



## **Collaborative Workforce Report**

**August 2015**

A Finance Team report approved by Council in July 2015  
for further exploration by the Collaborative Workforce Team

### **Finance Team**

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## Introduction

The Orbis Cascade Alliance has a strong history of collaborative work. For more than 20 years we have made decisions about what work will be done together, when and where it should be centralized, and how to pay for it. Over the years we have become skilled at making ad hoc determinations but have lacked a formal framework to guide and inform such discussions. The following model provides a concept and language for analyzing Alliance projects and services, a list of factors to take into consideration, and a methodology for benchmarking contributed work. As such, the Collaborative Workforce Model represents a step along the Alliance's development as a consortium exploring the potential for deep collaboration among member libraries.

The Council of library deans and directors discussed this model and approved its further exploration by the Collaborative Workforce Team (CW Team). To that end, FY16 (July 2015 – June 2016) will provide an opportunity to apply the model to our work. For the first year application of the model will be run on paper to continue its refinement and enhancement. Through practical application, the CW Team will develop recommendations for improvements to the model and develop associated policies, including exploring areas of contributed work such as "work some do for some". As the model is refined it is Council's intent that it will be used to help determine when work should be completed by:

- library staff as part of membership participation
- library staff as part of contributed work
- library staff whose efforts are funded or reimbursed by the consortium (likely the least common scenario)
- assigned to consortium staff

Along the way, the CW Team will develop growing expertise in the model and assist other teams in applying the model to their work.

In keeping with the [Alliance's vision statement](#), the Collaborative Workforce Model is the latest step in a long tradition of libraries in the northwest "joining together in the spirit of innovation and combined expertise, seeking efficiency and productivity to strongly promote the success of students, faculty, staff, and researchers."

For more information, please feel free to contact the Program Manager or Chair of the [Collaborative Workforce Team](#).

**Charge:**

The Board requests that the Finance Team provide recommendations that will guide management of the Collaborative Workforce program.

As laid out in the charge to the Finance Team the proposal addresses the following,

1. Guiding principles for shared work

Provide recommendations for a set of principles that will guide the Alliance in determining when work should be

- a. Assigned to consortium staff,
- b. Completed by library staff as part of membership expectations for contributed time (i.e. unreimbursed labor),
- c. Completed by library staff whose efforts are funded or reimbursed by the consortium,
- d. Designated as the sole responsibility of each member library.

Principles and guidelines should provide a practical framework for making such determinations.

2. Business model for work done by member library staff for the entire consortium

Provide recommendations for a business model that would reimburse or provide credit to member institutions for work completed by member library staff on behalf of the entire consortium ('c' above). Such a model should be conceived of as a way to recognize contributions that are above and beyond baseline expectations for contributed staff time ('b' above).

## Recommendation

As charged by the Orbis Cascade Alliance Board of Directors the Finance team presents a recommendation to adopt the following Collaborative Workforce model.

### Guiding Principles:

In alignment with Alliance's [Financial Framework](#) the recommendation considers the following,

- The core organizing premise of the Alliance is to develop and facilitate programs and services for the common good of its members.
- Programs and services
  - Core: All members use and/or benefit from the core programs and services of the Alliance and support such activities financially and through commitment of staff time.
  - Optional: Subsets of members use and/or benefit from the optional programs and services of the Alliance and support such activities financially and through commitment of staff time.

The intent of the Collaborative Workforce model is to

- capitalize on member investments,
- optimize consortium and member library efficiencies,
- find ways to more efficiently and effectively work together,
- ensure that we have assigned work at the correct depth of experience and at the appropriate level,
- develop measures to communicate ROI for the Alliance,
- and allow members to connect libraries to college learning outcomes.

### Assumptions:

- The model will be based on equity over time, not precise compensation.
- The model will need to be tested and adjusted as teams and workgroups determine what kinds of work can be shared.
- The intent of this effort is to provide a consistent framework for planning human resource needs in the future and is not an effort to compensate for past contributions.

### Definitions:

*Compensated* - work performed on behalf of the Alliance that is accounted for through financial remuneration.

