

Administrative Unit Name: University Libraries

Please complete this Word document and the accompanying Excel workbook (both of which were provided to your unit via email), and submit them to the Office of Planning & Budgeting (OPB) on or before **Friday, November 18**. Please email your materials to [Becka Johnson Poppe](#).

1. In the **“Planned Expenditures”** tab of the Excel workbook, please provide the following information for each functional area of your unit:¹
 - a) A description of how the functional area **contributes to the University’s missions** (research, service and teaching) and the risks the University would face if this work were no longer funded;² and
 - b) Provide information regarding your unit’s **projected FTEs and planned expenditures for FY17 and FY18**:
 - i) Expenditure estimates should be broken down by:
 - *Fund type*: permanent ABB funds (i.e. GOF and DOF, excluding carryover) and, if applicable, funds derived from self-sustaining efforts, grants and contracts, philanthropy, and other sources.
 - *Expenditure type*: salaries and benefits, goods and services, contractual services, travel, and other.
 - ii) Please describe any assumptions you are making in your response, such as those related to the availability of state or federal funding or projections based on the first complete month of expenditures in FY17, etc. Also, please explain the “other” category, if you put expenses into that column.

For guidance, please see the example posted at the [FY18 Budget Development webpage](#).

Response to (a) is provided here for Libraries as a whole:

The University of Washington Libraries provides information resources and services that support and further research, teaching, learning and clinical work across the University. Our print, online and media collections are the largest in the Northwest and are a necessity for research and scholarship in all subject areas. Our facilities provide space for students and faculty to work both individually and collaboratively and house our extensive print and media collections. Librarian and staff expertise connects people with knowledge and provides them with the skills necessary to work effectively in the complex information environment. Our work and partnerships in such areas as digital scholarship, data management, open access and educational resources, institutional repository, and print and digital preservation are transformative in addressing the changing needs of the 21st century research university. Our core services are heavily used and on an annual basis there are:

- 6 million articles downloaded from 125,000 library subscribed e-journals
- 5 million in-person library visits, 93% of which are UW students
- 50,000 reference questions (35% of which are online); 1200 research consultations
- 800 course instruction sessions reaching 20,000 students

If funding were decreased, there would be substantial risks to research and scholarship as journal subscriptions and monograph purchases would be cut, access to productive learning spaces for students and information diminished, and consultative and teaching services reduced.

¹ “Functional area” is most easily described as a level of granularity that reflects your unit’s org chart and is reconcilable to your unit’s organization code structure. However, if this results in an unwieldy number of “functional areas” for your unit (i.e. more than 7 or 8), please note this in your materials and provide a more manageable level of granularity. As a general guideline, we anticipate 3-7 functional areas per unit.

² Please refer the following document for more information about the [University’s Sustainable Academic Business Plan \(SABP\) goals and top institutional risks](#).

2. A number of variables (e.g. the outcome of the 2017 legislative session) will heavily influence the availability of funds for FY18 merit increases. Units should plan to receive less funding than may be necessary to implement the full average merit increases for GOF- and DOF-funded positions. **Please tell us how your unit plans to deploy existing resources, establish new revenue streams (if applicable), and/or pursue additional efficiencies to support merit increases in FY18.** *Please respond in 300 words or fewer.*
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Approximately \$380,000 will be needed to fund the FY18 anticipated 4% merit increases for librarians and professional staff. The Libraries will need to eliminate up to 7 positions to fund these increases depending on the amount that is centrally covered.

3. 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, clearer priorities, increased accountability, and elimination of unnecessary bureaucracy and redundancies.

Please answer the following questions:

- What are 3-5 new things that your unit is doing this fiscal year to align with the [TAP principles for central administrative units](#) and to create and enhance a culture of service? *Please respond within a 300-word bulleted list and please be specific.*
 - How can your unit collaborate with other units (academic and administrative units outside of your own) to be more effective and reduce costs? *Please respond in 200 words or fewer.*
-

ALIGNMENT WITH TAP:

• **DISTINCTIVE COLLECTIONS**

The Libraries combined the East Asia Library, International Studies (3 units) and Special Collections into one administrative unit, Distinctive Collections, under an Associate Dean. Results of the newly formed department include economies of scale, consolidated and improved technical services efficiencies, regular communication, increased utilization of appropriate technologies, and enhanced service to users.

