

Academic/Administrative Unit Name: University Libraries

Please complete this Word document and the accompanying [Excel workbook](#), and submit them to the Office of Planning & Budgeting on or before **Friday, November 20**. Please email your materials to [Becka Johnson Poppe](#).

1. In spring 2015, Provost Baldasty initiated the Transforming Administration Program (TAP), which encompasses all central administrative units and focuses on fulfilling the need for greater collaboration, clear priorities, increased accountabilities, and elimination of unnecessary bureaucracy and redundancies.

Within a **500 word bulleted list**, please answer both of the following questions:

- **List 3-5 things your unit is doing to align with the [TAP principles for central administrative units](#) and to create and enhance a culture of service. Please be specific.**
 - **In what ways (if any) could your unit leverage activities of other central administrative units to increase efficiency within your unit and/or to streamline activities across the UW? Are there areas of overlap between your unit and another that prompt closer collaboration?**
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- **Act as one administration with clear and measurable business goals and service standards**

The Libraries Strategic Plan for 2014-17 is based on furthering progress in the University strategic areas of: Research and Scholarship, Teaching and Learning, Engagement and Community, and Organization Effectiveness. Outcomes and metrics have been developed for a number of strategic objectives and actions. All new staff, including student assistants, are required to attend a Libraries service quality training class.

Delivering Success: Strategic Plan 2014-17

<http://www.lib.washington.edu/about/strategicplan>

- **Improved input from users and increased collaboration between Administrative and Academic units**

Use of long-standing cyclical user surveys (our triennial surveys) combined with input from faculty and student advisory groups have provided robust input from the UW community. Refocusing of the librarian liaison program has led to increased collaboration with faculty and graduate students in such areas as scholarly communication and open access, data management, teaching, learning and clinical care, research consultation and digital initiatives.

The Libraries has fostered the development of additional collaborative academic support activities such as the Odegaard Writing & Research Center, OUGL Active Learning Classrooms and the Learning Studio, Health Sciences Commons Computer Lab and the Research Commons as well as active collaborations with the Center for Teaching and Learning, College of Arts and Sciences, Health Sciences Administration, the Office of Research and the Graduate School.

- **Data-based decision-making with easy to access and easy to use data for decision making**

Triennial survey results are readily available and used for program improvement. Usage data is available for most services and library facilities and is reviewed on an ongoing basis for efficiency and effectiveness.

<http://www.lib.washington.edu/assessment>

- **Reduced turnaround time for service delivery**

Many library services are available through the Web and users can initiate a wide range of services and resources, including online delivery to their computing devices and smart phones. The RAPIDILL program, for example, has dramatically reduced the turnaround time for delivery of articles from other libraries directly to users, from 4 days to 2.5 days with reduced overhead costs as well. Volume in FY 15 was approximately 25,000 journal articles.

- **A respectful, supportive work climate for all UW employees**

An ongoing and effective employee wellness program has been well-received by our staff. The Libraries peer-to-peer recognition program has recognized more than two hundred staff in the past year. The Libraries recognizes the contributions of its student employees through the “honoring students program” and scholarship funds.

- **The “right” services and reduced duplication**

The Libraries 2015 Organizational Review Initiative realigned organizational and reporting lines with operational activities and strategic directions to address user needs more efficiently and effectively. Distributed activities are being consolidated to gain efficiencies and save staff time. The number of direct reports to the Vice-Provost and Dean will also be reduced. Several Libraries administrative areas, such as Special Collections, have gone through the “LEAN” process which has expedited processing and improved access.

- **Elimination of manual and paper processes**

UW theses and dissertations are now submitted in digital format saving time and reducing costs while increasing access. Internally, staff reporting and transactions are now conducted through the Libraries StaffWeb. For example, librarian promotion documentation and staff travel and educational requests have moved from a cumbersome manual process to an efficient online one.

2. In 200 words or fewer, please **identify plans to adapt functions and services to support changing institutional needs in FY17.**

The Libraries is guided by our strategic plan which includes the findings of our recent organizational review initiative. We have streamlined our organizational structure and realigned services and resources to better meet the needs of our users and support the University's 2Y2D goals and objectives. High priority initiatives include:

Collections: Efficient and easy access to the world's scholarly materials, both digital and print, is essential to achieve the University's goals for research, teaching and learning and clinical care.

