

Report from the Director of UCL Library Services to Library Committee on the implementation of the UCL Library Services Strategy

Summary:

This paper gives an overview of progress in implementing the Library Services Strategy in UCL since the last meeting of Library Committee

Action required of Library Committee:

To discuss and to suggest ways to increase the Library's offering

Author/Proponent:

Proponent: Dr Paul Ayrís; Author: Dr Paul Ayrís

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Overview

This Report provides a commentary on top level developments in UCL Library Services in implementing the Library Services [Strategy](#). The Report highlights developments in each of the 6 Key Performance Areas in the Strategy, which are themselves derived from the [UCL 2034](#) Strategy.

1: User experience

1.1: RFID

The Library has now embarked on the final phase of RFID implementation across UCL Library Services. Self-service facilities are now available in the majority of UCL's libraries. In the coming weeks and months, the final RFID installations in UCL will be made at:

- UCL Ear Institute & Action on Hearing Loss Libraries;
- UCL Institute of Neurology, Queen Square Library;
- UCL Institute of Orthopaedics Library;
- UCL Institute of Education Library.

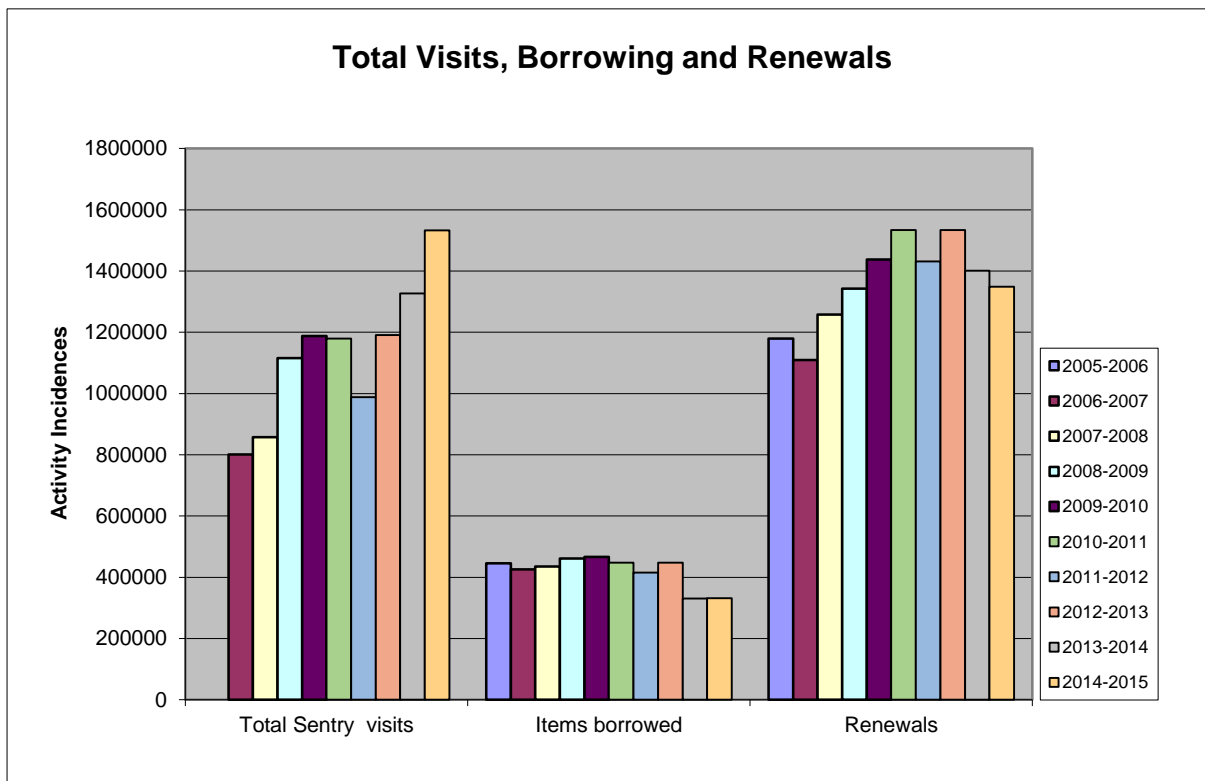
RFID is very popular with students, as it enables books to be borrowed and returned via self-service whenever the Library is open. Once Phase 3 installations are completed. RFID technology will be present in each Library in the UCL family of libraries.

