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Budgets on My Mind: Changing Budget Allocations to Meet Teaching and Research Needs

Denise D. Novak, Carnegie Mellon University

Abstract

The shifting landscape of academic programs, scholarly communication, acquisition environment, and staffing patterns in academic libraries necessitates changes in resources budget structure and allocation models to align with and be responsive to this new landscape. This presentation includes case studies from Carnegie Mellon University and the University of Washington. We will share changes made to our budget structure and allocation, and we would like to invite you to discuss your thoughts on budget allocation models in libraries.

Let me begin with a short history of Carnegie Mellon University. Founded in 1900, the Carnegie Technical School was funded by Andrew Carnegie, who donated one million dollars for the creation of a technical school for the city of Pittsburgh: a school where working-class men and women could learn practical skills, trades, and crafts that would enhance their careers, lives, and communities. The school grew rapidly, began to offer baccalaureate degrees through the College of Engineering and the College of Fine Arts, and became the Carnegie Institute of Technology. There was no library on campus. Students used the Carnegie Public Library of Pittsburgh and departmental libraries on campus.

By 1960, Carnegie Institute of Technology had an enrollment of 3,509 with over 1,600 part-time evening students. It became obvious that Carnegie Tech needed a library of its own. Thanks to a generous donor, Roy Hunt, a library was built on campus. In 1967, Carnegie Tech and the Mellon Institute merged to become Carnegie Mellon University.

Today Carnegie Mellon University is a global research university of approximately 14,600 students representing 114 countries. Over 5,000 faculty and staff representing 48 countries work and teach at the main Pittsburgh campus, Silicon Valley campus, and our Qatar campus.¹ The University Libraries in Pittsburgh are comprised of three separate libraries. Hunt Library houses fine arts, humanities, and social sciences. It has recently become the home of IDEATe, the Integrative Design, Arts, and Technology Network at Carnegie Mellon, which offers undergraduate minors and courses in Game Design, Animation & Special Effects, Media Design, Sonic Arts, Design for Learning, Innovation & Entrepreneurship, Intelligent Environments, and Physical Computing.

The Sorrells Library holds the engineering, materials science, computer science, and robotics collections. The library was recently renovated to create more study and collaborative space for students.

Mellon Institute Library contains biology, chemistry, and other life sciences collections.

The history of Carnegie Mellon University impinges upon the University Libraries in a financial way. Because the university is comparatively young, the University Libraries' materials allocation has not been as robust as those at other institutions. When I came to Carnegie Mellon, the budget had been allocated in the same way for years.

Each major subject area received an allocation that was divided into books, approval books, and journals. The STEM areas received the greater portion of the allocation. The reasoning for this was the expensive nature of STEM materials. Figure 1 is an example of the allocation for Fine Arts.

Journals

In my 26 years at the Carnegie Mellon University Libraries, we have been lucky to receive an increase to the library's material allocation each year. Some years not as much as others, but we managed. In the years before electronic journals, the budget committee struggled to allocate funds and pay for the renewal of journals. The budget committee is comprised of the associate dean for collections and information access, the acquisitions librarian, and the acquisitions accounts manager. Each fund had its own pot of money for journals and another pot for monographs.

Now journals make up over 50% of the libraries' allocation. The University Libraries has entered

Current Budget Allocation for Fine Arts

			17/18		Total Transfers	18/19	1 TIME/ENDW	17/18	18/19
School	Funds	Type	Allocation	Subtotal	(Permanent)	Allocation	TRANSFERS	Carryover	Balance
FA	ARCH	Books	17,124.89	17,124.89		17,124.89			17,124.89
		Approval	<u>7,472.64</u>	<u>7,472.64</u>		<u>7,472.64</u>			<u>7,472.64</u>
			24,597.53	24,597.53		24,597.53			24,597.53
	ART	Books	6,435.17	6,435.17		6,435.17			6,435.17
	YBP	Approval	12,395.00	12,395.00		12,395.00			12,395.00
	Worldwide	Approval	<u>18,479.48</u>	<u>18,479.48</u>		<u>18,479.48</u>			<u>18,479.48</u>
			37,309.65	37,309.65		37,309.65			37,309.65
	DESI	Books	5,762.70	5,762.70		5,762.70			5,762.70
		Approval	<u>6,045.87</u>	<u>6,045.87</u>		<u>6,045.87</u>			<u>6,045.87</u>
			11,808.57	11,808.57		11,808.57			11,808.57
	DRAM	Books	4,510.86	4,510.86		4,510.86			4,510.86
		Approval	<u>11,210.26</u>	<u>11,210.26</u>		<u>11,210.26</u>			<u>11,210.26</u>
			15,721.12	15,721.12		15,721.12			15,721.12
	MUSIB	Books	2,927.25	2,927.25		2,927.25			2,927.25
	MUSIR	Books	4,485.52	4,485.52		4,485.52			4,485.52
	MUSIS	Books	10,058.18	10,058.18		10,058.18			10,058.18
	MUSIAPP	Approval	15,603.30	15,603.30		15,603.30			15,603.30
	WARNER	Approval	0.00	0.00		0.00			0.00
Total Books			51,304.57	51,304.57	0.00	51,304.57	0.00	0.00	51,304.57
Total Approval			71,206.55	71,206.55	0.00	71,206.55	0.00	0.00	71,206.55
FA Total			122,511.12	122,511.12	0.00	122,511.12	0.00	0.00	122,511.12