*Contributed* - work performed by member library staff as part of membership expectations.

*Participatory: Governance* - work that involves leadership and oversight for the consortium.

*Participatory: Operational* - work that benefits the consortium through shared tasks and projects.

## **Collaborative Workforce Model:**

The work of the Alliance is divided into three categories:

1. Compensated: *Work few do for all (W1)*
  - Alliance staff (e.g., Executive Director)
  - Contracted work
2. Contributed: *Work some do for all (W2)*
  - Operational (e.g., Discovery and Delivery team member)
  - Governance leadership (e.g., Systems team chair)
3. Participatory: *Work all do (W3)*
  - Operational (e.g., Summit processing)
  - Governance (e.g., Council member)

W1 work is centralized and performed by Alliance staff, member library staff, or contractors. Such work is funded via membership fees. Because this type of work requires special expertise, accountability, or continuity, rotating or distributing the work is not feasible. When consortium work of this nature is identified the program manager and the team chair will coordinate with the Executive Director, the Collaborative Workforce team and, where applicable, the dean/director of the member library to develop a Service Level Agreement (SLA). The SLA provides an outline of the required work and defines the level of commitment to the work.

W2 and W3 are uncompensated expectations of membership. Work at these levels is core to the functions of the consortium. All members participate in the governance of the consortium and complete day-to-day work such as filling Summit requests (W3). Members also contribute to the work of the consortium as an institutional representative to a team or play a role in performing distributed Alliance work on a rotating basis (W2).

W2 roles are counted as institutional contributions to shared work. Contributions are benchmarked against a model based on 60% student FTE and 40% even share. The use of this model ensures that all members are participating in accordance with the scale of their institution. Contributed work (W2) is measured based on the number of roles contributed to consortium work, not time contributed. Annually the Board and Council will review contributions measured over the most recent three years and make adjustments accordingly. It is expected that such adjustments will be largely informal and that the Board will pursue any significant lack of participation.

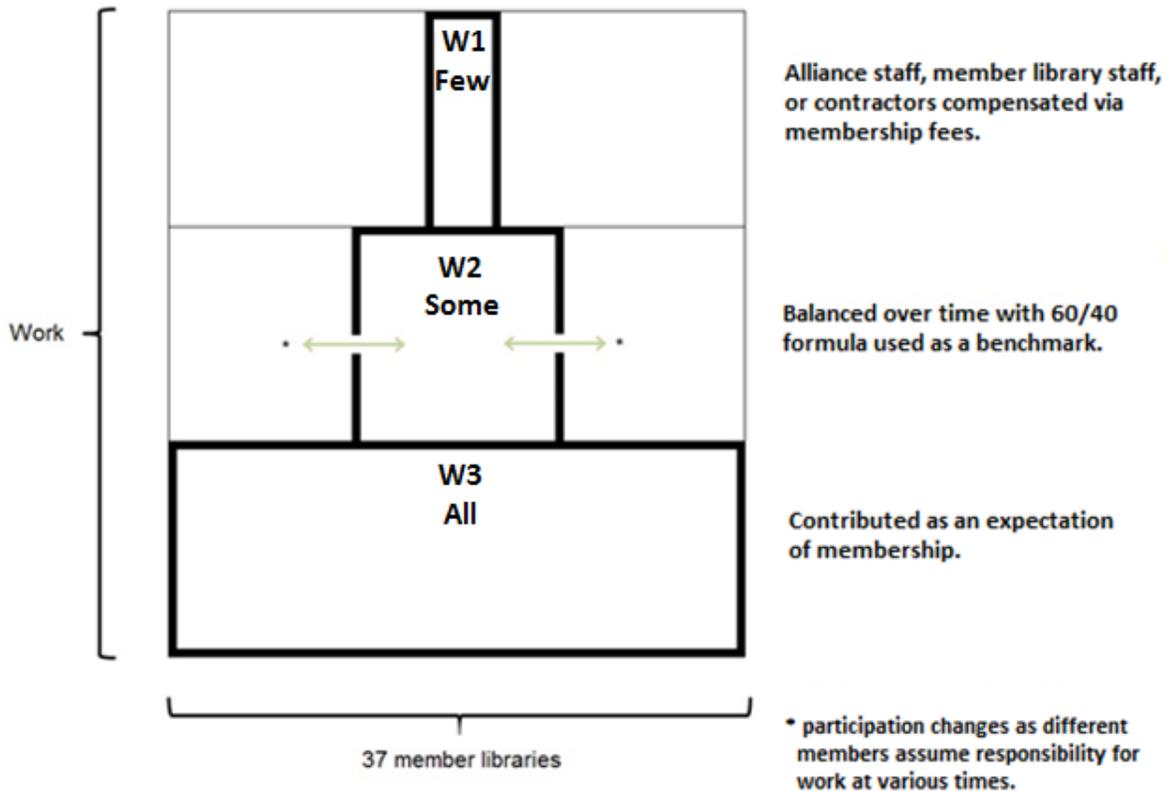
W3 is not measured or reported because it is generally self-balanced (i.e., naturally or inherently determined by member use of a service).