1.2: Usage Statistics

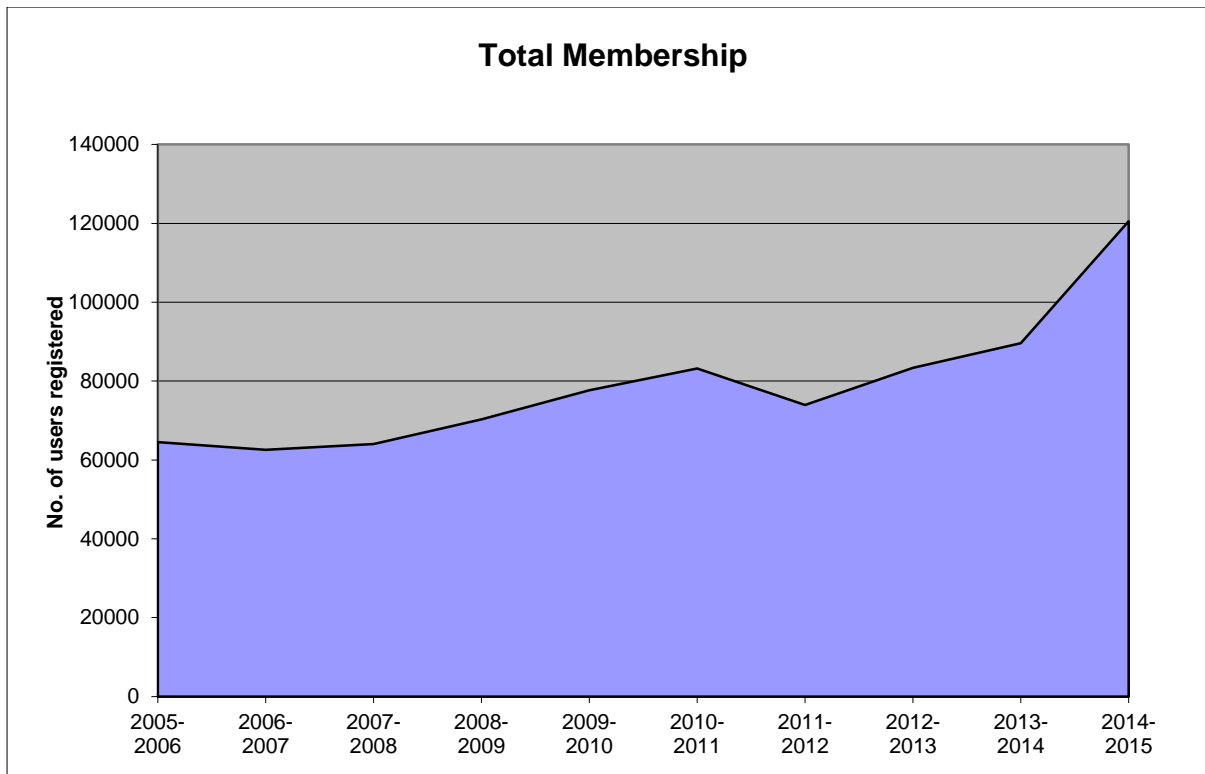
The following Table gives details of visit totals for all UCL Library Services sites which have Sentry entrance gates:

Sentry Site Visit Totals		2011-12	2012-13	2013-14	2014-15
IOA	All users	54506	54581	69303	76428
Main	All users	410025	420454	343509	582564
Science	All users	481518	665722	828562	769376
SSEES	All users	50723	60276	95044	113615
Total	All users	996772	1201033	1336418	1541983

The figures show a growth of 35.4% in the number of visits in the larger UCL Library Services sites where Sentry is installed.



While the number of visits continues to increase, largely due to increases in student numbers, the number of items borrowed is falling – reflecting the strength of UCL’s digital library and the ReadingLists@UCL service



Total Library membership has doubled between 2005/6 and 2014/15.

[Source: ERIC Consolidation sheet SMT 339]

2: Staff, equality and diversity

2.1 Equality

UCL Library Services has recently approved an Equality Statement.

The Statement will be added to the UCL Library Services public website and publicized at the Professional Services Conference on Tues 02 February, at which a video relating to this theme was shown.

