

<b>Faculty or Professional Service: Library Services</b>	
<b>2020-21 Budget Pay and Non-Pay (£s): 26,923,000</b>	<b>Staffing (FTE): 278</b>

## SECTION A. Vision and Priorities

<b>Vision</b>
<p>At the heart of the University, UCL Library Services works in partnership with the UCL community to deliver the Mission of UCL. To achieve this, we provide outstanding services, resources and spaces, which facilitate UCL's integration of education, research and enterprise and support the work of our affiliated NHS Trusts. We show international leadership in opening up UCL's teaching, research and collections to a global audience. We invest in the professional development of a skilled workforce, who are committed to service excellence and innovation.</p> <p>Library Services will enable UCL's vision through excellent, customer-focused services, world-class resources, state-of-the-art learning spaces and outstanding professional expertise. The <a href="#">Library Strategy 2019-22</a> identifies 6 Key Performance Areas (KPA): User Experience; Staff, Equality, Diversity and Inclusion; Finance and Management Information; Systems, Collections and Processes; Sustainable Estate and Communication, Outreach &amp; Open Science. The Library Strategy sets the agenda for change, underpins decision-making on resource allocation and prioritisation; and it is both a focal point for Library staff and a statement of the Library's identity in London's Global University. The Covid-19 pandemic has also highlighted the critical importance of learning spaces and access to library resources and services. This Strategic Operating Plan outlines the key priorities for Library Services in the period 2021-24, seizing opportunities to innovate and shape the new ways of learning and doing research.</p>
<b>Priorities</b>
<p><b>1) User Experience: Connected Learning / e-books / embedding on-demand digitisation</b></p> <p>Connected Learning was delivered at speed in response to a global crisis. However, blending first class digital delivery with UCL's campus experience must now become the norm. Going forward, our students will expect digital access to essential course materials as much as they will visit our excellent learning spaces. UCL's huge investment in electronic textbooks and other digital resources to support student research and learning needs to be echoed in investment in the services that support the identification and targeted delivery of these resources via services such as ReadingLists@UCL.</p> <p>Recurrent funding required to achieve fully-digital delivery of essential readings. Additional funding of £3m is required to set a baseline. It is proposed that future increases and decreases to the digital textbook funds are calculated according to projected student numbers using a per capita approach, proposed initially at £120 per student pa based on data from Term 1 20/21, and to be recalculated annually.</p> <p>The Library Services 'Scan and Send' facility delivers book chapters and journal articles from UCL's print collections to UCL students and researchers. The service was introduced to uphold the student experience during the Covid pandemic, but it has proved popular with UCL members at all levels. Recurrent funding is required to embed the service and extend it so that items can be scanned directly from the Wickford Store.</p>

## **2) Sustainable Estate: Learning space increase/management**

UCL needs a new facility which can extend the success of the Student Centre, since its 1,100 learning spaces are the most heavily-occupied on campus. A new Student Centre-type building could be sited either on the Science Library footprint or another site in the Bloomsbury campus. As part of UCL's long-term estates planning, opportunities should be explored to consolidate library provision into fewer sites, reducing the provision currently distributed across 14 sites into fewer, larger hubs in Bloomsbury.

In 2020-21, UCL SMT exceptionally approved funding for staff to manage 400 temporary additional learning spaces in Bidborough House, 1-19 Torrington Place and Ramsay Hall. The requirement for additional learning space will diminish after social distancing becomes redundant. Contingency plans to provide 1,500 additional spaces if social distancing remains necessary in academic year 2021-22 are covered in the work of the Operational Planning Group 2021/22, and are included in this SOP as a provision for staff to manage external spaces in case this scenario materialises.

The Covid-19 pandemic has led to students adopting new ways of learning, including for self-directed study. UCL Library Services has explored setting up a space for students to study in a virtual environment, in a joint research project with ISD under the auspices of SPiDER. This development provides an opportunity to extend the library experience beyond the constrained footprint in Bloomsbury (and UCL East). It closes the gap between the on-campus experience for students in the library and those studying remotely, which will remain relevant during and after Covid-19. UCL could be one of the first institutions globally to test demand for access to virtual learning spaces as an institution.