To make print Collections more readily available we offer:

- Desktop Article Delivery of journal articles (scanned images)
- Departmental Delivery of print materials to faculty and staff
- Student Driven Course Reserves: students may request purchase of reserve materials for their classes
- Increased access to UW digital collections, exhibits, and finding aids.

The rate of inflation for scholarly journals and other serial publications in 2016 is projected to be 6%. Support for maintaining our Collections purchasing power is critical for our continued ability to support University programs.

Open Access: As charged by the Provost, the Vice Provost and Dean of Libraries is:

- Leading the process of developing an open access policy for recommendation to the University (UW Faculty Senate's April 23, 2015 resolution, *Concerning the UW Open Access Repository & Request for Advice on an Open Access Policy*).
- Conducting a study to determine what resources are necessary to enhance the current institutional repository to the level of a "world-class" open access repository.

The Libraries has two internal committees working on these initiatives as well as an advisory board of faculty and staff.

Open Textbooks: To address the rising cost of textbooks and in support of undergraduate success, a cross-campus task force was charged by the Senior Associate Dean of Libraries with developing a pilot to promote the creation and adoption of open textbooks at UW.

- Pilot launched in early winter quarter 2016
- Participation by Center for Teaching and Learning, Undergraduate Academic Affairs, UWIT
- Open Textbook Network staff-led workshops for a small number of faculty
- Program expansion in 2017

Undergraduate Experience: In response to changing demographics and increased numbers of undergraduates, an Undergraduate Experience librarian is being recruited, and three graduate students have been hired. These staff will join others within the Libraries to expand and deepen services to undergraduate students.

3. As you may recall, last summer, the UW was the sole subject of a state-required audit of net operating fee (tuition) and local fund accounts. This audit reinforced the importance of monitoring expenditures against budgets on a biennial basis, ensuring that academic and administrative units have plans to spend fund balance in a reasonable and mission-driven manner and that these plans are acted upon.

As such, we ask that academic units **provide itemized obligations against fund balance** (as estimated by OPB for the close of FY15, going into FY16) using the **“Carryover Worksheet”** tab of the “FY17 Academic Budget Worksheets & References” [Excel workbook](#). Please be as specific as possible.

- In the space below, **please indicate what your unit will do to contribute to an overall decline in the UW’s fund balance**. If your unit has no fund balance, or a negative balance, you need not answer this question.
- If you would like to describe any items from the worksheet in greater detail, please use the space below.

The Libraries fund balance is used primarily to support operations, collections, and special projects. Much of the collections balance consists of orders that have been encumbered but not yet paid. The operations budget is funded almost entirely from carryover money in lieu of permanent funds. Salary savings were a little larger in the previous biennium as it took longer to fill some key positions. We anticipate that salary savings will be reduced in FY16-17 due to bridge funding to facilitate librarian retirement transitions.

4. Though the Provost will soon be laying out requirements for FY17 merit increases, administrative units should begin to plan for a merit allocation equivalent to 90-95 percent of GOF/DOF merit pool. In other words, units should plan to receive less funding than may be necessary for a full merit increase, on average, for all GOF- and DOF-funded positions. **Please tell us how your unit plans to deploy funds for merit increases in FY17.**

The Libraries proposes merit increases averaging 4% effective September 1, 2016 for librarians and professional staff. For FY17, the request for merit funding (not including benefit costs) is:

	Annual	Ten months of FY17
Librarian	\$298,788	\$248,990
Professional Staff	\$ 62,672	\$52,227
Totals	\$361,460	\$301,217

5. The Provost will be making the decision to deploy *permanent* Provost Reinvestment Funds **primarily, if not exclusively, to cover for compensation increases. The only possible exceptions for permanent funds will be for critical compliance issues.** However, requests for temporary funds will only be entertained in areas of high institutional priority and in consultation with faculty, staff and students. If you have a Provost Reinvestment Fund request that fits within these strict parameters, please describe it using the framework below.

Title	Funding	FY	P/T	Years Needed (If Temp)
Collections	\$800,000	17	P	
<i>~6% annual cost increase to insure maintaining world class collections. Price increases are fixed costs that require funding to maintain purchasing power. More than 80% of our collections budget is committed to ejournals, databases and other serial materials for which we pay an annual subscription fee. If funding for ongoing cost increases is not provided, we would need to cancel a number of journals, databases as well as reduce monograph purchases. Annual costs increases for FY16 were funded as a central, fixed cost.</i>				
Open Access	\$200,000	17	P	
	\$ 50,000	17	T	request permanent funds at future date

Software (\$150,000) + librarian and IT support.

