



Review of Technical Services of the Library of the Australian National University by UNILINC Limited

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REVIEW OF TECHNICAL SERVICES OF THE LIBRARY OF THE AUSTRALIAN NATIONAL UNIVERSITY

1. EXECUTIVE SUMMARY

In May 2013 UNILINC Limited was engaged to undertake an Assessment of the Collection Processes and Cataloguing (Technical Services) at the Library of the Australian National University (the ANU). The consultants who conducted the review were Rona Wade and Glenda Henderson.

The process to be reviewed was from the point a decision is made to purchase and order an item, or in the case of a donation or standing order, accept the item, through to the time the item is available to the user.

The Assessment aims to provide a report to the University focused on:

- a. understanding the particular needs of the University
- b. effective and efficient workflows/processes for managing resources acquired for the collection
- c. any relevant organisational issues
- d. ensuring common practices across the library, and
- e. use of innovative or modern practices for cost effective and timely access to users of material acquired for the collection.

The consultants found that overall there is a high level of commitment by the staff to delivering a quality product and in working to common policies and practices. However, various practices within the Technical Services operations have an adverse impact on the day to day processes and lead to double handling and inefficiencies.

Key recommendations relate to the order approval process, copy cataloguing and endprocessing and the backlogs of both ordered and donated material.

2. METHODOLOGY

Rona Wade and Glenda Henderson visited the ANU over three days from 29 to 31 May 2013.

They commenced with a walk through of the Technical Services work areas located in Menzies Library, meeting staff and observing the workplace.

This was followed by meetings with the staff in small groups based on the relevant Technical Services teams. These sessions used a structured interview approach to develop a clear description of workflow practices, policies and procedures and to provide an opportunity for staff to make suggestions for improvement. There were two sessions with Collection Management Staff at the Menzies and Chifley Libraries. These staff have responsibility for selection and client service at these two libraries. There were also meetings with Senior Management.

A description of the workflows described forms Attachment Two of this report.

3. LIBRARY TECHNICAL SERVICES CONTEXT

3.1 General

The Australian National University was established by an Act of the Federal Parliament in 1946. Its founding mission was to be of enduring significance in the post-war life of the nation, to support the development of national unity and identity, to improve Australia's understanding of itself and its neighbours, and to contribute to economic development and social cohesion. It is the only university with Federal legislation and a mandate of the Commonwealth parliament.

Within this national context the goals of the ANU Library set out in the Library Plan for 2013 are to:

- Support excellence in research with a focus on nationally significant collections and support for e-research
- Support excellence in teaching with a focus on collections that inspire students, easy effective access and open access
- Enhance the ANU's profile and reputation through contribution to national policy research

The quality of the collections of the Library and easy and effective access to those collections provide the underpinnings of the Technical Services functions within the Library.

It is clear from recent communications from the Vice-Chancellor (<http://vcdesk.anu.edu.au/2013/06/05/solving-our-budget-challenges/>) that the ANU is facing significant budget cuts in the next two years. This will have a serious impact on all sectors of the University, including the Library, and must therefore be considered in any review of library operations.

In the past the Technical Services operations have undergone various administrative and structural changes relating to changes in structure within the ANU and as a response to opportunities for increased efficiency and effectiveness arising from advances in technology and the development of standards.

Currently the Technical Services operations are physically located in four of the five Branch Libraries on the university campus. The ordering, cataloguing and processing of monographs, vernacular material and electronic and serials resources is undertaken by relevant teams within the Menzies Library for the Menzies and Chifley Libraries. Menzies Library also provides some of these services to the the Arts/Music Library and the Law Library, each of which has retained some technical services functions. The Hancock Library (Science) undertakes all of its own technical services operations. There is some sharing of staff between the teams and with Chifley Library and Technical Services staff in the Art and Music, Law and Science libraries also undertake other functions within their respective libraries.

There is a common policy approach and workflow mandated for all the Technical Services operations.

3.2 Material Processed

The ANU Library collection holds more than 2.5 million physical items and provides access to more than 63 million electronic resources. The collection is distributed across five branches on a subject basis and in a remote store. Physical resources include all types of media (print, microform, CDs, DVDs, VCDs etc.) and electronic resources include e-books, e-journals, datasets, image databases, streaming video and audio files, web resources and more.

3.3 Systems used

The following systems are used in the ANU Library:

- Millennium – an integrated library management system (for acquisitions, cataloguing, serials and electronic resources management)
- OCLC via WorldCat as the primary source for bibliographic records
- Libraries Australia as a secondary source for bibliographic records
- Serials Solutions 360 Manager - MARC record supply and data ingestion to the Millennium Electronic Resources Management module and Summon discovery service
- Vendor interfaces, eg YBP GOBI 3 - shelf ready approval plan for the social sciences and humanities
- Ebsco EC content manager - support for e-book subscription management
- The ANU Library website, including the E-resources list and the Suggest a Purchase form
- University records system for recording the location of licences and contracts
- Shared folders on a windows network for procedures and statistics (the megadisk)
- Subscription renewal spreadsheet
- Trials database - to keep users informed about e-resource trials

3.4 Data sources

Bibliographic records are sourced from three major databases:

- WorldCat bibliographic (preferred source)
- Libraries Australia
- WorldCat CJK (preferred source)

All of these databases are searched from within the Millennium ILMS using Z39.50 links.

Bibliographic records are also purchased from various vendors for e-books and e-serials and some are received as part of particular packages such as Serials Solutions and Ebsco.

3.5 Management

The staff in each of the Technical Services teams report to their relevant Branch Manager. In the case of Menzies Library the Branch Manager is also Practice Manager for all Technical Services operations with respect to policy and practice.