## **3) Systems, Collections and Processes: Special Collections**

*Managing digital archives:* There is no staffing capacity within UCL Library Services to undertake the acquisition and life-cycle curation of hybrid and born-digital archives, preservation of digitised content, and archives of obsolete formats, which will lead to a 'digital black hole' in our holdings of UCL's research archives. A role is required to take charge of development, strategic planning, fundraising, training and partnership building in this area. This will allow us to take a structured approach to this area of work.

## **4) Communication, Outreach & Open Science priority: research support**

Research Support Services provided by Library Services are essential components underpinning UCL's Research Excellence. UCL is a national and international leader in Open Science, and Open Science initiatives abound across the institution and open practices are a standard in all of our research areas. Our work to embed open access publishing of research papers and increasingly monographs is well established and demonstrated by our compliance with the REF2020 Open Access policy, which is sector leading and will be a major factor in what promises to be another outstanding performance in the forthcoming REF. To continue to support UCL's researchers as they engage with open practices and to ensure that the institution continues to set high compliance rates with research policies additional investment will be required in the coming years.

UCL has a firm commitment to embed Open Science practices in our research and education. The launch of the Office for Open Science in October 2020 heralded the beginning of an institutional approach to create a hub that promotes Open Science by bringing together expertise and experience

to further open practises across all disciplines. With the focal point established, UCL’s researchers will now look to the Office. Delivering an extensive programme of engagement activities requires some additional support.

**5) Communication, Outreach & Open Science priority: UCL Press**

UCL Press has achieved considerable success with its open access monograph publishing since launching in 2015. There is now an opportunity to expand its OA monograph publishing to achieve even greater impact for the institution and to meet ongoing demand from authors and funders. UCL Press currently has the budget and staff resource to publish 50 books per year, but there is sufficient demand and potential to increase this to 100 books a year. Demand will continue to rise with the anticipated OA mandates for monographs due in the coming year from UKRI and Plan S. Additional staff and funding are needed to support the commissioning, production and marketing of a larger number of books, in order to continue to deliver the high-quality publishing that has helped to establish its reputation.

The provision of open access textbooks to students by UCL Press would give UCL a distinct advantage in delivering its student experience strategy, as well as aiming to address the broken textbook publishing model that has pushed prices for digital textbooks beyond the limit of affordability. UCL Press is well placed to launch a programme of OA textbook publishing. This would be a very innovative step and would demonstrate UCL’s leadership, as it would be the first UK university to systematically build an OA textbook publishing programme. Commercial textbook publishers offer unfavourable terms to institutional libraries that impede their ability to provide sufficient resources to students, which this initiative seeks to address. Offering free digital textbooks to large numbers of students would directly deliver on UCL’s commitment to an outstanding student experience.

UCL Press’s interdisciplinary journal, *UCL Open: Environment*, was launched in 2019 and it offers a transparent and rapid publishing model that has the potential to be rolled out more widely to other themes and disciplines. This mode of rapid and transparent article publishing is seen as the way of the future and it echoes the development of many other open access ‘megajournals’ in recent years, such as those by the Wellcome and the European Commission. UCL Press proposes to develop two more such journals to capture broad themes of strategic interest to UCL, such as AI or Education.

**Section B: Cross Cutting Themes**

What do you consider to be the main challenges in the following areas and how do you plan to address them	
1. The Operating Model for 2021-22 and its implications for managing student numbers, and providing a high quality education and student experience	Major challenges revolve around the need for continued investment in e-resources, particularly in the context of rising student numbers and sustained above-inflation increases in e-resource costs which are not addressed in the current UCL budget model. The increased need for learning space is described in Section C. Finally, Staff Wellbeing will continue to be a challenge given the challenging environment.

