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Acquisitions and Interlibrary Loan Together: Good Marriage or Will George W. Bush Object?

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ILL=Illuminating Lessons ... from page 50

made for preservation reasons. Along with preservation, the point of placing works in the repository will generally be to make them available to our patrons. Without physical transfer and the first sale doctrine, making a work available via a network (including the Internet) can be construed as distribution—one of the rights of the copyright holder. Clearly, acquisition for a digital repository will involve seeking permissions and perhaps the payment of royalties. My department spent several years in the latter half of the 1990's working as partners with our vendors to create an outsourced acquisitions-to-ac-

Digital Delivery of ... from page 49

of digital collection development, have become part of our continuing efforts. We have acquired and developed more automated scanning technologies that have dramatically increased the volume of digital surrogates we create from our print collections. But among the first projects undertaken in our high-volume scanning operation was a collection of "top-circulating" titles from our print collection in the public domain—a democratically selected collection that is being digitized for open access, just as the **dd-ILL** collection was. The principle delivery format, at least for the time being, is still the page-image-plus-hidden-text flavor of PDF. And although we have moved somewhat away from simple direct access on a Web server to more sophisticated delivery environments, even here we continue to emphasize the importing of links to the digital surrogate from the print title's catalog record as the primary discovery tool.

Stanford's **dd-ILL** program was a brief but important effort to combine innovative ILL services with innovative collection development principles—particularly for digital collection development. We are proud of the popularity of the service, of the populism of the collection it created, and of its lasting impact on our expanding digital collection efforts.

Endnotes

1. Contrary to our expectations, we discovered, both through occasional problem reports and via an end-of-project questionnaire, that a significant portion of our patrons did, in fact, print out the books we had scanned.
2. The choice of file format has important long-term implications for the digital collection development aspect of this project: PDF has, as a proprietary and evolving file specification, had known longevity and obsolescence issues. Still, certainly over the course of the **dd-ILL** project and since its end, the files we've created have remained readable in current versions of Adobe Acrobat. We hope that Adobe continues in its course of backward compatibility. But for preservation purposes, we scanned at minimal best-practices resolutions, and archived all original tiff files. We believe that the creation and retention of both file formats has allowed us to serve both short- and long-term access needs.

cess flow for monographs.⁶ In the case of permissions, ILL's lesson to acquisitions is that existing services such as **Ingenta** and the **CCC** are in place and have permissions and royalties flows that may be adapted and applied to the work of clearing copyright for works that will be placed in the repository.

Lesson 3—When blazing a trail, it can be important to leave one, as well

Acquisitions departments are familiar with the responsibility of maintaining an audit trail in which expenditures can be tracked back to receipt and an order by an authorized person. In general, integrated library systems (ILS's) and campus financial systems are configured so that necessary audit elements are created as part of routine work. **CONTU** guidelines create a need for a detailed audit trail for ILL, one that goes well beyond bibliographic and expenditure information, in order to monitor the "suggestion of five." At a minimum, **Nixon** suggests that:

...to comply with the guidelines, a library would have to keep track of the date of a request, the requesting patron's name and institutional affiliation, and distinguishing information on the article and serial or monograph being copied from."⁷

Acquisition of copyrighted material for a digital repository will require a number of data elements not currently included in ILS records. These include: determination of copyright status, copyright holder(s), attempts to obtain permission, and permissions obtained. Permissions obtained may be particularly complex, for example a library may have permission to digitize copyrighted information in a manuscript collection but to distribute it only after time has passed or to certain people. Ideally, many of these data would be recorded in semantic fields so that determinations about access by patrons could be made automatically, rather than looked up and determined by human intervention. Existing ILL software, along with standards initiatives such as the **Digital Library Federation's Electronic Resource Management Initiative**,⁸ can provide a point of departure for libraries and software vendors in this effort.

Signposts by the roadside, or don't reinvent the wheel

The creation of digital repositories will require acquisitions departments to develop new processes to meet institutional needs. Acquisitions, along with ILL, is a high-production environment, and acquisitions managers and staff are skilled in developing and implementing work flows which ensure consistent handling and outcomes. With the need to add digital works to library collections, acquisitions departments are challenged to include a new attention to intellectual property and particularly copyright issues. This attention to copyright as part of a high-production, service-oriented flow, has been built into ILL departments, making them a useful case study for acquisitions managers to consider as they prepare for increased engagement in digital acquisitions.