• **EMPLOYEE DEVELOPMENT**

The GOLD (Growth, Opportunity, Learning, and Development) Program is an immersive eight month pilot program for twelve staff members to strengthen confidence, improve interpersonal skills, learn self and change management tools, and understand the role of individuals in advancing the mission, values and strategies of the Libraries and the UW.

• **ASSESSMENT**

Libraries assessment activities are designed to improve faculty and student support, provide clear service priorities, and enhance Libraries accountability to the University community. Examples of assessment initiatives include the 2016 UW Libraries Triennial Survey and a qualitative project that identified transfer student needs and collaboration opportunities with First Year Programs and other campus partners. This fiscal year the Libraries will follow up results from the Triennial Survey using a mixed methods approach and make greater use of data visualization tools to analyze and present assessment data. The Libraries also will convene a meeting of assessment representatives from campus units to discuss potential collaborative efforts.

- **RESEARCH and LEARNING SERVICES (RLS)**

Scholarly Communications and Publishing and Libraries Information Technology and Digital Strategies departments were reconfigured in RLS in order to support a user facing orientation for these critical services. Additionally, Central Circulation assumed responsibility for maintaining the Media Collection, thus closing a service point and repositioning staff in the new Media Arcade to support student and faculty for multimedia creation, preservation, presentation and research. An organizational review of RLS this year will focus on even more ways to effectively support faculty research and student learning.

COLLABORATIONS:

The Libraries works collaboratively with many academic and administrative units to further teaching, learning, research and clinical care. As a hybrid academic/administrative unit we forge effective relationships with a wide variety of programs and services:

TRAIL (Translational Research and Information Lab)

TRAIL is a new collaboration-among the Health Sciences Library, Institute of Translational Health Sciences (ITHS), Bioinformatics and Medical Education, UW Medicine Research Information Technology, and the Pacific Northwest Region of the National Network of National Libraries of Medicine to triage and provide consultations on research data management tools and data visualization. This new lab, located in the Health Sciences Library, will:

- Connect librarians and translational medical researchers
- Support ITHS training program
- Promote dissemination of information and awareness regarding research tools available to UW researchers and clinicians to advance innovative research and improve healthcare in the region.

STUDENT SUPPORT

Collaboration among Libraries, First Year Programs and Undergraduate Research

- Provides jointly sponsored programming, events, and orientation activities for first year students
- Single point of access to multiple support services, reduces costs and staff time.

Libraries partnership with UW-IT to integrate library resources into Canvas

- Creates repository of reusable learning materials
- Provides course readings through Canvas
- Students have one place to access materials

OPEN ACCESS

Recommendation for Open Access Policy submitted to Provost and Senate Spring 2016

- Based on advice of Advisory Group of faculty and senior staff, and 2 working groups
- Adoption will help transform economic model of scholarly publishing

Open Textbooks Steering Committee formed with cross campus membership

- Pilot project underway
- Goal is to provide high quality, less expensive textbooks

4. Please describe **your unit's emerging or changing personnel needs**—prompted by changes that either your unit or the institution is facing—and **what your unit will do to meet these needs without creating new FTE positions** (e.g. redeploying FTE among other functional areas). *Please respond in 300 words or fewer.*

At your unit's meeting with the Provost, **please be prepared to discuss your unit's succession planning activities.**

The Libraries continually reshapes its work force to meet the emerging needs of faculty and students and the rapidly changing library and information environment. As librarians and staff retire each position is evaluated and modified to incorporate needed skills and areas of knowledge. We anticipates 10-15 retirements by the end of FY19 and plan to repurpose many of those positons to address new library and institutional priorities that enhance teaching, learning, research and clinical care.

The work that librarians do is increasingly outward facing and consultative, often requiring specialized technical expertise. Supporting data visualization, text mining, and other tools of digital scholarship means that we hire for skills sets that address these needs. Also, we need more professional staff in information technology areas. To ensure that the Libraries are managing effectively the multimillion dollar investment in collections and information resources, ongoing analysis of the scholarly communication marketplace, research needs, and costs is critical. Acquiring and licensing electronic journals and databases has become increasingly complex and requires expertise in assessing student and faculty needs, evaluating financial and copyright risks, and negotiating with publishers.

