

## MEMORANDUM

FOR INFORMATION

To Senate

From Senate Committee on Agenda and Rules

Subject (a) For Information - Annual Report, Senate Library Committee S.79-121

Date December 31, 1979

- (b) Report to President, Library -  
Senate Committee on University Budget S.80-12 A
- (c) Report to President re S.L.C. Report and  
the SCUB Report in (1) and (2) respectively -  
Chairman, S.L.C. S.80-12 B

For the Senate meeting of December 3, 1979 copies of the Annual Report, Senate Library Committee, S.79-121 were distributed. At the December meeting it was agreed that the item be deferred until the January 1980 meeting, pending availability of the Library Report of the Senate Committee on University Budget and of possible further comments from the Senate Library Committee.

The latter two documents are distributed herewith as S.80-12 A and S.80-12 B respectively. Please bring forward from the December meeting of Senate paper S.79-121 for January.

The Senate Committee on Agenda and Rules recommended that an informal discussion of these three reports occur and that the time of the discussion be limited to 30 minutes. The discussion should concentrate on the academic policy issues raised in the reports rather than on the budgetary recommendations or the statistical disputes.

Academic policy issues identified in the reports include the following:

1. Determination of the necessary and actual quality of the Library collection.
2. Determination of the optimal hours of operation for the Library and the level of provision of services.
3. Priorities to be assigned to the quality of the collection and the quality of services.
4. The relative importance of serials vs. monographs and retrospective monographs vs. current monographs.
5. Support for new programs vs. support for established programs.

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6. Access to collections, in various forms, in other libraries.
7. The need for a formal statement of Library objectives and more formally articulated Library policies.

Many, if not all, of the above policy issues have been discussed over several years within the Library and between the Library and the senior administration. However, Senate has rarely had an opportunity to express its views on these important issues. SCAR's proposal for informal discussion is intended to provide the opportunity for advice to be given to the administration and the Senate Library Committee.

S. 80-12A

# SIMON FRASER UNIVERSITY

## MEMORANDUM

To Dr. K. G. Pedersen  
President  
Subject Library

From Senate Committee on the  
University Budget  
Date November 14, 1979

### INTRODUCTION

In a meeting of S.C.U.B. on February 7, 1979, you outlined a number of areas in which the Committee might play a role.

These included:

- (1) Input on Operating Budget submissions to U.C.B.C.
- (2) Examination and evaluation of various university operations where increased operating support is desirable or decreases can be accommodated.
- (3) Examination of costs of new programs and new course proposals.
- (4) Input on Capital Budget submissions to the U.C.B.C.
- (5) Exploration of ways in which to improve the efficiency of university operations.

In the ensuing months the Committee has concentrated its efforts in the second area. To this end, the Committee first identified the major resources essential for an excellent university:

- Library
- Computing services
- Graduate program support
- A faculty well qualified in teaching and research

While it could have chosen to examine the adequacy of support in any of the above areas, the Committee concluded that the area presently eliciting the greatest concern within the University community was the Library. It therefore chose to examine the needs of this unit in some detail. Our report follows.

## OVERVIEW<sup>\*</sup>

The Library serves a broad clientele - Simon Fraser University students and faculty; regional college students and staff; alumni; and the public at large. Within its mandate, it offers a variety of services. These can be identified in two broad categories:

### A. Collections

- (1) undergraduate
- (2) graduate
- (3) research

### B. Public Service

- (1) general reference
- (2) machine literature search
- (3) inter-library loan
- (4) other
  - (a) map room
  - (b) special collections room
  - (c) serials reading room
  - (d) reserve book room

The importance of the Library's collection is well recognized. Equally significant, however, is the public services area which enables the University community and others not only to use the collection effectively but also to gain access to the holdings of other libraries. The inter-library loan service and the services for bibliographic searches are particularly critical. Production of paper copies of microfilmed material are gaining prominence as reliance on film and the union catalogue increase.

In preparing its annual budget request and apportioning the actual funds received, the challenge faced by the Library lies in assessing the adequacy of current financial support

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<sup>\*</sup> This section provides a general description of Library activities; no budgetary implications are implied.

provided to each of the above areas and their relative influence in serving the Library's various clientele. The challenge is exacerbated by two factors. First, the absence of University policy directives regarding the priorities to be assigned to various functions and services within the Library's mandate. Second, the limited availability of quantitative measures which can be used to judge the adequacy of current support levels.

This report seeks to accomplish three objectives. First, to offer some assessment of the adequacy of the current level of collections and services offered by the Library. Second, to provide a source-documented set of statistics which can provide a realistic basis for assessing the level of current and future Library support. Third, to offer a set of recommendations designed in part to facilitate assessment of the Library's requirements.

#### ANALYSIS

The Committee began its examination by first meeting with the University Librarian, Ted Dobb, and the Chairman of the Library's Collection Development Committee, L. Thomas. This was followed by a meeting with the Faculty Deans who were asked to describe the perceptions of their Faculties regarding the adequacy of current support for the Library's activities. There was general agreement among these parties on the following:

First, the collection satisfactorily supports undergraduate studies and can be called a "good" collection for undergraduate purposes.

Second, the status of the collection for graduate work and research is more controversial. It is clearly not a great collection in the

sense that Harvard, or even U.B.C., have great research collections. Whether it is in fact a "good" collection for these purposes elicits a mixed reaction.

Third, the inter-library loan service is valuable to members of the University community. The current limitations on its use, e.g. number of requests, number of items which can be ordered on one request, the detail required in submitting a request, and the slowness of the mail services, suggest a need to examine further the adequacy of resources currently provided to this service.

Fourth, the machine literature search service exists only in a fledgling state and is costly.\*

Deans and librarians are agreed that during the first ten years of its history, the Library built a good collection to support the teaching and research activities of the University; that it has done a good job of maintaining the collection and services under the reduced funding levels of recent years; but that the quality of the collection will begin to deteriorate severely unless the University is able to provide increased financial support sufficient to compensate for continuing inflationary increases and exchange rate differentials. To assess the validity of the above assertion, an evaluation of the Library's budgetary situation is required.

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\* These comments refer only to the machine literature searches initiated by an individual; they do not refer to the subscriptions from individual faculty members for monthly receipt of new publications in specific disciplines or sub-disciplines.

## METHODOLOGY

For purposes of the following analysis, a choice exists between two basic but different sets of financial statistics. One option is to use budget allocations, the other to use actual expenditures. Both options are equally valid. Problems arise when one displays both budget and operating expenditure data for there are items included in one which are excluded from the other (a listing of the differences for the Library is shown in Attachment 1). Further, staff counts will vary since there is no agreement on a method for converting part-time into full-time equivalent appointments.

The following financial analyses reflect budget data only. Staff counts reflect those prepared by the Budget Office. Data on library volumes is based on that prepared by the Library staff.

The Ontario universities have developed book and periodical indices which we have applied to S.F.U. library monograph\* and serial budgets.

A survey of Ontario university libraries found that the majority of the books purchased by the libraries were American (it is estimated that over 80% of S.F.U. monographs and journals are obtained from the U.S.). A widely used index for U.S. books is available; the Bowker Annual of Library and Book Trade Information contains a price index based on average prices of U.S. hardcover trade and technical books.

The main index for periodicals is also American. The Bowker Annual price indices are based on average prices of U.S. periodicals.

The indices developed by the Ontario universities take the Bowker indices and convert them to Canadian figures by adjusting for the Canadian-U.S. exchange rate.

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\* Monographs consist of unique titles not published in serial form.

The graphs reflect historical data from 1970/71 but comparative analyses have been normalized to the levels of 1974/75. The choice of 1974/75 is arbitrary but based on the following rationale. During the first ten years of the University, the Library was in the process of building its collection. During that period, major budgetary allocations were provided the Library in order that its collection acquisitions could go forward as rapidly as possible. After ten years, it seems reasonable that the same budgetary level for collections would not be required as in previous years. Further, 1974/75 was a year in which the University was generously funded by the Provincial Government and this was reflected in the Library budget in total and in the acquisitions component.

#### ANALYSIS

Graph #1 displays from 1970/71 the Library budget as a proportion of the University operating budget. As one would expect, the proportion has declined for as the University adds new programs, departments and services, the relative proportion of the operating budget accruing to any one unit will likely reflect a decline similar to that for the Library.

It should be emphasized that there is no a priori relationship between increases in the Library budget and either the provincial operating grant or the University operating budget. What is at issue is whether the Library has, is and will receive levels of operating support sufficient to meet the needs of the University community.

What has the Library done with the monies it has received? This requires an examination of the various components of the Library's budget.

1979/80 LIBRARY OPERATING BUDGET

| <u>ITEM</u>          | <u>1979/80<br/>BUDGETED</u> | <u>PROPORTION OF 1979/80<br/>LIBRARY BUDGET</u> |
|----------------------|-----------------------------|-------------------------------------------------|
| - salaries           | 2,070,000                   | 61.5                                            |
| - operating expenses | 401,000*                    | 8.3                                             |
| - acquisitions       |                             |                                                 |
| - monographs         | 255,500                     |                                                 |
| - serials            | <u>640,400</u>              |                                                 |
| - total acquisitions | 895,900                     | 30.2                                            |
| TOTAL                | <u>\$3,666,900</u>          | <u>100.0</u>                                    |

\* Includes book binding of \$121,000.

The salaries component of the Library budget is a function of two variables: rates of pay and staffing levels. Despite a steady decline in the number of staff employed in the Library (Graph #2), there was a steady increase in the salaries budget through 1977/78; the last two years have reflected almost no change (Graph #3). The introduction of the tattletale system and elimination of the card catalogue were justified on the basis of their projected labour and shrinkage savings and these have contributed, in part, to the overall reduction in staff. Like many other units of the University, the salaries component of the Library budget has consistently increased at a faster rate than the total budget, a point to be examined further.

The operating component of the Library's budget reflects its non-salary expenses in such areas as materials and supplies, travel, audio visual services, repairs and alterations, equipment maintenance, book binding, etc. In recent years, its annual rate of increase has consistently been greater than increases in the total Library budget. Reflecting this relative rate of growth, the proportion of the Library budget devoted to non-salary operating expenditures in 1979/80 stands at 11.9% compared with 9.5% in 1974/75, an increase of 2.4%. This situation is surprising

since in many other units of the University, it is non-salary operating expenses which have been most adversely affected. One possible reason is that book binding costs are included in this category and are increasing as the collection grows and ages. A second relates to cataloguing expense. In 1977, it was decided to have cataloguing for the Simon Fraser University Library handled by the University of Toronto using computer terminals. This decision reduced the salary component of the Library budget by approximately \$100,000. However, the contracting-out costs associated with the University of Toronto arrangement (telephone lines, storage, computer usage) are roughly equivalent to the previous salary commitment. Without this re-allocation from salary to non-salary expense, rates of increase would have been less than increases in the total Library budget and the proportion of the Library's budget devoted to non-salary expenses would have declined in the period under examination.

The third major component of the Library's budget is acquisitions which can be further sub-divided into serials and monographs. Percentage increases in the serials budget have closely followed percentage increases in the overall Library budget. Percentage changes in monograph budgets, on the other hand, reflect a different picture. Following an increase in 1975/76, the monographs budget dropped sharply in 1976/77 and 1977/78, showed a slight increase in 1978/79 with a slight decline in 1979/80. In constant dollar terms, the situation is actually much worse than that reflected in Graph #3 for the effects of inflation and exchange rate differentials have been severe, another issue we will return to subsequently.

Graph #4 reflects the relative proportion of the total Library budget annually allocated to its three primary components: salaries, acquisitions and non-salary operating expenditures.

Rates of pay for Library personnel are outside the Library's control. Staffing levels within the Library are discussed and agreed to by the University Librarian and the Vice-President Academic. The salaries component of the Library budget will, therefore, reflect staffing levels as of March 31st adjusted for any increase or decrease in staffing levels agreed to by the V.P. Academic and the University Librarian. For the remainder of the Library budget - operating expenses and acquisitions - an amount is budgeted which reflects the needs of the Library relative to the needs of all other operating units of the University. Within this amount, Library personnel have responsibility and authority to allocate between serial acquisitions, monograph acquisitions and operating expenses.

