PL2030 – PUBLIC LIBRARY SUSTAINABILITY

From initial concept

Excerpt from the invitation to prospective Committee members 6/6/2019

The Work
During May 2019 meetings, the Advocacy Committee and IPLA Advisory Board made recommendations about communications, content and format, including what the committee is and what it isn't.
What it is NOT – This ad hoc committee does NOT have a pre-conceived solution. It is NOT a top-down approach. It is NOT a revamp of past attempts such as the response to Kernan-Shepard.
What it is – This ad hoc ILF committee, using trend data and input from the library community, will discuss critical issues and recommend to the ILF board potential models and solutions that can advance libraries for the future.
ILF is monitoring tax policy, population and demographic changes, and workforce and technology trends. ILF seeks to drive proactive proposals rather than reacting to harmful proposals from others.

To the actual work

The work of the PL2030 committee is to determine what qualitative and quantitative **factors contribute to a "thriving"** library and what support may be needed to proactively address barriers to long-term sustainability and success

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THE PL2030 COMMITTEE*

Cheryl Dobbs, Greenwood PL
Kelly Ehinger, Adams Public Library System
David Gray, Hancock PL
Jason Hatton, Bartholomew County PL
*Lissa Krull, Nappanee PL***
Melissa Merida, The Floyd County Library
Kim Porter, Batesville PL
Trista Smith, Newburgh Chandler PL
Marla Spann, East Chicago PL
Edra Waterman, Hamilton East PL

Ex-officio
Leslie Sutherlin, Bd President
*Susie Highley, Bd Past-Pres***

Lucinda Nord, Executive Director
Megan Zanto, Member Engagement
*Tara Pearson, Policy Analyst***
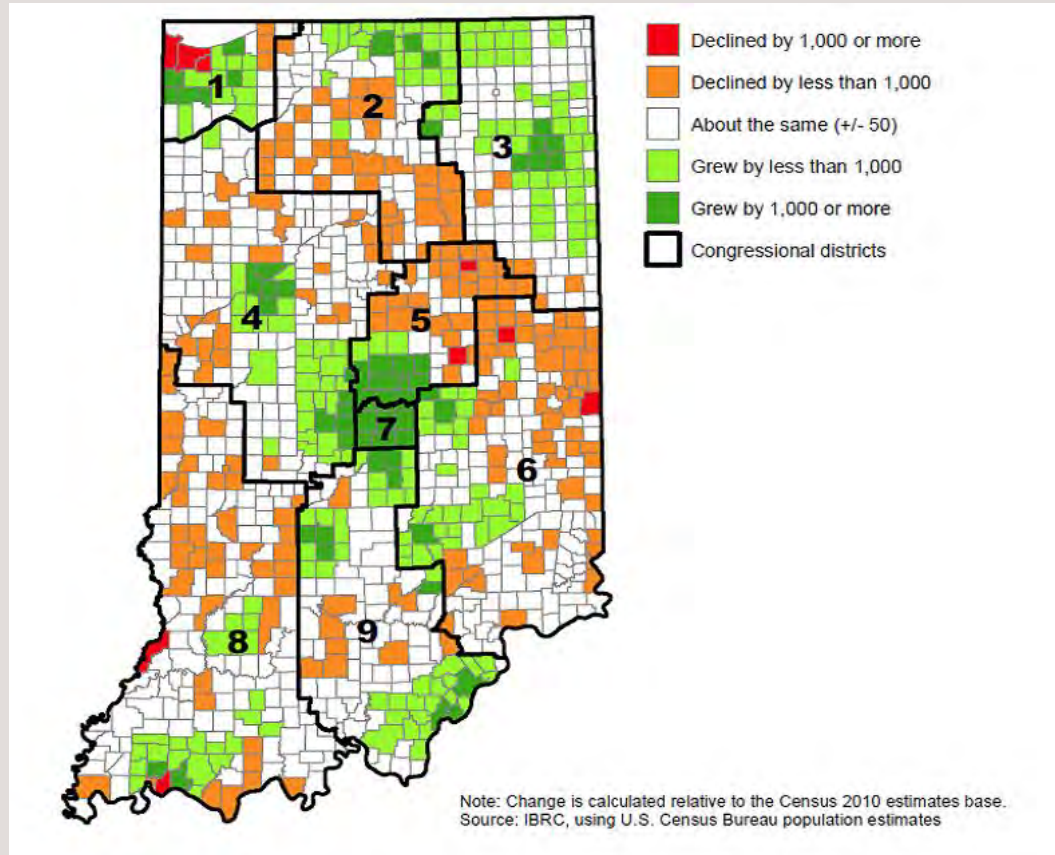
Jake Speer, Indiana State Librarian

