>
<b>Services Required by 50-74% of Individual Responses</b>	
<ul style="list-style-type: none"> <li>• Discovery Tool</li> <li>• Discovery Tool Customization</li> <li>• Single Sign-On</li> <li>• Acquisition/Serials Control - Library Management System</li> <li>• Interlibrary Loan - Library Management System</li> <li>• Course Reserves - Library Management System</li> <li>• Automated Bibliographic Processing Services - Library Management System</li> <li>• Configuration - Library Management System</li> <li>• Mobile Interfaces or Applications</li> <li>• Institutional Administrative Interfaces</li> </ul>	<ul style="list-style-type: none"> <li>• Library Staff Resources Website</li> <li>• New Products and Services</li> <li>• Network Consultation</li> <li>• Accreditation Support</li> <li>• External Reporting Support</li> <li>• Computer-Based Instruction</li> <li>• Live Web Classes</li> <li>• Usability/Accessibility Testing</li> <li>• Model Site</li> <li>• Statewide/National/International Participation</li> </ul>
<b>Services Required by 25-49% of Individual Responses</b>	
<ul style="list-style-type: none"> <li>• Public Access to Archives</li> <li>• Institutional Access to Florida Digital Archive</li> <li>• Self-Check Devices</li> </ul>	<ul style="list-style-type: none"> <li>• Discussion Lists (listservs) for Library Staff/Administrators</li> <li>• Onsite Consultation</li> <li>• Web Tutorials</li> </ul>
<b>Services Required by &lt;25% of Individual Responses</b>	
<ul style="list-style-type: none"> <li>• Hosting Florida on Florida</li> <li>• Hosting Open Journals</li> <li>• Digital Asset Management</li> </ul>	<ul style="list-style-type: none"> <li>• Technical Services Evaluations</li> <li>• Archive Consultation</li> <li>• In-Person Instruction</li> </ul>

Table 7.3 Services Ratings

## 7.4 Adapting to the Future

Existing CCLA and FCLA services cannot transition until after the formation of the new organization. The new organization must include a tactical plan for transitioning services without major disruption to library services at the post-secondary institutions.

The new organization should initially provide all services currently offered by both FCLA and CCLA because there are institutions that rely on them. Over time, the new library organization should work with the Members Council and the Board of Directors to develop a tailored menu of core and optional services. Library members could then select those areas they opt-in to receive, based on those that provide the best value to their local mission and needs.

Core services would include all those areas that must be offered to (and used by) all institutions at no charge since they are more cost effective through statewide efforts.

The new organization could offer optional services in two categories:

1. Those services that the new organization must provide at no cost to some institutions, which are likely to be:
  - Services provided to groups of smaller institutions that cannot afford them on their own,
  - Services essential to very large institutions, or
  - Services required by research, medical, and/or law libraries.
2. Those services that a group of institutions would like provided on a statewide basis to gain cost efficiencies. Institutions desiring

these services would be willing to pay an extra fee for them.

This services-based approach requires the new organization to continually examine the services it provides, eliminate those that cease to be of value to its members, and offer new ones in a way that best supports its collective set of members. In this manner, the new organization will have a greater opportunity to remain an effective and fiscally efficient operation.

In addition, as the new organization matures, other entities (e.g., public libraries, ICUF, or K-12) may want to contract for all or some of the services provided by the new organization, depending on the quality and the price.

Providing a menu of services will allow this development to occur as a natural progression of the new organization.

As the new organization moves to a services-based approach, the Board of Directors could elect to require the development of service level agreements for each of the services offered, thus facilitating clear expectations of what the members should receive from the new organization. A service level agreement would also assist continuing alignment between the members and the new organization.

## 7.5 Implementation Considerations

Transition planning must include the involvement of the current advisory/governance boards of FCLA and CCLA until the new organization and structure is in place, July 1, 2012.

## 8. ACQUISITION

### Section 48, Chapter 2011-63, Laws of Florida

(3) A recommended process and schedule for the acquisition of a next generation library management system and its associated services which includes a discovery tool provided by the joint library organization. The library management system will replace the current systems and services provided by the Florida Center for Library Automation and the College Center for Library Automation. The process for acquiring the next generation library management system must involve the identification of the functional requirements necessary to meet the needs of the post-secondary education library users and be scalable in order to meet any additional library user needs that are identified as being necessary and in the best interest of the state.

### 8.1 Overview

The Legislature has requested a “recommended process and schedule for the acquisition of a next-generation library management system and its associated services which includes a discovery tool provided by the joint library organization.”

While *Section 7, Functional Requirements, page 35*, identifies the high-level functional requirements of the LMS, its services, and discovery tool, this section describes the process for acquiring a single discovery tool and an LMS.

### 8.2 Proposed Acquisition Strategy

This plan recommends that the discovery-tool selection committee (originally chartered in early 2011) be authorized to conduct the procurement process, with the addition of a chief information officer to the committee. This group should be charged with leading two Requests for Information (RFI): one for a single discovery tool and one for an LMS under the procurement process of an institution or state-level entity. These RFI efforts will allow for a market scan of interested vendors and will not be contractually binding.

At the same time, the selection committee will conduct a needs assessment for the discovery tool and LMS, leveraging work already completed by the institutions. Because the new organization has the opportunity to be transformational and look at new roles for the

### Strategic Plan

#### Values

Libraries support the open inquiry that is vital to the advancement of knowledge.

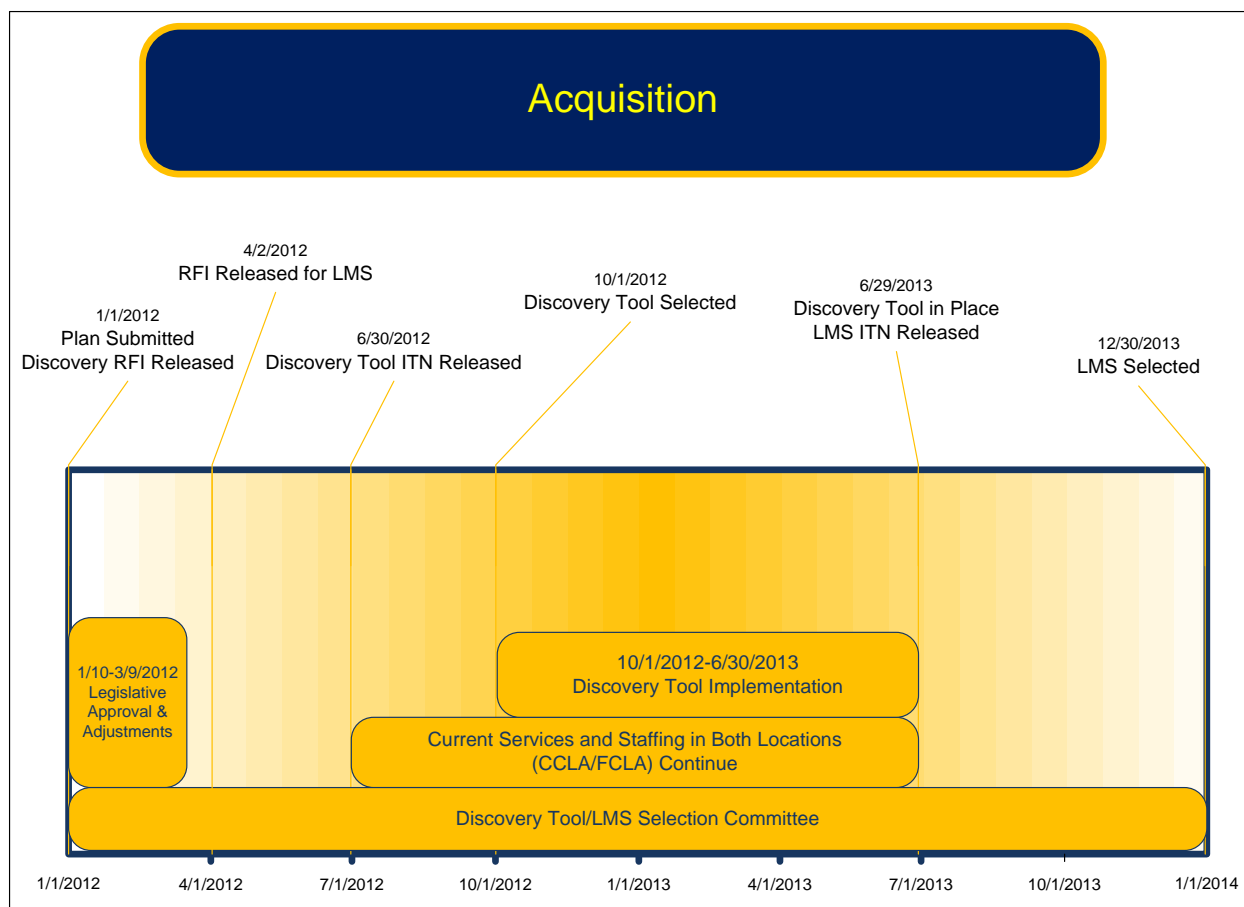
#### Goals

Florida’s academic libraries create and support an open, non-proprietary environment for the creation, preservation, and distribution of scholarly work.

library, the selection committee should evaluate future growth opportunities for library services. By combining existing needs with anticipated changes in library culture, the new organization can drive the marketplace for the future.

After carefully reviewing the responses to the RFIs, the selection committee should issue separate Invitations to Negotiate (ITN) for a discovery tool and LMS. This plan recommends the ITN process since it provides for negotiations with the vendors to obtain the best fit and the best value for the State of Florida.

As illustrated in the diagram on the following page, the RFI and needs assessment process for the discovery tool should begin as soon as possible. This process should be initiated during the 2012 legislative session to provide some necessary cost and strategy information. An RFI for a new LMS should also be released soon after the legislative session concludes.



This RFI process will enable the selection committee to gauge where the market is and to make future procurement decisions. The responses to the RFIs will provide a common knowledge base for informed decision-making.

### DISCOVERY TOOL

The discovery tool selection committee (originally chartered in early 2011) will be reactivated to conduct the procurement process. Technical subject matter expert(s) (i.e., chief information officers) will be added to the selection committee to ensure the technical viability of all proposed solutions. Options should include, but not be limited to, purchased, developed, and open source discovery tools provided in a hosted, cloud, or data center environment. This group will initiate the needs assessment and RFI process in January 2012.

Remaining key milestones for this group include the following.

- January 2012: Begin the RFI and Needs Assessment Process
- July 2012: Release ITN for Discovery Tool
- October 2012: Select Discovery Tool
- June 2013: Complete Implementation of a Single Discovery Tool

### LIBRARY MANAGEMENT SYSTEM

The existing selection committee should begin the LMS procurement process in the spring of 2012. Because next-generation products are still under development, the new organization will need to wait on vendor responses to the RFI before establishing a firm timeline for acquiring the LMS. Options should include, but not be limited to, purchased, developed, and open source LMS provided in a hosted, cloud, or data

center environment. Proposed milestones that will need to be adjusted based on the RFI process, include the following.

- April 2012: Begin the RFI and Needs Assessment Process
- July 2013: Release ITN for New LMS
- December 2013: Select Next-Generation LMS

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## 8.4 Alternatives Considered

According to s. 287.012, F.S., there are several different methods for procurement as described below. This plan recommends the RFI to begin the procurement process to ensure a solid market scan of available products. This plan then recommends the ITN process since it provides for negotiations with the vendors that best meet the identified needs.

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### DEFINITIONS

#### INVITATION TO BID (ITB)

The ITB is a written or electronically posted solicitation for competitive sealed bids. The ITB should be used when the agency is capable of specifically defining the scope of work for the required service or when the agency is capable of defining precise specifications for an actual commodity.

#### INVITATION TO NEGOTIATE (ITN)

The ITN is a written or electronically posted solicitation for competitive sealed bids, whereby one or more vendors are selected for negotiations for the procurement. The ITN should be used when an agency wants to

determine the best method for achieving a specific goal or solving a particular problem. The agency uses the ITN to identify one or more responsive vendors with which it may negotiate in order to receive the best value. The agency must be able to defend why an ITB or RFP is not practical.

#### REQUEST FOR INFORMATION (RFI)

The RFI is a written or electronically posted request for vendors to provide information concerning products or services. Responses are not considered offers nor are they binding contracts.

#### REQUEST FOR PROPOSALS (RFP)

The RFP is a written or electronically posted request for competitive sealed proposals. The RFP should be used when the agency can specifically define the purposes and uses for the commodity or service being sought and the agency is capable of identifying the necessary deliverables. The agency must be able to defend why an ITB was not practical.

#### REQUEST FOR QUOTE (RFQ)

The RFQ is a written or oral request for written pricing for products or services on a state term contract.

The following highlights the key differences among the procurement vehicles, as well as the advantages and disadvantages for the new organization's procurement planning.

Procurement Method	Highlight	Comment
Invitation to Bid	Scope of work must be specific and defined.	The new organization probably cannot be specific enough for this option.
Request for Proposals	More elaborate than the ITB, the agency must be able to define specific deliverables.	The new organization may not be able to define specific deliverables at the detail required for this option.
Request for Quote	Can only solicit responses from vendors on a state term contract.	This option would severely limit the number of vendors who could respond.
Request for Information	Request for information only and not contractually binding.	<i>Recommended</i> , as this option would allow the new organization to hear from interested vendors, who may present new options not yet considered by the new organization.
Invitation to Negotiate	Best method for achieving a particular goal.	<i>Recommended</i> , as this option would allow the new organization the ability to negotiate with several vendors to obtain the best fit and the best value for the State.

Table 8.1 Procurement Methods

## 8.5 Implementation Considerations

The following should be considered when implementing the proposed acquisition plan.

- The release date for the LMS ITN depends on when these changing technologies become more solidified.
- Any service or technology consolidation efforts should take into consideration the impact on library services.
- Long-term hardware decisions should be made based on decisions yet to be made on discovery tool and LMS products.

## 9. TECHNOLOGY DIRECTION

### Section 48, Chapter 2011-63, Laws of Florida

(4) A proposed schedule for consolidating the computing and data center resources and equipment provided by FCLA and CCLA to a statutorily established or designated primary data center no later than December 1, 2012, or for decommissioning the computing and data center resources and equipment that are no longer required by the joint library organization and are currently located at and managed by FCLA and CCLA.

### 9.1 Overview

The legislative language contains two options for FCLA and CCLA technology changes.

#### OPTION 1

Proposed schedule for consolidating FCLA's and CCLA's computing and data center resources and equipment to a statutorily established or designated primary data center.

#### OPTION 2

Decommissioning the computing and data center resources and equipment no longer required by the new organization, and currently located at and managed by FCLA and CCLA.

This plan recommends option 2 for the following reasons.

1. The SUS and FCS are seeking to create a new and innovative organization. They must see the new organization established before making any substantive technology decisions.
2. The new organization will be services-based. In other words, the new organization will base all fiscal and organizational decisions on the services the institutions require. Thus, the identification of how best to combine the existing services offered by FCLA and CCLA must occur first, before making any technology decisions.

### Strategic Plan

#### Values

User needs drive the design of library services.

#### Goals

Florida's academic libraries have the capacity and agility to respond to emerging technologies.

3. Many of the services supported by FCLA and CCLA will soon have cloud-based options available. Rather than spending scarce state resources on moving current technologies to a data center, there is the potential for the new organization to move directly to cloud-based options.
4. For applications with no viable cloud options, consideration should be given to the relative costs of moving and upgrading aging FCLA and CCLA equipment or purchasing equipment to meet the needs of the new organization.

This technology strategy therefore outlines the approach for decommissioning FCLA and CCLA computing and data resources (as appropriate), transitioning the assets that have value, and developing a plan for acquiring technology as needed for the strategic purposes of the new organization.

