

Changing For Excellence

Business Case Goal Completion Report

Libraries

Report Date

August 2016

Context

- Anticipated natural attrition and realignment of the Libraries' workforce will impact staff costs within the next five years.
- Opportunities exist to enhance cross-campus collaboration with a diverse group of academic and administrative partners and potentially for consolidating certain library functions across KU Lawrence, KUMC, and Wheat Law Library.
- Collections expenditures must be balanced against rising costs and flat, or diminishing, budget. The thoughtful expansion of KU Libraries' demand driven acquisitions pilot program may help adjust spending levels, though over-expansion may impact service levels and the long-term quality of KU's collections.
- The planned installation of a second Annex storage module presents an opportunity to either generate revenue through leasing agreements or by accelerating the pace at which KU internal materials are transferred, allowing repurposing of central campus space for research and student support services.
- Updates to the fines policies and payment process could provide better service and reduce required staff time.

Goals

For each goal answer the following: What percent is this goal complete? If the goal has been met, please describe how it was met. If the goal has not been met, how will you be completing this goal or why will it not be complete?

- Reassess library staffing and key service levels in accordance with needs of KU and the Libraries' strategic initiatives.
 - This goal is 100% complete, although strategic adjustments to staffing and service levels are ongoing organizational priorities.
 - In the summer of 2012, a KU Libraries team embarked on a charge to assess the libraries' current organizational structure, determine existing major functions and cross-functional areas therein, and identify new and vital positions or functional areas as required by new strategic directions. Throughout the process, the team worked diligently, drawing from peer institutional research, focus groups and more, always with an eye to Bold Aspirations, as well as the libraries' own [strategic plan](#). The result was a more agile and collaborative organization, with staffing focused in support of university priorities.
 - In August 2014, the libraries implemented a new consultant model, reframing the ways in which library faculty and professional staff cultivate relationships with our users through proactive engagement in support of research, teaching and learning. The consultant model echoes the user-focused approach taken in our broader organizational restructuring (a shift away from framing services strictly in terms of discipline or subject), and its increased flexibility enables a more coordinated, scalable approach to serving our users' needs.
 - In January 2015, the libraries implemented a new service model for the Edwards Campus that replaces the physical branch service model with an on-site consultant librarian and enhanced remote delivery services for electronic and current physical collections. The new

- model aligns with the Libraries' efforts to leverage new and emerging technologies and saves significant student payroll dollars.
- Another endeavor stemming from our broader reorganization is currently underway in an effort to analyze the workflows and processes throughout the libraries' Acquisitions Dept. and Resource Sharing Dept., with the goal of streamlining processes and merging staff into one combined unit. We anticipate this blending will enable new efficiencies and collaboration—facilitating flexible staff and adjustments to service levels to better meet strategic priorities and evolving user needs.
 - The result of this goal has been an overall reduction in the number of staff (through attrition), a commitment to filling positions that best support the university, and more efficient operations across the board.
 - Monitor and analyze the annual impact on collections and services resulting from demand driven acquisitions (DDA).
 - This goal is 100% complete, and was not tracked during phase three.
 - The libraries DDA pilot program was launched prior to Changing for Excellence, and continued during the exercise.
 - Budget for these purchases rose substantially in the final years of the pilot. This increase was due in combination to an expanded quantity of items available, as well as increased user awareness and subsequent use.
 - As a result, DDA will be targeted to specific areas of study and research to ensure it delivers cost savings. KU Libraries have continued to reduce purchasing through other means, including firm orders and approval plans.
 - Explore offering storage space in the Annex to non-KU institutions to enhance revenues.
 - This goal is 100% complete.
 - The libraries pursued many avenues within this goal, but it proved challenging to identify institutions interested in high-density storage for the long term.
 - KU Libraries refocused efforts and increased accession rates for low use items into the Annex, freeing library space for prioritized needs.
 - Collaborate and/or consolidate across all campus libraries.
 - This goal is 100% complete.
 - KU Libraries, Wheat Law Library, and Dykes Library (KUMC) are now working together on a number of initiatives, including:
 - Compilation of the annual Association of Research Libraries statistics
 - KU's One-University Open Access fund
 - A digital literacy module
 - Licensing of key databases and contract negotiations
 - Exhibitions and events
 - Update fines and fees policies.
 - This goal is 100% complete.
 - KU Libraries eliminated the public service desk for Circulation Business Office and incorporated some of the services into the Watson Library Checkout Desk.
 - This goal also led to implementation of online payments for library charges using KU's e-commerce package.
 - KU Libraries also made adjustments in selected charges. Specifically, the libraries increased the maximum overdue charges for reserve item types and interlibrary loan items borrowed from another library from \$20/item to \$25/item.
 - Additionally, a team conducted review of KU fines and fees policies in comparison with Huron peers, Bold Aspirations peers, and Voyager ILS libraries.

