

ENRICH IOWA REVIEW REPORT

JULY 2016



BACKGROUND

In July 2014, Interim State Librarian Barb Corson, with the support of the Iowa Commission of Libraries, named a steering committee to begin the process of reviewing the Enrich Iowa Program. The \$2.5 million Enrich Iowa Program is comprised of Open Access and Interlibrary Loan Reimbursement, which began in 1989; and Direct State Aid, which debuted in 1999. The Code of Iowa, sec. 256.57 outlines the Enrich Iowa Program.

“1. an enrich Iowa program is established in the division to provide direct state assistance to public libraries, to support the open access and access plus programs, to provide public libraries with an incentive to improve services that are in compliance with performance measures, and to reduce inequities among communities in the delivery of library services based on performance measures adopted by rule by the commission. The commission shall adopt rules governing the allocation of funds appropriated by the general assembly for purposed of this section to provide direct state assistance to eligible public libraries. A public library is eligible for funds under this chapter if it is in compliance with the commission’s performance measures. “

The steering committee was charged with developing a plan and timeline for the thorough review of the Enrich Iowa Program and ensuring that the process allowed for input from all stakeholders, including librarians of all types and sizes, from around Iowa. Steering committee members included: Betsy Thompson, Iowa Commission of Libraries; Rebecca Funke, State Library Advisory Panel; Barbara Corson, Interim State Librarian; Nancy Medema, State Library; Scott Dermont, State Library; Becky Heil, State Library; and Marie Harms, State Library. The first meeting was held on August 7, 2014.

TIMELINE ESTABLISHED	
AUGUST 7, 2014	Steering Committee meets
SEPTEMBER 1, 2014	Appoint Task Force
OCTOBER 8, 2014	Task Force first meeting
JANUARY 5, 2016	Task Force releases recommendation(s) for public comment
MARCH 2016	Recommendations go to Commission
JUNE 2017	Completion of development of changes, sharing information with libraries
JULY 2017	Implementation of changes to Enrich Iowa

TASK FORCE

The Task force was appointed in August 2014, with the following members:

MEMBER	LIBRARY	MEMBER	LIBRARY
Nathan Clark	Emmetsburg PL	Susan Henricks	Carnegie Stout PL
Sarah Clendineng	Ft. Madison PL	Laura Hoover	Swisher PL
Ann Coulter	SWCC-Creston	Andrew Hoppman	Lied PL, Clarinda
Sonja Ferrell	Ottumwa PL	Kim Kietzman	Altoona PL
Allison Ames Galstad	Coralville PL	Sue Kroesche	Orange City PL
Greg Heid	Des Moines PL	Sandy Long	Whittemore PL
Mary Fran Nikolai	Garnavillo PL	Dee Schrodt	Alexander PL
Amy Paulus	Univ. of Iowa	Sarah Sellon	Ely PL
Doug Raber	Marion PL	Leah White	Woodward PL
Sarah Rosenblum	Marshalltown PL		

Mary Heinzman, from the St. Ambrose University Library, facilitated the meetings.

The Task Force met on October 8, 2014 and November 20, 2014. An overview of the program and the budget were presented and explained. Task force members identified and discussed the pros and cons of the current program and determined common themes:

1. ILL REIMBURSEMENT

- Issues with the SILO system and the availability of items that are listed; no longer available, too new, and no shelf status, etc.
- Issues with interlibrary loan processing including mailers, labels, and methods of tracking ILLs.
- Requests for an update to the SILO interface, which could include a mobile version and patron status.

2. OPEN ACCESS

- Issues with record keeping and reporting including development of an online interface
- Training of library staff on how Open Access works and the requirements for recording transactions and patrons
- Participating libraries and contracting libraries and how each affects the program
- The program is confusing in determining who is eligible and what transactions can be counted for reimbursement, and how you code patrons.
- City Councils don't understand the value of the program and barriers exist for some libraries.
- Utilize different method of determining reimbursement

3. DIRECT STATE AID

- Local funding and services provided within communities
- Standards should reflect basic service parameters for 21st century libraries
- Funding for libraries to improve Tier levels

4. A. ENRICH IOWA FUNDING

- Issue was lack of adequate funding for program. Ideas to address included working with ILA through advocacy, requesting more from State, and talking to legislators.

