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# Not Your Mother's PDA: The Transition From PDA Pilot to Full Acquisitions Integration

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## **Not Your Mother's PDA: The Transition From PDA Pilot to Full Acquisitions Integration**

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### **Abstract**

Western Libraries and Ingram Content Group worked together to establish a Patron Driven Acquisition (PDA) program that has been incorporated into the regular acquisitions workflow at Western. Some features of the program include: all titles selected for addition to the PDA collection are filtered through the approval profiles established by the librarians, the library's holdings are uploaded to Ingram weekly so that duplicate titles are avoided, invoices for purchased PDA titles are sent weekly and holdings for un-purchased and purchased PDA records are updated weekly. A Patron Driven Acquisitions Working Group established the program at Western by meeting with collections librarians to assist with profile adjustments and ease concerns of how this method of acquisition would impact the collection. The Working Group is monitoring the program and gathering data to assess the impact of PDA. In addition to collecting information about titles loaded and titles purchased, an online survey to assess user response to e-books is continuing. Western and Ingram have continued to work together closely to ensure the program is successful and to make profile adjustments as necessary.

### **Introduction**

Patron Driven Acquisition (PDA) is a familiar concept and many institutions are using PDA as part of their collection development practices. Western Libraries' PDA program is unique for several reasons:

- Western is using an e-book PDA-preferred collection development process for every subject area supported by our libraries,
- Western Libraries and Ingram Content Group collaborated to transform existing approval plan profiles to act as PDA-preferred profiles for all electronic books,
- Ingram loads Western holdings weekly to avoid duplication of PDA content,
- PDA Records are loaded into the catalogue weekly, and
- Invoices are received and paid weekly – rather than by deposit account.

These features of the program have allowed Western Libraries to fold PDA into our regular acquisition workflow.

The PDA process at Western is unmediated and a purchase is triggered when the content of a book is accessed two times. Viewing indices, table of contents and front matter does not count as an access. This is an e-preferred and PDA-preferred program limited to publishers supported by Ingram's e-book platform, MyiLibrary (MIL). For all subjects supported by Western Libraries collections, a book that matches a profile and is available electronically will automatically get uploaded into the catalogue and become a book available through PDA. If the electronic is not immediately available the book will be held for a maximum of 90 days to allow time for the electronic version to be released. If the electronic version becomes available within the 90 day holding period, the title will be included in the PDA collection.

This paper discusses how the Patron Driven Acquisitions Working Group at Western Libraries explored several PDA options and, ultimately, how Western Libraries worked with Ingram to develop an ongoing PDA program. Ingram provides insights on what this process meant for them with respect to adjusting all the profiles to reflect PDA-preferred. In addition to describing the logistics of the PDA program, this paper also reflects on the methods of managing a change in collection philosophy and practice among subject librarians and reviews the data collected so far to assess the success of the program.

### **Literature Review**

Collection development models based primarily on user-driven selections have gone by a variety of names. Selection activities that are unmediated by a librarian have been referred to as patron-driven acquisition (PDA), purchase-on-demand (POD), Inter-Library Loan purchase on demand (ILL-POD), just-in-time acquisitions, books-on-demand, suggest-a-purchase, patron-initiated collection development and demand-driven acquisition (DDA). This model of collection development has been used variously to describe what Rick Anderson refers to as "...any system whereby documents are acquired by the library in response to patrons' direct requests or selections, rather than in response to librarians' speculations about which specific documents patrons are going to need" (Anderson, 2011).

Supplementing the more traditional librarian-initiated acquisitions with patron-driven collections development is well documented. Numerous studies of circulation statistics have demonstrated that user needs may not always be met by the more traditional methods of librarian-initiated, or just-in-case, acquisition (Ochola 2003; Blake and Schleper 2005; Mortimer 2006). In particular, one work often cited in support of the user-driven or just-in-time acquisition models has shown that for traditional methods of collection development 20% of acquired titles get 80% of the use (Trueswell, 1969). Analysis of circulation statistics for ILL-POD acquisitions revealed that there were higher subsequent circulations for ILL-POD titles when compared to titles that were acquired through more traditional methods (Perdue and Van Fleet 1999). Similarly, an influential analysis by subject librarians at Perdue University demonstrated that ILL-POD was better able to meet user needs, particularly the support of interdisciplinary research, by acquiring scholarly titles that fall outside of the boundaries of traditional subject-based collections (Anderson et al., 2002).

