

Orbis Cascade Alliance
Automated Cataloging & Acquisitions Working Group (AC&A)
Collaborative Technical Services Team (CTST)
November 15, 2011

Automated Cataloging & Acquisitions Survey Report

Part 1—Executive Summary, Recommendations, & Charts

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Executive Summary

In November, 2010, the Collaborative Technical Services Team (CTST) was charged by the Alliance Council to create an “inventory of automated cataloging/acquisition practices” (BP2). The Automated Cataloging & Acquisitions Working Group (AC&A) was formed and a 79 question survey tool was created and sent to member institutions through the Alliance Catalog & Cataloging listserv representatives in August 2011. Responses were compiled in October 2011 and results are included in the following two reports:

Executive Charts Only Report: A 26 page document made up of charts and specific spreadsheets to provide a compressed overview of institutional responses. (Added comments by institutions to specific survey questions can be found in the Complete Survey Report.)

Complete Survey Report: A 77 page detailed document compiling responses and comments from individual institutions in spreadsheets and includes charts to aggregate overall institutional responses.

The Survey Tool:

The survey consisted of 79 questions which focused on 1 time purchases (firm orders) of print monographs in English language (unless Approval books were specified) and consisted of the following sections:

- Selection
- Ordering
- Invoicing
- WorldCat Cataloging Partners
- Cataloging
- End Processing

As part of the survey process an offline version was created and responders were encouraged to print out the questions before filling out the online survey. For many institutions, collaboration between acquisitions and catalog units was needed in order to complete the survey.

Recommendations & Observations:

Recommendation 1: Add data from the 3 remaining institutions.

Responses were received from 33 of 36 institutions. In order to have a complete set of data, responses from the remaining 3 institutions (Central Oregon Community College, Mt. Hood Community College, and Southern Oregon University) should be sought and added to the results. It was noted that Oregon State University catalogs materials for Central Oregon

Community College. However, it is not known if there are other areas of this survey (e.g. book selection) where Central Oregon's operations or workflow may vary from OSU.

Recommendation 2: Identify and survey department or divisional libraries

The AC&C Working group requested a single response from each institution. However, there are some institutions that have additional departments or divisional libraries, such as Law Libraries that may have different acquisitions and/or cataloging workflows. While we received some comments from one institution where practices between their main and divisional libraries differed, this pattern was not consistent among all institutions, nor was it clear in the survey instructions if department and divisional libraries should respond. The department and divisional libraries need to be identified and this survey should be administered to these groups.

Recommendation 3: Continue to survey institutions for other formats or order types

In preparing the questions for this survey the AC&A working group made the decision to focus this survey on 1 time purchases of print books. While we would have liked to have included additional questions on other formats (media, ebooks, etc.,) or order types of materials (i.e. serials, standing orders, etc.,) we were also mindful of the time needed to fill in various Alliance surveys and felt that the additional questions would best be handled in future surveys. Each of these formats and/or order types have their own set of vendors, workflows, end-processing, etc., To try to be more comprehensive would have resulted in a unwieldy and lengthy survey. Future CTST's should continue to survey the institutions to focus on various formats or order types. This survey could be used as a framework for additional surveys.

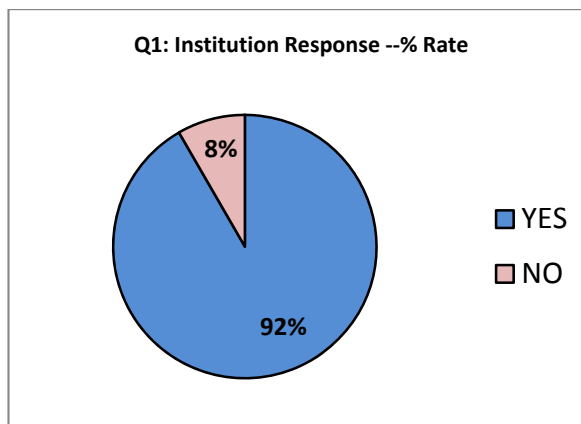
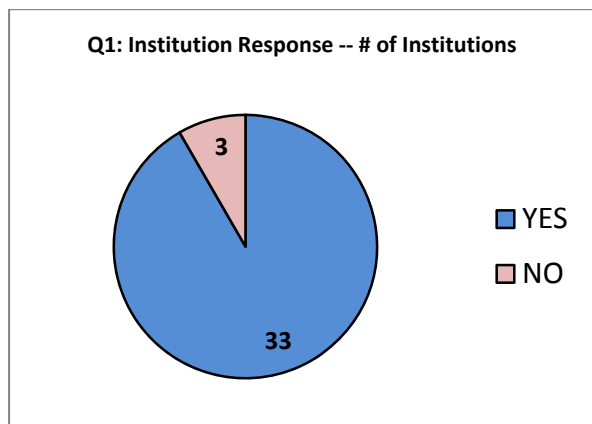
Recommendation 4: Distribute survey results to Alliance Members:

The survey results provide an environmental scan of specific information on automated acquisition and cataloging practices at individual institutions as well as an overall look at practices among the Alliance libraries. Distribution of the survey directly to institutions as well as on the Alliance website will:

- provide member libraries thinking about implementing or changing current acquisition or cataloging workflows a list of specific institutions that may have already implemented the practice (i.e. WorldCat Partners.)
- identify the use (or nonuse) of certain workflows or practices that could be used by the Alliance or members to determine additional areas of further collaboration.

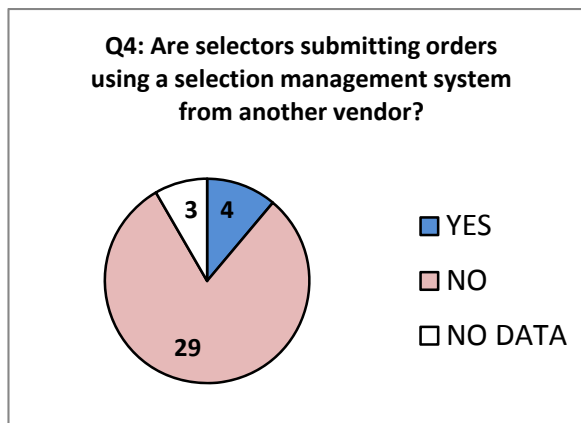
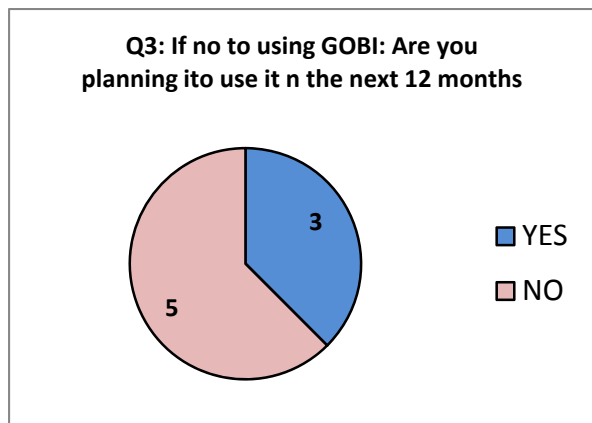
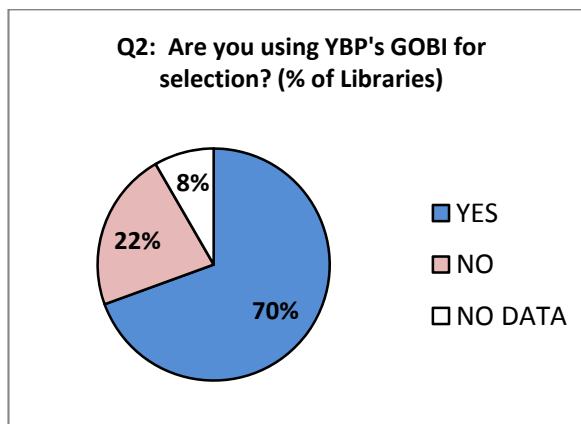
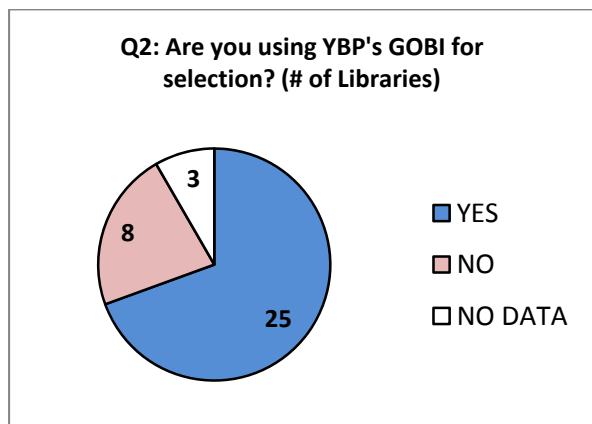
Executive Charts