The number of major serial subscriptions has remained relatively fixed in the last five years - 13,507 subscriptions in 1975/76 versus 13,710 in 1979/80. To limit the ever-growing budgetary commitment to journals, the Library several years ago began to require deletion of an existing subscription(s) of equal monetary value for each new one ordered. This policy has resulted in an exchange of 1,200 journals. While this restraint is impressive, it should be noted that given a current faculty budgetary complement of 482, there are 28 unique major journal subscriptions per faculty member.

The non-salary operating budget represents both a significant dollar sum and proportion of the overall Library budget. Because of book binding, cataloguing, and related commitments, opportunities for major re-allocations are limited.

In summary, within the total dollars annually allocated to the Library:

- the salaries component is fixed by agreement between the University Librarian and the Vice-President Academic;
- the subscription budget is determined and fixed by the number of journal subscriptions, and
- the operating budget offers few opportunities for major re-direction and re-allocation.

This leaves the remainder to be budgeted for monographs. The result is depicted in Graph #3.

The financial difficulties associated with the acquisitions budget have been compounded by the eroding effects of inflation and exchange rate differentials. Using 1974/75 as a base year and applying the Ontario University monograph and serials indices, Graphs 5 and 6 depict the dollars necessary in each year to maintain the same monograph and serial purchasing power as in 1974/75. More specifically, the Library has budgeted in 1979/80, \$255,500 for monograph acquisitions and \$640,400 for serials acquisitions. For the Library to have the same purchasing power in these two areas as in 1974/75, it would have been necessary to budget \$640,000 and \$660,000 respectively. While it may not have had much choice in the matter, the Library has maintained the purchasing power for serials acquisitions; the same cannot be said for monographs.

A factor thus far ignored in these comparisons is the growth of the University in students, faculty and programs. All three variables should have in some degree, influenced the Library budget. To quantify the relationship, however, would have required the development of a sophisticated model which the Committee did not feel justified in pursuing. It must suffice, therefore, for the Committee simply to assert that the difference between acquisition budgets and real dollar budgets would have been even greater had University growth been taken into consideration.

A final analysis required is the position of Simon Fraser University's Library relative to those of comparable university libraries elsewhere. Tables 2 - 4 address this question based on analyses supplied by individual universities and compiled by the Canadian Association of University Business Officers (CAUBO). Since CAUBO data is based on expenditures

and uses different definitions for some of the categories, comparisons with other data in this report cannot be made. The institutions selected for comparison purposes represent those whose full-time equivalent student enrollment fall in the same range as Simon Fraser, i.e. 10,000 - 15,000.\*

As a percentage of total operating funds expended for libraries, Simon Fraser has, since 1973/74, ranked 1st, 2nd, 3rd, or 4th among the 13 institutions represented (Table 2).

A disaggregation by major line item category reveals some very real differences. Specifically, in the percentage of total operating funds expended for books and periodicals, it appears that Simon Fraser has slipped significantly relative to the other institutions in the sample. However, in 1973/74, four institutions had the same percentage. Thus, one could just as easily argue that S.F.U. in that year ranked 8th as 5th; a similar situation applies in 1975/76. Thus, it is more reasonable to assert that S.F.U. has held its position in the middle of the group of 13 institutions over the five year period.

Another form of disaggregation is to examine the per cent distribution of major line item categories for each university library in the sample for one year only (Table #4). Of the 13 institutions represented, S.F.U. in 1977/78 ranked 2nd in expenditures for salaries and wages, 4th in supplies and expenses, and 12th in books and periodicals.

In summary, on an overall basis Simon Fraser's Library fares very well relative to a sample of libraries in comparable sized universities across the country. In terms of major expenditure categories, however, Simon Fraser encompasses the spectrum - very high on salaries, contracted services, furniture and equipment (primarily computer software rental and use charges), above average on supplies and expenses, and very low on books/periodicals.

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\* The Universities of Victoria and British Columbia have been included for information even though they do not fall within the same enrollment size range as S.F.U.

## CONCLUSIONS

From the previous analysis, several facts emerge:

First, the Library operating budget as a percentage of the University operating budget has experienced a steady downward trend since 1970/71.

Second, the number of Library staff has steadily declined since 1970/71.

Third, despite the reduction in staff, the Library salary budget has, in recent years, increased at a faster rate than the Library budget. The same holds true for the operating component of the Library budget.

Fourth, the constant dollar purchasing power (in 1974/75 dollars) of the serials component of the Library budget has been reasonably well maintained.

Fifth, the constant dollar purchasing power (in 1974/75 dollars) of the monographs component of the Library budget continues to be sharply eroded.

There can be no challenging these facts. However, without placing them in a broader context, it would be erroneous and grossly misleading to draw conclusions from them alone.

The Library is far from alone in having its budget comprise a declining proportion of the University budget. The University has chosen to add many new services, activities and programs which require additional financial resources. This in turn has meant that the relative proportion of the University budget allocated to existing activities has declined. It follows that the greater the number and magnitude of new financial commitments, the more rapid will be the decline in the relative proportions allocated to existing activities.

The introduction of the tattletale system and elimination of the card catalogue were justified on the basis of their projected labour and shrinkage savings and these have contributed, in part, to the overall reduction in staff.

The proportion of the University budget allocated to salaries has risen from 67% to over 80%. The Library is clearly not alone in having the salary component of its budget rise more rapidly than its total budget. The rise however, is not as sharp as would have resulted had there not been a decrease in the number of staff.

Inflation and exchange rate differentials have seriously affected the constant dollar purchasing power of the Library. Despite considerable effort, the Library has not been successful in getting faculty to agree to a reduction in the number of journal subscriptions.

With the salary component reflecting agreed upon staffing level, a fixed number of journal subscriptions, and a relatively fixed operating budget, the only major discretionary part of the Library budget is monograph acquisitions. The product of this situation is clearly reflected in the monograph acquisition trend lines depicted in the previous section.

The analyses clearly support the assertion of the Faculty Deans and the Librarians that the monograph collection represents the most serious problem area for the Library. Inflation, exchange rate differentials, limited University budget increases, and pressing internal resource demands, will limit the ability of the University to provide support sufficient to bring the monograph collection to a more desirable position. This University will be increasingly dependent on other libraries to make materials from their collections available to us. Thus, it is important that the future needs of the monograph collection be considered not in isolation but in conjunction with those resources required to make more

accessible to us the collections of others, specifically, a machine literature capability to assist individuals in identifying their needs and an inter-library loan service to ensure an efficient and effective mechanism for exchange of library resources.

How are these needs to be met? It would be easy and probably defensible for the Committee to recommend that more money be given to the Library. The most obvious responses to such a recommendation are: Money for what? How much? and, at whose expense?

The Committee's recommendations address the first and third of these questions. The second is almost impossible to answer for there are no quantifiable indicators which can be used to determine how much money should be allocated for library services, serials, monographs and operating expenses. These will remain subjective judgments reflecting total university resources and competing demands.

In formulating its recommendations, the Committee took cognizance of the following three variables:

First, in each of the last five years, the S.F.U. Library has received a proportion of the operating budget substantially above that received by most comparable sized Canadian universities.

Second, the difficult budgetary situation anticipated by the University in each of the next three years demands that no further major expenses be incurred without concurrent savings elsewhere, and

Third, future university operating budgets will offer fewer and fewer opportunities for major budgetary re-allocations.

The recommendations follow.

## RECOMMENDATIONS

1. That a definitive statement of University Library objectives be developed coupled with priority rankings for those objectives.
2. That, as a minimum, there be no further decline in the Library Budget as a proportion of the University Operating Budget.
3. That the level of support for monographs be substantially above that available in the current year.
4. That, should there be an operating surplus, the acquisition of additional monographs receive the highest priority.
5. That a detailed examination be made of the present and future requirements for machine literature searches and inter-library loan service and a report be prepared for presentation to the Senate Committee on the University Budget.
6. That additional mechanisms be investigated for reducing substantially the number of non-essential journals.
7. That examinations similar to this one be undertaken by S.C.U.B. for other areas of the University such that eventually a set of University priorities can be established.

Why a recommendation for the establishment of objectives and priorities for the Library? Simply stated, demand exceeds supply. Librarians and others have helped to identify a set of possible objectives (Attachment B). All of them cannot equally be met within available resources; further, there is no apparent consensus within the University community on either the objectives or their relative importance. Without agreement on objectives, intra-library priorities, and intra-university priorities, it is high impossible to propose rational and defensible budgetary recommendations. The past four months controversy concerning the appropriateness of this year's Library allocation amply supports this conclusion.

Notwithstanding the absence of objectives and priorities, the Committee believes that the seriousness of the situation warrants the inclusion of recommendations 2 - 7.

The Committee is convinced that the number of current serial subscriptions is excessive when viewed in the context of the serious financial constraints facing the Library and the University. While there are many serial subscriptions which must be available within our own Library, there are many for which their availability and accessibility either at the University of British Columbia or within the Province would suffice. The sixth recommendation addresses this issue.

Finally, while the path leading to the presentation of this report has been long and, at times, frustrating, the Committee feels that its efforts will make a significant contribution in understanding of the Library - its operation, funding, problems, and role in the University community. Similar efforts will, we hope, be equally rewarding.

JSC:dw

TABLE 1  
UNIVERSITY LIBRARY - BUDGET ANALYSIS

| <u>ITEM</u>                                       | <u>1970/71</u>     | <u>1971/72</u>     | <u>1972/73</u>     | <u>1973/74</u>     | <u>1974/75</u>      | <u>1975/76</u>      | <u>1976/77</u>      | <u>1977/78</u>      | <u>1978/79</u>      | <u>1979/80</u>      |
|---------------------------------------------------|--------------------|--------------------|--------------------|--------------------|---------------------|---------------------|---------------------|---------------------|---------------------|---------------------|
| Provincial Operating Grant - \$<br>Index          | 18,111,000<br>70.1 | 18,449,000<br>71.4 | 19,900,000<br>77.1 | 21,340,000<br>82.6 | 25,823,750<br>100.0 | 33,044,000<br>128.0 | 37,739,000<br>146.1 | 41,234,407<br>159.7 | 44,131,000<br>170.9 | 48,523,000<br>187.9 |
| University Operating Budget - \$<br>Index         | 21,084,000<br>71.0 | 21,549,000<br>72.6 | 22,958,374<br>77.4 | 24,523,000<br>82.6 | 29,679,750<br>100.0 | 37,122,000<br>125.1 | 43,100,000<br>145.2 | 47,424,000<br>159.8 | 50,924,020<br>171.6 | 55,972,162<br>188.6 |
| University Library Budget - \$<br>Index           | 1,859,366<br>90.1  | 1,647,842<br>79.9  | 1,775,346<br>86.0  | 1,810,071<br>87.7  | 2,063,600<br>100.0  | 2,384,000<br>115.5  | 2,893,000<br>140.2  | 3,045,000<br>147.6  | 3,117,528<br>151.1  | 3,366,900<br>163.2  |
| % of University Budget                            | 8.8                | 7.6                | 7.7                | 7.4                | 7.0                 | 6.4                 | 6.7                 | 6.4                 | 6.1                 | 6.0                 |
| Salaries Budget - \$<br>Index                     | 983,020<br>80.5    | 1,038,384<br>85.1  | 1,036,686<br>84.9  | 1,134,406<br>92.9  | 1,220,706<br>100.0  | 1,384,925<br>113.5  | 1,825,250<br>149.5  | 2,070,776<br>169.6  | 2,032,448<br>166.5  | 2,070,000<br>169.6  |
| % of Library Budget                               | 52.8               | 63.0               | 58.4               | 62.7               | 59.1                | 58.1                | 63.1                | 68.0                | 65.2                | 61.5                |
| Operating Budget - \$<br>Index                    | 226,346<br>130.9   | 161,080<br>93.2    | 180,960<br>104.7   | 155,655<br>90.0    | 172,894<br>100.0    | 226,575<br>131.9    | 240,450<br>139.1    | 297,224<br>171.9    | 305,698<br>176.8    | 401,000<br>231.9    |
| % of Library Budget                               | 12.2               | 9.8                | 10.2               | 8.6                | 8.4                 | 9.5                 | 8.3                 | 9.8                 | 9.8                 | 11.9                |
| Acquisitions Budget - \$<br>Index                 | 650,000<br>97.0    | 448,428<br>66.9    | 557,700<br>83.2    | 520,000<br>77.6    | 670,000<br>100.0    | 772,500<br>115.3    | 827,300<br>123.5    | 677,000<br>101.0    | 779,382<br>116.3    | 895,900<br>133.7    |
| % of Library Budget                               | 35.0               | 27.2               | 31.4               | 28.7               | 32.5                | 32.4                | 28.6                | 22.2                | 25.0                | 26.6                |
| Monographs Budget - \$<br>Index                   | 337,910<br>100.4   | 165,250<br>49.1    | 277,100<br>82.3    | 267,200<br>79.4    | 336,570<br>100.0    | 375,000<br>111.4    | 341,735<br>101.5    | 258,500<br>76.8     | 268,632<br>79.8     | 255,500<br>75.9     |
| Serials Budget - \$<br>Index                      | 312,000<br>93.6    | 283,188<br>84.9    | 280,600<br>84.2    | 252,800<br>75.8    | 333,430<br>100.0    | 397,500<br>119.2    | 485,565<br>145.6    | 418,500<br>125.5    | 510,750<br>153.2    | 640,400<br>192.1    |
| Ontario Univ. Book Index<br>Annual % Change       | 88.3<br>-          | 97.1<br>9.9        | 93.5<br>(3.7)      | 88.5<br>(5.3)      | 100.0<br>13.0       | 119.5<br>19.5       | 124.5<br>4.1        | 148.2<br>19.1       | 174.8<br>17.9       | 193.9<br>10.9       |
| Ontario Univ. Periodical Index<br>Annual % Change | 62.8<br>-          | 68.0<br>8.3        | 75.6<br>11.3       | 93.5<br>23.7       | 100.0<br>6.9        | 117.1<br>17.1       | 128.2<br>9.5        | 151.0<br>17.8       | 178.2<br>18.0       | 197.6<br>10.9       |