There is a general consensus on the positive value of moving to patron-driven just-in-time models of collection development. These models are regarded as a more effective means of building collections as they are more responsive to the expanding breadth of user needs, collecting titles often missed in more routine collection development activities (Ruppel 2006). Patron driven collections will simply be used more frequently and thus, in times of tighter budgets and fiscal constraint, allow for a better return on investment and an improvement in overall cost effectiveness (Anderson et al., 2002; Ward 2003; van Dyk, 2011). There are some caveats, however. One essayist, for example, argues that, notwithstanding the information delivery efficiencies of PDA, there are some potential long-term consequences.

Specifically, the author claims that by relying on PDA programs with a focus on students' immediate desires the result may be a failure to meet long-term educational needs of the institution (Walters 2012).

There have been numerous trials and studies of collection-building initiatives in academic libraries that allow patron requests to play a more dominant role in collection development (see, for example, Levine-Clark 2010; Sharp and Thompson 2010; Nabe et al 2011; Hodges et al 2012). The various studies demonstrate differences in vendor selection, triggering mechanisms (number of uses) for purchases, selection criteria for inclusion in the collection, format of titles (print or electronic or both), pricing limitations on titles available for selection and models for funding the programs. For example, The University of Iowa libraries initiated an e-book only PDA plan with ebrary and YBP (Fisher et al., 2012).

Like Iowa, the University of Denver embarked on a demand driven acquisition model, this time with ebrary and EBL (Levine-Clark 2012). In both trials a similar process was developed, with MARC records for the titles, selected on the basis of a librarian-initiated approval profile, loaded for selection by patrons, thus providing an opportunity for patrons who do not normally have a say to participate in the purchasing of books.

### **Timeline for PDA at Western**

Western University has been experimenting with e-book acquisitions since the initial pilot with Ebook Library (EBL) in 2006 (see Figure 1). In 2008 regular acquisition of ebooks was expanded to include PDA for some subject areas. Based on recommendations made as a result of this pilot, a second pilot with Western's primary book vendor, Ingram, was launched in 2010. Data was collected after a year of trialling PDA with Ingram and analysis of the results prompted a recommendation to the Library Executive Committee to commit funds from the monograph budget to PDA purchases and make the PDA process a regular part of monograph acquisitions across Western Libraries. Library Executive Committee support of this recommendation led to incorporation of PDA into the regular acquisitions workflow beginning in May 2012 with \$100,000 committed to the program for the 2012-13 fiscal year.

In fall of 2010 Western Libraries also participated in a consortial PDA trial with the Ontario Council of University Libraries (OCUL) (Davis, 2012).

**Figure 1:** Timeline for PDA at Western Libraries

<b>2006</b>	Libraries begin purchasing e-books through EBL (e-book Library)
<b>2008</b>	EBL pilot is expanded to include PDA
<b>2009</b>	Recommendations accepted to explore PDA with our primary monograph vendor, Ingram
<b>2010</b>	PDA trial starts with Ingram and selected subject areas
<b>2011</b>	Recommendations accepted for continuing with PDA as a regular method of e-book acquisition. Library Executive Committee approves setting aside a portion of the monograph budget to support the PDA program
<b>April 2012</b>	Ingram Collections Consultants meet with collections librarians to review and refine profiles in preparation for the switch to PDA-preferred
<b>May 2012</b>	Ingram switches all approval profiles to PDA-preferred
<b>2012</b>	Ongoing collection of data, including user survey responses, to track the progress of the PDA program.

### **Implementing the PDA Program at Western Libraries**

Implementing an e-preferred and PDA-preferred collection development strategy required a shift in Western's traditional collection management strategies and a philosophical shift in how the library viewed its collecting responsibilities. PDA has the patron replacing the librarian as expert selector and, as with any change that impacts a basic principle of the traditional work, it was important to have open communication and opportunities for discussion to ensure the process of incorporating a new acquisitions model would proceed smoothly.