Institutions participating in survey

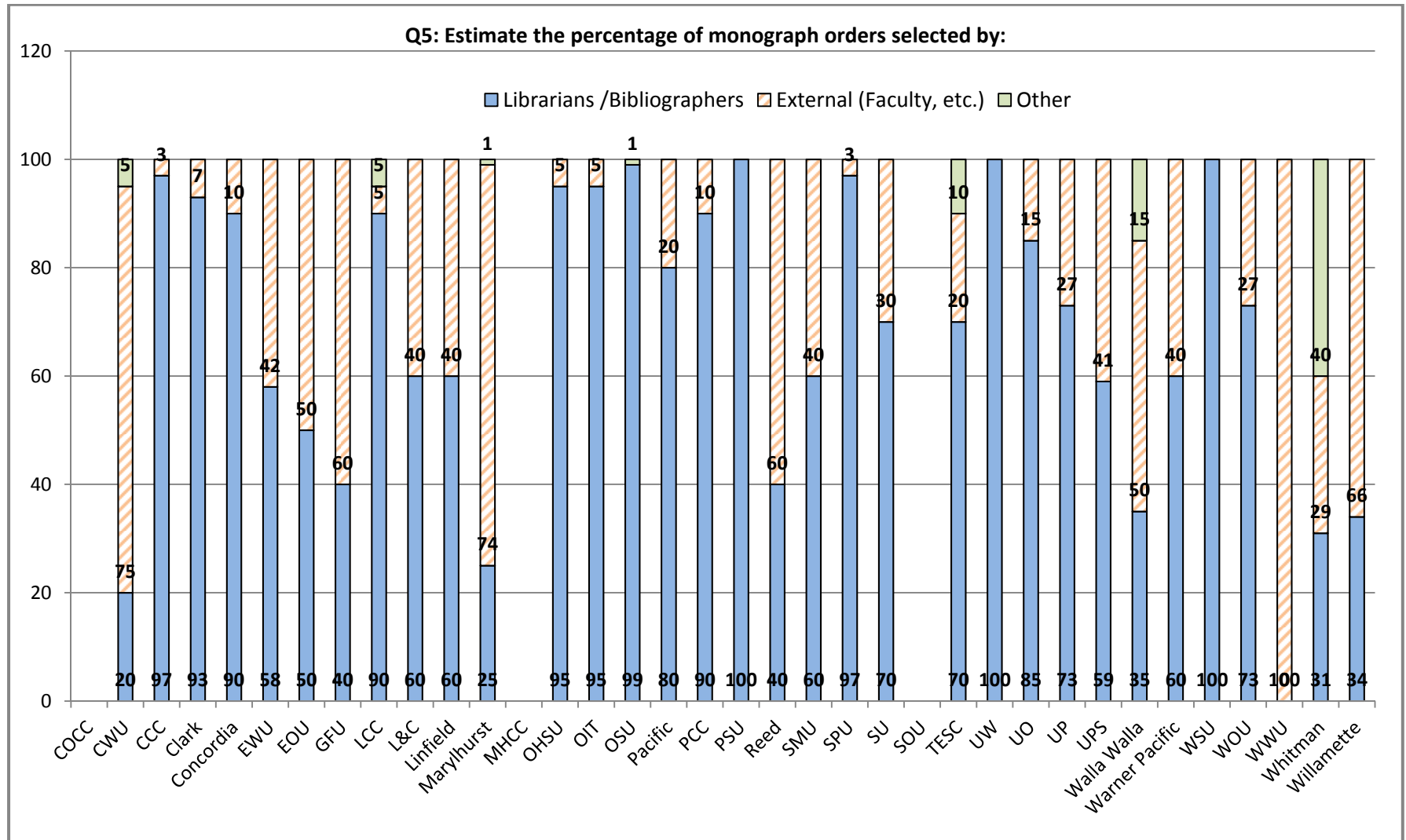


Selection Process

Selection tools

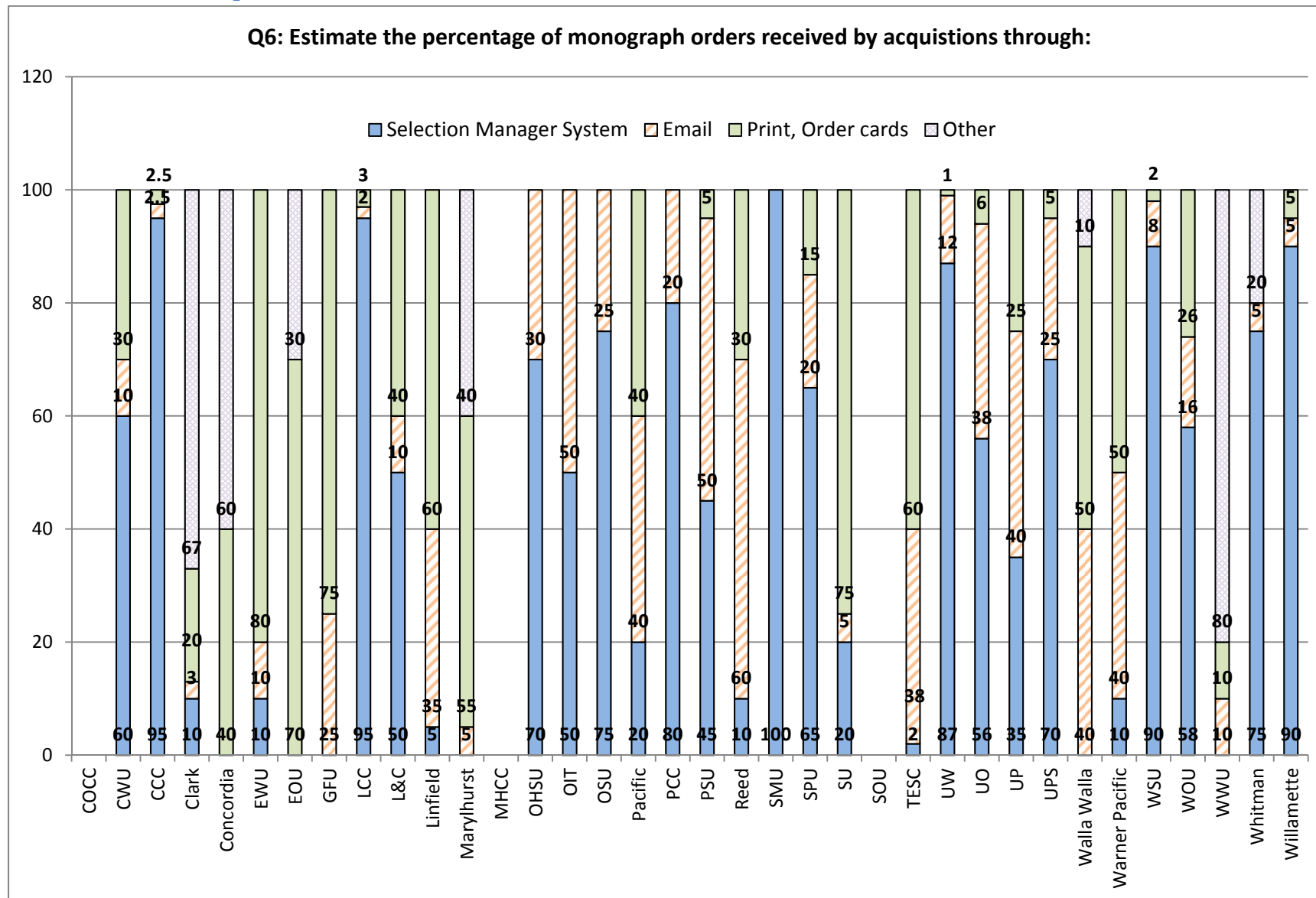


Selection participants (i.e. who are the selectors)

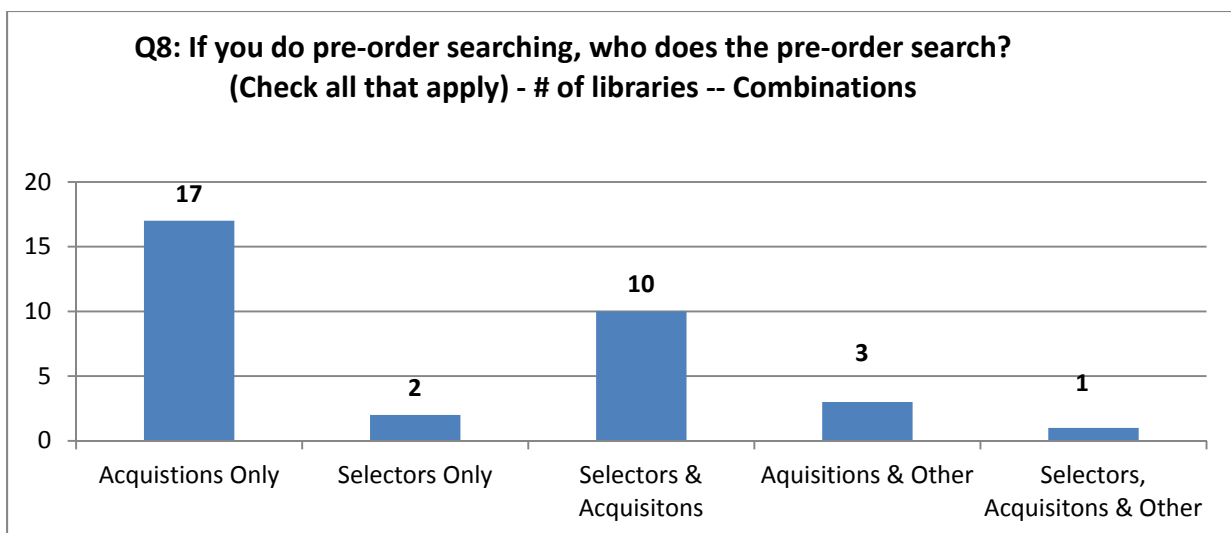
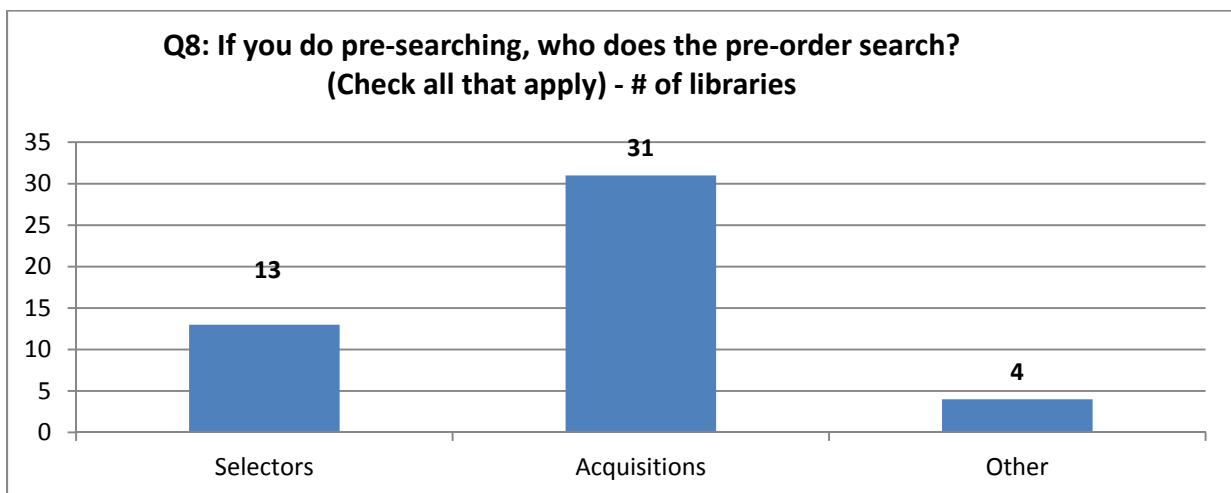
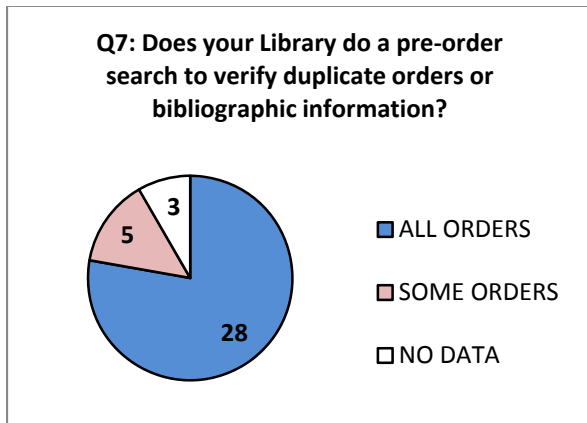