Endnotes

1. *Stanford University Libraries Redesign Report* at <http://www.sul.stanford.edu/depts/ts/about/redesign/report/index.html>. Accessed January 18, 2004.
2. *Copyright Tutorial* at <http://www.lib.ncsu.edu/cc/tutorial/basics2a.html>. Accessed January 18, 2004.
3. Creative Commons licenses allow the creator of a work to permit others to copy and distribute his or her work on certain conditions. Sample licenses are available at <http://creativecommons.org/licenses/>. Accessed January 18, 2004.
4. *US Code Collection*, Chapter 17, Title 1 at <http://www4.law.cornell.edu/uscode/17/108.html>. Accessed January 18, 2004.
5. Nixon, Donna. "Copyright and Interlibrary Loan Rights." *Journal of Interlibrary Loan, Document Delivery & Information Supply*. Vol. 13(3) 2003.
6. "Schematic Redesign for Monographs" in *Stanford University Libraries Redesign Report* (<http://www.sul.stanford.edu/depts/ts/about/redesign/report/sect7.html>). Accessed January 18, 2004.
7. Nixon, 64.
8. *DLF Electronic Resource Management Initiative* at <http://www.diglib.org/standards/dlferm02.htm>. Accessed January 18, 2004.

Acquisitions and Interlibrary Loan Together: Good Marriage or Will George W. Bush Object?

by Joe Badics (Acquisitions Librarian at Eastern Michigan University)

Eastern Michigan University is a comprehensive institution with slightly less than 20,000 FTE students. It plans to soon offer its third doctorate program. The library has over 750,000 volumes, with over 3000 paper periodical subscriptions and access to thousands of others electronically. We purchase over 16,000 monographs each year. During 2003 we initiated approximately 2100 borrowing requests while receiving almost 8500 lending requests.

The staff members of the Circulation Depart-

ment at the library performed all interlibrary loan duties for many years. In September 2000 the borrowing function was transferred to the Acquisitions Department to ease the load on the Circulation staff. We decided to implement the **ILLiad** software in January 2003, and the lending component was transferred to the Acquisitions Department since we were successfully handling the borrowing end, and splitting a commonly traditional library department was causing some confusion.

continued on page 54

people profile

Joe Badics

Acquisitions Librarian
Eastern Michigan University

BORN & LIVED: Michigander.

EARLY LIFE: Farm boy.

FAMILY: Single with dog.

EDUCATION: BA, MILS from University of Michigan.

FIRST JOB: Pickle factory.

PROFESSIONAL CAREER AND ACTIVITIES: ALA, NASIG, ACRL, SLA, Charleston, Michigan Academy of Arts and Sciences.

IN MY SPARE TIME I LIKE TO: Read, bicycle, walk, watch football, attend the cinema, travel.

FAVORITE BOOKS: Mysteries, science fiction.

PET PEEVES/WHAT MAKES ME MAD: Filling out surveys like this.

PHILOSOPHY: Que Sera, Sera (or Duh!).

MOST MEANINGFUL CAREER ACHIEVEMENT: Employment in a profession I enjoy.

GOAL I HOPE TO ACHIEVE FIVE YEARS FROM NOW: Early retirement — ha!

HOW/WHERE DO I SEE THE INDUSTRY IN FIVE YEARS: All owned by Elsevier.

collection. We have established a separate fund account to purchase recently published books as long as they fit our Collection Development Policy. The bibliographers are not penalized for these purchases from their regular subject funds. We order them expeditiously from several online resources, including Amazon.com, alibris.com, and Barnesandnoble.com. Other libraries, including those at **Purdue University**, the **University of Wisconsin - Madison**, and the **University of Michigan - Ann Arbor**, also have reportedly established similar procedures. We use a credit card to quickly buy a technical report, piece of music, or music compact disk.

We generally do not buy textbooks; however, if we receive multiple requests for the same textbook via interlibrary loan, we will contact the professors to ask if they would like a copy placed on reserve. If the professor agrees, we will buy the book. Most institutions do not lend videos, so a faculty video request usually just becomes an order.

Conversely, we also have the option of offering to borrow items if we decide we cannot purchase a particular title. For instance, we do not purchase items that are less than fifty pages for our collection. We can offer to try to borrow the title instead. Our faculty commonly requested that we purchase books that turn out to be out-of-print: interlibrary loan is the obvious solution in those cases you cannot obtain the material.

3) The Acquisitions department already handles the financial transactions. We are used to dealing with invoices, credits, and the rest. The Circulation Department used to send it bills for us to pay. It has simplified our world to keep track of both lending and borrowing financial agreements. While we prefer to use **OCLC's Interlibrary Fee Management (IFM)** system (monetary transactions between libraries are just added to or subtracted from your **OCLC** account), we can readily generate or pay bills.