The statement has been drafted by the Staffing, equality and diversity KPA Group, after consultation with Fiona McClement (Equalities and Diversities Manager, UCL HR), and with input from the Library's SMT Working Group:

Equality and Diversity - Statement of Commitment for UCL Library Services

UCL Library Services is strongly committed to fairness and equality. We seek to remove barriers to our services, to promote a culture of inclusiveness and to maximise the personal achievement of our users and of our staff. We strive to implement best practice in the recruitment and development of a diverse workforce that will in turn empower us to deliver fair and equal services to our diverse communities. We challenge ourselves to be a model of excellence and innovation in equality and diversity, to advance UCL's goals and to act as a model for the sector.

2.2: Service Excellence: Library Services teams win excellent service award

Report from Ben Meunier, Assistant Director (Public Services)

On Tuesday 2nd February 2016, UCL President and Provost, Professor Michael Arthur, presented the 2016 UCL Professional Services Values Awards at the UCL Professional Services Conference. Rex Knight, as Vice-Provost (Operations), read out the nominations for each award. The categories mirror Professional Services' values:

- Mutual respect
- Excellent service
- Collaboration
- Empowered
- Innovation

One value which resonates particularly strongly with the mission of Library Services is:

Excellent service... putting UCL's goals and customer needs first by working in partnership

This award category was highly competitive with around 20 entries from across UCL contending. I was delighted that the winners were the Main and Science daytime and Evening/Saturday teams, led by Breege Whiten. A number of award-winning colleagues received the award in person from the Provost.



The 2016 Professional Services "Excellent Service" Award winners, with UCL President and Provost Professor Michael Arthur (far left)

It was my privilege to highlight some of the team's achievements in this area. Since the introduction of self-service in the UCL Main and Science Libraries, the front-line teams have transformed their services to deliver a wider range of support, placing customer satisfaction at the heart of what they do. The quality of service has remained consistently excellent through a period of tremendous organisational change. This award is highly-deserved recognition for Breege and the entire team's dedication to providing service with a smile.

We will be working through 2016 towards gaining Customer Service Excellence accreditation for UCL Library Services, as part of our work towards delivering the User Experience goals set in the [Library Strategy](#) and UCL 2034. It is immensely encouraging to start the year with such an accolade from the Provost. I would like to end with a quote from a student, which I read out in the citation for the award:

"The staff 'have been incredibly friendly and gone far beyond their required services to help me. I don't think my studies would be half as successful without their support and enthusiasm.'"

Well done to the winners of the 2016 UCL Professional Services "Excellent service" Award!

3: Finance, Management Information and Value for Money

3.1: SCONUL Strategic Dataset 2014/15

Institution	FTE Students	Academic staff	Total Loans (excl. renewals)	Full text article requests electronic	e-book section requests views
UCL /IOE merged 14/15 (85)	30,419	5,717	419,717	7,315,998	2,890,842
UCL 13/14 (85)	25,589	5,382	336,665	6,178,906	1,233,456
UCL Excluding APC expenditure13/14	25,589				
Increase from 13/14		335	83,052	1,137,092	1,657,386
Increase (%) from 13/14		6.22%	24.67%	18.40%	134.37%
RLUK MEAN	19,718	2,765	336,565	4,579,801	3,269,042
UCL Benchmark placing	2/7 > O&C	2/7 > C	4/7	3/7 > C	5/7
IC (68)	15,532	3,922	125,349	5,380,280	911,050
KCL (73)	22,807	3,536	297,762	5,931,019	3,044,805
OXF (106) O	20,256	6,710	692,512	8,619,245	7,258,137
CMBR (25) C	18,875	5,355	502,524	7,067,805	3,137,398
EDIN (47)	26,592	3,992	568,610	6,929,881	4,844,754
UMAN (93)	35,370	4,768	362,073	8,240,223	1,952,969

RLUK	Research Libraries UK
IC	Imperial College London
KCL	King's College London
OXF	University of Oxford
CMBR	University of Cambridge
EDIN	University of Edinburgh
UMAN	University of Manchester

