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Biz of Acq -- Function and Friction

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Questions & Answers from page 82

ANSWER: Yes, email is considered to be a writing even though there are ways to fake email. Permissions should be maintained either online or in an analog file so that they can be retrieved. More difficult is telephone permission — verbal permission is worth the paper it is printed on. If permission is obtained over the telephone, one should follow up with a memo sent to the copyright owner summarizing the permission received, and maintain a copy of this in the permissions file. Fax permissions also should be maintained in this file.

QUESTION: *If a library has a large collection of old sheet music that is deteriorating, may it digitize the collection and make it available on the Web?*

ANSWER: The term “old sheet music” does not really define whether the music is in the public domain or is still under copyright. If it is still protected, then under sec-

tion 108(c), a library is permitted to reproduce deteriorating works but only after it makes a reasonable effort to purchase another copy at a fair price. The library may make up to three copies of the work after this effort. One of these copies may be digital, and the library may make it available within the library but only on a library intranet. It cannot make the material available on the Web without permission of the copyright owner.

QUESTION: *From an institutional point of view, should universities encourage faculty to register their copyrighted works?*

ANSWER: This question assumes that the institution has some interest in the faculty member's copyrighted works. Only the copyright owner can register the copyright; if it is the institution that owns the copyright in the work, then only it can register the work. Registration of the work gives the owner the ability to file suit in federal court as well as access to certain remedies. If the faculty member owns the copyright, then why the university should care about registration is

unclear other than wanting its faculty to be able to enforce their rights.

QUESTION: *PowerPoint Viewer is a free download. A librarian wants to put the program on a CD and distribute it at no charge. Does it require permission to do so?*

ANSWER: Yes, permission is required. Only the copyright holder has the right to distribute a work whether in analog copies or by permitting downloads and regardless of whether or not there is a charge. Others may not distribute the work absent permission from the owner.

QUESTION: *Are Web links (just the urls) copyrightable?*

ANSWER: Individual links are not copyrightable. They represent a Web address which is a fact, and facts are not copyrightable. Compilations of urls would be copyrightable if the compilation is not a total universe of data and there is sufficient originality/creativity in the selection, arrangement or value adding, such as annotating the urls.

Biz of Acq — Function and Friction

by **Christa Easton** (Head, Acquisitions, Stanford University Libraries, Stanford, CA 94309; Phone: 650-723-7907; Fax: 650-723-4775) <ceaston@stanford.edu>

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Column Editor's Note: *At the Stanford University Libraries, three separate units were consolidated to form the Acquisitions Department. A managers group chose a function-based organizational model for the new department. Christa Easton, Head of Acquisitions at SUL, describes this structure and the new division of work within the merged department. — AF*

The Acquisitions Department of the **Stanford University Libraries (SUL)** was formed on January 3, 2003 of the merger of three units: Monographic Order Services, Monographic Receiving, and Serial and Digital Acquisitions. The three units had formerly been part of a single department that was divided in 1995 as part of **SUL** Technical Services Re-engineering process.¹ That department was called Serials and Acquisitions. As the head of the new department, I deliberately left the word “serials” out of the department name, with a goal of focusing on our work rather than on a given format.

The Acquisitions Department is comprised of fifty-four staff (46.75 FTE) who are responsible for ordering, receiving, and copy cataloging of monographs, ordering and receiving of serials, and acquisition of electronic resources.

The department managers soon began a strategic planning process as a means of determin-

ing the direction of the new department. Our strategic priorities were:

1. Implement the best methods to create efficient and effective operations, including:
 - Clear responsibilities
 - Effective methods to resolve problems
 - A plan to address employee and management competencies
2. Develop methods to align group and individual performance with **SUL** organizational needs
3. Design the acquisitions organizational structure to best support our mission and vision
4. Find most effective methods to strengthen relationships with partners, create informed consumers, and create respect for our expertise

In August, 2003 we considered several organizational models to determine which would best meet our strategic priorities as well as the following organizational imperatives:

1. Provide comprehensive support for purchase of and access to commercial electronic products.

2. Maintain a backlog-free environment despite cuts in staffing.

3. Prepare for Acquisitions' role in the **Stanford Digital Repository** and other electronic archiving work, such as **LOCKSS**.²

Based on these criteria, the managers group selected from several potential organizational models. The model that best met our strategic priorities and organizational needs is one that focuses on function and reduces emphasis on format. We selected this organization in part because of its transparency to those outside and to foster cross training and deployment of staff. We identified three core functions: ordering, receiving, and fiscal activities. Staff and tasks were arrayed in the following units:

Ordering

The Ordering unit will place all orders regardless of format and claim new orders. The staff will also be responsible for all cancellations and for renewal verifications, as necessary.

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Receiving

The Receiving unit is responsible for all receipts of library materials and for the department's mission of providing access, whether through copy cataloging or maintaining profiles of our electronic products for public interfaces. The unit will consist of four parts:

Monograph Receiving

The Monograph Receiving unit was not changed by this reorganization. It receives all paid monographs in Roman and Slavic scripts and performs copy cataloging of these and other materials.

Serials Receiving

Serials Receiving is responsible for receipt and claiming of all print serials, including government documents. Some staff that formerly worked with serial bibliographic records was shifted to the Access Coordination unit.

Electronic Products

This unit is responsible for setting up **Stanford's** access to electronic products by including them in **TDNet**, the **OPAC**, etc. It is also responsible for troubleshooting when access is cut off.

Access Coordination

This unit is responsible for cataloging and other standards within Acquisitions, as well as pre- and post-cataloging handling of serials. Staff in this unit will receive first serial issues, create serial control records, and work on projects to improve **SUL's** serials records.

Fiscal and Data Services

Fiscal and Data Services will be responsible for the expenditure and tracking of the library materials budget. The manager's tasks will include oversight of approval profiles and monitoring of vendor performance.

Payments

The Payments unit will assume new responsibility for monitoring and processing renewals for electronic products.

We selected this model in hopes that it would make the organizational structure and the roles of units and staff very clear to those outside of the department. We felt that this model offered us maximum flexibility in adapting to future changes in our work. We particularly sought more resources for the acquisition and control of electronic resources. We also sought flexible deployment of staff as workload cycles through monographs and serials throughout the year, and as print subscriptions are cancelled. The new model was put into effect November 17, 2003.

A functional (that is to say based on work function, rather than the opposite of "dysfunctional") organization has the advantage of creating pools of workers who perform similar tasks, and can lower costs as an effect.³ It also creates a cohesive group of workers with similar background and experiences. Of course, a functional approach to organization does have

potential drawbacks: more than one department is needed to complete many tasks, difficulty in developing new ways of doing business, and potential competing priorities.⁴ These are the "friction" of the title. Based on our initial experience, I've identified two points of friction, or at least confusion, in parsing our work. Both are format based — electronic products and government documents. While our context and decisions are specific to **SUL**, they can be applied to other acquisitions departments that consider a functional approach to division of work.

Prior to reorganization, one person did the work of acquiring and ensuring access to electronic products. This approach offered simplicity — everyone asked **James** everything. It also had a number of downsides. There was too much work for one person, especially for time-sensitive tasks such as restoring access to electronic products and responding to requests to investigate alleged breaches. Still, it was challenging to parse the work associated with electronic products.

It was quite clear that staff in Ordering should place and cancel orders. It was also clear that staff in the Payments unit of Fiscal and Data Services should be responsible for paying invoices for electronic resources — work they were already doing. However, it was also important to recognize the high-maintenance nature of payments — particularly renewals — for electronic resources.

Successful renewals for electronic products require careful monitoring and timing. We often need to request invoices from vendors. Once we have an invoice, or at least a price quote, we must complete a series of internal approvals. Approvals in hand, we can pay the invoice, ideally with plenty of time for the vendor to process and apply the payment. In order to guarantee that this process begins in adequate time, Payments staff has applied our existing phased payments process (developed to ensure that we make multi-year payments in a timely manner) to the flow of invoices for electronic products. As of March 2004, we have found only one title that should have been renewed for January 1, 2004, and was not. This is an improvement over previous years and leads directly to improved service to our patrons.