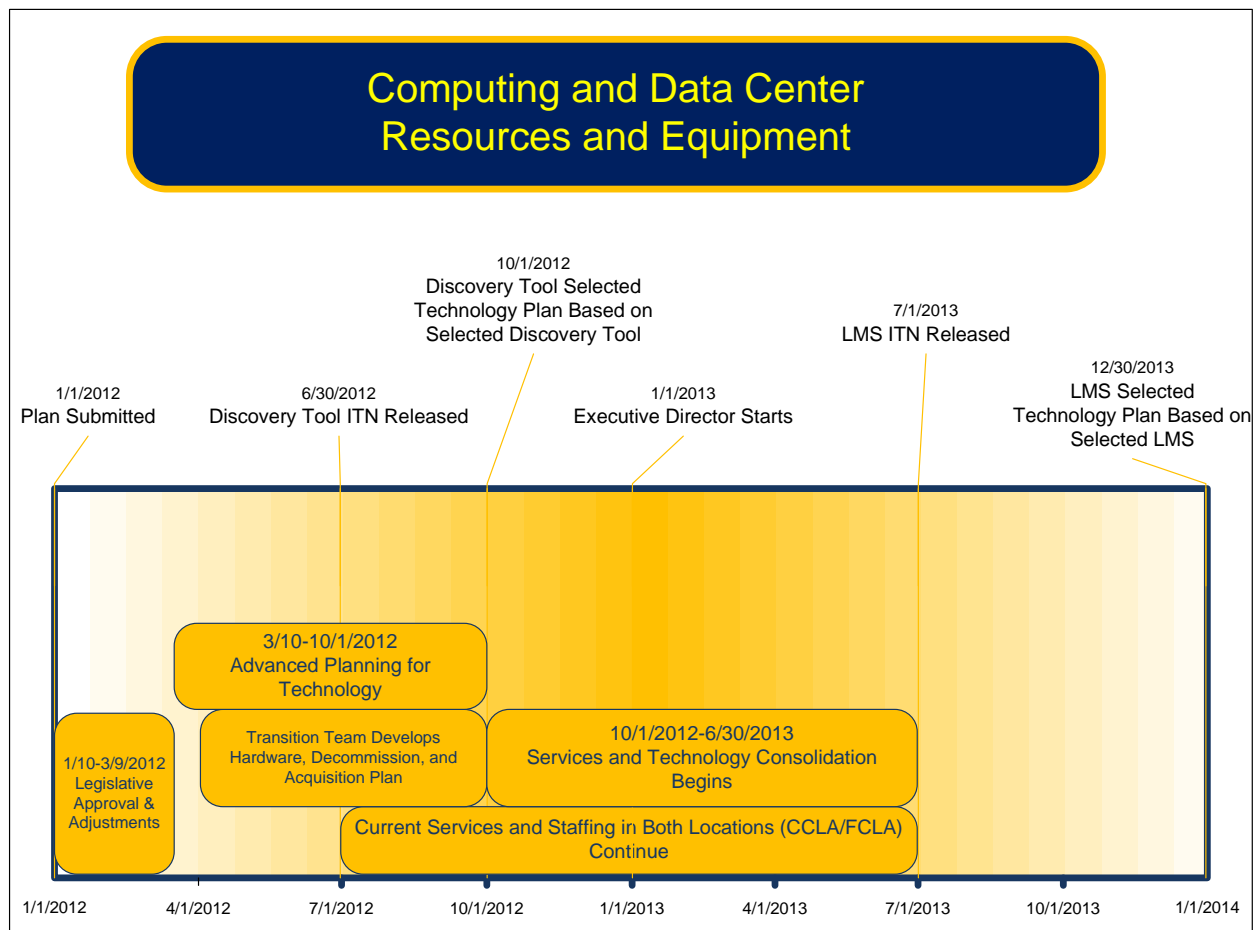
## 9.2 Proposed Technology Strategy

The following timeline shows the technology strategy for decommissioning or transitioning FCLA and CCLA technology assets. This schedule shows detailed advance planning efforts by the Interim Director and the transition team after the 2012 legislative session, once decisions about the new organization have occurred. The technology efforts will continue through 2013 and beyond.

Decisions will become more strategic once the Executive Director is selected, the governance structure becomes operationalized, and decisions on a single discovery tool and a new LMS are made.

The technology activities have substantial overlap with tasks identified in *Section 7, Functional Requirements, page 35, and Section 8, Acquisition, page 49*. Therefore, the technology timeline below includes some of those events as well. The activities in red specifically pertain to the technology strategy and are as follows:

1. Advance planning for technology consolidation, decommission, acquisition;
2. Technology plan based on selected discovery tool;
3. Services and technology consolidation begins; and
4. Technology plan based on selected LMS.



### Task 1: Advance Planning For Hardware Consolidation, Decommission, Acquisition

The proposed schedule shows the Interim Director for the new organization, along with a transition team, developing a tactical technology migration plan in the spring of 2012. This plan would include any technology changes the Interim Director recommends as part of the transition strategy for the new organization. This planning step is critical since the technology decisions are complex, potentially disruptive to student services, and should logically follow decisions for services consolidation. This planning, already underway by FCLA and CCLA, should include decisions such as the following.

- For each desired service offering outlined in *Section 7, Functional Requirements, page 35*, what is the strategy for consolidating the service and related technologies in the future?
- Which services and related technologies could logically be combined in the near-term and housed in a single location?
- Which services and technologies should remain in their present structure and physical location because:
  - There are pending strategic decisions the new organization will need to make that will cause the technologies to be decommissioned and/or replaced with new acquisitions?
  - The hardware and related tools are at the end of their lifecycle and the cost to move them exceeds their replacement cost?

Based on these decisions, the Interim Director and transition team must develop a project schedule and transition plan to guide initial services and technology consolidation efforts. In each case, decisions as to what application and data responsibilities should remain with the new organization will need to be made.

### Task 2: Technology Plan Based On Selected Discovery Tool

In early 2012, the existing discovery tool selection committee will conduct a needs assessment and issue an RFI as detailed in *Section 9, Acquisition, page 53*. Based on this information, the selection committee will issue a formal ITN, with the intent to select a single discovery tool by October 1, 2012. Through this effort, strategic decisions will need to be made, under the direction of the Interim Director, relating to transitioning hardware to a data center or moving to a cloud-based environment.

### Task 3: Technology and Services Consolidation Begins

Throughout FY 2012-2013, FCLA and CCLA should begin to consolidate their services and any related hardware based on the transition plan developed in Task 1. The Interim Director, in conjunction with the transition team, must pursue these initial technology changes to begin the creation of the new organization. However, as much as possible, major technology changes for the new organization should occur after the Executive Director is hired and the formation of the Members Council and Board of Directors occurs. This schedule both creates the proper recruiting incentives for the Executive Director position and allows more thoughtful and analytical processes before making decisions that will affect the new organization for the next decade.

### Task 4: Technology Plan Based On Selected LMS

In the spring of 2013, the selection committee may begin the procurement process for the new LMS. Because the next-generation LMS is currently under development, the selection committee should first release an RFI to obtain vendor and market analysis information for planning purposes. Once the selection committee receives this information, it can finalize a solid procurement timeline, including

milestones for developing a technology strategy to support the new LMS.

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### 9.3 Definitions

The technology options considered as part of the business plan efforts can be classified into three categories.

#### OUTSOURCE

Contracting with an outside entity to house all technologies, data, and systems.

#### INSOURCE

Housing all technologies, data, and systems within the physical location of:

- The new organization, or
- Within one of the existing library automation centers (i.e., FCLA or CCLA).

#### HYBRID

Using a combination of the two prior strategies, based on the best option for each service offered.

These three options were then explored. Various insource options were examined that would consolidate FCLA and CCLA hardware, data, and applications into one of those two organizations. Although these options were analyzed, and some determined to be more cost-effective, they are not included in this business plan since they do not align with the legislative direction.

Definitions for the terms used in this section, which are important for understanding the options, are as follows.

#### CLOUD COMPUTING

The National Institute of Standards and Technology defines cloud computing as a model for enabling convenient, on-demand network access to a shared pool of configurable computing resources (e.g., networks, servers, storage, applications, and services), that can be rapidly provisioned and released with minimal management effort or service provider interaction. It provides for a pay-as-you-go approach to technology, whereby users only pay for the technology consumed. It can be rapidly deployed because users are not purchasing equipment, but rather services. It is also more energy efficient.

#### PRIVATE CLOUD COMPUTING

An approach to cloud computing whereby an organization develops or procures its own dedicated cloud-computing environment, either alone or in groups; the latter is also referred to as a “community cloud.”

#### PUBLIC CLOUD COMPUTING

An approach to cloud computing whereby a third-party provider sells cloud services to the public and has many unrelated subscribers via the Internet. (Examples include Amazon Web Services, Google, and others.)

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### 9.4 Technology Options

The possible technology options that were considered as part of the business plan efforts are discussed on the follow pages. These options are not intended to represent the entire universe of technology tools available to the new organization, but rather to provide ideas for consideration as strategies for the next-generation library model are developed.

**OUTSOURCE OPTION**

Outsourcing technology services involves contracting with a separate organization for the provision of services. Outsourcing of services changes the nature of skills and expertise required for an organization from computer

operations to contract negotiations, service-level agreements, and compliance processes. One outsource option was identified, a “turnkey” operation, and should be considered by the new organization.

<b>Outsourced, “Turnkey” Operation</b>	
This option would contract for all hardware and software services to a third-party provider that specializes in library automation services.	
<p><b>Advantages</b></p> <ul style="list-style-type: none"> <li>• Providers have known expertise in library services. Thus, there is less risk than with other third-party providers.</li> <li>• Reduces costs associated with state FTEs and associated infrastructure costs.</li> </ul>	<p><b>Disadvantages</b></p> <ul style="list-style-type: none"> <li>• Could prove to be more costly than continuing to operate and maintain the systems through insourced or hybrid operations.</li> <li>• Programmatic optimizations could be lost, which would result in fewer customization options for the individual schools.</li> <li>• Services could be lost or potentially degrade over time.</li> <li>• The cost of returning this function to the new organization, once released to a private firm, could be cost prohibitive and difficult to achieve.</li> </ul>

Table 9.1 Outsourced Option

**HYBRID OPTIONS**

Hybrid options would consist of outsourcing hardware operations and maintenance, while the

new organization would operate the data and applications.

<b>Option 1 Outsourced, Consolidated State Computing Environment</b>	
<p>This option includes one possible scenario outlined by the legislative language, which would move the FCLA and CCLA equipment to a primary state data center. This plan classifies this option as a hybrid option, utilizing outsourced hardware services, provided by a state data center. Although the new organization would utilize the existing FCLA and CCLA equipment, the current arrangement for its operations and maintenance would change. There are currently three such data centers in Florida state government: Northwood Shared Resource Center, Southwood Shared Resource Center, and Northwest Regional Data Center.</p>	
<p><b>Advantages</b></p> <ul style="list-style-type: none"> <li>• Both FCLA and CCLA have already completed some advance planning for this option, which would need updating.</li> <li>• Allows for potentially moving non-mission critical systems.</li> <li>• Application expertise would remain with the new library organization.</li> </ul>	<p><b>Disadvantages</b></p> <ul style="list-style-type: none"> <li>• Depending on timeframe, this transition could be disruptive to services.</li> <li>• Would require additional non-recurring funding to move equipment to a new facility.</li> <li>• Would potentially require additional recurring funding associated with the loss of annual software subsidies FCLA receives from UF licenses, unless the selected contract institution provides the same benefits.</li> <li>• Increases recurring costs associated with data center compensation.</li> <li>• Transfers responsibility for quality of hardware services to a third party, which can increase risk.</li> </ul>
<b>Option 2 Outsourced Hardware Services, Public Cloud</b>	
<p>This scenario would involve decommissioning existing CCLA and FCLA hardware and contracting for the hardware services from a public cloud-computing service provider in the private sector.</p>	
<p><b>Advantages</b></p> <ul style="list-style-type: none"> <li>• Cloud computing is a nimble way to address capacity needs through virtualization.</li> <li>• It is easily scalable and does not require the new organization to acquire hardware.</li> <li>• Application expertise would remain with the new organization.</li> </ul>	<p><b>Disadvantages</b></p> <ul style="list-style-type: none"> <li>• Transfers responsibility for quality of hardware services to a third party, which can increase risk.</li> <li>• Increases need for the new organization to have expertise in contract negotiations, service-level agreements, and compliance processes.</li> <li>• Could potentially result in increased costs since third-party public cloud providers are for-profit enterprises.</li> </ul>

<b>Option 3 Outsourced Hardware Services, Private Cloud</b>	
<p>The new organization could contract with a provider to develop and provide private-cloud hardware services. This scenario would involve decommissioning some of the existing CCLA and FCLA hardware and contracting for the hardware services from a private cloud-computing service provider in the private sector. The Agency for Enterprise Information Technology (AEIT) allows the Primary Data Centers to utilize some cloud services (cloud storage, virtual machines, and web hosting) from the GSA contract and is actively exploring other cloud-based services that could be offered in the future. The initial private cloud for the new organization could become a “community cloud” over time, serving additional library organizations.</p>	
<p><b>Advantages</b></p> <ul style="list-style-type: none"> <li>• Cloud computing is a nimble way to address capacity needs through virtualization.</li> <li>• It is easily scalable and does not require the new organization to acquire hardware.</li> <li>• Application expertise would remain with the new organization.</li> <li>• Allows for greater specification of service levels and recovery aspects than the public cloud.</li> </ul>	<p><b>Disadvantages</b></p> <ul style="list-style-type: none"> <li>• Transfers responsibility for quality of hardware services to a third party, which can increase risk.</li> <li>• Increases need for the new organization to have expertise in contract negotiations, service-level agreements, and compliance processes.</li> <li>• Could potentially increase costs since the third-party private cloud providers are for-profit enterprises.</li> </ul>

Table 9.2 Hybrid Options

## 9.5 Implementation Considerations

The existing systems and services offered by FCLA and CCLA are extremely reliable, with minimal service disruptions experienced. The new organization must consider the following issues when changes to the technology strategy are considered.

### CLOUD COMPUTING

While the future of computing is in the cloud, a June 2011 study found that only 23% of organizations in the public sector are actually using cloud computing (Montalbano, 2011). Seven percent are using it to host data, 8% are using it to host applications, and another 8% are using it for both. The slow adoption of cloud computing by the public sector, compared to 42% of the private sector, reflects several factors.

- Fears about reliability of cloud computing are well founded, and are significant to the public sector, which is especially risk-averse. Recently, several incidents involving entire public cloud networks going

down for a period have occurred. Lowendahl (2011) of Gartner, Inc. notes, “Marketing claims about the robustness of cloud computing are encouraging many customers to ignore vital continuity and recovery practices, leaving them dangerously exposed to service interruptions and data loss” (p. 58).

- There is concern about the lack of operational control over the data and the applications. Library services data are subject to state and federal security requirements for safeguarding. Concerns about data export controls will exist with any outsource arrangement. Therefore, special attention must be given to contract agreements regarding the use and protection of such data before the state can employ third-party cloud computing agreements.
- A different set of skills is required to deploy and manage cloud technology. Skills in negotiating contracts, developing adequate service-level agreements, and compliance monitoring must replace skills for operating and maintaining the systems.

Cloud computing will inevitably be in the future of the new organization for some of its applications. If the new organization pursues a public cloud environment, it must follow best practices in the development of a service level agreement. The service level agreement must ensure proper service availability, backup processes, and data confidentiality.

If the AEIT continues to investigate and pursue a private government cloud approach for the state’s primary data centers, then the future move to cloud computing could occur in an

environment that would be most conducive to security and data privacy.

Outsourcing or moving to a public or private cloud for some or all services, requires more in-depth analysis and a longer purchasing timeframe. These approaches are appropriate considerations for the Executive Director under the direction of the Members Council and the Board of Directors.

The chart below provides a summary view of the future planning options.

Option	Possible Near-Term Timeframe	Requires Longer-Term Timeframe
Outsourced, “Turnkey” Approach		X
Hybrid, Outsourced, Consolidated Hardware to State Data Center	X	
Hybrid, Outsourced Hardware Services, Public Cloud		X
Hybrid, Outsourced Hardware Services, Private Cloud	X	X

Table 9.3 Summary of Options

## PLANNING CONSIDERATIONS AND FUTURE CONSTRAINTS

Transition to the new organization must address the following technology-related issues.

- Any service downtime associated with technology changes must be scheduled to minimize service disruption to students.
- A determination will need to be made as to whether existing hardware and software licenses can be transferred. If not, one-time license transfer costs may be required.
- Costs at this time are difficult to determine until the new organization evaluates potential relationships with the contractual entity.
- CCLA and FCLA meet Continuity of Operations Planning (COOP) requirements in different ways. For cost efficiencies, the new organization should consider a single arrangement.
- FCLA's digital archive, in order to be certified as a trusted digital repository, must create two master copies of each document and store them in different cities. FCLA now stores these masters in Gainesville and Tallahassee. The new organization will need to develop a strategy to accommodate this requirement.
- CCLA's current contract specifies the 28 colleges jointly own its assets. These assets, along with those of FCLA, should transfer to the new organization for its use. How to do so may require legislative action.
- The new organization should be structured to capitalize on cost-effective features provided by FCLA, CCLA, or their respective host institutions:
  - Educational discount pricing for its hardware and software;
  - Internet2 membership; and
  - Florida Lambda Rail to maximize the cost efficiencies of the network.

## 10. PROPOSED OPERATIONAL BUDGET

### Section 48, Chapter 2011-63, Laws of Florida

(5) A proposed operational budget for the joint library organization which is more cost-effective than separately funding both the Florida Center for Library Automation and the College Center for Library Automation.

### 10.1 Overview

The new organization will replace FCLA and CCLA. These organizations have very different funding mechanisms, fiscal management infrastructures, cultures, service orientations, and organizational structures. The successful creation of the new organization will need to occur thoughtfully through a blending of services, technologies, and staff.

### 10.2 Proposed Operational Budget Strategy

This plan contains proposed funding levels for the next three fiscal years for the new organization. The timeline on the following page shows the major activities required to develop these budgets.