Institution	Total Annual Visits	Total Staff Expenditure	Total Information Expenditure	Total Library Expenditure	Total Institutional Expenditure
UCL /IOE merged 14/15 (85)	2,302,680	£11,217,877	£9,209,636	£25,890,259	£1,146,376,000
UCL 13/14 (85)	1,953,153	£9,506,924	£9,710,362	£24,767,506	£1,010,458,000
UCL Excluding APC expenditure13/14			£8,614,306		
Increase from 13/14	349,527	1,710,953	595,330	1,122,753	135,918,000
Increase (%) from 13/14	17.90%	18.00%	6.13%	4.53%	13.45%
RLUK MEAN	1,751,144	£5,422,191	£5,155,520	£12,442,299	£556,003,680
UCL Benchmark placing	4/7	3/7	2/7 > O&C	2/7>C	3/7
IC (68)	1,425,814	£3,906,972	£6,086,432	£10,749,930	£835,000,000
KCL (73)	1,951,386	£5,375,947	£5,282,309	£13,034,892	£640,449,000
OXF (106) O	2,307,848	£20,240,419	£8,153,776	£40,842,291	£1,238,290,609
CMBR (25) C	not disclosed	£12,670,646	£8,453,841	£25,125,520	£1,613,252,000
EDIN (47)	2,669,743	£6,449,444	£6,379,688	£14,449,895	£793,301,000
UMAN (93)	2,801,548	£9,685,616	£9,310,982	£20,736,890	£843,334,000
RLUK	Research Libraries UK				
IC	Imperial College London				
KCL	King's College London				
OXF	University of Oxford				
CMBR	University of Cambridge				
EDIN	University of Edinburgh				
UMAN	University of Manchester				

Institution	Total Block Grant/baseline	Grant as a % of Total Univ. Exp.	Total Library Information Expenditure per Student FTE	Staff Expenditure per FTE Student	Total Loans per FTE Student
UCL /IOE merged 14/15 (85)	£22,021,444	1.92%	303	369	14
UCL 13/14 (85)	£19,585,285	1.94%	379	372	13
UCL Excluding APC expenditure13/14			337		
Increase from 13/14	2,436,159				
Increase (%) from 13/14	12.44%				
RLUK MEAN	£10,704,316	1.93%	261	275	17
UCL Benchmark placing	<i>2/7</i>	<i>4/6</i>	<i>4/7</i>	<i>3/7</i>	<i>4/7</i>
IC (68)	£11,095,329	1.33%	392	252	8
KCL (73)	£12,571,805	1.96%	232	236	13
OXF (106) O	£30,948,013	2.50%	403	999	34
CMBR (25) C	£19,472,544	not available	448	671	27
EDIN (47)	11,423,627	1.44%	240	243	21
UMAN (93)	18,690,530	2.22%	263	274	10

RLUK	Research Libraries UK
IC	Imperial College London
KCL	King's College London
OXF	University of Oxford
CMBR	University of Cambridge
EDIN	University of Edinburgh
UMAN	University of Manchester

Institution	Total Information Provision as a % of Total Library Expenditure	Total Staff expenditure as a % of Total Library Expenditure	Article downloads per FTE student	E-book section requests per FTE student
UCL /IOE merged 14/15 (85)	36%	43%	241	95
UCL 13/14 (85)	39%	38%	241	48
UCL Excluding APC expenditure 13/14				
Increase from 13/14				
Increase (%) from 13/14				
RLUK MEAN	41%	43%	232	166
UCL Benchmark placing	5/7 >O&C	5/7	5/7	5/7
IC (68)	57%	36%	346	59
KCL (73)	41%	41%	260	134
OXF (106) O	20%	50%	426	358
CMBR (25) C	34%	50%	374	166
EDIN (47)	44%	45%	261	182
UMAN (93)	45%	47%	233	55
RLUK	Research Libraries UK			
IC	Imperial College London			
KCL	King's College London			
OXF	University of Oxford			
CMBR	University of Cambridge			
EDIN	University of Edinburgh			
UMAN	University of Manchester			

COMMENTARY

The figures are difficult to compare directly between 13/14 and 14/15 due to the IOE Merger. The significant outcome are large increases in several areas of Library related activity.

Numbers/Expenditure

Total Institutional Expenditure (UCL) increased by 13.4% this year well above the RLUK mean, and above most of its major competitors except Oxford and Cambridge.

This year shows a 6.2% increase in the **number of Academic staff (FTE)**. This staff figure is considerably higher than the RLUK mean and most of the sampled institutions except Oxford.

Student numbers saw an increase of 18.9%, the IOE merger being a major contributor. This places UCL well above the RLUK mean and only 2nd to UMAN. The growing student numbers will naturally put pressure on Library resources in terms of staff time, material resources per student and space.