B. ENRICH IOWA FUND DISTRIBUTION

- Regent libraries receive more per item for ILL reimbursement
- Better method of disbursing the money that would improve library services around the State
- Enforcement of deadlines so that libraries aren't negatively affected

The Task Force met again January 27, 2015 where the members brainstormed ideas to address the themes that emerged from the previous meetings. No answers were determined, but questions that emerged from the discussion included:

- **Q:** Can the committee determine another use for the money allocated for Enrich Iowa, such as updating SILO or a shared automation system?

R: The Attorney General's office responded with a definition of the word "assistance" in the Code, stating that the Code specifically indicated that money should be given directly to the libraries.

- **Q:** Do we need to be more forward thinking?
Enrich Iowa – How do we most effectively distribute money to libraries? Which model is more effective; top down or bottom up? Effectiveness should take precedence over "fairness."
Open Access – What can we change from the current model, according to Code, what should we keep. Is the method of reimbursement the best method, what are others?

R: Dermont tried various formulas on how to compute Open Access funding including:

- Reimburse by per capita only
- Combine with Direct State Aid and weight Open Access somehow
- Add DSA and OA together and reimburse based on a share method by Tier level
- Base OA reimbursement on library's budget based on total city budget
- Base OA reimbursement on library's city per capita income

In the end, using any formula other than transactions meant that those libraries that provided the most service would receive significantly less than currently, while libraries doing few or no open access transactions would receive more money.

- **Q:** What should state aid accomplish?

State funding (Accreditation) – Aid is based on performance measures. Is accreditation what we want it to be? Are the standards what we want them to be? If tying state aid to standards we need to make sure accreditation standards are still relevant. We can encourage libraries through incentives. Recommended that the State Library review the standards used for the Accreditation program. Wanted other methods of computing the reimbursements explored.

Local funding – What is standard of local funding? How do we help libraries who are not well funded? Do we need a target that is flexible to meet current needs of community? Do we need to require some level of municipal funding based on what tier the library wants to achieve, with

an algorithm. Brings up issue of patron education on how libraries are funded. Contracting cities are another wrinkle in the determination of services and who gets reimbursed.

R: Discussion centered on the history of ILL Reimbursement and Open Access and how it relates to the Code of Iowa, the minimum required by law for funding library services (6.75 cents per thousand assessed value, Code of Iowa, sec. 256.69). One of the fundamental purposes of the law is that every town should be providing basic library service by taxing their residents, whether it is providing a library or contracting with another town for service.

A new committee of State Library staff was designated to review and revise the Standards used for achieving Tier status, as that was a major problem that was identified. Members of the committee included Nancy Medema, Scott Dermont, Bonnie McKewon, Trisha Hicks, Alysia Peich, Mandy Easter, Maryann Mori and Jet Kofoot. The revised edition of *In Service to Iowa*, 2016 was published in August 2016.

- **Q:** Is the overall purpose to reduce inequities with the function of reimbursement of Open Access and Interlibrary Loan and meeting standards to receive the funds?

R: Discussion included point of all money given is intended to supplement, not reduce local funding.

The recommendation at the end of this discussion was to either keep the programs as is, with small changes, or do away with these programs and use money for another way to support libraries.

STAFF COMMITTEE

The State Library then formed a staff committee to examine the recommendations from the Task Force. Committee members included Michael Scott, Nancy Medema, Barb Corson, Scott Dermont, Marie Harms, and Becky Heil. The committee determined that the most challenging aspect of the Enrich Iowa Program was Open Access and these five issues were identified to be addressed:

- RECORD KEEPING
- FAIRNESS
- CONTRACTS
- NON-PUBLIC LIBRARIES
- POSTAGE

The committee reviewed the issues and developed, with input from the Task Force, proposed changes to the OA Program including a required Tier 1 status to receive reimbursement, an automated system of reporting that would require only one total number of transactions, require verification for postage reimbursement for all items returned to another Iowa library, give libraries option to limit number of OA checkout to any eligible patron, and to treat all eligible patrons equally.

These changes were shared with the Task Force on November 20, 2015 and some determinations were made to move forward.