* The PL2030 Committee was charged by the ILF Board was advised by the ILF Advocacy Committee and the ILF-IN Public Library Association (IPLA) Advisory Board.
** no longer with PL2030 Committee due to position changes

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FOUNDATIONS

- **Indiana's 236 public** libraries exhibit significant variation in service offerings, reach, and financial health

- Long-term demographic trends and future projections including declining rural population and declining child population will impact the environment in which public libraries operate and the sustainability of current business models

- There are likely certain metrics that we can identify to serve as the basis for characterizing individual libraries are well-**positioned for the future ("thriving")** as well as those who may benefit from additional support

- The COVID-19 global pandemic creates additional challenges that make the work of the PL2030 initiative even more important and urgent.

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CHANGE IN TOWNSHIP POPULATION 2010 to 2018

Declined by 1,000 or more
Declined by less than 1,000
About the same (+/- 50)
Grew by less than 1,000
Grew by 1,000 or more
Congressional districts

Note: Change is calculated relative to the Census 2010 estimates base.
Source: IBRC, using U.S. Census Bureau population estimates

United States® Census 2020

The role of Libraries in preventing an undercount

• Participate in Complete Count Committees

• Prepare for increased internet use during the census

• Assist individuals in applying for jobs with the census

• Help community members complete their census form.
    • Host census response tables during March and April
    • Post census flyers in the library

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RESEARCH AND INITIAL FINDINGS

In God we trust. All others must bring data. - W. Edwards Deming, 1900-1993

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RESEARCH AND ANALYSIS

Evaluated various publicly-reported metrics to discern trends across
Indiana's libraries

Operating Metrics
- Visits and attendance, trends
- Circulation and collection use [1]
- Operating hours

Financial Metrics
- Cash balances in relation to
- Debt service expenditures
- Reliance on local income tax

Other Metrics
- County-level population projections from 2015 to 2030 by Indiana Business Research Center (IBRC)

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SOURCES

- Gateway (IN Department of Local Government Finance, DLGF)
- Annual report: cash balance (2018 year-end)
- Form 4b: adopted budgets for general and debt service funds (FY2019)
- Indiana Public Library Statistics (ISL) – attendance, visits, circulation, operating hours, tax revenue (2017)
- Evergreen Indiana Library Consortium - membership listing (accessed 9/9/19)

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INDIANA'S 236* PUBLIC LIBRARIES

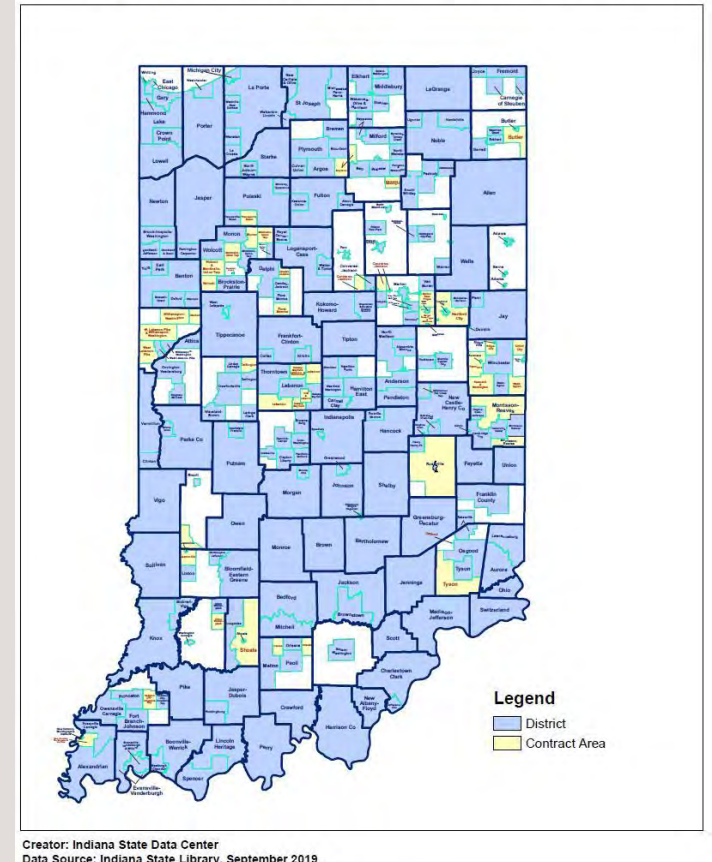Indiana State Library counts 236 Public Libraries, based on reported information.