The collaborative workforce model is intended to be used to plan for the human resource needs of current and proposed Alliance and member library resources. It is applicable to both core and optional programs and services. All financial impacts, such as increases in membership fees, will be included in the Alliance's annual budget process and subject to Council approval.

### **Additional Recommendations:**

1. In considering how the Alliance will fund collaborative work, the Finance team is conscious of the potential need to raise membership fees. To address such financial uncertainties, the Finance team recommends the Collaborative Workforce model be run on paper with no funds changing hands for the first year, recognizing that in the future there may be a financial impact.
2. The Finance Team recommends development of related policies in order to guide decisions and actions in the implementation of the Collaborative Workforce model. As currently known, these policies are,
  - Alignment with Alliance financial practices
  - Apply model to “work that few do for some” (i.e., optional programs and services)
  - Assignment of work, including codifying factors that determine when work is W1
  - Establish an overhead rate
  - Define FTE
  - Define methodology for tracking member contributions to collaborative work
3. The Finance team recommends that Service Level Agreements follow established parameters, such as, FTE limits, contingency, pilot or projects that require .5 FTE or less, apply a 5% contingency when calculating the staffing needs, engage in a 3-month pilot with the intent to evaluate and confirm the scope of the work, and develop up to a one-year agreement with the option to renew.
4. The Finance team recommends that the Collaborative Workforce team explore the possibilities for innovation and new possibilities for Contributed Work (W2) within the consortium.
5. An analysis of collaborative work within the Alliance is needed. The Finance team recommends that the Collaborative Workforce team coordinate with the other teams to align consortium work with the appropriate team(s) responsible for carrying out the work. Starting this research in an area like SILS might be the most beneficial.
6. Following tangible application of and experience with the Collaborative Workforce model, the Finance team recommends that the Collaborative Workforce team develop a best practices manual to assist in the implementation and management of the collaborative workforce model.

## Collaborative Workforce Model



**Level 1 - Compensated: Work few do for all (W1).** At this level work is funded via membership fees. Rotation or distribution of the work is not feasible because it requires special expertise, accountability, or continuity. Examples of this work,

- Record loading
- Program coordination
- Financial administration
- Alliance staff supervision
- Primo normalization oversight

**Level 2 - Contributed: Work some do for all (W2).** At this level a library's contribution is quantified and balanced over time using a 60% student FTE/40% equal share formula. As member library staff take on work (or complete their assignments) institutional contributions may change.

Examples of this work,

- Managing DDA portfolio accuracy in Alma
- Serving as a trainer

- Researching, facilitating member feedback on, and authoring a major update to the Best Practices Guidelines for EAD
- Creating a user testing plan and recruiting end users for testing sessions; attending sessions and summarizing findings
- Presenting a webinar for members on a successful project
- Researching, testing, and creating a set of high-level specifications for a web site or database

The work performed may be influenced by a variety of factors; time, expertise available (i.e. Arabic cataloging, programming), location of key resources, redundancy required, duration, etc. W2 work potentially requires a degree of specialized training and it is expected that duties would be formally assigned and that the transition of personnel over time would be carefully managed.

