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Against the Grain

Volume 22 | Issue 4 Article 24

September 2010

Biz of Acq-Workflow in Paradise: eBooks, Acquisitions and Cataloging

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Recommended Citation
Mays, Antje (2010) "Biz of Acq-Workflow in Paradise: eBooks, Acquisitions and Cataloging," *Against the Grain*: Vol. 22: Iss. 4, Article 24.
DOI: https://doi.org/10.7771/2380-176X.5612

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Biz of Acq — Workflows in Paradise: eBooks, Acquisitions, and Cataloging

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As the volume of eBooks increases in library collections, so increases the need for smart workflow decisions. Meaningful workflow considers the end goal before setting out to design the process: Good strategy harmonizes the ultimate client-oriented goals, the actual choosing of eBooks in the beginning, and the most efficient library-internal processes in between. The best outcomes of library work are always connecting the end-users with the information they need. How this is accomplished depends in part on the type of eBook: a collection on a subscription basis, perpetual license (individual titles or a collection), e-readers, or any combination of these. Meaningful workflow also discerns between building on existing mechanisms and knowing when to establish new methods to reflect the realities of eBook delivery. Although much of the purchasing and organizing of eBook collections is shared by Acquisitions and Cataloging, the technological underpinnings have farther-reaching implications: not only do Acquisitions and Cataloging share the work; Library Systems, eBook suppliers, and ILS vendors also factor into eBook workflows — changes can be broad-based and reach beyond the library. This article does two things: first, it offers elements to consider and workflow suggestions for eBooks delivered in various ways. Second, it offers the specific example of how **Winthrop's** library approached a pilot project of purchasing several e-readers, loading (i.e., buying) some books on each device, making this content known through the library catalog, how the workflows accomplished the end product, and possible considerations for future approaches in planning for routine eBook purchases.

In the Beginning…

Bringing eBooks into the library collection will inevitably raise philosophical questions — both for overall workflow and for the individual units involved with bringing eBooks to the end-users. Chances are that at least some mechanical changes to acquisitions-cataloging workflows will result. For example, is the library's absolute goal to make every item owned by the library accessible through the library catalog? Or is the library prepared to simply refer users to eBook readers housed in the building and to external links to eBook collections unconnected to the library catalog? At **Winthrop**, the philosophy has always been in favor of making every item (regardless of format and location) owned by the library accessible in the library's catalog. At **Winthrop**, our underlying rationale is this: if users cannot find it in the catalog, what is the point of having it in the first place? If your library shares this philosophy, it will influence how you design your eBook workflows.

Start of More eBooks or a Pilot Project for Now?

Another trigger of workflow design is whether the eBook purchase is a one-time pilot project or the beginning of continuous acquisition of eBooks. This — and expenditure reporting requirements — will drive decisions as to how acquisitions should account for the titles: the detail level of fund accounting and accounting for eBooks as a material type: A new materials category to group all payments for eBooks? Should distinctions be made between non-reference and reference eBooks in terms of materials categories in which fund codes will be grouped? Is it better to issue lump sum payment for an eBook collection, or a fund-code-based payment attached to each eBook title? An order record attached to each bibliographic record loaded from the vendor at point of purchase? Or are they imported later in the Cataloging area? Such questions will affect acquisitions procedures as well as the point at which Cataloging gets involved with the eBook records.

Workflow: Who is Involved, and How?

Who and what is involved in getting eBooks to the end-users? Typically Acquisitions and Cataloging do most of the ongoing work, but Systems and the vendors of the eBooks and the library's ILS may also be involved in the beginning. Workflow parties include library Acquisitions as purchaser (obviously), or perhaps (in special situations) the library's Administration spending a dedicated one-time gift on e-readers and eBooks to load on them. Web-accessed eBooks (and eBook collections) are typically purchased by Acquisitions. Vendors may supply the records for download into the library system, which may trigger Acquisitions, Cataloging, or Systems working with the book vendor and the ILS vendor to ensure that the data fields are mapped correctly between the eBook supplier's transferred files and the library's cataloging records. Sometimes set-up work is required to establish data field mapping between the vendor-supplied records and library system (this process is reminiscent of working with vendor records for hard copy books or setting up electronic invoicing). Depending on the library's system, load tables, and other system-related aspects, the work may reach beyond Acquisitions and Cataloging: the library's Systems librarian may work with the eBook vendor and the library's ILS tech support to establish the correct field mapping and loading properties to ensure the eBooks' accessibility in the library's online catalog or portal. Third-party automation suppliers may be involved as well, in the form of providing records to load in the library's catalog for the individual encyclopedias in subscription-based online reference book databases. Cataloging may customize the records for a variety of end-user-geared reasons. For example, in the case of e-reader collections, Cataloging will likely customize the records to ensure that the correct titles are linked to the correct e-readers so that users can locate them through the library's online catalog and/or federated search engine.

