Efficient Collection Development and Acquisitions Practices in an Increasingly Electronic Environment

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Summary:
Collection Management and systems staff from Bowling Green State University State University and The University of Akron, along with a representative from YBP will provide an overview of local workflow efficiencies developed over the past two years in their increasingly electronic selection & ordering workflow environment. Helping staff through the transitions will also be discussed.

Bowling Green State University GOBI Workflow

BGSU's work process has evolved based on local historical practice. GOBI is very flexible and accommodated our needs.

Librarians select books in GOBI. Acquisitions exports in GOBI, but has no authority to select. To take advantage of the electronic invoicing features of III and YBP, we don't use the GOBI order cart capability. Orders are exported from GOBI to III and then sent from III to YBP.

- Paper slips sorted by fund code (mapped to LC call numbers) & distributed to collection development librarians.
- Paper slips forwarded to faculty library representatives. Two department faculty library representatives receive GOBI Alerts.
- Faculty library representatives recommend titles for purchase for approx. ½ to 2/3 of firm order funds; librarians purchase from faculty recommendations and make their own selections for purchase.
- Librarians use paper slips, GOBI Alerts, slip views, GOBI searching, slip searching, publisher catalogs/websites, or bibliographies in new publications to identify books for purchase.
- Entering multiple ISBNs, students enter paper slips recommended for purchase into a GOBI folder for librarian's review and selection.
- Or, librarians review paper slips recommended for purchase and enter them into a GOBI select cart (using batch ISBN entry.)
- Librarians retrieve pre-searched records from a GOBI folder, move these records to the select cart and apply a template, and then submit selections.
- Each fund code has three templates: 1 for current publication date sub-account, 1 for older date sub-account, 1 for UK publications ordered on our Lindsey & Howes sub-account. Templates also include a location code.
- If selecting books in GOBI, librarians rely on GobiTween information and may only spot check the OhioLINK catalog if GobiTween information indicates a substantial number of copies purchased by other OhioLINK libraries.
- Librarians use the "add unlisted title" function in GOBI to select titles not found in GOBI. This allows us to use GOBI for as many orders as possible, streamlining the Acquisitions workflow.
- Since accurate template information is critical, all librarians create templates at one group session. All templates are tested before librarians select in GOBI.
- Librarian adds "intentional duplicate" note to selection, so that Acquisitions and YBP will allow the duplicate order.
- Acquisitions processes the GOBI selections from previous day and moves them into the export cart, between 7:30 and 8:00 a.m. to take advantage of network speed.
- Acquisitions modifies records in the GOBI export cart as needed, and submits them.
- Acquisitions retrieves the file of order records from GOBI and imports them to the III system.
- Acquisitions loads order records that come from GOBI with an order status of "under consideration" (status 1). Acquisitions creates a list of all newly-added titles. Then, using the edit order records ability to work from a review file, Acquisitions does a quick manual title search to identify duplicates and change the order status to o (on order) which encumbers the funds.
- Acquisitions post the orders to check for overspending of funds. If over-encumbered, Acquisitions cancels enough orders to bring the fund back into balance and returns the cancelled orders to the librarian.
- Acquisitions sends electronic orders to YBP using BISAC.
- Acquisitions receives the order confirmation email from YBP, and then examines the titles of books and the number of books ordered to ensure the number ordered matches what was posted.
- BGSU receives electronic invoicing from YBP upon shipment of books. We do not purchase PromptCAT records or physical processing services.

Selection (GOBI) and Ordering (III) Process at The University of Akron

GOBI Selection Process Described

UA's work process changed radically and quickly from a paper-based procedure to an electronic one in which selection and order decisions and responsibilities shifted almost entirely to subject librarians. GOBI was flexible enough that it could be modified at the time to accommodate most of our needs.

Faculty library determine all titles for purchase; additionally librarians may purchase from faculty recommendations as well as make individual discretionary selections for purchase.

Librarians use, for the most part, GOBI Alerts, but also, to a lesser extent, paper slips, GOBI searching, slip searching, publisher catalogs/websites, or bibliographies in new publications to identify books for purchase.

Selectors rely very much on GobiTween information for decisions on purchase since funds have been restricted; selection decisions are done more rigorously with an eye to reliance on OhioLINK borrowing parameters.

