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Library Profile

The Pennsylvania State University Libraries, University Park, Pennsylvania

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The University

The Pennsylvania State University was chartered by the Pennsylvania State Legislature as the Farmers' High School in 1855 by state and county agricultural and professional leaders. The first classes began in 1859 with sixty-nine students and four teaching faculty. Three years later, it was named the Agriculture College of Pennsylvania. With broadened instructional programs, the College opened its doors to women and began offering graduate level courses. The following year (1863), as a result of the Morrill Land Grant Act of 1862 signed by President Abraham Lincoln, it became the Commonwealth's land grant college. In 1874, it was named the Pennsylvania State College. Nearly eighty years later, in 1953, it was renamed The Pennsylvania State University, reflecting its growing national leadership in higher education. The University is comprised of twenty-two sites across the state serving more than 71,000 students and offering programs and courses in nearly 150 disciplines taught by more than 5,000 faculty members. It includes the University Park location with nearly 40,000 students, the College of Medicine in Hershey, two degree granting colleges (Penn State Erie—The Behrend College and Penn State Harrisburg—The Capital College), Penn State Great Valley which provides professional and graduate programs, Pennsylvania College of Technology, and seventeen undergraduate campuses situated across the state, which primarily grants associate degrees.

The University Park (with a post office by the same name) and the community of State College are well known for what might be the largest remaining stand of stately elms in the country. The campus is situated in pastoral central Pennsylvania at the foot of Mt. Nittany in the Appalachian Mountains. The area is commonly known as "Happy Valley" and is a recreational area for hiking, biking, and similar pursuits. Other Penn State sites are strategically located around the State to assure access, opportunity, and information services for the public and private sectors of Pennsylvania. In addition, its numerous undergraduate and graduate programs attract students from

across the country and around the world. Since Penn State is designated as one of four state-related institutions, it receives support from the Commonwealth of Pennsylvania. In addition to tuition, it also receives support from numerous research initiatives, and through gifts from its many alumni and friends. It is enriched by a diverse student body and continually fosters and encourages appreciation for our multicultural society, seeking to improve the quality of life for all of its beneficiaries including its students, faculty, staff, alumni, and communities.

The Libraries

Currently, University Libraries collections and services support students, faculty, researchers, and citizens of Pennsylvania in all major fields of study. In 1993/1994, Penn State ranked 28th nationally for volumes held (3,534,834) and 26th for serial and periodical holdings (33,072 titles) among the Association of Research Libraries. Collections at University Park (UP) libraries include a central collection in Pattee Library, which was named for one of its founders, **Fred Lewis Pattee**, and seven branch collections serving disciplines in the arts, education, humanities, and the sciences. The Libraries serve as a depository library for government documents. Archival collections include the materials of the United Steelworkers, the United Mine Workers of America, the John O'Hara papers, and the nation's collection of utopian literature and Australiana at Pattee Library. A recent addition, the Alice Marshall collection, is housed at Penn State Harrisburg and is comprised

of ephemeral materials supporting women's studies.

Penn State's library automation system is the internally developed Library Information Access System (LIAS), a dynamic, integrated information system, which provides electronic access to a variety of materials in numerous disciplines and includes the primary catalog of the collections, a number of bibliographic and full-text databases, a circulation module, and the recently developed acquisitions subsystem, implemented in August 1994. Penn State Libraries together with the University of California at Berkeley developed the NISO standard **Z39.50** which allows reciprocal access to collections for scholars around the world. Penn State, as a member of the Committee on Institutional Cooperation (CIC), known as the "Big Ten," works with its consortial partners to enhance the collections through cooperative efforts.

The Libraries' leadership includes the Dean of Libraries and three Associate Deans serving Information Access Services (acquisitions, cataloging, lending, interlibrary loan and campus services), Planning and Administrative Services, and Collections and Reference Services. There are eighty-nine faculty librarians providing a variety of services, including selection of materials by discipline, acquisitions, cataloging, access, reference, and administration support. There are more than 400 support staff, including paraprofessionals, full-time staff assistants, wage employees, and student assistants. In 1992, the Libraries adopted the principles of Continuous Quality Improvement (CQI). By employing quality techniques, the Libraries have been able to streamline numerous operations and improve its services in many areas of the Libraries using CQI teams. Three units, acquisitions, cataloging and interlibrary loan, are now organized or in the process of reorganizing to teams.