**Level 3 - Participatory: Work all do (W3).** At this level participation in the work is a requirement of consortium membership. For example, Summit processing, contributing records to SILS, serving as a local representatives to an Alliance team, or collaborative eReference. This work is inherently balanced.

### **Contributions to Collaborative Work**

To ensure that all members are participating in the work of the consortium in accordance with the size of their institution, W2 roles are counted and benchmarked against a 60% student FTE/40% flat formula. The 60/40 benchmark is based on the total number of roles identified as contributed work (W2). The total number of contributed roles is multiplied by 40% which is then divided equally among the 37 member libraries. Additionally the total number of roles is multiplied by 60% and this number is multiplied by the institution's percent of total student FTE (based on a rolling 3-year student FTE average). These two numbers are added together to arrive at the member library's benchmark for contributed work.

The Board and Council annually review contributions tracked over the most recent three years and make adjustments accordingly. It is expected that such adjustments will be largely informal and that the Board would pursue any significant lack of participation. The intent in analyzing contributions is to look for outliers and address the variances over or under the range on a case-by-case basis.

W3 is not measured or reported because it is generally self-balanced (i.e., naturally or inherently determined by member use of a service).

In the first year after adopting this model, contributions to collaborative work are tracked and reported. In other words, the consortium runs this model on paper only for a one-year trial period, analyzes results, and refines the model before implementation. The Finance team notes that the adoption of the Collaborative Workforce model is an evolving process and recommends that the Collaborative Workforce team conduct an evaluation of the model at the end of the first year to determine if and where adjustments are required.

### *Methodology for measurement*

Beginning in FY16 contributions at each level is evaluated by using a baseline measure of number of roles contributed to consortium work in FY15 (not time contributed). In FY17 contributions are based on a 2-year average, in FY18 based on a 3-year average. After FY18 contributions are based on a 3-year rolling average; mirroring the method for calculating membership fees.

These measured contributions are then benchmarked against a 60% student FTE/40% flat formula. The Appendix “Illustration of Method for Benchmarking Contributed Staff” shows how this proposed benchmark works. The illustration uses a range rather than a single target number to allow for factors beyond the library’s control such as a long-term vacancy in a key position. The recommended starting range is ½ below and ½ above of the 60%/40% benchmark. As with the rest of the model the ranges will be evaluated as the model is run on paper.

In calculating the overall number of roles every team is counted. Leadership (Board member and Team chairs) and Participation (Team members) also is measured. As working group appointments are made these are included as contributed workforce. Team chairs are responsible for reporting contributions to the program manager who in turn reports these to the Collaborative Workforce program manager as part of the annual tracking process.

The Finance team developed a model based on FTE students rather than FTE staff. This takes into consideration the population served by the workforce rather than calculating the number employees who perform Alliance work. The ratios will be based on one accurate year of appointments rather than looking into the past where these records may not be precise.

Institutional participation is measured and reviewed annually. A report that outlines member library contributions to governance is provided to the Board and Council for review to ensure fulfillment of membership expectations. It is expected that such adjustments will be largely informal but that the Board would address any significant lack of participation.

### *Application of the Collaborative Workforce model*

Program managers confer with their teams, the Collaborative Workforce team, and the Executive Director to propose the scope and characteristics of work needed, and establish expectations. The Board recommends and Council ultimately approves application of the collaborative workforce model to specific projects.

With the adoption of a new organizational structure the Alliance intends to provide teams, working groups, as well as task forces with clear expectations about consortium work. If workload is larger than expected it is the responsibility for the member library staff to communicate with the chair, team leader, or their supervisor so that checks and balances can be applied.

The Collaborative Workforce model is intended for consortium programs, however all aspects of the model could be applied to “work that few do for few” or optional projects as well. In time it might also prove to be of value in developing a system of exchange between member libraries to meet specialized needs (e.g. foreign language cataloging).

