

***UW Bothell/UW Tacoma, Seattle College/School Name:***      ***University Libraries***

1. Please provide a 1-2 page description with visualizations if possible of how you intend to grow or contract over the next five years. Please provide these strategic plans at the college or departmental level, if you so choose. Where significant growth is anticipated, please provide specific fund source names and projections (in dollars). If these plans assume additional Provost Reinvestment Funds (supplement), please make that clear. If you wish to include a summary of growth plans, services or activities supported by sources other than GOF/DOF, please do so.

The University of Washington Libraries is a hybrid unit which shares characteristics of both academic and administrative units and we have chosen to answer questions from both the academic and administrative budget development forms. The Libraries is led by a Dean/Vice Provost who sits on the Board of Deans and Chancellors and reports directly to the Provost. Like other academic units our funding sources are diversified with 20% of our funds coming from external sources such as gift and endowment income and grants and contracts. We are currently conducting an organizational review, in part due to the retirement this past year of two senior library administrators, to better align the organizational structure with operations and strategic priorities. The Libraries will closely follow any changes in academic program growth plans and their potential impact on Libraries services and collections.

The Libraries new strategic plan (2014-17), *Delivering Success* (strategy map attached), is centered on five priority areas:

- Collections and Access
- Research and Scholarship
- Teaching and Learning
- Engagement and Community
- Organization and Effectiveness

We approach each of these with the strategic mindset of:

Assessment • Partnerships • Public Good • Staff Expertise • Efficiency • Diversity

Some of our focused growth areas may need new funds (permanent and bridge) to achieve. Among them are world-class collections; managing the collection shift from print to digital; knowledge preservation, advancement and dissemination; contributions to student success; effective spaces for learning and collaboration; and workforce transitions

### A. Collections

Collections (digital and print) are essential to achieve the University's goals for research, teaching and learning. While our collections expenditures have increased by two million dollars since the low point in FY11, that has barely covered fixed annual price increases. In FY09 UW collection expenditures were the same as the average for the 20 largest Association of Research Libraries (ARL) publicly funded academic research libraries. In FY14, UW expenditures are about 17% less than the peer average, and the gap is growing. While the Libraries has worked to reduce costs by negotiating multi-year agreements with publishers and working with our consortial partners, we won't be able to meet the current and emerging needs for UW scholarship, research, clinical care and student learning without new funds. **A permanent budget increase of one million per year would enable us to keep pace with annual price increases of 6% and add a modest amount of new funding to purchase and license new materials.** Collections usage continues to be heavy with more than six million journal article downloads annually.

### B. Knowledge preservation, access and dissemination

The "primary mission of the University of Washington is the preservation, advancement and dissemination of knowledge." The Libraries plays an instrumental role in advancing this mission. While conservation of unique print, image and data collections continues to be important, the Libraries also carries out this mission through its research data management and digital initiatives programs not only for preservation archiving but also to provide access to institutional, regional and other resources that were otherwise "hidden". In response to federal mandates and foundation requirements, we have partnered with Office of Research and the E-Science Institute to provide support for research data management. We have just launched a Data Repository pilot which will create a UW data repository for use by faculty and other UW researchers. We also partner with other institutions to advance preservation and access programs and to share costs. Our implementation of the new shared integrated library system through the Orbis Cascade Alliance will result in cost avoidance and efficiencies beginning in late FY16. Our scholarly communications program advises faculty and graduate students on appropriate publishing and dissemination venues. **We request Provost Reinvestment Funds for one librarian and one professional staff to work with faculty and students who need to access, interpret, re-use, archive and publish data.**

### C. New student support

Student enrollment has increased by 7% since FY09 while library staff numbers have decreased by 19% in the same period. The number of first generation students has increased by 14% during that period and international students by 244%. Most of these students have not experienced the richness and complexity of a large research library. The ability of the Libraries to address new learning needs and participate in leading edge student experiences (including such efforts as the first year experience and the Honors Program) students who may have limited experience in North American universities where scholarly practices may be different and where libraries have different practices and resources. Challenges faced by first generation students are similar, and while we have made some internal reassignments, our capacity to respond is limited due to our reduced staff size. For example, despite the increase in undergraduate enrollment, the number of face-to-face instruction sessions has remained flat because we have reached

---

capacity in that program.