	Librarians	External	Other
Average	70	34	11
Median	71	30	5
Mode	60	40	5

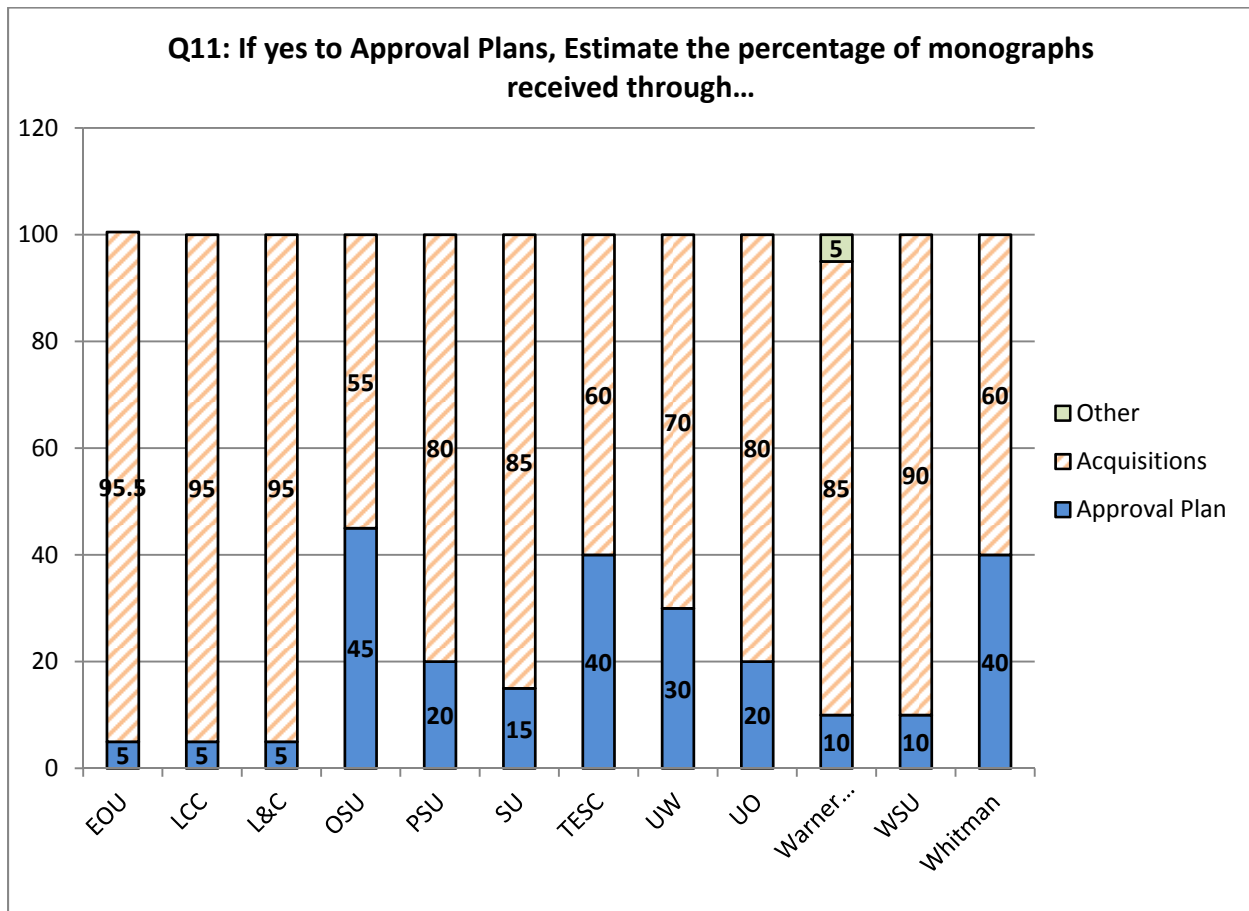
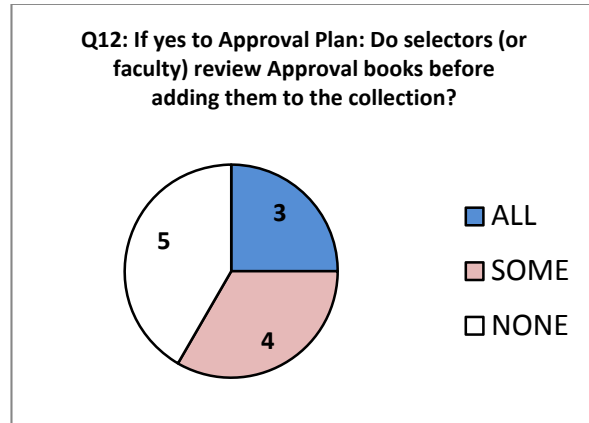
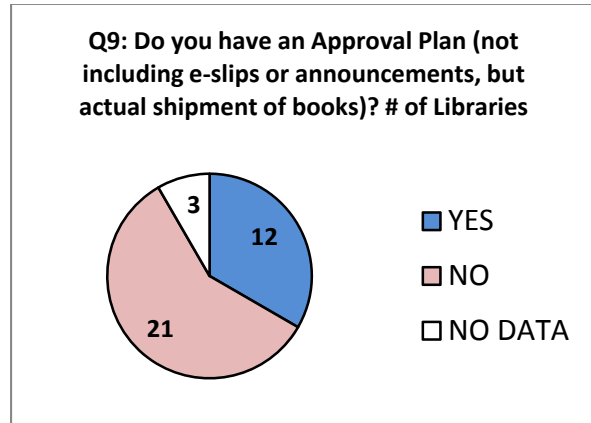
Order submission process



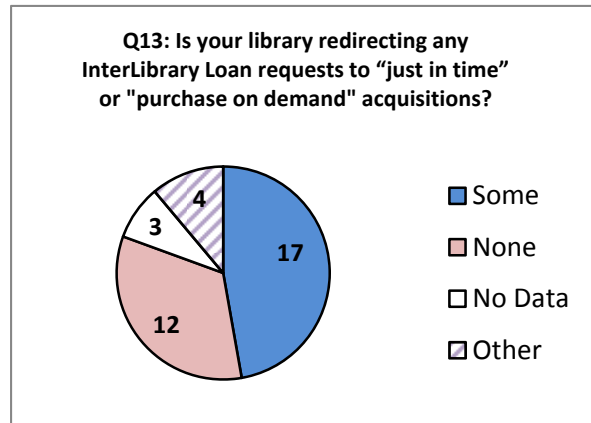
Pre-order Searching



Approval Plans

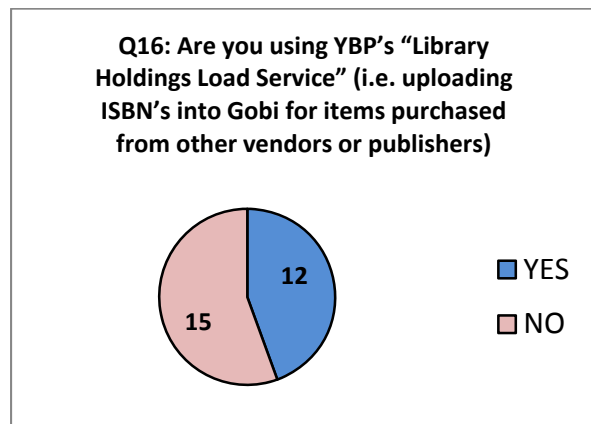
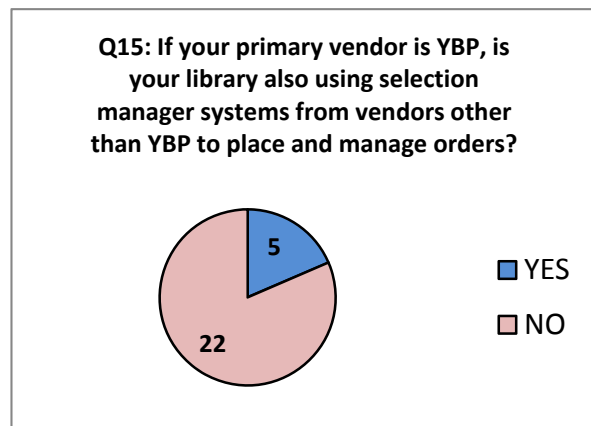
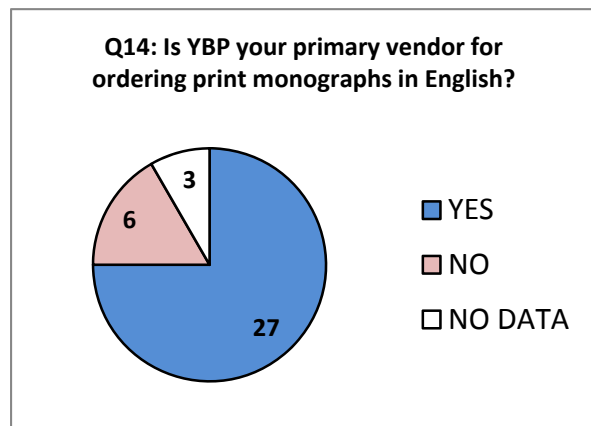


Interlibrary loan redirects to purchase



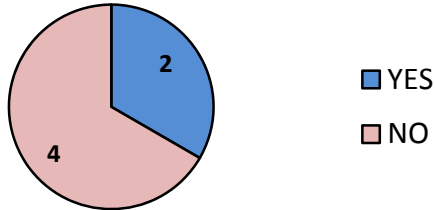
Order Process

Workflow for libraries using YBP as primary vendor

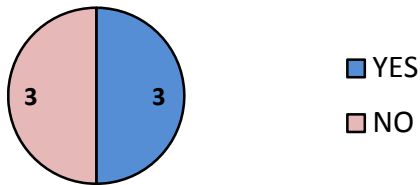


Non-participants with YBP

Q18: If you are not using YBP: Are you planning to switch your primary vendor to YBP in the next 12 months?



