Making the Case for Institutional Investment in Libraries: The Value of Evidence-Based Narratives

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UW Seattle
- 30,000 undergraduate students
- 13,000 graduate/professional students
- 4,500 faculty
- 28,500 employees (largest in Seattle)
- #24 in London Times World University Rankings
- $1.4 billion annually in external research funds

UW Libraries
- 1 library serving 3 campuses
- $40 million annual budget
- 120,000 serial titles/7 million volumes
- 375 librarians & staff (FTE)
- Active assessment and measurement
Great Recession and UW Budgets 2009-12

• State funds cut by 50% from $400 million to $200 million

• Undergrad student tuition increased by 50%
  – $7,000 to $10,500 annual cost
  – Students pay 70% of education cost, up from 30% in 2004
  – 58% of students receive financial aid

• External research funds rose 30% from $1.1 to $1.4 billion
  – UW ranks 2\textsuperscript{nd} in U.S. federal research funding ($1 billion)
  – 85% goes to Health Sciences, Science-Engineering-Environment
  – ARRA
  – Bigger piece of the pie
UW Operating Budget 2011-2012: $2.35 Billion
($5 Billion with hospital/patient/auxiliary income)

Research Grants: 59%
Student Tuition: 20%
State funding: 9%
Investments/Gifts: 9%
Other: 4%
## UW Budget Planning Process

<table>
<thead>
<tr>
<th>Year</th>
<th>Description</th>
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<tbody>
<tr>
<td>FY09</td>
<td>1.5% Recission in March 2009</td>
</tr>
</tbody>
</table>
| FY 10 | Business Plan showing impact of 8%, 10%, and 12% reductions  
Submitted Winter 2009  
Budget further reduced by 12% |
| FY 11 | Report on impact of budget reductions and internal efficiencies  
Plan for further reductions at 3.5%, 5%, and 7% |
| FY 12 | Narrative: Key goals, strategic approaches and measuring success  
Program evaluation criteria and metrics  
**ABB fully implemented** |
| FY 13 | Narrative: Strategic planning and reporting: Progress towards goals;  
metrics used to measure progress;  
Core Services: Description, measurement, process improvements;  
benchmarking  
**ABB and Provost Reinvestment** |
University Budget Planning Components

Different method and process used each year

• Activity-Based Budgeting (ABB)
• Program Evaluation Metrics (PEM)
• Indirect Cost Recovery Redistribution
• Substantial tuition increases
• Evidence-Based Narratives (FY 12, FY13)
Decoding the Acronyms

• **ABB (Activity Based Budgeting):** a method of budgeting in which the activities that incur costs in every functional area are accounted for, analyzed, and then linked to the mission and strategic goals of the institution.

• **PEM (Program Evaluation Metrics):** a mechanism to evaluate academic departments and non-departmentalized schools and colleges based on a standardized criteria.
FY13 Budget Review Narrative Format

- Strategic Planning and Reporting
- Core Services
- Process Improvements
- Benchmarking
- Other (Strengths and Challenges)
- Budget Reduction Plans
The Narrative
We Wanted Administrators to Know

- Our contribution to student and faculty success
- Our contribution to university mission/visibility
- And . . .
  - Accountability/Efficiency/Effectiveness
  - Use of services, facilities and collections
  - Revenue generation (including fund raising)
  - Comparisons with others (peer research libraries)
  - A little help from our friends
What’s Not Important to Administrators

- How the work is done
- How hard it is to do
- Too much detail; too many needs (a laundry list)
- Narrative without data; data without narrative

*Presentation for administrators must be short and focused*
Libraries Budget Planning Principles

- Stay **future oriented and in alignment** with the University and our strategic goals.
- Retain and enhance our **user-centered** focus.
- Look for opportunities for **transformative change**, including retraining and realigning staff to meet Libraries strategic goals.
- Maintain commitment **to openness, consultation and communication** with our personnel and our stakeholders.
Our 2012 Budget Planning Strategy:
Selective Focus and Persuasive Data

Invest in Libraries to support faculty research and student services and maintain competitiveness

- Restore collections funding
- Maintain hours of opening/access to libraries
- Maintain student jobs in libraries
- Invest in renovation of key libraries
- Support core and emerging services
- Enhance multi-institutional collaboration for efficiency and effectiveness

Mission: Advancing Intellectual Discovery and Enriching the Quality of Life by Connecting People with Knowledge

Strategic Directions: Research & Scholarship · Teaching & Learning · Engagement · Sustainability

Organizational Values: Collaboration · Diversity · Excellence · Innovation · Integrity · Responsiveness
Libraries Budget Reductions 2009-2011