Because FCLA and CCLA will continue to provide some services during the first year of the new organization, the proposed operational budget for FY 2012-2013 includes all three components:

- FCLA budget;
- CCLA budget; and
- New organization startup and transition costs.

This plan recommends that the Chancellors of the two systems determine how the proposed operational funding is divided among the three entities. The Interim Director and transition team

### Strategic Plan

#### Values

Libraries thrive in a culture of collaboration and good will.

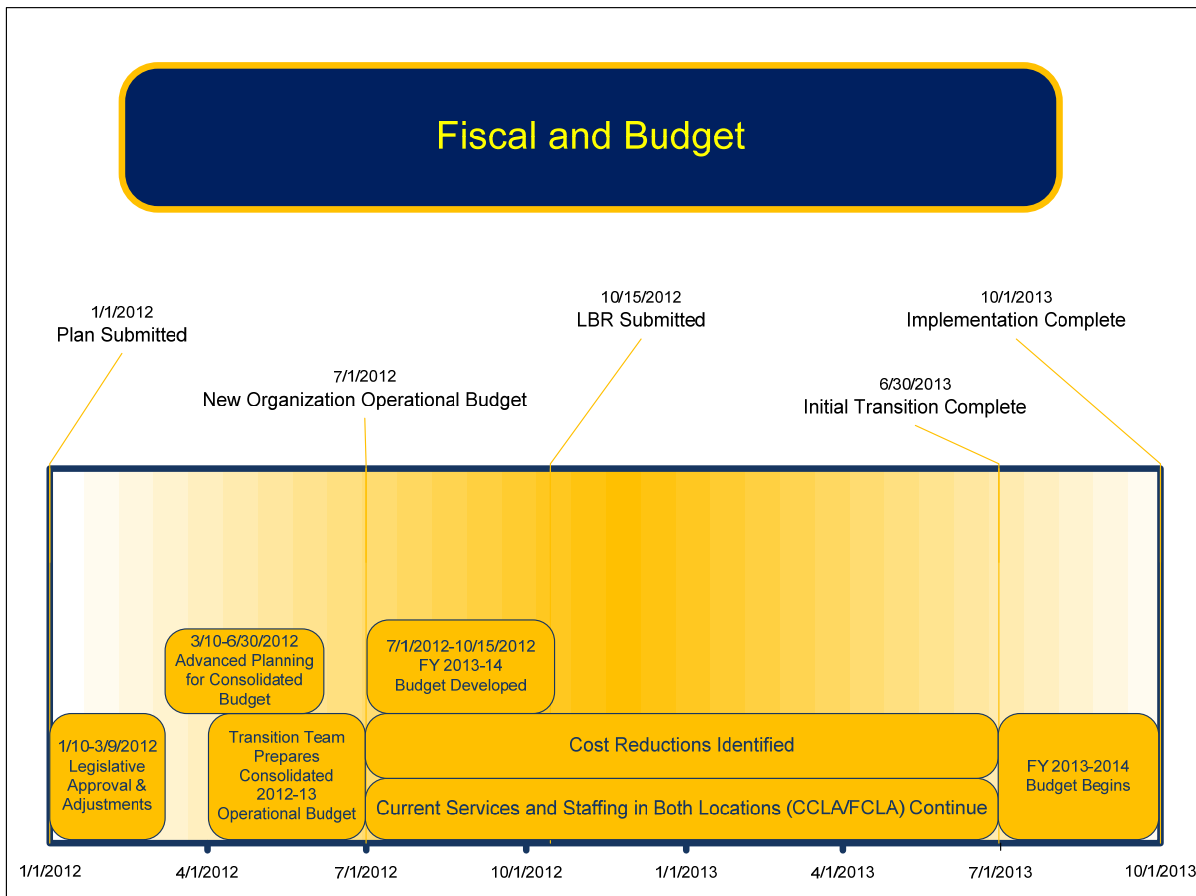
#### Goals

Florida's academic libraries work together to leverage their resources, to develop new models for scholarly communication, and to create innovative approaches for connecting our users to the world's knowledge.

will prepare the FY 2012-2013 operational budget for the new organization after the 2012 legislative session has concluded.

The Board of Directors will recommend the proposed FY 2013-2014 budget for the new organization, along with either the Interim or Executive Director (whoever is in place at that time). This FY 2013-2014 budget will incorporate the cost reductions identified later in this section.

The Executive Director for the new organization will be responsible for developing future budget requests, with input from the Members Council and approval by the Board of Directors, beginning with the FY 2014-2015 budget, which will include further cost reductions.



### 10.3 Implementation Framework

The following chart illustrates that greater cost effectiveness will be achieved over a three-year period to ensure existing library services are not jeopardized.

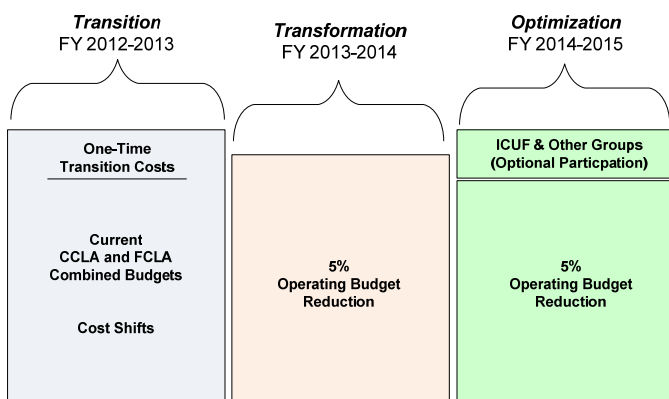
Allowing for this incremental realization of cost savings based on combined services and staffing levels over time will minimize the risk of service disruption. This approach also allows for the recruitment of an Executive Director to lead the process.

The first year, FY 2012-2013, represents a transition year. The new organization is being established, and FCLA and CCLA are slowly transitioning their services to the new organization. This first year will be one of significant change as the new governance structure is created and the Executive Director for the new organization is hired. To provide continuity of services, the proposed budget shows no change from the FY 2011-2012 combined FCLA/CCLA operating budgets.

Cost effectiveness will be achieved in FY 2012-2013 through shifts within the combined budgets and more efficient use of existing resources.

These budget shifts will be necessary to absorb:

- Inflationary increases to maintain the existing level of eResources; and
- Additional one-time costs for the creation of the new organization that may not be fully funded from available reserves.



The second year, FY 2013-2014, will be the transformational year. This year will be the first in which the new organization is operationalized and FCLA and CCLA will no longer exist. The proposed cost-effectiveness item in FY 2013-2014 is:

- A 5% reduction in operating funds from the previous year.

It is anticipated that savings achieved through operational efficiencies will provide the new organization with sufficient funds to initially cover the inflationary cost increases associated with the existing eResources. This change will necessitate budget shifts for the new organization to account for the reduced funding and higher indirect fees for administrative services to the contracted entity. The proposed reduction in operating funds will be possible through anticipated savings from:

- The use of a single discovery tool;
- Services consolidation;
- Decommissioning of computer resources; and
- Personnel reductions.

The third year, FY 2014-2015, represents the year for optimizing the changes in the new organization. This budget will be the first one developed by the Executive Director in concert with the Board of Directors. The proposed cost effectiveness measure for FY 2014-2015 is:

- An additional 5% reduction in the operating funds from the previous year.

Budget shifts will be required for this third year to accommodate the reduced funding levels without jeopardizing the quality of services. This plan anticipates that this shift will be achieved

through the following cost-effectiveness measures:

- Consolidation into a single, next-generation library management system; and
- Personnel reductions.

In addition, there may be future opportunities to leverage the new infrastructure by providing services to other outside groups on a fee-for-service basis.

### 10.4 Proposed Funding for New Organization

The proposed operational budget for the new organization is based on the combined FY 2011-2012 appropriations to FCLA and CCLA. The appropriations to CCLA for operating and maintaining the K-12 bibliographic database are not included, since this was a separate appropriation in FY 2011-2012.

This plan proposes that the FY 2012-2013 combined operating budget for FCLA, CCLA, and the new organization receive the same level of operating and eResources appropriations that FCLA and CCLA received in FY 2011-2012. All FCLA and CCLA carry forward funds, reserves, and leave liability funds must be available to the new organization for closeout and startup activities.

Proposed funding amounts for FY 2012-2013 are in response to the legislative directive for greater cost effectiveness by the new organization. It will be challenging, however, to avoid negatively impacting services, as both FCLA and CCLA have already experienced significant budget reductions over the past five years.

Proposed Funding - New Organization			
Item	FY 2012-2013*	FY 2013-2014	FY 2014-2015
Operating Appropriation	\$15,400,780	\$14,630,741	\$13,899,204
eResources Appropriations	\$7,095,093	\$7,095,093	\$7,095,093
Total	\$22,495,873	\$21,725,834	\$20,994,297

Table 10.1 Proposed Total Funding

\*Includes funding for FCLA and CCLA to remain in place, in addition to the new organization.

Requesting the same eResources funding as the current fiscal year actually represents a decrease in the amount of eResources that can be licensed. While the inflation factor has generally ranged from 5% to 8% annually, no funding increase is being requested to address inflation. It is anticipated that organizational cost savings in other areas could offset this additional expense.

It is anticipated that savings achieved through operational efficiencies will provide sufficient funds to initially cover the inflationary cost increases associated with the existing eResources.

Continuing the current funding levels for FY 2012-2013 will allow for cost shifts to occur to absorb the anticipated additional costs under the new structure. These include:

- eResources inflationary costs;
- One-time costs for start-up of new organization and close-out of FCLA and CCLA;

- Increased indirect fee to the contract institution; and
- Potential software license increases.

Once the initial transition is completed, the Board of Directors will determine future adjustments to appropriations across operating and eResources funding.

### PROPOSED OPERATING FUNDING

To provide savings to the state of Florida while enabling the new organization to organize successfully, this plan proposes that 5% of the total first and second years' operating funds be appropriated as non-recurring funds. This 5% of the total appropriated operating funds would then be deducted in the following year's appropriation.

This approach will result in a 5% overall reduction in operating appropriations in FY 2013-2014, with an additional 5% reduction in FY 2014-2015.

Proposed Operating Funding for the New Library Organization			
Proposed Distribution of Operating Appropriations	FY 2012-2013	FY 2013-2014	FY 2014-2015
Recurring Operating Appropriations	\$14,630,741	\$13,899,204	\$13,899,204
Non-Recurring Operating Appropriations	\$ 770,039	\$731,537	\$0
<b>Total Operating Appropriations</b>	<b>\$15,400,780</b>	<b>\$14,630,741</b>	<b>\$13,899,204</b>
<b>Total Cumulative Recurring Reduction</b>	<b>--</b>	<b>\$ 770,039</b>	<b>\$1,501,576</b>

Table 10.2 Proposed Operating Funding

*Note: Does not include annual eResources appropriations of \$7,095,093, carry forward, reserves, or leave liability funds.*

This approach would also provide the needed flexibility to develop an operating budget that reflects the proposed cost-effectiveness measures. Overall, such an approach would reduce the new organization's funding by \$1.5 million over the current FCLA and CCLA

budgets, achieving significant savings to the state of Florida.

## 10.5 Background

This section includes additional detailed information related to the proposed operational budget for the new organization. This includes discussion of the following:

- Background information regarding current funding for CCLA and FCLA;
- The process undertaken to develop the proposed operational budget;
- Two versions of the FY 2011-2012 FCLA/CCLA combined budget;
- Proposed cost-effectiveness measures;
- One-time costs associated with creating the new organization;
- A proposed methodology for developing the indirect fee.

### CCLA FUNDING AND ORGANIZATION

There are 28 colleges in the Florida College System. CCLA is funded as the 29th entity, a system-level instructional program component, within the Community College Program Fund. In this way, CCLA's operating budget receives the same percentage change (increase or decrease) as the Florida College System. CCLA's total appropriation is within the Community College Program Fund in the General Appropriations Act. This formula-based approach to its funding has provided stability over the years.

The Vice Chancellor for Financial Policy, on behalf of the Chancellor of the Florida College System and the Council of Presidents, oversees

CCLA's budget, including eResources. Tallahassee Community College (TCC) acts as CCLA's fiscal agent. The indirect fee CCLA pays to TCC has remained very low because CCLA has its own administrative services staff and absorbs other operating costs, such as its employees' leave liability.

CCLA has accounted for and reported its appropriations and operating budget in the following categories:

- Personnel;
- Travel and training;
- Hardware/software service contracts;
- Facilities;
- TCC indirect fee;
- Equipment refresh;
- eResources statewide funds (accounted separately);
- DOE K-12 database maintenance funds (separate appropriation and accounting); and,
- Other current expenses.

Additionally, CCLA also maintains a separate reserve fund, which includes designated funds for its required 5% contingency, employee leave liability, special and multi-year projects, and technology refresh activities.

The following chart shows the past five years of funding for CCLA. While there have been annual variances in the budget, overall, there has been a 5% decrease in CCLA's appropriations compared to five years ago.

Fiscal Year	CCLA Operating Appropriation	CCLA eResources Appropriation	Total CCLA Appropriation	Increase / (Decrease)	Percent Change
07-08	\$9,574,610	\$3,857,236	\$13,431,846	\$ 42,420	<1%
08-09	\$9,087,064	\$3,660,834	\$12,747,898	\$(683,948)	-5%
09-10	\$8,974,337	\$3,615,923	\$12,590,260	\$(157,638)	-1%
10-11	\$9,419,842	\$3,795,425	\$13,215,267	\$625,007	5%
11-12	\$9,107,522	\$3,669,585	\$12,777,107	\$(438,160)	-3%

Table 10.3 CCLA's Historical Funding

**FCLA FUNDING AND ORGANIZATION**

The FCLA budget is included as part of the Board of Governors’ overall budget request within the Academic Infrastructure Support Organization (AISO) process. FCLA funds are included within the appropriation for the University of Florida (UF), which hosts FCLA for administrative purposes. The estimated value of administrative services provided at no cost to FCLA by UF in FY 2010-2011 was approximately \$1.2 million. This includes services such as finance, purchasing, inventory, legal, and human resources.

FCLA receives its funding from UF within three categories:

- Salaries and benefits;

- OPS staff (hourly part-time, with no benefits); and
- Expenses.

Within FCLA, the administration prepares its own detailed operating budget each year. Typically, FCLA has not been specifically identified in the General Appropriations Act. FCLA’s funding has reflected the increases or decreases associated with UF’s appropriations over the years.

The following chart shows the past five years of funding for FCLA. Over the last four years, there has been a decrease in funding. Overall, there has been a decrease of 25% in FCLA’s current appropriations compared to five years ago.

Fiscal Year	FCLA Operating Appropriation	FCLA E-Resources Allocation	FCLA Annual Appropriation	Increase / (Decrease)	Percent Change
07-08	\$9,747,590	\$3,208,066	\$12,955,656	\$46,877	<1%
08-09	\$8,190,949	\$3,208,066	\$11,399,015	\$(1,556,641)	-12%
09-10	\$7,585,962	\$3,208,066	\$10,794,028	\$(604,987)	-5%
10-11	\$7,540,703	\$3,208,066	\$10,748,769	\$(45,259)	<1%
11-12	\$6,293,258	\$3,425,508	\$9,718,766	\$(1,030,003)	-10%

Table 10.4 FCLA’s Historical Funding

**FUNDING FOR eRESOURCES  
LICENSES AND eBOOKS**

Over the years, both FCLA and CCLA have acquired some eBooks, which are one-time costs. Each year they have also dedicated a significant amount of their budgets to the licensing of various other types of eResources (databases, journals) for student use. Unlike eBooks, FCLA and CCLA do not own the databases and journals; they must be annually licensed from the publishers. These materials are not available for free over the Internet. The table below shows the current fiscal year appropriations for licensed eResources.

FCLA and CCLA continually collaborate to ensure that there is no duplication in their eResources licensing efforts. Since the pricing model for licensing eResources is based on unique FTE counts, combining the FCLA and CCLA services will not produce any significant cost savings in this area. These licensing costs, however, have an annual inflation factor built in by the eResources publishers. These inflationary increases must be factored into the budget each year, just to maintain access to the existing set of resources.

It is anticipated that savings achieved through operational efficiencies will provide sufficient funds to initially cover the inflationary cost increases associated with the existing eResources. In future years, however, additional funding may be necessary to ensure the same level of existing eResources is made available to students.

The Legislature recently enacted s. 1007.27, F.S., requiring access to the FCLA and CCLA licensed eResources by all accelerated students of Florida public secondary schools, but did not provide any funding for this service expansion. This new service, known as FLA-PASS, is provided by FCLA, under the Board of Governor’s Regulation 6.012. This expanded access to eResources is in a trial phase whereby the publishers are not currently charging a per-student licensing fee until the usage statistics are known. If the new organization is required to continue this FCLA-provided service, additional required licensing fees and operational costs could be needed.