## UNIVERSITY LIBRARY - BUDGET ANALYSIS - Table 1

| ITEM                                  | 1970/71 | 1971/72 | 1972/73 | 1973/74 | 1974/75 | 1975/76 | 1976/77 | 1977/78 | 1978/79 | 1979/ |
|---------------------------------------|---------|---------|---------|---------|---------|---------|---------|---------|---------|-------|
| Faculty - #                           |         |         |         | 348     | 356     | 388     | 424     | 442     | 456     | 462   |
| Classified Volumes - # <sup>4</sup>   |         |         |         |         | 452,371 | 486,208 | 509,604 | 540,031 | 566,618 |       |
| Index                                 |         |         |         |         | 100.0   | 107.5   | 112.6   | 119.4   | 125.3   |       |
| Unclassified Volumes - # <sup>5</sup> |         |         |         |         | 76,343  | 83,466  | 88,331  | 96,760  | 99,744  |       |
| Index                                 |         |         |         |         | 100.0   | 109.3   | 115.7   | 126.7   | 130.7   |       |
| Total Volumes - #                     |         |         |         |         | 389,356 | 417,693 | 436,802 | 467,168 | 487,224 |       |
| Index                                 |         |         |         |         | 100.0   | 107.3   | 112.2   | 120.0   | 125.1   |       |
| University Library Staff - #          | 168     | 155     | 144     | 146     | 141.5   | 138.5   | 128.5   | 129     | 126     |       |

## SOURCES:

- (1) Provincial Operating Grant: University Financial Statements  
 (2) University Operating Budget: S.F.U. Annual Budget Applications - Source and Application Funds  
 (3) University Library Budget: S.F.U. Annual Budget Applications - Library Budget Summary

## Library Budget

- (4) Salaries  
 (5) Operating  
 (6) Acquisitions
- S.F.U. Annual Budget Applications - Library Budget

- (7) Monographs Budget  
 (8) Serials Budget
- Provided by Head of Acquisitions, Library

- (9) Ontario Universities Book Index  
 (10) Ontario Universities Periodical Index

Ontario University Non-Salary Price Index, Council of Ontario Universities, February, 1978

- (11) Number of Faculty: Office of Analytical Studies

## Volumes

- (12) Monographs  
 (13) Serials  
 (14) Total

Provided by Collections Librarian, Library

## Notes:

- (1) Includes book binding  
 (2) Determined by taking the U.S. based Bowker Annual Price Index for books and adjusting it for U.S./Canadian exchange rate differentials.  
 (3) Determined by taking the U.S. based Bowker Annual Price Index for periodicals and adjusting it for U.S./Canadian exchange rate differentials.  
 (4) Represents the total of monograph and serials volumes.  
 (5) Reflects the bound, unclassified materials.

TABLE #2

% TOTAL OPERATING FUNDS EXPENDED FOR LIBRARY

| <u>UNIVERSITY</u>  | <u>1977/78</u> | <u>1976/77</u> | <u>1975/76</u> | <u>1974/75</u> | <u>1973/74</u> |
|--------------------|----------------|----------------|----------------|----------------|----------------|
| British Columbia   | 7.6            | 7.0            | 5.9            | 6.0            | 5.9            |
| Victoria           | 11.8           | 12.4           | 11.0           | 11.3           | 10.1           |
| Calgary            | 7.1            | 7.4            | 5.8            | 5.2            | 5.3            |
| Carleton           | 8.2            | 7.7            | 6.3            | 7.4            | 7.7            |
| Dalhousie          | 6.4            | 6.2            | 5.2            | 5.3            | 5.2            |
| Guelph             | 6.2            | 6.4            | 3.9            | 4.1            | 4.0            |
| McMaster           | 7.4            | 7.3            | 4.9            | 5.0            | 5.0            |
| Memorial           | 7.6            | 7.8            | 5.0            | 5.4            | 6.6            |
| Ottawa             | 6.9            | 6.8            | 6.0            | 6.2            | 6.9            |
| Quebec at Montreal | 7.1            | 6.7            | 5.6            | 6.4            | 6.8            |
| Queens             | 7.0            | 6.9            | 5.5            | 5.3            | 5.5            |
| Saskatchewan       | 6.0            | 6.1            | 4.9            | 4.7            | N/A            |
| Simon Fraser       | 7.8            | 7.5            | 7.2            | 7.6            | 7.6            |
| Waterloo           | 6.2            | 6.2            | 4.5            | 4.6            | 5.0            |
| Windsor            | 8.2            | 8.4            | 7.2            | 7.8            | 7.6            |
| S.F.U. RANKING     | 2/13           | 4/13           | 1/13           | 2/13           | 2/12           |

Note: Where duplicates occur, S.F.U. assigned highest ranking.

Source: Financial Statistics of Universities and Colleges; Prepared by Statistics Canada  
for the Canadian Association of University Business Officers.

TABLE #3

% OF TOTAL OPERATING FUNDS EXPENDED FOR BOOKS AND PERIODICALS

| UNIVERSITY         | 1977/78 | 1976/77 | 1975/76 | 1974/75 | 1973/74 |
|--------------------|---------|---------|---------|---------|---------|
| British Columbia   | 1.8     | 1.6     | 1.6     | 1.6     | 2.1     |
| Victoria           | 3.3     | 3.7     | 4.0     | 4.8     | 3.7     |
| Calgary            | 1.9     | 2.4     | 2.2     | 1.7     | 1.8     |
| Carleton           | 2.2     | 2.0     | 2.0     | 2.6     | 2.6     |
| Dalhousie          | 1.9     | 1.8     | 1.9     | 1.9     | 1.9     |
| Guelph             | 1.1     | 1.2     | 1.0     | 1.3     | 1.3     |
| McMaster           | 2.0     | 2.1     | 1.8     | 1.9     | 1.9     |
| Memorial           | 3.6     | 3.0     | 2.0     | 2.4     | 3.3     |
| Ottawa             | 1.6     | 1.6     | 1.8     | 2.1     | 2.7     |
| Quebec at Montreal | 1.4     | 1.0     | 1.6     | 1.8     | 2.3     |
| Queens             | 1.5     | 1.6     | 1.6     | 1.8     | 1.7     |
| Saskatchewan       | 1.5     | 1.6     | 1.7     | 1.7     | N/A     |
| Simon Fraser       | 1.6     | 1.7     | .0      | 2.2     | 1.9     |
| Waterloo           | 1.7     | 1.6     | 1.5     | 1.9     | 1.9     |
| Windsor            | 2.4     | 2.6     | 2.6     | 2.9     | 2.7     |
| S.F.U. RANKING     | 8/13    | 7/13    | 3/13    | 4/13    | 5/12    |

Note: Where duplicates given, S.F.U. assigned highest ranking.

Source: Financial Statistics of Universities and Colleges; Prepared by Statistics Canada  
for the Canadian Association of University Business Officers.

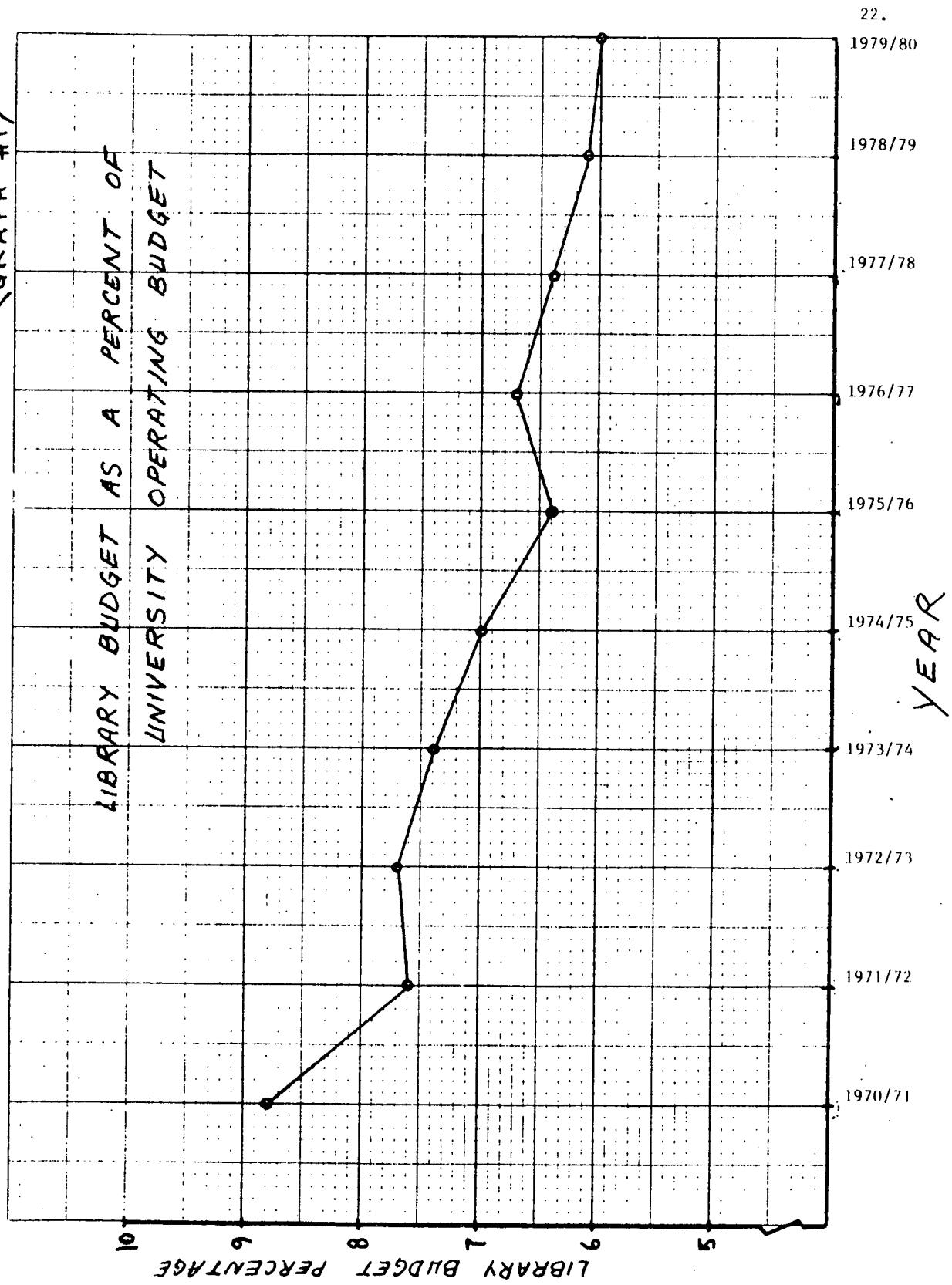
TABLE #4  
% DISTRIBUTION OF LIBRARY EXPENSES - 1977/78