Acquisitions Services

The overall materials budget is allocated into various subject funds by Collection Development. Acquisitions Services monitors the funds and assures timely expenditure, engaging and working with book vendors

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and subscription agents as appropriate. Spending targets are set for October, November, January and March for the general budget. Other target dates are established for expenditure of other budgets, such as endowments. Careful planning of target dates with Collection Development and our vendors, allows a continuous ordering and receiving process and assures funding throughout the year. The Libraries are, therefore, positioned to fulfill requests from its constituents at any time. Requests are received by the Teams in Acquisitions in any form, from notes on a napkin to a formal order request form. As long as the requisite information is included (e.g. citation, location, funding information, selector signature, etc.), the request will be processed. Orders are placed on the LIAS Acquisitions subsystem, printed, and mailed the next working day. Imprints for the last two years are not verified unless more information is required to place the order. For the fiscal year 1995/96, the University Libraries materials budget ranges between seven and eight million dollars and is supported by tuition, government funds, research dollars, and endowments. Acquisitions Services is a central operation serving all University locations with the exception of the College of Medicine. The department acquires information in all formats based on selector requests.

In pursuit of the Libraries' endeavor to be a quality driven organization, Acquisitions engaged in a reorganization process that began in December 1992 and required several months of careful planning, resulting in self-directed work teams (SDWTs) and a significantly flatter organization. The new organization began in July 1994 and is serving as a pilot project for both the Libraries and the University. (See Stanley, N.M. and L. Branche-Brown, "Reorganizing Acquisitions at The Pennsylvania State University Libraries: From Work Units to Teams," *Library Acquisitions: Practice & Theory*, 19 (4) 1995, 417-425.) Self direction is interpreted to mean that teams are charged and empowered to develop, implement and maintain processes and to seek best practices. Individuals are expected to meet certain goals and standards determined jointly by the teams and administrators.

Currently, there are thirty-three staff members and one librarian supporting and/or serving five teams. In addition to providing team coaching and support, the head of Acquisitions Services serves as departmental liaison to the administration and Academic Council and is a reporting mechanism for the teams. Three teams serve the University Park functions. The Approval Plan Team receives materials for the libraries major domestic and several smaller foreign approval plans. It places firm orders on the local LIAS Acquisitions system from slips supplied by our major domestic ap-

proval plan vendor. The University Firm Order (UFO) team places all other firm orders for University Park's one-time orders (i.e., orders expected within 365 days). Similarly, the Serials Team places orders, receives issues, and performs claiming, invoicing, and binding support for all UP orders that are continuous in nature. All of the teams develop, implement, and manage their own processes.

The Commonwealth Acquisitions Service Team (CAST), maintains services for the order and receipt of materials in all formats for the remote campus libraries situated across the state. Most of the campus-generated orders are submitted electronically by personnel at the campuses on the new Acquisitions subsystem. CAST, a four-member team, inputs the more complex orders (i.e., non-primary-vendor monographs, continuations, and non-print formats) which cannot be handled remotely. Orders are printed centrally and mailed, received, claimed (except for serials), and invoiced by the Team. All of the teams are charged with monitoring funds and budgets and providing cross training for procedures established by the Teams. However, the Acquisitions Services Support Team's primary task is to monitor and analyze the materials budget issuing both regular and on-demand reports to Acquisitions Services, Collection Development, and the administration. The Support Team provides beta-testing, train-

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ing, and documentation for the LIAS Acquisitions module. They also provide training and documentation for the **Innovacq Serials Control** module, and locally-used commercial software programs. The team provides various kinds of services to the other teams such as facilitation and assistance in flowcharting their workflows and performing cost/benefit analyses. They maintain gift processing, review license agreements, and handle memberships and exchanges. They have recently begun to extend their services outside of Acquisitions, including facilitation of teams in Cataloging and Interlibrary Loan and process analyses for Cataloging, Access Services, and Preservation. More than ninety percent of the orders are placed through LIAS Acquisitions. As a result, Acquisitions recently abandoned its paper-based in-process file. Unfulfilled back orders and standing orders were entered into the system. The system tracks outstanding orders, receipts, and order fulfillment times by vendor. The claiming functions are readily performed by downloading information from the acquisitions system to a database management system. **Innovacq Serials Control** module is used for receiving nearly every kind of continuing

order received at University Park. It is also used for a receiving a select group of maps.