- 27 counties have county-wide library systems
- 29 counties are fully served by multiple library systems
- 36 counties include areas not served by a library (white).
- Libraries sometimes contract to provide library services to additional areas (yellow).

*Data is captured by combining contractual libraries.

Map at right is available at:

https://www.in.gov/library/3313.htm

Library Districts and Areas Under Contract, 2019

Legend
District
Contract Area

Creator: Indiana State Data Center
Data Source: Indiana State Library, September 2019

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DATA MODIFICATIONS

There are four public libraries with combined operations but separate operating budgets. For metrics based on financial (Gateway) data, these are represented as separate entities. For all other metrics (IPLS), these are represented as combined entities. Includes:
- FRANKFORT COMMUNITY PUBLIC LIBRARY-CLINTON COUNTY CONTRACTUAL PUBLIC LIBRARY
- JASPER-DUBOIS COUNTY CONTRACTUAL PUBLIC LIBRARY
- GREENSBURG-DECATUR COUNTY CONTRACTUAL PUBLIC LIBRARY
- MORRISSON REEVES LIBRARY (WAYNE COUNTY CONTRACTUAL LIBRARY)

There are two libraries that are privately funded and therefore are not represented in Gateway. These have been excluded. Includes:
- JOYCE PUBLIC LIBRARY
- TYSON LIBRARY ASSOCIATION, INC

There is one library with separate IPLS data but no Gateway budget. The IPLS operating metrics for this library have been added to its combined district, as relevant.
- WILLARD LIBRARY OF EVANSVILLE

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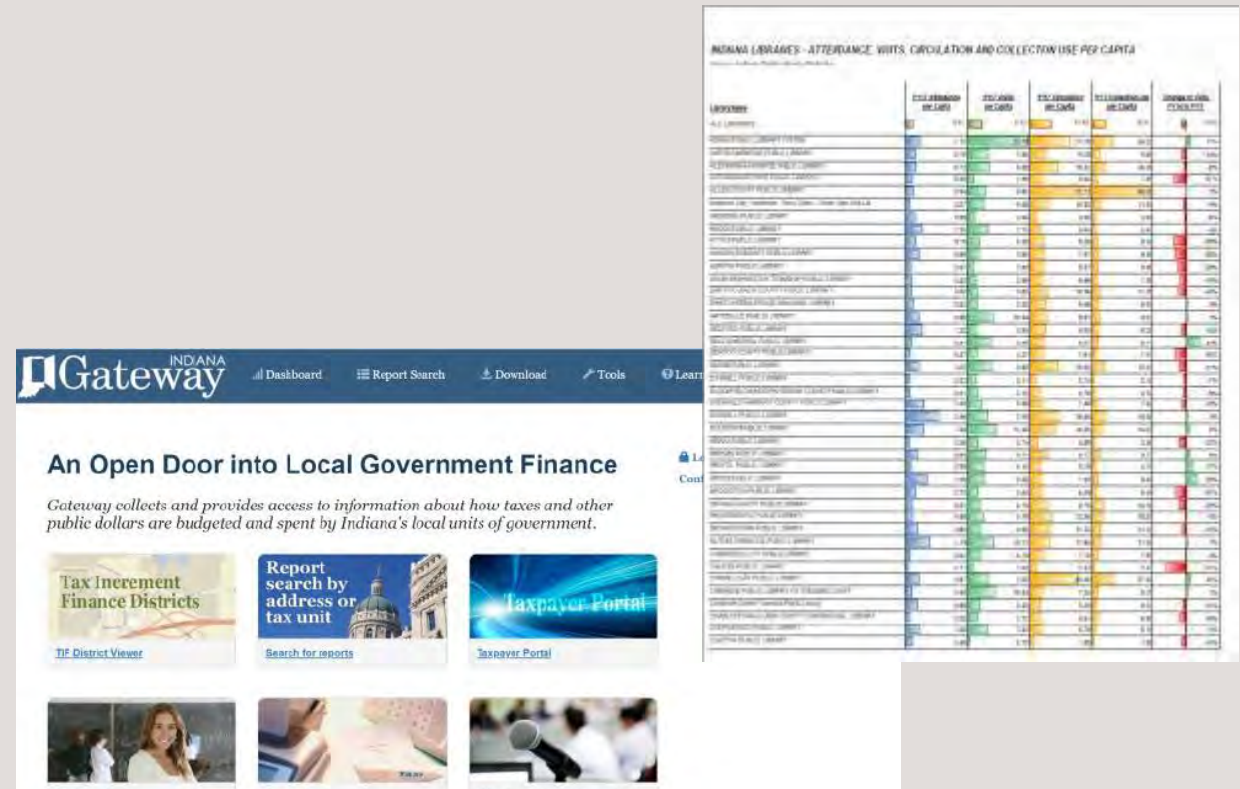# METRICS ASSESSED

