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NEW JERSEY PUBLIC LIBRARIES AND FUNDING

By

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A Thesis

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ABSTRACT

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NEW JERSEY PUBLIC LIBRARIES AND FUNDING
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Master of Arts in School and Public Librarianship
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The purposes of this exploratory study was to examine New Jersey public libraries with budgets exceeding $3 million dollars and find out their sources of funding. In particular, with the financial climate of many state libraries' budgets being cut, the mailed questionnaire focused on whether 18 public libraries out of a selection of 21 libraries in New Jersey have established endowment funds or deferred giving plans. Results found that only a few libraries have funding other than local community tax revenue. Most library directors acknowledge that fundraising is a viable way to diversify their income, and that in concept it is valuable. The majority of libraries were not doing fundraising on any sustainable basis, and their philosophical agreement to raise money did not translate into any significant action on their part.

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CHAPTER I

STATEMENT OF THE PROBLEM

Philanthropy and libraries have a long history of being tied together. Many public libraries trace their origins to philanthropies during the 18th and 19th century when private libraries were established. The most famous examples were the libraries established by industrialist Andrew Carnegie. Jeavons (1994, p. 8) stated that during the middle of the 19th century, some states began enacting legislation which permitted communities to establish public libraries and support them through the appropriation of public funds.

Twenty five to thirty years ago, the measure of library support was an application of a per capita figure to its level of expenditure (Jeavons, 1994, p. 12). However, a per capita figure as a formula may not be a fair distribution of tax monies. In the near future, the survival of the traditional public library may be jeopardized if they are limited to public funds. Many state budgets have been slashed with corresponding cuts in library support (Coffman, 2000, p.1).

Even the American Library Association has gotten into the fundraising act with their "Save America's Libraries" promotion. "The future is at your library so make sure your library has a future." Their campaign describes how to support a library's funding efforts and to make a difference by becoming a library advocate and a Library Friend through contacting the local library. Today there are 16,213 public libraries in the United

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States -- more than there are McDonald's restaurants (Tyckoson, 2000, p. 40).

In addition to facing budget cuts, many public libraries are confronted with privatization. In New Jersey, Library Systems and Services, Inc. (LSSI) assumed management at the Jersey City and Linden public libraries, and was prepared to manage the Passaic library (Coffman, 2000, p.5).

While state aid is a major part of public library funding, directors of libraries need to be more proactive in finding other sources of income. There are many ways to build financial support from Friends Groups to endowments. Public libraries can take a lesson from their not-for-profit counterparts in the arts fields according to Steve Coffman of LSSI. He (Coffman, 2000, p.1) suggested that libraries look at museums and public broadcasting, noting that public radio stations, when federal funds were lost, turned to pledge drives, corporate sponsorships, memberships and even catalog sales. "While 85 percent of public radio funding came from tax dollars in 1985, today more than 61 percent comes from private individuals" (Coffman, 2000, p.1). While library foundations, Friends groups, and even library cafes have "generated modest revenues," he stated, "so far efforts to diversify library funding have been piecemeal and uncoordinated." He added "public libraries reliance on taxes is not currently working and probably will not improve soon" (Coffman, 2000, p.2). He stated what public radio learned to do was to effectively exploit every source of funding available to them- from tax revenues, listener memberships, and corporate underwriting and sponsorships. Technically this model is called plural funding since revenue comes from various sources (Coffman, 2000, p.2).

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Reduced public spending power and taxpayer pressures have created

circumstances where library administrators are forced to make difficult choices about

services, standards and personnel. Professional fundraisers agree that libraries have a great

potential for fundraising. Robert Hartsook, a fundraiser from Wichita, Kansas confirmed

"the fundraising opportunity as one that many libraries until late in the last decade

generally didn't understand or seize" (Albanese, 2002, p.42). The evidence from library

foundations nationwide does show that because of their place in the community, libraries

are in a unique position to tap donors. The Seattle Public Library is one example. "While

new donor acquisition for most direct mail campaigns are lucky to draw a .05 percent to

1.5 response" noted Terry Collings, the executive director of the Seattle Public Library

Foundation, "in our case 12 percent of the people we contacted are making gifts to our

campaigns. A 12 percent acquisition rate using cold lists is unheard of with other

organizations" (Coffman, 2000, p. 12).

According to the National Center for Education Statistics website (NCES) in

1997, 77.6% of public library income was acquired from local funds, 12.1% from state

funds, and .09% from federal funds. The remaining funds (over 9%) came from other

sources, which included user fees, special events and private fundraising efforts involving

foundations, corporations, individuals, and "Friends of the Library" groups. Data released

from the American Association of Fundraising Council in their Giving USA 1999 report

on-line stated the total contributions to not-for-profit organizations in 1998 totaled

$174.52 billion and was a 10 percent increase over 1997 amounts (Coffman,2000, p.12).

Objectives and Purpose of this Study

The purpose of this research study was to determine if selected New Jersey public libraries participated in any form of fundraising to supplement their library budgets beyond the typical Library Friends groups. In particular, the research concentrated on whether large public libraries in New Jersey have participated in endowment planning or planned giving techniques of fundraising. This study examined typical sources of funding in order to determine trends and patterns in library funding. Research questions addressed by this study included:

1. What are the major sources of funding for large public libraries in New Jersey?

2. What dollar amounts are provided by government sources as compared to private sources?

3. To what extent are public libraries participating in endowments or planned giving programs?

4. Do public library personnel expect any changes in library fundraising activities over the next five years?

5. What roles do Board of Trustee members (Advisory Board members or Commissioners) or Friends of the Library groups have in fundraising?

6. What policies exist regarding soliciting and receiving monetary gifts?

There are many books and articles regarding fundraising strategies for libraries. However, there are few studies in the library field that have examined public libraries and fundraising. The results of this study could be used as a working paper encouraging public

libraries to find new ways to raise money and supplement their budgets.

Definition of Terms

Endowment: A fund or sum of money, received as a gift or bequest, which is invested by the recipient. The earnings or part of the earnings are expended, usually for a purpose designated by the donor, while the principal remains intact for future earnings (Young, 1983, p.85).

Foundation: The purpose of a library foundation is to receive money, particularly large sums, charitable trusts and bequests. The money is invested and the proceeds go to the library each year (Wolfe, 2000).

Friends of the Library or Library Friends (FOL): An organization of interested individuals formed to support a particular library through public relations and fund raising endeavors. Synonymous with library associates (Young, 1983, p.102). For the purposes of this study, in some libraries, the Friends of the Library group may operate a small gift shop or conduct an annual book sale, using the proceeds to support library programs and services. Also referred to as Friends groups in this study.

Fund-raising: For the purposes of this study, programs and activities intended to encourage benefactors to contribute a portion of their wealth to a library or library system, in support of capital expenditures and operating budgets (Young, 1983, p. 102).

Library director: The title used to designate the chief executive officer of some libraries or library systems and most frequently denoting authority over more than one library. The title is usually modified with a word or phrase such as "library director", "director of libraries", or "director of library services" (Young, 1983, p.75). For the purposes of this study, the person who has overall responsibility for supervising the operations of a library or library system, including strategic planning, budgeting, policy-making, personnel management, and program assessment. In a public library, the library director is usually subject to the oversight of a board of library trustees.

Board of Library trustees: An official body consisting of several individuals which has comprehensive authority for governing an organization or agency. Its members, commonly called trustees or directors, may be elected, appointed, or selected by some other legally established procedure. A governing body common to most public libraries, it in most cases retains authority in broad policymaking areas but delegates considerable authority to the chief administrative officer (Young, 1983, p. 26).

Not-for-profit: An incorporated organization which exists for educational or charitable reasons and from which its shareholders or trustees do not benefit financially (Wall Street Journal, 2002).

Planned giving or deferred giving: The application of sound financial and estate planning concepts to one's plans for lifetime and testamentary giving. An organized effort to

encourage long term commitments through such deferred gifts as trusts, bequests, and life insurance (Wolfe, 2000).

Privatization: The contracting out of library services under an agreement that transfers control over policy decisions and management of library collections and services from the public to the private sector, usually to an external agency that operates on a for-profit basis (Reitz, 2002).

Public library: A library or library system that provides unrestricted access to library resources and services free-of-charge to all the residents of a given community, district, or geographic region, supported wholly or in part by public funds (Reitz, 2002).

