

## Partnering for Patron-Driven Acquisitions: What You Need to Know

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# Partnering for Patron-Driven Acquisitions: What You Need to Know

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## Abstract:

*Vendors are offering to facilitate patron-driven acquisitions. Should your approval vendor be your PDA partner? After collaborating with YBP as a beta site for demand-driven acquisitions for ebrary electronic books, we can share with you what we have learned from our first-hand experiences. Through this practical presentation we will detail why we chose to partner with a vendor, how we got started, and the decisions necessary to implement the service. We'll share the record profiles that we designed, and the workflows we developed and revised. In addition to covering the planning process, we'll cover the first six months of this project from the date of implementation. You'll hear the viewpoints of the vendor, the acquisitions professional, Technical Services Librarian, and the Collection Development Librarian. Learn the key ingredients to a successful PDA program, what an approval vendor has to offer in the way of support, and how our PDA partnership is working for us.*

Patron-Driven Acquisitions (PDA) is not new for libraries, but only recently has the University of Tennessee Libraries implemented a PDA program. Following is an overview of UT Libraries' program, from the planning and implementation process to a summary of data from the first few months of the project.

## PDA for UT Libraries: Why Now?

In Spring of 2011 the timing seemed right for UT Libraries to embrace PDA. The Libraries' strategic plan included both the goals of making collection development more user-focused and acquiring more e-resources. More e-books were being published and available on a variety of platforms. YBP and ebrary were collaborating on an integrated Demand-Driven Acquisition (YBP has branded their PDA program as a DDA program) model that could be used in conjunction with Short Term Loans (STLs). Such a program would enable a library to cost-effectively and efficiently provide patrons with access to vast amounts of information through an existing YBP workflow but only purchase e-books that are used. Little librarian mediation would be required. Another important factor was that the dollars were available in the collections budget for a substantial investment in a PDA program. Thus, the decision was made in early 2011 for UT Libraries to serve as a beta site for YBP's and ebrary's joint PDA program, and the planning began.

## PDA Set-up for UT Libraries

In planning for a patron-driven acquisitions program, there are many questions to answer and decisions to make. We worked with YBP and ebrary in completing a questionnaire, a set-up form, and a PDA account pledge. We had a site visit from YBP in February 2011 and conducted several conference calls with YBP and ebrary. Below are some examples of the questions, along with our answers, that we encountered in setting up our PDA program.

- 1. Do you want to include print books or e-books or both?**  
Include only e-books at this time. Instant patron access to the material is a priority.
- 2. Which e-book platform do you wish to use for e-books?**  
Ebrary: We may add other e-book platforms in the future.
- 3. Which YBP approval plan profile do you wish to use to determine eligible titles?**  
Use our existing YBP slip profile for ebrary e-book titles which fall in specified LC call number ranges (e.g. HB-HD, L-LT, PG-PM, QA, QC, SF600-990).
- 4. What do you want to use for the initial retrospective record load?**  
From January 1, 2009, through July 2011: Load all the records for titles that match the YBP slip profile in the specified LC ranges that are now available via ebrary and PDA. This resulted in an initial load of 5,472 records.

**5. Do you want to use Short Term Loans?**

Yes, with a STL costing 5 to 10% of a title's list price (some publishers cost more). For those publishers that don't allow STLs for their titles, one usage will result in a purchase.

**6. What constitutes a usage/STL or trigger?**

A usage or trigger occurs when a title has 10 unique page views (excluding TOC and index) OR 10 consecutive minutes of use within a title OR any copying, printing, or downloading per user session.

**7. What triggers a purchase?**

After three triggers or STLs, the fourth trigger results in a purchase of the title at list price and with Single User Purchase Option (SUPO) as the default.

**8. What kind of records do you want for your catalog?**

Brief discovery records from ebrary overlaid by full bibliographic records from YBP at time of purchase. The cost for the discovery records is included in an annual fee from ebrary. There is a small charge for each YBP record.

**9. How will the invoicing for purchases and STLs be handled?**

The PDA invoices can be separate from other YBP invoices on the same sub-account, and STLs and purchases can be on separate invoices. Electronic invoices are possible at this time only for purchases and not for STLs.

**10. What is your budget for PDA?**

\$200,000, which will be prepaid in FY11. Set up the budget as one fund to be used as a deposit account. Set \$200 as the maximum purchase price for a title.