These reconfigured positions are often technically complex, highly collaborative, in demand nationally, and command higher salaries than our resources can easily support. In some cases it requires salaries from 1.5 vacant positions to fill a newly configured position. A national search is done for these positons and, like other UW academic recruitments are constrained by our salaries and the high cost of living in Seattle. The potential use of funding from vacant positions to support merit salary increases will impact the Libraries ability to redeploy positions. Bridge funding this biennium has enabled us to get a head start on addressing critical needs now rather than waiting until retirements took effect and we request matching PRF funds for FY18 to again facilitate these transitions.

5. **Please identify any significant obstacles or challenges** that your unit faces, other than resource constraints. Please plan to discuss these with the Provost. If applicable, please summarize any operational risks that, from your perspective, the UW must work to mitigate over time. *Please respond in 300 words or fewer.*
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Facilities-Operational and Life/Safety Risks

The Seattle Campus population is projected to grow steadily over the next 15 years according to the UW Master Plan and the Libraries will struggle to provide adequate study, service, program, and consultation space to meet this growth. Reshaping centrally located Libraries spaces to support student needs requires the ability to move valuable but lesser used collections to an offsite facility. However, facilities to store physical collections must have environmental conditions that will preserve these valuable collections for current and future use. A recent assessment of the HathiTrust Shared Print Program revealed that UW Libraries does not currently meet the required environmental conditions for archive holders. These operational risks need to be mitigated over time, otherwise they will jeopardize the University's long term investment in collections.

Commitment to Open Scholarship

As Vice Provost and Dean Betsy Wilson noted in the cover memo for the Open Access Initiative Report, we need a campus conversation about open access and how sharing the intellectual output of UW authors helps support the UW mission and goals. Work on the adoption of an Open Access Policy and development of repositories would benefit from a shared understanding of the importance of open access publishing and open data, as well as the financial and educational benefits to students of open textbooks written by UW faculty. Linking OA to such bold ventures as the Population Health Initiative would highlight the benefits of making the work of UW faculty freely available online to support researchers, practitioners, and patients both in Washington State and around the world. Our open access PRF request will move this effort forward. On a related note, there continues to be some disagreement within the University on key intellectual property issues, especially related to data, which complicates initiatives such as the Data Repository.

Privacy/Security/Accessibility

Ensuring security and privacy consumes more staff time and resources than in the past. The Libraries must adhere to the Washington Administrative Code (WAC - patron privacy) in addition to standard security/privacy regulation. Responding to new initiatives and policy changes and preventing breaches takes additional resources. In addition, renegotiating contract agreements in the light of new data security and privacy policies has delayed migration to new technology platforms.

The Libraries is currently working with the Accessible Technology department to evaluate accessibility issues for Library e-resources provided by external vendors and strategies for negotiating with publisher/vendors on more universal design and accessible technology features.

Maintaining Serial Purchasing Power:

Journals and other serial publications are essential for support of research and scholarship in all programs. This is especially true in areas that are heavily supported by external research funding. Nearly 1500 faculty respondents to the Libraries 2016 Triennial Survey rated journals as very important to their work (4.91 on a 5.0 scale), with those in the Health Sciences rating even higher at 4.96. However, funding for serials has not kept pace with price increases and the UW Libraries has fallen far behind its peers. In FY09, UW ranked 5th among public institutions and 9th among all universities in serials funding among the 100 U.S. Association of Research Library institutions. In FY15, the latest year available, we had fallen to 21st among public institutions and 37th overall. Simply put, we are at a competitive disadvantage with other research universities in access to journal literature and this increases the risk for our stellar research programs. Our serial purchasing power PRF request will maintain current journal subscriptions for FY18.

6. Please **update the carryover usage plan you submitted as part of last year’s budget development process**. To do so, please complete the **“Updated Carryover Usage Plan” tab** of the Excel workbook. Please note:

- Your worksheet is pre-populated with the carryover usage plan you submitted last year, new estimated carryover totals, and new reserve figures.³
- Please provide updated numbers under "Updated Plan" (Columns H-K).
- If you have new line items, please add rows, as needed.
- For any major updates, please provide a brief description of the change (Column L).