FCLA’s FY 2011-2012 Appropriations for eResources	CCLA’s FY 2011-2012 Appropriations for eResources	Total FY 2011-2012 Appropriations for eResources
\$ 3,425,508	\$ 3,669,585	\$ 7,095,093
Table 10.5 eResource Funding		

## **PROCESS FOR BUILDING THE PROPOSED OPERATIONAL BUDGET FOR THE NEW ORGANIZATION**

A number of potential assumptions and scenarios were considered when building this proposed budget.

### **BUDGETING ASSUMPTIONS**

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The following assumptions underlie the proposed FY 2012-2013 operational budget for the new organization.

- It represents a consolidated budget request for post-secondary library automation services to support FCLA, CCLA, and the new organization.
- It was developed from the combined FCLA and CCLA FY 2011-2012 budgets (appropriated operating funds and appropriated eResources funds).
- The SUS and FCS will determine the specific level of funding to request for FCLA, CCLA, and the new organization from this proposed total funding amount prior to the 2012 legislative session.
- FCLA's and CCLA's services and staffing will continue during FY 2012-2013 to provide continuity of services during this initial year of transition to the new organization.
- FCLA and CCLA staff will be able to work from their current locations in FY 2012-2013, while the new organization is being established.
- Telecommuting in subsequent years should be considered to help retain existing expertise. However, all decisions regarding staffing for the new organization will be left to the discretion of the new Executive Director.
- One-time costs associated with closing down FCLA and CCLA and starting up the new organization will be paid from existing reserves.
- Funds for eResources licensing fees are handled separately, since there are little cost savings to be gained in this area, and publishers' prices will increase 5-8% annually.
- The FY 2013-2014 budget needs to account for the increased costs of administrative services depending on the arrangement with the contract institution.

**VERSIONS OF COMBINED BUDGETS OF FCLA AND CCLA**

This plan uses the combined budgets of FCLA and CCLA as the logical basis for developing the new organization’s budget. Initially, the focus was on delineating the various expense categories and personnel by function. UF provided an estimated value of its administrative support services, provided at no cost to FCLA, as \$1.2 million in FY 2010-2011.

The table below illustrates the resulting combined FY 2011-2012 budget for FCLA and CCLA. It includes the appropriated operating and eResources funds only. The total does not include any reserves, the estimated value of the UF support costs, nor the separate funds appropriated to CCLA for DOE K-12 database maintenance.

<b>Combined FY 2011-2012 FCLA/CCLA Budget</b>	
<b>Budget Category</b>	<b>Amount</b>
Personnel (134.4 FTE, includes OPS)	\$10,669,015
Training and Travel (Advisory board, user group, professional development)	\$86,000
Service Contracts (Hardware, software, networks, disaster recovery, consultants)	\$1,918,958
Facilities (Office/conference space lease, data center/computer space costs, utilities)	\$1,502,781
Other Expenses (Office supplies and repairs, membership dues/fees, copier rental, postage, printing, etc.)	\$283,814
Indirect Fees (Paid by CCLA to TCC)	\$100,000
eResources Licenses/Acquisitions (Total)	\$7,095,093
DOE FLA-PASS Maintenance (FCLA only)	\$6,000
Equipment Refresh	\$498,934
Purchase of outsourced services on behalf of libraries (FCLA only)	\$265,000
Transfers to Contingencies	\$70,278
<b>Total Operating Funds</b>	<b>\$22,495,873</b>

Table 10.6 Combined FCLA and CCLA Budgets

## SERVICES-BASED APPROACH

The combined budgets for FCLA and CCLA were then re-cast into a services-based budget, with the administrative costs and the infrastructure costs listed separately rather than spread across the service categories. This approach required normalizing the definitions of the services between the organizations.

The table below shows the combined appropriated operating and eResources funds for FCLA/CCLA FY 2011-2012 by service category. The table below does not include the estimated \$1.2 million of administrative services provided to FCLA by UF at no cost. It does include the CCLA indirect fee (\$100,000) it pays to TCC for administrative services.

In the eResources/eBooks category, 93% pays for the actual license fees. The remaining 7% is for staff costs to negotiate the eResources licenses, provide technical support, and compile usage analyses.

The FY 2012-2013 operating budget for the new organization should be allocated across the 13 service categories. Certain cost shifts between service categories will be necessary to keep the current eResource licenses and to pay any start-up or closeout costs not fully funded from available reserves. The exact distribution of the funds among the categories for FY 2012-2013 and subsequent fiscal years will vary, depending on the necessary budget shifts and the funding reductions.

For example, the new organization will incur increased indirect fees with the contracting institution beginning FY 2013-2014. Software license increases could also occur. The Board of Directors will recommend the allocation for each service, given the available funding each year.

FY 2011-2012 Combined FCLA/CCLA Services-Based Operating Budget		
Service Category	Cost	% of Budget
Discovery Tool	\$2,092,291	9.3%
eResources and eBooks	\$7,604,058	34.0%
Library Management System	\$2,515,719	11.0%
Service and Help Desk	\$583,485	3.0%
Product Development and Service Enhancements	\$939,947	4.0%
Training and Consultation	\$1,325,669	6.0%
Statistics and Reporting	\$467,658	2.0%
Administrative Services	\$967,166	4.3%
Infrastructure Support	\$3,790,502	17.0%
Other Legislative Mandated Functions	\$62,373	-
Digital Archives & Digital Collections	\$930,527	4.0%
Process and Project Management	\$767,500	3.4%
New Initiatives	\$448,978	2.0%
<b>Total:</b>	<b>\$22,495,873</b>	<b>100%</b>

Table 10.7 Combined FCLA and CCLA Services-Based Operating Budget

### COST-EFFECTIVENESS MEASURES

The Legislature expects that there will be greater cost effectiveness for post-secondary library automation services through the creation of the new organization. As illustrated, there have

already been significant budget cuts over the past five years to FCLA, while CCLA's budget has remained relatively stable. These historical budget cuts create a challenge in finding additional savings.

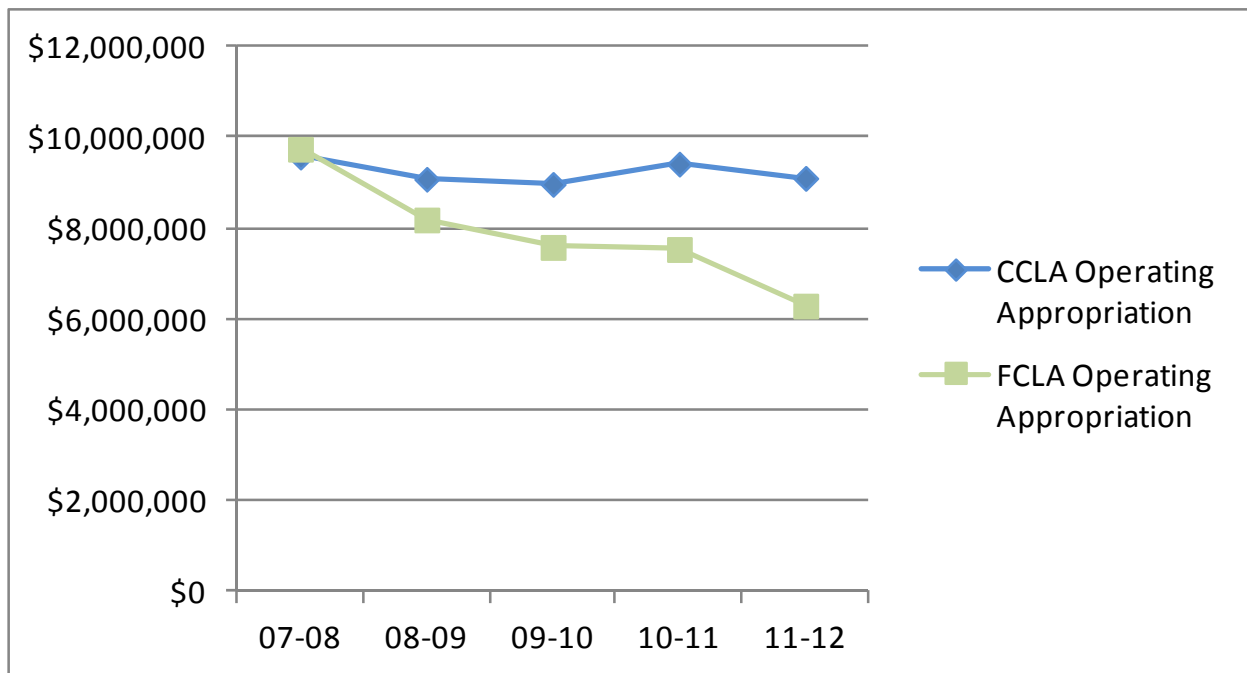


Figure 10.1 Five years of appropriations for FCLA and CCLA operating funds.

The following items are current services offered by only one of the existing organizations that may affect future cost savings.

- One factor inhibiting savings is the unique service offered by FCLA through its online access to digital research collections and its secure digital preservation archive for research documents. As part of this service, FCLA is expected to provide software support for the remote storage facility that

houses older, lesser-used print materials and allows libraries to free up shelf space for newer acquisitions.

- Likewise, CCLA supports a dedicated help desk operation that, if expanded to include university support, will require additional funding.

The following table summarizes the areas that offer the most potential savings through the new organization.

Potential Cost Reduction Opportunities			
Impact of Potential Cost Savings Per Year: Medium - \$50,001 - \$500,000 High - Over \$500,000			
Cost-Effectiveness Item	FY 2012-2013	FY 2013-2014	FY 2014-2015
Personnel Reductions	Medium	Medium	Medium
Single Discovery Tool		Medium	Medium
Reduced Hardware Costs		Medium	High
Reduced Facility Costs*		Medium	Medium
Single LMS platform		Medium	High

Table 10.8 Potential Cost Reduction Opportunities

*\*Depends on organization location(s) decisions.*

### PERSONNEL REDUCTIONS

Personnel reductions should be spread over the next three fiscal years after an analysis of integrated services and identification of potential new services. Personnel reductions in FY 2012-2013 should be minimal to ensure service continuity during the transition year. Once the new organization is established and its services defined, additional reductions may be realized.

### SINGLE DISCOVERY TOOL

A RFI/ITN process will occur in 2012 for a discovery tool. A cost-benefit analysis on potential discovery tools will determine the actual cost savings.

### REDUCED TECHNOLOGY COSTS

Based on the services consolidation, there may be reduced hardware costs in FY 2012-2013. A technology lifecycle cost analysis is needed to estimate savings accurately. Moving to a cloud infrastructure later could decrease hardware costs, but may also increase software and administrative support expenses.

### REDUCED FACILITY COSTS

Primary drivers of reduced facility costs for the new organization include the number of staff and their work location (whether onsite or telecommuting). The location of the new organization may also affect this area of potential cost reductions.

### SINGLE LIBRARY MANGEMENT SYSTEM PLATFORM

There could be some initial savings if the existing LMS is consolidated on one platform or transitioned to a cloud environment. However, because LMS products are undergoing transformations at this time, there are no new products sufficiently mature to estimate savings. The new organization should seek to price its future LMS at the same levels or less than the current expenditures. Cost savings would then be realized through staff reductions.

**ONE-TIME COSTS**

As with the creation of any new organization, there will be non-recurring, one-time costs associated with both closing down the existing

FCLA and CCLA organizations and creating the new organization. The table below identifies potential one-time costs.

One-Time Cost Category	Estimated Costs FY 2011-2012	Estimated Costs FY 2012-2013	Comments
Hire Interim Director	\$78,000	\$78,000	6 months in FY 11/12 and 6 months in FY 12/13 (salary and benefits).
Transition Team Activities	\$38,500	\$38,500	Travel costs for members to attend meetings; consultant costs.
Search Process for Executive Director	\$6,500	\$4,000	Job advertising costs; travel for finalists; costs for selection meetings.
Hire New Director		\$78,000	6 months in FY 12/13 (salary and benefits).
Accumulated Leave Pay-Outs		\$1,368,968+	Projected CCLA balance on 6/30/2012 of \$950,000 to be paid from CCLA's leave liability fund. FCLA leave balance as of 9/30/2011 of \$418,968 to be paid from UF fringe pool and/or FCLA carry forward funds.
Severance Pay (FCLA Librarians)		Unknown ( could be >\$200,000)	Would apply to FCLA librarians (who are on annual contracts) if they are laid off.
Potential Hardware Related Costs		\$210,000	Potential costs for relocation of equipment and/or purchase of new equipment.
Software License Transfer Fees		unknown	Unknown until a complete review is done.
Acquisition of Discovery Tool	\$20,000	Unknown (too early)	Consulting costs for RFI process; needs assessment by Discovery Tool team; acquisition costs for new discovery tool.
Organizational Image Established	\$25,000	\$25,000	Consulting costs for activities related to establishing organizational image (logo, signage, and website).
Legal Fees	\$10,000	\$20,000	Potential costs related to contracts, etc.
Financial Audit		\$20,000	Final audit of CCLA activities, obligations, liabilities.
<b>Totals:</b>	<b>\$178,000+</b>	<b>\$1,842,468+</b>	Total of known costs above.

Table 10.9 One-Time Costs

The FY 2011-2012 FCLA and CCLA carry-forward funds and reserves would be used to pay for anticipated one-time costs associated with the shutdown of FCLA and CCLA and the start-up of the new organization. The FCLA and CCLA leave liability funds might be used to provide leave payouts for all FCLA and CCLA personnel; however, the transition team must investigate the legal implications of this strategy. This approach would ensure that the new organization would start with no existing leave liability.

These one-time costs do not include potential expenses associated with the future facilities for the new organization. Depending on the location of its headquarters, there could be additional, one-time costs to retrofit existing offices and/or move out of existing office space.

#### ADDITIONAL INDIRECT FEES/COSTS

As identified in *Section 5, Governance, page 16*, the new organization will enter into a contractual relationship with an institution. Funds to pay for additional indirect fees for this purpose will be required beginning in FY 2013-2014. These funds will come from budget shifts based on realized cost-effectiveness measures.

Because this approach is similar to the model currently used by CCLA, a potential methodology for calculating the indirect fees was developed for future consideration.

Administrative costs for the new organization were based on FCLA and CCLA historical data. The percentage of CCLA's current operating budget (excluding eResources) for its internal administrative services (not including its indirect fee to TCC) is 7.58%. *Appendix D, FCLA and CCLA Administrative Services Description*,

*page 104*, lists the administrative services that CCLA performs internally and those performed by its fiscal agent.

FCLA also currently provides some of its own administrative services with costs totaling \$197,338. FCLA, however, primarily relies on administrative services provided by UF, with an estimated value of \$1.2 million annually. *Appendix D, page 104*, lists the administrative services that FCLA performs internally and those performed by UF, at no charge, as its host institution.

The current percentage of the combined FCLA/CCLA operating budget that consists of internal administrative services expenditures is 5.8%. These internal administrative services costs will need to be adjusted as the final contract is established with the selected institution. Through efficiencies obtained in the replacement of FCLA and CCLA, the internal administrative services expenditures could be reduced to an estimated 5% level, or \$770,039. Therefore, the indirect fee structure for the contracting entity could be set as high as 2.5% of the new organization's operating budget, excluding funds designated for eResources, as shown below.

The table below shows the resulting estimated additional costs over the current indirect fees that would need to be accounted for in the budget for the new organization in a contractual arrangement, under this methodology. These additional costs could account for FCLA's current administrative services covered by its host institution, but they would not be covered free-of-charge under the contracting entity relationship.

A Sample Methodology for Calculating the Indirect Fees				
FY 2011-2012 Combined FCLA/CCLA Operating Budget	Proposed Indirect Fee Percentage	Estimated Indirect Fee Amount for the New Organization	Current Indirect Fee to Contracted Entity	Estimated Additional Indirect Fees Costs
\$ 15,400,780	2.5%	\$ 385,020	\$100,000	\$ 285,020

Table 10.10 Method for Calculating Indirect Fees

This plan proposes the new organization absorb the estimated additional indirect fees within its budget beginning in FY 2013-2014, and each year thereafter.

The exact indirect fees will be determined through the contract development process. Consideration should be given to setting a ceiling on the contract fees to ensure direct library services are not adversely impacted.

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## **10.6 Implementation Considerations**

A series of budget-related implementation issues were identified that will need to be addressed. Several issues cannot be resolved until factors such as location, service model, and technology infrastructure are determined. Budget implementation issues include:

- How will the leave liability of FCLA and CCLA employees be handled in the transition to the new organization?
- Will the new organization participate in the Florida Retirement System?
- How will FCLA employees under severance pay rules transition to the new organization?
- How will FCLA and CCLA assets (furniture, equipment, software, eBooks, etc.) be transferred to the new organization?
- How will the current building leases for FCLA and CCLA be handled?
- Will the new organization be required to maintain and provide access to the DOE K-12 bibliographic database that CCLA currently provides?
- Will the new organization be required to provide the FLA-PASS service that FCLA currently provides?
- Should an element of the contract with the selected institution require the new organization to assume its own leave liability?
- Should an element of the contract with the selected institution require the new organization to assume the administrative costs for the eResources appropriations?
- How much liability insurance should the new organization carry to ensure the fiscal agent is indemnified on certain matters?