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	<p>The setting of the Library budget is not linked to student numbers. Increases in numbers do not automatically generate additional income. This means that existing budgets have to be squeezed to find monies. We continue to advocate for a more joined-up approach between Faculty Planning, Finance and Library Services. Another area where more joined-up planning is needed is to link PIQs for new Programmes to new funding in the Library budget.</p> <p>The biggest strain on the Library budget is the lack of indexing to materials inflation and currency fluctuations. This SOP sets out the need for an inflationary increase on e-resource budgets. To address the systemic issues with publishing models for textbooks, UCL Press is ramping up textbook publishing as a direct response to this challenge.</p> <p>There is currently no sustained rolling maintenance programme in learning spaces. This is a risk in terms of delivering high-quality learning spaces, since many student comments in surveys relate to the poor condition of the environment, including for instance the lack of heating in the Main Library.</p>
<p>2. Enhancing Professional Services to support the Academic Mission</p>	<p>OA compliance remains a critical issue for UCL. Plan S is being promoted by Science Europe (including UKRI), who have already alerted LERU members to the likelihood that costs to universities are likely to increase if Plan S becomes the generally-accepted approach for open access dissemination across Europe. Current data shows that the move to 'transformative deals' increases costs for research-based universities which produce the most research papers.</p> <p>Library Services has historically invested earned income into service improvements. Revenue-generation from traditional sources, such as fines for late book returns, have been steadily declining. Library Services has been developing relationships with academic publishers and companies in the consumer genealogy space, with the aim of creating new income streams through commercial licensing of digitised collections.</p>
<p>3. Equality, Diversity and Inclusion</p>	<p>UCL Library Services is committed to Equality, Diversity and Inclusion and the Library's EDI Committee published its Implementation Plan in July 2020. The 13-point plan is structured under 5 headline objectives to improve gender equality and BAME equality within Library Services, roll out EDI Training and Development for staff, improve the working environment for all staff and to foster a culture of advocacy and engagement.</p> <p>As part of EDI activity, a Liberating the Collections Steering Group was established in July 2020 and is engaging with staff and students to ensure EDI values are reflected in our collections. On our physical estate, access to some libraries continues to be a challenge and future bids for estates projects will continue to prioritise improving the accessibility of UCL's</p>

	libraries. The development of virtual learning spaces, in partnership with ISD, aims to improve accessibility.
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### Section C: Resourcing

<b>Space</b>
<p><b>Learning space</b> Growth in student numbers since 2019-20 will require an increase in the number of learning spaces on campus to accommodate all students on site. Library Services has devised a range of requirements based on scenarios under review by the UCL Operational Planning Group in March 2021. Library space for 2021-22 may not need to grow, if social distancing is no longer required and some new spaces created within the Library footprint, or could require a substantial increase (up to an additional 1,500 seats) if social distancing continues to be necessary.</p> <p>Library Services is initiating space planning work to consider the relative space occupied by print collections in central London against provision of learning spaces. There is scope for strategic improvement in this area between 2021-24, converting space occupied by print collections to provide new learning spaces. This work will feed into UCL estates planning and will require significant capital investment to enable UCL to realise the potential of consolidating print collections and increasing learning space numbers, for instance looking at the Science Library (DMS Watson building) footprint.</p> <p><b>Special Collections</b> There is strong academic demand for at least the more heavily-used Special Collections to be returned to Bloomsbury so that they can be used for research, and for taught-course provision across UCL. Library Services has been in informal contact with 16 bodies, mainly institutions in the federal University, to ascertain whether they would be interested in joining a collaborative venture. New leadership in the University of London has expressed strong support for the concept of a shared Special Collections facility, which would form a critical part of plans for a National Centre for the Humanities. The space requirement for UCL represents around 2,000 sqm. This new academic facility would be world-class in terms of its holdings and the scope of the services it could offer. The vision is to create a collaborative space for Special Collections in Bloomsbury, with materials from the partnership, and services offered to other partners.</p>
<b>Resource Summary - resources and staffing to support delivery</b>
<p>This is provided below in Appendix 3.</p>

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**Financial Summary table 2020-22 and narrative**