UCL annual visit figures shows a big increase of 18% this year, higher than the RLUK average, behind Oxford, Edin. and UMAN (No disclosure from Cambridge). This will put pressure on the front line staff. The lower figure in 13/14, however, was due to closures and refurbishments e.g. Cruciform Hub.

Significant increases occurred in **total loans (excl. renewals); requests for full text articles and ebooks**, as well as **staff expenditure**. (as per the figures above)

Ratios

The Library's block grant as a % (1.92%) of total University expenditure is on par with the RLUK mean (1.93%), but if the IOE is excluded, the ratio would have been 1.74%. With the exception of Oxford, UMAN and KCL, the rest of the benchmarked sample falls behind the RLUK average. It should also be noted that in recent years the mean was approximately 2.10% which might indicate a general downward trend in the Library sector with regards to a decrease in funds as compared to overall institutional expenditure.

Total Library Information Expenditure per Student FTE has dropped this year as a result of the large increase in student numbers. The ratio, however, is still considerably higher (303) than the RLUK mean (261) but trails behind IC, Oxford and Cambridge. APC's are now excluded from this ratio.

There has been little movement as regards **staff expenditure per student FTE** as compared to 13/14 and the ratio 14/15 (369) is still well above the mean (275). Only Oxford (999) and Cambridge (671) are higher within the sample. The number of Libraries for each institution will be disclosed later in the year.

In terms of **Total Library expenditure** the principle spends are information provision and staffing at 36% and 43% respectively. This excludes APC's.

Although there has been a huge increase in the **ebook requests** the ratio has been dragged back by the large increase in student numbers. This is a similar story to **full article** requests.

Conclusion - The figures have increased considerably as a result of the IOE Merger and the 'UCL' increase in student numbers, but despite the continued austerity the UCL library is still very competitive compared to its fellow Universities. The key drivers of expenditure continue to be information provision and staff, both an essential component of the Library Strategy. Looking ahead, the effects of higher student numbers as indicated above and cuts in the Library budget in real terms will present challenges to maintain high performance standards.

4: Systems and Processes

4.1: HER Report

The Library has made a significant contribution to the HER Report for the forthcoming institutional audit. A number of good practice Case Studies have been supplied, including the Library Services Merger Report to the MOG (Merger Operations Group), which ran to 200pp.

4.2: Follow-Up on the KPMG Report into the Library's work in improving the Student Experience

In 2014/15, KPMG undertook an audit of the Library's activity in supporting the Student Experience. The outcome was overwhelmingly positive, but there are 2 Actions outstanding on which KPMG has requested further feedback:

HEFCE Open Access

A policy regarding Open Access (OA) to research in the post 2014 Research Excellence Framework (REF) was released by HEFCE in July 2014.

If the gold route is the preferred route for UCL academics, an increase in the UCL Publication Fund will be required to meet publishers' costs that are recouped from APCs paid by authors. UCL has taken the position that no academic should be denied the opportunity to publish gold OA research outputs because of cost.

We recommend that the Library Open Access Team model the costs of providing APCs for publication via the gold route, and provide the UCL Publications Board with details of required budget increases required to the Publications Fund. Procedures for the prioritisation of research outputs adopting the gold standard also need to be agreed with Heads of Departments.

Action: UCL has modified its policy to state: Types of open access

There are two types of open access, Green and Gold.

Some funders require Gold open access. At UCL, central Gold funds are available for papers funded by the UK Research Councils and the COAF medical charities.

UCL encourages Green open access where possible. However, limited funds are available for other UCL corresponding authors who are full members of staff or students where the funder does not cover open access charges.

Where funders (e.g. COAF, RCUK) provide funding for Gold OA, the UCL Open Access Team based in the Library will use this to pay PAC charges. Additionally, UCL makes some monies available for RCUK authors (where RCUK funding has been exhausted) to publish in Gold OA. The annual budget round is used by the Library and the Vice-Provost (Research)'s Office to monitor and request necessary increases in UCL's Open Access budget at a time of volatility in the UK's OA position

NHS survey feedback

The Library Quality Assurance Framework (LQAF) requires NHS libraries to submit annual self assessments to the NHS Library Strategic Lead. UCL Health Science libraries currently account for half of all UCL libraries, and library provision is also provided within District General Hospitals (DGHs). At present the full results of national NHS self assessments are not shared and, as such, are not available to the UCL Library Services Senior Management Team.