## 11. PROPOSED SUBSTANTIVE AND FISCAL POLICY CHANGES

### Section 48, Chapter 2011-63, Laws of Florida

(6) Proposed substantive and fiscal policy changes needed to implement the joint library organization.

#### 11.1 Overview

Proviso language in the 1984 General Appropriations Act created FCLA through funds for planning an automated library system. At first, FCLA was created as a Type 1 Center at the University of Florida to implement the proviso. In 2009, the Board of Governors established FCLA as an Academic Infrastructure Support Organization (AISO) under their regulation 10.014.

Proviso language in the 1989 General Appropriations Act initially created CCLA. CCLA is now included as a system level instructional component within the Community College Program Fund and is listed within the General Appropriations Act each year.

Although neither FCLA nor CCLA exists in statute, both are mentioned in other legislation, rules, and regulation:

- Section 1006.72, F.S., governs the process for licensing electronic library resources;
- Section 1007.27, F.S., governs the articulated acceleration mechanism for secondary and post-secondary students;
- State Board of Education Rule 6A-7.077, implements s. 1007.27, F.S. and specifies FCLA and CCLA as the organizations that provide access to electronic library resources for articulated acceleration;
- Board of Governor's Regulation 6.012, specifies FCLA as the entity to provide access to library resources for articulated acceleration; and
- Proviso language for the past two years requires CCLA to maintain and provide access to the DOE K-12 bibliographic records database.

#### Strategic Plan

##### Values

User needs drive the design of library services.

##### Goals

Florida's academic libraries have the capacity and agility to respond to emerging technologies and support the promotion of economic development.

#### 11.2 Proposed Statutory and Fiscal Policy Changes Strategy

This plan proposes creating the new organization in statute in order to provide proper legal standing, allow the new organization to hold assets, as well as recognize the new organization as vital to Florida's post-secondary education system. A methodology for including the new organization in the General Appropriations Act should also be considered.

Proposed substantive legislation to create the new organization should be developed for consideration during the 2012 legislative session, as well as any necessary proviso language, and address the following:

- Mission/purpose of new organization;
- Governance structure;
- Authority to enter into contracts and issue purchase orders;
- Transfer of assets from FCLA and CCLA;
- Functions/duties;
- Inclusion of employees in the Florida Retirement System;

- Requirement to maintain a set percentage fund balance.

Since this plan proposes FCLA and CCLA continue as organizations during FY 2012-2013, legislation to amend current statutes, the administrative rule, and the Board of Governors

regulations that reference them would not be amended until the 2013 legislative session. The following table provides proposed action regarding those items.

Item	Proposed Action in 2013
Section 1006.72, F.S., licensing electronic library resources.	Repeal (new organization will perform this function).
Section 1007.27, F.S., governs the articulated acceleration mechanism for secondary and post-secondary students.	Delete references to CCLA and FCLA and determine if the new organization should be included.
State Board of Education Rule 6A-7.077, implements s. 1007.27, F.S. regarding access to electronic library resources for articulated acceleration.	Delete references to CCLA and FCLA and determine if the new organization should be included.
Board of Governors Regulation 6.012, specifies FCLA as the entity to provide access to library resources for articulated acceleration.	Delete reference to FCLA and determine if the new organization should be included.
Proviso language for the past two years that requires CCLA to maintain and provide access to the DOE K-12 database of bibliographic records.	Determine if the new organization has this responsibility. Proviso may no longer be needed.
Board of Governors established FCLA as an Academic Infrastructure Support Organization (AISO) under their Regulation 10.014.	The Board of Governors would decommission FCLA as an AISO.

Table 11.1 Existing Legislation and Proposed Actions

## 12. TIMELINE

### Section 48, Chapter 2011-63, Laws of Florida

(7) A timeline and implementation strategies for establishing the joint library organization.

#### 12.1 Overview

July 1, 2012, is the most likely start date of the new organization's official activities, in order to allow the legislative process to conclude. In the meantime, the Chancellors' offices must conduct critical activities to begin the preliminary foundation of the new organization and to ensure the momentum gained in 2011 is continued. This timeline will require adjustment by the transition team. In addition, a risk management plan should be developed as part of overall project management documentation.

#### 12.2 Proposed Strategy

To launch the new organization in such an aggressive timeframe, many interdependent activities must occur.

A few of these milestones are addressed below, as well as highlighted on the following matrix. This is by no means an exhaustive list. These dates must remain flexible as various changes occur throughout the process.

##### EARLY 2012

- Chancellors submit the Unified Library Services Business Plan to the Legislature, which will make adjustments throughout the legislative session.
- Chancellors begin identifying transition team members and select an Interim Director. Once identified, the Interim Director will lead the transition team.
- The Discovery Tool selection committee releases an RFI.
- Members Council and Board of Directors must be identified.

#### Strategic Plan

##### Values

Florida's academic libraries serve as protectors and sponsors of intellectual property while fostering fair use.

##### Goals

Florida's academic libraries become a nexus for the exchange of scholarship and research, developing new intellectual property and moving it into the real world through licensing and technology transfer.

##### JULY 1, 2012

- New organization officially begins. CCLA and FCLA continue at present locations.
- Detailed transition planning in all areas must occur.
- Members Council and Board of Directors begin operations.
- Search for permanent Executive Director begins.
- Search for Contract Institution begins.

##### JUNE 30, 2013

- FCLA and CCLA officially end.
- Full implementation of the new organization begins.

Type of Decision	2012				2013			
	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec
Governance	Chancellors submit Unified Library Services Business Plan Legislative approval and adjustments		New organization begins			Initial transition complete	Full Implementation begins	
	Search for <u>Interim Director</u> Interim Director starts	Interim Director leads transition team						
		Members Council and Board of Directors selected						
			<u>Search for Executive Director</u> Executive Director starts	Permanent Executive Director in place				
			<u>Search for Contract Institution</u> Contract Institution selected	Contract Established				
Organizational Model			Organizational planning and startup activities		Build organizational structure, policies, and procedures			
					Plan for retaining existing key staff			
	Transition team members identified	Transition team activities occur (and decrease over time)						
Functional Requirements		Transition team develops services consolidation plan	Services consolidation begins					
Technology Direction		Advance Planning for technology	Technology plan confirmed based on Discovery Tool selected	Technology consolidation begins				Technology plan based on LMS
		Transition team develops hardware decommission/ acquisition plan						

Type of Decision	2012				2013			
	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec
Acquisition	Discovery Tool RFI released	LMS RFI released	Discovery Tool ITN released	Discovery Tool selected	Discovery Tool implementation		LMS ITN released	LMS selected
	Discovery Tool/LMS Selection Committee in place							
Operational Budget			New organization operational budget	2013-2014 LBR submitted				
		Transition team prepares consolidated budget	Next FY Budget development	Cost reductions identified				

Table 12.1 Overall Timeline

## 12.3 Implementation Considerations

This plan proposes that each group have the following responsibilities. All activity should be guided by a project schedule approved by the Chancellors.

### CHANCELLORS

- Submits Unified Library Services Business Plan to the Legislature.
- Searches for and selects Interim Director.
- Identifies transition team members.
- Oversees Discovery Tool selection committee until the transition team is in place.
- Appoints their representatives to the Board of Directors.
- Proposes methodology for including the new organization in the General Appropriations Act.

### INTERIM DIRECTOR AND TRANSITION TEAM

- Oversees the selection of institutional representatives on the Members Council.
- Assists with the establishment of the Board of Directors.
- Defines search process for the Executive Director.
- Defines search process for the contract institution.
- Oversees Discovery Tool selection committee and Discovery Tool RFI.
- Oversees LMS RFI.
- Prepares consolidated budget for FY 2012-2013, to be divided among CCLA, FCLA, and the new organization.
- Begins development of consolidation/decommissioning/acquisition plans for services.

- Begins development of consolidation/decommissioning/acquisition plans for technologies.
- Branding and naming of the new organization.

### MEMBERS COUNCIL

- Elects Chair and representatives on the Board of Directors.
- Begins transition of existing FCLA and CCLA subcommittees to the new organization.
- Creates new subcommittees as needed.

### BOARD OF DIRECTORS

- Reviews and adopts bylaws.
- Oversees search for and identifies Executive Director.
- Oversees search for and identifies contract institution; establishes contract.
- Oversees Discovery Tool and LMS ITN, selection, and implementation.
- Develops FY 2013-2014 budget.
- Identifies cost reductions.
- Oversees organizational planning and startup activities.

### EXECUTIVE DIRECTOR

- Builds the internal organizational structure.
- Makes staffing decisions.
- Finalizes technology plan based on selected Discovery Tool.
- Oversees technology and services consolidation.
- Finalizes technology plan based on selected LMS.
- Identifies cost reductions.

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## APPENDIX A. SUPPORTING TASK FORCE DOCUMENTS

### CHAPTER 2011-63 Senate Bill No. 2150 Section 48

By January 1, 2012, the Chancellors of the State University System and the Florida College System shall submit a plan to the Executive Office of the Governor and to the legislative appropriations committees for establishing a joint library organization to address the needs of academic libraries in the State University System and the Florida College System that replaces the Florida Center for Library Automation and the College Center for Library Automation. The plan must include, but need not be limited to, the following components:

- (1) A proposed governance and reporting structure for the joint library organization.
- (2) Recommended staffing for the joint library organization, which includes roles and responsibilities.
- (3) A recommended process and schedule for the acquisition of a next generation library management system and its associated services which includes a discovery tool provided by the joint library organization. The library management system will replace the current systems and services provided by the Florida Center for Library Automation and the College Center for Library Automation. The process for acquiring the next generation library

management system must involve the identification of the functional requirements necessary to meet the needs of the post-secondary education library users and be scalable in order to meet any additional library user needs that are identified as being necessary and in the best interest of the state.

(4) A proposed schedule for consolidating the computing and data center resources and equipment provided by the Florida Center for Library Automation and the College Center for Library Automation to a statutorily established or designated primary data center no later than December 1, 2012, or for decommissioning the computing and data center resources and equipment that are no longer required by the joint library organization and are currently located at and managed by the Florida Center for Library Automation and the College Center for Library Automation.

(5) A proposed operational budget for the joint library organization which is more cost-effective than separately funding both the Florida Center for Library Automation and the College Center for Library Automation.

(6) Proposed substantive and fiscal policy changes needed to implement the joint library organization.

(7) A timeline and implementation strategies for establishing the joint library organization.

## Letter from the Chancellors to the Task Force



STATE  
UNIVERSITY  
SYSTEM  
of FLORIDA  
Board of Governors



### Task Force on the Future of Academic Libraries in Florida

March 2, 2011

Dear Members, *Task Force for the Future of Academic Libraries in Florida,*

Over the last two years, the Legislature has been interested in expanding access to postsecondary library resources. Given the current economic environment, we are trying to assist legislative members and staff in reaching this goal.

Representative O'Toole, Chair of the House Higher Education Appropriations Subcommittee, has requested that the academic libraries in both of our systems use a common discovery tool and that we create a new organization to replace the State University System's Florida Center for Library Automation (FCLA) and the Florida College System's College Center for Library Automation (CCLA).

We think that you, as members of the *Task Force on the Future of Academic Libraries in Florida,* are in the best position to propose a new organizational structure that will help our systems reach the goals you are developing as a part of your strategic planning activities. To this end, we have expanded the charge to the Task Force as follows:

Determine a vision and develop a strategic plan for the future of academic library access, resources and services in Florida that encompasses emerging trends and changing realities in the areas of instruction, research, technology and public services within the context of the academic mission. The plan needs to assess ramifications of the identified trends and realities on currently utilized tools and organizations and the impact on our students, faculty and academic community.

In addition to including strategies and timelines for accomplishing the goals included in the strategic plan, the plan shall also address the establishment of a library technology organizational structure that will meet the needs of academic libraries in both the Florida College System and the State University System in a manner that is more cost-effective than the current organizational structure. The plan must include the resolution of identified challenges, including, but not limited to, governance, staffing, funding, and logistics.

In order to accommodate the Legislature's accelerated 2012 Session schedule, we are requesting the Task Force to submit to us the strategic plan, which will include the new library technology organizational structure, by December 31, 2011, rather than in January 2012, as originally planned.



STATE  
UNIVERSITY  
SYSTEM  
of FLORIDA  
Board of Governors



## Task Force on the Future of Academic Libraries in Florida

In addition, we are moving quickly to test the marketplace for a common discovery tool. We have asked the executive directors of FCLA and CCLA to take leadership for proposing and implementing a process for selecting a discovery tool, working in concert with the librarians in their respective systems. Our goal is to outline the selection process by the first part of April, so that legislative staff can use it while drafting their proviso and conforming bill language.

We appreciate your support in moving forward with this initiative. If you have any questions, please contact us or our staff, Dr. Nancy McKee at [Nancy.McKee@flbog.edu](mailto:Nancy.McKee@flbog.edu) or Dr. John Holdnak at [John.Holdnak@fldoe.org](mailto:John.Holdnak@fldoe.org).

Sincerely,

Handwritten signature of Frank T. Brogan in blue ink.

Frank T. Brogan  
Chancellor  
State University System

Handwritten signature of Will N. Holcombe in blue ink.

Will N. Holcombe  
Chancellor  
Florida College System

**Task Force for the Future of Academic Libraries in Florida  
September 9, 2011**

<b>Task Force Members</b>	
<b>Library Directors/Deans</b>	
<b>Jim Morris, Co-Chair</b> Exec. Director Library and Community Svcs Florida Gateway College	<b>Dr. Shirley Hallblade, Co-Chair</b> Dean of the Library University of North Florida
<b>Lori Driscoll</b> Library Director Gulf Coast State College	<b>Julia Zimmerman</b> Dean of University Libraries Florida State University
<b>Deborah Robinson</b> Director of Libraries Tallahassee Community College	<b>Dr. Kathleen Miller</b> Dean of Library Services Florida Gulf Coast University
<b>Academic Leaders</b>	
<b>Dr. Burt Harres, Jr.</b> Vice President of Instruction and Provost, West Campus Pasco-Hernando Community College	<b>Dr. Joe Glover</b> Provost and Senior Vice President University of Florida
<b>Chief Information Officers</b>	
<b>Doug Guiler</b> Chief Information Officer Lake Sumter Community College	<b>Michael Pearce</b> System Vice President, Information Tech. University of South Florida
<b>Dick Hamann</b> Vice President, Info. Tech. and Resources Seminole State College	<b>Jason Ball</b> Associate Vice President and CIO Florida Atlantic University
<b>Independent Colleges and Universities (ICUF)</b>	
<b>Jonathan Miller</b> , Library Director Rollins College	
<b>K-12</b>	
<b>Ms. Pat Dedicos</b> Duval Public School System	
<b>Department of Education</b>	
<b>Katrina Figgett</b> Library Media Program Specialist	
<b>State Library</b>	
<b>Judi Ring</b> State Librarian	
<b>Public Libraries</b>	
<b>Raymond Santiago</b> , Library Director Miami-Dade Public Library System	
<b>Ex-Officio Members - CCLA and FCLA Directors</b>	
<b>Don Muccino</b> , CCLA Chief Executive Officer	<b>Jim Corey</b> , FCLA Director

**Task Force for the Future of Academic Libraries in Florida  
September 9, 2011**

<b>Advisory Groups</b>	
<b>Research Libraries</b>	
<b>Bill Garrison</b> (Lead for Advisory Group) Dean, USF Libraries University of South Florida	<b>Laura Probst</b> Dean of Libraries Florida International University
<b>Julia Zimmerman</b> Dean of University Libraries Florida State University	<b>Barry B. Baker</b> Director of Libraries University of Central Florida
<b>Judy Russell</b> Dean of University Libraries University of Florida	<b>Bill Walker</b> Dean and University Librarian University of Miami
<b>Meredith Babb</b> Director University Press of Florida	
<b>Joint Use Libraries</b>	
<b>Pat Profeta</b> (Lead for Advisory Group) Dean of Learning Resources Indian River State College	<b>Barry Baker</b> Director of Libraries University of Central Florida
<b>Denise English</b> Director, Library Services Lake Sumter Community College	<b>Dr. Bill Miller</b> Dean of Libraries Florida Atlantic University
<b>Janice Henderson</b> Division Director, Research and Learning Resources Services Northwest Florida State College	<b>Bob Dugan</b> Dean of Libraries University of West Florida
<b>Medical and Law School Libraries</b>	
<b>Cecilia Botero</b> (Lead for Advisory Group) Associate Dean of the George A. Smathers Libraries and Director of the Health Science Center Libraries University of Florida	<b>Faye Jones</b> Director and Professor Florida State University
<b>Nadine Dexter</b> Director, Harriet F. Ginsburg, Health Sciences Library and Director, Medical Informatics College of Medicine University of Central Florida	<b>Hannibal Travis</b> Associate Professor of Law and Interim Associate Dean for Information Resources Florida International University
<b>Kaye Robertson</b> Executive Director Health Professions Division Library Assistant Professor, Family Medicine College of Osteopathic Medicine Nova Southeastern University	<b>Phebe Poydras</b> Director of the Law Library and Assistant Professor of Law Florida A&M University

## **Task Force Documentation**

The following lists all working documents created by the Task Force, which are available upon request.