Librarians use GOBI for as much ordering as possible, because it is a single file containing the most information and for the discounts available. They also use the new RUSH feature for beginning of semester needs (primarily for reserve materials), although the actual processing of the order in this one instance is done by Acquisitions staff. This allows processing efficiencies in acquisitions work.

Librarians add "intentional duplicate" or "new edition" and other such notes to export records so that Acquisitions and YBP will allow the added material.

Librarians retrieve pre-searched records from a GOBI folder, move these records to the export cart and apply a template, and then export orders.

GOBI/III Ordering Workflow

1. Titles searched, selected and exported by bibliographers in GOBI
2. Export file picked up by Systems
3. Records loaded in INNOPAC
4. Dup checking
     ♦ Brief bib records created
     ♦ Order records created
     ♦ Possible dups receive order status = 1 (on hold)
     ♦ All others receive order status=o (on order)
5. Systems creates and prints list of orders with order status ="1"
6. Print list of recs w/ order status =1 goes to Acquisitions for review
7. For actual duplicate titles, bib & order recs deleted and order returned to selector
8. If necessary, order records are transferred to existing bib for additional copies & editions, etc. Acquisitions changes order status to "o")
9. All orders from current GOBI load with status = "o" are ready for electronic ordering
10. Acquisitions processes orders via electronic ordering interface
11. Orders are e-mailed directly to YBP from INNOPAC

Glossary

<u>Miscellaneous terms</u>

Approval plan: Automatic shipment of books and/or notification slips, based on a library-specific subject profile.

Duplication control: Library and vendor processes aimed at preventing the order or shipment of a title that is already owned by the library.

Firm order: Order for a specific title (as opposed to an automatic approval plan shipment). Firm orders can be selected from publisher catalogs, patron suggestions, book reviews, vendor notification slips, and many other sources.

Intentional duplicate: Signal to library and vendor staff that an order is a known duplicate, or added copy; disables library's and vendor's normal duplication control mechanisms

Notification slips: Title announcements sent in lieu of an automatic book shipment, from which purchase decisions can be made. Also known as yellow slips or forms.

OhioLINK: The Ohio Library and Information Network, a library consortium of the state's 17 public universities, 23 community/technical colleges, 44 private colleges and universities, and the State Library of Ohio. All OhioLINK members use the Innovative system.

<u>Innovative terms</u>

Electronic invoicing: receiving invoice data electronically from the library's book or serial vendor, rather than having to key from a paper invoice. Innovative uses different formats for monographic and serials electronic invoicing. For monographs, invoice data is carried in local data fields in a MARC bibliographic record. For serials, the electronic invoicing format is a fixed flat file format.

Electronic ordering: transmitting orders electronically, in a standardized format, rather than mailing paper orders. Innovative electronic orders come in 2 flavors:
BISAC: older ANSI standard, fixed length orders, usually transmitted by e-mail, not ISBN-13 compliant.
EDIFACT: newer, international standard, accommodates longer data fields, usually transmitted by ftp, ISBN-13 compliant.

Extended Approval Plan Interface: (a.k.a. MARC Loader With Invoice) Innovative loader designed to load incoming bibliographic, order, and invoicing data on a MARC record. Used not only for processing approval shipments, but also for electronic invoicing for firm order shipments.

FTS: Innovative's version of ftp.

MARC Loader Without Invoice: Innovative loader designed to load incoming bibliographic and order data, but not invoicing data.

Order status: order screen code that identifies the stage at which an order is, and controls OPAC status messages. The 2 relevant ones for this presentation are:
1: "on hold" or pre-order, under consideration for purchase
o: on order

Posting: process by which Innovative recognizes the cost of an order or receipt, debits from the proper fund, and reports back on the remaining fund balance

<u>YBP terms</u>

Add unlisted: Process by which a library can enter bibliographic, selection, and order information for a title that is not found in GOBI, thereby enabling them to move the title through their regular selection and ordering workflows. After a library has added an unlisted title, YBP researches its availability with the publisher and adds it to GOBI for use by other libraries. If an unlisted title is out of print ad the library requests YBP's OP service, YBP may also attempt to obtain a copy.