Figure 1. Budget allocation for Fine Arts.

into licensed multiyear contracts with some of our publishers. Added to that, the majority of our journal subscriptions are electronic. The College of Fine Arts and some of the departments in the Dietrich College of the Humanities and Social Sciences continue to rely on paper subscriptions. The budget committee placed the allocation for journals in one big fund because the price of journals kept rising and the budget committee wanted to use the journal funds to pay for all journals more equitably.

When there is a need for a new journal, the liaison librarian fills out a new resources request called a “new-subform” (see Figure 2). These requests are reviewed monthly by the Expensive Purchase Committee.

The Expensive Purchase Committee reviews requests for one-time purchases and ongoing subscriptions. This

group controls an allocated sum of money to review and approve expensive one-time purchases and new ongoing subscriptions for materials. The committee has representatives from the Humanities, Sciences, Fine Arts, and the Budget Committee. We have used this process for several years and it works very well.

Books

The book budget has remained flat over the years, but the number of e-books and e-book packages we purchase continue to grow. Librarians are able to purchase e-books on a title-by-title basis with their allocated book budgets.

We are now allocating more funds to e-books so we have created an e-resources fund used to pay for e-book packages, full-text databases, and

Carnegie Mellon University Libraries
New Resources Request Form

Resource Title	PolicyMap	
ISSN		
OCLC #		Date
Format	Print	09/26/2018
Price	\$11,050	Submit request by the 15th for review in the following month.
Year(s) Requested	Current	

Backrun Request ☐ Yes ☒ No

 Issues

Justification: Please include the following:
 Requested by faculty?
 Programs the resource supports
 Interdisciplinary
 Replacing another resource?

PolicyMap is an online mapping tool that provides a way to explore, tabulate, and visualize social science data from a broad array of public sources and some proprietary sources only available through PolicyMap. The data covers mostly current information about United States economics, demographics, housing mortgage lending education health crime environment

ACQ Use Only

Vendor
 Date Ordered
 Date Received
 Issue
 Special Notes - Acquisitions Only

Figure 2. newsubform.

e-resources such as Cap IQ, Global Data, Grant-forward, and PolicyMap. The Expensive Purchases Committee also reviews these requests.

Approval Plan

Our approval plan, which began as a traditional print plan, has undergone several changes as we moved to an electronic collection. Our approval plan

representative visits twice a year to meet with the liaison librarians to fine-tune our profile. The Science Libraries, Psychology, Statistics, and Philosophy have become e-only, while Design and Film are e-Preferred. The budget for the approval plan has received an increase each year with funds allocated to new areas of study and research. There are still subject areas such as English, History, Art, and Drama that remain primarily print.

Figure 3. Budget Reallocation Task Force.

Two years ago, Carnegie Mellon began to shift from the traditional MLS collection development selector model to the PhD specialist selector model. The dean of the University Libraries believes it is important for the library faculty to understand each department's milieu, and have expertise in the discipline, to assist and collaborate with faculty in their research. This has resulted in requests being made for different types of electronic materials, such as the Energy Transition Show, which is a podcast.

Carnegie Mellon offers more than 90 programs and majors, including minors within its six undergraduate schools, colleges, and intercollege degree programs. The university continues to add new programs and majors such as Artificial Intelligence, Cybersecurity, Brain Science, Digital Scholarship, IDeATe, Global Politics, and Bioinformatics, to name a few. New programs have been funded using the University Libraries' endowment funds. But we must rethink how the materials budget is allocated.

In addition to the changes made in the past decade, the University Libraries plan to make greater changes in the future. A Task Force on Budget Reallocation has been established (see Figure 3).

Budget Reallocation Task Force

The mission of the newly created Budget Reallocation task force is to create a budget allocation aligned with our new collection development policy. This reallocation will:

- Create more equitable distribution of funds
- Create more effective use of funds
- Align the budget allocations with the new Collection Development Policy
- Allow for more effective teaching and research
- Create a well-defined, nimble budget, which will allow the University Libraries to change as needed

As Carnegie Mellon's new president, Farnam Jahanian, said in his inauguration speech, "While the past has left a bright trail, the future is arriving faster than anyone could have predicted. Our entire world is adapting to unprecedented advances that are rapidly transforming our economy, our society and our culture. We must ask ourselves: How can higher education fit into this dazzling future?"² We must make sure that the University Library is a part of that future.

Notes

1. Carnegie Mellon University Factbook 2017–2018. Vol. 32 retrieved from <https://www.cmu.edu/ira/factbook/facts2018.html>
2. Farnam Jahanian (2018, October 26). Inauguration Speech. Retrieved from <https://www.cmu.edu/leadership/president/campus-comms/2018/2018-10-26.html>