We are more consistent with the billing. While we are a member of **LVIS (Libraries Very Interested in Sharing)** and do not charge other **LVIS** libraries, we regularly receive requests from and send requests to non-**LVIS** libraries that charge us, and we were not always charging them back. Since we started to monitor our transactions closer, we are actually making money some months.

Our Acquisitions Department also already handles all the mail. We use **UPS** to ship all of the books: we can match every **UPS** package to the **OCLC** ILL request number by noting every **OCLC** number in our **UPS** log.

4) The Acquisitions Department is located in a non-public area of the library, and we have few interruptions. One of the reasons that we took over the Interlibrary Loan operations from Circulation was that the patrons at the desk needed to be assisted immediately, and it was stopping the workflow. We have fortunately taken over Interlibrary Loan when almost all of the requests are submitted electronically, so most patrons are not even aware that we are not part of circulation. We are next to the Cataloging Department, so any books that are purchased

from interlibrary loan requests are cataloged the same day they arrive. Our turn-around time for lending requests has been one-day for books and less than nineteen hours for articles.

5) Change is inevitable and important. My staff initially was not convinced that they could handle any additional work. It turns out they could by adjusting work assignments, and the staff members involved with interlibrary loan actually enjoy the new tasks. It is easy to get in

a rut, and interlibrary loan forced us to look at our numerous procedures to review what work we could eliminate, outsource, or absorb. For instance, instead of spending hours putting plastic covers on our paperback books, we pay our approval and major firm order vendors to put the **Kapco** covers on our paperbacks

instead. My staff consists of seven support staff (six full and one half-time) with two FTE of students. We assigned one staff member to work full-time on borrowing, and lending is split between two others in addition to their other duties. There can be financial rewards for the staff too: the interlibrary loan duties allowed one staff member to be reclassified to a higher pay grade.

Having new eyes look at the operation allowed us to review and challenge common practice. Why are we doing this? For example we were purchasing dissertations for the use of graduate students if we could not borrow them. The dissertation was given to the students as if it was a journal article photocopy. It turns out when we had requests for the same dissertation, we would just buy another copy. We decided to commercially bind and catalog the dissertations for our collection. This has saved us time and money. One interesting observation: other libraries regularly request to borrow our purchased dissertations.

What are the major drawbacks of an Interlibrary Loan/Acquisitions merger?

1) Interlibrary loan has enough idiosyncrasies that it may be too much for an Acquisitions librarian to handle if you are already spread too thin with electronic journal licenses, vendors negotiations, approval plans, and the rest of normal Acquisitions duties. The staff must be willing to take on the new responsibilities and be properly trained.

2) Another difference is the pace. Interlibrary loan requests usually have short deadlines: your patrons want everything yesterday. Other libraries are counting on a quick turnaround on their requests from your collection. The requests must be processed constantly. The usual monograph/serial order does not have the same time restrictions; however, it would be important to make sure normal Acquisitions routines are not set aside in order to handle Interlibrary Loan work. For instance our staff member who handles our approval plans is not involved with Interlibrary Loan.

In times of budget cuts, interlibrary loan will become an even more important solution to acquire what your patrons need. Breaking down the barriers between Acquisitions with interlibrary loan may be one solution.

Acquisitions and Interlibrary ... from page 52

In a 2003 meeting of the Interlibrary Loan staff of the fifteen public university libraries, **Eastern Michigan University** turned out to be the only institution where interlibrary loan was housed in Acquisitions: the rest are part of circulation or separate units.

I think that the pairing of Interlibrary Loan and Acquisitions is a comfortable fit. We are trying to "acquire" resources for our patrons, either purchase or borrow. Our patrons usually do not care who ultimately owns something: they just want it.

Why Acquisitions? Here are some of the benefits:

1) The Acquisitions staff already has expertise in looking for and ordering resources in various formats. While you can borrow many items for your patrons, the Acquisitions staff can try alternative avenues for the unusual items.

For instance, during the fall 2003 semester, one of the students in our **Historic Preservation Program** requested the "Historic Window Guide: a brief illustrated history of window development from the Middle Ages to the present." No library in the world owned this title according to **WorldCat**. Rather than just rejecting the request, we wrote to the **Tewkesbury Borough Council** in Glasgow, and they graciously sent a free copy to us. We have had similar luck obtaining free reports and articles by taking the extra step.

2) Many of the titles being requested via interlibrary loan would be useful additions to the