Taxes: A contribution for the support of a government required of persons, groups, or businesses within the domain of that government (Reitz, 2002).

Assumptions/Limitations

An assumption of this study was that all of the public libraries have a "Friends" membership group. It was anticipated that there was a range in donation fees to join the Friends group. Another assumption was that the larger in population, or the wealthier communities were the ones who grew beyond a Friends group and established an endowment fund or a foundation. Another assumption was that successful fundraising by public libraries contributes to the success of the library overall.

The main limitation of the study was that the findings were limited to the New

Jersey public libraries responding to the survey. Another limitation was comparing libraries based on total expenditures, and not knowing about circumstances or history in their community that may have contributed to them being a successful library financially, and why they were or were not successful in fundraising.

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CHAPTER II

LITERATURE REVIEW

A search of library literature indicated that fundraising in public libraries was not a well-researched activity, and what literature was published is conflicting. What is known, is that academic libraries have been fundraising for decades (Wedgeworth, 2000, p. 530). However, with the rapid growth of information, costs of service and materials, and demands of adult services, public libraries now need to consider private fundraising much more seriously (Burlingame, 1995, p. v).

Reasons why public libraries have been slow to pickup on fundraising strategies, according to Jeavons (1994) were, first, that some people feel that public institutions should be supported solely by public funds or else they may become subject to private interests. Secondly, librarians became alarmed that by seeking private support, legislators and government agencies would have an excuse to cut budgets. Lastly, librarians were concerned that public institutions should not be competing with private philanthropic organizations that are much more dependent on private monies (Jeavons, 1994, p.17). More public libraries are realizing that these attitudes need to change if they are going to survive.

A Brief History of Public Librarianship

Libraries existed during Greco-Roman times because of the generosity of their benefactors. By 1524, Martin Luther called for establishing libraries in order to spread Protestantism. Libraries in early historic America were supported by private gifts but not open to the public (Harris, 1984, p. 36). Another common early library was one owned by private citizens but made available for public use (Burlingame, 1995, v). There were no more than a dozen such privately owned but publicly used libraries in existence in 1762 (Burlingame, 1995, vi). Benjamin Franklin's launching of the subscription library in Philadelphia in 1731 served as a model for many other libraries (Burlingame, 1995,vii). By 1833, the Peterborough, New Hampshire State literary fund gave money in establishing a free public library (Harris, 1984, p.8).

In 1852 the Trustees of Boston Public Library issued a report for an "ideal conception of public library service." As a result the Boston Public Library was established in 1854 (Harris, 1984, p. 10). In 1881 Andrew Carnegie donated funds for the establishment of a public libraries in Pittsburgh (Harris, 1984, p. 13). "I choose free libraries as the best agencies for improving masses of people because they give nothing for nothing. They only help those who help themselves" (Harris, 1984, p.15). By 1920 Andrew Carnegie had donated $50 million for establishing 1,697 public libraries.

Public support for financing public libraries on the national level did not really begin until 1983 with the passage of the Library Services Act, and the following Library Services and Technology Act (Burlingame, 1995, vi).

Research Studies

Eaton's survey in 1971 was an early study on fundraising and academic libraries.

His conclusion was that university librarians did not consider fundraising part of their

work (Burlingame, 1995). Breiwick and Gibson (1979) said "most libraries seem reluctant

to engage in major fundraising efforts" (White, 1992, p.8). One of the few early articles

examining the role of private funding in public libraries was a study by Bryant in 1984

studied the Patten Free Library in Bath, Maine, that relied on private funds for 96% of its

operating budget (Burlingame, 1995).

The most vocal advocate of the library fundraising movement has been Dwight

Burlingame, of Indiana University's Center for Philanthropy. He conducted surveys of

academic, public and state libraries for the American Library Association's division,

Library Administration and Management Association (LAMA) fundraising and fund

development divisions (Fischler, 1987, Burlingame, 1987). He followed this with a survey

(Burlingame, 1990a) where he found that the majority of librarians felt fundraising was

important in meeting special needs and valuable support. In this study he found public

libraries used book sales as the most common fundraising method. He also found that the

public relations function (making people feel a part of a community) was as important as

the money raised.

Lynch (1988) in her study found the most likely sources of public support were

individuals or Friends groups. While Lynch found that fundraising activity had increased,

her conclusion was that most public libraries were still not developing their private

fundraising capabilities. Jeavons (1994) found that 14.9 % of the public libraries in his

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study reported no income from fundraising, and 70% said their level of fundraising activity had increased over the past ten years.

A close examination of the history of public libraries indicates that among the main national public libraries there have always been libraries with access to and the use of some private funds. In many cases, an endowment for maintaining the building or support of the collection was provided (Van Slyck, 1989).

Unfortunately statistical data on this subject to date has been limited. Two of the major research studies found that were relevant, were done by the Library Community Foundation (LCF) and the Urban Library Council (ULC).

The Urban Library Council (ULC) (1993) conducted a survey of its 89 members in order to gather additional data, which would discount or support reports by librarians of increased fundraising activity (Jeavons, 1994, p. 3). According to the ULC, three of four librarians polled turned to the private sector to supplement their fundraising support. The ULC said 59% of the libraries had endowments, 44 % foundations, and 92 % Friends groups. The Public Library Data Service statistical report (PLDS) for 1993 indicated that 246 of the 627 libraries (39%) responding reported income from a library endowment (Jeavons, 1994, p. 6). A total of 205 public libraries (33%) from that sample had their own foundations, and among those libraries more than a fourth of them considered their foundation to be among "their most important sources of income" stated the PLDS. The survey of ULC libraries confirmed the PLDS findings. Among the ULC respondents, 44% reported having their own foundations and another 20 % expected to establish one in the next few years (Jeavons,1994 p. 11).

The LCF (2002) conducted a written mailed survey to 1,941 library directors, board presidents and library board treasurers to gather specific information and profiles for Illinois libraries. Approximately 30% of these individuals responded for a total of 700 responses. The analysis of the data concluded that very limited fundraising beyond grant writing was being done in public libraries. A total of 74% of the respondents said they did not view fundraising as a high priority and 6.7% had a written plan for fundraising. While these were the results, 13.3% of the librarians disagreed that the future of their libraries depended on diversifying their income. These seemed to be contradictory statements.

Using the most recent available data on public libraries in Illinois from 1998, LCF found that over 70% of the income for a typical library was derived from local taxes and only 10% of libraries get as much as 25% from state sources. The remaining money comes from private sources. They found in doing a basic literature search in library related journals from 1990 to 2002 that articles in the 1990s focused on the idea of fundraising and importance of alternative sources of funding. Even so, very few librarians were exploring other sources of income and there was a real disconnect between what libraries said they were doing, and what they were actually doing (LCF, 2002).

The conclusion about the discrepancy over this ten year period where urban libraries say they were fundraising and Illinois libraries who say fundraising was not important to their libraries, may have been that the urban libraries were further advanced in fundraising compared to suburban libraries in middle America. At that time, as Jeffrey Kroll stated, "library fundraising is used to supplement not supplant" (Burlingame, 1990b p.65). In addition, an e-mail survey sent out by LCF explored the fundraising

situation regionally and locally regarding continuing education and library trends in fundraising. Their survey found that there was very little or no continuing education on fundraising and what exists was geared to grant seeking. They noted a growing interest in fundraising and a few libraries trying to move beyond seeking small grants or "Friends of the Library activities" (LCF, 2000). Another study sponsored by LCF focused on the training of library professionals. They researched courses offered in 46 graduate and MLS programs and found they did not include any classes on fundraising or philanthropy. In this yearlong study, the LCF concluded that comprehensive, library specific training was needed to help libraries overcome fundraising barriers (LCF, 2000).

Mary Jo Lynch undertook a study for the American Library Association Office for Research (1988) regarding non-tax sources of revenues for public libraries. Of the 869 questionnaires mailed out, 619 usable returns were received (71%). The least likely source of funding reported was at that time the United Way at 4.8% and the most likely source for funding was individual contributions totaling 51.7%. It was not surprising that the study found that smaller public libraries (with populations under 25,000) relied more heavily on gifts from Friends groups, individuals and local funds. Lynch concluded that it was reasonable to expect that based on past history these libraries would continue to operate at a minimum financial level even in 2010. Tables from the ALA survey showed that one non-tax source of revenue was developing and establishing a library foundation. The ALA survey found that most libraries had not tapped into this source. Of those who responded indicating assets in a foundation, only 14 % had assets under $50,000. About

26 libraries out of the other 619 libraries (or 4%), had assets over $100,000 (Lynch,1987, p. 71).