| UNIVERSITY         | SALARIES<br>/WAGES | TRAVEL<br>/MOVING<br>ENTERTAIN. | BOOKS/<br>PERIODICALS | SUPPLIES/<br>EXPENSES | FURNITURE/EQUIPMENT<br>PURCHASE | RENTAL | EXT.<br>CONTRACTED<br>SERVICES | OTHER | EXT.COST<br>RECOVERIES | TOTAL | % OF TOTAL<br>OPERATING<br>FUNDS |
|--------------------|--------------------|---------------------------------|-----------------------|-----------------------|---------------------------------|--------|--------------------------------|-------|------------------------|-------|----------------------------------|
| British Columbia   | 68.9               | 0.3                             | 28.8                  | 2.6                   | 0.7                             | 0.3    | 0                              | 0.3   | (1.9)                  | 100.0 | 7.6                              |
| Victoria           | 61.6               | 0.4                             | 32.3                  | 4.0                   | 0.5                             | 1.5    | 0                              | 0     | (0.3)                  | 100.0 | 11.8                             |
| Calgary            | 59.9               | 0.2                             | 34.1                  | 7.1                   | 0                               | 1.7    | 0.2                            | 0     | (3.1)                  | 100.0 | 7.1                              |
| Carleton           | 64.8               | 0.4                             | 33.2                  | 3.1                   | 0.9                             | 0      | 0                              | 0     | (2.4)                  | 100.0 | 8.2                              |
| Dalhousie          | 58.9               | 0                               | 35.6                  | 5.9                   | 0.1                             | 1.5    | 0                              | 0     | (2.0)                  | 100.0 | 6.4                              |
| Suelph             | 64.1               | 0.4                             | 28.2                  | 3.0                   | 3.3                             | 1.0    | 0                              | 0     | 0                      | 100.0 | 6.2                              |
| McMaster           | 58.0               | 0.3                             | 36.5                  | 4.4                   | 0.8                             | 0.1    | 0                              | 0     | (0.1)                  | 100.0 | 7.4                              |
| Memorial           | 39.9               | 0.4                             | 55.4                  | 2.4                   | 1.8                             | 0      | 0                              | 0     | 0                      | 100.0 | 7.6                              |
| Ottawa             | 68.3               | 0.3                             | 27.4                  | 3.2                   | 0.4                             | 0.7    | 0.2                            | 0     | (0.3)                  | 100.0 | 6.9                              |
| Quebec at Montreal | 74.5               | 0.1                             | 21.9                  | 1.8                   | 0                               | 0.1    | 1.1                            | 0.5   | 0                      | 100.0 | 7.1                              |
| Queens             | 68.2               | 0.2                             | 27.5                  | 2.6                   | 0                               | 1.1    | 0.4                            | 0     | 0                      | 100.0 | 7.0                              |
| Saskatchewan       | 62.2               | 0.1                             | 32.7                  | 5.0                   | 0                               | 0      | 0                              | 0     | 0                      | 100.0 | 6.0                              |
| Simon Fraser       | 69.2               | 0.4                             | 23.0                  | 4.4                   | 0.5                             | 2.1    | 3.0                            | 0     | (2.6)                  | 100.0 | 7.8                              |
| Waterloo           | 64.2               | 0.2                             | 35.9                  | 2.4                   | 0.9                             | 0.1    | 0                              | 0     | (3.4)                  | 100.0 | 6.2                              |
| Windsor            | 60.4               | 0.2                             | 34.6                  | 2.9                   | 1.2                             | 0.7    | 0                              | 0     | 0                      | 100.0 | 8.2                              |
| S.F.U. RANKING     | 2/13               | 1/13                            | 12/13                 | 4/13                  | 5/13                            | 1/13   | 1/13                           | -     | 3/13                   | -     | 2/13                             |

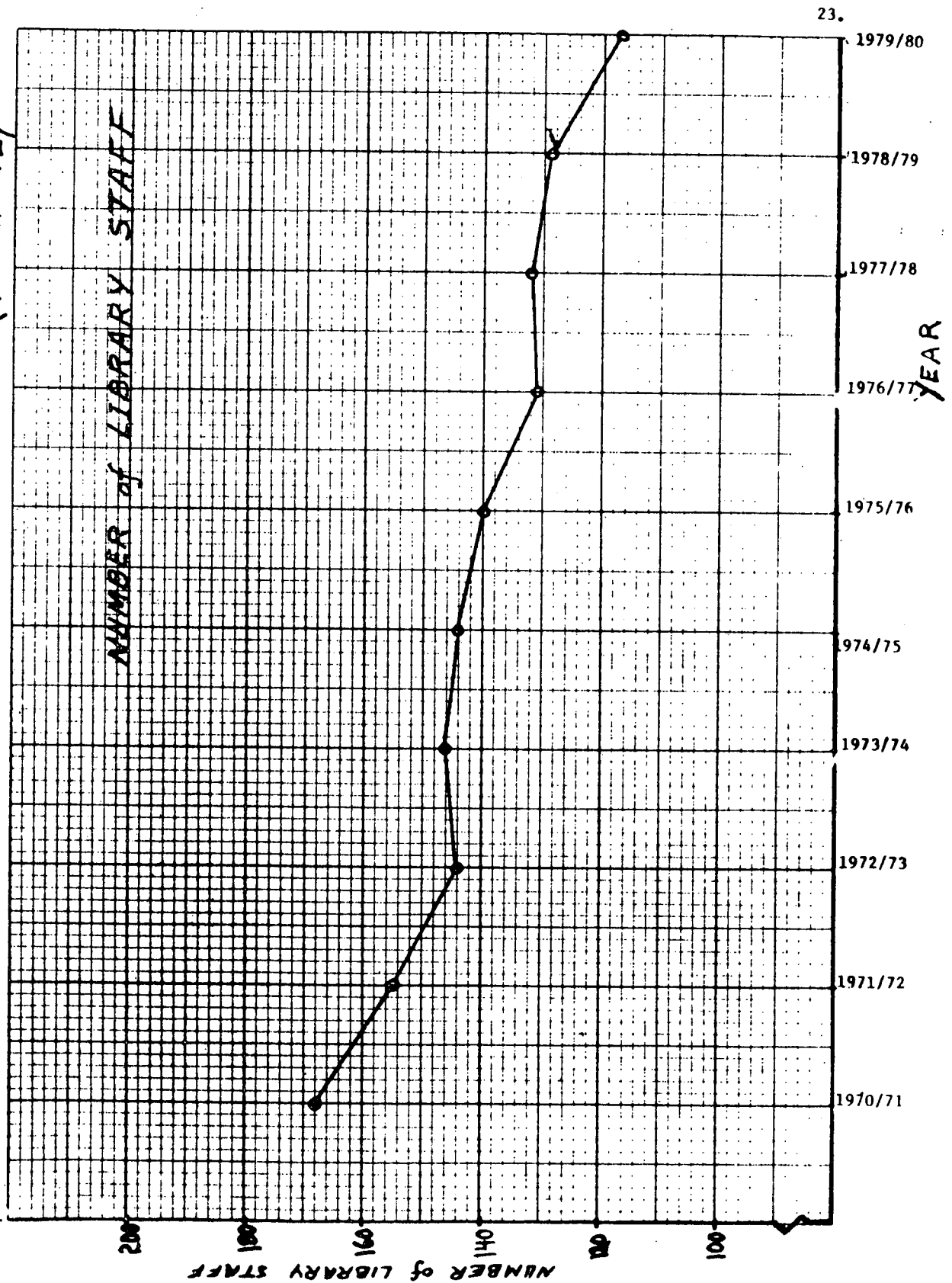
Note: Where duplicates occur, S.F.U. assigned highest ranking.

Source: Financial Statistics of Universities and Colleges; Prepared by Statistics Canada for the Canadian Association of University Business Officers.

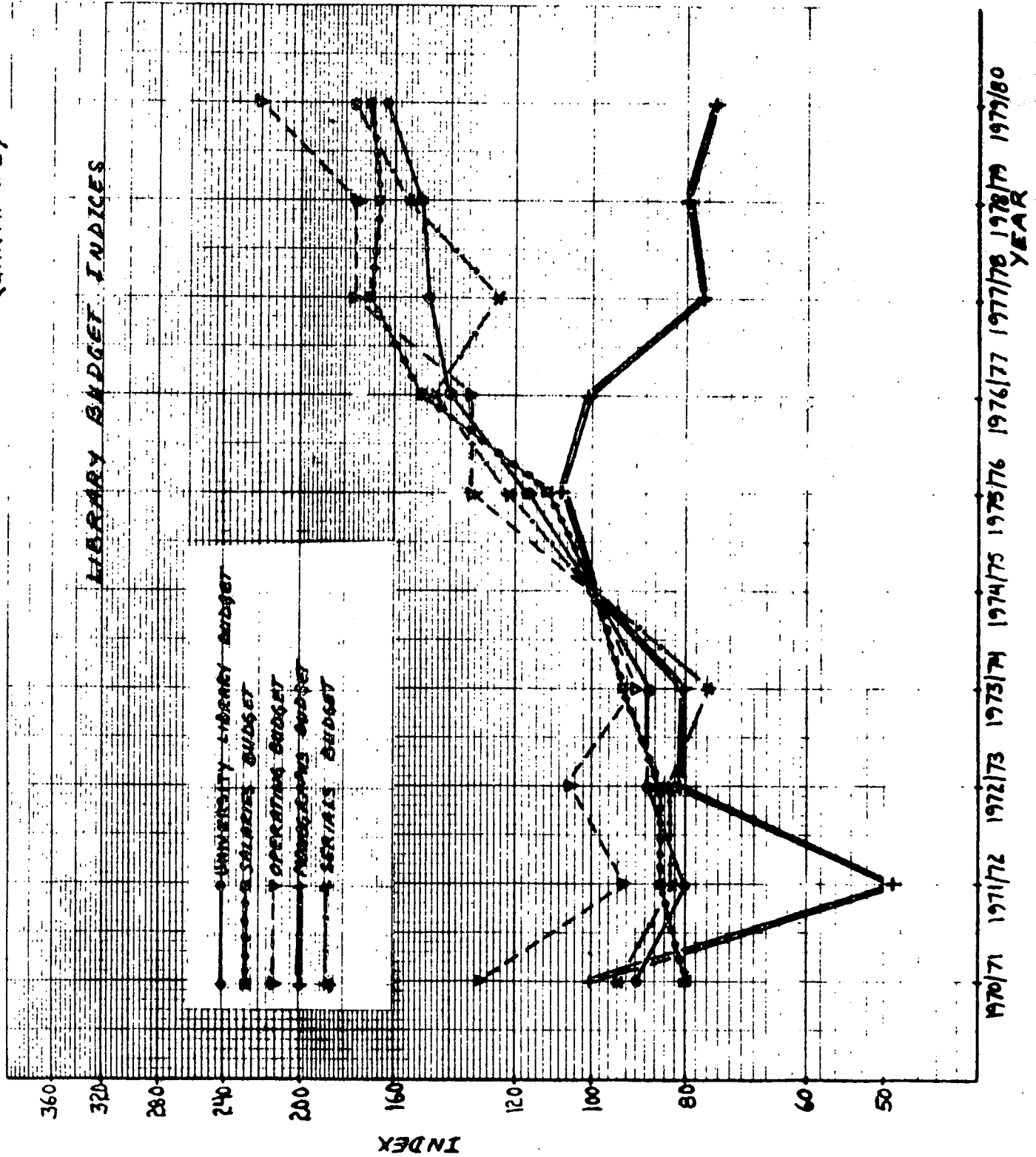
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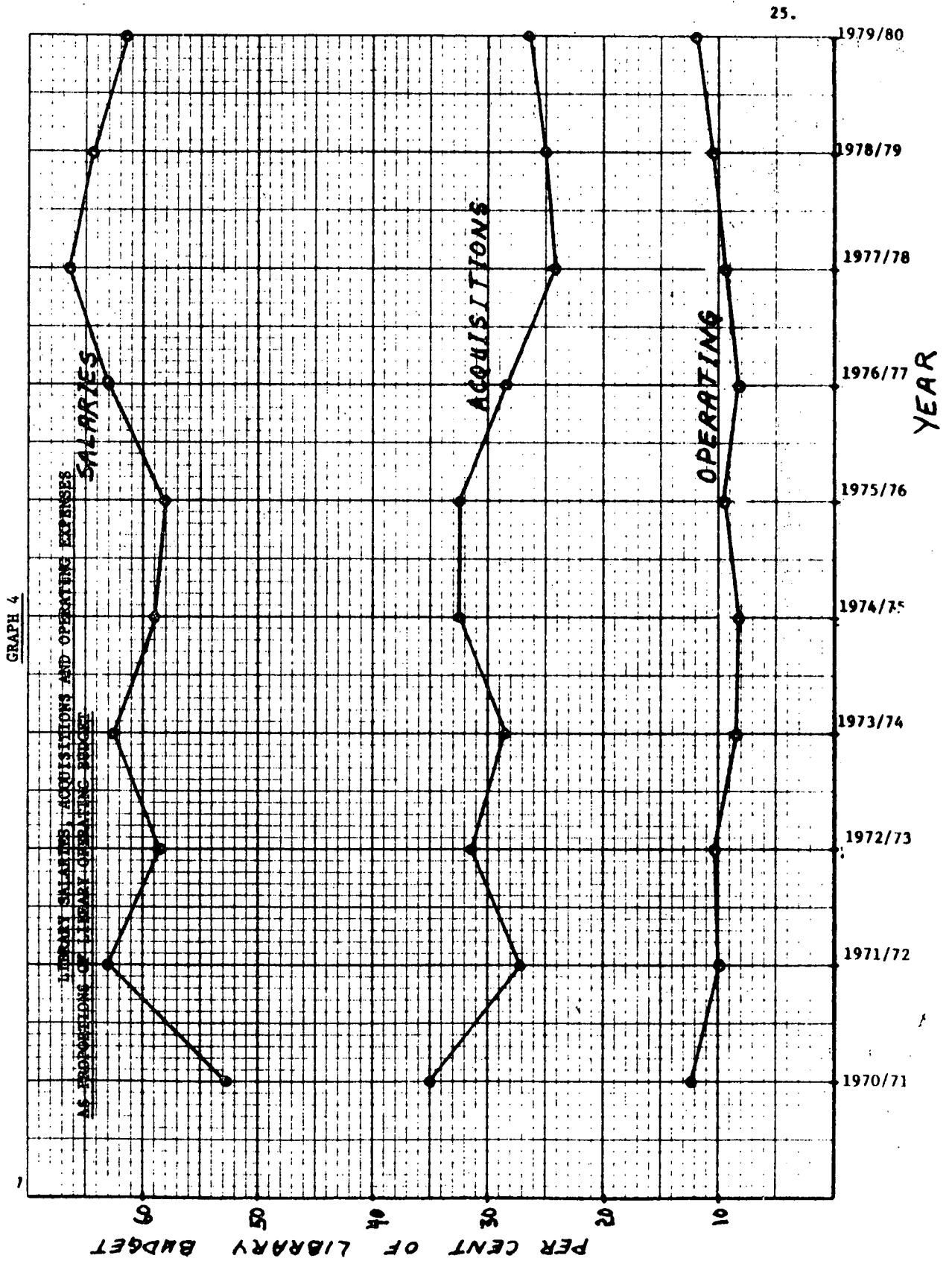