### Communicating and Managing the Philosophical Change in Collection Building

Participation in the pilot projects prior to May 2012 was voluntary and only some subject librarians opted to participate. By May 2012, some subject librarians already had e-preferred profiles in place while others only infrequently purchased e-books. After May 2012 all subject profiles were switched to PDA-preferred and this was a big change for subject areas that were not already running an e-preferred profile. For all librarians, the PDA-preferred mechanism was new and required some profile modifications.

To ensure collections librarians understood what this shift in the profiles meant for their collecting activities, several opportunities were provided for question and answer sessions throughout the winter of 2012. In addition, information was posted on the libraries' intranet page and a wiki was created as a venue for sharing information about PDA. In April 2012 Western's Collections Consultant from Ingram came to Western to provide further opportunity to have questions answered and to meet with each of the subject librarians individually to review the profiles and make changes as necessary to ensure the

Running Head: Not Your Mother's PDA

PDA titles identified fell within the scope of our collections. From the beginning, the PDA Working Group addressed collections librarians' questions and concerns as they arose. Throughout the move to a PDA acquisitions program the goal was transparency and open communication.

Ensuring collections librarians understood that they continue to have full control over their subject profiles and that they can track the progress of the PDA program through the Ingram collection management system, Oasis, was key to ensuring collectors felt they still had control over the development of their collection. They continue to monitor and tweak the subject profiles as required. Future workshops for librarians are planned to build skills in pulling reports from Oasis that allow review of titles sent and titles purchased for PDA.

### Managing the Logistics of the PDA Program Implementation

Books are eligible for entry into the library catalogue only if they match a profile maintained by a subject librarian. Using Oasis, subject librarians can view titles that are on-hold for a possible electronic copy, review titles sent for PDA, and review titles purchased through PDA.

Western requested weekly record loads and in response Ingram sends two MARC record files each week. The first file includes new electronic book titles that match the profiles. These records are modified to include a note in the 039 MARC field to tag them as part of the PDA un-purchased collection and the titles are linked to the e-book on MyiLibrary (MIL) through the MARC 856 field. The second file includes PDA titles that have been purchased in the past week. Since all the MIL owned e-books are linked via the check-in record, the file of purchased records is modified to include a note in the check-in link indicating the book was purchased as part of the PDA program.

Invoices for the purchased PDA titles are also sent weekly, two or three days after the MARC records are received. An order is attached to each purchased title indicating the cost of the e-book. The default version of the purchased e-book is single-user access and the access level is increased by request to Ingram on an as-needed basis. To date there have only been a limited number of instances where increased access level has been necessary, but it is possible that this will become a more frequent request as the print collection decreases in size and instructors assign course readings from e-books.

### Challenges For Western Libraries

One of the challenges faced by Western Libraries was ensuring that the e-books identified by the profiles fell within the scope of our collection. Some librarians had very open slip profiles which would generate a large number of title alerts weekly. The librarians reviewed these lists of titles and used them to monitor publishing trends. Since any e-book that matched the slip profile was sent for PDA, some of these profiles had to be tightened to ensure appropriate material was sent. Librarians who still wanted to monitor the publications in a particular area were shown how to run reports in Oasis rather than using the profile to review titles.

Another challenge was the concern that centralizing the payment of PDA e-books would disadvantage those areas where fewer PDA e-books are purchased. Purchasing patterns will be closely monitored to

ensure that future budget allocations for PDA are a fair reflection of the amount spent in each subject area.

### **Implementing the PDA-preferred program at Ingram (Vendor's Perspective)**

#### Modified profile methodology

In order to support the local needs at Western University, Ingram was tasked with integrating a comprehensive e-book PDA model with the existing Approval profiles. The existing print profiles were organized by subject area and included sets of subject (Library of Congress and National Library of Medicine) and non-subject parameters. These parameters were determined by the individual subject librarians and ongoing profile maintenance was regularly conducted by their Collections Consultant at Ingram.