- Allow participation in OA for Academics (community colleges, regents, and private academics)
- No longer allow participation for K-12 schools, AEAs, museums, special libraries, and prison libraries
- Need a better definition of “eligible patron”

- Add language to Agreement for choice to not serve to include copy to city denied service
- Postage – need to not include interlibrary loans

The staff team worked with task force members to clarify the definition of eligible patron and revised the Open Access Terms of Agreement document to incorporate the changes.

The staff team then reviewed the other portions of Enrich Iowa to see if any changes needed to be made that hadn't already been reviewed with the Task Force.

The major changes to the existing programs include:

OPEN ACCESS

- Public libraries must be Tier 1 status to receive reimbursement
- Only public and academic institution libraries may participate
- Any resident from a town with a public library is considered eligible for Open Access, also includes any contracts with an existing library
- Any student from an Iowa academic institution is considered eligible for Open Access, unless a resident of that town
- Clarifications to jurisdiction and eligibility
- Consolidated all of the special library clauses concerning limitations to a single clause
- Libraries who want to be reimbursed need to sign the Letter of Agreement and submit a report. Not all libraries need to sign the Agreement for another library to be reimbursed for their patron's use of Open Access.

INTERLIBRARY LOAN REIMBURSEMENT

- Regent libraries now receive the same reimbursement as public libraries

DIRECT STATE AID

- The standards for accreditation were reviewed and revised and the new version of *In Service to Iowa, Public Library Standards* was published.

The new agreements will be sent to libraries in early spring 2017, to start July 1, 2017.

ENRICH IOWA AGREEMENT - PUBLIC LIBRARY
FY18 (JULY 1, 2017 - JUNE 30, 2018)

Due at State Library of Iowa Des Moines Office by April 30, 2017

Library Name _____ City _____

Phone (with area code) _____ E-mail _____

The Enrich Iowa program includes Direct State Aid for public libraries, Open Access for public and academic libraries, and Interlibrary Loan Reimbursement. The library will participate according to the Terms of Agreement for each program.

In order to participate in the Enrich Iowa program, you must check at least one of the programs listed below.

- Direct State Aid** - Direct State Aid is state funding to public libraries intended to improve library services and to reduce inequities among communities in the delivery of library services. Based on Accreditation Tier Level.
- Open Access** - Open Access pays public and academic libraries to serve eligible Iowa residents from outside their local jurisdiction. The purpose of the Open Access program is to offer Iowa residents access to public and academic libraries all over the state, so that Iowans have the convenience of using a library where they work, go to school, shop or visit.
- Interlibrary Loan Reimbursement** - Interlibrary Loan Reimbursement provides Iowans with equal access to library resources by encouraging and supporting interlibrary loan among libraries of all types.

1. GENERAL PROVISIONS

- A. Libraries must return this Enrich Iowa Agreement indicating the programs the library will participate in. This form must be signed by the library director or other signatory authority. This form must be received by the State Library Des Moines office by April 30, 2017.
- B. A public library must participate in Open Access and Interlibrary Loan Reimbursement in order to be eligible for Direct State Aid funding.
- C. A public library must meet Direct State Aid Tier 1 requirements or higher in order to receive Open Access or Direct State Aid funding.
- D. A library may choose to participate in Interlibrary Loan Reimbursement without participating in Direct State Aid or Open Access.

2. ASSURANCES

- A. Our public library named above was established on or before July 1, 2015, in accord with the *Code of Iowa*.
- B. Our library meets Tier one requirements or higher. This is required for Open Access and Direct State Aid funding.
- C. Our public library has submitted to the State Library a copy of the most recent ordinance or other legal documentation establishing our library as a public library.
- D. Our library will meet FY18 program reporting requirements.
- E. Our library will use all Enrich Iowa funds to improve library services.
- F. Our library's Enrich Iowa funds will supplement, not supplant, any other funding received by the library. Our library will inform the city and/or county of this requirement and we will report noncompliance to the State Library. We understand that if the funding is used to replace local funds, the funds received must be returned and our library will not be eligible for Enrich Iowa funding the following year.
- G. Our library will provide information for auditing purposes, if requested by the State Library.

Return this agreement: Scan and e-mail it to: toni.blair@iowa.gov; or FAX it to: 515-281-6191; or mail it to: Enrich Iowa, State Library of Iowa, 1112 E. Grand, Des Moines, IA, 50319. Please keep a copy for your files.