	19-20	20-21	20-21	21-22
	Actual	Budget	Forecast 1	Budget
<b>Staff (FTE)</b>				
Academic	0.00	0.00	0.00	0.00
Research	0.42	1.00	1.00	0.00
Professional Services	278.07	291.44	282.83	277.25
<b>Total</b>	<b>278.49</b>	<b>292.44</b>	<b>283.83</b>	<b>277.25</b>
<b>Financials (£'000)</b>				
Income	4,363	4,069	4,705	3,871
Expenditure	29,585	30,992	31,672	34,294
<b>Contribution (£'000)</b>	<b>(25,223)</b>	<b>(26,923)</b>	<b>(26,967)</b>	<b>(30,423)</b>
<b>Variance (£'000)</b>		<b>(1,700)</b>	<b>(44)</b>	<b>(3,456)</b>

An additional strategic e-textbook budget (£2.7m) was granted this year to ensure teaching and learning continued during the pandemic. This accelerated the library ambitions to strategically move from print books towards e-resources. Some of this outlay has been offset by VAT savings made on e-resources which came into effect 1st May 20.

The ongoing recruitment freeze has led to savings, but was curtailed by the need to recruit agency staff (£570k) for strategic services such as the 'scan and send' student book service and information assistants for additional Library-managed spaces.

**Outlook: 2021-22 budget**

For the next financial year, it is assumed that operations will revert closer to 'normality' with running costs increasing and a more settled pattern of expenditure. Inflation and exchange rates remain at a steady state whilst the VAT savings continue throughout 21-22. The large variance, £3.4m, between the F1 forecast and the 21.22 budget is predominantly due to the strategic bids (Appendix 3).

NHS, Research and project income is expected to be maintained with conservative estimates provided. The cost for additional information assistants in 2021-22 (in the event social distancing remains necessary) has been incorporated within the strategic bids for the library.

## Appendix 1

Measurement	Current performance data
<b>1) National Student Survey</b>	The Library has seen an increase in its 2020 NSS score to 89.3%, (+3% compared with 2019).
<b>2) PTES</b>	Taught postgraduate students' satisfaction with Library Services was slightly down in PTES 2020 (85%, -1.3%). In the Additional Question 'The Library study spaces have been sufficient for my needs'. The level of satisfaction was 69.6%, up 5.2% from 2019.
<b>3) PRES</b>	The PRES survey of 2019 showed a level of satisfaction of 86%, a fall of 1% over the previous year. The trajectory for levels of satisfaction for UCL's Online Library, and the lack of dedicated study space for PGR students are a source of concern for UCL.
<b>4) Student Experience Survey</b>	UCL opted not to run the local Student Experience Survey (SES) in 2019/20.
<b>5) New to UCL</b>	79% of new students report that they were able to use a physical library (-16%), and 91% successfully accessed online library resources (-1%).
<b>6) Library Strategy performance indicators</b>	<p>In February 2020, KPMG reported on the processes around the Library Services Strategy at UCL. They reached an overall assessment of 'significant assurance' (green).</p> <p>Delivery of the Library Services Strategy 2019-22 has been altered to fast-track developments which could support UCL through Covid-19 whilst non-urgent objectives were deferred. For example:</p> <ul style="list-style-type: none"> <li>- Collection of <a href="#">UCL research publications related to Covid-19</a>, overseen by UCL Press, incorporates more than 1,100 publications.</li> <li>- £2.8m recurrent investment in moving textbook provision online.</li> <li>- All library teaching, training, schools outreach and enquiries support successfully moved online, including the introduction of a well-received live chat service.</li> <li>- New service introduced providing on-demand digitisation of book chapters and journal articles for students based away from campus.</li> </ul>
<b>7) External awards / accreditation</b>	In July, Library Services received formal reaccreditation for Customer Service Excellence, a Government-backed national quality mark for customer-focussed commitment. Our rating was elevated as a consequence of the 2020 assessment, by the award of 'Compliance Plus' status in three areas: supporting disabled users; customer insight through management reporting; and communication and service development during the Covid pandemic.