- The libraries also conducted an internal review of charges, collection methods, and the impact of policies and local practices on resulting income, along with comparison with changing trends in circulation of library materials.

Overall, how did goals change during Changing For Excellence and what goals were added or removed:

Initially, goals included the following, and were revised to reflect those stated above:

- Reassess library staffing and key service.
- Expand Demand Driven Acquisition to reduce the acquisition cost of monographic materials.
- Assess the use of journals purchased in “big deal” bundles to produce more effective collections spend.
- Offer storage space in the Annex to non-KU institutions to enhance revenues.
- Consolidate Library back-office functions across campuses.

Challenges

- KU Libraries’ ability to create a cost contingency plan and the possibility of significant budget reductions are the key risks related to the business plan.
- Two elements of the business plan—cross-campus consolidation and contingency planning—require KU Libraries to identify, vet, and design additional cost saving opportunities.

Describe if these challenges were encountered during Changing for Excellence and what unanticipated challenges occurred during the process:

- During this process, the libraries found that “big deal” packages, as outlined in the initial goals, require a great deal of negotiation and require significant expertise and staff time. The costs and subsequent inflation of “big deals” often require collection reductions in other areas.
- As noted above, though demand-driven acquisitions (DDA) costs were initially fairly low, the budget for these purchases has risen substantially in recent years. This increase is due in combination to an expanded quantity of items available and increased user awareness/use. As a result, DDA will be targeted to specific areas of study and research to ensure it delivers cost savings. KU Libraries have continued to reduce purchasing through other means, including firm orders and approval plans.

Opportunities

Expected annual net benefits of \$319.4K from resource reallocations and new revenues can be achieved through:

- Focus on staff rationalization modified to encapsulate more holistic view of library expenditures, resulting in a recommendation to develop a cost reduction contingency plan, which is tied to KU Libraries’ ongoing strategic planning efforts.
- Utilization of Annex for both leasing to third parties and accelerated intake of KU materials.
- Analysis of fines and fees related to level of charges and the review of policies and payment process.

Describe if these opportunities occurred during Changing for Excellence and what unanticipated opportunities were realized during the process:

Significant annual net benefits were realized through the goal related to staffing realignment. Through attrition and reskilling, the libraries were able to align its workforce with university directions while realizing an overall reduction in staff. Savings were reinvested in strategic hires that support Bold Aspirations.

No annual net benefit resulted from the goal associated with the Annex, though the libraries were able to see benefits related to space allocation within library branches.

The goal associated with fines and fees resulted in small savings and an overall increase in operational efficiency.

Changing For Excellence Summary

Summarize the process to date and lessons learned. Provide specific future direction, next steps, and strategy for this business case. Indicate what metrics will be used to measure success:

This exercise aligned with the libraries' already present commitment to constant improvement. Though the initial peer group selected for CFE didn't provide the opportunity for appropriate comparisons, internal work to identify peers was successful and led to research on best approaches for more efficient operations.

In many cases, the goals outlined were underway or under discussion within the libraries prior to CFE (DDA, for example). Staffing was already a major consideration of the libraries' own strategic plan.