GOBI: YBP's online system for searching, reviewing notification slips, selecting, ordering, and reporting.

GOBI local history: 2-3 years of notification slip, selection, order, and invoicing title-level information for a particular library.

GOBI templates: a way to eliminate most keying, by defaulting selection or order information which will be regularly used; users can have multiple templates to accommodate different subject areas or kinds of orders.

GobiExport: creating a file of brief MARC records based on the GOBI bibliographic records, including local selection and order details in 9xx fields; used for loading into Innovative, and serves as the basis of a later order. (formerly known as GobiSelect)

GobiSmart: ability to customize GOBI's selection and ordering screen details to eliminate unnecessary fields, rename fields, and use validation lists.

GobiTween: ability for members of a formal or informal group of libraries to see each other's local history (but not financial data) on GOBI.

Lindsay and Howes: YBP's British office, located in Godalming, Surrey

<u>Efficiencies Gained:</u>
- ❏ Easier sorting of notification slips
  - o Approval fund codes
  - o GOBI slip views
  - o GobiAlerts
- ❏ Easier searching
  - o For electronic notification slips
  - o For online selections
  - o For duplicate checking
- ❏ Easier sharing of information between:
  - o Faculty and selectors
  - o Selectors with overlapping subjects
  - o Selectors and Acquisitions
  - o Selectors/Acquisitions and Cataloging/Circulation
  - o Library and YBP
- ❏ Customization means fewer mistakes, greater accuracy
  - o Online folders to store titles
  - o Selection templates
  - o GobiSmart
- ❏ Fewer keystrokes
  - o Templates
  - o Automated dup checking
  - o Electronic orders
  - o Electronic invoicing
- ❏ Can even out ordering peaks and troughs, if selectors look at slips regularly
- ❏ Standardized processes
  - o Decreased exceptions handling: able to push unlisted titles, OP titles, and rush orders through the same processes as regular orders
  - o Fewer exceptional processes to learn, remember, and document
  - o Developed methods to mainstream more and more materials
- ❏ Quicker
  - o Reviewing electronic slips saves up to 1 week over paper slips
  - o Can process large batch of orders very quickly; no paper backlog of orders
  - o Electronic ordering saves 1-2 weeks over paper orders
    - ▪ Bowling Green did an order fulfillment study:
    - ▪ Electronic orders placed in 2002-2003:
      - • 58% filled in 30 days
      - • 93% filled in 60 days
    - ▪ Paper orders placed in 2001-2002
      - • 8% filled in 30 days
      - • 80% filled in 60 days
  - o Electronic invoicing saves many minutes per invoice

Staff Considerations

Bowling Green:

- ❑ Acquisitions welcomed the time savings – less paper, no filing, less time consuming, and NO paper cuts!
- ❑ Went from 30-40 student hours weekly to 14 hours
- ❑ One full time staff member resigned; if she had not, Acquisitions would be overstaffed
- ❑ The staffer who processes invoices has the time to develop budget spreadsheets in Excel, to help with book check-in when receipts are heavy.
- ❑ Have had many fewer problems with accuracy once we overcame the time-consuming bumps in procedures at the beginning.
- ❑ Acquisitions wishes we'd started doing electronic ordering earlier and that we'd now start using similar processes with other vendors
- ❑ Initially there was some concern by librarians at taking over traditional Acquisitions functions such as assigning vendor, fund, and other codes, but this is no longer an issue.
- ❑ Selectors can assign fund codes and can better track ordering themselves
- ❑ Selectors see the benefit in monitoring spending on up-to-date III fund reports
- ❑ GOBI refresher training is needed, especially if there's been a hiatus in orders over summer

Akron:

- ❑ Coding responsibilities shifted from acquisitions personnel to collection developers, which resulted in some difficulties at first for new bibliographers who weren't used to any selection and ordering system; problems of matching YBP preferred fund and vendor codes, since difficult enough to remember our own 75 different codes; problems of some selectors accidentally ordering on other people's codes.
- ❑ For selectors, the benefits of having some control over what was ordered and the status of the order, and fund management control, outweighed other difficulties.
- ❑ The inclusion of fund code information, and other YBP data, further helped Akron with its new fund allocation model and the creation of a new titles list to be sent to faculty.