The Approval profiles were uniquely configured to become "PDA-preferred", allowing their existing parameters to collect all PDA output. This was accomplished by building a "twin" for each existing subject profile: one profile would generate print Approval matches, and the twin would generate PDA e-book matches. In order to prevent duplication between the twin profiles, the PDA-preferred e-book profile included a set of approximately 95 publishers identified as consistently releasing their e-content in a timely manner and these publishers were then excluded from the regular print Approval profile.

Print titles from non-PDA-preferred publishers still match the regular print profiles as usual. E-book titles that match the PDA-preferred profiles are automatically sent to become part of the PDA. However, because publishing trends have shown that the print version of a title most often precedes the release of the e-book, print titles from the PDA-preferred publishers are allowed to match the PDA-preferred profiles. These print titles are sent to an *On Hold for Alternate Editions* shelf in each selector's Oasis account. These print titles wait for up to 90 days for the release of the e-book, at which time the e-book is sent to become part of the PDA. If no e-book is available after 90 days, the print title is sent. Each subject selector also has the ability to accept or reject the print version on their *On Hold for Alternate Editions* shelf during that 90 day period.

Individual subject selectors can continually partner with their Collections Consultant at Ingram to revise and adjust their profile parameters, price limits, etc., thus altering the scope of titles that are included in the PDA collection. This mediation produces a more targeted and thoughtful pool of PDA records, which is quite different from many PDAs in which little or no librarian intervention is involved when generating output.

#### Vendor challenges

As is to be expected with any new and unfamiliar collection development method, Ingram faced challenges in implementing Western University's PDA-preferred profiles. Fortunately, none of these challenges proved to be insurmountable. Because Ingram's e-book platform, MyiLibrary, includes over one thousand publishers, adding them to each PDA-preferred profile was not a viable option. To develop a more realistic and targeted list of publishers, their Collections Consultant ran data analysis on each subject profile to determine which e-book publishers regularly matched against the profiles'



configurations over the previous 12-month period. These publishers then became the 95 that were included on each PDA-preferred profile. In the future, as more academic publishers begin to offer e-books in Western University's subject areas, these can also be added to the profiles.

Another challenge was confronted when determining how long print titles should wait on the selectors' *On Hold for Alternate Editions* shelves in the Oasis database. If the on hold period is too short, the PDA collection may miss valuable e-book titles, as the print titles would be sent before the later release of the e-book. If the on hold period is too long, the library may miss out on receiving important titles in a timely fashion, as they may be waiting on the on hold shelf for several months with no e-book release. Western's Collections Consultant conducted analysis on major e-book publishers, and determined that 90 days was the most practical on hold period; this allows for a sensible length of time in which the e-book may be released, without causing the print title to become obsolete if no e-book becomes available. The 90 period can be adjusted on a profile by profile basis based on information gathered as the PDA program moves forward.

The technical requirements of information sharing within the Oasis database also presented a challenge. Each subject selector wanted the ability to view the titles that were sent to the PDA through their individual subject profiles. Each selector is able to log in with their existing credentials, and can view lists of titles that have matched their PDA-preferred profiles each week. Oasis also displays when a PDA e-book has been purchased, so each subject selector can keep track of purchased and un-purchased titles within their collection areas. When selectors access Oasis with their credentials, they can easily identify titles that are part of the PDA.

## Results to date

### Overview of the PDA Collection

Between May and October 2012, 4226 records have been added to our existing PDA collection based on profile matches for all subject areas. The 283 titles that were purchased between May and October include both titles loaded prior to the system wide move to PDA-preferred in May 2012 and titles loaded after May (see Table 1).

**Table 1:** Overview of PDA

May - October 2012	
Records loaded	4226
Total purchased	283
Total spent	\$29,197.49
Average cost per book	\$103

A summary of how the PDA collection breaks down by subject area is provided in Table 2. This table only shows the PDA titles purchased out of the PDA collection that was loaded after May 2012. Therefore, the total number of purchased titles in Table 2 is much lower than in Table 1, where purchased titles are counted for the full PDA collection.