Types of eBook Frameworks and their Workflow Implications

Subscription databases with reference titles: Reference title inclusion in journal databases and dedicated reference book databases are two common forms. **Gale's** journal database exemplifies the journal database inclusion: the "electronic twins" of any print encyclopedia owned by the library is provided with the database through the **Gale Virtual Reference Library** component. **Credo Reference** exemplifies a reference book collection devoted to scholarly online encyclopedias. A simple process for such databases is to treat them like serial subscriptions, in terms of payment and individual title mining procedures through the ERM. In libraries with separate acquisitions areas for serials and monographs, Serials areas pay for the subscriptions and work with ERMs to load (and update) records for individual encyclopedias into the library catalog.

One-time purchase of eBook collections with perpetual ownership: This type of collection is either mounted locally, or the one-time purchase fee buys the library permanent access to the eBooks in the collection. This type of collection entails working with the eBook vendor, ILS vendor, and library systems at the point of deciding where to load these titles on the local network, ensuring IP validation for on-site access, and routing access to them through the library's proxy server for patron authentication. Monograph Acquisitions, if separate in a given library, or Acquisitions (where Serials and Monographs are not separate areas), purchases the collection and obtains technical information about availability of individual titles' records from the eBook seller. It is helpful to strategize with Cataloging for the most meaningful ways to process the individual titles' records in light of the specific ways the eBook suppliers or third-party record sources provide them.

Non-reference eBook collections on subscription basis: Although the collections themselves are chosen on a one-time basis, the titles are

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continually refreshed (new books, updated editions, etc). This type of eBook collection is preferable over the static one-time purchase when the library supports areas relying heavily on the latest information, such as science-based research & development, a business library, or a distance education program committed to bringing its students convenient off-site access to the latest information. The library-internal workflows are very similar to setting up and managing the static eBook collection. At this point, the philosophical considerations come into play again: If patron access to each title through the library catalog is a top priority for the library, then simply buying the collection and providing an external URL will not suffice, and the library will need to devise a routine for ongoing update of titles in the collection. Acquisitions and the book vendors are the logical partners in addressing the mechanics at the point of choosing the collection: 1) What records does the eBook supplier provide for the individual titles? 2) How will the library be notified of changes to the collection (withdrawn titles, updated editions, added new titles)? 3) What automated updates interfacing with the library's ILS does the vendor provide? The ERM should also be examined for ability to mine and update the individual eBook titles. Cataloging and Systems are logical library-internal partners for Acquisitions to marry cataloging record structures and the library system's behaviors to ensure that the ultimate form of patron access to those records reflects the library's service philosophy.

Textbook rentals: If the library becomes a university's steward of electronic textbook rentals, considerations are similar to workflows for subscriptions to eBook collections. One likely major difference: more offices beyond the library may be involved. Possible workflows may be as varied as libraries, university structures, and libraries' relationships with the rest of the campus. Important elements will be licensing, business model, system interfaces, and fund accounting: who will lead the licensing deals — the campus book store, the library, or campus administrative office? What will be the funding source, and who will pay? Acquisitions may receive a special textbook fund to add to its pre-existing format-categories materials budget and pay for textbook rentals through the library's acquisitions system. Conversely, the work may be divided across campus: a central university office or the campus book store may pay, with the library as a technical partner in organizing the online textbooks. University administration may reason that the library already has all the technology infrastructure and expertise in place to oversee the electronic textbook collections: Libraries tend to have the most operationally mature and integrated elements of technology, information expertise and management, and business processes. Thus, a higher-level university office may indeed delegate the technical management details to the library. Such scenarios raise the importance of thinking through cross-campus workflows for licensing, oversight, and ground-level tasks. Once the e-textbook stewardship is in the hands of the library, setting up the technical interfaces and managing the e-textbooks' accessibility can follow procedures similar to managing eBook subscription databases.