Operating Metrics

- Visits and attendance
- Circulation and collection use (1)
- Operating hours
- Evergreen impact

Financial Metrics

- Cash balances
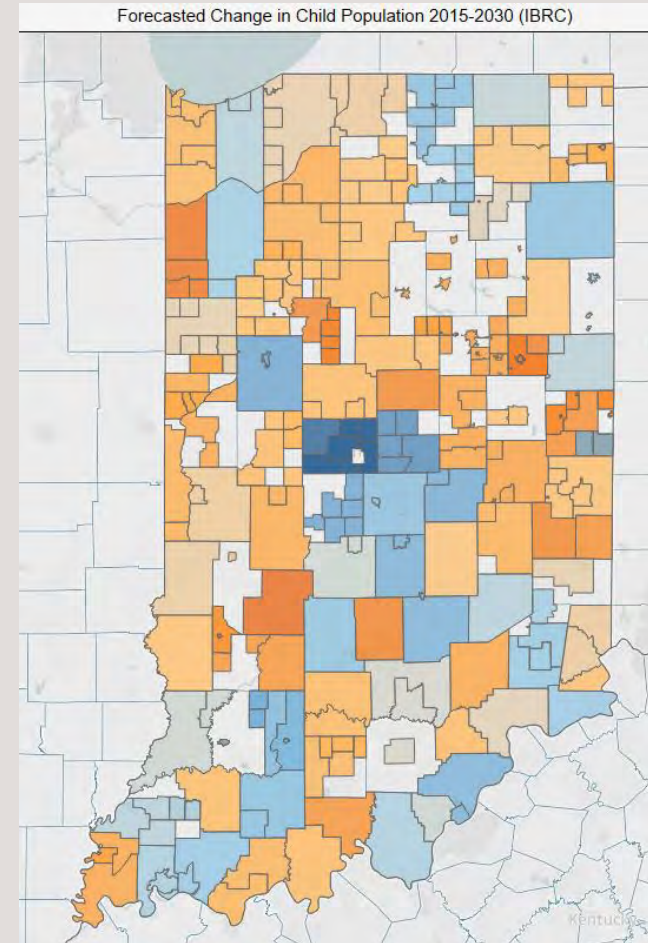- Debt service expenditures
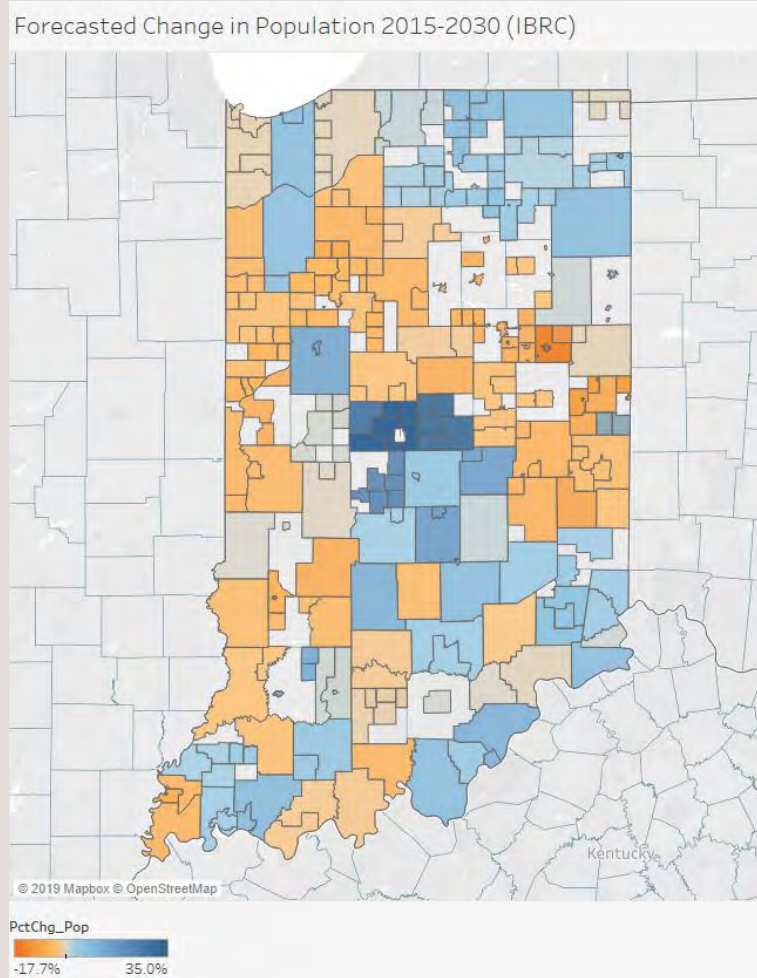- Reliance on local income tax