### *Criteria for determining work assignments*

- Cost of change (e.g., cost to train new staff to complete the work)
- Recurrence (one-time versus on-going work)
- Duration of the work (e.g., 3 week project for records clean up)
- Nature of the work (e.g., specific technical expertise is required)
- Fiduciary oversight (e.g., contract negotiation on behalf of the consortium)
- Administrative and managerial responsibilities (e.g., level of supervision required)
- Accountability (meeting deadlines, quality of work, communication)
- Continuity of the work is essential for normal operations
- Risk (high versus low level)
- Academic overhead (e.g., committee assignments and other institutional administrative structure)
- Full-time to part-time work (e.g., .3 FTE more easily carved out at local level rather than .3 FTE at the Alliance office)
- Consortium policies
- Institutional policies and procedures (e.g., collective bargaining agreements)
- Scale required to accomplish the work
- Member capacity exists to accomplish the work
- Representation of the consortium with contractors or at regional, national and international level
- Working conditions needed, including access to tools, colleagues, space, etc.
- Knowledge of the work environment

### *Reporting*

When work is assumed by member library staff, the program manager or team leader provides the library dean/director with the details of the work assignment. A Service Level Agreement (SLA) is developed when needed. The Alliance program manager and the team leader will provide progress reports to the dean/director as well as to the Board and Council.

### *Service Level Agreements*

The Executive Director works with the program manager and team chair to develop a SLA for compensated work (W1). Agreements are drafted and shared with the employee who is contracted to do the work as well as with the home library of the staff member. The SLA provides an outline of the required work and defines the level of commitment to the work.

The development of a detailed job description is a required component of the project plan. This step is intended to ensure that the work contributed stays within the scope of the work contracted. Evaluation of the work would also occur as part of the agreement. It is important to determine where and when an evaluative discussion would happen. Monitoring collaborative work is within the role of the Alliance program managers. The program managers provide subject matter expertise in the work yet the library dean/director needs to be involved in the discussion as well.

Guidelines for W1 projects,

- < .5 FTE with a 5% contingency
- 3 month pilot with the intent to evaluate and confirm the scope of the work
- 1 year agreement with an option to renew
- Documentation of the work is required

In some situations it may be necessary to review the nature of the work to determine if it is more constructive for the work to be performed by centralized Alliance staff rather than member library staff.

#### *Variables for compensation*

Compensated work (W1) is funded as part of the Alliance budget process. Choosing to assign work in this manner will impact membership fees. The decision to compensate members is expected to be rare but, with the adoption of the new Strategic Agenda and effective model that guides decision making, it is likely that we will do this more often.

Based on conversations with the Board and Council it is important to provide a variety of options for libraries to be paid for compensated work. The SLA may need to take into consideration the type of work performed, institutional rules regarding the work, methods of payment, and overhead rates. It is also essential to address governing procedures among our member libraries. There are several ways to consider the exchange of funds for work that falls into the compensated category (W1), including but not limited to:

- 1) Alliance hires member library staff as a contractor outside of home library.
- 2) Member invoices the Alliance for the employee contributed.
- 3) Alliance provides a grant to the home library/institution.

#### **Sample Collaborative Workforce W1 Project**

The following is an example of a project that falls under W1,

The Discovery & Delivery team recommends staffing to manage Primo normalization rules. The Board agrees, asks for clarification of certain duties. The Collaborative Workforce program manager and Discovery & Delivery team recommend .25 FTE located at a member library. The Finance team includes \$25,000 for Primo normalization rule staffing in the upcoming Alliance budget proposal. Board agrees and includes in the FY17 budget recommendation to Council. Council reduces funding for Primo normalization rule staffing to \$20,000 and approves the FY17 budget. The Executive Director asks Council members to express willingness to provide HR to manage Primo normalization rules selects offer from Clark College; negotiates Service Level Agreement; oversees contract. Clark College prefers to have funds credited against their Shared ILS fees. Business Manager includes \$20,000 credit in billing for membership fees as specified in Council-adopted budget. In preparation for the next year's budget, the Executive Director confers with Clark College and recommends continuing the arrangement next year.