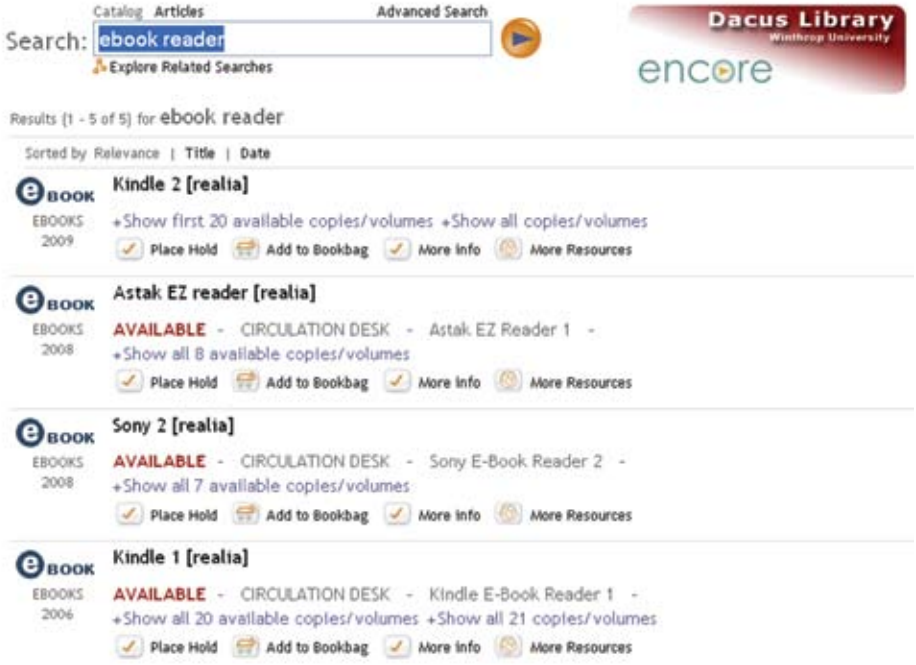
Practical example: How Winthrop bought e-readers and made the Loaded Titles Accessible in the Online Catalog

In early fall 2009 **Winthrop** received a dedicated gift to purchase e-readers and loaded them with small book collections as a pilot project. Due to the one-time nature of this pilot project, the purchase was made by the administration. Titles were purchased for the devices from the gift fund, and the eBooks along with their e-readers forwarded to Cataloging.

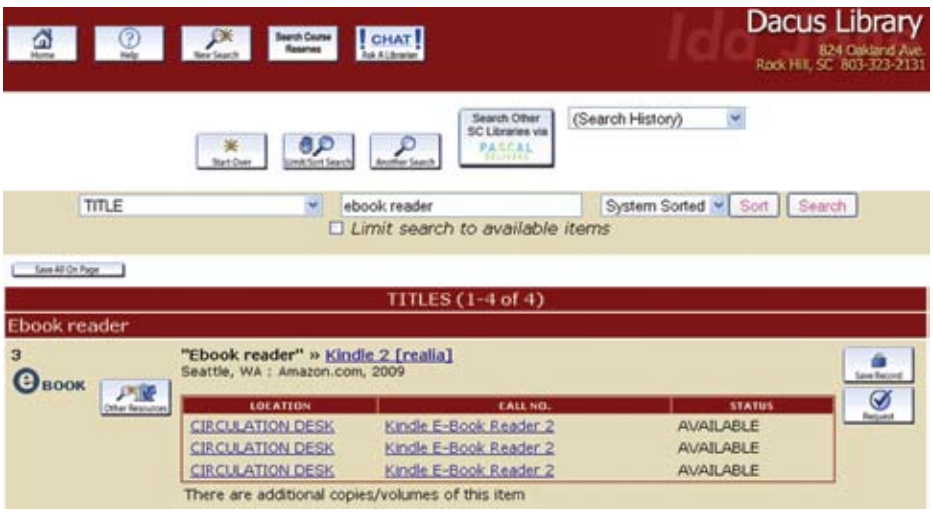
Cataloging approached this pilot project with the patron-oriented end goal in mind. Philosophical considerations are helpful in establishing outcomes priorities. In our library's case, making each title known through the online catalog was the top priority.