1 Operational definitions for Circulation and Collections are as follows:
- Circulation: Total annual circulation transactions
- Collections: Total annual count of physical item circulation, circulation of electronic material and successful retrieval of electronic information i.e. Total circulation + successful retrieval of electronic materials

SAMPLE DATA - CHANGE IN POPULATION

Forecasted Change in Population 2015-2030 (IBRC)

© 2019 Mapbox © OpenStreetMap

PctChg_Pop
-17.7%   35.0%

Forecasted Change in Child Population 2015-2030 (IBRC)

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GO TO TABLEAU PRESENTATION

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THE PL2030 SELF-ASSESSMENT

Without proper self-evaluation, failure is inevitable. - John Wooden

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FIVE AREAS OF ORGANIZATIONAL STRENGTH

- **Board Governance –** board attendance and participation, policies, strategic and capital improvement planning

- **Human Resources –** leadership turnover, training, compensation/benefits

- **Financial Management –** financial accountability, budget process, cash reserves, debt

- **Library Services –** metrics and community responsiveness, technology and innovation, outcome measurement

- **External Relations –** web presence and outreach, presentation to Council and appointing authorities, communication with state and federal regulators

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COMMENTS ABOUT THE CRITERIA

Objective – facts that "just are"; criteria such as board attendance, population, leadership turnover, presence of reserves or debt, communication with Council and appointing authorities

Subjective – measures that are subject to opinion, interpretation; criteria such as community responsiveness, strategic thinking, innovation, levels of participation

Factors within your control – engagement with board, types of services a library provides, staff training, financial accountability, extent to which the library reaches out beyond the library

Factors outside of your control – population growth or loss, workforce changes, whether community has hit the property tax caps

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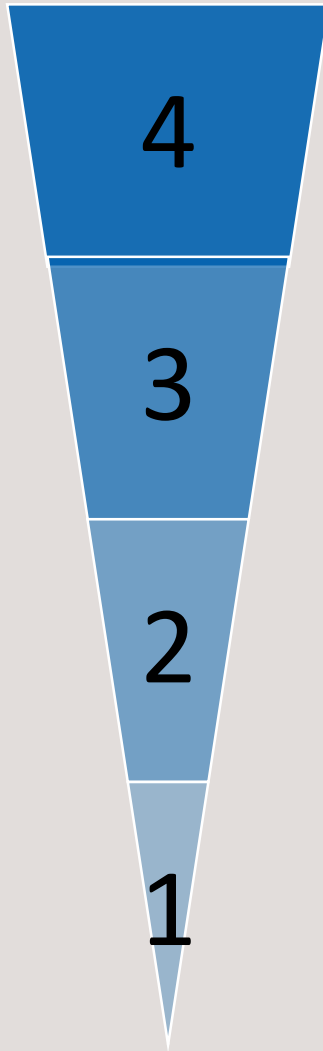
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HOW TO RATE AND WHAT SCORES MEAN

How to rate

- Choose the column that best describes the *functioning capacity of your library at the present time*. You must **meet all of the requirements in a level to be at that level**. Level 4 often requires all criteria from Levels 1-4.

- Please **record your level number for each row –** Level 1, 2, 3, or 4

- Optional - Add **comments or clarifications** at end of each section.

What scores mean – *Your story is your story.*

- **Not intended to contrast** your library to any other.

- Success looks different at every library. There is no "perfect" score.

- Score is intended to give
  - *you* the information you need as you strategize with your board, staff, and stakeholders about the future of your library, and
  - *ILF* the information important about resources needed to help Indiana libraries thrive.