Without a physical piece, it was not immediately apparent what "receiving" meant for electronic resources. We defined it as the steps that make an electronic resource apparent to our patrons. These include cataloging in the **OPAC**, addition to either our A-Z e-journal list or the databases web page, and addition to the proxy server, if appropriate. We equated re-establishing lapsed access with claiming of established serial orders, and assigned it to Receiving. However, we agreed that Ordering staff should claim unfulfilled orders, as they do for new serials and monographs.

Part of acquiring electronic journals is the annual review and verification of lists of **SUL** and other **Stanford** subscriptions from a given publisher. We initially assigned this task to the Ordering unit, likening it to pre-order searching. We are now realizing that information about subscriptions by publisher is an ongoing requirement of collection development staff, suggest-

ing an affinity with the role of the Fiscal and Data Services Unit. It is likely that we will shift responsibility for this task to that unit as part of our ongoing consideration of how to best acquire electronic resources.

Government documents were another area where our former format emphasis required adjustments in the new functional organization. In the case of electronic materials, we were challenged by the absence of a physical item to receive. With government documents we faced the lack of orders, since many of our materials are received via depository plans such as **United Nations**, **United States Federal (GPO)**, and **California State**. Prior to reorganization, three staff performed the work of acquiring government document serials and government documents received via depository. They sent orders where necessary or recorded orders for materials we were to receive automatically; received serial issues in the serials control module; and performed serial title maintenance, much of it driven by publication catalogs such as **GPO's Administrative Notes and Technical Supplement's** listings of changes and corrections.⁵

Two of the staff that processed government documents were added to the Serials Receiving unit, along with all government document serial receiving activities. The remaining staff member, along with all serial title maintenance work, was assigned to the Access Coordination group. This had immediate benefits in providing explicit back up for check in of government documents. Serials Receiving staff have been cross trained to check in government document serials when the former collection specialist is out, and an existing special formats receiver now helps to keep our receiving of Federal microfiche up to date.

For materials received via depository plans, understanding our depository profile is crucial in determining what we should receive. Understanding of the **GPO** plan is particularly crucial because we use **Marcive's Shipping List Service** and **GPO Database Service** to load bibliographic records for those materials into our **OPAC**. The former **Federal Document** specialist, who is responsible for title maintenance now, has oversight for all of our depository plans. She reports to the Access Coordination Librarian, who is responsible for all acquisitions-related bibliographic record loads. With the addition of a professional librarian with cataloging experience to this record stream, we have been able to resolve some systematic problems with branch libraries that receive Federal documents directly.

One wrinkle we encounter is that we must explicitly order some government documents. We have been able to agree with our government document selectors that if they know that order and payment are necessary they forward their request to Ordering. Otherwise, they send their requests to Access Coordination, where the maintenance specialist determines whether or not the title will be supplied via a depository plan and handles it appropriately.

Neither electronic products nor government documents fitted neatly into our new functional

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Adventures in Librarianship — Annotated Bibliography

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Acquisitions for May 2004

An Annotated Bibliography of the North Horton Historical Society. Mrs. Alma Bloom and the Founding Fathers: Fact and Fiction, by **Corrine Bloom**. Gatlin: InLocus Press, 2004. **Mrs. Bloom's** great-granddaughter does a fine job compiling both fact and legend surrounding the exploits of her famous forbear, "Restless Alma Bloom." Exactly how much influence did she have over the founding council? Did their wives know? What exactly was her relationship with **Senator Flatminster** and his cousins, **Curly** and **Leviticus**? **Corrine Bloom** is remarkably candid in her answers to these and other questions. One must assume that at the age of ninety-two, **Corrine** has decided to damn the torpedoes. You may be both shocked and annoyed. I was.