Another study that contributed to this research project was one by Bertot, McClure and Ryan (2002) who found that new funding sources were crucial to funding technology resources. These funds, including the Library Services and Technology Act (LSTA), the e-rate, other federal and state and local programs and the Bill and Melinda Gates Foundation, have enabled libraries to engage in meaningful experimentation and innovation (Bertot, 2002, p.1). Durrance and Van Fleet (1992) did a telephone survey of 23 public library leaders who were chosen from five source lists including Public Library Association Board members, American Library Association Council, and the OCLC Future of the Public Library Conference. They found that five categories of change affected the success of the public library in 1990. Among the items discussed were adapting public relations and marketing strategies, planning to meet community needs, and responding to the need for developing library funding programs (Durrance, 1992, p.8).

Carrigan (1994) distributed a questionnaire to 100 public libraries nationwide serving populations from 25,000 to 100,000. Library directors were asked questions regarding their fundraising. He had an 83% response rate of which 61 libraries reported raising a total of 24.7 million over 1989-1992. Respondents ranked the importance of individuals and groups involved in fundraising on a scale of 0 (not important) to 5 (most important). Library directors received the greatest number of 5s, followed by Board of Trustees, Friends organizations and foundations. Carrigan found the larger the library, the more often the library director would acknowledge that their staff included a fundraiser or

a development person. Survey data indicated that books and audiovisual materials were first funding priorities, followed by programming, funding for equipment, endowments, and additions and renovations (Carrigan, 1994, p.31).

In addition, Carrigan's survey found that 55 respondents had success raising money through individual contributions, 45 through corporations and 39 through foundations. Also, directors were asked whether they felt raising private funds might result in a reduction of tax dollars. No respondent indicated that they felt this way. Carrigan also asked about unwanted monetary gifts. The majority of library directors indicated as long as the conditions for receiving the gifts were broad (for example- the purchase of children's materials), they had no qualms about accepting monetary gifts with strings attached. Almost half of the directors questioned gave weight to tax-exempt foundations as a factor in fundraising. Carrigan found more than one third of libraries raised private funds for endowment, but library size was not a factor in this pursuit (Carrigan, 1994, 35).

Endowments and Planned Giving

What does this all mean? More and more public libraries should see the importance of endowment funds to provide increased annual income from investment earnings. In an article for *The Chronicle of Philanthropy*, Greene, et al., argued that planned giving provides a way for an organization to develop the financial resources needed to ensure its future. And, the authors stated endowment funds provide increased annual income from investment earnings. Planned gifts may be a bequest, which gives the donor tax advantages as well as providing assets transferred to the donor organization at a later date (Greene, 1993).

Total charitable giving reached an estimated $240.92 billion for 2002 according to the *Giving USA* report released by the American Association of Fundraising Consultants (AAFRC) Trust for Philanthropy (AAFRC, 2003). Giving through bequests in 2002 was estimated to have increased 2 percent. Library fundraising and development was expected to grow and change depending on the economy and other societal factors.

Trezza stated the greatest effort must be made at the local level, as this will always represent 75 to 85 % of revenue sources (Trezza, 1989, p.79). Planned giving holds the best future for libraries said Swan (1990). In the next ten to 20 years, the prewar generation, a group committed to financial security after the Great Depression, will be passing on trillions of dollars in small communities across the nation. Most of this money is expected to go to family members, but Swan said about 17% could pass onto charities. Libraries are in the perfect position to become these charities (Swan, 2003). Collings and fundraiser Hartsook agreed that individual fundraising including bequests were where the greatest potential lies (Albanese, 2002, p.42).

The American Library Association and Library education organizations ultimately are responsible whether librarians are prepared for the role of fundraising professionals. Some fundraising training for librarians has begun to occur. Recently, The Library Foundation Center (LFRC) sponsored a two year project funded by the W. K. Kellogg Foundation and Carnegie Corporation in New York offering fundraising training to libraries and trustees in collaboration with the Fundraising School of the Indiana University Center of Philanthropy workshops on fundraising. Burlingame stated more efforts, like this, were needed to train library professionals. Clearly, the ability to find

various sources of support from public and private sources, will be an important

requirement for all directors of public libraries (Burlingame, 1990b, vi).

Summary

In conclusion, public library funding generally has three parts according to

Carrigan -tax revenue, fees and private contributions. Opposition to increasing fees, he

said, makes them an unlikely future source of more income. Therefore, library directors

and Board members have two options -- to provide a level of service based on decreased

funding or to increase funding through private means (Carrigan, 1994, p. 35). Much more

can be explored and written on the topic of fundraising as it applies to public libraries, and

more library directors and trustees will be reexamining the role fundraising plays in their

libraries.

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CHAPTER III

METHODOLOGY

Overall Design and Justification

The purpose of this study was to determine whether selected New Jersey public libraries had moved beyond using "Friends groups" and foundations, to more complex types of fundraising such as endowments and deferred giving. This report was based on an applied descriptive survey, which was distributed and resulted in qualitative and quantitative data. This method was chosen because "one can make inferences about a large group by studying a smaller group" (Powell, 1997, p.57). It was the intent of this researcher that the results provide a basis of study of the national public library population. Another advantage of using the survey was that the researcher could reach a large number of people in a short period of time (Powell, 1997, p.91).

Purpose and Research Questions

Research questions addressed in this survey focused on what were the public libraries' major sources of funding; anticipation of changes in fundraising over the next five years; and what role trustees or board members play in fundraising. In addition, what library policies exist regarding monetary gifts; funding amounts from government sources as compared to private sources; and to what extent public libraries were participating in endowments or planned giving programs.

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Sample

The population of public libraries selected was from NCES data for New Jersey public libraries that had a budget of $3,000,000 or more (NCES, 2003). The total number of these libraries came to twenty-one, including the researcher's own library. Director's names were found by consulting the *New Jersey Library Directory* (*Official Directory*, 2003, p. 35-96).

Survey Design

The survey developed was one page double sided and the questions included an assortment of multiple choice, Likert and open-ended questions. Significant white space encouraged respondents to write more than yes/no answers. The research questions addressed were:

1. What are the major sources of funding for large public libraries in New Jersey?

2. What dollar amounts are provided by government sources as compared to private sources?

3. To what extent are public libraries participating in endowments or planned giving programs?

4. Do public library personnel expect any changes in library fundraising activities over the next five years?

5. What roles do Board of Trustee members (Advisory Board members or Commissioners) or Friends of the Library groups have in fundraising?

6. What policies exist regarding soliciting and receiving monetary gifts?

Data Collection

Pre-testing was conducted the week of February 12, 2004 among several colleagues, the researcher's program advisor, and two libraries not included in this survey sample. Adjustments were made to the survey elements and the final questionnaires were printed and mailed on February 18, 2004. A two-week period was given and responses were returned by February 26, 2004. A copy of the cover letter and questionnaire can be found in Appendix A and B. In the event, that responses were not received by the deadline, a second questionnaire was mailed with a response time of March 6, 2004, at which time the data were compiled and analyzed. Thank you cards were sent the day after surveys were received as a courtesy for all those individuals responding to the survey.

Variables

The main variables were the attitudes of the library directors participating, and their individual library's fundraising history. An additional variable was the librarian's number of years of experience as a librarian and with fundraising in general.

Data Analysis

The SPSS student version statistics program at Rowan University was utilized for data analysis. The data were collected by the distribution of a short questionnaire (see Appendix A). Data analyses are presented in Chapter IV in a series of tables and figures.. Numbers were assigned for each response and recorded as frequencies or percents. Conclusions from this study can be found in Chapter V.

Reliability and Validity

The questionnaire was pre-tested with colleagues to eliminate confusing language. The expectation of the researcher was that this survey could be replicated in other parts of the country, and the information presented here substantiated by subsequent studies.

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CHAPTER IV

ANALYSIS OF DATA

Questionnaires were mailed out a week later than anticipated originally. They were mailed February 18, 2004 with an expected return by February 26, 2004. Several libraries were sent a second mailing, or a phone call, e-mail, or fax to ask for their cooperation in filling out the survey. From the 21 original libraries, 18 libraries responded. One library declined outright to take the survey and two did not respond by e-mail, direct mail or repeated phone calls. While hoping for 100% participation, the researcher had to accept an 85% return rate. Questions were quantitative and qualitative in nature with surveys being the means of inquiry.