Signed: _____

Print name: _____

Title: _____

Date: _____

Signed: Michael Scott
Michael Scott, State Librarian
State Library of Iowa

Date: 2/1/2017

OPEN ACCESS TERMS OF AGREEMENT

FY18 (July 1, 2017 – June 30, 2018)

According to the **Enrich Iowa Agreement** made by and between the State Library of Iowa, and the Participating Library, hereafter referred to as the Participant, in accordance with the terms and conditions set forth below effective July 1, 2017 - June 30, 2018, it is mutually understood and agreed:

1. Purpose

Open Access is a program funded by the Iowa Legislature and administered by the State Library of Iowa. Open Access pays Iowa libraries to serve eligible Iowa residents from outside their local jurisdiction.

The purpose of the Open Access program is to offer Iowa residents access to libraries all over the state, so that Iowans have the convenience of using a library where they work, go to school, shop or visit.

2. Definitions

Local Library Jurisdiction: The jurisdiction is the area for which a library is funded to serve. This includes:

- Any city that funds the public library including the city where the library is located, and any contracting cities.
- Any unincorporated jurisdiction that funds the public library including the unincorporated portions of the county where the library is located, and any unincorporated portions of other counties.
- Any participating college, university or community college library.

Eligible Patron: Must be a resident of Iowa; live outside the local library jurisdiction; and meets one of the following criteria:

- Lives in a community that provides a public library
- Lives in an unincorporated area that provides, or contracts for, library services
- Lives in a community that contracts for library services
- Attends an Iowa public or private university, college, or community college

Transactions:

Eligible

- A. Physical items in all formats except for equipment.
- B. Items must be from your collection and for use outside the library. Items packaged together as a unit and checked out as a unit, are one transaction.
- C. Playaways or similar devices.

- D. Renewals of eligible items as listed on lines A to C above.

Ineligible:

- A. Downloadable audio, video, e-Books or other electronic items.
- B. Database use.
- C. Equipment including laptops, tablets, projectors, game consoles, eReaders, wireless hotspots, or other types of equipment.

Participants are required to circulate eligible items to all eligible patrons.

3. General Provisions

- A. Libraries must return the Enrich Iowa Agreement, indicating in the box provided, that the library will participate in Open Access. It must be signed by the library director or other signatory authority, and must be received by the State Library on or before April 30, 2017.
- B. To participate in Open Access for FY18, a public library must have been established on or before July 1, 2015 in accord with the Code of Iowa, 392.1.
- C. A public library must meet Direct State Aid Tier 1 requirements or higher in order to receive Open Access funding.
- D. Participants cannot deny service to residents from any Iowa jurisdiction with a public library or a student at an Iowa academic institution. Open Access Eligible Patrons are subject to the same circulation policies, regulations, and restrictions, as local patrons for eligible transactions, except for limits referred to in provision 3F below.
- E. A local public library board may decide to deny Open Access service to residents of a jurisdiction that is contracting with a library(s) at a rate that the board deems to be inequitable. The library's board must notify the State Library, and the jurisdiction denied service, in writing, of its intent and rationale for the decision prior to any action.
- F. A local public library board may decide to limit the number of Open Access items checked out to Eligible Patrons. If the library chooses to limit the number of Open Access items checked out it must treat all Open Access Eligible Patrons equally. The library's board must notify the State Library in writing of its intent and rationale for the decision prior to limiting access.
- G. Participants have the option to offer services other than Eligible Transactions to Eligible Patrons.

4. The Participant shall:

- A. Provide a signed ordinance or other legal documentation to the State Library, dated on or before July 1, 2015, establishing it as a public library.

- B. Check out eligible library materials to Eligible Patrons.
- C. Accept returned items borrowed from any other library in Iowa.
 - a. Return items to the owning library and indicate the return date.
 - b. Log an accurate record of actual postage spent to return items. Libraries will be reimbursed for full postage amount spent to return Open Access items. Libraries will not be reimbursed for any other method of return.
 - c. If an item is overdue, the library that owns the item collects any fines according to local policy.
 - d. Interlibrary Loan items are not eligible for postage reimbursement.