4
3
2
1

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BOARD GOVERNANCE

Item	Level 1	Level 2	Level 3	Level 4
1. Strategic Planning	The strategic plan on file with Indiana State Library is out-of-date or minimally updated from the prior plan.	A written strategic plan addressing strategic initiatives is current and reviewed annually. Library's strategic plan includes outputs and technology plan.	A written strategic plan is integrated into board and committee meetings. Library's strategic plan includes outcomes, professional development strategy, community relationships, and capital improvement plan.	With input from external and community stakeholders, a written strategic plan is updated and reviewed annually that includes clear benchmarks and outcomes. An evaluation of effectiveness is completed annually.
2. Board Structure & Meetings	Board meetings are rescheduled more than twice per year due to lack of quorum. Agenda is dominated by problems and crises.	Scheduled board meetings consistently meet quorum. Agenda includes reports and recommendations for board action. May have individual board members with low attendance record. In compliance with open door law.	The board has regular, duly constituted meetings. Board packets are delivered to all board members prior to a meeting. There is a clear focus, not just on committee reports, but on policy issues and impact.	Meets Level 3, plus at least 75% attendance and active participation by board members. Strong clarity of board and director roles and responsibilities.
3. Policies	The library's written policies and procedures are not comprehensive and/or out-of-date.	The library has written policies which address internal controls, personnel and professional conduct, library services policies, computer and internet, collection development and reconsideration.	Meets Level 2, plus: the library has policies specifically related to range of services (i.e. meeting space, resource sharing, privacy). Policies are board-approved and reviewed and updated regularly.	Meets Level 3, plus the library has developed policies and training to carry out their defined organizational values (i.e. code of conduct, diversity statements, freedom to read, guiding principles that relate to strategic plan).

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HUMAN RESOURCES

Item	Level 1	Level 2	Level 3	Level 4
1. Leadership Stability & Accountability	The Library Director does not receive a formal performance review or review is informal. Library Director has turned over **more than 1X in 2 years** and/or management positions **turnover higher than 50%** in two years.	The Library Director receives an **irregular or informal performance evaluation**. **No formal development plan** exists to increase skills and leadership qualities. Management positions **turnover less than 50%** in two years.	The Library Director receives an **annual or ongoing formal performance evaluation**. Management positions stable.	**Meets Level 3, plus the library has succession planning for director and leadership staff.**
2. Employee Training & Development	There is **no identifiable, consistent orientation or training for staff**. Job descriptions are utilized for developing a basic plan of action to support job related competencies.	An **informal staff orientation** is in place for each staff person. as well as a training/development plan. Ongoing employee performance feedback for all staff.	A **written staff orientation** is in place for each staff person as well as an individual **written training/development plan**. The library **assures a budget allocation to support the staff training and development plan**. Staff participate in training annually.	**Meets Level 3, plus: Training opportunities are identified that address staff skill gaps. Part-time and full-time staff participate in training annually. The library ensures that the appropriate tools, resources and professional memberships to support and train staff are in place.**
3. Competitive Compensation & Benefits	**Library does not offer benefits to any staff. More than 50% of full-time staff earn below the Self-Sufficiency Standard for the county.**	**The majority of full-time staff earn above the Self-Sufficiency Standard for the county. Library offers some level of health and PTO benefits. Compensation and benefit packages hinder recruitment and/or retention.**	**Compensation study is conducted on a regular basis to determine appropriate wages and benefits. Incremental changes are made each year to address compensation. Compensation and benefit packages do not hinder recruitment and/or retention.**	**All staff earn a competitive wage. Full-time staff earn health, PTO and retirement benefits. Part-time staff have access to some type of benefits. Compensation and benefit packages help with recruitment and/or retention.**

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FINANCIAL MANAGMENT

Item	Level 1	Level 2	Level 3	Level 4
1. Financial Accountability	The financial planning and management is **limited and not clearly understood** (by director, board or public); and/or, **not in compliance with all DLGF and SBOA requirements**.	The library is **in compliance with all DLGF and SBOA requirements** for financial accountability, including monthly uploads to Gateway. **Audit findings are not critical nor repeated**. Where applicable, implements timely and appropriate corrective action.	Meets Level 2, plus annual report to Gateway is submitted on-time. The **board addresses the audit, investments and insurance matters related to the library, reviews all financial policies**, and monitors the compliance of all contracts or agreements on an ongoing basis.	**Meets Level 3, plus: Internal controls and fixed assets are proactively managed. Some level of internal audit to regularly review policies and processes and ensure accountability processes are effective.**
2. Budget Process	Budget was submitted on time and is available for review on Gateway.	There is **board participation** in budget review with board approval and understanding of a **realistic annual budget** sufficient to support basic operations.	Meets Level 2, plus income and expense budget projections are **based on historical data and strategic plan priorities**, not on percentage increases.	**The budget process includes developing and continually reevaluating a long-range budget to support the library's strategic direction focusing on capacity, growth and programming.**
3. Financial Stability – Cash & Reserves	The library **does not have sufficient cash** on hand to fund its operations and/or **operates with the use of tax anticipation loans**.	The library has **sufficient cash on hand** to comfortably fund its operations. Has **minimal or no cash reserves** or rainy day funds.	The library has operating cash on hand equivalent to **at least six months of budgeted revenues, plus cash reserves** or rainy day funds.	**Meets Level 3 plus, specific capital plan in place for cash reserves or rainy day funds. Local income tax accounts for less than 35% of revenue.**
4. Financial Stability – Debt & Long-term Trends	**Debt service expenditures account for more than 30% of annual budget expenditures (all funds). The library is in an area affected by [property tax cap losses](#) in excess of 2.5% of levy and declining population.**	**Debt service expenditures account for more than 30% of annual budget expenditures (all funds), but the library is not in a district affected by [property tax cap losses in excess of 2.5% of levy](#).**	**Debt service expenditures account for less than 30% of annual budget expenditures (all funds) and the library may or may not be in a district affected by [property tax cap losses](#) in excess of 2.5% of levy.**	**Debt service expenditures account for less than 30% and is in a district not affected by [property tax cap losses in excess of 2.5% of levy](#). The library is located in a region with stable or growing population.**