Please note, although cost allocations for the HR/Payroll Modernization Program won’t be available until the new system goes live, units are encouraged to incorporate the original allocations (from the HR/Payroll Cost Allocation plan) into their carryover spending plans. For units that made prepayments, all funds have been held in reserve, and will be applied to your future cost allocations.

If you would like to describe any items from the worksheet in greater detail, please use the space below. For **additional guidance**, please see the example posted at the [FY18 Budget Development webpage](#).

If your unit has a **deficit** instead of a carryover, please confirm that you have an updated deficit mitigation plan in place with OPB. If you do not, please explain why.

7. For FY18, the Provost will be deploying *permanent* Provost Reinvestment Funds (PRF) primarily, if not exclusively, to cover compensation increases. Thus, **units are asked to limit PRF requests to temporary funding needed to address critical compliance and/or high institutional priority needs**.⁴

If your unit has a PRF request that fits within these strict parameters, please describe it in the **“PRF Request” tab** of the Excel workbook. Please also indicate what you are willing to commit as a match for PRF support.

PRF REQUESTS ARE A SEPARATE DOCUMENT

This space intentionally left blank.

³ As a reminder, carryover balances are calculated at the end of each biennium and can only be *estimated* mid-biennium.

⁴ Please refer to the University’s [Sustainable Academic Business Plan](#) for more information about top institutional goals.

FY17 & FY18 Planned Expenditures - Administrative Units

Please use the fields below to provide information for **each functional area** of your unit. "Functional area" is most easily described as a level of granularity that reflects your unit's org chart and is reconcilable to your unit's organization code structure. However, if this results in an unwieldy number of "functional areas" for your unit (i.e. more than 7 or 8), please provide a more manageable level of granularity. As a general guideline, we anticipate 3-7 functional areas per unit.

For guidance, please see the example posted at the FY18 Budget Development webpage: <http://opb.washington.edu/fy18-unit-budget-development>

BT = Budget Type OC = Object Code

| NAME OF AREA: University Libraries (Libraries treated as one unit with no functional areas) | | | | | | |
|--|--------------|-------------------------------------|--------------------------------------|----------------------------------|--------------------|----------------------|
| <i>See Budget Narrative for description of how the Libraries contributes to the University</i> | | | | | | |
| FISCAL YEAR 2017 | | | | | | |
| Fund Source | FTE | Projected Expenditures (in \$) | | | | |
| | | Salaries & Benefits (OC: 01, 07) | Goods & Services (OC: 03, 05, 06) | Contractual Services (OC: 02) | Travel (OC: 04) | Other (OC: 08-21) |
| GOF/DOF, excluding carryover (BT 01) | 308.0 | 22,023,934 | 15,637,180 | 12,583 | 172,917 | (73,861) |
| Self-Sustaining Funds (BT 10, 11) | 3.5 | 273,534 | 493,125 | 1,202 | 10,352 | (52,350) |
| Grants & Contracts (BT 05) | 13.5 | 904,069 | 7,281,456 | 2,100 | 23,241 | - |
| Philanthropy, or Gifts & Discretionary (BT 06) | 13.0 | 927,509 | 738,204 | 55,537 | 99,979 | 134,500 |
| Total | 338.0 | 24,129,046 | 24,149,965 | 71,422 | 306,489 | 8,289 |
| FISCAL YEAR 2018 | | | | | | |
| Fund Source | FTE | Planned Expenditures (in \$) | | | | |
| | | Salaries & Benefits (OC: 01, 07) | Goods & Services (OC: 03, 05, 06) | Contractual Services (OC: 02) | Travel (OC: 04) | Other (OC: 08-21) |
| GOF/DOF, excluding carryover (BT 01) | 308.0 | 22,690,252 | 15,637,180 | 12,583 | 172,917 | (73,861) |
| Self-Sustaining Funds (BT 10, 11) | 3.5 | 273,534 | 493,125 | 1,202 | 10,352 | (52,350) |
| Grants & Contracts (BT 05) | 13.5 | 904,069 | 7,281,456 | 2,100 | 23,241 | - |
| Philanthropy, or Gifts & Discretionary (BT 06) | 13.0 | 927,509 | 738,204 | 55,537 | 99,979 | 134,500 |
| Total | 338.0 | 24,795,364 | 24,149,965 | 71,422 | 306,489 | 8,289 |
| <p><i>Please describe any assumptions:</i></p> <p>--Only adjustments made for FY18 are funding for salaries and benefits. Salaries reflect a 4% merit increase for librarians and professional staff and a 2% increase for contract staff. FY17 benefit loads were used for FY18. No hourly funds requested as there are no scheduled increases, per HR Compensation.</p> <p>--"Other" includes student scholarships, debt redemption, misc. capital costs, designated non-capital & cost transfers.</p> | | | | | | |