We recommend that the Director of Library Services should contact the NHS Library Strategic Lead to share the results of all library self-assessments from across England. Then performance issues can be identified and improvement actions undertaken.

Action: Despite discussion with the NHS library lead for London, it does not seem possible for the NHS to make LQAF results available nationally for benchmarking purposes.

4.3: Research Data Management

LEaders Activating Research Networks

29 January 2016 saw the first [LEARN](#) Workshop take place in Chancellor's Hall, Senate House, London.



LEARN is an EU-funded project, led by UCL Library Services, on the topic of research data management. 83 registered delegates attended the day from the UK, the continent of Europe and Santiago in Chile. Attenders were librarians and IT staff, researchers, research funders, and research organisations. The LEARN project partners are: UCL, Universities of Vienna and Barcelona, LIBER (Association of European Research Libraries) and the UN Library (CEPAL) in Santiago, Chile.

LEARN has as its ambition to deliver a model Research Data Management (RDM) policy, a Toolkit highlighting Best Practice and Case Studies in RDM, and an Executive Briefing for decision makers on RDM in 5 languages. The London Workshop was the first in a series of Workshops in the next 18 months being held by all the partners.



The Workshop was introduced by Professor David Price (Vice-Provost, Research, UCL) and the keynote speakers were Professor Geoffrey Boulton (Edinburgh), Dr Paul Ayris (UCL), Professor Sabina Leonelli (Exeter) and Dr Peter Murray-Rust (Cambridge). The keynotes set the tone for the day and helped to explain what the LEARN project is designed to achieve.

The afternoon session was devoted to 4 Breakout Groups, where the participants were asked to identify issues, interests and Best Practice Case Studies in RDM. These were then reported back to the plenary session and will form the bedrock of the LEARN Toolkit, one of the project deliverables.

The plenary sessions were videoed and will be made available on the [LEARN](#) website, along with the powerpoints and Reports from the Breakout Groups.

LEARN will return to the UK in 18 months time, as we will also be holding the end-of-project Conference here in London.

4.4: European Open Science Cloud

The Director of Library Services is a member of the European Commission's High Level Expert Group on the European Open Science Cloud (EOSC). The Report commissioned from the Expert Group has now been signed off. It will be a public document at the Open Science Conference being convened by the Dutch EU Presidency in early April. The Report takes a high level view of research data provision - e.g. infrastructure, governance, training and skills development, finance, collaborations. Underpinning the Report is a vision for data-driven research which is not just European, but global, in its coverage. The High Level Expert Group has been continued by at least another 6 months to enable it to advise the Commission on implementation issues. The Group's website is at <http://ec.europa.eu/research/openscience/index.cfm?pg=open-science-cloud>.

5: Sustainable estate

5.1: Research Grid in UCL Science Library

The refurbishment works on the 4th floor of the Science Library have finished and the brand new 74-seat Research Grid for graduate students officially opens on 1st February.

The new space is hugely popular with graduate students, who can access places to study, whether it is for a group project, a meeting or for private study.



5.2: Donaldson reading room (SMT 343)

Further seating has been deployed in the Donaldson Reading Room in the UCL Main Library. In-fill bookcase units located in the reses area of the space have been removed and new furniture – desks and chairs – installed. 37 additional reader spaces have been created in this glorious reading room, the original library building in UCL.

5.3: Environmental Awards: Sustainable estate: EcoCampus Gold revalidation audit for UCL

Last month, UCL was thoroughly audited for two and a half days against the EcoCampus Gold standard, and UCL has received confirmation that the University has retained the award.



Sustainability & Safety in UCL Estates co-ordinated the work across UCL. The Report from the independent audit references the work of UCL Library Services staff witnessed during the visit:

“The Science Library, including PC clusters, was viewed. It was discussed how the library team are very active in the Green Impact scheme and that appropriate power down software is in place for PCs, multi-function devices, etc. The DEC for the building was seen to be valid – expiry date 31/01/16, rating C (61).”

The auditors also received a copy of Library Services’ [Annual Review of Environmental Performance \(2015\)](#) and commented favourably on the extent and quality of work in this area across UCL Library Services. On behalf of Library SMT, I would like to thank the [Library Services Sustainability Committee](#) and the Library Buildings Team for their work in coordinating this work and congratulate all Library Services staff who have been involved in improving our environmental sustainability.