**We request Provost Reinvestment Funds for an undergraduate experience librarian and 3 GA's to work directly with faculty and other academic support groups to better integrate undergraduate students into the research university experience.**

#### **D. Learning and collaboration space**

The Libraries manages the largest amount of publicly accessible learning space on campus. Institutional investments in revitalizing several library facilities during the past four years have been instrumental in providing attractive, collaborative learning and work spaces. The Research Commons and the Odegaard Undergraduate Library renovation, as well as other minor capital improvements, have been enthusiastically received by students and others. Our facilities are heavily used with nearly 5 million library visits per year, 92% by students. Student assessment of renovated spaces is exceptionally positive. Continued reinvestment in library spaces, including provision of active learning environments, will enable us to enhance the student experience and work more effectively with partners. A critical component of any effort to improve learning spaces is the ability to relocate a significant number of volumes to our Sand Point Shelving facility, which is currently at capacity and in need of expansion. We will continue to work with the Capital and Space Planning Office to transform libraries into active multi-use learning environments.

#### **E. Workforce transitions**

This past year 10% of our librarians retired, taking with them years of expertise and productive relationships with faculty and students. While we have started the process of filling these positions, we also anticipate a similar number of retirements in FY16 and FY17. These vacancies represent a valuable opportunity to hire a younger more diverse staff that brings special expertise in such areas as instructional design, teaching pedagogies, data management, and research support. However, the loss of a large number of librarians with institutional and organizational memory and effective partnerships cannot be fully replaced. **We propose matching funding from Libraries carryover with one-time Provost Reinvestment Funds to bridge hiring new librarians to provide overlap with retiring librarians as well as to reposition anticipated vacancies to focus on strategic directions and priorities.**

**2. Please identify significant administrative, academic or other obstacle(s) present in achieving the growth or strategic plans identified as part of Question 1. Please plan to discuss these with the Provost. If applicable, please summarize any operational risks that the UW must work to mitigate over time from your perspective.**

As noted above, the Libraries face significant budgetary challenges in such key strategic areas as collections support, changing student demographics, and aging and inflexible facilities. While we greatly appreciate the institutional investment in collections during the past few years, our collection expenditures (from all funding sources) have only returned to the FY09 levels when we were at the average of the top twenty ARL public academic research libraries. Collections expenditures now are 17% below that average. Changing student demographics require different ways of reaching out to those students and preparing them for undergraduate research. There are approximately 5,000 additional first generation and international

---

students compared to FY09, but we are hard-pressed to meet new needs even with internal reassignments, use of online tutorials, and increased collaboration with other programs. The major renovation of the Odegaard Undergraduate Library was a well-received first step in transforming libraries into active collaborative learning environments, including provision of active learning classrooms. Additional investment is needed to extend this model to other large campus libraries.

**3. Please describe your school or college's emerging or changing faculty needs, including information about faculty hiring trends and the recruitment and appointment of lecturers.**

Our hiring plans have stressed the need to hire new librarians who are committed to advancing the institutional mission and objectives through team efforts (both library and cross-unit). Important elements include facilitating student engagement, faculty and graduate student research, data management, cross-disciplinary collaborations, and providing specialized language and cultural expertise to support our outstanding global studies programs. The types of services provided by librarians and staff are changing rapidly to meet emerging practices in research and teaching, and often the librarians and staff providing the services hold not only a professional master's degree, but also a subject master's or Phd. The new roles require specialized knowledge of areas such as instructional design, digital content management, GIS, data curation, repository management and the like. Recruiting and retaining librarians and professional staff who have these in-demand skills are challenging at the best of times, but it is an opportunity to re-shape the work force with a diverse cohort of assistant and senior assistant librarians as well as professional staff. At the same time, some of the traditional roles continue to be important in supporting the core work of the faculty. In particular, librarians and staff with specialized language and cultural expertise are in high demand internationally. These positions acquire, describe, and make accessible materials that support our global curriculum and research programs, as well as providing expert consultation services to faculty, graduate and undergraduate students. They tend to require more experienced librarians with advanced degrees, and will mean hiring at an associate or full librarian rank. We are also facing a tidal wave of retirements at the management and administrative level which, regardless of the results of our organization review, will likely require hiring at senior ranks.