Updated Carryover Usage Plan - Administrative Units

Please use this template to provide an update on the carryover usage plan you submitted last year.

INSTRUCTIONS: Please do not change the numbers under "Previous Plan" (Columns C-F). Instead, please provide updated numbers under "Updated Plan" (Columns H-K). If you have new line items, please add rows, as needed. For any updates, please provide a brief description of the change (Column L). See the Word template for notes regarding HR/Payroll cost allocations. For additional guidance, please see the example posted at the FY18 Budget Development webpage: <http://opb.washington.edu/fy18-unit-budget-development>

| Unit: University Libraries | PREVIOUS PLAN (Do Not Update) | | | | Carryover into FY16: \$ 3,177,288 | UPDATED PLAN (Please Complete) | | | | Est. Carryover into FY17: \$ 4,450,000 * |
|---|--|------------|------------------|---------------------|--|-----------------------------------|------------------|---------------------|----------------------------------|---|
| Usage Categories and Descriptions | Committed Year(s) | # of Years | Annual \$ Amount | Totals | Committed Year(s) | # of Years | Annual \$ Amount | Totals | Explanation of Changes/Updates | |
| Unit's Reserve (10% of permanent ABB budget) | | | | | | | | | | |
| | FY16,FY17 | 2 | \$ 115,005 | \$ 230,009 | FY17 | 1 | \$ 500,000 | \$ 500,000 | | |
| | Total Unit's Reserve: | | | \$ 230,009 | Total Unit's Reserve: | | | \$ 500,000 | | |
| Central Commitments | | | | | | | | | | |
| | | | | \$ - | <i>e.g. FY17-FY19</i> | <i>e.g. 3</i> | | \$ - | | |
| <i>Add more lines as needed</i> | | | | \$ - | | | | \$ - | | |
| | Total Central Commitments: | | | \$ - | Total Central Commitments: | | | \$ - | | |
| "Spending Plan" Permanent Costs & Other Projects | | | | | | | | | | |
| A. Perm expenditures funded with temp funds | | | | | <i>e.g. FY17-FY19</i> | <i>e.g. 3</i> | | | | |
| UG Experience/Transition Bridge Funding | FY16,FY17 | 2 | \$ 80,000 | \$ 160,000 | FY17 | 1 | \$ 420,000 | \$ 420,000 | | |
| | | | | \$ - | | | | | | |
| B. Possible multi-year commitments | | | | | | | | | | |
| RCR | FY16,FY17 | 2 | \$ 163,318 | \$ 326,636 | FY17 | 1 | \$ 150,000 | \$ 150,000 | | |
| Temporary salaries | FY16,FY17 | 2 | \$ 119,000 | \$ 238,000 | FY17 | 1 | \$ 180,000 | \$ 180,000 | | |
| | | | | \$ - | | | | \$ - | | |
| C. Immediate, current year use | | | | | | | | | | |
| Library operations | FY16,FY17 | 2 | \$ 468,730 | \$ 937,459 | FY17 | 1 | \$ 700,000 | \$ 700,000 | | |
| Staff equipment | FY16,FY17 | 2 | \$ 50,000 | \$ 100,000 | FY17 | 1 | \$ 160,000 | \$ 160,000 | | |
| Online and print collections | FY16,FY17 | 2 | \$ 266,232 | \$ 532,464 | FY17 | 1 | \$ 1,800,000 | \$ 1,800,000 | Pay enumbrances and acquisitions | |
| Conservation Facility | FY16,FY17 | 2 | \$ 282,500 | \$ 565,000 | | | | \$ - | Completed | |
| Health Sciences Library Remodel | FY16,FY17 | 2 | \$ 43,860 | \$ 87,720 | | | \$ 40,000 | \$ 40,000 | | |
| Facilities Renovation/Refurbishment | | | | \$ - | FY17,FY18 | 2 | \$ 175,000 | \$ 350,000 | | |
| Digital Scholarship | | | | \$ - | FY17,FY18 | 2 | \$ 75,000 | \$ 150,000 | | |
| | | | | \$ - | | | | | | |
| | Total Permanent Costs & Other Projects: | | | \$ 2,947,279 | Total Permanent Costs & Other Projects: | | | \$ 3,950,000 | | |
| | PRIOR PLAN TOTAL: \$ 3,177,288 | | | | UPDATED PLAN TOTAL: \$ 4,450,000 ** | | | | | |