## Recommended Policies

The Finance Team recommends the development of related policies to guide decisions and actions in the implementation of the Collaborative Workforce model.

- Alignment with Alliance financial practices – *The Alliance will establish a policy that specifies collaborative workforce expenditures are subject to established Alliance financial practices.*
- Apply model to “work that few do for some” – *The Alliance may, where practical, apply the Collaborative Workforce model in whole or in part to projects that are of interest to a subset of the members.*
- Assigning work – *As informed by team chairs and program managers and subject to resources allocated the Board will determine how work is done; through participation, contribution, or compensation. Alliance teams will consult with Collaborative Workforce program manager and the Collaborative Workforce team to develop a request for compensated work.*
- Establish an overhead rate – *The Alliance will establish an overhead rate to address indirect costs, F&A, etc. required for collaborative work agreements.*
- Define FTE – *The Alliance will establish a policy to use the U.S. Federal guidelines for full-time equivalent employee (FTE). Hours will be based on 40-hour week and 12 month assignment.*
- Define methodology for accounting for member contributions to collaborative work – *The Alliance will establish a policy to count the roles individuals contribute to collaborative work rather than individuals. Also, to include a statement that as people come and go from teams throughout the fiscal year **all** individuals who have fulfilled a work role will be counted.*

### *Examples:*

A Council member is elected to the office of Treasurer which includes an appointment as the chair of the Finance Team. This is **one role** thus the individual will be counted **once** when calculating a member’s contribution to shared work.

A Council member is elected to the office of Member-at-Large and is appointed as Council Liaison to the Shared Content Team. These are **two roles** thus the individual will be counted **twice** when calculating a member’s contribution to shared work.

# Appendix

## Illustration of Method for Benchmarking Contributed Staff

[Excel version](#)

The following spreadsheet illustrates how member contributions of staff might be compared to a theoretical benchmark. In this illustration, the staff and FTE data are fabricated for 2015-2017 and the benchmark is based on a "60/40" formula: 40% evenly divided and 60% weighted by student FTE.

Institution	Counting contributed staff by year							Calculating the Benchmark			Summary of Findings			
	2017				2016*	2015*	Contributed staff 3 year average	Student FTE	60/40 benchmark %	60/40 benchmark #	Low 1/3 below benchmark	Contributed staff 3 year average	High 1/3 above benchmark	
	Board Members	Team Chairs	Team Members	WG Members	Total	Total								Total
Member A				1	1	0	0	0.33	500	4%	0.54	0.36	0.33	0.71
Member B					0	0	0	0.00	2,000	6%	0.77	0.52	0.00	1.03
Member C			2		2	0	0	0.67	3,000	7%	0.93	0.62	0.67	1.24
Member D				2	2	0	3	1.67	10,000	15%	2.05	1.37	1.67	2.73
Member E	1				1	1	2	1.33	8,000	13%	1.73	1.15	1.33	2.31
Member F			3		3	1	2	2.00	10,000	15%	2.05	1.37	2.00	2.73
Member G		1			1	0	0	0.33	1,000	4%	0.61	0.41	0.33	0.82
Member H			4		4	0	0	1.33	4,000	8%	1.09	0.73	1.33	1.46
Member I				1	1	1	1	1.00	2,000	6%	0.77	0.52	1.00	1.03
Member J	1	1	2		4	1	1	2.00	3,000	7%	0.93	0.62	2.00	1.24
Member K	1		3		4	1	1	2.00	4,000	8%	1.09	0.73	2.00	1.46
Member L			1		1	1	1	1.00	4,000	8%	1.09	0.73	1.00	1.46
Totals	3	2	15	4	24	7	12	13.67	51,500	100%	13.67	9.11	13.67	18.22

\* previously counted in the same manner as 2017

Example: Member A contributed slightly below the low end of the benchmark.

Example: Member B contributed well below the low end of the benchmark.

Example: Member F contributed within the high and low ends of the benchmark.

Example: Member J contributed well above the high end of the benchmark.