### **GOVERNANCE AND ORGANIZATIONAL MODELS**

- Research of Models
- Potential Models
- Survey on Governance Models

### **FUNCTIONAL REQUIREMENTS AND ACQUISITION**

- Survey of Services and Results
- Consolidated Services into Broader Categories
- High Level Acquisition Plan

### **TECHNOLOGY DIRECTION**

- Technology Options

### **OPERATIONAL BUDGET**

- Combined FCLA and CCLA Services-Based Budgets
- Identified Issues and Concerns

## APPENDIX B. STRATEGIC PLAN

### Strategic Plan: Values, Goals, and Strategies

#### VISION

Florida’s academic libraries collaborate to develop new models for scholarly communication and create innovative approaches for connecting our users to the world’s knowledge.

#### MISSION

Students and faculty throughout Florida’s post-secondary education system will have access to state-of-the-art libraries (whether physical or virtual) that support their learning, teaching, and research needs and empower Florida residents to compete and succeed in a 21st century knowledge-based economy.

To accomplish this mission, the libraries will:

- Provide access to content including print collections, archival materials, data sets, licensed eResources, and open access publications;
- Attract and retain qualified and innovative library faculty and staff who will facilitate access through the design and delivery of services including discovery tools, instruction, and research assistance;
- Maintain the technological infrastructure needed to deliver high-quality and innovative library services;
- Model efficiency and effectiveness in the acquisition of resources and deployment of services, leveraging those assets through formal and informal cooperative agreements and collaborative action.

<p><b>Values</b> Describe why libraries aspire to particular goals.</p>	<p><b>Goals</b> Describe a preferred future state of libraries.</p>	<p><b>Strategies</b> Are ways libraries will act to move toward fulfilling goals.</p>
<p>User needs drive the design of library services.</p>	<p>1. Florida’s academic libraries have the capacity and agility to respond to emerging technologies and support the promotion of economic development.</p>	<ul style="list-style-type: none"> <li>• Provide flexibility in products and services to support evolving learning, teaching, and research needs.</li> <li>• Maintain the technological infrastructure needed to deliver high-quality and innovative library services.</li> <li>• Identify and inform funding sources to support adequate investment in library technologies.</li> <li>• Support the incubation of new business startups and creation of a highly skilled workforce through providing resources for degrees in critical need areas.</li> </ul>
<p>Libraries thrive in a culture of collaboration and good will.</p>	<p>2. Florida’s academic libraries work together to leverage their resources, develop new models for scholarly communication, and create innovative approaches for connecting our users to the world’s knowledge.</p>	<ul style="list-style-type: none"> <li>• Model efficiency and effectiveness in the acquisition of resources and deployment of services, leveraging those assets.</li> <li>• Build upon existing and seek new opportunities for formal and informal cooperative agreements to foster continuing collaborative action that leverages institutional and statewide resources.</li> <li>• Provide discovery tools and delivery options</li> </ul>

<p><b>Values</b> Describe why libraries aspire to particular goals.</p>	<p><b>Goals</b> Describe a preferred future state of libraries.</p>	<p><b>Strategies</b> Are ways libraries will act to move toward fulfilling goals.</p>
		<p>for students and faculty to access the information resources they need.</p> <ul style="list-style-type: none"> <li>• Design and deliver instruction that connects students and faculty with the library services and resources they need for academic success.</li> </ul>
<p>Libraries preserve our cultural heritage in all of its diversity and forms.</p>	<p>3. Florida’s academic library collections are rich in content and diverse in format including print collections, archival materials, data sets, licensed eResources, and open access publications.</p>	<ul style="list-style-type: none"> <li>• Attract and retain qualified and innovative library faculty and staff who will facilitate access to library resources through the design and delivery of services including discovery tools, instruction, and research assistance.</li> <li>• Secure funding for acquiring and licensing adequate resources for the express learning, teaching, and research needs of each institution.</li> <li>• Examine and revise collection development practices to reflect the shift from owning materials to licensing content.</li> </ul>
<p>Libraries support the open inquiry that is vital to the advancement of knowledge.</p>	<p>4. Florida’s academic libraries create and support an open, nonproprietary environment for the creation, preservation, and distribution of scholarly work.</p>	<ul style="list-style-type: none"> <li>• Explore opportunities for incorporating non-proprietary, open resources.</li> <li>• Refine the focus of institutional collections to include curating content (e.g. through institutional repositories and data archiving).</li> <li>• Develop attractive, easy to navigate, well-equipped spaces for individual and collaborative work and study.</li> </ul>
<p>Florida’s academic libraries serve as protectors and sponsors of intellectual property while fostering fair use.</p>	<p>5. Florida’s academic libraries become a nexus for the exchange and dissemination of scholarship and research, developing new intellectual property and moving it into the real world through licensing and technology transfer.</p>	<ul style="list-style-type: none"> <li>• Develop consistent and effective policies and procedures for balancing the protection and appropriate use of intellectual property.</li> <li>• Share strategies for the protection and fair use of intellectual property with all libraries in Florida’s academic community.</li> <li>• Become a clearinghouse for open content developed by faculty, students, and the wider intellectual community.</li> <li>• Form partnerships with university presses in Florida, the United States, and beyond.</li> <li>• Support new models for open access publishing.</li> <li>• Build mechanisms for archiving and disseminating documentation from all stages of the research cycle (from data collection to final publications).</li> <li>• Educate the academic community on the need for open access publishing.</li> </ul>

Table B.1 Detailed Values, Goals, and Strategies

## VALUES

- User needs drive the design of library services.
- Libraries thrive in a culture of collaboration and good will.
- Libraries preserve our cultural heritage in all of its diversity and forms.
- Libraries support the open inquiry that is vital to the advancement of knowledge.
- Florida's academic libraries serve as protectors and sponsors of intellectual property while fostering fair use.

## Goal 1

Florida's academic libraries have the capacity and agility to respond to emerging technologies and to support the promotion of economic development.

## STRATEGIES

1. Provide flexibility in products and services to support evolving learning, teaching, and research needs.
2. Maintain the technological infrastructure needed to deliver high quality and innovative library services.
3. Identify and inform funding sources to support adequate investment in library technologies.
4. Support the incubation of new business startups and creation of a highly skilled workforce through providing resources for degrees in critical need areas.

## TRENDS AND ISSUES

Mobile devices, cloud computing, security and authentication, adequate bandwidth, system interoperability, standards.

From *The 2011 Horizon Report*:

- *"The technologies we use are increasingly cloud-based, and our notions of IT support are decentralized. This trend, too, was noted in 2010 and continues to influence decisions about emerging technology adoption at*

*educational institutions. As we turn to mobile applications for immediate access to many resources and tasks that once were performed on desktop computers, it makes sense to move data and services into the cloud. The challenges of privacy and control continue to affect adoption and deployment, but work continues on resolving the issues raised by increasingly networked information"* (Johnson et al., 2011, p. 3).

- *"Economic pressures and new models of education are presenting unprecedented competition to traditional models of the university. The twin challenges of providing high-quality services and controlling costs continue to impel institutions to seek creative solutions. As a result, innovative institutions are developing new models to serve students, such as streaming survey courses over the network so students can attend from their dorm or other locations to free up lecture space"* (Johnson et al., 2011, p. 4).

From the Association of College and Research Libraries (ACRL) (2010):

- *"Explosive growth of mobile devices and applications will drive new services. Smart phones, e-book readers, iPads, and other handheld devices will drive user demands and expectations"* (p. 288).
- *"Budget challenges will continue and libraries will evolve as a result"* (p. 287).
- *"Demands for accountability and assessment will increase. Increasingly, academic libraries are required to demonstrate the value they provide to their clientele and institutions. This trend is part of a broader accountability movement within higher education, resulting from demands from federal and state governments, accrediting bodies, employers, parents, and taxpayers for institutions to show the value of a college education and results of student learning outcomes"* (p. 287).
- *"Technology will continue to change services and required skills. Cloud computing, augmented and virtual reality, discovery tools, open content, open source*

software, and new social networking tools are some of the most important technological changes affecting academic libraries. As with mobile applications, these developments will affect nearly all library operations” (p. 289).

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## Goal 2

Florida’s academic libraries work together to leverage resources, develop new models for scholarly communication, and create innovative approaches for connecting our users to the world’s knowledge.

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## STRATEGIES

1. Model efficiency and effectiveness in the acquisition of resources and deployment of services, leveraging those assets.
2. Build upon existing and seek new opportunities for formal and informal cooperative agreements to foster continuing collaborative action that leverages institutional and statewide resources.
3. Provide discovery tools and delivery options for students and faculty to access the information resources they need.
4. Design and deliver instruction that connects students and faculty with the library services and resources they need for academic success.

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## TRENDS AND ISSUES

From *The 2011 Horizon Report*.

- *“The abundance of resources and relationships made easily accessible via the Internet is increasingly challenging us to revisit our roles as educators in sense-making, coaching, and credentialing. This multi-year trend was again ranked very highly, indicating its continued influence. With personal access to the Internet from mobile devices on the rise, the growing set of resources available as open content, and a variety of reference and textbooks available electronically, students’ easy and pervasive access to information outside of*

*formal campus resources continues to encourage educators to take a careful look at the ways we can best serve learners” (Johnson et al., 2011, p. 3).*

- *“People expect to be able to work, learn, and study whenever and wherever they want. This highly-ranked trend, also noted last year, continues to permeate all aspects of daily life. Mobiles contribute to this trend, where increased availability of the Internet feeds the expectation of access. Feelings of frustration are common when it is not available. Companies are starting to respond to consumer demand for access anywhere; in 2010, programs like Google’s Fiber for Communities sought to expand access to underserved communities, and several airlines began offering wireless network access in the air during flights” (Johnson et al., 2011, p. 3).*
- *“The world of work is increasingly collaborative, giving rise to reflection about the way student projects are structured. This trend continues from 2010 and is being driven by the increasingly global and cooperative nature of business interactions facilitated by Internet technologies. The days of isolated desk jobs are disappearing, giving way to models in which teams work actively together to address issues too far-reaching or complex for a single worker to resolve alone. Market intelligence firm IDC notes that some one billion people fit the definition of mobile workers already, and projects that fully one-third of the global workforce – 1.2 billion workers – will perform their work from multiple locations by 2013” (Johnson et al., 2011, p. 3).*
- *“Digital media literacy continues its rise in importance as a key skill in every discipline and profession. This challenge, first noted in 2008, reflects universal agreement among those on the Horizon Project Advisory Board. Although there is broad consensus that digital media literacy is vitally important for today’s students, what skills constitute digital literacy are still not well defined nor universally taught. Teacher preparation programs are beginning to include courses*

*related to digital media literacy, and universities are beginning to fold these literacy skills into coursework for students, but progress continues to be slow. The challenge is exacerbated by the fact that digital technologies morph and change quickly at a rate that generally outpaces curriculum development" (Johnson et al., 2011, pp. 3-4).*

- *"Keeping pace with the rapid proliferation of information, software tools, and devices is challenging for students and teachers alike. New developments in technology are exciting and their potential for improving quality of life is enticing, but it can be overwhelming to attempt to keep up with even a few of the many new tools that are released. User-created content is exploding, giving rise to information, ideas, and opinions on all sorts of interesting topics, but following even some of the hundreds of available authorities means sifting through a mountain of information on a weekly or daily basis. There is a greater need than ever for effective tools and filters for finding, interpreting, organizing, and retrieving the data that is important to us" (Johnson et al., 2011, p. 4).*

From the ACRL (2010):

- *"Increased collaboration will expand the role of the library within the institution and beyond. Collaboration efforts will continue to diversify: collaborating with faculty to integrate library resources into the curriculum and to seek out information literacy instruction, and as an embedded librarian; working with scholars to provide access to their data sets, project notes, papers, etc. in virtual research environments and digital repositories; collaborating with information technology experts to develop online tutorials and user-friendly interfaces to local digital collections; collaborating with student support services to provide integrated services to students; and collaborating with librarians at other institutions to improve open source software,*

*share resources, purchase materials, and preserve collections" (p. 288).*

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### Goal 3

Florida's academic library collections are rich in content and diverse in format including print collections, archival materials, data sets, licensed eResources, and open access publications.

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### STRATEGIES

1. Attract and retain qualified and innovative library faculty and staff who will facilitate access to library resources through the design and delivery of services including discovery tools, instruction, and research assistance.
2. Secure funding for acquiring and licensing adequate resources for the express learning, teaching, and research needs of each institution.
3. Examine and revise collection development practices to reflect the shift from owning materials to licensing content.

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### TRENDS AND ISSUES

From the ACRL (2010):

- *"Academic library collection growth is driven by patron demand and will include new resource types. Budget reductions, user preferences for electronic access to materials, limited physical space, and the inability to financially sustain comprehensive collections have led many academic libraries to shift from a "just-in-case" to a "just-in-time" philosophy" (p. 286).*
- *"Changes in higher education will require that librarians possess diverse skill sets. As technological changes continue to impact not only the way libraries are used but also the nature of collections, librarians need to broaden their portfolio of skills to provide services to users. Academic librarians will need ongoing formal training to continue in the profession" (p. 287).*

- *“Digitization of unique library collections will increase and require a larger share of resources. Digitization projects make hidden and underused special collections available to researchers worldwide” (p. 288).*

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## Goal 4

Florida’s academic libraries create and support an open, non-proprietary environment for the creation, preservation, and distribution of scholarly work.

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### STRATEGIES

1. Explore opportunities for incorporating non-proprietary open resources.
2. Refine the focus of institutional collections to include curating content (e.g. through institutional repositories and data archiving).
3. Develop attractive, easy to navigate, well-equipped spaces for individual and collaborative work and study.

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### TRENDS AND ISSUES

From *The 2011 Horizon Report*:

- *“Appropriate metrics of evaluation lag behind the emergence of new scholarly forms of authoring, publishing, and researching. Noted first in 2010, this challenge continues. Electronic books, blogs, multimedia pieces, networked presentations, and other kinds of scholarly work can be difficult to evaluate and classify according to traditional metrics, but faculty members are increasingly experimenting with these alternate forms of expression. At the same time, reconciling new forms of scholarly activity with old standards continues to be difficult, creating tension and raising questions as to where faculty energy is best directed” (Johnson et al., 2011, p. 4).*

From the ACRL (2010):

- *“Libraries will continue to lead efforts to develop scholarly communication and intellectual property services. Academic libraries have recognized the importance of*

*scholarly communication and intellectual property issues for many years. Recent developments illustrate a trend toward proactive efforts to educate faculty and students about authors’ rights and open access publishing options and to recruit content for institutional repositories (IRs)” (p. 289).*

- *“The definition of the library will change as physical space is repurposed and virtual space expands. Most academic libraries provide access to more resources than ever before. However, the number of physical items in many libraries is declining, as libraries withdraw journal runs to which they have permanent online archival access and/or move lesser-used materials to off-site or shared storage facilities, thus freeing up areas that are repurposed to provide space for individual student and collaborative work. Libraries are expanding their virtual space, reducing space within the library facility for collections, and re-purposing it for student use. The concept of “Library as Place” is still important to students, researchers, and many faculty members. Some libraries have added writing, tutoring, and media centers to provide multiple academic support services in one convenient location” (pp. 289-290).*

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## Goal 5

Florida’s academic libraries become a nexus for the exchange of scholarship and research, developing new intellectual property and moving it into the real world through licensing and technology transfer.

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### STRATEGIES

1. Develop consistent and effective policies and procedures for balancing the protection and appropriate use of intellectual property.
2. Share strategies for the protection and fair use of intellectual property with all libraries in Florida’s academic community.
3. Become a clearinghouse for open content developed by faculty, students, and the wider academic community.

4. Form partnerships with university presses in Florida, the United States, and beyond.

## TRENDS AND ISSUES

From the ACRL (2010):

- *“Libraries will continue to lead efforts to develop scholarly communication and intellectual property services. Academic libraries have recognized the importance of scholarly communication and intellectual property issues for many years. Recent developments illustrate a trend toward proactive efforts to educate faculty and students about authors’ rights and open access publishing options and to recruit content for institutional repositories (IRs). Digital repository project managers report that scholars ‘lacked an understanding of copyright and the issues of copyright compliance’ and that many of them ‘did not understand or could not remember or retrieve the agreements that were signed with publishers for the publication and dissemination of their work.’ Interest in these issues is illustrated by the growth in SPARC membership: more than 200 North American research and academic libraries belong to SPARC; about the same number participated in the Open Access Week in 2009” (p. 289).*
- *“Recruiting content for IRs provides a natural entrée for conversations about scholarly communication issues. This also illustrates the need for libraries to provide guidance and user education on copyright law, and, in particular, the need to obtain permission to use copyrighted material in one’s work if the use is not covered by the fair use exception. Libraries are addressing the need to provide value-added scholarly communication services in a variety of ways. Some libraries have created scholarly communication librarian or copyright officer positions. Others have taken a more distributed approach. The University of Minnesota, for example, has included scholarly communication responsibilities in the position descriptions of all of its liaison librarians” (p. 289).*
- *“Other trends, including growing use of open source products, creation of more locally created digital collections, the increasing complexity of licensing issues, and litigation involving the use of materials in course e-reserves and course management systems, reinforce the need for academic libraries to provide value-added intellectual property services” (p. 289).*

## APPENDIX C. DRAFT BYLAWS AND CONTRACT FRAMEWORK

### Considerations for Adapting to the Future

The new organization is being created to address an immediate need to consolidate the services and resources of FCLA and CCLA in order to gain cost efficiencies. Assuming a start date of July 1, 2012, the new organization will require a stabilization period.