* As a reminder, carryover balances are calculated at the end of each biennium and can only be *estimated* mid-biennium.

** Because carryover balances are estimated, and many of these priorities transcend multiple years, we do not expect this total to exactly match your unit's carryover total.

1. University Libraries Provost Reinvestment Fund Request

Please limit Provost Reinvestment Fund (PRF) requests to temporary support for issues of critical compliance and high institutional priority (such as enhancements to the faculty or student experience) and in consultation with faculty, staff and students. Please also indicate what you are willing to commit as a match for PRF support. Repeat the following fields as needed.

| | | | | | |
|---|--|---|-----------------------------|----------------------------|--|
| One Sentence Explanation: | Bridge funding for 4.0 librarians to facilitate workforce transition and provide research support | | | | |
| Requested PRF (per year): | \$90,000 | Verified annual PRF amount of \$90K (12-6-16) | | | |
| Number of years needed: | 2 years | | | | |
| Starting In: | FY18 | Hiring will start in FY 18 and funds may be spent through FY19 depending on date of hire. | | | |
| Unit Match/Contribution: | <i>Please describe what your unit is willing to commit as a match on an annual basis.</i> The Libraries will provide matching funds of \$180,000. Verified with Steve Hiller 12-9-16 Libraries match amount of \$90K/year over 2 years. | | | | |
| Full Explanation of Request: | Funding of this request will enable the Libraries to continue reshaping our workforce to meet both changing institutional needs and the rapidly evolving library and information environment. These positions will enable us to make more efficient use of resources and provide higher analytical capability to better facilitate research and scholarship. | | | | |
| Connection To Other Units: | These positions will work collaboratively with faculty and university units to further research capacity and analysis and enable greater research productivity. | | | | |
| FTES and Expenditures | <i>In the table below, please outline what the TOTAL funds (requested PRF + unit match) would buy. Please add lines as needed. *See Requested PRF (per year) and Unit Match/Contribution above. The amount shown below is the 12 month cost for each position.</i> | | | | |
| Job Title | FTE | Total Yearly Cost* | Amt covered by unit* | Amt covered by PRF* | Full-time annual salary of \$68,000, plus 32.4% benefits rate |
| Collections Analysis Librarian | 1.0 | \$90,000 | \$45,000 | \$45,000 | Fund for 12 months |
| Data Visualization & Analysis Librarian | 1.0 | \$90,000 | \$45,000 | \$45,000 | Fund for 12 months |
| Scholarly Publishing Librarian | 1.0 | \$90,000 | \$45,000 | \$45,000 | Fund for 12 months |
| Research Impact Librarian (Health Sciences) | 1.0 | \$90,000 | \$45,000 | \$45,000 | Fund for 12 months |
| Other Expenditures | n/a | Total Yearly Cost | Amt covered by unit | Amt covered by PRF | |
| | | | | | |

2. University Libraries Provost Reinvestment Fund Request

Please limit Provost Reinvestment Fund (PRF) requests to temporary support for issues of critical compliance and high institutional priority (such as enhancements to the faculty or student experience) and in consultation with faculty, staff and students. Please also indicate what you are willing to commit as a match for PRF support. Repeat the following fields as needed.