Input was made on SPSS Version 11 and used for data synthesis. Some of the tables and figures were done on Microsoft Excel spreadsheets, and inserted into a Microsoft Word document. Responses were as follows.

Question #1 addressed how many years an individual was a library director and how many years they had in fundraising experience. Table 1 and Table 2 show the frequency tables of the years survey respondents have held the position as Library Director and their years of fundraising experience.

Table 1- Years Library Director

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1	1	5.6	5.6	5.6
	2	2	11.1	11.1	16.7
	3	2	11.1	11.1	27.8
	4	1	5.6	5.6	33.3
	7	1	5.6	5.6	38.9
	8	2	11.1	11.1	50.0
	11	1	5.6	5.6	55.6
	13	2	11.1	11.1	66.7
	15	1	5.6	5.6	72.2
	18	1	5.6	5.6	77.8
	20	1	5.6	5.6	83.3
	22	1	5.6	5.6	88.9
	24	1	5.6	5.6	94.4
	34	1	5.6	5.6	100.0
	Total	18	100.0	100.0	

Table 2- Years Fundraising

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	0	5	27.8	27.8	27.8
	2	1	5.6	5.6	33.3
	5	1	5.6	5.6	38.9
	6	1	5.6	5.6	44.4
	7	1	5.6	5.6	50.0
	8	1	5.6	5.6	55.6
	9	1	5.6	5.6	61.1
	10	1	5.6	5.6	66.7
	22	1	5.6	5.6	72.2
	23	1	5.6	5.6	77.8
	24	1	5.6	5.6	83.3
	34	1	5.6	5.6	88.9
	35	1	5.6	5.6	94.4
	99	1	5.6	5.6	100.0
	Total	18	100.0	100.0	

Table 1 shows that nine library directors had less than nine years of experience as a library director, and the other nine had more than 10 years of experience. Table 2 shows that six library directors had no experience in fundraising, six library directors had from two to nine years, and the other six, or a third, had more than 10 years.

The second question on the survey compared funding sources on a scale of 1 to 6 with 1 being the most important and 6 the least important. The six items participants were asked to rate were funding from the Federal government, state government, local community taxes, Friends organizations, endowments and deferred giving. Several respondents were confused by the rating scale assigning the same number to several items on the list. One respondent also added a category of fines and fees as important making her selections rated from 1 to 7. Fines and fees were covered in the researcher's next survey question, however.

Figures 1- 6 show pie charts of funding importance. The majority of libraries surveyed rated community tax revenue as the most important support of their libraries funding, followed by state library support and contributions from Friends organizations. Federal government support was rated next. Four libraries said that endowment support was not applicable and four other libraries rated it as least important. Six libraries, or a third, rated deferred giving as not applicable, and the other two-thirds, or 12 libraries rated it as least important.
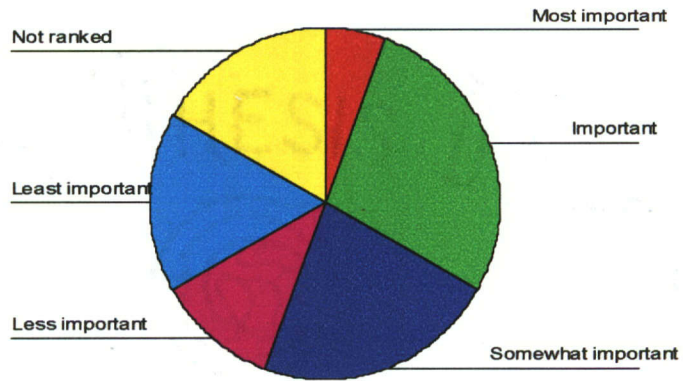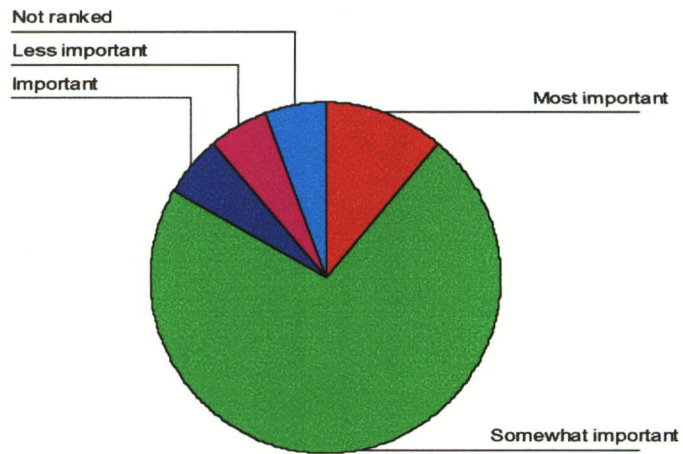
Figure 1- Federal Government

Not ranked

Most important

Important

Least important

Less important

Somewhat important

Figure 2- State Government

Not ranked

Less important

Important

Most important

Somewhat important

Figure 3- Community Taxes

Not Ranked

Somewhat important

Most important

Figure 4- Friends Group

Not ranked

Least important

Important

Less important

Somewhat important

Figure 5- Endowment

Not ranked

Somewhat important

Least important
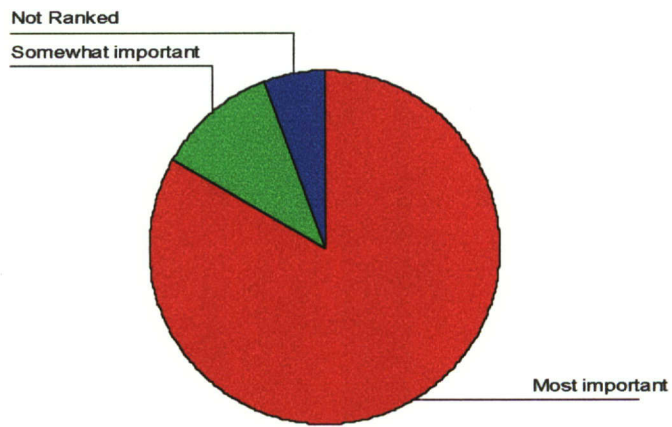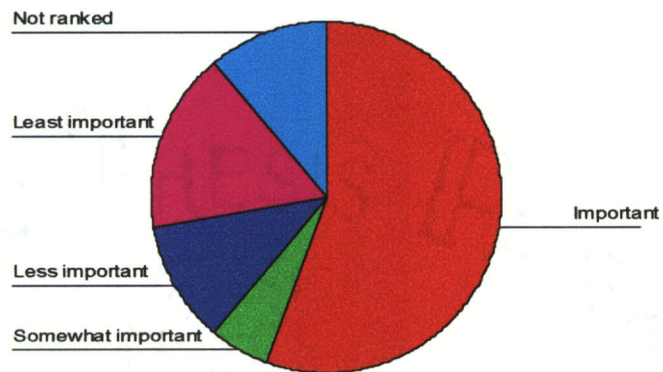
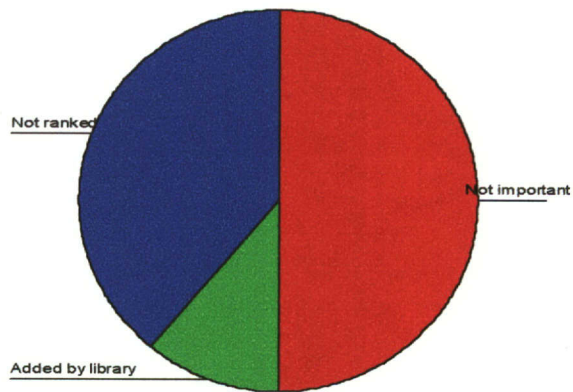Less important
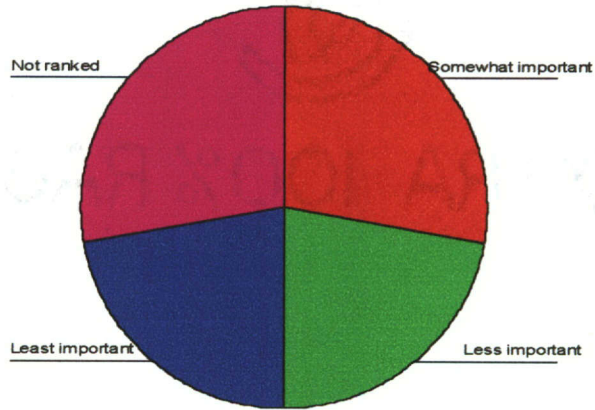
Figure 6- Deferred Giving

Not ranked

Not important

Added by library

Question 3 dealt with comparing other sources of library funding- corporate sponsorship, library foundation support, donations, Board of Trustees donations, special events, book sales, and overdue fines.