During the first two years its operation, the new organization must focus on combining existing services and creating one organization from two groups housed in different locations. It will require at least two years for the new organization to stabilize in its new form. For this reason, no new members should be allowed to contract for services with the new organization until this two-year stabilization period has concluded, unless specifically mandated by the Legislature. It is also unlikely that any new members will want to join until services become solidified in a manner that offers them value at an affordable price.

When the Board of Directors deems that the new organization is ready and able to offer cost-effective, quality library services to other entities (i.e. K-12, public libraries, or ICUF institutions), the bylaws must be formally modified to include appropriate participation and representation. The contract with the Contract Institution must also be reviewed and adjusted to account for such an increase in responsibility. The prospective new members must be involved in how these items are modified and adapted to ensure their support and buy-in.

Governance factors that will need to be taken into consideration at that time include:

- Members Council - The representation on the Members Council will need to change. However, adding substantially more members beyond the initial 39 is likely to make the Council too large to be functional. Options could include the following:
    - Creating subcommittees for each sector, under the umbrella of the Members Council.
    - Creating a regional-based approach for the Members Council.
    - Changing to a representation-based membership model whereby a certain percentage of members are selected from each sector that is receiving services.
- Regardless of the approach selected, the bylaws will need to be modified (by a vote of the existing Members Council and the Board of Directors) to meet the needs of the higher education institutions and other member institutions it may choose or need to support.
- Board of Directors - The membership of the Board of Directors will need to change to ensure representation from each sector served. This membership should be adapted to include state-level accountability, similar to the appointments of the Academic Provost and an Academic Vice President appointed by the two Chancellors in the present model, as well as representatives from the Members Council.
  - Contract - The contract with the Contract Institution will need to change to accommodate the increased effort, risk, insurance, and liability associated with supporting an entity that provides services to others outside of the public higher education system.

The initial set of bylaws adopted by the Board of Directors, as presented in this draft format, should remain in effect for at least two years from the start date of the new organization (July 1, 2012).

## Draft Contract Framework Under Development

Between the “Contract Institution” and “The Unified Higher Education Library Services Organization.”

### NOTES

- “Contract Institution” will be replaced by the name of the Contract Institution that is selected.
- The final determination of all contract terms will ultimately reside with the new

organization and the Contract Institution, subject to the approval of the Board of Directors and the two system Chancellors. All contract items will need to be negotiated. Services provided by the Contract Institution will need to be weighed in terms of cost and benefit.

- Both the new organization and the Contract Institution should have legal representation during the development and negotiation of the resulting contract.

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### I. Introduction

- a. A Contract should be made between the “Contract Institution” (hereafter known as the Contract Institution) and the “Unified Higher Education New Organization” (hereafter known as the New Organization).
- b. The Contract should describe the relationship between the Contract Institution and the New Organization regarding the required and optional services the Contract Institution may provide to the New Organization.
- c. The term of the Contract should coincide with the fiscal year of the State of Florida (July 1 through June 30).
- d. The Contract should be continuous, renewing automatically each year.
- e. The Contract should not terminate except upon advance written notice of not less than 120 days.
- f. The Contract should be terminated immediately for cause by either party.
- g. Specific services and functions of the Contract should be alterable from time to time by amendment based on mutual consent as the changing needs or requirements of either party may dictate. Changing needs may include the New Organization offering services to other library organizations as approved by the Board of Directors or as required by the Legislature.

### II. The New Organization

- a. The New Organization is a mandatory services organization supporting publicly funded institutions of higher education and research libraries in Florida. Its purpose is to provide services and technologies as approved by the Members Council and the Board of Directors.
- b. The New Organization’s five-year strategic plan, annual work plan, and annual operating budget should be approved by its Board of Directors according to the established bylaws.
- c. The New Organization’s financial support should be derived from a combination of sources including but not limited to:
  - i) State appropriations from the State University System;
  - ii) State appropriations from the Florida College System;
  - iii) Contract funding from member institutions for supplemental services (those services not deemed “core” or “essential” for all institutions);
  - iv) Grants from state and federal agencies, submitted and administered by the Contract Institution;
  - v) Gifts, grants, or contracts from other external entities including funds awarded or provided by private or public foundations.

### **III. New Organization's Administrative Responsibilities**

- a. The New Organization, under the approval of the Board of Directors and subject to the ratification of its decisions by the two system Chancellors or their designees, should retain the following administrative functions:
  - i) Establish contracts, evaluations, and pay for all New Organization contract employees, following the policies and procedures of the Contract Institution and according to all applicable state and federal regulations. The New Organization will follow the Contract Institution's personnel rules.
  - ii) Serve as a repository for all official documents such as correspondence, business and financial records, licenses, and contracts according to Florida Public Records laws.
  - iii) Maintain an inventory of all property, equipment, and assets held on behalf of its member institutions. Hold title and/or licenses, as applicable, to all commonly used and centrally maintained equipment, software, subscriptions, databases, and the like on behalf of its members.
  - iv) Provide suitable office, meeting, and training space for the New Organization.
  - v) Provide or contract for all New Organization computer and network equipment and services.
  - vi) Maintain adequate liability and other insurance to indemnify the Contract Institution.
  - vii) Annually, contract for an external audit of all fiscal matters.

### **IV. Contract Institution**

- a. On behalf of the Board of Directors and the Chancellors of the State University System and the Florida College System, the Contract Institution should serve as the fiscal agent for the New Organization.
- b. On behalf of the Board of Directors and the Chancellors of the State University System and the Florida College System, the Contract Institution should ensure the New Organization follows all human resources policies and procedures of the Contract Institution.
- c. The Contract Administrator should serve as an ex officio member on the Board of Directors to administer the Contract between the New Organization and the Contract Institution and to represent the interests of the Chancellors of the State University System and the Florida College System.

### **V. Contract Institution Responsibilities to New Organization**

- a. The Contract Institution should serve as the fiscal agent on all matters relating to the receipt or expenditure of funds. The Contract Institution should receive a reasonable, negotiated contractual fee for services. Fiscal activities should include:
  - i) Serve as the fiscal agent for the New Organization, with responsibility for accepting, accounting, and administering its funds in accordance with applicable statutes, rules, policies, and guidelines of the State of Florida and the Contract Institution. Provide appropriate accounting, auditing, and internal controls.
  - ii) Account for any and all funds available to support the New Organization and its activities and programs. New Organization funds should be maintained in designated accounts segregated by source.
  - iii) Provide regular reports on the status of the budget to the New Organization's Board of Directors and the Chancellors of the State University and Florida College System.
  - iv) Submit grant applications and administer grant funding on behalf of the New Organization and its Board of Directors.
  - v) Accept, through its Foundation or external fundraising arm, gifts from donors designated for use by the New Organization.

- vi) Make available to the New Organization all educational discounts for software, hardware, and other services.
- b. The Contract Institution should oversee and supervise the New Organization's human resources functions to ensure institutional procedures are being followed.
- c. The Contract Institution should offer the following support services to the New Organization for an additional, reasonable, negotiated contractual fee. The New Organization, under the approval of the Board of Directors and subject to the ratification of these decisions by the Chancellors of the two systems or their designees, must use these services if the provision is the same or better and if the cost is less than available on the open market.
  - i) Support the purchase, license, or contractual activities of the New Organization for products and services.
  - ii) Provide legal services in regard to financial, contractual, or other matters. In the event that the Contract Institution is required to incur legal expenses relating to representation by outside counsel (not employed within the Contract Institution) or litigation, including outside attorney fees, such expenses will be paid from New Organization funds.
  - iii) Provide other services under terms and conditions mutually agreed upon by the Contract Institution and the New Organization's Board of Directors.

#### **VI. Contract Termination**

- a. The Contract should allow for termination by either party, for any reason, provided that the terminating party gives sufficient notice. "Sufficient notice" should be construed as the interval of time required to arrange suitable alternate arrangements to support the New Organization's services, and in no case should be less than 120 days.
- b. The Board of Directors, by written notice to Contract Institution, should be allowed to terminate the Contract in whole or in part if the Contract Institution fails to honor any term of the Contract or abide by any statutory, regulatory, or licensing requirement.
- c. Termination of the Contract should not materially hinder the future ability of the New Organization to provide the services to which its membership is accustomed, nor should it leave the Contract Institution with fiscal/contractual liabilities from agreements it has entered into on behalf of the New Organization.
- d. Prior to any termination, the parties should resolve all issues relating to the contractual agreements then in effect, outstanding financial obligations incurred by the Contract Institution on behalf of the New Organization, the disposition and transfer of unencumbered funds, equipment and other assets and other related financial and legal matters.

## Draft Bylaws Framework

### SECTION I: MEMBERS COUNCIL

#### COMPOSITION

Members Council shall consist initially of one institutional representative from every state university library and state college library.

Library members shall be recommended by each institution's Provost/Chief Academic Officer, and officially appointed by the President or his/her designee.

#### MEETINGS

Members Council shall meet periodically, and no less than quarterly, as determined by the Chair. Meetings may be held in person, by telephone, online, or by other virtual means. If meetings are held in person, any member may choose to participate by other available means. A quorum will consist of 50% of voting membership. All meetings shall comply with all rules and statutes of the State of Florida.

#### POWERS

Members Council is an advisory body regarding products and services offered by the new organization. The Chair shall transmit the advice of the Members' Council to the Board of Directors regularly.

Members Council shall choose the members of any subcommittees established to assist the new organization (see Section IV) under the oversight of the Board of Directors.

#### ELECTIONS

The Members Council will have three officers: a Chair, a Vice Chair (Chair Elect), and a Past Chair, elected by the Members Council. The

Chair will serve for a term of one year, and by extension, so will each of the other officers. If the Chair is from the State University System, then the Vice Chair (Chair Elect) shall be from the Florida College System, and vice-versa.

These three officers will also serve on the Board of Directors for the duration of their terms as officers of the Members Council. They are on the Board of Directors as ex officio members, but will have full voting and other rights.

In addition to the Chair, Vice Chair (Chair Elect), and Past Chair, the Members Council shall elect two additional representatives for two-year terms on the Board of Directors. Terms will be staggered, with a new representative being elected each year. As with the Chair and Vice Chair (Chair Elect), these two additional representatives shall be selected so that one is from the Florida College System and one from the State University System.

The first year of the Members Council's operation will be non-standard since there will be no Past Chair. Therefore, there will be only two officers from the Members Council serving as ex officio members of the Board of Directors. Therefore, three additional representatives from the Members Council will be elected to the Board of Directors in the initial year of operation, instead of the usual two additional members. One of these members will have a two year term; the others will have a one year term. After the first year, only two additional representatives will be needed with two year (staggered) terms. If the Members Council designates particular responsibilities to the role of Past Chair, the Chair will fulfill those responsibilities in year one.

The following chart illustrates the makeup of the Members Council officers and the elected representatives to the Board of Directors for the first four years of operation:

	Year 1 (non-standard)	Year 2	Year 3	Year 4
Past Chair	-	Ex Officio A	Ex Officio B	Ex Officio C
Chair	Ex Officio A	Ex Officio B	Ex Officio C	Ex Officio D
Vice Chair (Chair Elect)	Ex Officio B	Ex Officio C	Ex Officio D	Ex Officio E
Elected Representative 1	Rep. F	Rep. F	Rep. J	Rep. J
Elected Representative 2	Rep. G	Rep. I	Rep. I	Rep. K
Elected Representative 3	Rep. H			
# Member Council Members on Board of Directors	5	5	5	5

Table C.1 Board of Directors Structure

In this model, each of the Members Council officers would serve a total of three years on the Board of Directors: one as Vice Chair (Chair Elect), one as Chair, and one as Past Chair. The other elected representatives would each serve two year (staggered) terms on the Board of Directors.

telephone, online, or by other virtual means. If meetings are held in person, any member may choose to participate by any other available means. A quorum will consist of 5 of the 7 voting members. All meetings shall comply with all rules and statutes of the State of Florida.

## SECTION II: BOARD OF DIRECTORS

### COMPOSITION

The Board of Directors shall consist of seven people, five elected from Members Council, as specified in Section I; a University Academic Provost selected by the Chancellor of the State University System; and a College Academic Vice President chosen by the Chancellor of the Florida College System.

The Board of Directors shall choose a Chairperson annually from within the Members Council representatives who have been elected to the Board of Directors. The Contract Administrator will serve as an ex officio member of the Board of Directors while the Executive Director shall serve as staff to the Board of Directors.

### MEETINGS

The Board of Directors shall meet periodically, and no less than quarterly, as determined by the Chair. Meetings may be held in person, by

### POWERS

The Board of Directors is the governing body of the new organization, subject to ratification of their decisions by the two system Chancellors or their designees. As governing body, the Board of Directors' responsibilities include:

- Governing the organization by establishing policies and objectives;
- Selecting, appointing, and evaluating the performance of the Executive Director;
- Ensuring the availability of adequate financial resources;
- Approving annual budgets; and
- Accounting to the stakeholders for the organization's performance.

A designated Contract Administrator selected by the Contract Institution shall act as the Executive Director's supervisor on a day-to-day basis and will convey the Board's personnel evaluation of the Executive Director to him or her. The Board shall determine all matters of salary and benefits for the Executive Director.

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### **SECTION III: THE EXECUTIVE DIRECTOR**

The Executive Director manages all aspects of the daily operation of the new organization, including personnel and budgetary oversight. The Executive Director assists the Board of Directors with the long-term strategic and policy decisions of the organization. The Executive Director serves as staff to the Board of Directors and serves at the pleasure of the Board of Directors.

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### **SECTION IV: SUBCOMMITTEES**

The Members Council, with advice from the Executive Director and subject to oversight by the Board of Directors, shall establish subcommittees to conduct the member-driven work of the organization and other activities resulting in recommendations for the new organization's action.

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#### **COMPOSITION**

Subcommittees will normally consist of member library staff with expertise in the subject focus of the group. The Members Council shall nominate and approve the members of the subcommittees. Membership on a subcommittee should not normally exceed 10 people, chosen equally from the universities and colleges, unless the focus of the subcommittee

is an issue specific to either the university libraries or the college libraries. Subcommittee members should normally serve a term not to exceed three years.

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#### **ELECTIONS**

Each subcommittee shall select a Chair and Vice-Chair yearly. Terms of service as officer shall normally be one year as Vice-Chair and one year as Chair. The Members Council may extend terms of service if deemed necessary.

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#### **MEETINGS**

The subcommittees shall meet periodically, as necessary to conduct their work, as determined by the Chair. Meetings may be held in person, by telephone, online, or by other virtual means. If meetings are held in person, any member may choose to participate by other available means. All meetings shall comply with all rules and statutes of the State of Florida.

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#### **DURATION**

The Members Council will review each subcommittee within seven years of the subcommittee's establishment to determine its continued effectiveness. On the basis of this review, the Members Council will vote on whether to renew or discontinue the subcommittee.