(GRAPH #2)

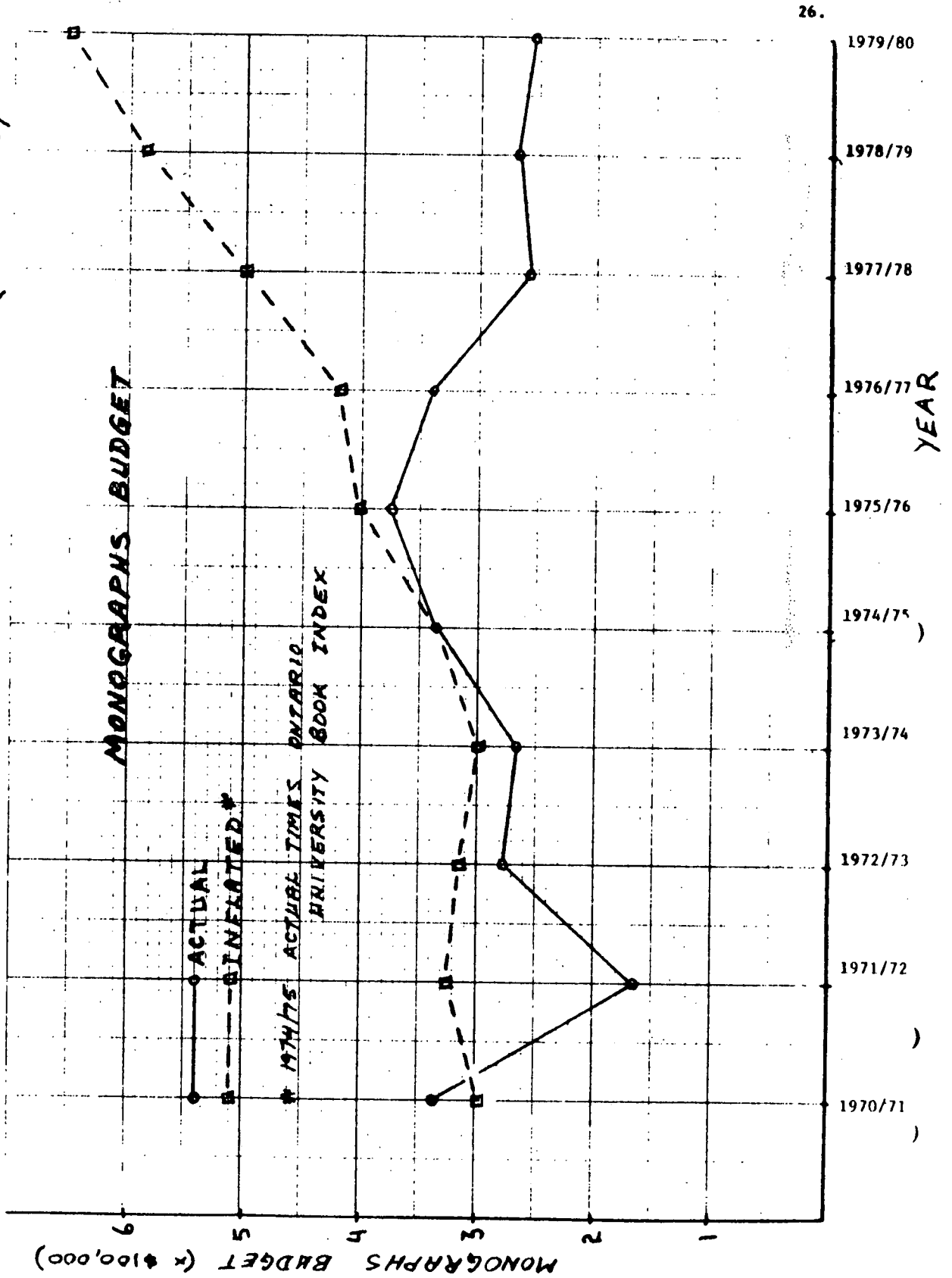


<GRAPH #3>

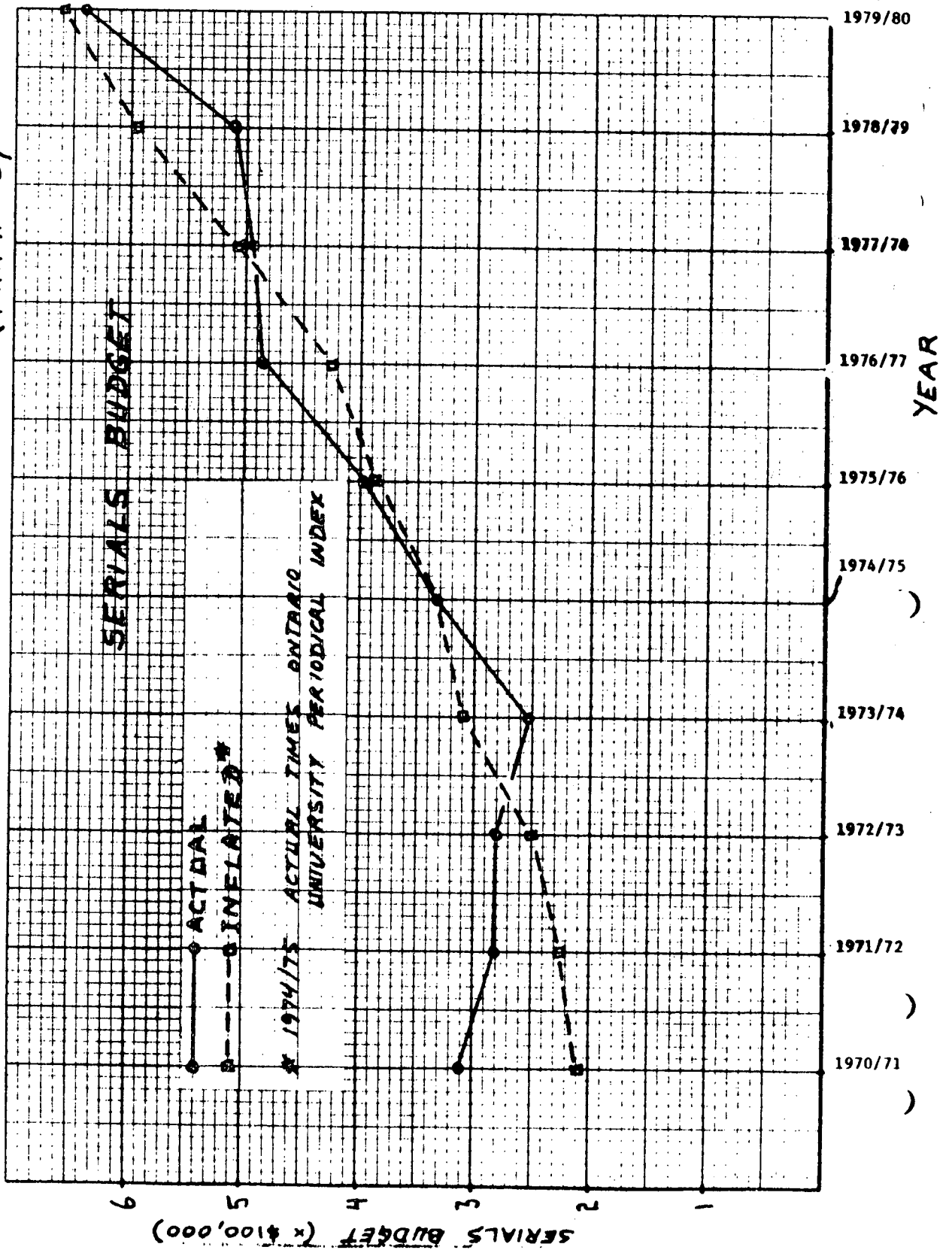




<GRAPH #5>



<GRAPH #6>



LIBRARY FINANCIAL DATA  
BUDGET VS. EXPENDITURE COMPARISON

|                                                                                             | <u>BUDGETS</u>                   | <u>EXPENDITURES</u>                               |
|---------------------------------------------------------------------------------------------|----------------------------------|---------------------------------------------------|
| RECON/UTLAS Grant                                                                           | excluded                         | included                                          |
| College processing                                                                          | excluded                         | possibly included in<br>earlier years             |
| Salary increases                                                                            | excluded                         | included                                          |
| Adjustments & allocations<br>subsequent to initial<br>budget allocation<br>(e.g. Tattletale | excluded                         | included                                          |
| Benefits                                                                                    | excluded                         | excluded                                          |
| Strike effects                                                                              | excluded                         | included                                          |
| Timing                                                                                      | Beginning of<br>the year         | 2nd preliminary-subject<br>to further corrections |
| Comparability                                                                               | BOG approval<br>no public record | not comparable to<br>Financial statement          |

Budget Office  
Sept. 24/79

ATTACHMENT BPOSSIBLE LIBRARY OBJECTIVES

1. At the undergraduate level, to provide broad acquisition coverage (including replacement, duplication and preservation).
2. At the graduate and research levels
  - (a) to identify programs of excellence to be supported with our own collections and,
  - (b) to support all other areas with a basic core collection of materials only.
3. To provide rapid support to faculty via inter-library loan arrangements.
4. To improve acquisitions of new and old monographs and journals.
5. To provide additional funds for the purchase of whole collections and retrospective monographs.
6. To move away from the pro quo serials policy.
7. To keep up with current publishing by maintaining
  - (a) serial subscriptions, and
  - (b) monograph approval plans.
8. To maintain the average accession rate of recent years while at the same time permitting a modest degree of new growth.
9. To develop a staff of subject specialists in support of graduate programs and research

10. To ensure that reference librarians are available during all the hours the Library is open.
11. To ensure that the Periodical Reading Room, Reserve Book Room, and Map Room are open for the same number of hours as the building.
12. To ensure that acquisitions are processed at a cost in line with that of other institutions.

