

# Simplifying the collections budget to maximize flexibility and increase responsiveness to user needs

---

Denise Koufogiannakis, University of Alberta - @dkouf  
Denise Pan, University of Washington - @dp80204

Charleston Conference, November 7, 2018

# A shift in collection budget allocations

- Common approach for allocation of budget = by format and subject = large number of funds
- Shift from individual selection of books, journals, to multidisciplinary resources, big deals, consortial agreements = misalignment with budget allocations and fund structure less useful



# University of Alberta Libraries

38,000 students; 15,000 employees

18 faculties; 5 campuses

500 graduate programs

2nd largest research library in Canada

8M+ vols; 5.3M titles

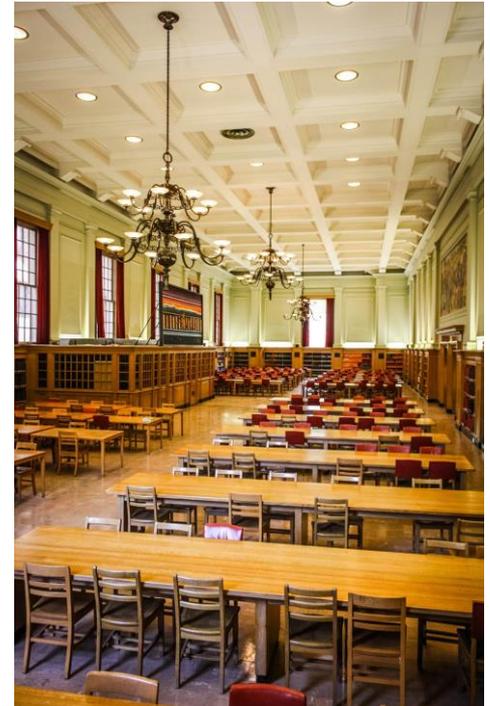
10 locations for library collections

\$25M (CAD) collections budget

2014 we stopped title by title selection of monographs by subject selectors; 2016 centralized all collections work



EDMONTON · ALBERTA · CANADA



# Former fund structure - Fall 2012

- 736 base budget fund codes for monographs; 427 active
- Payments against 292 fund codes in November of that year (FY2012-13)

Library	Source	Fund Type	Fund	Fund Name	Budget	Orders	Paid	Balance	% Remaining
<b>Total</b>					\$212,547.00	\$1,537.96	\$213,460.48	(\$2,451.44)	-1%
HSS	Base Budget	Firm Order	1H1-001	HSS CREDIT CARD FOREIGN LANG	\$60,000.00	\$0.00	\$93,264.33	(\$23,264.33)	-39%
			1H1-100	HSS FIRM ORDERS	\$50,000.00	\$460.34	\$170,620.00	(\$121,080.34)	-242%
			1H1-100-123D	HIST MUIR	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-127B	HIST HEILMAN	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-133J	ECON ZHOU	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-133K	ECON FOSSATI	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-135E	LING BAAYEN	\$0.00	\$0.00	\$19.19	(\$19.19)	
			1H1-100-135F	LING TUCKER	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-135G	LING BOLGER	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-136E	POL SCI HSU	\$1,000.00	\$0.00	\$226.43	\$773.57	77%
			1H1-100-137G	PSYC GALAMBOS	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-141F	CLASS MACFARLANE	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-147L	PHIL DALAL	\$1,000.00	\$0.00	\$0.00	\$1,000.00	100%
			1H1-100-152B	GERM SMITH-PREI	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-154E	FREN REYNS	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-157C	SLAV KONONENKO	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-171D	ART HARRIS	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-171K	ART CLAYPOOL	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-171L	ART BOETSKE	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-173H	DRAM RAYMOND	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-173J	DRAM MUNERONI	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-173K	DRAM MILLER	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-175F	MUSI STEENHUISEN	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-175M	MUSI MCINTOSH	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-175N	MUSI HANNESSON	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-100-175O	MUSI SMALLWOOD	\$0.00	\$0.00	\$0.00	\$0.00	
			1H1-101	HSS REFERENCE MONO	\$40,000.00	\$731.00	\$17,314.31	\$21,954.69	55%
			1H1-102	HSS DATA LIB MONO	\$15,000.00	\$0.00	\$0.00	\$15,000.00	100%
			1H1-103	HSS GOV DOCS MONO	\$6,000.00	\$0.00	\$3,065.54	\$2,934.46	49%
			1H1-104	HSS PROJECTS MONO	\$0.00	\$0.00	\$331.59	(\$331.59)	