| | | | | | |
|---------------------------------------|---|--------------------------|----------------------------|---------------------------|--|
| One Sentence Explanation: | Maintain serial purchasing power by funding an anticipated 6% increase in the cost of serial publications | | | | |
| Requested PRF (per year): | \$720,000 | | | | |
| Number of years needed: | 1 | | | | |
| Starting In: | FY18 | | | | |
| Unit Match/Contribution: | Libraries will fund FY18 base year expenditures (\$12 million). | | | | |
| Full Explanation of Request: | <p>The expected 6% increase in the cost of journals, if not funded, threatens effective support of University research. Journals and other serial publications are essential for support of research and scholarship in all programs. This is especially true in areas that are heavily supported by external research funding. Nearly 1500 faculty respondents to the Libraries 2016 Triennial Survey rated journals as very important to their work (4.91 on a 5.0 scale), with those in the Health Sciences rating even higher at 4.96. However, funding for serials has not kept pace with price increases and the UW Libraries has fallen far behind its peers. In FY09, UW ranked 5th among public institutions and 9th among all universities in serials funding among the 100 U.S. Association of Research Library institutions. In FY15, the latest year available, we had fallen to 21st among public institutions and 37th overall. Simply put, we are at a competitive disadvantage with other research universities in access to journal literature and this increases the risk for our stellar research programs. This request will maintain the current level of subscriptions for FY18 but permanent funding is needed in the future just to avoid reducing access which does not address our competitiveness with peer institutions. This funding will also help facilitate the transition to new scholarly publishing models.</p> | | | | |
| Connection To Other Units: | This request supports research, clinical care, teaching and learning in all University programs. Our network of 70 subject librarians provide expertise and enable deep connections with academic and clinical units. | | | | |
| FTES and Expenditures | <i>In the table below, please outline what the TOTAL funds (requested PRF + unit match) would buy. Please add lines as needed.</i> | | | | |
| Job Title | FTE | Total Yearly Cost | Amt covered by unit | Amt covered by PRF | |
| | | | | | |
| Other Expenditures | | Total Yearly Cost | Amt covered by unit | Amt covered by PRF | |
| <i>FY18 Serial subscription costs</i> | n/a | <i>\$12,720,000</i> | <i>\$12 million</i> | <i>\$720,000</i> | |

3. University Libraries Provost Reinvestment Fund Request

| | | | | | |
|-------------------------------------|--|---|--|---------------------------|---|
| One Sentence Explanation: | Open Access Initiative-cost of staffing and implementation of Open Access Policy (if adopted by Faculty Senate) | | | | |
| Requested PRF (per yr): | \$ 280,000 | | | | |
| Number of years needed: | 2 | Recognizing the concern about committing permanent funds, temporary funds could be used to test and pilot Symplectic Elements and hire a temporary librarian to assist in implementation of the policy. We won't know the full staffing impact until we get further into the implementation, and may find we will need to identify permanent funding. | | | |
| Starting In: | FY18 | | | | |
| Unit Match/Contribution: | <i>We have repurposed three FTE in support of open access publishing and institutional repository work, representing \$302,534 in salary and benefits on an annual basis.</i> | | | | |
| Full Explanation of Request: | This request covers the cost of staffing and implementation of the Open Access Policy if adopted by the Faculty Senate. Faculty members have many demands on their time, and it will be much easier for support and participation to grow and take hold if everything possible is done to minimize the impact of an open access policy on them. The Open Access Report indicated that a key factor in achieving this would be to automate the process as much as possible, and the best and most promising tool for this is the citation harvesting tool Symplectic Elements now in use at the University of California and elsewhere to support open access policies. | | | | |
| Connection To Other Units: | This work is not being done by any other unit. Symplectic Elements has the capacity to integrate with VIVO should the Office of Research resume development of that project. | | | | |
| FTES and Expenditures | <i>In the table below, please outline what the TOTAL funds (requested PRF + unit match) would buy. Please add lines as needed.</i> | | | | |
| Job Title | FTE | Total Yearly Cost | Amt covered by unit | Amt covered by PRF | |
| Open Access Librarian | 1 | \$100,000 | \$302,534 (repurposing 3 FTE – see above) | \$100,000 | Full time salary of 75,000, plus 32.4% benefits rate |
| Other Expenditures | | Total Yearly Cost | Amt covered by unit | Amt covered by PRF | |
| Open-Access support | n/a | \$180,000 | | \$180,000 | Symplectic Elements (\$150k) +Luminos (\$20k) & Knowledge Unlatched (\$10k) |