The libraries will continue to seek efficiencies in operations, as has been a priority prior to CFE. As budget allocations shrink, and costs associated with content and collections increase at an astounding rate, this important work will continue to receive significant attention from the libraries leadership team.

Post-Changing For Excellence Updates (Completed Projects Only)

The CFE business cases, while complete for routine reporting purposes, are never considered done as they are constantly being monitored and grown. With this in mind, please provide your detailed strategies on the continued growth and development of these business cases. Information about how units continue to improve and innovate from these business cases should be addressed. Details could include information about refining processes, new projects, measuring success, metrics being reviewed, and other methods for understanding improvements.

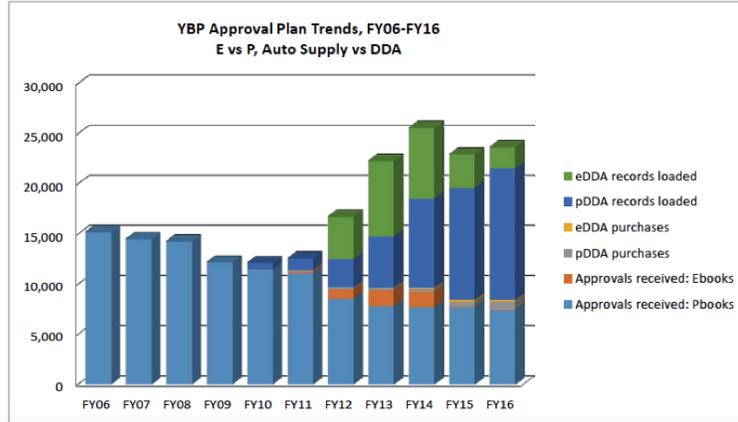
Reassess library staffing and key service levels in accordance with needs of KU and the Libraries' strategic initiatives.

- As of August 1, the Libraries have 140 full-time staff (37 Tenure-track, 9 Academic staff, 70 unclassified professionals and 24 unclassified support staff).
- In the past 4 years, the library staff has decreased in number by 18%
- Every vacancy is evaluated at the cabinet level, and the libraries are committed to filling positions that Best support the university, as well as to more efficient operations across the board.

Monitor and analyze the annual impact on collections and services resulting from demand driven acquisitions (DDA).

- As noted in the case completion report, the budget for DDA purchases rose substantially in the final years of the pilot. This increase was due in combination to an expanded quantity of items available, as well as increased user awareness and subsequent use.
- DDA was conceived as a way to reduce growth in the book collection to materials needed for instruction and research programs. As a result, DDA continues to be targeted to specific subject areas to ensure it delivers cost savings. KU Libraries have continued to reduce purchasing book collections through other means, including firm orders and approval plans to assure adequate funding for databases and serials (see chart below for the changes in book purchasing approaches).

YBP Approval (AP) and Demand Driven Acquisitions (DDA)



Explore offering storage space in the Annex to non-KU institutions to enhance revenues.

- The libraries pursued many avenues within this goal, but it proved challenging to identify institutions interested in high-density storage for the long term. KU Libraries continues to focus efforts on increased accession rates for low use items into the Annex, freeing library space for prioritized needs. As a result of this effort, we are releasing over 5,000 square feet of former collection space to study space on Anschutz Library 2 South.

Collaborate and/or consolidate across all campus libraries.

- KU Libraries, Wheat Law Library, and Dykes Library (KUMC) continue to work together on a number of initiatives, including:
 - Compilation of the annual Association of Research Libraries statistics
 - KU's One-University Open Access fund
 - A digital literacy module
 - Licensing of key databases and contract negotiations
 - Exhibitions and events

Update fines and fees policies.

- Revised fines and fees for overdue or lost books are in place, and we continue to monitor this area for further opportunities to create efficiency. Reductions in circulation of books and journals as a result of the transition to on-line resources means that this source of funding will continue to decline.