5. The State Library of Iowa shall:

- A. Administer the Open Access program.
- B. Distribute Open Access funds to participants based upon the formula and availability of funds.
- C. Inform libraries about the availability of Open Access funds.
- D. Answer Open Access related questions.
- E. Communicate changes to the program in a timely manner.
- F. Monitor compliance with the Open Access terms of agreement.
- G. Initiate a transaction audit if deemed necessary.
- H. Take appropriate action if a participant is not honoring the terms of this agreement.
- I. Provide a list of communities (that either provide a public library or pay for service to a public library) and participating academic libraries whose patrons are eligible for Open Access.

INTERLIBRARY LOAN REIMBURSEMENT TERMS OF AGREEMENT FY18 (JULY 1, 2017-JUNE 30, 2018)

According to the Enrich Iowa Agreement made by and between the State Library of Iowa, and the Participating Library, hereafter referred to as the Participant, in accordance with the terms and conditions set forth below effective July 1, 2017 - June 30, 2018, it is mutually understood and agreed:

1. PURPOSE

The purpose of the Interlibrary Loan Reimbursement Program is to provide Iowans with equal access to library resources by encouraging and supporting interlibrary loan among all types of libraries. The Interlibrary Loan Reimbursement Program is funded as part of the Enrich Iowa program to subsidize participating libraries for each interlibrary loan made to an eligible Iowa library.

2. DEFINITION

Interlibrary Loan (ILL): An Interlibrary Loan is a transaction of library materials, or copies of the materials, received or loaned by one autonomous library from another upon request. The libraries involved in interlibrary loans are not under the same library administration. Definition is taken from the Institute of Museum and Library Services.

3. GENERAL PROVISIONS:

- A. Libraries must return the **ENRICH IOWA AGREEMENT** indicating, in the box provided, that the library wishes to participate in Interlibrary Loan Reimbursement. It must be signed by the library director or other signatory authority, and received at the State Library Des Moines office on or before April 30, 2017.
- B. Participant agrees to loan as well as borrow.
- C. Participant as Lender is not obligated to fill requests for newly published materials or items costing less than \$10.00. Participant as borrower should consider purchasing these types of materials before requesting a loan.
- D. School or academic participants that close before June 30 should submit claims before the end of the school year. Late claims may not be approved for payment.
- E. Participant is reimbursed annually for each item loaned to eligible libraries. Reimbursement is based on transactions from the previous fiscal year. (See Reporting in Section 5D).
- F. Providing interlibrary loan services to nonresidents (i.e., Open Access customers) is a local library option.
- G. Participant as borrower may charge library customers up to \$3.00 per item to offset postage.
- H. The Interlibrary Loan Reimbursement program will not provide reimbursement:
 - For bulk loans of a collection of different titles, e.g. a large print collection
 - For lost or damaged materials
 - For postage to send or return ILL items
 - To State agency libraries for loans made to other libraries
 - To AEA media centers for loans made to school libraries
 - To Regents university libraries for loans made to other Regent university libraries
 - To special libraries for loans made to other special libraries
 - For loans that are reimbursed under other contracts or agreements
 - For loans to a resident of a city with a library that owns the item

- J. Participant receives reimbursement for items loaned to Iowa libraries of the following types:
- AEA media centers
 - College, community college, and university libraries
 - Public libraries
 - School libraries
 - State-run institution libraries
 - State agency libraries

4. RESPONSIBILITIES OF THE PARTICIPANT AS BORROWING LIBRARY:

- A. Verify citation and identify libraries that own the requested material. Check and adhere to the policies of the lending library.
- B. Send the request using SILO ILL system, OCLC Resource Sharing, other electronic networks, mail, e-mail or fax.
- C. Send requests, unless covered by other agreements, first to like-type, like-sized, and nearest libraries. Regent university libraries are libraries of last resort, and shall be accessed only when all other resources have been exhausted.

5. RESPONSIBILITIES OF THE PARTICIPANT AS LENDING LIBRARY:

- A. Honor ILL requests from all participating Iowa libraries.
- B. Do not charge Iowa borrowing libraries for interlibrary loan.
- C. Follow its own policy regarding charges to the borrowing library for faxes and for materials lost or damaged during the interlibrary loan process.
- D. Report interlibrary loan activity in accordance with the following:
- Report eligible interlibrary loan transactions annually in accordance with directions and deadlines established by the State Library.
 - Submit the Interlibrary Loan Reimbursement Report form and Transaction Log (if applicable) to the State Library by July 31, 2018. *No report is necessary if all interlibrary loans transactions were made through OCLC and SILO.* Provide additional information for reporting purposes as requested by the State Library.
 - If a loan was not made through SILO or OCLC, provide verification, along with the report, that it was made in response to a specific request for the item from another library. Verification may be in the form of photocopies of requests or a log listing the transaction.
 - Report a photocopy of an article as one transaction regardless of the number of pages photocopied.
 - Report *each* copy of the same title loaned for book discussions as one transaction.
 - Libraries that are part of a shared automation system must provide documentation that interlibrary loans reported for reimbursement were checked out by a resident of a city other than their own.