## APPENDIX D. FCLA AND CCLA ADMINISTRATIVE SERVICES DESCRIPTION

FCLA's Administrative Services		
Service Category	Provided by FCLA	Provided by UF
Human Resources	<ul style="list-style-type: none"> <li>Use UF's human resources applications.</li> <li>Match FCLA positions to UF classifications.</li> <li>Approve hiring, terminations, leave of absences, pay increases, etc.</li> <li>Input all human resources data for final approvals in UF Human Resources Office.</li> </ul>	<ul style="list-style-type: none"> <li>Provide job classifications.</li> <li>Provide administrative applications for human resources updates and training.</li> <li>Review and approve all human resources processes.</li> <li>Is legal guardian of all human resources data.</li> <li>Ensure compliance with all federal and state laws and regulations.</li> </ul>
Finance and Accounting	<ul style="list-style-type: none"> <li>Use UF's financial systems.</li> <li>Submit invoice payments, purchasing cards, and staff travel for review and payment.</li> <li>Enter payroll, and review and approve to process.</li> </ul>	<ul style="list-style-type: none"> <li>Administer financial systems.</li> <li>Review all data and provide final approval for payments to vendors.</li> <li>Manage all research funding.</li> <li>Run all applications for payroll.</li> <li>System provides all the tools for FCLA accounts management and fiscal reporting (saves FCLA from maintaining internal books).</li> </ul>
Budget	<ul style="list-style-type: none"> <li>Allocate budget by salary, OPS, and expense.</li> <li>Review budgeted salary lines.</li> <li>Produce internal budget analyses and reports using the UF-provided application.</li> </ul>	<ul style="list-style-type: none"> <li>Allocate budget to FCLA by salary and other.</li> <li>Track all funding and expenditures.</li> <li>Compile budget reports by UF systems.</li> </ul>
Purchasing	<ul style="list-style-type: none"> <li>Use UF purchasing systems.</li> <li>Create requisitions for purchase orders; all relevant documentation is attached and entered for processing.</li> </ul>	<ul style="list-style-type: none"> <li>Maintain purchasing application system.</li> <li>Provide final review and legal contractual authority.</li> <li>Negotiate contracts (state contracts and others), enabling FCLA to minimize purchasing effort while achieving additional discounts.</li> </ul>
Legal	<ul style="list-style-type: none"> <li>No legal authority greater than \$1,000.</li> <li>Negotiate and review all eResource licenses for business terms and compliance with UF and state regulations but not signatory authority.</li> </ul>	<ul style="list-style-type: none"> <li>Provide all legal review of contracts.</li> <li>Provide other legal counsel as required by state (eliminates all need for outside legal services).</li> </ul>
Inventory	<ul style="list-style-type: none"> <li>Locate and report all decaded equipment annually.</li> </ul>	<ul style="list-style-type: none"> <li>Provide system, applications, and staff to maintain the official inventory.</li> <li>Provide on-demand reports as needed.</li> </ul>
Facility Management	<ul style="list-style-type: none"> <li>Create lease bid document (off-campus building) for management by UF.</li> <li>Fund and manage janitorial services.</li> <li>Fund data and phone services.</li> </ul>	<ul style="list-style-type: none"> <li>Fund electricity.</li> <li>Complete required space reporting.</li> <li>Conduct lease bid process and negotiation.</li> <li>Perform office inspections to ensure staff safety and security.</li> </ul>
Other		<ul style="list-style-type: none"> <li>Provide email system.</li> </ul>

Table D.1 FCLA's Administrative Services

<b>CCLA's Administrative Services</b>		
<b>Service Category</b>	<b>Provided by CCLA</b>	<b>Provided by TCC</b>
Human Resources	<ul style="list-style-type: none"> <li>• Ensure CCLA employee compliance with TCC policies and procedures.</li> <li>• Conduct annual salary survey to ensure competitive and market-based employee salaries.</li> <li>• Receive prior approval from DOE contract administrator for salary adjustments before submission to TCC for processing.</li> <li>• Conduct hiring process, new employee orientation, develop and update CCLA staff position descriptions, verify monthly payroll time and attendance in TCC's personnel payroll system, all in accordance with TCC policies.</li> <li>• Maintain personnel records (manual and digital) as a shadow system to TCC's for check and balance issues, as well as convenience for CCLA staff.</li> <li>• Developed own comprehensive Performance Management System to reflect CCLA's specific organizational structure (matrix management).</li> </ul>	<ul style="list-style-type: none"> <li>• Provide employee monthly payroll and benefits processing, annual tax records, and leave balances.</li> <li>• Maintain the official personnel files and records for all CCLA employees that contain many documents developed and maintained by CCLA (position description, performance evaluations, performance documentation, employment contracts) and other documents developed by TCC (benefit documentation, address changes, etc.).</li> <li>• Negotiate and administer employee benefit packages.</li> <li>• Provide notice of any rate changes affecting CCLA employees.</li> <li>• Provide employee contributions to FRS, IRS, and other directed payments to TCC-approved vendors.</li> <li>• Develop and maintain TCC personnel policies and procedures.</li> </ul>
Finance and Accounting	<ul style="list-style-type: none"> <li>• Maintain financial records within a separate financial management system that is reconciled with TCC's financial records, to ensure accuracy and strict compliance with state directives.</li> <li>• Provide CCLA financial data and reports as requested by DOE, legislative staff, and FCS institutions.</li> <li>• Track and allocate funds required to cover the employee leave liability balances.</li> </ul>	<ul style="list-style-type: none"> <li>• Maintain official ledgers and financial records for all CCLA activity; provide monthly financial ledgers for department reconciliation.</li> <li>• Receipt designated appropriations and maintain financial records for state audits of TCC and CCLA operations.</li> <li>• Invest CCLA fund balances and record interest earned in CCLA's reserve account.</li> </ul>
Budget	<ul style="list-style-type: none"> <li>• Maintain budget records (included in its financial management system) which are reconciled with TCC's financial records.</li> <li>• Present annual operating budget to DOE for approval and provide the approved budget to TCC for their financial records.</li> <li>• Provide CCLA budget data and reports as requested by DOE, legislative staff, and FCS institutions.</li> </ul>	<ul style="list-style-type: none"> <li>• Maintain CCLA's budget based on annual appropriations and designated budget categories submitted by CCLA.</li> <li>• Provide monthly balances and revenues with the financial ledgers for department reconciliation.</li> </ul>
Purchasing	<ul style="list-style-type: none"> <li>• Negotiate and obtain price quotes for services and materials required to perform its mission.</li> <li>• Forward all purchase requests to TCC for issuance of purchase orders.</li> <li>• Maintain and track all purchases, quotes, renewals and contracts within CCLA's financial management system; perform daily reconciliations of activity with TCC's purchase order system.</li> </ul>	<ul style="list-style-type: none"> <li>• Confirm compliance with TCC Board policies of requisition and issue purchase orders for CCLA procurement of services and materials.</li> <li>• Track all purchase orders and close, liquidate, or change upon CCLA request.</li> </ul>

CCLA's Administrative Services		
Service Category	Provided by CCLA	Provided by TCC
Legal		<ul style="list-style-type: none"> <li>Provide legal assistance (TCC's legal counsel) for CCLA operations as part of fiscal agent services provided; costs for routine issues are covered by CCLA's indirect fee; costs for non-routine issues are assessed separate fees.</li> </ul>
Inventory	<ul style="list-style-type: none"> <li>Maintain inventory control and management in compliance with TCC policies.</li> <li>Maintain property inventories and submit annual reports to DOE since all equipment purchased with CCLA funds is owned by the 28 colleges.</li> </ul>	
Facility Management	<ul style="list-style-type: none"> <li>Provide all facility management support or use contracted services; routine maintenance and repairs, equipment moves, and office and conference room set-ups.</li> <li>Track all service contract renewals, equipment maintenance schedules and repairs.</li> </ul>	<ul style="list-style-type: none"> <li>Issue required purchase orders for services and material.</li> </ul>
Other	<ul style="list-style-type: none"> <li>Maintain project management system for internal business processes, organization projects, and time tracking.</li> <li>Maintain email (Outlook) system, phone and voicemail system, website, and service and work request system.</li> </ul>	

Table D.2 CCLA's Administrative Services

## APPENDIX E. EXISTING LANGUAGE

### Section 1006.72, F.S. Licensing Electronic Library Resources

(1) FINDINGS. The Legislature finds that the most cost-efficient and cost-effective means of licensing electronic library resources requires that Florida colleges and state universities collaborate with school districts and public libraries in the identification and acquisition of such resources needed by more than one sector.

(2) PROCESS TO IDENTIFY RESOURCES. Library staff from Florida colleges, state universities, school districts, and public libraries shall implement a process that annually identifies the electronic library resources for each of the core categories established in this section. To the extent possible, the Florida Center for Library Automation, the College Center for Library Automation, and the Division of Library and Information Services within the Department of State shall jointly coordinate this annual process.

(3) STATEWIDE CORE RESOURCES. For purposes of licensing electronic library resources of the Florida Electronic Library, library representatives from public libraries, school districts, Florida colleges, and state universities shall identify the statewide core resources that will be available to all students, teachers, and citizens of the state.

(4) POSTSECONDARY EDUCATION CORE RESOURCES. For purposes of licensing electronic library resources required by both the

Florida Center for Library Automation and the College Center for Library Automation from funds appropriated to the centers, Florida college and state university library staff shall identify the post-secondary education core resources that will be available to all public post-secondary education students.

(5) FOUR-YEAR DEGREE CORE RESOURCES. For purposes of licensing electronic library resources beyond the post-secondary education core resources by the Florida Center for Library Automation from funds appropriated to the center, state university library staff, in consultation with Florida college library staff, shall identify the 4-year degree core resources that will be available to all 4-year degree-seeking students in the State University System and the Florida College System. The Florida Center for Library Automation shall include in the negotiated pricing model any Florida college interested in licensing a resource.

(6) TWO-YEAR DEGREE CORE RESOURCES. For purposes of licensing electronic library resources beyond the post-secondary education core resources by the College Center for Library Automation from funds appropriated to the center, Florida college library staff shall identify the 2-year degree core resources that will be available to all Florida college students. The College Center for Library Automation shall include in the negotiated pricing model any state university interested in licensing a resource.

## **Section 1007.27, F.S. Articulated Acceleration Mechanisms**

(1) It is the intent of the Legislature that a variety of articulated acceleration mechanisms be available for secondary and post-secondary students attending public educational institutions. It is intended that articulated acceleration serve to shorten the time necessary for a student to complete the requirements associated with the conference of a high school diploma and a post-secondary degree, broaden the scope of curricular options available to students, or increase the depth of study available for a particular subject. Articulated acceleration mechanisms shall include, but not be limited to, dual enrollment as provided for in s. 1007.271, early admission, advanced placement, credit by examination, the International Baccalaureate Program, and the Advanced International Certificate of Education Program. Credit earned through the Florida Virtual School shall provide additional opportunities for early graduation and acceleration. Students of Florida public secondary schools enrolled pursuant to this subsection shall be deemed authorized users of the state-funded electronic library resources that are licensed for Florida colleges and state universities by the Florida Center for Library Automation and the College Center for Library Automation. Verification of eligibility shall be in accordance with rules established by the State Board of Education and regulations established by the Board of Governors and processes implemented by Florida colleges and state universities.

(2) The Department of Education shall identify the minimum scores, maximum credit, and course or courses for which credit is to be awarded for each College Level Examination Program (CLEP) general examination, CLEP subject examination, College Board Advanced Placement Program examination, and International Baccalaureate examination. In addition, the department shall identify such courses in the general education core curriculum of each state university and community college.

(3) Each community college and state university must award credit for specific courses for which competency has been demonstrated by successful passage of one of the examinations in subsection (2) unless the award of credit duplicates credit already awarded. Community colleges and state universities may not exempt students from courses without the award of credit if competencies have been so demonstrated.

(4) It is the intent of the Legislature to provide articulated acceleration mechanisms for students who are in home education programs, as defined in s. 1002.01, consistent with the educational opportunities available to public and private secondary school students. Home education students may participate in dual enrollment, career dual enrollment, early admission, and credit by examination. Credit earned by home education students through dual enrollment shall apply toward the completion of a home education program that meets the requirements of s. 1002.41.

(5) Early admission shall be a form of dual enrollment through which eligible secondary students enroll in a post-secondary institution on a full-time basis in courses that are creditable toward the high school diploma and the associate or baccalaureate degree. Students enrolled pursuant to this subsection shall be exempt from the payment of registration, tuition, and laboratory fees.

(6) Advanced placement shall be the enrollment of an eligible secondary student in a course offered through the Advanced Placement Program administered by the College Board. Postsecondary credit for an advanced placement course shall be limited to students who score a minimum of 3, on a 5-point scale, on the corresponding Advanced Placement Examination. The specific courses for which students receive such credit shall be identified in the statewide articulation agreement required by s. 1007.23(1). Students of Florida public secondary schools enrolled pursuant to this subsection shall be exempt from the payment of any fees for administration of the examination

regardless of whether or not the student achieves a passing score on the examination.

(7) Credit by examination shall be the program through which secondary and post-secondary students generate post-secondary credit based on the receipt of a specified minimum score on nationally standardized general or subject-area examinations. For the purpose of statewide application, such examinations and the corresponding minimum scores required for an award of credit shall be delineated by the State Board of Education and the Board of Governors in the statewide articulation agreement required by s. 1007.23(1). The maximum credit generated by a student pursuant to this subsection shall be mitigated by any related post-secondary credit earned by the student prior to the administration of the examination. This subsection shall not preclude community colleges and universities from awarding credit by examination based on student performance on examinations developed within and recognized by the individual post-secondary institutions.

(8) The International Baccalaureate Program shall be the curriculum in which eligible secondary students are enrolled in a program of studies offered through the International Baccalaureate Program administered by the International Baccalaureate Office. The State Board of Education and the Board of Governors shall specify in the statewide articulation agreement required by s. 1007.23(1) the cutoff scores and International Baccalaureate Examinations which will be used to grant post-secondary credit at community colleges and universities. Any changes to the articulation agreement, which have the effect of raising the required cutoff score or of changing the International Baccalaureate Examinations which will be used to grant post-secondary credit, shall only apply to students taking International Baccalaureate Examinations after such changes are adopted by the State Board of Education and the Board of Governors. Students shall be awarded a maximum of 30 semester credit hours pursuant to this subsection. The specific course for which a student may receive such credit shall be specified in the statewide articulation agreement required by s. 1007.23(1).

Students enrolled pursuant to this subsection shall be exempt from the payment of any fees for administration of the examinations regardless of whether or not the student achieves a passing score on the examination.

(9) The Advanced International Certificate of Education Program and the International General Certificate of Secondary Education (pre-AICE) Program shall be the curricula in which eligible secondary students are enrolled in programs of study offered through the Advanced International Certificate of Education Program or the International General Certificate of Secondary Education (pre-AICE) Program administered by the University of Cambridge Local Examinations Syndicate. The State Board of Education and the Board of Governors shall specify in the statewide articulation agreement required by s. 1007.23(1) the cutoff scores and Advanced International Certificate of Education examinations which will be used to grant post-secondary credit at community colleges and universities. Any changes to the cutoff scores, which changes have the effect of raising the required cutoff score or of changing the Advanced International Certification of Education examinations which will be used to grant post-secondary credit, shall apply to students taking Advanced International Certificate of Education examinations after such changes are adopted by the State Board of Education and the Board of Governors. Students shall be awarded a maximum of 30 semester credit hours pursuant to this subsection. The specific course for which a student may receive such credit shall be determined by the community college or university that accepts the student for admission. Students enrolled in either program of study pursuant to this subsection shall be exempt from the payment of any fees for administration of the examinations regardless of whether the student achieves a passing score on the examination.

(10) Any student who earns 9 or more credits from one or more of the acceleration mechanisms provided for in this section is exempt from any requirement of a public post-secondary educational institution mandating enrollment during a summer term.

### **State Board of Education Rule 6A-7.077, Access to State Funded Electronic Library Resources by Accelerated Secondary Students**

(1) Students of Florida public secondary schools enrolled pursuant to Section 1007.27(1), F.S., shall have access to state funded electronic library resources that are licensed for Florida colleges and state universities by the College Center for Library Automation and the Florida Center for Library Automation.

(2) Each public secondary school shall designate a member of its staff to serve as the authorized administrator for purposes of providing access to state funded electronic resources. In order to access these electronic resources, students shall provide the information requested on Form EL-01, Eligibility Verification Form 2011, to the authorized administrators at their school. Form EL-01

(<http://www.flrules.org/Gateway/reference.asp?No=Ref-00219>) is hereby incorporated by reference in this rule. The form may be accessed at the Florida Library Access-Pass for Accelerated Secondary Students ("FLA-PASS") webpage at <http://www.FLA-PASS.org>.

(3) The authorized administrators at each school shall collect Eligibility Verification Forms from students, input the required information into the FLA-PASS webpage, and retain the original physical forms pursuant to school district records retention policies.

(4) Schools shall collect and update student information every school year utilizing the form and FLA-PASS website.

### **Board of Governors Regulation 6.012, Access to Certain Electronic Library Resources by Accelerated Secondary Students**

(1) Public secondary school students enrolled in the articulated acceleration programs specified in section 1007.27, Florida Statutes, shall be eligible to use electronic library resources funded by the Florida Center for Library Automation (FCLA).

(2) FCLA shall host the Florida Library Access - Pass for Accelerated Secondary Students (FLA\_PASS) webpage to allow public secondary schools to input required information, pursuant to State Board of Education Rule 6A-7.077.

### **Current Proviso Language**

From the funds provided in Specific Appropriation 70 for the Sunlink Uniform Library Database, \$50,000 shall be provided to the College Center for Library Automation (CCLA) to complete the transfer of the K-12 public school bibliographic database from the Department of Education to the CCLA for inclusion in its online discovery tool product; and \$35,000 shall be provided to the department to work with the CCLA and the school districts to develop a process that allows for the electronic updating of the database. The CCLA should make the public school bibliographic database of library holdings available for school district students, staff, and parents no later than September 1, 2011 and updates should minimally occur at the beginning of each academic year.