**Table 2:** Breakdown of PDA by subject area (based on subject funds used by Western)

<b>Profile</b>	<b>Total PDA loaded May to mid-October 2012</b>	<b># of PDA title purchased May to mid-October 2012</b>	<b>% purchased</b>
Clinical Medicine	67	11	16%
Law	189	20	11%
Library & Info Sci	16	1	6%
Basic Medical Science	209	12	6%
Psychology	242	12	5%
Kinesiology	31	1	3%
Biology	72	2	3%
Women Studies	202	5	2%
Education	125	3	2%
Generalia	42	1	2%
Physics	47	1	2%
Media & Journalism	55	1	2%
Political Science	277	5	2%
Sociology	172	3	2%
Classics	61	1	2%
Economics	257	4	2%
Anthropology	72	1	1%
English	226	3	1%
Business	401	5	1%
Music	87	1	1%
Engineering totals	193	2	1%
Philosophy	105	1	1%
Allied Health	4	0	0%
Art	45	0	0%
Chemistry	8	0	0%
Comp Sci	54	0	0%
Critical Theory	1	0	0%
Earth Science	6	0	0%
Film Studies	87	0	0%
French	13	0	0%
Geography	107	0	0%
Health Science	21	0	0%
Linguistics	36	0	0%
Math & Stats	19	0	0%
Modern Language	2	0	0%
Nursing	6	0	0%

Running Head: Not Your Mother's PDA

The biggest percentage uptake of PDA titles is in Clinical Medicine, which aligns with our previous trial experience and is not surprising given that many medical students and faculty access library resources from off-campus and are, therefore, naturally inclined to gravitate towards the electronic material.

What was unexpected was the fact that Law represented the second highest percentage of PDA purchased material. Further investigation revealed that the Law librarian was purchasing titles that were already included in the PDA collection and provided a clear indication for the PDA Working Group that the flow of books into the collection did not always align with existing collecting practices in the libraries. To make the program fully functional, this is an area that will require further collaboration with the librarians to establish workflows that make allowance for PDA.

The rest of the subject areas fell in the range of 0-6% purchase of the PDA titles loaded for that subject area, which seems to be a fairly low level of purchasing. The Working Group recognizes that these results do not represent the months which traditionally have the heaviest access to the collection and data continues to be collected in order to review the level of purchasing during a full academic year.

### Use of PDA Collection

Use of the PDA collection, including use of titles purchased since the beginning of the trial in June 2010 up to and including titles purchased in October 2012 (n=1223), is summarized below:

- Average number of uses = 6.4
- Titles not used after purchase (174) = 14%
- Title used at least once after purchase (1049) = 86%
- Title used more than twice after purchase (709) = 58%

A post-purchase usage rate of 86% suggests that the titles selected by our users continue to have relevance.

### Perceptions of E-books

#### *Librarians*

In addition to the quantitative analysis described above, qualitative analysis has also been undertaken. Prior to the start of the PDA program, subject librarians were asked to complete a short survey. The survey consisted of 3 questions which attempted to gauge their perceptions of their user group's level of acceptance for e-books, their own preferred format when purchasing and general comments on the advantages and disadvantages of the PDA program.

Fourteen librarians responded with the majority (71%) perceiving the use of e-books by their user group as low or moderate. When asked which format they preferred for themselves, the results indicated a pretty even split between a preference for print (4) and electronic (3) while the majority (6) indicated that their preference depends on the title.

The final question in the survey was open ended and allowed the librarians to articulate their views on the potential advantages and disadvantages of the PDA program. The most commonly cited advantage

of PDA (9 responses) was the ability to allow our users to select titles for the collection that they actually use. In addition, monitoring what is purchased through PDA was seen as a way to gain information about new needs and new research areas undertaken by faculty and researchers at Western. This indirect user feedback helps to better inform profile adjustment and purchase decisions that fall outside the scope of the PDA program. The most common concern about the PDA program (5 responses) was reduction in the quality of our collections by putting control of what is purchased into the hands of the user. Three librarians also expressed concern that the PDA program assumes a one-size-fits-all approach to collecting which does not take into account the different levels of acceptance and use of electronic books among the users.