- Libraries budget reduced by $4 million
  - $2.4 million reduction to collections budget
  - 46 positions eliminated (including some layoffs)
  - 4 branch libraries closed; hours reduced; services curtailed
  - No salary increases since September 2008 (university-wide)

Source of Library Funds 2010-11

University 79%
Grant & Contract 13%
Gifts 4%
Other 4%
Core Services/Strategic Directions

• **Collections** to support research and learning

• **Information/instructional services** that save time, and integrate learning technology and information skills

• **Facilities** which are engaging, productive and technology-enabled

• **Curation** of unique collections and datasets, and preservation of the scholarly record.
Libraries Budget Strategy FY11 – FY13

• Emphasize value of core & emerging services
• Demonstrate user-centered services & process improvements
• Document long-term decline in support compared to peers
• Opportunity to tell own story
• Deliver focused, consistent message
• Use data to support narrative

Data by Steve
Actions to Achieve Strategic Goals

• Information resources & services provided any time and any place
• Multi-institutional approaches
• Facilities upgrades
• Capacity to address emerging areas and core services
• Staffing and salary flexibility
• A sustainable academic business plan, including programmatic efficiencies
Measuring Progress and Identifying Budgetary Impacts: Using Data Effectively

Long tradition of library assessment and data use
- Large scale user surveys every 3 years since 1992
- In-library use surveys every 3 years beginning 2002
- Focus groups/Interviews
- Observation (guided and non-obtrusive)
- Usability/User-Centered design
- Usage statistics/data mining/peer library statistics
- Performance metrics

Students Pay More and Get Less Using Internal Library Data

From 2006 to 2011 student enrollment increased by 8% and tuition by 60%

• Entrance counts up 14%
  – 500,000 more visits per year (5.0 million in 2010-11)
• Total weekly open hours decreased by 23%
• Seating reduced by 3%
• Number instruction sessions down by 30%
  – Fewer librarians & graduate assistant instructors
• Student employee hours reduced by 20%
• Undergraduate student library satisfaction dropped between 2007 and 2010
Survey Data
Importance of Library Services/Resources
(2010 Triennial Survey - Scale of 1 “Not Important” to 5 “Very Important)

Collections/Services Importance by Group

Collections most important to faculty
Library facilities most undergrads important to

Collections
Discovery tools
Physical spaces

Undergrad  Grad  Faculty
<table>
<thead>
<tr>
<th>Library Contribution to:</th>
<th>Faculty</th>
<th>Graduate Students</th>
</tr>
</thead>
<tbody>
<tr>
<td>%= ranking 4 or 5 and mean scores</td>
<td>1634 surveys (39% response)</td>
<td>680 surveys (32% response)</td>
</tr>
<tr>
<td>Keeping current in your field</td>
<td>96% (4.66)</td>
<td>90% (4.53)</td>
</tr>
<tr>
<td>Being a more productive researcher</td>
<td>93% (4.63)</td>
<td>93% (4.64)</td>
</tr>
<tr>
<td>Enriching student learning experiences</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overall academic success</td>
<td>77% (4.18)</td>
<td>92% (4.60)</td>
</tr>
<tr>
<td>Making more efficient use of your time</td>
<td>87% (4.45)</td>
<td>80% (4.21)</td>
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Comparative Data: Total Annualized Library Expenditures: UWS & ARL Public Median Top Quartile

- **UW Seattle**
  - 2003-05: $35,271,053
  - 2005-07: $36,434,931
  - 2007-09: $38,166,703
  - 2009-11: $36,533,500

- **ARL**
  - 2003-05: $32,393,178
  - 2005-07: $35,696,135
  - 2007-09: $39,651,745
  - 2009-11: $40,675,000

*Note: Expenditures are in millions.*
## UW Libraries Budget Results

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Budget Allocations</th>
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| **FY 11** | 5% reduction  
  Provost investment  
  Realized cut | -1.35 million  
  1.00 million*  
  -.35 million  
  *Largest of any admin unit |
| **FY 12** | Collections funding (temporary)  
  Hours of opening (permanent)  
  Student hourly jobs (permanent)  
  Undergraduate library renovation | 2.00 million  
  .25 million  
  .25 million  
  16.5 million |
| **FY 13** | Collections funding made permanent  
  Libraries exempted from 2.9% campus reduction  
  Libraries hiring plan approved (vacant positions released to fill) | 2.0 million |
Final Thoughts

During difficult economic times:

• Focus on what is important to the institution
• Build on the library’s existing strengths
• Tell your story using supporting evidence
• Enlist the support of others in the university community
• Position the library as a transformative change agent

Great universities have great libraries!
2Y2D: Libraries Transformation

http://www.washington.edu/provost/initiatives/2y2d/

And also available on YouTube, of course
Now It’s Your Turn