These were rated on a scale of 1-7, with 1 being the most important item, and 7 the least important item.

Figures 7- 14 show the breakdown of how library directors answered these items. As with Question 2, several libraries misinterpreted the rating scale and proceeded to rate several items the same numbers of importance. According to the survey results, overdue fines was the most popular item with 12 libraries rating it a number 1, followed by library foundation support, corporate sponsorship, Board of Trustee donations, and book sales, regular donations and lastly special events. Fine money was rated at 75% of funding, and foundation support at 50 %.
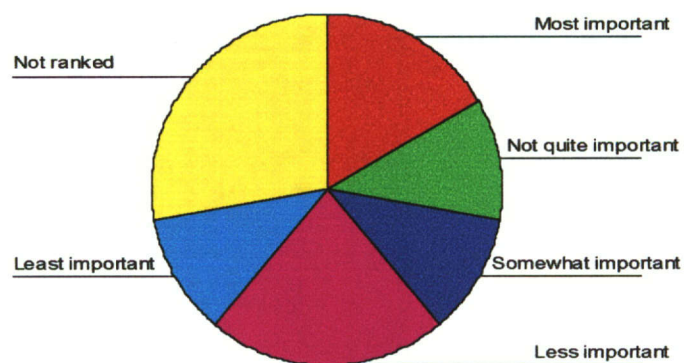
Figure 7- Corporate Sponsorship
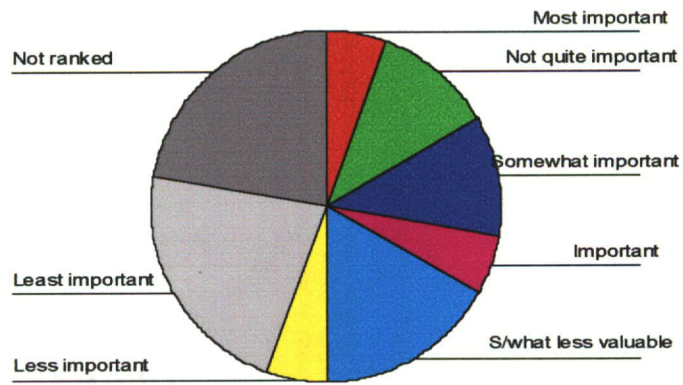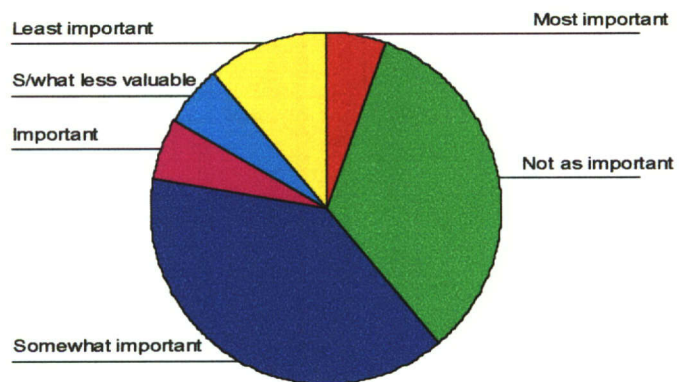
Figure 8- Foundation

Most important
Not quite important
Somewhat important
Important
S/what less valuable
Less important
Least important
Not ranked

Figure 9- Donations

Least important
S/what less valuable
Important
Somewhat important
Most important
Not as important

Figure 10- Board Donations

Not ranked

Important

S/what less valuable

Less important

Least important
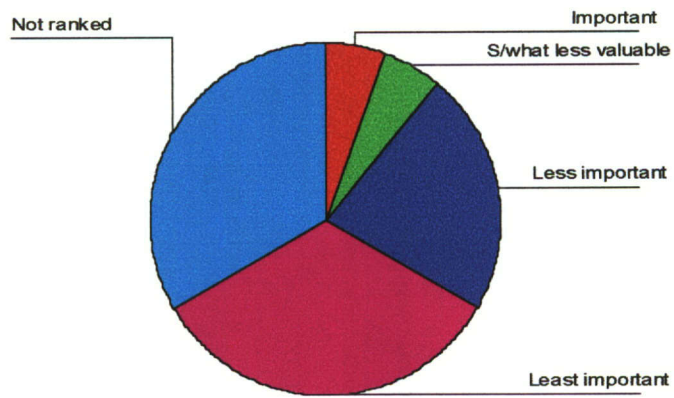
Figure 11- Special Events

Not quite important

Not ranked

Important

Least important

S/what less valuable

Figure 12- Book Sales

Not ranked

Least important

Less important

Important

Not quite important

Somewhat important

Figure 13- Fines

Least important

Less important
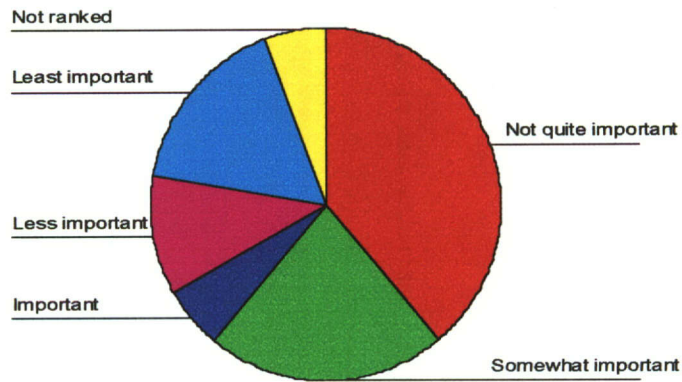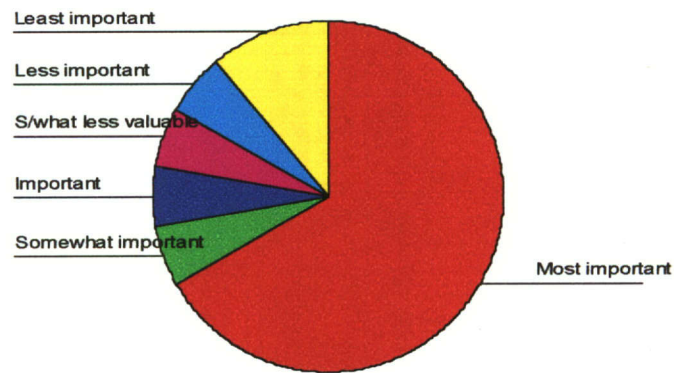
S/what less valuable

Important

Somewhat important

Most important
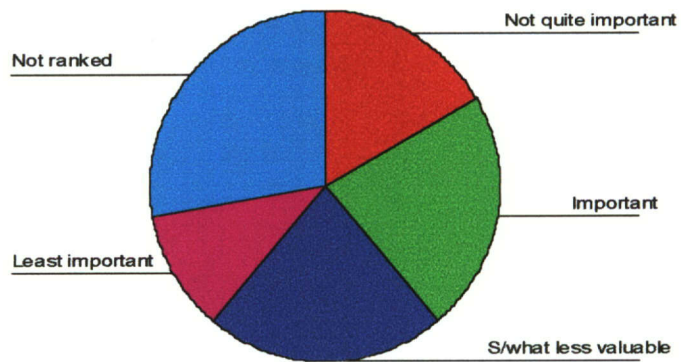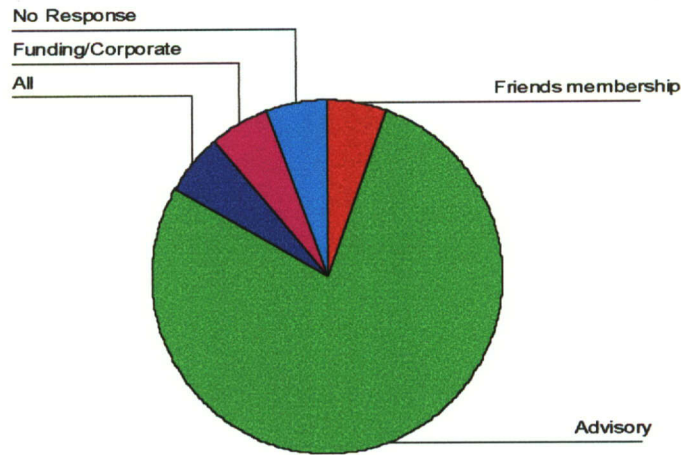
Survey question 4 focused on the role of the Board of Trustees, or Library

Commissioners, or Overseers of the library in fundraising for the library. Figure 14 shows

the library directors' responses to this question.