JSC:dw

## MEMORANDUM

To..... Dr. K.G. Pedersen

..... President

Subject..... S.L.C. and S.C.U.B. Report

From..... P. Stigger, Chairman

..... Senate Library Committee

Date..... December 24, 1979

In view of the length of the attached memorandum, stating the S.L.C.'s views on S.C.U.B.'s Report on the Library, I wish to make it quite clear to you, and to its other recipients, that the S.L.C. considers S.C.U.B.'s Report to be a most useful document, which has done much to clarify the issues about which we are all concerned.

My Committee has noted with considerable satisfaction that S.C.U.B. is of opinion that the Library 'has done a good job of maintaining the collection and services under reduced funding levels of recent years' [Report, p.4]. For over half a decade, my Committee has been aware of the brick-bats thrown at the University Librarian and his staff, and it is gratifying to see a bouquet entered in the record!

However, the views of the S.L.C. are at variance at times with those of S.C.U.B. For example, S.C.U.B. has stated that 'the quality of the collection will begin to deteriorate severely unless the University is able to provide increased financial support sufficient to compensate for continuing inflationary increases and exchange rate differentials' [Report, p.4]. The S.L.C. believes that the issues are more complex and that deterioration has commenced, although it recognizes that the extent of the deterioration in any one collection area is variable, where it is not arguable.

Since the S.L.C.'s views differ from S.C.U.B.'s, and since the issues which have been raised are of concern to us all, my Committee has directed me to draft the attached memorandum which, it trusts, will be regarded as being complementary to

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S.C.U.B.'s Report, rather than an Anti-Report, since the desire of the S.L.C. is to stimulate discussion of the problems which the Library has faced and still faces.

The intention, in brief, is to contribute to the resolution of those problems, so that the Library will not go on facing them in their present form.



PS/cmfd  
att.

Distribution: Dr. J. Munro  
Dr. D. Birch  
Senate Committee on University Budget  
Senate Library Committee Membership  
Deans  
Mr. H. Evans - Secretary of Senate

# SIMON FRASER UNIVERSITY

## MEMORANDUM

To Dr. K.G. Pedersen

President

Subject S.C.U.B. Report on the Library

From P. Stigger, Chairman

Senate Library Committee

Date December 18, 1979

### I Introduction

1. A special meeting of the Senate Library Committee was held on Thursday, December 13, 1979, to consider the Report on the University Library, which was prepared by the Senate Committee on University Budget and submitted by the Chairman of that Committee to you on November 19, 1979.
2. The Senate Library Committee generally welcomed the Report, specifically because S.C.U.B. has independently identified funding as the major source of the Library's problems. Thus, S.C.U.B. has recognized that the impact of inflation and exchange rate differentials on the acquisitions budget as a whole has been severe [Report, p.8]; 'that the monograph collection represents the most serious problem area for the Library' [Report, p.13]'; and that 'the level of support for monographs [needs to] be substantially above that in the current year' [Report, p.15, Recommendation 3] - I presume on a continuing basis.
3. On the question of the quality of the collection, the S.L.C. agrees that 'the status of the collection for graduate work and research is more controversial' than that of its status as an undergraduate collection [Report, p.3]. However, regarding the ability of the collection to support undergraduate studies, the S.L.C. would slightly qualify S.C.U.B.'s views, holding that it can be regarded as 'a generally "good" collection for undergraduate purposes' [Report, p.3]. The insertion of 'generally' is required here because of the differential availability of serials and monographs to

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support undergraduate work, which raises the question of serials as a whole and the proportion of the budget assigned to them, whether the number obtained is appropriate or excessive, and what reference points are to be regarded as valid in attempting to make judgments.

4. The S.L.C., in the course of its consideration of these issues, has been forced to conclude that S.C.U.B. has made a number of false assumptions which have led it to misdirect itself. While this conclusion may be most clearly demonstrated in relation to S.C.U.B.'s comments on serials, other examples may be cited and, since all are inter-related, it will perhaps be more advantageous for the S.L.C.'s comments on what it regards, overall, as a most useful Report to be collated under general headings.

## II The Budget

### (a) Framing the Library Budget

1. S.C.U.B.'s remarks can be taken to imply that the salaries' component of the Library budget is not related to operating expenses and acquisitions, and that operating expenses are largely fixed [Report, p.9., first three sentences and last phrase].
2. This is far from being the case.
3. The Library budget, whether for the purposes of its own asking budget or in response to notification of the total budgetary figure assigned to the Library, has been framed consistently to relate all three heads of expenditure to each other. Thus the amount which has been assigned to acquisitions has conditioned staff levels in cataloguing, and both have impacted upon operating expenses.

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4. Total budgetary figures have in fact been assigned to the Library over the last few years and, since the amounts involved in a period of restraint when inflation and currency variations have aggravated the Library's problems have been inadequate, the Library has been forced to retrench in all areas. This retrenchment has been carried out in line with the Librarian's memorandum on Library Operations in 1976/77 Impact Under Progressively Reducing Budget Projections, dated January 7, 1976, and addressed to the Vice-President, Academic, in response to the Vice-President's memorandum of December 16, 1975. As then foreshadowed, cut-backs have been applied to significantly reduce staff and some services, while preserving current serials, if necessary at the expense of monographs. The preservation of current serials has been undertaken, with the support of the S.L.C., to ensure that all members of the University community can keep abreast of developments in their field, an end which could not be achieved by preserving monographs at the expense of serials.

(b) The assigned amounts and needs

1. Since the Library has had to adjust its total operations to an assigned budgetary figure, it is not correct to state, regarding operating expenses and acquisitions, that 'an amount is budgeted which reflects the needs of the Library relative to the needs of all other operating units of the University' [Report, p.9].
2. In practice, what has happened is that the Library has been treated in the same way as any other "department"

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of the University. There has been no attempt to recognize the unique needs of this established (i.e. non-emergent) "department" and, while Physical Plant and Planning, the Department of History and the Library may all have suffered equally from the effects of internal inflation, the S.L.C. would suggest that the Library has been damaged more significantly external currency fluctuations.

3. The problem may be most clearly demonstrated by setting the actual expenditure on serials against the budget allocations to which S.C.U.B., for perfectly valid reasons, chose to direct its attention [Report, p.5]. For example, the most recent figures available for renewals of all types of serials are:-

|         | <u>Budgeted</u> | <u>Expended</u> |
|---------|-----------------|-----------------|
| 1975/76 | \$ 340,000      | \$ 380,072.62   |
| 1976/77 | 446,400         | 344,553.17      |
| 1977/78 | 487,500         | 468,636.62      |
| 1978/79 | 481,250         | 546,161.10      |

4. The decline in expenditure in 1976/77 arose because the Canadian dollar was strong, while the pound Sterling collapsed: the increase in 1978/79 reflects a reversal of 1976/77 currency values.
5. The failure to recognize the Library's unique problems when treating it as an established "department" has made it impossible for the Library to meet the needs of established academic departments equally. This has specifically been so over the last two years, since a marked imbalance has developed between serials and monographs because of greater emphasis within

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Science-oriented departments on serials for a longer period.

6. The inability of the Library to meet the needs of established academic departments has been accentuated by the addition of new programs, departments and services in a manner not considered by S.C.U.B. [Report, p.6, Analysis]. The S.L.C. has been given to understand that, when a new department is created, it is classified as an emergent department for four or, in some circumstances, five years. The S.L.C. also has been advised that the University receives specific funds for a department while it is regarded as 'emergent'. However, where extra funds are provided to the Library to satisfy the needs of that department, such funds are made available only for the first year, i.e. the Library receives funds to support initial subscriptions to essential journals but, in all subsequent years after the first, such subscriptions are a charge against the general Library budget. The effect in a period of financial stringency is that the monographs portion of the acquisitions' budget is further undermined.
7. While recent approval by Senate of procedures whereby the Library will be involved in the identification of the cost of new programs, etc., before they are initiated will mitigate some of the problems, more radical action is required.
8. It is essential that the unique problems and needs of the Library are specifically taken into account in shaping the University budget to enable the Library

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to meet the needs of all academic departments, and to satisfy the needs of 'emergent' areas without undermining 'established' ones.

### III The Validity of Models for Comparison

1. Identification of the unique problems and needs of the Library requires the concurrent identification of 'a realistic basis for assessing the level of current and future Library support' [Report, p.3], which S.C.U.B. has attempted to do by taking the Bowker indices [Report, p.5], shaping analyses to a normalized base of 1974/75 [Report, p.6], divising graphs for S.F.U. and then setting S.F.U. Library against allegedly 'comparable university libraries elsewhere' [Report, p.10].
2. While the S.L.C. wholeheartedly shares S.C.U.B.'s desire to identify a realistic basis for determining the level of support required by the Library, the S.L.C. has reservations about the method S.C.U.B. has evolved: these are identified in the following paragraphs.
3. The Bowker indices take in too broad a spectrum of books and journal publications, and therefore produce average prices which are too low and do not relate to actual in-house Library collections.
4. While the University as a whole may have enjoyed a financially happy first ten years, the same was not true of the Library. The Library experienced a 31% acquisitions' budget cut in 1971/72, and only "recovered" the position it had enjoyed in 1970/71 four years' later [Report, Table 1, p.17] and in uncorrected dollar terms. This "recovery" in 1974/75 was in practice nothing of the kind, for the 'quid pro quo' policy, by which new journal subscriptions could be made

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only by cancelling current subscriptions to the amount of the cost of the new subscriptions [and not as stated in the Report, p.9], was introduced and fully applied from 1975-04-01. Thus, the Library budget has been fluctuating with various degrees of violence from 1971/72, primarily to the detriment of monograph collections [Report, Graph 3, p.24] and despite 'the growth of the University in students, faculty and new programs' which ought to have influenced the size of the acquisitions budget, as S.C.U.B. notes [Report, p.10].

5. While graphs based on budgeted amounts rather than expenditures shed considerable light on a number of issues, despite concealing some problems (see II(b)3 above), it is when comparisons are attempted between universities that real difficulty arises. This is best illustrated by comparing Simon Fraser's expenditures on salaries, wages, books and periodicals in 1977/78 with the only other university in Canada which is committed to the tri-semester system: Guelph. Simon Fraser spent 92.2% under these heads, compared to Guelph's 92.3%; however, Guelph spent 28.2% on books and periodicals while Simon Fraser spent only 23% [Report, Table 4, p.21].
6. The S.L.C. respectfully submits that all such a comparison indicates is something which is generally known, namely: that salaries and wages are generally higher on the West Coast. It tells us nothing about the adequacy of expenditure on books and periodicals, either here or at Guelph.
7. It is also questionable on other grounds whether any meaningful comparison can be made between Simon Fraser's and Guelph's expenditure on books and periodicals. Not only does Guelph place an emphasis on Agricultural Sciences which is lacking here, but Simon Fraser is

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involved in a number of disciplines in which Guelph has no interest, while it is extremely unlikely that the interests of any one 'common department' are identical.

8. The only safe conclusion which can be drawn is that, while comparisons with other institutions occasionally can shed light on issues of extreme importance - which S.C.U.B. achieved in identifying that in 1977/78 Simon Fraser ranked twelfth out of twelve on proportional expenditure on books and periodicals [Report, p.11] - what is needed is to develop and implement a Library policy at Simon Fraser which not only reflects the needs of the University community but which is also adequately supported, specifically by providing the Library with sufficient funds to enable the University to achieve its goals.

#### IV University Library Objectives and Guidelines

1. It should be apparent from the foregoing paragraph that the S.L.C. agrees whole-heartedly with S.C.U.B. that it is essential to develop "a definitive statement of Library objectives...coupled with priority rankings for those objectives" [Report, p.15], if this is the one way in which the University community can become aware of budgetary difficulties.
2. The problem which the S.L.C. foresees is that such a definitive statement must be related to the University's own short and long term goals, for it is these which condition the Library's objectives, determine its priorities and govern its use of the funds made available to it.
3. The guidelines currently in use were determined between 1964 and c.1970, to reflect the University's stated goals of seeking excellence in undergraduate and graduate

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teaching and research by a competent Faculty. To contribute to the achievement of these goals, the Library consulted the University community before acquiring serials and monographs to support the declared needs of the community.