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LIBRARY SERVICES

Item	Level 1	Level 2	Level 3	Level 4
1. Library Service & Community Responsiveness	The library provides routine library programming and participates in resource sharing, as appropriate.	Meets Level 1, plus library is responsive to community needs in service planning. Library meets all state requirements for operating hours (e.g. evenings, weekends).	Meets Level 2, plus library provides services in the community (outside physical bounds of library).	**Meets Level 3, plus the library participates in community partnerships and planning (i.e. serving on boards, coalitions, etc.).**
2. Technology & Innovation	Library provides the **minimum internet speed and bandwidth** sufficient for the staff and public needs in the building to meet the demands throughout the day.	Meets Level 1, plus technology is **integrated into user experience** (checkouts, e-materials, mobile capability). The library offers public technology training.	Meets Level 2, plus **assesses and updates** new technologies as they become available and **adopts as appropriate** to the community.	**Meets Level 3, plus the library is seen as a leader in technology and provides opportunities and space to explore new technology.**
3. Outcome Measurement	**The library is familiar with outputs and reports circulation, visits, attendance, card holders, computer use, or the outputs as required.**	**The library is familiar with outputs and reports the outputs and uses them informally for the purpose of program monitoring and improvement.**	**The library uses outputs and outcomes in developing its own specific program measures (i.e. target attendance or participation) for the purpose of program monitoring and improvement.**	**Meets Level 3, plus Board and staff monitor the development of short- and long-term outcomes, and use them for continued improvement.**