Slaughter the Injuns (sic) Before Tuesday: Collected Sermons by the Reverend Sternum Peck. Unbound manuscript, circa 1860. One is hard pressed to imagine a more brutal interpretation of man's destiny than this cleric's weekly manifestos. Collected here are such **Rev. Peck** classics as "A Wagonload of Sin," "God has a Gun, God has a Temper," and "Drunken Redemption." This collection makes clear why **Rev. Peck's** congregation, the **First Holy Ruffians**, had, by 1853 dwindled to no more than five backwoods bachelors.

Early Agriculture in Eastern Sullen Valley, by **Bebe Shade**. Gambit, 2003. For those not in the know, **Bebe** is a former treasurer of the historical society and an indefatigable hostess. This is her sixth monograph and establishes her place among local amateur historians. It will be clear to all readers, however, that historical

fact interests **Bebe** far less than making veiled accusations about her contemporaries and taking revenge against perceived slights. One would think that, given her long and unforgiving memory and her passion for interpreting the most innocent comments, historical writing would come more naturally to her. But, no.

[*Ann Pardon's Diary, 1809-1885*]. Anonymous gift. During her lifetime, **Ann Pardon** dutifully recorded the day's

weather, each of her meals, and the egg production of her chickens. A fascinating read, though we are left with more questions than answers. Did **Ann** have a husband? Was "Martha" a prized chicken or a blood relation? Would a diet so reliant on chestnuts and eggs lead to obesity? We may never know.

Unique Rock Formations of Softhound County, by **Hyman Que**. Washington, DC: USGS, 1961. A concise and thorough book at only thirty-three pages. The fact that our fair county has only two unique rock formations contributes somewhat to this brevity.

From Myron Forge to Bedly: A Good Day's Walk, by **Miss Charlotte Gnuff-Sedd**. Unbound manuscript, [1910]. Though **Miss Gnuff-Sedd** was not known for walking, or for taking exercise of any sort, on September 3rd

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of 1909 she set off from her home in Myron Forge toward Bedly, telling her father only that she longed for a bit of fresh air. She returned in early evening whereupon her father accused her of spending the day with an Italian boy whose name is lost to history. The writing of the voluminous *From Myron Forge* seems to have been an attempt to put the lie to her father's suspicion. An extraordinary work for that reason. 🐾

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organization at first glance. With thought, we were able to determine where to place staff and work by focusing on the core functions that we had identified (ordering, receiving, and fiscal activities) and applying them, with some flexibility, to the materials we handle. While these approaches may not be obvious to those outside our organization, we find that we are able to explain our logic and that this helps others grasp and remember our approach to dividing work.

Within Acquisitions, duties and responsibilities have changed, and some staff miss their old tasks or chafe under some of their new ones. For staff, these approaches to handling two of our more special formats seem to make intuitive sense. While this does not guarantee the success of our transition pro-

cess, the functional approach has helped us organize our work, rationalize some aspects of division of labor, and find new resources for the high-profile work of acquiring electronic products.

My sincere thanks to the staff and managers of SUL's Acquisitions Department, who have made great contributions to the success of our departmental reorganization and a number of work process improvements.

Christa Easton is Head of Acquisitions at the Stanford University Libraries. She was formerly Coordinator of Serial and Digital Acquisitions and Coordinator of Serials at SUL. She holds AB and MILS degrees from the University of Michigan. She received the ALCTS SS First Step Award (Wiley Professional Development Grant) in 1993 and was a 2002 Frye Fellow. 🐾

Endnotes

1. The SUL Technical Services Redesign Archive is available via the Web at <http://www.sul.stanford.edu/depts/ts/about/redesign/index.html> (22 March 2004).
2. For an overview of LOCKSS, see "Permanent Publishing: Local Control of Content Delivered via the Web" <http://lockss.stanford.edu/projectdescrib.htm> (22 March 2004).
3. Margaret R. Davis and David A. Weckler, *A Practical Guide to Organizational Design*. (Menlo Park, California: Crisp Publications, 1996), 27-28.
4. Davis and Weckler, 28-29.
5. See, for example, "Whatever Happened To...???" *Administrative Notes and Technical Supplement* 11, no.2. (2003), http://www.access.gpo.gov/su_docs/fdlp/pubs/techsup/ts022904.html#5 (22 March 2004).