**4. In order to provide a snapshot of current activities, the distribution of resources across various functions and how much these activities contribute to the University's mission, please provide information about the functional areas, or departments, of your organization.**

Our activities are strongly interconnected and transcend functional boundaries and budgetary categories. Our response accordingly takes an integrated approach. We anticipate no significant change in funding sources to support our services and collections.

The University Libraries' mission is to connect people with knowledge. In carrying out that mission which advances the teaching, research, clinical care and public service of the University, we provide both public facing services and technical support services. Public services include research consultation; teaching of information literacy in face-to-face and online classes, and via our extensive web presence; data management and repository services; circulation of library materials, including interlibrary loan and desktop document delivery; and support

for clinical care in the health sciences. Technical services include the selection, acquisition and description of information resources; the preservation and conservation of print and digital materials; and information technology services, including maintenance of the Integrated library system, the provision of web services, GIS, and other IT services. The University Libraries provides access to one-of-a-kind materials to our own community and to the community of scholars worldwide. Special Collections has a particular role in acquiring, preserving and making available rare materials and archival resources, notably those related to the Pacific Northwest. Similarly our distinctive global collections and the librarians who build and manage them are internationally known and respected. All of these activities directly support the teaching, research, clinical care and public service mission of the University. Failure to fund any of them would result in fewer resources available to faculty and students, with negative effect on learning and research. In the case of the Health Sciences, there would be direct effects on clinical care and research.

More than half our staff is involved in the selection, licensing, cataloging, and maintenance of our print and digital collections. They ensure that researchers, scholars, and students have any-time any-place access to the journals, books, data, media, and other information resources they need to excel at their work which is at the very core of the Libraries' mission to connect people with knowledge. Our 2013 Libraries Triennial Survey showed that 93% of 1565 faculty respondents rated the Libraries as making a major contribution to their research productivity. The UW's high rankings in international comparisons are largely based on measures that rely on excellent library resources. Again, failure to provide increases on the cost of library resources would result in cancellation of journals and far fewer monographs purchased, placing the research enterprise at risk.

#### **Health Sciences Library: (NNLM, PNR, and HEALWA)**

The Health Sciences Library (HSL), an integral part of the UW Libraries, has a number of areas of strengths, including evidence based practice, systematic reviews, gaming in medical education, and building a regional healthcare workforce through a comprehensive clinical online library. As the premier health sciences library for the medical school for five states, the HSL is truly unique in the United States for its breadth of information service. Because of its nationally recognized expertise, HSL is also home to two major externally funded services with state and regional impact: the competitive, federally funded National Network Library of Medicine Pacific Northwest Region (NN/LM PNR) and HEALWA, which is supported by professional license fees.

The NN/LM PNR and HEALWA programs are recognized as a vital part of University-wide services to the state and region. Based on the total amount of funding awarded by PNR throughout the region since May 2011, we project that libraries and community organizations in Alaska, Idaho, Montana, Oregon and Washington will have received more than \$1.4 million dollars by April 30, 2016 for programs and services related to health literacy, scholarly communications, emerging technologies, and data. In addition, with NN/LM PNR support, the UW Libraries has attracted partnerships resulting in additional national and regional grants and contracts.

HEALWA provides access to an online library of evidence based resources to over 20,000 licensed and registered healthcare professions in Washington including physicians and registered nurses. Over \$3.6 million dollars of HEALWA resources are available to eligible licensed health care providers at any time, from any computer that has internet access saving Washington hospitals, clinics and private practices money in licensing their own suite of resources for clinical decision-support and patient care.

**5. In one paragraph or less, please assess the functional and financial health of your unit since FY09 (e.g. deficits, workforce capacity, declining grants or gifts).**

Significant budget reductions between FY09 and FY11 led to substantial cuts in staff FTE, collections funding, and operations. While the Libraries has made substantial efficiencies to reduce budgetary impacts, the loss of 75 FTE positions (19% reduction) has created significant capacity issues in addressing service needs, increased student enrollment and competitiveness of the research enterprise as well as lost opportunities. Collections funding was reduced substantially during this period but began to recover in FY12, with FY14 being the first year that expenditures matched FY09 spending. A substantial loss of purchasing power has meant fewer items purchased or licensed and we are now 17% behind the average of ARL large public research library expenditures. Operations budgets were nearly eliminated and are now supported primarily by carryover funds. Libraries Advancement efforts have continued to be productive and ameliorated somewhat the reduction in institutional funding but cannot substitute for ongoing continuing funding. It is only through the most stringent (and experienced) budget management that we have avoided a deficit.