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EXTERNAL RELATIONS

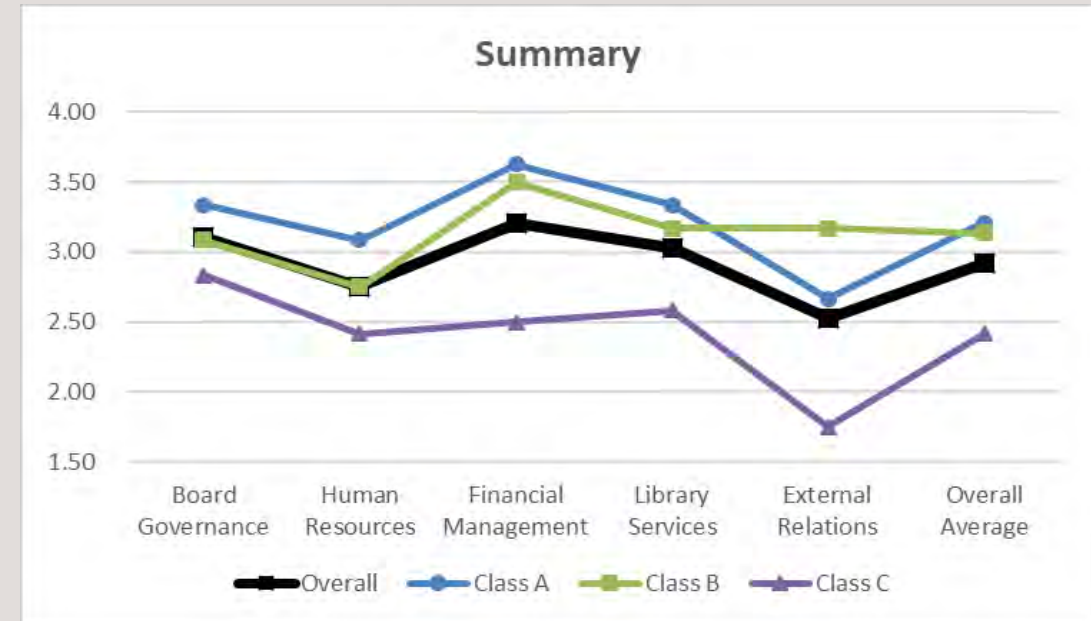| Item	Level 1	Level 2	Level 3	Level 4
1. Website & Communications	The library's **website is discoverable and includes hours of operation, address, map, phone number, email, INSPIRE link, public service policies (circulation, fees, internet use), online public access catalog, and a calendar of events (including board meetings)**.	Meets Level 1, plus website includes **board meeting minutes and other library publications**.	Meets Level 2, plus **regularly updated website, social media, and print or electronic newsletter.**	**Meets Level 3, plus communications are reflective of the current needs of the community and the current strategic plan. Ability to target communications to specific audiences.**
2. Community Leader Presence	The library leaders (director, staff, trustees) **do not participate in events or meetings external to the library.**	The library leaders (director, staff, trustees) **participate in events or meetings external to the library.**	Meets Level 2, plus the library leaders (director, staff, trustees) are **engaged in one or more local boards/community initiatives**.	**Meets Level 3, plus the library leaders (director, staff, trustees) are recognized leaders in one or more local boards/community initiatives. The library presents at community meetings.**
3. Policymaker Contacts/ Relationships	**Library does not know/have relationships with elected officials on fiscal body, state or federal legislators. The library does not attend meetings of fiscal and appointing bodies.**	**Library knows/has positive relationship with at least one elected official on fiscal body, state or federal legislators. The library attends or presents information to fiscal and appointing bodies, as allowed.**	**Library has periodic communications with elected officials on fiscal body, state and federal legislators. The library presents to fiscal and appointing bodies annually, as allowed.**	**Library has regular communications and relationships with elected officials on fiscal body, state and federal legislators. The library presents to fiscal and appointing bodies annually, as allowed.**

WHO SHOULD COMPLETE IT FOR THE LIBRARY

- ILF seeks only 1 submission per library

- **Library Director, Director's designee, exercise with Library Staff** Leadership Team, exercise with Library Board

- When the staff of some libraries are more involved in ILF than the Director, the PL2030 team members may reach out to the Director to explore completion by the staff.

- **Goal is 75% participation from Indiana's public libraries.**

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WHAT DID WE LEARN IN THE PILOT?

Late last year, the members of the PL2030 Committee and the IPLA Advisory Board piloted the self-assessment instrument. The initial pilot broke down evenly with 4 each from Class A, B, and C libraries. Initial findings:

- Financial management and Board Governance received the **highest ratings** across libraries.

- Human Resources and External Relations received the **lowest ratings** across libraries.

- The **biggest variance** between types of libraries were in Financial Management and External Relations.

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HOW WE IMPROVED THE TOOL AFTER THE PILOT

- **Revised criteria that was skewed.** The first version of the tool skewed toward larger, or better resourced, libraries as "thriving" in certain categories based on initial criteria included.
  - Therefore, the REVISED self-assessment replaced those criteria with elements that illustrate how ANY size library is able to thrive.
  - We accept that some libraries may not be able to score beyond a level 1 or 2, because some libraries are challenged to maintain the Public Library Standards as set by Indiana State Library based on resource availability.
- **Increased clarity related to Public Library Standards.** The PL Standards are generally associated with Level 1 or 2. A library must go beyond meeting the minimum standards to attain a Level 3 or 4.

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NEXT STEPS

We invite all libraries to participate.

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YOUR CRITICAL ROLE IN NEXT STEPS

- **Completing the assessment**
  - Decide who will complete it: director only, leadership, assign staff for parts.
  - Complete the self-assessment by May 29 (6 weeks).
  - Submit to ILF on survey instrument.
- **Identifying areas of need *during* the self-assessment**
  - If something is unclear, you may reach out to PL2030 Committee or ILF staff Lucinda or Megan.
  - The survey instrument allows you to request assistance with a specific area (i.e., ILF has an informal "budget tactical team" to help libraries with specific budgeting questions. The PL2030 Committee identifies specific experts with each area.
- **Using the information** - ILF will aggregate the data and information, with the intent to use information to shape professional development offerings, training and technical assistance, and lobbying for needed resources.

PL2030

PUBLIC LIBRARY SUSTAINABILITY

Library Self-Assessment

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