### *Users*

A user survey is linked to the un-purchased PDA titles loaded into the catalogue. The survey gathers demographic data about user status (faculty, graduate student, undergraduate, other) and faculty affiliation. The survey provides the user with an opportunity to indicate their format preference (electronic, print or depends), and allows them to leave comments. The data reported below reflects the period April –September 2012. Tables 3 and 4 show how the format preference breaks down by status and faculty respectively. The most common answer indicates that the format preference, based on several comments, likely depends on how the user plans to use the book. This is consistent across all user types and faculties and reflects what librarians perceived about their users.

**Table 3: Format Preference by Status** (n= number of participants)

Status	% prefer electronic	% prefer print	% depends
Undergraduate (n=94)	33%	26%	34%
Graduate Student (n= 213)	24%	37%	31%
Faculty Member (n=108)	20%	32%	42%

**Table 4: Format Preference by Faculty affiliation** (n= number of participants)

Faculty affiliation	% prefer electronic	% prefer print	% depends
Law (n=5)	60%	0%	20%
Engineering (n=22)	55%	14%	27%
Business (n=22)	45%	14%	32%
Medicine and Dentistry (n=31)	45%	19%	35%
Science (n=24)	42%	29%	25%
Education (n=24)	38%	25%	38%
Health Sciences (n=32)	34%	22%	34%
Social Science (n=113)	19%	42%	32%
Information and Media Studies (n=51)	18%	29%	49%
Arts & Humanities (n=104)	13%	42%	36%
Music (n=8)	13%	25%	50%

Running Head: Not Your Mother's PDA

Seventy six of the respondents provided comments and these ranged from enthusiastic endorsements of electronic:

*“. . . electronic books are incredibly useful in terms of their ability to allow more than one patron to make use of the material at the same time.”*

to clear frustration with the format:

*“Electronic books are a real pain to read! It's impossible to "flip through" the book, and clicking from one electronic page to another takes about twice as long as turning pages in a real book.”*

Many comments acknowledge that the format preference hinges on the intended use of the material:

*“Print is preferable for in-depth reading, while electronic books are acceptable for quick browsing”*

There were also several comments confirming the desire to read e-books on personal devices:

*“I think integration with e-reading technologies available on iPad and Kindle (and others) would make e-book reading infinitely better.”*

The Working Group recognizes that the user survey data reflects a time period when many undergraduates are not attending classes. In order to ensure sufficient opportunity for undergraduate responses the survey will continue to run until the end of the 2012-13 academic year.

### Future Assessment

PDA assessment will continue for the full 2012-13 fiscal year. The main objective of on-going assessment is to investigate the effectiveness and value of this acquisition method for collection development. The use of purchased PDA titles will be monitored and compared with the print counterpart, when available, and with other electronic books in the same subject area. Another important element that will provide insight to the length of time un-purchased titles should remain in the collection is analysis of the time between when a PDA title is added to the library catalogue and the time the title is purchased.

The Working Group continues to share information with librarians about the PDA process and assessment results especially as busier times in the academic year approach. Another librarian survey will gather additional information about librarians' perspectives with the intent of determining whether perspectives have changed as the PDA program moves from implementation into maintenance mode.

### **Conclusions**

After completing several PDA pilot programs, Western Libraries had a solid understanding of what was required to incorporate this type of acquisition process into the regular acquisitions workflow. The paper describes the process of implementing the PDA program, taking into account both the technical aspects and the need to allow librarians to understand and adjust to this change in collection development philosophy. The process would not have progressed successfully without 1) system-level

Running Head: Not Your Mother's PDA

support from the Library Executive Committee; 2) buy-in from the subject librarians; and 3) support and flexibility from Ingram to help us tailor the process to our local needs. Initial assessment results indicate that PDA acquisitions will not exceed the budget for this program and post-acquisition use of the PDA titles is high enough to suggest our users are selecting titles that are of subsequent interest. Western Libraries' assessment of PDA is ongoing, and collaboration with Ingram is continuing in order to ensure success of the program.

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Running Head: Not Your Mother's PDA

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