**6. In the event that neither state funds nor additional Provost Reinvestment is available for compensation increases, how might your unit cover salary increases for positions budgeted in GOF and DOF budgets?.**

We estimate that approximately 8 FTE positions would need to be eliminated to fund salary increases.

**7. This summer, the UW has been the sole subject of a state-required audit of net operating fee (tuition) and local fund accounts. As such, we are piloting a new administrative carryover policy for the FY16 budget process, though we will employ draft carryover data in executing this pilot. Units may hold up to 10 percent of their permanent base as an emergency reserve.**

Libraries FY16 carryover will be less than 10% of our permanent base funding. As the table below shows we intend to use most of the carryover to fund operations and selective one-time costs along with a small reserve.

RCR funds	\$300,000.00
Library Operations budget	\$800,000.00
New hire bridge funds	\$160,000.00
Facilities renovation/renewal	\$200,000.00
Equipment	\$100,000.00
Advancement staff (.5fte)	\$102,000.00
Data Management software	\$92,000.00
Resource Sharing staff transition	\$160,000.00
Sub-Total	<b>\$1,914,000.00</b>
Reserves	\$1,157,000.00
<b>TOTAL</b>	<b>\$3,071,000.00</b>

8. Though we believe that few, if any, state funds will be available and any new Provost Funds may be dispatched for mitigating cuts or providing salary increases, please indicate what Provost Reinvestment Funds are being requested. Requests for funds should be identified by a unique title, accompanied by the amount requested, the year funding is requested, whether the request is for permanent or temporary funds, the number of years funding is needed in the case of a temporary request and a brief description, not to exceed 500 words. Successful requests will provide better experiences for students and faculty, contribute to the long-term financial health of the University, and/or reduce institutional risk. Importantly, requests for new funding will be considered alongside carryover spending plans.

**A. World-Class Collections Support (Permanent)**

<i>Six percent annual price increase for collections to maintain purchasing power</i>	<i>\$750,000 (FY16)</i>
<i>New funding to support research and scholarship, especially cross-disciplinary</i>	<i>\$250,000 (FY16)</i>

Price increases are “fixed costs” that require funding to maintain purchasing power. 83% of our collections budget is committed to e-journals, databases, and other serial materials and services for which we pay an annual subscription fee. The current projection for FY16 serials inflation is 6% and most new funding we have received goes to pay for serials inflation and maintaining our purchasing power. Once current subscriptions have been paid, relatively little has been left for new books, either print or electronic, or new subscriptions. This has especially impacted the areas where monographs play a more important role in scholarly communication, such as the Humanities and Fine Arts as well as multidisciplinary research. If funding for ongoing cost increases and new materials were not available this year, we would need to cancel a number of journals and databases and our already low rate of monograph acquisitions would be further reduced.

**B. Bridge Funding for Workforce Transitions (temporary)**

<i>Hire 4 FTE librarians to bridge anticipated librarian retirements in FY16/17</i>	<i>\$160,000 (FY16)</i>
<i>(Matched with \$160,000 in Libraries carryover funds)</i>	

This past year 10% of our librarians retired, taking with them years of expertise and productive relationships with faculty and students. While we have started the the process of filling these positions, we also anticipate a similar number of retirements in FY16 and FY17. These vacancies represent a valuable opportunity to hire a younger more diverse staff that brings special expertise in such areas as instructional design, teaching pedagogies, data management, and research support. However, the loss of a large number of librarians with institutional and organizational memory and effective partnerships cannot be fully replaced.