NEW INITIATIVES

Acquisitions Services

As part of its continuing efforts to upgrade the online system, a group, composed of librarians and staff from Acquisitions, Cataloging, and Collection Development, is currently exploring OCLC's **PromptCat** and a vendor's shelf-ready services for handling approval plan orders. Such a project should result in the automatic creation of both bibliographic and acquisitions records that will include receiving and invoicing information. Fully shelf-ready books will be displayed for selector review at the shelving locations. Rejected items will be redistributed to other Penn State locations or tossed. Partially shelf-ready items will be centrally reviewed and forwarded to Cataloging for record completion and updating. The goal of the project is to lower operating costs by eliminating as many "hand offs" as possible. Cost-benefit analyses are an ongoing part of the project. Longer term systems endeavors include development of a claiming module. While the current claiming mechanism works quite well, integrating claiming into the online system will further streamline processes. Other efforts include development of more sophisticated reporting functions, EDI capability, and further tracking of collection development information. Currently the Libraries are using the **Innovacq Serials Control** module for only the University Park Libraries. The plan is to extend that system to the campus libraries across the state, establishing more standardized practices, reducing staffing time required to claim and resolve duplicates, invoicing and other issues related to serials receiving. Further, the Libraries seek to interface the local and **Innovacq** systems to eliminate redundant entry of data.

Acquisitions is working to establish a site on the Libraries Home Page: <http://www.libraries.psu.edu>. The primary goal is to provide electronic access to departmental procedures in order to eliminate costly paper-based editions and revisions and to provide a readily available reference tool for Acquisitions staff. Another goal is to provide selectors and staff at Penn State with information about our operations and to share and compare the operation with similar libraries. The University and the Libraries have been very supportive of Acquisitions Services reorganization to self-directed work teams. The promises of teamwork as a flatter, less costly, and more efficient and effective organization have already begun to be realized. Acquisitions reduced its staffing from forty-three in 1992 to its current thirty-

four members. Continued success of the teams depends on initial and continuous team training and facilitation. Such training is being provided by Penn State's own Human Resources Development Center. Training issues focus on the change imperative, improving communication skills, engaging in feedback and conflict management, improving team and individual performances, problem solving, providing excellent customer services, etc. The teams have already experienced immediate and long-term improvements in working together; therefore, team training and outside facilitation are important investments. The teams are currently working to develop team-based job descriptions. The Libraries are exploring team-based pay alternatives and appropriate team-based reward and recognition mechanisms.

NEW INITIATIVES

University Libraries

The Libraries continues to seek new organizational structures in order to optimize staffing support. Employees will be expected to become more flexible and proficient across functions. In addition to self-directed teams, employees throughout the Libraries are assisting at public service desks. Other part- and full-time redeployments of faculty and staff are anticipated. A new training, education, and development position was recently created to coordinate and evaluate the various training efforts throughout the Libraries. The Libraries recently updated many of its personal computers to Pentium 90s in preparation for a move to a client-server environment and a Windows-based user interface for the LIAS system. Such an upgrade will give greater processing capabilities to the end user with processing shifting to the desktop and allowing access to more resources and data. The University Libraries are participating with the other CIC partners to establish the Virtual Electronic Library (VEL). As a first component of the VEL, CIC institutions are currently sharing selected electronic journals and databases. In the future, all patrons associated with the universities of the Big Ten will be able to search member catalogs, have access to materials, and share the various databases and electronic journals offered throughout the Consortium Libraries. The Libraries are also involved with the preservation projects of the **National Digital Library Federation**, which includes projects of the former La Guardia Eight. While the fourteen-member libraries of the Federation have no current common organizational structure, they seek to create a digital library in order to share scanned and electronically-created materials.

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