# Why change?

- Directive from Chief Librarian to reduce
- Invoices often had multiple fund codes per line
- Complex for acquisitions and financial services staff
- Some codes not used
- More splitting of funds on single products due to interdisciplinarity and lack of funds in any one pot
- Constant moving of money - more and more purchased centrally



# Process of change

- Review with library Heads/Collection Managers
- Explain reasoning; taking slow steps - be aware of resistance
- FY 2013-14 -- 200 active monograph fund codes
- FY 2014-15 -- reduced to 43 fund codes



# Revised structure type by April 2014

Library	Source	Fund Type	Fund	Fund Name	Budget	Orders	Paid	Balance	% Remaining	
Business	Base Budget	Firm Order	1W1-110	BUS FIRM ORDERS	\$47,136.00	\$370.55	\$12,445.17	\$34,320.28	73%	
		Approval	1W2-110	BUS APPROVALS	\$18,000.00	\$2,258.30	\$26,436.74	(\$10,695.04)	-59%	
	<b>Total</b>				\$65,136.00	\$2,628.85	\$38,881.91	\$23,625.24	36%	
<b>Total</b>				\$65,136.00	\$2,628.85	\$38,881.91	\$23,625.24	36%		
Education	Base Budget	Firm Order	1C1-290	EDU FIRM ORDERS	\$0.00	\$646.20	\$32,861.00	(\$33,507.20)		
		Approval	1C2-290	EDU APPROVALS	\$250,115.00	\$8,936.18	\$111,984.01	\$129,194.81	52%	
	<b>Total</b>				\$250,115.00	\$9,582.38	\$144,845.01	\$95,687.61	38%	
<b>Total</b>				\$250,115.00	\$9,582.38	\$144,845.01	\$95,687.61	38%		
Hlth Sci	Base Budget	Firm Order	1M1-400	HLTHSCI FIRM ORDERS	\$50,000.00	\$2,132.11	\$37,816.54	\$10,051.35	20%	
		Approval	1M2-400	HLTHSCI APPROVALS	\$50,000.00	\$2,981.00	\$43,132.73	\$3,886.27	8%	
	<b>Total</b>				\$100,000.00	\$5,113.11	\$80,949.27	\$13,937.62	14%	
<b>Total</b>				\$100,000.00	\$5,113.11	\$80,949.27	\$13,937.62	14%		
HSS	Base Budget	Firm Order	1H1-001	HSS CREDIT CARD FOREIGN LANG	\$30,000.00	\$0.00	\$1,386.46	\$28,613.54	95%	
			1H1-100	HSS FIRM ORDERS	\$310,031.00	\$4,377.22	\$210,622.91	\$95,030.87	31%	
			1H1-124	HSS EAST ASIAN	\$6,000.00	\$0.00	\$50,595.03	(\$44,595.03)	-743%	
			1H1-141	HSS CLASSICS	\$25,000.00	\$0.00	\$18,732.78	\$6,267.22	25%	
			1H1-152	HSS GERMAN	\$6,000.00	\$0.00	\$10,714.22	(\$4,714.22)	-79%	
			1H1-153	HSS ROMANCE LANGUAGES	\$15,000.00	\$0.00	\$19,263.62	(\$4,263.62)	-28%	
			1H1-157	HSS SLAVIC	\$6,000.00	\$0.00	\$893.61	\$5,106.39	85%	
			2H1-187	HSS-SOCIAL WORK	\$10,500.00	\$260.78	\$7,213.34	\$3,025.88	29%	
			Approval	1H2-127	HSS LATIN-AMER	\$8,000.00	\$0.00	\$3,635.66	\$4,364.34	55%
				1H2-143	HSS EAST ASIAN	\$30,000.00	\$0.00	\$3,438.57	\$26,561.43	89%
				1H2-154	HSS ROMANCE LANGUAGES	\$48,000.00	\$0.00	\$42,834.30	\$5,165.70	11%
				1H2-157A	HSS SLAVIC	\$15,000.00	\$0.00	\$13,231.78	\$1,768.22	12%
				1H2-176A	HSS MUSIC	\$34,000.00	\$0.00	\$29,306.75	\$4,693.25	14%
				1H2-GEN	HSS APPROVALS	\$710,500.00	\$54,056.78	\$652,477.88	\$3,965.34	1%
				1H2-GER	HSS GERMAN	\$15,000.00	\$0.00	\$5,683.75	\$9,316.25	62%
				<b>Total</b>				\$1,269,031.00	\$58,694.78	\$1,070,030.66
<b>Total</b>				\$1,269,031.00	\$58,694.78	\$1,070,030.66	\$140,305.56	11%		
Law	Base Budget	Firm Order	1L1-300	LAW FIRM ORDERS	\$119,500.00	\$251.12	\$17,497.73	\$101,751.15	85%	
		Approval	1L2-300	LAW APPROVALS	\$60,000.00	\$4,624.20	\$80,521.47	(\$25,145.67)	-42%	