- Each e-reader was cataloged separately. This enables Circulation to easily check out each device.
- Each reader was given a common data element for easy catalog searching for all e-readers: "Ebook reader" was added for each device (MARC-246):

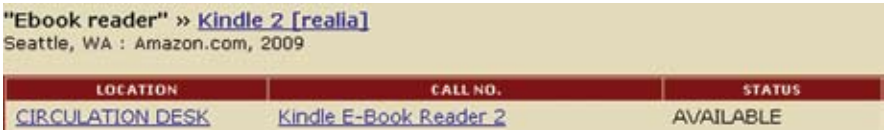
  o u 246 2 3 Ebook reader
- What the patron sees when searching for "ebook reader" (to catch all of these devices) in the Encore interface:



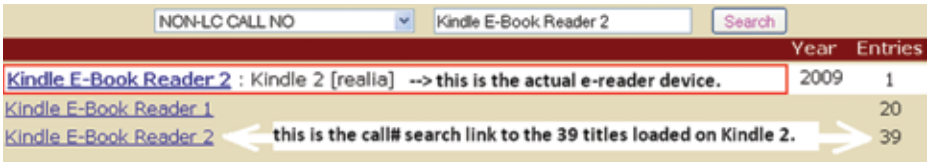
- Patron view of Title search in the Classic (**Innovative Millennium**) catalog (title search latches on the "ebook reader" title in the 246 field):



- To simplify inventory, for multiple specimens of the same device, Cataloging assigned name/numbering (e.g., Kindle 1, Kindle 2). These "names" for the devices show in the title (MARC-245) fields.
- For example, Kindle 2 shows as:
- TITLE Kindle 2 [realia] (title field 245)
- CALL # Kindle E-Book Reader 2 (099 field for call#)
- This call number is shared with all the individual titles loaded on this Kindle 2.
- Because 39 titles are loaded on this Kindle 2, there are 39 item records attached to this e-reader's bibliographic record.
- How the library user sees this in the online catalog:

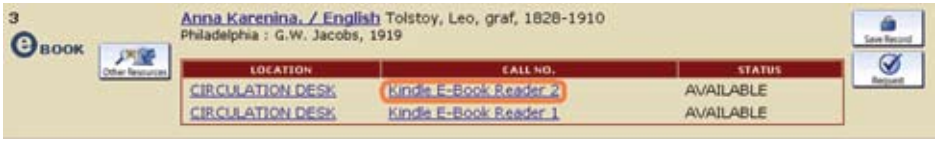


- All e-readers are kept at the Circulation Desk. In this case, the call number for the Kindle 2 is "Kindle E-Book Reader 2".
- Following the call number link only works in the classic catalog, as the Encore interface does not index the call number field. Each title on each reader was cataloged separately and given the same call number as the device on which it resides. This allows for cross-linking from the device to the titles loaded on it. Clicking on "Kindle E-Book Reader 2" in the classic catalog's call number field, the patron will see this:



- Because each title was given the same call number as the device on which it was loaded, the indexed call-number field leads library patrons to knowing which titles are loaded on which device. This will help them decide which e-reader is for them.
- Example: To see the 39 titles loaded in the Kindle 2, click on the "Kindle E-Book Reader 2" link showing 39 entries. This invokes the catalog's call-number search for "Kindle E-Book Reader 2" and leads patrons to the list of titles loaded on this Kindle 2:

- Example: *Anna Karenina* loaded on Kindle 2:



- For the same title with multiple readers (purchased separately for each reader), Cataloging loaded one bibliographic record and treated it the same as multiple hard copies of the same title. Two item records were attached to the one bibliographic record: one item record per reader. The overall location was spelled out using the call number field (MARC tag 099), and the overall location for this title is the Circulation Desk. For each "copy" the title loaded on each separate e-reader, each "copy" has a separate item record stating the corresponding e-reader.
- Bibliographic record: y 099 Kindle|aE-Book|aReader
  - Item record 1: c 099 Kindle|aE-Book|aReader|a1
  - Item record 2: c 099 Kindle|aE-Book|aReader|a2
  - This is how *Anna Karenina* is linked to the Kindle 2, and in the end the patron knows that *Anna Karenina* is loaded on this e-reader.