6. RESPONSIBILITIES OF THE STATE LIBRARY:

- A. Administer the Interlibrary Loan Reimbursement program on behalf of participating Iowa libraries and distribute Interlibrary Loan Reimbursement contingent upon receipt of funds.
- B. Post a copy of the Interlibrary Loan Reimbursement Report form and the Transaction Log on the State Library's website.
- C. Reimburse participants annually for each item loaned to eligible libraries.

- D. Reimbursement is based on transactions from the previous year. FY18 Reimbursement is based on the funds available and the total number of transactions for FY17.
- E. Inform libraries as to the availability of funds under Interlibrary Loan Reimbursement and answer questions on the details of Interlibrary Loan Reimbursement. Changes to Interlibrary Loan Reimbursement will be communicated in a timely manner to all participants and other interested parties.
- F. Monitor compliance with the Interlibrary Loan Reimbursement terms of agreement. Audit reports as needed to ensure compliance, and take appropriate action if a participant is not honoring the terms of this agreement.

DIRECT STATE AID TERMS OF AGREEMENT

FY18 (JULY 1, 2017 - JUNE 30, 2018)

According to the **ENRICH IOWA AGREEMENT** made by and between the State Library of Iowa, and the Participating Library, hereafter referred to as the Participant, in accordance with the terms and conditions set forth below effective **July 1, 2017 - June 30, 2018**, it is mutually understood and agreed:

1. PURPOSE

The purpose of Direct State Aid is to improve library services and to reduce inequities among communities in the delivery of library services.

2. GENERAL PROVISIONS

- A. A public library must participate in Open Access and Interlibrary Loan Reimbursement in order to be eligible for Direct State Aid funding.
- B. Tier 0 public libraries may participate in Interlibrary Loan Reimbursement without participating in the Direct State Aid program.
- C. Libraries must return the **ENRICH IOWA AGREEMENT** indicating, in the box provided, that the library wishes to participate in Direct State Aid, Open Access, and Interlibrary Loan Reimbursement. It must be signed by the library director or other signatory authority, and received at the State Library, Des Moines office on or before **April 30, 2017**.

3. THE PARTICIPANT SHALL:

- A. Have an Internet Use Policy in place.
- B. Have a current accreditation report on file at the State Library demonstrating that the library meets the standards requirements of Tier 1, 2, or 3.
- C. Submit the FY16 Iowa Public Library General Information Survey (annual survey) to Iowa Library Services by **February 1, 2017**.
- D. Submit the FY17 Direct State Aid Report by **July 31, 2017**. The report will include a listing of the Direct State Aid payments received and expenditures made.
- E. Expend FY18 Direct State Aid funds by **June 30, 2018**.
- F. Participate in Open Access and Interlibrary Loan Reimbursement per the Terms of Agreement.

4. IOWA LIBRARY SERVICES SHALL:

- A. Administer Direct State Aid on behalf of participating Iowa public libraries and distribute reimbursement contingent upon receipt of funds.
- B. Post the Direct State Aid report form on the Iowa Library Services' website.
- C. Inform public libraries about availability of Direct State Aid funds and answer questions on the details of Direct State Aid. Changes to the program shall be communicated in a timely manner to all participants and other interested parties.
- D. Reimburse participants based on the formula established by the Iowa Commission of Libraries. Please refer to the Enrich Iowa FAQ for a complete explanation:
<http://www.statelibraryofiowa.org/ld/e/enrich-ia/enrichiafaq>
- E. Monitor compliance with the guidelines of the program. Audit reports as needed to ensure that participants are following the guidelines listed in the **Enrich Iowa Agreement**. Take appropriate action if a participant is not honoring the terms of this agreement.