On April 23, 2015 the Faculty Senate passed a Class C resolution requesting “That the Provost direct the Vice Provost of Digital Initiatives, Dean of the University Libraries to develop an open access publication policy for recommendation to the University.” The resolution also specified that a needs and integration assessment be conducted to determine what resources are necessary raise UW’s current institutional repository to the level of a world-class Open Access repository. http://www.washington.edu/faculty/files/2014/05/senate_042315.pdf. The funding requested would address anticipated Senate Open Access resolution and establish repository as directed (compliance with federal regulations and foundation requirements; facilitate open sharing of research). Costs estimated; to be confirmed prior to implementation.

Open Textbooks	\$150,000	17	T	FY17
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.5 FTE Librarian; .5 IT staff; \$5000/resource 10 textbooks

Pilot to encourage creation and adoption of open textbooks by UW faculty-decrease cost of attending UW and increase access to textbooks for students. Costs estimated; to be confirmed by pilot.

Undergrad Experience	\$140,000	17	P
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1 Librarian +3 grad students

The Libraries Undergraduate Experience program is supported with temporary Provost Reinvestment Funds for FY 16. Permanent funding will enable us to maintain these expanded services to undergraduates, especially for pre-majors, first generation students, international students and those academically under-prepared.

Minimum Wage Increase \$192,285 17 P

The planned January 2016 and January 2017 increases in the minimum wage have a significant budgetary impact on the University Libraries. Currently the Libraries employees over 325 students as a critical component of our service programs.

To fund the January 1, 2017 increase from \$13.00/hour to \$15.00/hour:

Wage increase	\$161,856
Benefits (@18.8%)	\$ 30,429
Total	\$192,285

A request to fund the January 1, 2016 minimum wage increase from \$11.00/hour to \$13.00/hour will be submitted separately to the Provost.

Administrative Unit Carryover Usage Plan DETAIL

Please use this template to update the carryover usage plan you submitted last year. If you need a copy of your plan from last year, please email Amy Floit (afloit@uw.edu) or Becka Johnson Poppe (jbecka@uw.edu). New reserve figures are provided in the "Reserve Figures" tab; new carryover totals are provided in the "Carryover into FY16" tab.

Administrative Unit Name:	University Libraries
Carryover Balance going into FY16:	\$ 3,177,288

Usage Categories and Descriptions	Committed Year(s)	# of Years	Annual \$ Amount	Totals
Unit's Reserve (10%)	230,009	2		
	FY16,FY17	2	\$ 115,005	\$ 230,009
Total Unit's Reserve:				\$ 230,009

Central Commitments	e.g. FY17, FY18	e.g. 2	Annual \$ Amount	Totals
1. (description)			\$ -	\$ -
2. (description)			\$ -	\$ -
<i>Add more lines as needed</i>			\$ -	\$ -
Total Central Commitments:				\$ -

"Spending Plan" Permanent Costs & Other Projects	e.g. FY17, FY18	e.g. 2	Annual \$ Amount	Totals
A. Permanent expenditures funded with temporary funds				
Librarian (4) bridge funding to facilitate workforce transitions	FY16,FY17	2	\$ 80,000	\$ 160,000
B. Possible multi-year commitments				
RCR	FY16,FY17	2	\$ 163,318	\$ 326,636
Temporary salaries	FY16,FY17	2	\$ 119,000	\$ 238,000
C. Immediate, current year use				
Library operations	FY16,FY17	2	\$ 468,730	\$ 937,459
Staff equipment	FY16,FY17	2	\$ 50,000	\$ 100,000
Online and print collections (mainly pay encumbrances)	FY16,FY17	2	\$ 266,232	\$ 532,464
Conservation Facility	FY16,FY17	2	\$ 282,500	\$ 565,000
Health Sciences Library Remodel	FY16,FY17	2	\$ 43,860	\$ 87,720
Total Permanent Costs & Other Projects:				\$ 2,947,279

TOTAL CARRYOVER USAGE PLAN	\$ 3,177,288
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