6: Communication, Open Access & outreach

6.1: UCL Library Services Strategy booklet

120 printed copies of the UCL Library Services Strategy booklet, available digitally at <http://www.ucl.ac.uk/library/about/strategy/library-strategy-download.pdf> have been mailed to UCL’s senior Officers and Heads of Department. The booklet describes the main objectives of the Library Strategy and how it can help deliver [UCL 2034](#).

HEFCE, REF 2021 and Open Access compliance

UCL's Open Access team, based in the Library, has compiled and is advertising its strategy for alerting UCL researchers to the OA requirements for REF 2021:

REF Open Access Policy Communications for April 2016

Introduction

The HEFCE Policy for open access in the post-2014 Research Excellence Framework requires journal articles and conference papers with an ISSN accepted for publication after 1 April 2016 to be deposited in a repository as soon as possible after the point of acceptance, and no later than three months after this date.

During the first year of the policy (1 April 2016 – 1 April 2017), outputs can be deposited up to three months after the date of publication. This is defined as first online publication.

HEFCE has indicated that it will review the policy in the summer of 2016, to establish whether the initial one-year relaxation should be extended.

UCL REF open access communication

UCL Library Services and the REF Team in the Office of the Vice-Provost (Research) undertook a comprehensive communication programme in 2014/15 to raise awareness of the REF Policy. The programme focused on REF units of assessment, with all UCL departments receiving e-mails and visits from the two teams. Deposits to UCL Discovery increased substantially as a result (see the open access statistical report, tabled separately).

Following UCL's upgrade to a new version of RPS in December 2015, and in preparation for the start of the REF Policy, a new communications drive has been put in place. UCL Library Services is contacting all departments to ensure that all researchers and support staff are aware of the requirements, particularly in relation to deposit, versions, exceptions and time limits. The Policy will also be featured in TheWeek@UCL. Specialist one-page summaries of the REF Policy are being provided to departments. UCL's open access webpages (<https://www.ucl.ac.uk/library/open-access>) have been redesigned, and the REF FAQs (<https://www.ucl.ac.uk/library/open-access/faqs/#REF>) augmented.

Representatives of UCL faculties on UCL's REF Open Access Academic Advisory Group are encouraging researchers to comply with the policy.

Future developments

UCL Library Services, ISD and the REF Team in OVPR are continuing to review and improve deposit workflows in the context of the new functionality in RPS. The Open Access Team in UCL Library

Services is working to identify ways of sourcing files from subject repositories. However, the message to UCL departments will continue to be a simple one in order to achieve maximum engagement: to deposit in UCL Discovery, on acceptance or as soon as possible afterwards.

*Catherine Sharp
UCL Library Services
January 2016*

6.2: UCL Press statistics, the UK's first fully OA University Press

UCL Press continues to punch above its weight. The success of its activity can be seen in the download and sales statistics since the Press was launched in Summer 2015.

The number of downloads is impressive. The projected download figure for the first 12 months, when the Press was founded, was 5,000. By the end of May 2016, download figures should be close to 20,000.

	Publication Date	w/e 19 Feb 2016	January 2016
All Platforms		Downloads	Total Print Sales
Petrie Book		4126	624
Temptation in the Archives	04-Jun-15	3717	197
Treasures from UCL	04-Jun-15	1267	77
Burning Bright	11-Sep-15	1371	124
Poems of 1890	02-Oct-15	821	42
Planktonic Foraminifera	22-Oct-15	1459	18
Suburban Urbanities	12-Nov-15	2841	72
Participatory Planning for Climate Compatible Development in Maputo, Mozambique	13-Nov-15	1253	8
Total		16855	1162

The sales figures are interesting. In conventional paper publishing, sales of 400 copies would be seen as an excellent outcome. Open Access does not yet appear to be lowering the wish of readers for printed copy. Print copy is Print on Demand – ordered by the readers with a credit card payment and despatched by the supplier direct to the reader. Downloads have been traced to over 150 countries worldwide.

The conclusion is that UCL Press adds value by making materials available in digital form to a larger audience than print copies would normally reach, whilst retaining the ability for the reader to obtain a print copy if they wish.

Paul Ayris

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