From Pilot Project to Future Routine

Immediate workflow observations: There is a silo between catalog records for the devices and the individual records for each loaded title. This prompted our catalogers to link the e-readers with the loaded titles by call number — the common data element invoked by the search engine encountered by the end-user. A natural silo also exists between buying the devices and titles to be loaded. Lack of communication between purchasers and catalogers can lead to complete breakdown in knowledge of what titles need to be in the library catalog, let alone accurate linking to the correct e-readers. This is especially true if the library decides to wirelessly buy titles from the device itself: Acquisitions will need to know the title and-dollar cost, assign a fund code reflecting the subject area, and share that information with Cataloging so that Cataloging knows which titles to link to which device. A procedure should be established early on to avoid losing track or having to go back and connect all these data points retroactively.

Acquisitions considerations: Especially in the academic library world, acquisitions fund accounting tracks material formats and subject codes — in part due to external reporting requirements; in part for internal analyses of the most meaningful ways to allocate finite budgets. There are many advantages for creating an eBook fund category in the early stages of collecting eBooks, in order to populate those fund-data categories from the beginning. This will make expenditure analyses for accreditations, university offices, higher education commissions and similar bodies, and internal monitoring of shifts in materials-category distribution much easier than trying to shift fund accounting mid-stream.

Cataloging and system quirks may interrelate: Linking devices and the books loaded on them by call number is one way to enable the patron to ultimately find them. For long-term considerations, especially in case of large-scale shifts to eBook collections (in any of the above forms), it can be helpful to creatively brainstorm with Acquisitions, Systems, and any other library members inclined to database design and technology to look at the library's ILS from all angles. If you have multiple interfaces, what data linkages are universal across all interfaces? For example **Winthrop's Innovative Millennium** classic catalog indexes the call number field, and thus links from the device to the titles loaded on it, but **Encore**, the discovery styled interface for the online catalog does not; therefore the call number linking only works in the Classic display. I

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am offering my example of ad-hoc creative solution-seeking, to illustrate the sort of idea mongering that may serve as a pathway to workable best practices: MARC-856 fields — commonly used for URLS to online content (government documents, e-journal link, etc.) — do work in both interfaces. This field might be a viable candidate for each title loaded on a device. In a brainstorming context, someone else may see pros and cons of this approach and offer different solutions for device-to-titles linking. Open-ended idea exchange and mutual encouragement for creativity will spur great library solutions. Systems-related questions may tackle future iterations of the new interface: will it allow call-number linking in the future? Is the library system vendor amenable to indexing more fields so that more possibilities open up for data linkages from device to loaded titles? Are eBook and ERM providers expanding their data linking and what will such upgrades mean for interfacing with the library system? What limitations of the library system does Cataloging encounter, and how can these pinpointed system functionalities be enhanced? Brainstorming should be strongly encouraged, as each person brings a different perspective to the table: cataloging conventions, end-user behaviors, the library system (functionalities and quirks), vendor-ILS interfaces, field mapping, and any other aspects sure to be uncovered along the way.

Skills and (re)training: It should be noted that, depending on the library, folding eBooks into the collections and shifting to data-intensive electronic resources management may entail intensive retraining of staff members who may have spent many years processing print materials.

New workflows, new brainstorming: As libraries shift from print to a diversifying mix of physical and online formats, the promises are exciting but the implications of shifting workflows may be daunting. Who will be the first handler of the eBook records? Acquisitions at the point of purchase? Cataloging? Systems in tandem with the eBook sellers and the ILS vendor? What steps should be outsourced? What steps are better performed in-house due to customized data considerations? It may all depend on the individual purchase due to the vast range of eBook configurations. Ongoing formal and informal conversations among Acquisitions, Cataloging, Systems, and other interested parties including external constituencies will propel the library into a bright future where managing electronic resources will feel as natural as print-only once did.

Questions & Answers
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ANSWER: Under the law, the student photographer would own the copyright unless there is some agreement with the student newspaper that the newspaper itself or the university owns the copyright. If the photography editor position was a paid position (some student newspaper positions usually do have a stipend), then the photograph is a work-for-hire and the university owns the copyright. Note that some student newspapers are separate incorporated entities, and these newspapers, rather than the university, would may own the copyright.

QUESTION: Is free clip art considered to be public domain documents? What is expected of writers when they use clip art from Microsoft programs?

ANSWER: Free clip art is copyrighted just like everything else. "Free" just means that there is no charge for using it, not that it is free from copyright protection. Public domain means that there is no copyright at all, but this is not the case for clip art.

The question about **Microsoft** clip art is governed by its license agreement which anyone using the clip art should read. Companies that offer clip art under a license agreement intend that it be used within the terms of the agreement.