4. The general guidelines which emerged began to be eroded as soon as budgetary fluctuations commenced. Thus, while the Faculty of Science felt compelled to opt in the early 1970s to protect serials over monographs, the Faculty of Arts gave more weight to monographs. The option chosen by the Faculty of Science, and implemented by the Library, was predicated upon the belief within Science that the best way to keep abreast of developments was to maintain serials. This option has perforce had to be chosen by other Faculties as budgetary difficulties have increased and forced reductions in the monographs' portion of the acquisitions budget to a point at which, in the first half of the current financial year, monograph purchases have been restricted to core purchases of materials available through the approvals' plan - which is not and can never be all-embracing. The result has been an imbalance between monograph and serials' purchases, which the probable release of additional funds will partially correct over the balance of this financial year.
5. The present guidelines, which represent the Library's attempt to satisfy the requirements of each of the various elements which make up the University community, in light of that element's perception of its role in achieving the University's objectives, have clearly been seriously undermined by financial constraints.
6. It is against a background of the erosion of the guidelines

.....continued/10

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that any consideration of the Serials and monographs' collections has to be set.

V Serials

1. The serials' portion of the acquisitions budget is peculiarly susceptible to currency fluctuations, because only 40%, and not 80% [Report, p.5], of serials are obtained from the United States and only 27% originate in Canada. One third is obtained from elsewhere - 21% from five Western European Countries and 11% from the rest of the world - and this 32% accounts for about one half of current costs.
2. The impact of inflation, currency fluctuations and budgetary restraints has led to the overall position indicated above (IV 4), and it is the S.L.C.'s perception of the consequences for the University community that conditions its responses to portions of S.C.U.B.'s report.
3. Part of the difficulty which arises stems from S.C.U.B.'s failure to define a serial as:

"any title intended to be published indefinitely or for such a time that, to acquire all its parts, the Library must enter a continuing order,"

and then to note that the Library divides serials into four categories, namely:-

- (i) periodicals or journals, normally published at greater than annual frequency;
- (ii) annuals, which includes yearbooks and proceedings;
- (iii) series, which individually may be "monographs", e.g. Queens University papers in Economics; and
- (iv) continuations or sets, such as "The collected works of...".

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4. These categories are currently being acquired at the following rates:
  - (i) Periodicals and journals - 7,087 titles
  - (ii) Annuals - 4,771 titles
  - (iii) Series - 1,396
  - (iv) Continuations or sets - 502
5. Actual receipts amount to 13,756 serials. They include about 4,000 government publications, of which half are distributed free but still incur processing charges, and 1,500 general items, including newspapers, standard references, indexes and other items of very broad or cross-disciplinary interest.
6. The position is thus complicated and, whereas it is accurate to state that there are 28 current serials per faculty member [Report, p.9], the number of subscriptions per Faculty member amounts to just under 15.
7. The real problem emerges when the number of serials is divided by the current faculty budgetary complement of 482 and this is used to support the view that "the number of current serial subscriptions is excessive in the context of the serious financial constraints facing the Library and the University" [Report, p.16], for at least six reasons.
8. Firstly, there is not an even distribution of serials by Faculty across Departments. It is possible to assign 151 serials to ten Faculty in Archaeology and 3,609 to fifty-four Faculty in Economics and Business Administration, to produce averages of 15.1 and 66.8 serials per Faculty member respectively.
9. Secondly, the pattern changes when attention is directed to journals and periodicals. It is then possible to assign

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- 53 journals to Archaeology and 1,419 to Economics and Business Administration, to produce averages of 5.3 and 27.0 journals per Faculty member respectively.
10. Thirdly, the questionable validity of either exercise becomes apparent once it is recognized that the Lion's share of titles received by the Library, both as a full Canadian depository for government publications and for some other reasons, has been assigned to Economics and Business Administration.
  11. Fourthly, no data exists to identify when a specific figure may accurately be described as excessive, particularly when it is related directly and solely to cost. The average price of the journals which can possibly be assigned to Archaeology is currently \$14.23; to Economics and Business Administration \$20.33; to Education \$15.37; to Biological Sciences \$112.91; to Chemistry \$237.36; and to Computing Science \$102.61. All that becomes obvious is that journals published to satisfy the needs of scientists are extremely expensive.
  12. Fifthly, some data does exist which suggests that the number of subscriptions may be too low, rather than excessive. The Social Sciences have an identified stockpile of desirable serials, the subscriptions to which would cost more than \$5,000; Humanities has a list which would cost about \$500; the Sciences have an identified list of fifty-four titles. Although a stockpile exists, however, there is reason to believe that it is not complete, because the quid pro quo policy has caused some Faculty members to stop placing requests which they know cannot be satisfied.

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13. Sixthly, experience has shown that Faculty rely more heavily on journals in times of financial uncertainty than they do in more prosperous times (see IV 4 above), which suggests that journals and serials generally are regarded as the last line of defence for the maintenance of adequate standards in teaching and research.
14. The six reasons and examples just advanced to cast doubt on the validity of S.C.U.B.'s statement, cited in paragraph 7 above, should not be taken to imply that the S.L.C. does not share S.C.U.B.'s concern about the number and cost of journals nor fail to concur in its view that mechanisms need to be investigated 'for reducing... the number of non-essential journals' [Report, recommendation 6, p.15] and for seeking some means to share resources with other institutions within the Province [Report, p.16].
15. To this end, as Simon Fraser University Library began to experience serious financial problems, the quid pro quo policy for new orders was introduced in an attempt to eliminate non-essential subscriptions. As it became apparent, through the emergence of a backlog of unattainable items (paragraph 12 above), that the limits of utility for this policy had been reached, so steps were taken to devise a serials survey, which would identify the priority rating of serials in the eyes of their users, in order to determine which items had to be available immediately, which items needed to be only locally available and which had only to be available within the Province.
16. The serials survey only became viable as other institutions began to experience similar financial problems to those at Simon Fraser, and as the Provincial Government

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began to provide funds to allow for the ultimate development of a computer-based Provincial union catalogue.

17. Although the initial sample survey was delayed by unforeseen local circumstances, questionnaires have been distributed to four departments and, by mid-November, almost all participants in one had replied. Since the success of the sample survey turns on a full departmental response, it is too early to evaluate fully the success of this trial run. However, present indications are that the sample survey has been properly devised and, once this is confirmed, all departments will be invited to participate.
18. Once the general serials survey has been conducted, it should be possible to place serials, in association with Faculty, into high, medium or low use/priority categories and, in association with other cooperating institutions, to eliminate some medium use/priority, and more low use/priority, serials, thereafter relying on inter-library loan services in effect to augment our own serials' holdings.
19. The serials survey, provided the anticipated level of cooperation is achieved between Simon Fraser and other participating institutions, will lead to some savings through some cancellations of low use/priority items. However, it will clearly take some time to implement and, in the interim, it must be recognized that the serials collection is not static, as S.C.U.B. recognized when it referred to 'an exchange of 1,200 journals', held that 'this restraint is impressive', and noted indirectly that [Report, p.9] there had been an increase of 203 'subscriptions' (please refer to paragraphs 3 and 5 above).

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20. While it is true to say that 'the Library has [almost] maintained the purchasing power for serials acquisitions' [Report, p.10], it must be recognized that this has been achieved only by failing to add essential new titles (paragraph 12 above) and by failing to purchase backfiles of serials.
21. It should also be noted that inability to fill gaps in existing serials' backfiles is in part a result of the methods by which University has underfinanced new programs (paragraph II(b) 6 above), although the moderate growth in the number of serials obtained is in part an indication of the Library's attempt to service needs, e.g. the move into Clinical Psychology led to 34 new subscriptions.

#### VI Interlibrary Loans and Machine Literature Searches

1. It is perfectly correct to imply, as S.C.U.B. does [Report, p.16] that interlibrary loans can result in financial savings for the serials acquisitions' budget, but it must be recognized that such savings can only be achieved with the cooperation, and partly at the expense, of another institution. Nevertheless, it must be noted that labour costs and service charges are incurred by each and every ILL transaction. In brief, Simon Fraser must carry a fair proportion of the burden to ensure that both medium and low priority serials and monographs are available locally and provincially: however, Simon Fraser cannot expect to make use of interlibrary loans to conceal deficiencies in holdings essential to its teaching and more specialized research interests, in either serials or monographs.
2. Some issues raised by S.C.U.B. on Interlibrary Loans are

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not clear, e.g. 'number of requests' [Report, p.4], and may reflect problems eliminated either eighteen months' ago or by the appointment of an ILL specialist at the beginning of the Fall semester. It may therefore suffice to note that this is a most serious area of concern for all Libraries; that a major part of the problem with the service is the ability of the lending institution to meet any request in light of its own needs; and to clarify what is happening in this field.

3. The Provincial Government is putting \$6 million into the development of a computer-based Union Catalogue, involving all Provincial universities and junior colleges; this system is currently linked with the University of Toronto, and constitutes the first step towards the establishment of a regional network.
4. Because of these developments, and because the deficiencies in the present operation stem largely from the ability or willingness of lenders to lend, the S.L.C. is of opinion that an enquiry into the 'adequacy of resources currently provided to this service' would not be useful at this time [Report, p.4].
5. S.C.U.B. also notes, regarding monographs, that this 'University will be increasingly dependent on other libraries to make materials from their collections available to us' [Report, p.13]. This raises all the issues examined above (V 18; VI 1-3), while ignoring the key issue: how is the ceiling for a reasonable level of borrowing to be determined - for there is no doubt that borrowing will continue and, as the University diversifies, it may be expected to increase.

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6. The S.L.C. is of opinion that the present level of borrowing provides no guide, because it reflects the deterioration of monographs collections since 1971/72 and especially since 1975/76, and of serials since 1974/75.
7. This raises the closely related problem of machine literature searches. There are now over 500 data bases, largely in Sciences, although data bases are developing for the Social Sciences and Humanities. Simon Fraser can be linked in to over 200 of them, and it is quite obvious that use of data banks will increase. This is partly because inflation and publishers' difficulties have combined to create a situation whereby some material is now only available through data banks: CISTI - The Canadian Institute for Scientific and Technical Information is but one example.
8. The developments in this field are such that Simon Fraser must have access to the data bases appropriate to its needs and it is in this sense that the S.L.C. concurs with S.C.U.B. [Report, p.14].
9. Access is expensive for an individual, as S.C.U.B. indicates [Report, p.4 and footnote thereto], but not at present to the University as the Library recovers costs less staff time.
10. The basic question which needs to be settled, in the S.L.C.'s view, is: who should pay for machine literature searching? The issue emerges because scientists generally can call on research money to pay for such searches, whereas Faculty in the Social Sciences and Humanities cannot. Thus, it is necessary to develop a fair and acceptable cost recovery program.

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11. The S.L.C. does not consider that this issue should be related to an examination of either present or future requirements for machine literature searches [Report, p.15, recommendation 5], since developments have not yet reached the point where non-Scientists' needs can be satisfied or forecast. The S.L.C. also believes that no useful purpose would be served by enquiring into ILL at this stage, particularly because the S.L.C. believes that it has the latter issue firmly under control (V 18 and VI 1-3 refer).

## VII Monographs

1. Since the S.L.C. and S.C.U.B. are in general agreement over monographs, it is considered that it is necessary at this point only to reiterate that this is the most serious problem area within the Library, as the following sub-paragraphs indicate:
  - (a) Attrition in this area commenced in 1971/72 (IV.4), and accelerated in 1974/75 (III.4).
  - (b) Monographs began to be sacrificed to serials (II(a)4) as soon as budgetary constraints multiplied (III.4).
  - (c) Monographs were sacrificed eventually to the point that only core purchases of materials available through the approvals' plan were possible (IV.4).
  - (d) This position developed after the serials acquisitions' budget had been fixed at a point which would no longer permit the purchase of serials' backfiles (V.20).
  - (e) The elimination purchases to of current non-approvals' monographs was thus related to the elimination of serial backfiles' purchases, which in turn was related to the necessity to expand current serials' purchases to meet emergent needs (V.21).