**11. How do we get buy-in from the librarians who are selectors?**

Promote the project as a pilot/test with no requirements to participate. For those that submit LC ranges, the titles purchased will be paid for by a budget other than their FY12 collection development budgets.

**12. Should we publicize our PDA program to faculty and students?**

It is recommended that publicity regarding PDA be kept to a minimum initially so as not to skew the usage. Our Library Representatives have been informed of the program.

**13. How does PDA work with YBP's GOBI (YBP's database)?**

All PDA titles are indicated in GOBI (retro load records not included). Title previews in GOBI are not counted as a use. When selectors firm order a PDA title, the discovery record is pulled from the catalog.

**14. What kind of reports can we expect?**

Weekly reports indicating trigger, purchase, and usage data for PDA titles. Other reports are available via ebrary's website.

**15. Are there any special license requirements?**

UT's legal counsel requires that UT Libraries has methods to ensure end-users are aware of and agree to ebrary's terms and conditions of use. As a result, all PDA records in the Libraries' catalog include a link to ebrary's terms of service.

YBP and ebrary announced the launching of their integrated Demand-Driven Acquisition and Short Term Loan program at the end of March 2011. In June, PDA for UT Libraries was implemented when the Libraries received its retrospective record load and its first load of current discovery records.

**The Book Vendor and PDA**

Benefits of partnering with a book vendor such as YBP for a Patron-Driven Acquisitions program are many:

- The workflow is streamlined, from profiling to cataloging.
- A YBP profile can be used to mediate title selection for PDA.
- De-duplication occurs across print and e-books.
- The status of PDA titles can be viewed in the vendor's database.
- In exploring and setting up a PDA program with a book vendor, consider the following:
- Talk with the vendor about the library's objectives and vision for a PDA program.
- Include the departments in the library that need to be involved in the planning and set up: Cataloging/Tech Services (the catalog records), Acquisitions (invoicing), Collection Development (the profile and selectors), Systems (record loads), Electronic Resources (licensing).
- Work with the vendor to establish a timetable and schedule for implementation.

- Evaluate the PDA program on an ongoing basis. Work closely with the vendor to monitor the retrospective record load, the approval plan, and record loading. Resolve any issues that arise in a timely manner.

### **The Discovery and Bibliographic Records**

UT Libraries' PDA program utilizes two types of records: a discovery record and a full bibliographic record. The discovery records, created by ebrary and customized slightly, are the records that are initially loaded into the catalog for PDA titles. The full bibliographic records are purchased from YBP after a user triggers an e-book purchase. This record contains the local information necessary to create an order and budget encumbrance.

At first, we were perplexed about what control number to use as a match point in these records. We knew we would be getting a discovery record from ebrary (that might have an OCLC number) that we wanted to overlay with a full bibliographic record from YBP (which would not have an OCLC number). We also wanted to keep our OCLC number index clean and avoid future trouble with false matches. Eventually, we decided to use the ebrary accession number (located in the 865 \$\$u) prefixed by "ebr" in the 024 first indicator 8 as a match point. YBP agreed to supply this number in the full bibliographic record.

Some special fields were added to the discovery records. Some of these changes were identified in the planning stages of the project and others were added once we saw how the records were displayed. YBP added some of the fields and others were added via our loader. Selectors and library staff needed to be able to easily identify titles in the catalog as PDA titles. To accomplish this YBP added a 945a tag with the text "YBP: Ebrary DDA" to the records, and our Systems Department created a 945 index to allow searches for these titles.

Users and librarians also needed to know about any access restrictions via the discovery records. The records need to reflect that our PDA default is "one simultaneous user." To accomplish this, our record loader was written to include the access restriction in the 856z. In addition, UT's legal counsel required that the records include terms and conditions of

use, so the loader also adds an 856 link to ebrary's terms of service webpage.

The foundation of the full bibliographic records was developed from the existing YBP e-book cataloging profile that had been developed for the Libraries' firm ordered e-books. The PDA changes added to the discovery records were also included. In addition, YBP included the information needed to create an order (price, fund, etc.) in the 9XX fields of the bibliographic record. Another nice feature of the full bibliographic records is that the loader changes the 945a tag from "YBP: Ebrary DDA" to "YBP: Ebrary DDA purchase." This allows the non-purchased bibliographic records to be easily identified in the event we want to remove them from the catalog.