Q20: If you are not using YBP: Are you using a selection management system from your current vendor to place and manage orders?



Q19: If not using YBP, who is your primary vendor?

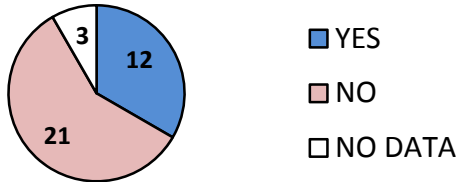
Concordia: Amazon
EOU: Midwest & Bookhouse
George Fox University: Midwest. We may switch to YBP since they include e-books and Midwest doesn't, but I can't say it will happen in the next 12 months.
Linfield College: Midwest - we also use Baker & Taylor; we plan to add more volume to YBP in the next year, but it's unlikely they'll become the primary vendor at this point
Oregon Institute of Technology: We use Amazon for a few titles but because we have not ordered very much the last 3 years, we really do not have a vendor currently. We restructured our fund codes and can now proceed to set up with YBP.
Walla Walla University Library: Midwest Library Services

Q21: Please estimate the percent of monograph ordering that goes direct to the publisher vs. through vendor.

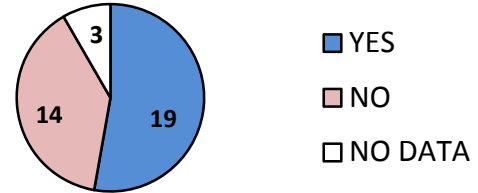
Institution	Response
Central Oregon Community College	No Data
Central Washington University	25
Chemeketa Community College	2%
Clark College	12% Publishers, 88% vendors
Concordia	5%
Eastern WA University	les than 10%
EOU	2%
George Fox University	5%
Lane Community College	3%
Lewis & Clark	5%
Linfield College	15-20%
Marylhurst University	1%
Mt. Hood Community College	No Data
Oregon Health & Science University	95% vendor; 5% publisher
Oregon Institute of Technology	When we did have a budget for monographs about 98% were ordered through a venor (Blackwell's)
Oregon State University	5%
Pacific University Libraries	About 10 percent go directly to publisher
Portland Community College	3
Portland State University Library	5% goes direct to publisher.
Reed College Library	15%
Saint Martin's University	Due to staff shortages, we do not currently order anything we can't get from YBP. So at present, 100% of orders go through a vendor.
Seattle Pacific University	Publisher: 5%, vendor: 95%
Seattle University	10
Southern Oregon Community College	No Data
The Evergreen State College Library	15% (YBP is not our primary vendor for firm orders, but it is one of them)
Univ. of Washington	vendor 99%, publisher 1%
University of Oregon	Knight: less than 1% Law: 40%
University of Portland	5 percent
University of Puget Sound	1%
Walla Walla University Library	15 percent
Warner Pacific College Library	3% or less. Rarely happens.
Washington State University	30% of orders go somewhere other than YBP
Western Oregon University	25%
Western Washington University	5-10%
Whitman	5 vs 95
Willamette University	1%

Automation products, processes and Millennium for loading records

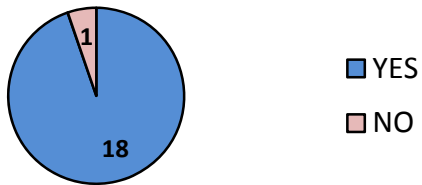
Q22: Does your library use Innovative Extended Approval Plan Interface (product 409) sometimes known as the "PromptCat Loader?"



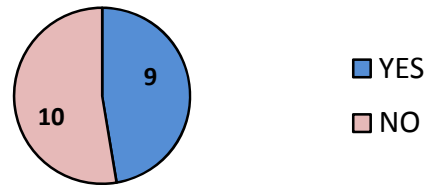
Q23: As part of the initial ordering process, does your library batch load bibliographic records from your primary vendor via Millennium's Data Exchange?



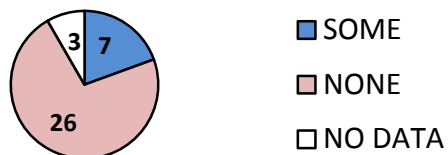
Q24: If yes, to using Data Exchange, for your primary vendor, do you use a loader profile which includes the creation of order records?



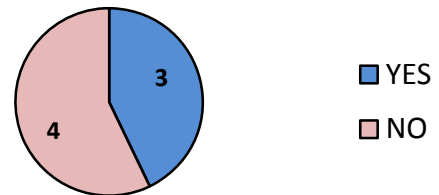
Q25: If yes to using Data Exchange, for your primary vendor do you use a loader profile which includes the creation of item records?



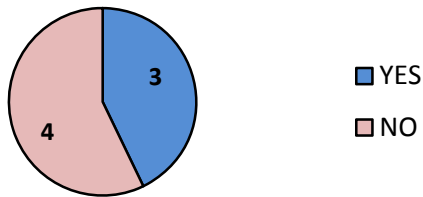
Q26: As part of the initial ordering process, does your library batch load bibliographic records from your secondary vendors via Millennium's Data



Q27: If some to Data Exchange: For your secondary vendors, do you use a loader profile which includes the creation of order records?



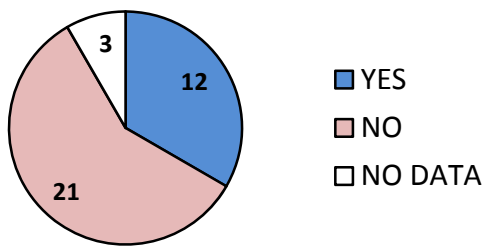
Q28: If some to Data Exchange: For your secondary vendors, do you use a loader profile which includes the creation of item records?



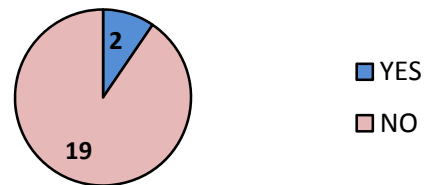
Invoicing and Payment

Electronic invoicing

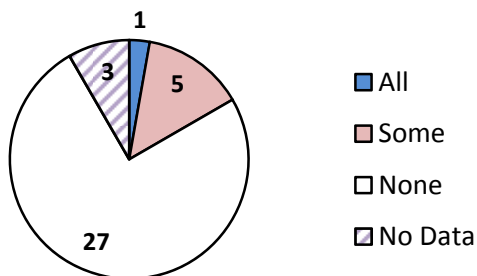
Q29: Are you using electronic invoicing with your primary vendor?



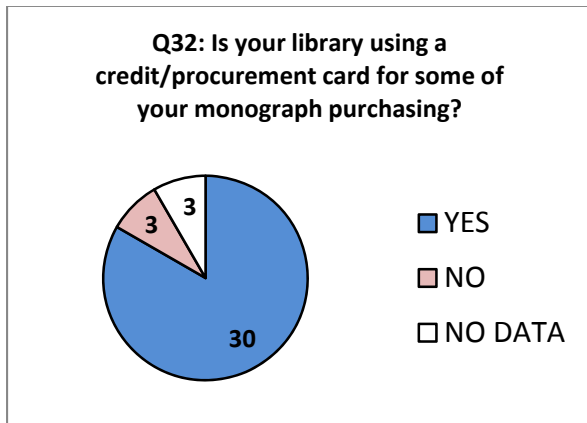
Q30: If no, Are you planning to implement electronic invoicing with your primary vendor in the next 12 months?



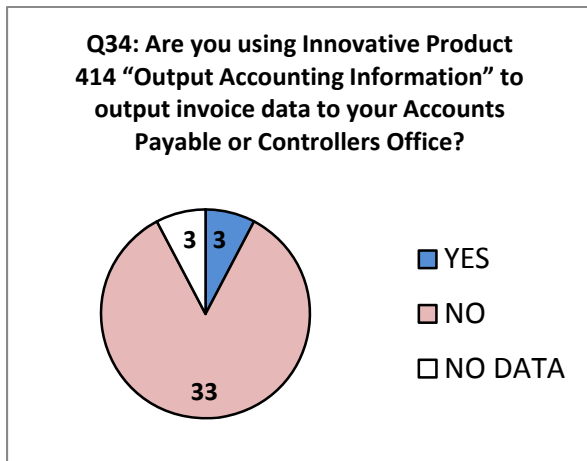
Q31: Are you doing electronic invoicing with your secondary monographic vendors?