**C. Digital Initiatives (Permanent)***Hire 1 librarian and 1 professional staff**\$140,000 (FY16)*

The Libraries currently offers support for data-driven discovery through its Data Services program, which includes an array of online tools, services and staff expertise, as well as hosting over 10TB of spatial data. We have initiated a Data Repository UW (DRUW) pilot to provide a secure, long-term location for UW faculty to store and share their research datasets. This repository will support UW researchers in meeting federal and private funder data management mandates and will promote the principles of open access and data sharing, while providing a convenient place to archive and discover datasets from research done at UW. DRUW builds upon the Libraries existing Data Services offerings, which include assistance with data management plans, locating and acquiring research data, data curation and archiving, and data reference assistance. It also joins our ResearchWorks Services, which has been providing curation and archiving of digital research outputs for more than a decade. DRUW will allow campus researchers to archive their research data in a secure, reliable digital repository and allow users from off-campus to discover their work. Two positions will support students, teaching faculty and researchers who need to access, interpret, re-use, archive and publish data

**D. Undergraduate Experience (Permanent)***Hire 1 librarian and 3 GA's**\$140,000 (FY16)*

The Libraries' most recent triennial survey revealed a meaningful relationship between students who had library instruction or consulted a librarian and the ability to achieve overall academic success, prepare and complete coursework, and find information for assignments. The Libraries has internally reallocated a .5 position as the inaugural First Year Experience Librarian, with the intention of increasing outreach to undergraduates. The addition of another position will allow us to build on this foundation to leverage the recent capital investment in the Odegaard Undergraduate Library and contribute to improving the undergraduate educational experience by enabling the expansion of services to pre-majors generally and academically under-prepared and international students specifically. An approach loosely modeled on our successful Honors Librarian program would benefit students who need more in-depth library instruction and services in order to succeed academically.

**E. Student Assistant Minimum Wage Increase (Permanent)***Fund costs associated with Federal contractors minimum wage**\$150,000 (FY16)*

The Libraries is the largest campus student employer with more than 350 student assistants. Student assistants perform such essential functions as staffing many of our libraries during weekends and evenings. Investing in the student hourly budget also provides financial assistance to students through meaningful jobs with flexible hours in convenient campus locations. Approximately \$70,000 is also needed to cover FY15 increases in the Federal contractor minimum wage. Additional funding will be necessary if the Seattle City minimum wage is implemented by the UW.





# DELIVERING SUCCESS: 2014-2017 STRATEGIC PLAN

**OUR MISSION** The University of Washington Libraries advances intellectual discovery and enriches the quality of life by connecting people with knowledge.

**STRATEGIC MINDSET** Assessment / Collaboration / Diversity / Efficiency / Public Good / Staff Expertise

## STRATEGIC DIRECTIONS

### COLLECTIONS & ACCESS



Provide access to outstanding and authoritative collections that are central to the success of the University research, teaching, learning, and clinical care programs

#### FOCUS AREAS

- World-class collections
- Online resource access
- Collection management strategies

### RESEARCH & SCHOLARSHIP



Advance scholarly productivity through our services and expertise.

#### FOCUS AREAS

- Data management & digital scholarship
- Support research process
- Scholarly publishing & open access

### TEACHING & LEARNING



Equip students and faculty with the appropriate skills to be successful researchers, scholars, and informed global citizens.

#### FOCUS AREAS

- Assessment & student success
- New student support
- Online & active learning

### ENGAGEMENT & COMMUNITY



Work as a trusted partner with users and stakeholders to continuously improve a library that is an integral part of the UW experience.

#### FOCUS AREAS

- Spaces for learning & collaboration
- Communicate our value
- Build community support

### ORGANIZATION & EFFECTIVENESS

Develop and invest in staff resources and expertise to focus on strategic priorities and new ways of working.



#### FOCUS AREAS

- Workforce transitions
- Opportunity & support
- Processes improvement

OUR VALUES / Collaboration / Diversity / Excellence / Innovation / Integrity / Responsiveness

## Administrative Unit Carryover Usage Plan SUMMARY

*This table will self-populate via the "Carryover Worksheet - Detail" tab*

<b>Administrative Unit Name:</b>	<b>University Libraries</b>
<b>Estimate of Carryover Balance at "Close" of FY14:</b>	<b>3,071,000</b>

<b>Usage Category</b>	<b>Amount</b>	<b>%</b>
Unit's Reserve*	1,157,000	37.68%
Central Commitments	0	0.00%
Permanent Costs & Other Projects	1,914,000	62.32%
<b>Total</b>	<b>3,071,000</b>	<b>100.00%</b>

\*Note: Unit is choosing to reserve <10% of ABB base budget