Figure 14- Role of Board

No Response
Funding/Corporate
All
Friends membership
Advisory

The most popular response regarding Board of Trustees was that 14 of the 18 libraries said that their Board was only an advisory Board and did not participate in fundraising. The other four libraries commented "this does not apply" Other comments were "our Board actively pursues funding (makes suggestions)"and "the Board contributes through their Friends membership". Library directors were asked what percentage of funding they received from government and private support in Question 5. Table 3 shows a breakdown of how they responded.

Table 3- Percentages of Funding

Government	Libraries	Private	Number Libraries
100	5		
99	4	1	4
98	2	2	2
95	4	5	4
94	1	6	1
85	1	15	1
80	1	20	1

Next, library directors were asked to list all the items that would be appropriate to privately raise money for. Their responses are shown in Figure 15.

Figure 15- Raise Money
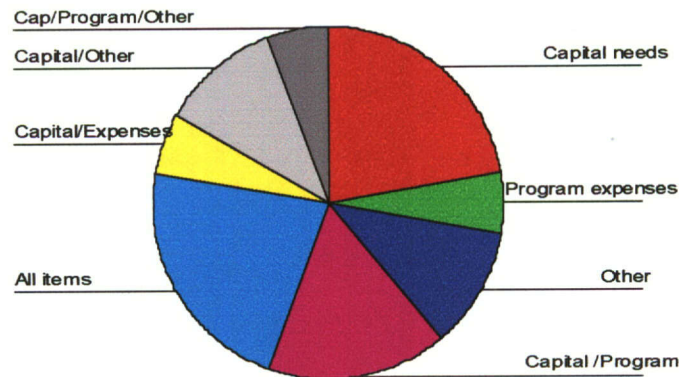
When library directors were asked to list all the items that would be acceptable to fundraise for, 17 library directors said capital needs. One library director clarified fundraising was appropriate for "capital projects that are tied to challenge grants." One time program expenses was rated second by 12 library directors, and three said fundraising was acceptable for "service enhancements"; "new furnishings and special programming" and "to supplement to government funding that should provide a percentage of the costs." Fundraising for ongoing operating expenses was rated as a last option by seven library directors. Library directors were asked whether Board Members should have a leadership role in, fundraising (Question 7) and whether librarians should be responsible for

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fundraising (Question 8). These responses are shown in Figure 16 and 17. In addition, Question 9 addressed whether library directors felt fundraising was important to their organization. These responses are shown in Figure 18.

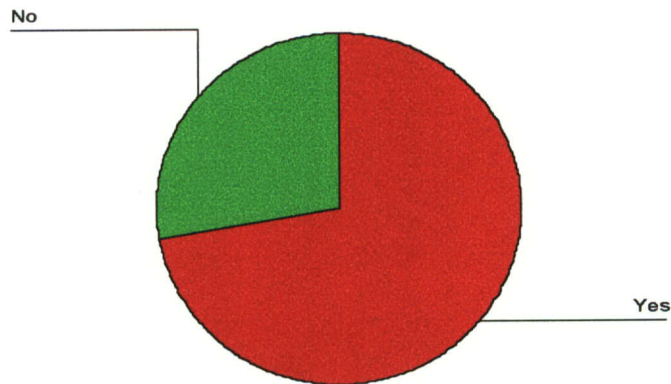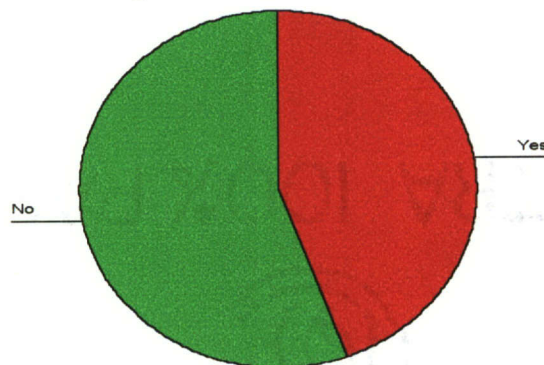### Figure 16- Board Fundraising

No

Yes

Figure 17- Director Fundraising

Yes

No

When asked whether Board of Trustee members should have a leadership role in funding, 75% of the library directors, or 13 libraries said yes, and 5 responded no. When

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asked whether librarians should be responsible for fundraising, a smaller number agreed (8) and 10 said no.

## Figure 18-Fundraising Importance
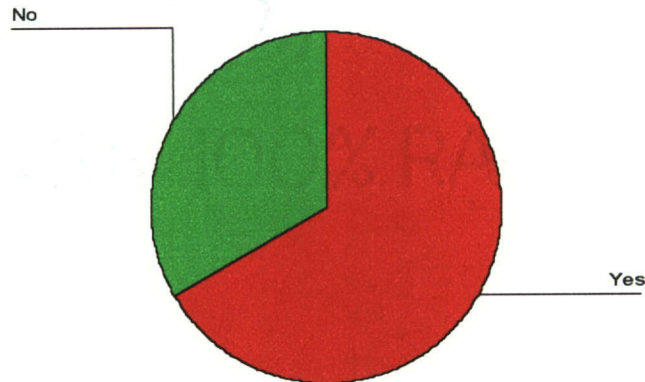
Several respondents explained why fundraising was important to their organization. Twelve libraries said yes they felt fundraising was important and six said fundraising wasn't important to their library. Some of the comments which were positive about fundraising were: "we do not have a line item set aside for programs or special events. All extras come from Friends efforts"; "Fundraising is important because of declining government support" and "Private funds allow enhancements to basic public library service." Three respondents replied negatively, stating that "libraries are essential service and should be funded through taxes" and "At this time not expected by decision makers…Could change at any time" and "Organization leadership has best clear understanding of growth picture and needs without projecting an overburdened message to the community." Other library directors gave credit to their foundations or Friends groups "Library is well-supported by tax dollars-fundraising for special events only" and

"Fundraising is an important adjunct to the public support of libraries. It has an appropriate role"; "Fundraising through the Friends of the Library is part of building and maintaining a relationship with the residents." Several respondents said that "The Foundation can supplement county support." and "Friends of the library can raise money for special events. Dedicated taxes can cover all other expenses." and "Provides additional support and good public relations."

Librarians were asked whether the future viability of public libraries will depend on diversifying revenue sources. These responses are shown in Figure 19.

Figure 19- Libraries Future Viability
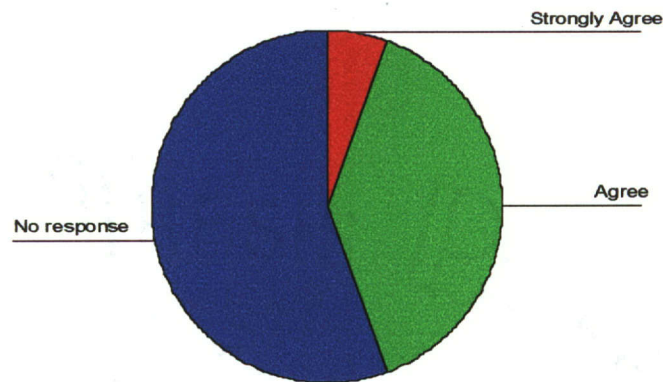
Responding to whether there was viability in diversifying revenue, nine library directors strongly agreed or agreed, four were neutral, and four disagreed or strongly disagreed, and one library director said it was not applicable.

Question 11 and 12 addressed whether libraries had an endowment or deferred giving plans. Survey responses are shown in Figures 20 and 21.