Credit or procurement cards

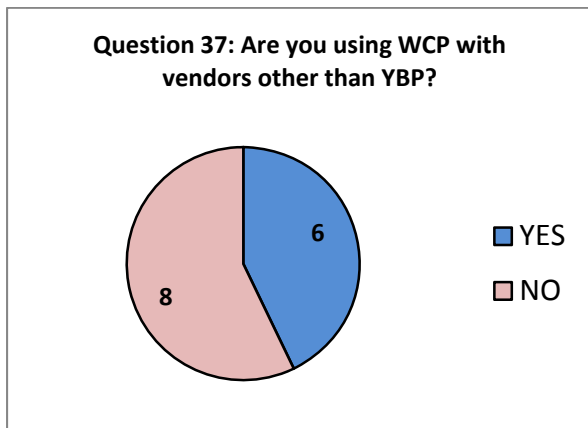
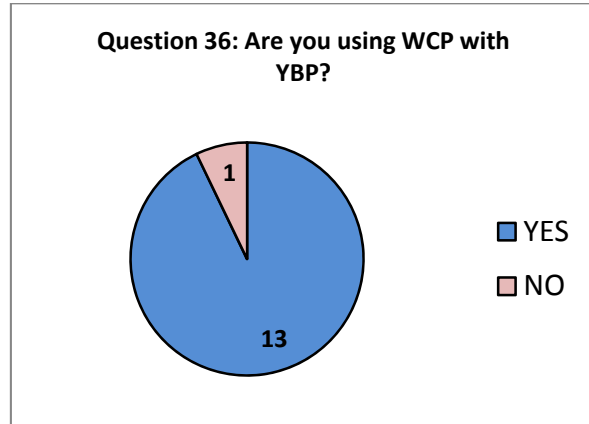
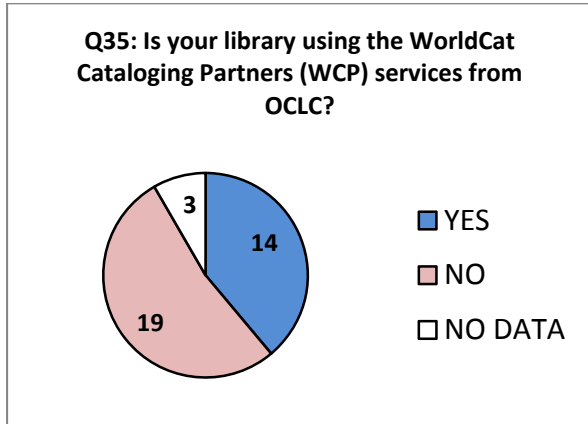


Automation products, processes and Millennium for invoicing

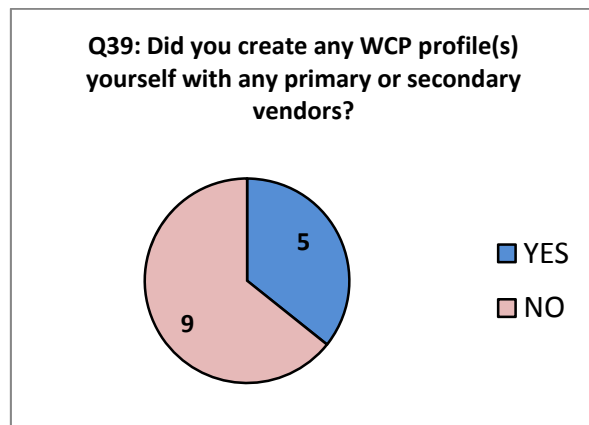
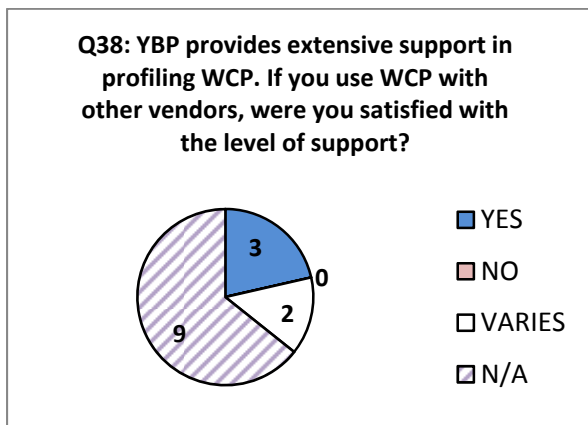


WorldCat Cataloging Partners (WCP)

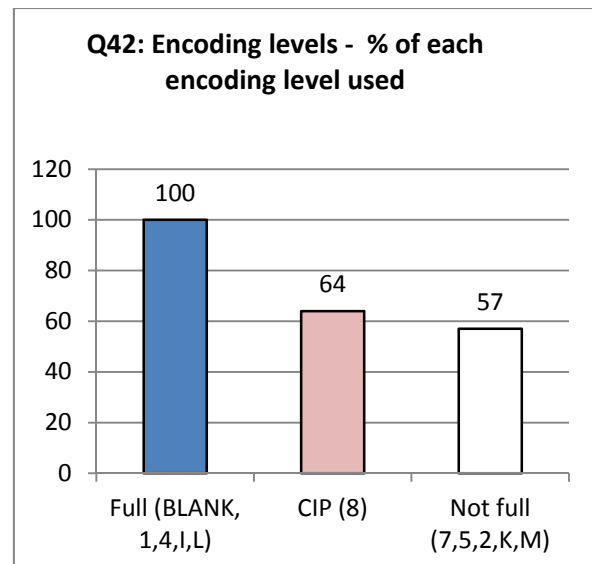
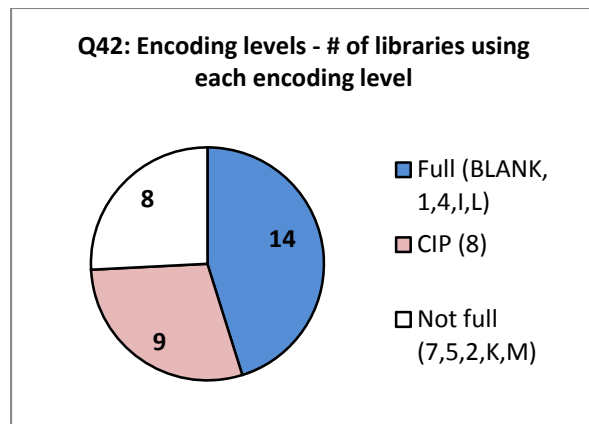
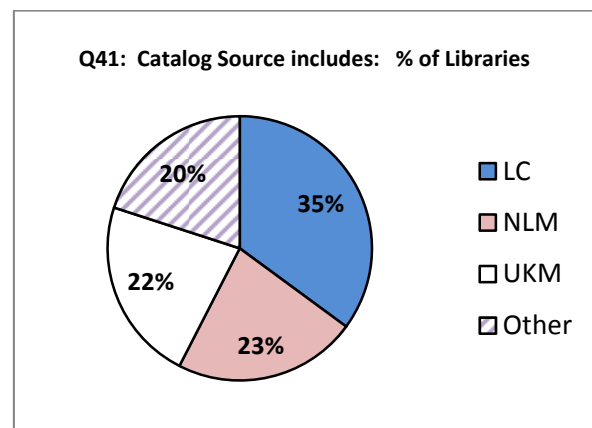
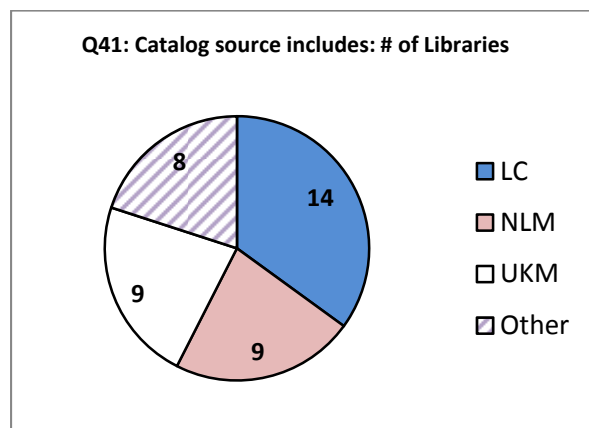
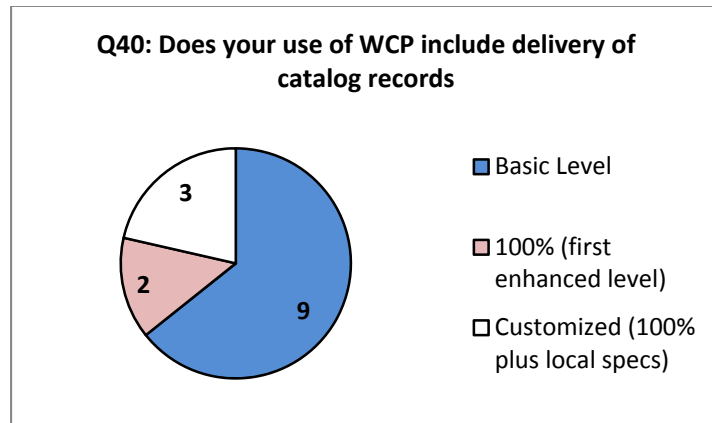
WCP participation