The initial retrospective record load consisted of 5,472 titles. The records were for ebrary e-books matching our YBP profile in the specified call number ranges from January 2009 – July 2011. Most of the discovery records were pretty complete with call numbers and at least one subject heading.

De-duplication of records was a priority for us in partnering with YBP on this project. YBP can de-dup for us since we firm order most single e-book titles via YBP. While de-duping has worked well for the weekly loads, it was not available for the initial retro load. This load came directly from ebrary, and we had no history with those titles. A few duplicate titles have surfaced thus far and there may be more lurking. At the same time, we have not purchased any duplicates yet and that was a concern.

Overlaying the discovery record with a full bibliographic record and simultaneously creating an order was new territory for us. The discovery records have no orders associated with them since we don't buy the e-book until a purchase is triggered. While we had plenty of experience overlaying an existing order with a full bib record and loading files of approval records that generated orders, we had never tried to overlay a record and create an order at the same time. Our Systems Department successfully configured the record loader to automatically create orders and budget encumbrances for matching bib records (the ebrary ID is the match). Holdings and items are left as is. Electronic invoices from YBP are loaded for purchased titles, but such invoicing is

not currently available for Short Term Loans. Since hand-entering the invoices for STLs is proving to be quite time consuming, it is hoped that YBP will make this service available in the near future.

### **Workflow**

The workflow for loading and overlaying the PDA records and for processing the invoices is handled by the Libraries' Cataloging and Acquisitions Units. A summary of the steps involved follows:

1. Pick up discovery records weekly from the ftp site and load them into Aleph, our integrated library system. Items and holding are created at this point.
2. Patron use triggers a purchase of an e-book.
3. E-mail notification is received that the full bibliographic record is ready for the purchased title.
4. Pick up full bibliographic record from the ftp site and load into Aleph. The full bibliographic record overlays the discovery record, and orders and encumbrances are created.
5. Load electronic invoices for purchases or manually add invoices into Aleph for Short Term Loans.
6. Verify invoice information.
7. Confirm accessibility of e-book.

### **Data from First Months of Implementation**

- Usage data from the Libraries' PDA project for mid-June 2011 through October 2011 follows:
- Total spent = \$4,409.00
- Short Term Loan price range = \$1.50 - \$46.00
- Short Term Loan median price = \$9.00
- Most titles with usage didn't result in a charge.  
Access with no charge = 287 titles
- Only 1 title had 3 Short Term Loans.
- 9 titles had 2 Short Term Loans.
- 452 unique titles were used by patrons.

If we had purchased at list price all the titles that were used by patrons we would have paid \$34,394.00.

### PDA Purchases by Month:

June: 2 titles = \$100.00  
July: 5 titles = \$194.00  
Aug.: 7 titles = \$373.00  
Sept.: 11 titles = \$890.00  
Oct.: 10 titles = \$828.00  
PDA Purchases Total: 35 titles = \$2,385.00

### PDA Short Term Loans by Month:

June: 2 title = \$29.00  
July: 27 titles = \$214.00  
Aug.: 37 titles = \$470.00  
Sept.: 58 titles = \$795.00  
Oct.: 51 titles = \$516.00  
Total Short Term Loans: 175 titles = \$2,024.00

Subject categories from the specified LC call number ranges that have experienced the greatest use at this point in the project are business & economics, computers, education, science, mathematics, and medical.

### **What's Next?**

Future action items for UT Libraries' PDA program include:

1. Adding more LC ranges to our discovery record loads and thus increasing the number of e-content available to our users.
2. Assessing in more detail our PDA purchases and Short Term Loans.
3. Funding PDA purchases with regular firm order collection budgets once the pilot funding is spent.
4. Working with ebrary on improving their reporting structure and learning how to better utilize their website. We need to share more information about the PDA options and purchases with our selectors. The ability for selectors to go to the ebrary website and run reports themselves may help accomplish this goal.
5. Encouraging more integration between ebrary and YBP, especially regarding Short Term Loans. Electronic invoicing is needed for STLs as well as the ability to view STL activity for a PDA title via GOBI.

After the first months of our patron-driven acquisitions program, we have concluded that PDA can

indeed fit into the UT Libraries' collection development strategy as a supplement to traditional practices, but it will not replace selectors and the work they do with collection development and management. Partnering with our book vendor,

YBP Library Services, in implementing PDA has been a positive experience, and a step we would recommend to other libraries exploring options with Patron-Driven Acquisitions.