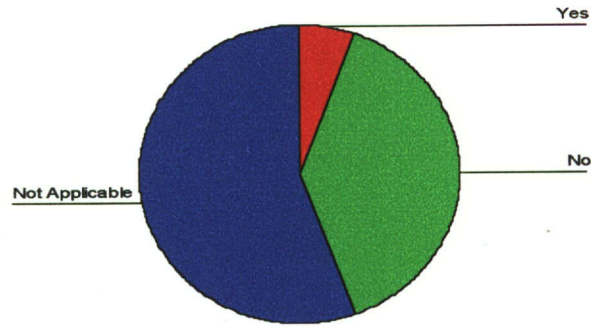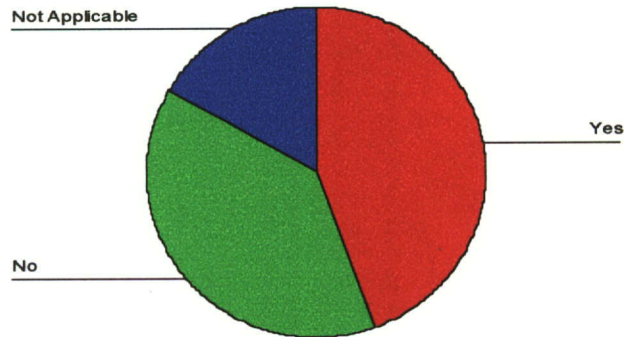## Figure 20-Endowment

Figure 21- Deferred Giving

Library directors responded as to whether endowments were necessary. One said yes, 7 said no, and 10 said not applicable. The one library director who said yes, said they build their endowment by "personal contact, literature, and direct mail to target audiences." When asked about deferred giving plans, eight library directors said yes,

7 said no, and 3 said not applicable. One library director responded that "I need to know more about this."

Question 14 of the survey addressed whether policies existed in the organization regarding monetary gifts. Figure 22 shows the library directors' responses.

Figure 22- Gift Policies
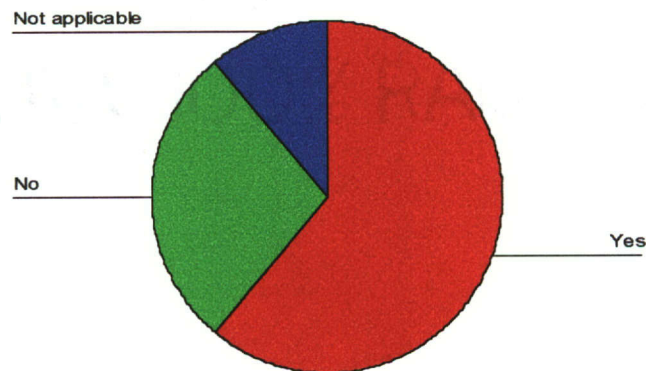
Regarding gift policies, 11 library directors said they had existing policies, five said they did not, and two said it was not applicable to them. Comments on gift policies related to administrative decisions: "the library has policies for under designated and designated monetary gifts. Designation must be agreeable to the Board of Trustees and Directors"; "Library Board decides how best to spend the money but is open to suggestions from donors"; "We ask that monetary gifts be made to the Foundation"; and "All gifts are accepted with full control of the gift resting with the Library Commission" Other comments focused on how the money was spent; "Monetary gifts that are presented to a friends group go toward library programming"; and "Policies re: donations for specific purposes library foundation funds." One library director addressed how gifts are handled

"All gifts accepted are acknowledged and handled by a central financial office." Another library director said: "The Library allows for designation of monetary gifts in memorial of individuals. We furnish bookplates for these items purchased with donated funds." In addition, one library sent their one page gift policy guidelines along with their questionnaire response.

Question 15, the final question, was an open ended question that asked for library directors' comments on what changes they anticipated in their library's fundraising over the next five years. Responses ranged from four library directors saying "none" and "I don't anticipate any", to some who said "I think it is very important to continue to receive government support- additional funds can be used for extras but should not be relied on for the basics." Four library directors said: "I hope fundraising efforts become more active and effective", "the successful development of Library Foundation"; "we are anticipating a larger role for the Library Foundation in fundraising efforts"; and "a more active program." In addition, two library directors said they look forward to a "more active Friends group" and a "fundraising program in place." One library director wanted to "Move from cash to credit and pledge wills, and an on line and in house store." In addition, one library director stated how they would like to use their money, "The Friends may have a fundraising campaign to help finance the creation of a teen friendly area in the library." Another library director said "we will actively seek corporation and trustee foundations to help with multiple grants." Only one library director acknowledged that "lower state funding may require us to do more dynamic fundraising."

CHAPTER V

SUMMARY AND CONCLUSIONS

Summary

At a time when state budgets are being cut back and libraries are closing or library

hours are being cut, this researcher feels public librarians need to look at fundraising as a

supplement to their budgets. Fundraising can assist in providing special needs or programs

and services beyond what the operating budget can offer.

The purpose of this study was to determine whether selected New Jersey public

libraries had moved from using Friends groups and foundations, to more complicated

means of fundraising such as endowments and deferred giving. This study attempted to

investigate whether New Jersey public libraries were doing any type of fundraising for

their library, and what types of fundraising they were using. In addition, it attempted to

find out what New Jersey library director's opinions were towards fundraising.

Conclusions

The results of the study supported some assumptions that the researcher made

prior to conducting the survey. Originally, the researcher felt that all New Jersey libraries

would have a Friends group. Another assumption was that the larger the population or

wealthier the community, the more these libraries will have moved into the direction of

fundraising. In addition, another assumption was that successful fundraising by public

libraries would contribute to the success of the library overall.

The researcher found that while all of this was the case, there were still negative attitudes about fundraising and a general reluctance to participate in fundraising among these New Jersey public library directors. As in Jeavons' 1994 study he found that public librarians felt that fundraising was very important, but very few did fundraising in actuality.

This researcher found that when asked about whether fundraising was important to their organization, two thirds or 12 said yes, and six said no. The researcher was surprised that this number wasn't unanimously yes taking into account the financial climate for libraries today.

Jeavons also explained librarians' reluctance to explore additional funding. They felt that that public institutions should be supported solely by public funds (Jeavons, 1994). He said there were three reasons- first, they feared of being influenced by private interests, secondly, fear of budget cuts resulting from private funding, and lastly, competition with other not- for- profit organizations more needy for the private monies. Two of the 18 libraries expressed themselves by saying "libraries are essential service and should be funded through taxes" and "at this time (fundraising) is not expected by decision makers."

Fortunately, the majority of libraries in this study (16) supported fundraising and as one respondent stated "Fundraising is important because of declining government support." When the researcher asked the library directors to breakdown what funding could be used for, 17 of 18 said for capital needs, 12 of 18 said for one-time program

expenses and the last option selected was operating support. The greatest area of support outside of government help was Friends groups, foundations and then fine monies. According to the National Center for Educational Statistics, 77.6% of public library income in 1977 was acquired from local funds, 12.1% from state funds and .9% from federal funds. The remaining 10% came from user fees, special events and private fundraising efforts involving foundations, corporations, individuals and "friends of the Library Groups" (NCES, 1977). Thirty years after this NCES study, public libraries still seem to receive funding based on the same order and importance. Local tax revenue is the largest supporter of New Jersey public libraries. In this 2004 study, overdue fines was rated the most popular item (75%)of the remaining 10%, followed by foundation support (50%). The researcher feels that most people would agree that fine money is not a significant source of library funding.

The researcher found this study was dissimilar to the Library Community Foundation (LCF, 2002) survey. In the LCF study, 87% of the librarians agreed the future of their libraries depended on diversifying their income, but only 6.7% had a written plan for fundraising. Less than half, in this 2004 study, said they strongly agreed or agreed that diversifying their income was important. The rest surveyed chose no response to this question. Regarding whether they had gift policies, 11 (or less than two-thirds) library directors said yes, and over a third said they did not or they were not applicable to them.

The LCF found very few librarians were exploring other sources of income and there was a real disconnect between what libraries said they were doing and what they were actually doing. Likewise, this research study seemed to find a general interest in

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fundraising but few doing it. Seventy five percent of the library directors said their board members should have a leadership role in doing fundraising, but they felt a much smaller percent of library directors should be leaders in fundraising.

Another interesting facet of this study was that deferred giving plans were more popular than endowments. Only one library director said they had an endowment, while eight library directors say they had deferred giving plans. This was surprising to the researcher, in that endowments allow the library to use the interest on an annual basis-now, where deferred giving does not benefit the library until sometime in the future.