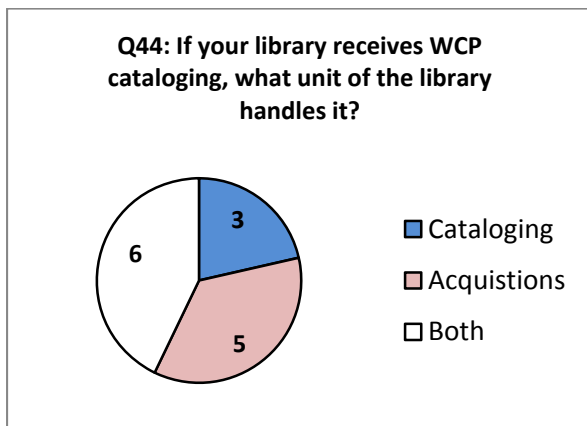
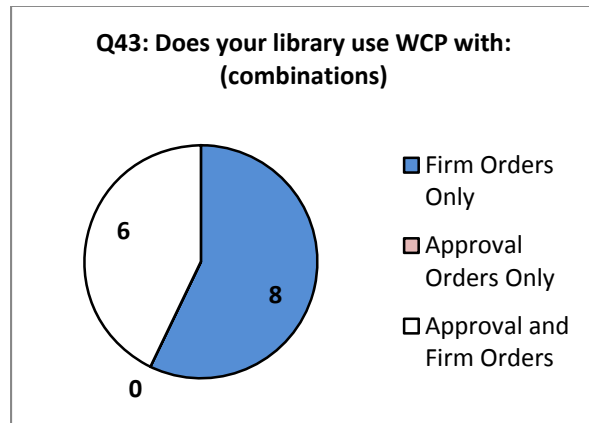
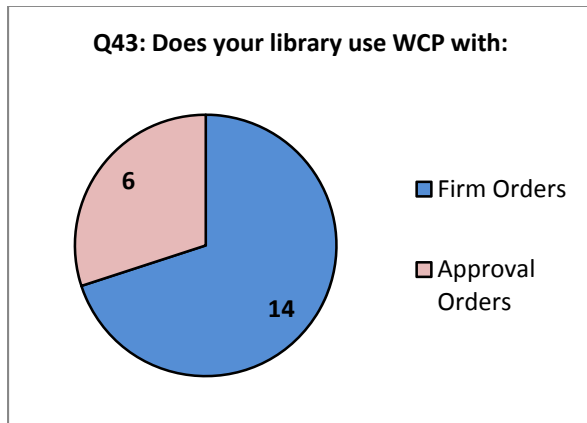
WCP profiling process



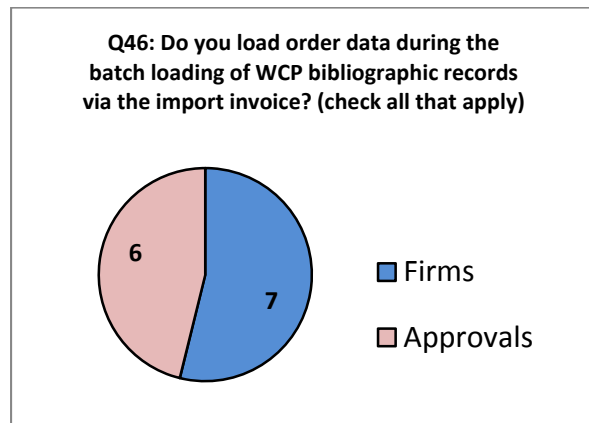
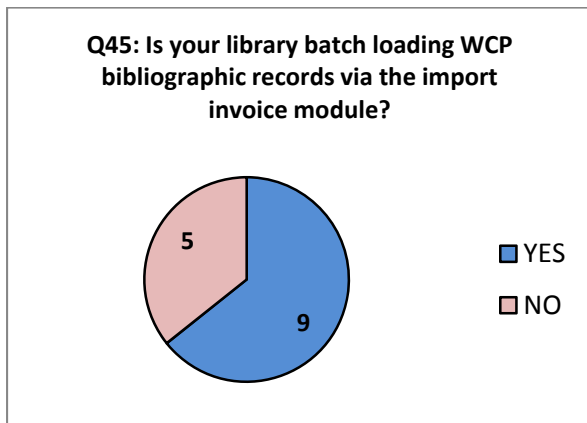
WCP profile parameters: cataloging levels and sources



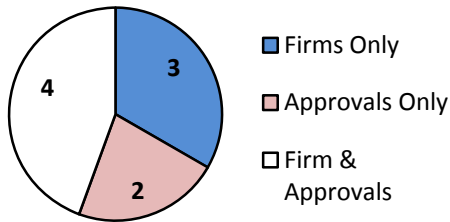
WCP workflow in library



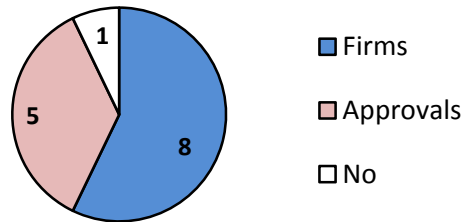
Automation products, processes and Millennium for working with WCP



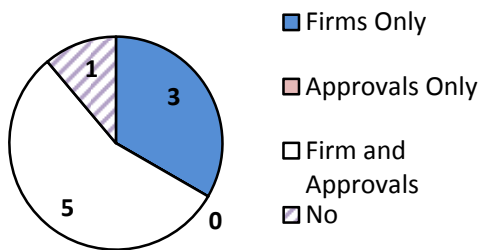
Q46: Do you load order data during the batch loading of WCP bibliographic records via the import invoice? Combinations



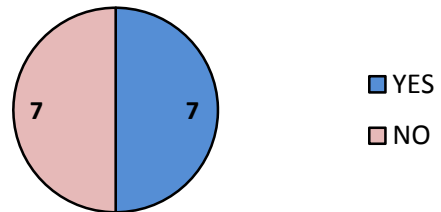
Q47: Do you load item data during the batch loading of WCP bibliographic records via the import invoice? (check all that apply)



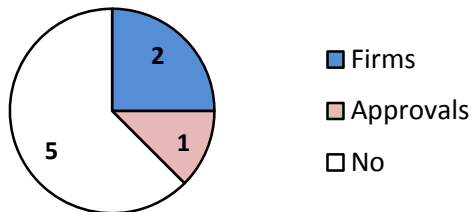
Q47: Do you load item data during the batch loading of WCP bibliographic records via the import invoice? Combinations



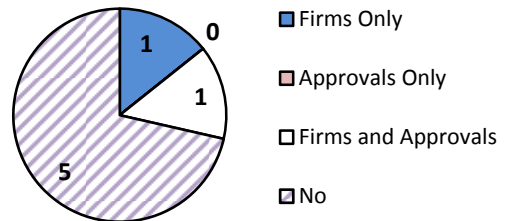
Q48: Is your library batch loading WCP bibliographic records via Data exchange?



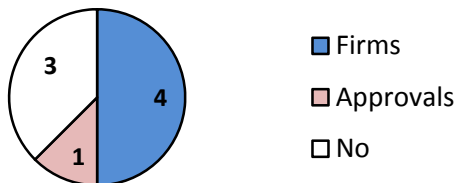
Q49: Do you load order data during the batch loading of WCP bibliographic records via Data exchange?



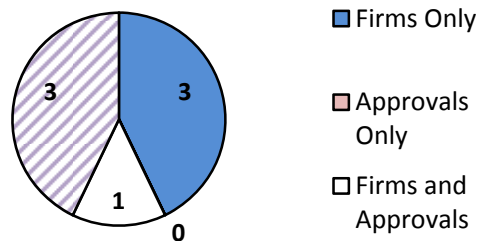
Q49: Do you load order data during the batch loading of WCP bibliographic records via Data exchange? Combinations



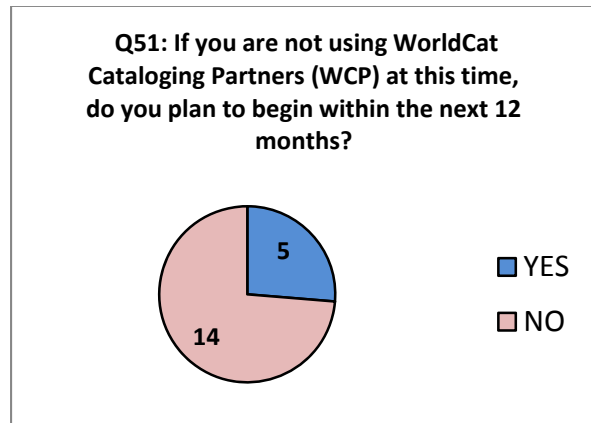
Q50: Do you load item data during the batch loading of WCP bibliographic records via Data exchange? (check all that apply)



Q50: Do you load item data during the batch loading of WCP bibliographic records via Data exchange? Combinations

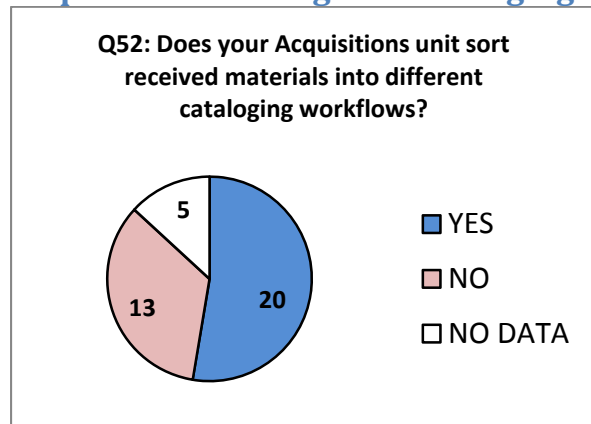


Non-participants with WCP



Cataloging – General Cataloging Workflows

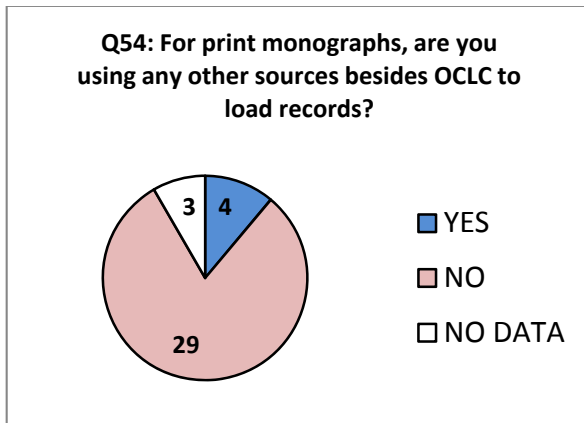
Acquisitions sorting into cataloging workflows



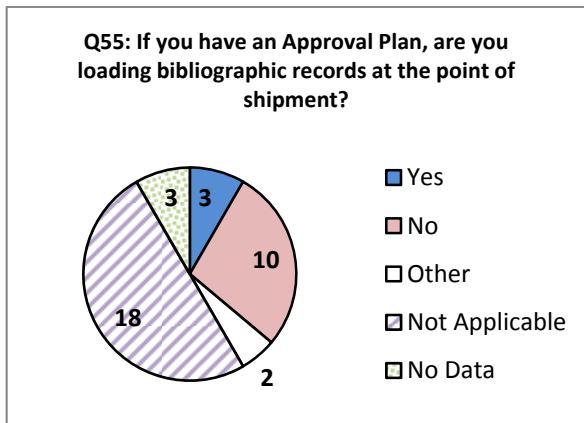
Q53: Please estimate the percentage of original cataloging done for one time purchases (firm orders) of print monographs in English Language.