# Current fund structure - since April 2017



Base Budget Funds (5 Funds)							
Speedcode	Name	Fund	DeptID	Program	Class	Proj/Grant	Account Code
CSU02	ONE-TIME COLLECTION ACQS	210	520046	52011	0		502501 507201 507211
CSU90	ONGOING COLLECTION ACQS	210	520046	52014	0		507210 507215 507217
BIB60	CATALOGUING	210	520046	52090	0		502422
DIG60	DIGITIZATION	210	520046	52117	0		502401 [various]
LIB60	NON-ACQ EXPENDITURES	210	520046	52013	0		[various]

# What this change has meant

- Less complexity for staff
- Much greater flexibility - we talk about what is needed on the whole and try to ensure balance
- Greater responsiveness when new needs arise
- Less territorial approach
- New approach towards understanding our collection and information to guide decisions (work in progress)



# University of Washington

Case Study



[UW Photos](#)

---

# Catalysts for creating cultural change



[UW Photos](#)

Staff retirements, resignations,  
recruitments

New demands for collections and  
limited funding and staff to support

Existing budget structure constrained  
collection development opportunities

# Fund Structure/Allocation Practices: before

*Limiting our ability to be responsive to user needs*



[UW Photos](#)

Based on historical patterns

- Different practices for serials and monos

Serials - about 80% of library resources budget

- Off the top allocation, in separate lines according to serial type, e.g., databases, e-journals, etc.
- **Funding for new serials created from**
  - **Cancellations of existing subscriptions**
  - **Repurposing of monograph funds within a subject/college/school allocation**
  - **In good budget years new/emerging needs funded off the top. Ad hoc process.**

# Leading Transformation

## John P Kotter's 8 Steps for Leading Change\*

\* Kotter, J. (2007). Leading change - Why transformation efforts fail. *Harvard Business Review*, 85(1), 96.

1. Establishing a sense of urgency
  2. Forming a powerful guiding coalition
  3. Creating a vision
  4. Communicating the vision
  5. Empowering others to act on the vision
  6. Planning for and creating short-term wins
  7. Consolidating improvements and producing still more change
  8. Institutionalizing new approaches.
-

# Kotter's Steps at UW

1 of 2

<b>Step</b>	<b>Kotter</b>	<b>Step</b>	<b>UW Activities FY2017</b>
1	Establishing a sense of urgency	2	Present consequence of staying the course with current practices
2	Forming a powerful guiding coalition	1	Initiate communication and process review of decision making
3	Creating a vision	3	Identify need for sustainable strategies
4	Communicating the vision	4	Strategic stewardship and collaborative decision-making

# Kotter's Steps at UW

2 of 2

<b>Step</b>	<b>Kotter</b>	<b>Step</b>	<b>UW Activities FY2018</b>
5	Empowering others to act on the vision	5	Convened Collections & Resources Council
6	Planning for and creating short-term wins	6	Multi-year review of budget structure and environmental scan
7	Consolidating improvements and producing still more change	7	Task force recommendations Consultant lead discussion and reported findings
8	Institutionalizing new approaches	8	Implement first phase of the budget structure changes

# Fund Structure/Allocation Practices: after

*Building capacity to be responsive to users needs*

Implementing task group recommendations

- Collapse serial lines from individual subject areas (e.g. Chemistry, Engineering, Math) to fund group level (e.g. Sciences)
  - FY2019 focused on 4 fund groups: Arts & Humanities, Business, Sciences, and Social Sciences.
  - Plan for other fund groups in the future.
- Establish a desiderata database for purchases with ongoing commitments that exceed a fund group's capacity to finance.



[UW Photos](#)

# Culture Change

**From individual fund  
management to more  
collaborative decision-making**

Shared understanding of problem and potential solutions.

Achieved consensus to implement recommendations.

Established process for reviewing budget structure.

---

# John P. Kotter

## Leading Change: Why Transformation Efforts Fail

Leaders who successfully transform businesses do eight things right (and they do them in the right order).

*Harvard Business Review* | Jan 2007

*There are still more mistakes that people make, but these eight are the big ones... **In reality, even successful change efforts are messy and full of surprises...** A vision of the change process can reduce the error rate. And fewer errors can spell the difference between success and failure.*

---

# Questions?

[dak@ualberta.ca](mailto:dak@ualberta.ca) | @dkouf

[dp@uw.edu](mailto:dp@uw.edu) | @dp80204