## Appendix 2

## Benchmark information: UCL vs Research Libraries UK (RLUK) institutions

	FTE students	Total annual visits	Total information expenditure (£)	Total gross library expenditure (excl. APCs) (£)	Library base-line budget as % of total university exp.	Information exp. per FTE student	Article downloads per FTE student	E-book section requests per FTE student
UCL	36,900	3,011,764	10,400,351	26,265,963	1.8	282	285	102
<b>RLUK Mean</b>	<b>22,861</b>	<b>1,196,290</b>	<b>5,719,757</b>	<b>12,732,000</b>	<b>1.8</b>	<b>250</b>	<b>242</b>	<b>130</b>
Imperial	18,450	1,083,973	8,154,725	13,635,596	1.2	442	340	42
King's College London	29,240	1,368,836	5,846,824	12,786,143		200	249	127
Oxford	20,890	1,019,569	10,042,534	48,837,554	1.6	481	575	284
Cambridge	20,385	<i>n/k</i>	9,854,313	28,970,559	1.0	483	499	210
Edinburgh	33,090	2,244,753	9,055,824	17,660,740	1.6	274	314	107
Manchester	37,475	1,861,928	11,922,863	24,546,240	1.9	318	301	102

Source: SCONUL Strategic Benchmarking Data 2019-20



## Appendix 3

## Strategic funding requirements: budget summary (by order of priority)

<b>Priority 1: Materials</b>	<b>21/22</b>	<b>22/23</b>	<b>23/24</b>	
<b>Non-pay</b>				
Digital textbooks	1,000,000	1,000,000	1,000,000	New recurrent. Additional to £3m approved by UCL SMT. 4% already allowed for 21/22. Subsequent years based on 6%/year inflation
Inflationary increase		865,689	917,630	
<b>Priority 2: Connected learning</b>	<b>21/22</b>	<b>22/23</b>	<b>23/24</b>	
<b>Pay</b>				
Course readings team	90,578	156,370	156,370	1 x G7, 1 x G6, 2 x G5 at steady state
<b>Priority 3: Digitisation on demand</b>	<b>21/22</b>	<b>22/23</b>	<b>23/24</b>	
<b>Pay</b>				
Digitisation team	223,125	223,125	223,125	1 x G6, 4 x G5, 2 x G2. Based on service modelled for Spring 2021, with UCL SMT support.
<b>Priority 4: Sustainable Estate</b>	<b>21/22</b>	<b>22/23</b>	<b>23/24</b>	
<b>Pay</b>				
Virtual learning space team	165,232	165,232	165,232	1 x G8, 2 x G7
<i>In socially-distanced scenario for AY21/22:</i> staff to manage 1,500 extra learning spaces	1,425,000			50xG5. As detailed with Operational Planning Group
<b>Priority 5: Special Collections, Archives, Records</b>	<b>21/22</b>	<b>22/23</b>	<b>23/24</b>	
<b>Pay</b>				
Digital archives	50,849	50,849	50,849	1 x G7

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<b>Priority 6: Open Science: research support</b>	<b>21/22</b>	<b>22/23</b>	<b>23/24</b>	
<b>Pay</b>				
Transformative deals	50,849	50,849	50,849	1 Grade 7
Compliance team	138,417	138,417	138,417	1 x G6, 3 x G5
Office for Open Science support	39,729	39,729	39,729	1 x G6
Citizen Science co-ordinator		50,849	50,849	1 x G7
<b>Priority 7: Open Science: UCL Press</b>	<b>21/22</b>	<b>22/23</b>	<b>23/24</b>	
<b>Increasing monograph output</b>				
<b>Pay</b>				
Extended team	103,263	193,841	193,841	1 x G8, 1 x G6 (Y1) plus 1 x G7, 1 x G6 (Y2-)
<b>Non-pay</b>				
Production		100,000	200,000	25 titles Y2, 50 titles Y3-
<b>Textbook programme</b>				
<b>Pay</b>				
Extended team		50,849	101,698	On top of G8 awarded 20/21
<b>Non-pay</b>				
Writing fees			60,000	On top of 50K awarded 20/21
Production			60,000	Aim: 10 books p.a. by year 5
Marketing			10,000	
<b>Megajournals</b>				
<b>Pay</b>				
Extended team	90,578	90,578	90,578	1 x G7, 1 x G6
<b>Non-pay</b>				
Production		12,500	25,000	Aim: 100 papers p.a. by year 5
Platform and hosting		5,000	5,000	
<b>TOTAL REQUESTED</b>	<b>2,988,991</b>	<b>2,856,097</b>	<b>3,201,387</b>	