Importance of the Study

This researcher feels that more and more public libraries should begin to see the "handwriting on the wall" and start seeking other sources of income, even if all it is for is for special programs. It seems, to this researcher, that the library profession is going to be forced into doing fundraising whether they want to or not. It is always dangerous, in this researcher's opinion to be relying on one source of income (77% local community taxes according to the 1977 NCES study). When this source of income is cut or is taken away, it will adversely affect the organizations it is supporting. Some of the negative climate regarding library closings might have been avoided had library directors explored other avenues of funding.

Recommendations for Further Study

Much more can be explored and written on the topic of fundraising as it applied to public libraries. The results of this study should encourage more exploration into helping libraries find new ways to raise money and supplement budgets. Several positive steps are

happening with the American Library Association and the Library Community Foundation taking the lead and suggesting training of library professionals, and developing a fundraising advertising campaign. This researcher expected to find that fundraising was a larger part of New Jersey public libraries than it appears to be. The library profession now knows the direction they need to go, and hopefully many libraries will heed the advice and begin to explore funding options.

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Mays Landing, N.J. 08330
February 12, 2004

Library Director Name
Name of Library
Library Street Address
City, NJ Zip Code

Dear Library Director,

One of the most pressing problems facing public libraries today is the maintaining and increasing funds available for public library services, staff and facilities. Fundraising from private sources may be one way to help address the problem. I am writing to ask for your assistance. I am a graduate student at Rowan University conducting a research project about New Jersey public libraries and fundraising. This study is part of my requirements for the Master of Arts degree in School and Public Librarianship from Rowan University.

For your contribution, I would ask you to complete and return the enclosed questionnaire. If you are not able to find the time to do so, please pass it onto the most appropriate staff member. Please know that your participation is completely voluntary and will result in no risk to yourself or others. The results of this research will help those of us in public librarianship to identify and understand trends in library fundraising in New Jersey. All results will be kept completely confidential, and the original responses will be shredded within 30 days after data collection is completed.

I am defining fundraising as programs and activities intended to encourage benefactors to contribute a portion of their wealth to a library or library system, in support of capital expenditures and operating budgets.

Please feel free to contact me, Mrs. Mary Beth Fine, with any questions you may have. You may also contact Dr. Marilyn Shontz (856-256-4500 x3858) who is my Rowan University faculty advisor. Your participation does not imply an employer-employee relationship exists between you and the state of New Jersey, Rowan University, or myself.

I would ask that you could return this survey by February 20, 2004 or as soon as possible. A return envelope is included for your convenience. Thank you for your consideration.

Sincerely,

Mary Beth Fine

Appendix B
New Jersey Public Libraries and Fundraising Questionnaire:
Thank you for participating in this survey which will analyze New Jersey public libraries and fundraising trends. Your answers are completely anonymous. Please return by February 20, 2004.

1._____Number of years you have been a library director. _____ Number of years you have been involved in library fundraising.

2. Rate these sources of your library's funding (1=most important to 6=least important)
_____ Federal government funds (including NEH, NEA, JTPA, NSF)
_____ State library aid/ grants (including LCSA, State Council on the Arts)
_____ Local tax revenue
_____ Contributions from Friends organization
_____ Income generated from Endowment funds
_____ Deferred giving plans

3. What other fund sources are important to you? (1= most important to 7= least important)
_____ Corporate Sponsorship
_____ Income generated from Library foundation or other foundation sources
_____ Individual donations (bequests, memorials, cash gifts)
_____ Board of Trustees member donations
_____ Special events (e.g. author's events or programs at the library)
_____ Book sales and retail outlets (gift shops, book stores)
_____ Overdue fines and fees (e.g. online searching, fax, reserves, non resident cards)

4. What is the role of your Board of Trustees or Governing Board in fundraising for your institution? (Check one best answer)
_____ They actively pursue funding for our organization on a year round basis
_____ They host a special event, or book sale several times a year
_____ Their corporate organizations sponsor events for our library
_____ The Board members contribute through their Friends membership
_____ The Board of Trustees does not engage in fundraising

5. What percentage of your budget is provided by government sources as compared to private sources? (Fill in a percentage)
_____ Government Sources _____ Private Sources

6. Do you believe it is appropriate for public libraries to raise private dollars for the following? (Please check as many as apply)
_____ Capital needs
_____ One-time program expenses
_____ Ongoing operating expenses
_____ Other (Please list)_____

7. Do you believe it is appropriate for public library trustees to assume a leadership role in private fundraising for libraries?
_____ Yes _____ No

8. Do you believe it is appropriate for professional librarians to assume a leadership role in private fundraising for libraries?
_____ Yes _____ No

9. Do you feel fundraising is important to your organization? (Check your response)
_____ Yes _____ No

Please explain briefly why or why not.
_____
_____

10. Do you agree that public libraries' future viability will depend on diversifying revenue sources? (Please circle your response)
A. Strongly Agree   B. Agree   C. Neutral   D. Disagree   E. Strongly Disagree

11. If your library receives money from an endowment, please give some specifics as to how the endowment began and what amount of money is generated each year._____
_____
_____

12. Are you actively trying to add to the endowment fund?
_____ Yes _____ No

If yes, please tell what methods you are using to generate more money for the endowment._____
_____

13. If your library does not have a deferred giving program, is this something you may consider in the future?_____ Yes _____ No

14. Do any policies exist in your organization regarding monetary gifts?_____ Yes _____ No

If yes, please elaborate on your response._____
_____
_____

15. What changes do you anticipate in your library's fundraising over the next five years?
_____
_____

APPENDIX C

List of New Jersey Public Libraries Using NCES Public Library Locator
Budgets of $3,000,000 or more

1. Bill Paullin, Director
Atlantic County Library
40 Farragut Avenue
Mays Landing, NJ 08330-1750
609-625-2776

2. Gail Sweet, Director
Burlington County Library
5 Pioneer Boulevard
Westhampton, NJ 08060-1796
609-267-9660

3. Claudia Sumler, Director
Camden County Library
203 Laurel Road
Voorhees, NJ 08043
856-772-1636

4. Andrew Martin, Director
Cape May County Library
4 Moore Road
Cape May Courthouse, NJ 08210-2320
609-463-6350

5. Jason Stone, Director
East Brunswick Public Library
2 Jean Walling Civic Center
East Brunswick, NJ 08816-3547
732-390-6950

6. Carolyn Ryan Reed, Director
East Orange Public Library
21 S. Arlington Avenue
East Orange, NJ 07018-3804
973-266-5607

7. Susan Kreiger, Director
Edison Township Free Public Library
340 Plainfield Avenue
Edison, NJ 08817-3147
732-287-2298

8. Joseph Keenan, Director
Elizabeth Free Public Library
11 South Broad Street
Elizabeth, NJ 07202-3401
908-354-6060

9. Kathleen Connors
Hunterdon County Library
314 State Route 12
Flemington, NJ 08822-4113
908-788-1444

10. Priscilla Gardner
Jersey City Free Library
472 Jersey Avenue
Jersey City, NJ 07302-3456
201-547-4500

11. Ellen Brown, Director
Mercer County Library System
2751 Brunswick Pike
Lawrenceville, NJ 08648-4132
609-989-6916

12. Ken Sheinbaum, Director
Monmouth County Library
125 Symmes Drive
Manalapan, NJ 07726-3224
732-431-7235

13. JoAnn Weinstein
Morris County Library
30 East Hanover Avenue
Whippany, NJ 07981-1825
973-285-6930

14. Dr. Alex Boyd, Director
Newark Public Library
P.O. Box 630
Newark, NJ 07101-0630
973-733-7800

15. Mary Malagiere
Ocean County Library
101 Washington Street
Toms River, NJ 08753-7625
732-349-6200

16. Cheryl McCoy, Director
Montclair Free Public Library
50 S. Fullerton Avenue
Montclair, NJ 07042-2629
973-744-0500

17. James M. Hecht, Director
Somerset County Library
P.O. Box 6700
Bridgewater, NJ 08807-0700
908-526-4016

18. Stan Pollakoff, Director
Sussex County Library
Box 76, R.D. 3
Newton, NJ 07860-9598
973-948-3660

19. Madathikudy Kuriakose, Director
Trenton Free Public Library
120 Academy Street
Trenton, NJ 08608-1302
609-392-7188

20. Thomas Carney, Director
Warren County Library
Court House Annex
Belvidere, NJ 07823-1591
908-475-6322

21. John Hurley, Director
Woodbridge Public Library
George Frederick Plaza
Woodbridge, NJ 07095-2598
732-634-4450