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- (f) The difficulties created cannot be solved by 'improvements' in ILL services (V 18; VI 1).
- (g) More money is required for monographs, on a recurrent basis (I 2).
- (h) An increase in the monographs' portion of the acquisitions' budget may result in an eventual reduction in the serials budget (II(a) 4), but this will not necessarily be the case (V 12).
- (i) Any increase in the monographs budget must be matched by increases in the salaries and operating budgets in order to permit additional funds to be judiciously expended (II (a) 3).

#### VIII Salaries and Public Services

1. Some of S.C.U.B.'s remarks on the budget as it relates to salaries, in the view of the S.L.C., focus attention only on facets of a complex situation and the S.L.C. is of opinion that, in any discussion of salaries, two points have to be recognized, namely:-
  - (a) that, as S.C.U.B. notes, Library services fall into two broad categories, namely collections and public service [Report, p.2]; and
  - (b) that the budgetary ceiling figure assigned to the Library has had to be apportioned to preserve the cutting edge of the collections, i.e. serials over monographs, while maintaining public services as far as possible to allow maximum use of the collections.
2. The funds assigned to the Library have been inadequate, in part because the Library appears, from figure II on page 33 of the University Review Committee's Report (attached at A below), to have experienced a greater

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proportional cut in its operating budget than any other "department", rather than a proportional cut, as S.C.U.B. implies [Report, p.6, 12].

3. These inadequate funds forced staff reductions, in light of paragraph 1(b) above, which have continued into 1979/80 without reducing the size of the salaries component of the Library budget [Report, p.7, 23, 24].
4. However, the size of the salaries component has been 'reduced', and non-salary operating expenditures 'increased', because the salaries of seven individuals are charged against a government account, while computing and line charges are reflected in non-salary operating expenditures [Report, p.7-8]. These adjustments have been made in connection with the attempt to create a union catalogue - provincially, nationally and internationally - in order to ease pressure on acquisition budgets at all participating institutions by rationalizing interlibrary loans as far as possible (VI 3).
5. The elimination of the card catalogue has led to savings through eliminating many of the steps required in manual cataloguing, which still continue [Report, p.7]: however, the primary motive in the elimination was to keep in step with developments to achieve wider academic and more limited cost benefits.
6. The introduction of the tattle-tape system [Report, p.7] was undertaken to reduce losses through theft, so that significant savings must be looked for in the retrospective serials and monographs acquisitions' budget (when they exist) rather than in the salaries budget, which can be affected only marginally. It must also be recognized

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that thefts can only be reduced, not eliminated, for the tattle-tape system cannot cope with individuals who are prepared to rip books and serials apart.

7. Apart from its concerns over the relationship between salaries and staffing levels on the one hand and the maintenance and use of the serials and monographs' collections on the other, the S.L.C. is also concerned about the impact upon the salaries' budget of changes in the composition of primarily the undergraduate body, since 21% of student contact hours is generated through courses taking place after 4:30 p.m.\* Budgetary constraints, in light of I (b) and IV 4 above, have forced the Library to direct many services, including public and 'in-course' lectures on bibliographical searching, mainly to that portion of the community not involved in evening courses.
8. To meet the needs of evening students and, additionally and incidentally, to allow members of the University community at large to indulge in their idiosyncrasies, the S.L.C. considers that consideration must be given to the provision of additional salary funds:
  - (a) to ensure that reference librarians are available during all the hours during which the Library is open; and
  - (b) to ensure that the Periodical Reading Room, Reserve Book Room and Map Room are open for the same number of hours as the building [Report, p.15 and 30, possibilities 10 and 11].

\* The figure is for Fall, 1978, and has been supplied by the Office of Analytical Studies.

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## IX Conclusions

1. The monographs' collection is the most serious problem at present, because attrition commenced in 1971/72 and accelerated from 1974/75.
2. Monographs' purchases have been limited to items received through the approvals' plan, which provides a core collection of material produced by the publishers whose material is embraced by the plan. This means that even current items, of direct interest to Simon Fraser, produced in Third World countries, have not been obtained, in some instances for many years.
3. The recent release of additional funds will allow this situation to be partially rectified, but it is essential that retrospective monograph purchases be adequately supported in all future years.
4. It is equally important that funds also be available to consistently permit the purchase of current monographs not embraced by the approvals plan.
5. The elimination of less desirable serials commenced in 1974/75, when the quid pro quo system was introduced for new orders.
6. The quid pro quo system has reached the limit of its utility, since a backlog of desirable serials, which the Library cannot afford to purchase, has developed in all disciplines.
7. While the acquisition of current serials has been protected largely by the attrition of the monographs acquisitions budget, it has been necessary also to eliminate purchases of serials' backfiles.

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8. The development of a computer-based union catalogue serving this province and linked to national and international terminals, can be expected to resolve some problems in Interlibrary loans.
9. Interlibrary loans will also benefit from, and be partially replaced by, the development of data bases and of machine literature search facilities.
10. However, the extent to which ILL can be used effectively will still turn ultimately on the ability and willingness of lenders to lend.
11. Computer-oriented developments will increase the use of ILL facilities, while at the same time partially reduce a need to hold as many serials and monographs in in-house Simon Fraser collections as would otherwise be the case.
12. Because of conclusions 6, 8, 10 and 11 above, a serials survey is being formulated, on the basis of a successful sample survey, to enable serials to be assigned to high, medium and low use/priority categories, and then to eliminate some titles.
13. Elimination of some serials' titles, and associated adjustments in monograph purchasing, turn on the developments referred to in 8 and 9 above, subject always to 10.
14. In addition, Simon Fraser will have to continue to purchase a reasonable proportion of medium and low use/priority serials and monographs if it expects to benefit fully from the developments identified at 8 and 9 above.

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15. The S.L.C. is also concerned about the salaries budget, in that this is not at present adequate to meet public service needs, especially those of evening students, i.e. those enrolled in courses after 4:30 p.m.
16. The budget must be adequate to allow the Library to meet the legitimate needs of the University community in the areas of current and retrospective monograph purchasing, current and retrospective serials' purchasing, and public services: to do so, upward adjustments must also be made in the salaries' and operating components of the Budget, while the Library must also receive its fair share of 'emergent' costs'allowances.
17. The major unresolved issue is: to determine what is adequate, in the areas noted in 16.
18. The S.L.C. is convinced that what is adequate for Simon Fraser will not be determined by comparing Simon Fraser with other institutions, although comparisons may (and have) assisted in the identification of problem areas.
19. The S.L.C. is convinced also that no useful purpose is served by dividing, say, the number of serials by the total number of Faculty, or by assigning journals to disciplines except in very general terms, or by 'identifying' the average cost per journal and Faculty member within a discipline, because Library holdings must reflect the needs of the University community and these needs tend to be cross-disciplinary.
20. The academic needs of the University community, identified primarily through liaison between departmental library representatives and the Librarians, have conditioned the form the collections have assumed, except inasfar as

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budgetary constraints have inhibited the purchasing of material across a broad enough spectrum. Library objectives are thus the sum of those of the University's parts.

21. It follows that the S.L.C. has concluded that an attempt now to develop 'a definitive statement of University Library objectives ... with priority rankings for those objectives' [Report, p.15, Recommendation 1] is unlikely to be rewarding unless the University's own goals have not been correctly identified by the Library (IV.3), or unless departmental interests have been redirected without reference to the Library.
22. The S.L.C. has concluded also that no useful purpose would be served by a detailed report on 'present and future requirements for machine literature searches and interlibrary loan service' [Report, p.15, Recommendation 5], although consideration must be given by an appropriate body to the more basic question of who should pay for machine literature searches.

X Recommendations

1. The foregoing conclusions lead the Senate Library Committee to recommend:
  - (i) that the University allocate sufficient funds in each budget year to enable the Library to satisfy the requirements of the University community in current and retrospective serials and monographs and in public service areas;
  - (ii) that the University recognize that this will require adjustments in the Library's salary and operating budgets;

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- (iii) that the University recognize that the needs of the Library reflect those identified by academic departments; and therefore
  - (iv) that, in shaping the University budget, the University must first attempt to satisfy the needs of the Library before assigning funds to any other "department", since the University cannot otherwise achieve its academic goals.
2. In brief, the S.L.C. recommends that the Library be funded "off the top" because its needs are not emanable to 'normal' budgetary practices and, in any case, incorporate those of all academic departments.

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# ATTACHMENT A - VIII 2 REFERS

BUDGET APPLICATION AS A % OF THE UNIVERSITY BUDGET

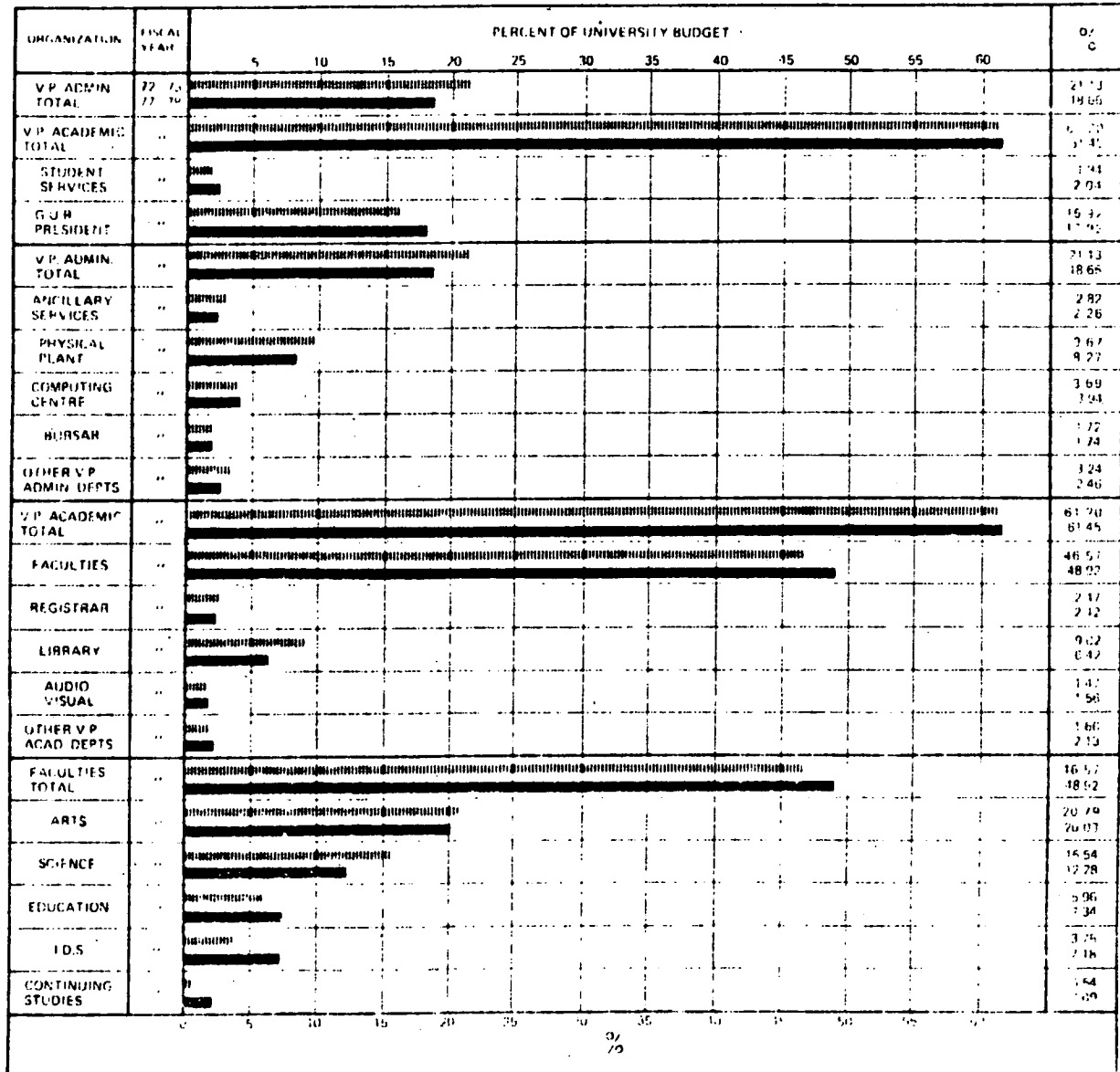


FIGURE II