Institution	% of original cataloging
Central Oregon Community College	No Data
Central Washington University	4%
Chemeketa Community College	less than 1%
Clark College	0.50%
Concordia	1%
Eastern WA University	less than 4%
EOU	less than 10%
George Fox University	1%
Lane Community College	4%
Lewis & Clark	5%
Linfield College	less than 3%
Marylhurst University	1%
Mt. Hood Community College	No Data
Oregon Health & Science University	5%
Oregon Institute of Technology	5, when ordering. This is an estimate.
Oregon State University	1
Pacific University Libraries	About 2 to 5 percent
Portland Community College	3
Portland State University Library	2.50%
Reed College Library	1%
Saint Martin's University	less than 5 titles per year
Seattle Pacific University	1-2%
Seattle University	5
Southern Oregon Community College	No Data
The Evergreen State College Library	5%
Univ. of Washington	1
University of Oregon	1.50%
University of Portland	3 percent
University of Puget Sound	1%
Walla Walla University Library	5%
Warner Pacific College Library	2%
Washington State University	1% for the narrowly defined subset
Western Oregon University	5%
Western Washington University	less than 10%
Whitman	1
Willamette University	1%

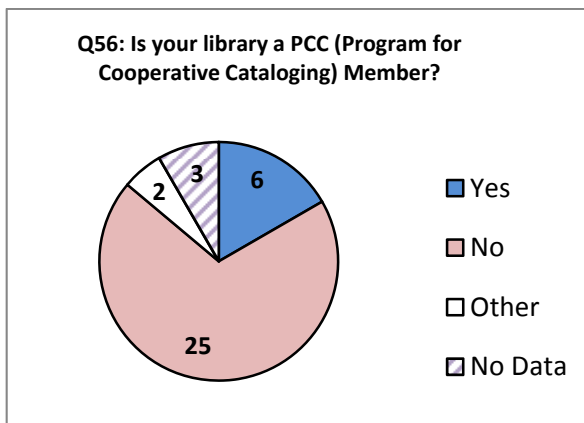
Sources of cataloging



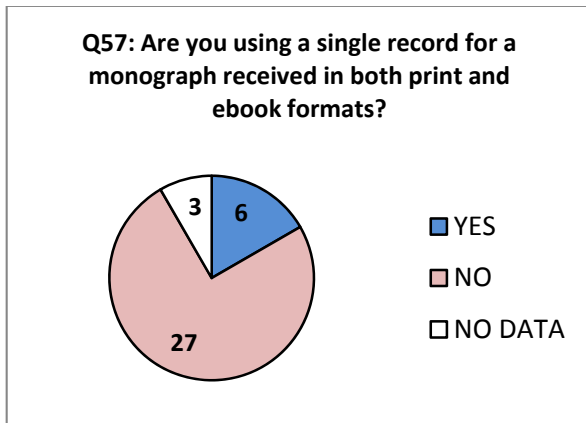
Cataloging approval books



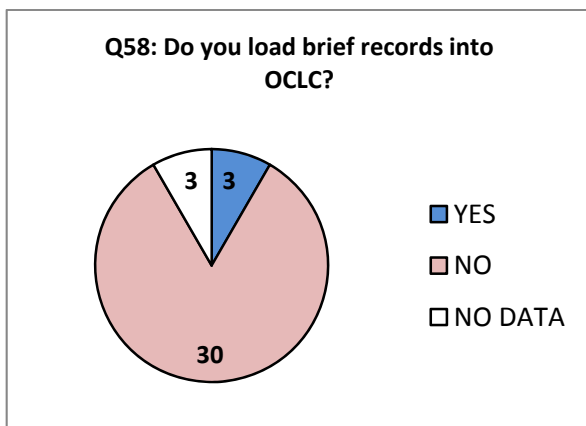
Participation in PCC (Program for Cooperative Cataloging)



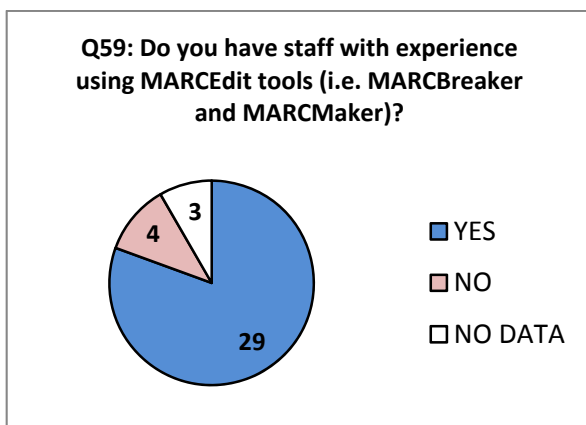
Single record for print and electronic resources



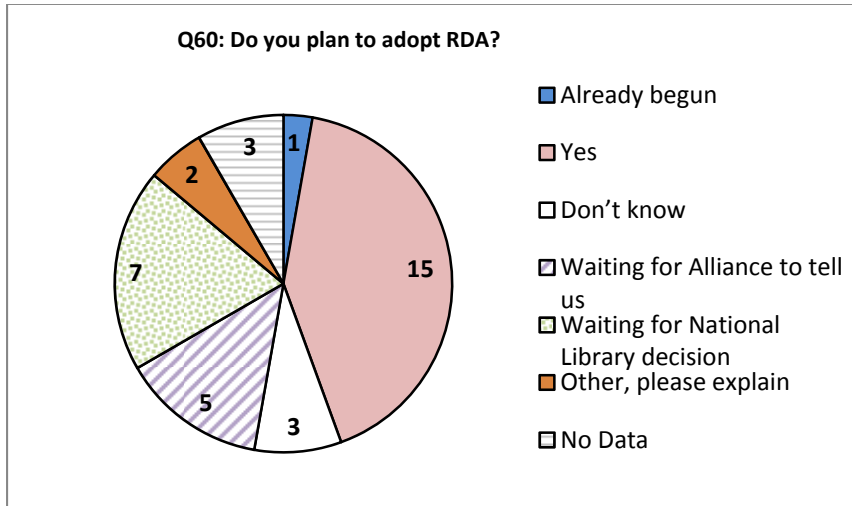
Brief records and OCLC



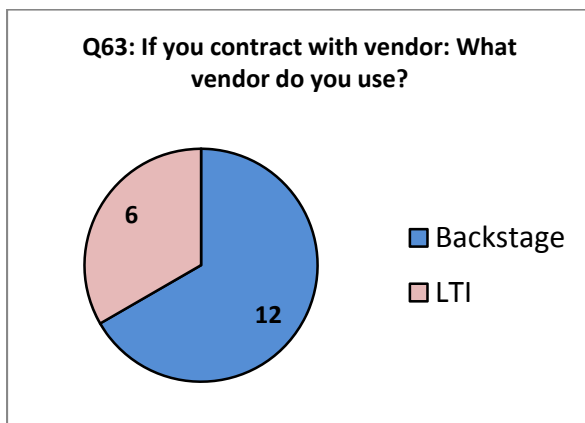
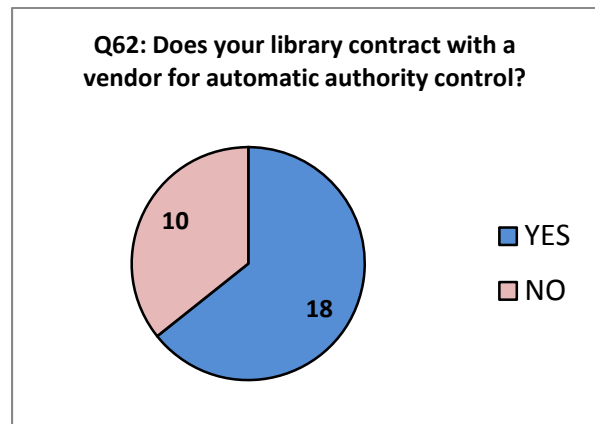
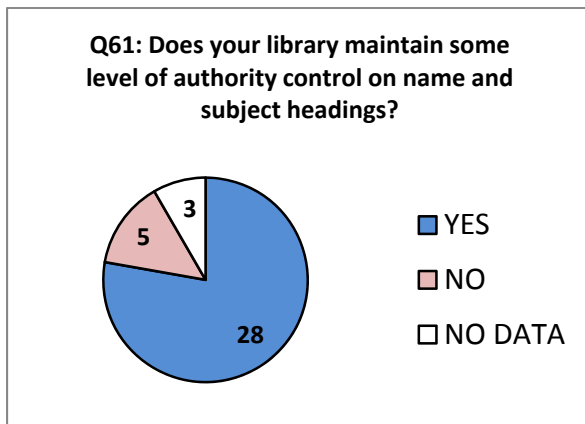
MARCEdit experience



Adoption of RDA cataloging rules



Authority control practices



Q64: Frequency for notifications:

Q65: Frequency for sending records:

Institution	Q64: At what frequency do you receive notification for new/changed/deleted authority records?	Q65: At what frequency do you send your records to vendor for processing?
Eastern WA University	quarterly	quarterly
EOU	n/a	Quarterly
George Fox University	quarterly	annually
Lewis & Clark	2 weeks	3 times a year
Marylhurst University	Not Applicable; we do not do this.	Once per year
Oregon Health & Science University	n/a	Quarterly
Pacific University Libraries	Twice per year	Twice per year
Portland State University Library	We used to receive these twice per year. For the last couple of years we have only been getting those that come through with our twice-yearly Backstage Current Cataloging Service.	Twice per year.
Reed College Library	semi-annually	quarterly
Saint Martin's University	quarterly	quarterly
Seattle Pacific University	Annually	Every 1-2 months
Seattle University	quarterly	annual
The Evergreen State College Library	weekly	weekly
Univ. of Washington	monthly	monthly
University of Portland	Quarterly	Quarterly
Washington State University	quarterly	quarterly
Western Washington University	Quarterly (based on previously distributed authority records); Weekly (based on weekly processing of bib records)	Weekly
Willamette University	Quarterly	Quarterly

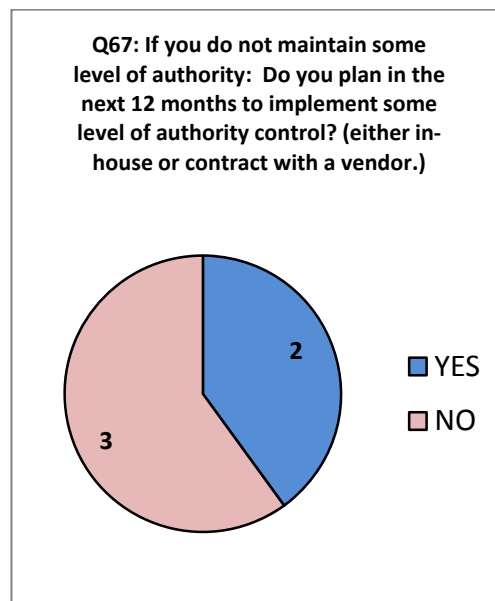
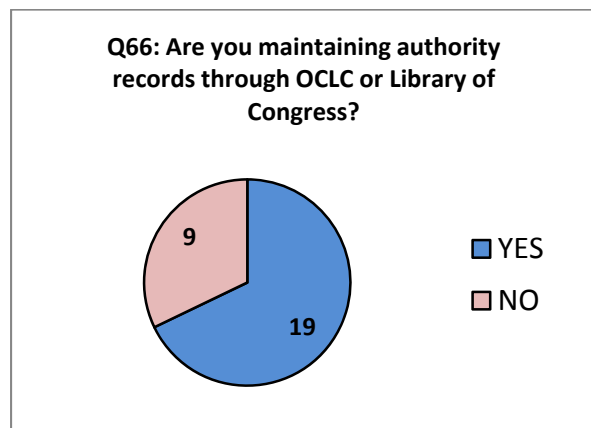
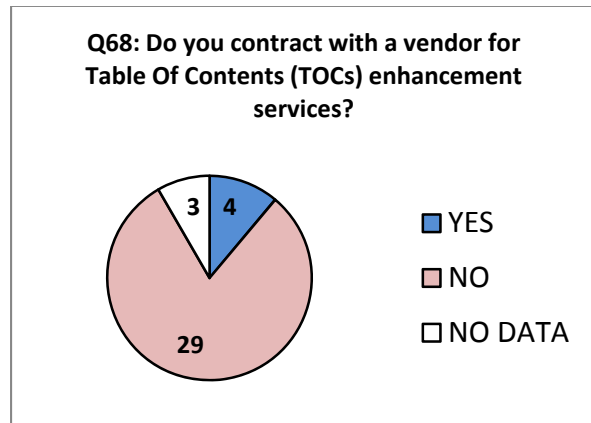
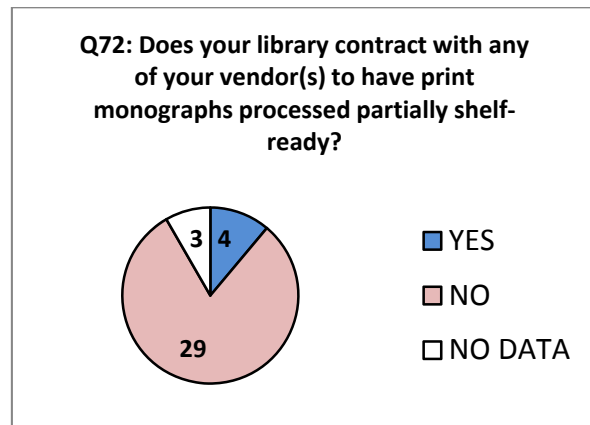
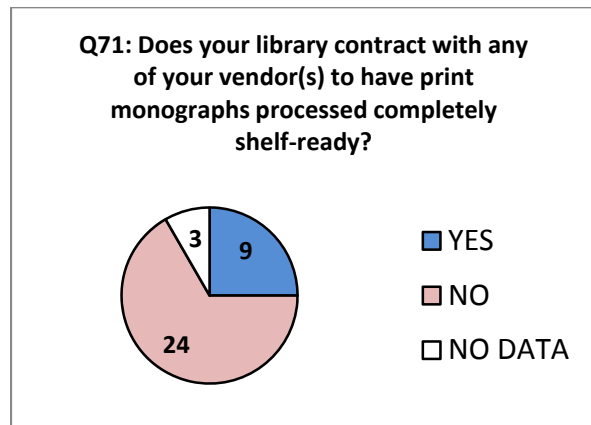


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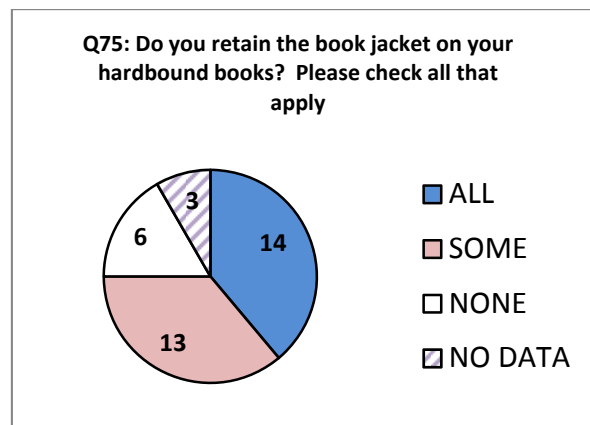
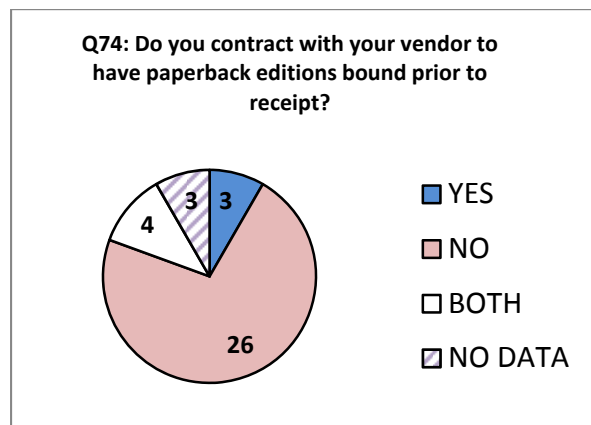


End Processing

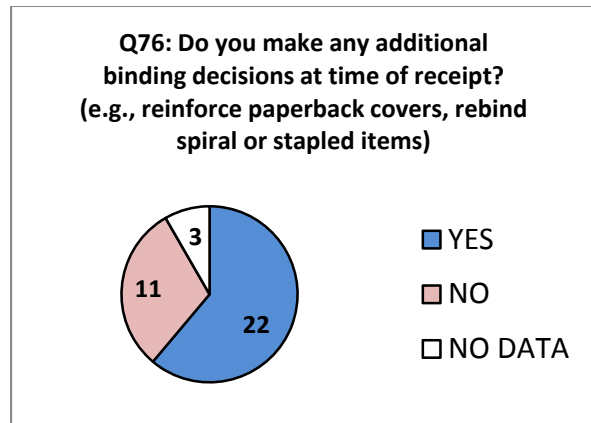
Shelf-ready processing



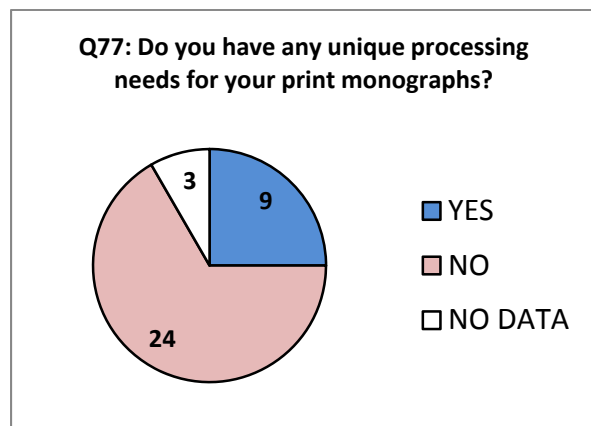
Paperback binding and book jackets



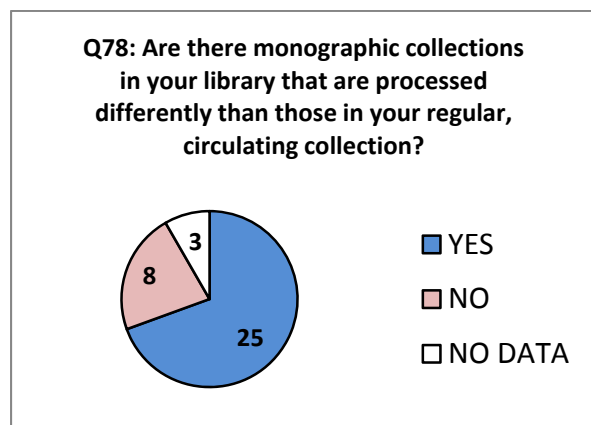
Binding decisions at receipt of material



Unique processing needs by school

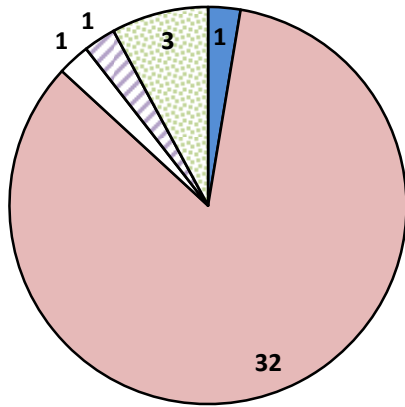


Different processing by collection



Security devices

Q79: What type of security devices does your library use on items (check all that apply):



- None
- Magnetic Strips
- None & Magnetic Strips
- RFID & Magnetic Strips
- No Data