The overall direction of Technical Services, as well as any adjustments to workflow or changes in policy, is the responsibility of the Technical Services Coordination Group which meets monthly. This Group can make recommendations to Library Management in relation to Technical Services practices and policies.

3.6 Throughput

There are 29.5 fte staff involved in Technical Services on a day to day basis.

Some 8,235 print and electronic titles or subscriptions were ordered in 2012 (7,524 print and 711 electronic). Some 18,274 print monographs and serial titles were catalogued inhouse, 3,889 arrived shelf ready and 318,277 records for electronic resources were loaded.

The Library reports a turnaround time for print items from the time they are received to the time they are catalogued of 24 days for non rush items and 8 days for Rush items.

4. ANALYSIS AND RECOMMENDATIONS: WORKFLOW [TO BE READ IN CONJUNCTION WITH ATTACHMENT TWO]

4.1 General observations

Overall the workflow appears to be understood and followed across the Technical Services operations and staff follow the same procedures irrespective of their physical location. The workflow generally follows standard practices. However, there are instances where unnecessary double handling occurs, which contributes to delays in processing and adversely affects efficiency. Examples include the duplicate checking of order/vendor details as part of the ordering process, delays in the ordering and invoicing processes as a result of the order approval and invoice posting workflows and the double handling of material that is passed to original cataloguers.

There are outdated practices relating to the packaging of media which are time consuming and result in delays and additional expense. Constraints placed on the work of particular levels of staff and very limited delegation for some functions have an adverse impact on the workflow at a number of points.

4.2 Requests

Although this is not part of the processes under review, it has implications for the ordering process and is worthy of comment.

Some material is received via approval plans but the majority of orders are from requests submitted to Collection Management Librarians (CMLs) by academics. These requests are submitted in various ways - via a web form, by email or in the form of catalogues with required items ticked. The CMLs review the orders, check to see if they are already in the collection, amend any obvious errors, code in the relevant fund and in some cases nominate the desired vendor and submit them on paper to their relevant Technical Services team as Rush orders or Firm orders.

The ordering staff then double check that the items are not already in the catalogue, search for and download bibliographic records or create brief records and submit the requests as orders.

This obviously involves double handling and is a outdated way of dealing with requests.

Several of the staff in Technical Services expressed a desire for all requests to come in via the web order form. This is how most requests are received in the Hancock Library. However, in discussion with some CMLs, their view is that the form is too time consuming and requires that each request be submitted individually which would waste the requester's time compared with emailing or ticking a catalogue. The form also does not derive any requester data from the ILMS and neither can it be annotated online and transmitted to the ordering staff.

There are many ways of dealing with this issue. It is not a common practice in Australia as yet, but University libraries are increasingly outsourcing all of their selection to vendors, thus obviating the need for the whole selection and ordering process. This may not suit the ANU with its focus on material in languages other than English sourced from specialist and incountry suppliers.

Some University libraries in Australia are allowing academics to place requests or the equivalent of the CMLs to place orders on a vendor database such as Gobi which are then transmitted to the Library system. The vendor may be supplied with a copy of the library's ISBNs to help ensure requests or orders are not placed for items already in the collection. This approach may be feasible for firm orders for Chifley, Law, Arts/Music and Science material. Rush orders may also be candidates for this, but the vendor choice would need to include the University Co-op bookshop on campus.

Some University libraries in Australia use a web ordering form that takes requester data from the ILMS and ingests it into the ILMS as a pending order. This could be explored with Millennium for material that is not sourced from mainstream vendors.

There was a suggestion that all orders be placed on Amazon. While this can be a useful means of obtaining specific items quickly, it is more time consuming than dealing with library vendors for general orders.

Recommendation 1: That a feasibility study be undertaken on allowing academics to place requests, or CMLs to place orders, directly on the relevant vendor system and that of the University Co-op bookshop.

Recommendation 2: That options for automating the request form be explored.

4.3 Choice of vendors

Increasingly libraries are working with just one vendor for all material. This may not work for specialist LOTE material where the ANU has particular expertise in relation to sources and the amount of out-of-print material requested. Neither would it expedite Rush orders where the item is in the local University bookshop. However, it is good practice to review vendors with a view to limiting the number and range so as to save time in the requesting and ordering process and selecting the most efficient delivery times. There was a suggestion that the delivery times of the various vendors be made available to CMLs and ordering staff on a regular basis to help inform the choice of vendors.

Recommendation 3: That the performance of vendors be monitored with a view to restricting the number of vendors used to those that are most efficient in terms of delivery times, but not at the expense of knowledge as to what is in stock locally.

4.4 Access to vendor records

Technical Services staff in branch libraries have privileges for viewing vendor record information, but not for changing, adding or deleting.

There are specialist vendors for some types of material, eg Science resources, which are not commonly used by Technical Services staff at Menzies Library and the vendor records are therefore not necessarily kept up to date.

In some cases branch libraries are maintaining some vendor information in spreadsheets, eg current contact information. This is inefficient and unnecessary.

Recommendation 4: That selected Technical Services staff in branch libraries be given access privileges which enable them not only to view vendor information, but to change it and add to it where necessary in order to stop the unnecessary duplication of vendor information in the branch libraries.

4.5 Approval of purchases

At present approval for orders is sought three times a week – on Mondays, Wednesdays and Fridays. An email of order details is sent to the Associate Director, Information Services, who approves or rejects the orders. While this process is taking place, no ordering or invoicing can take place on Millennium.

This is highly detrimental to the workflow in all Technical Services work areas. Staff must be mindful of the time, and ensure they finish any order they are working on or any receiving and payment work

they are doing before the orders are printed. Then, when they are notified that approval has been granted, they have to revisit all the orders again to complete the ordering process. This double handling is a waste of time and imposes delays in placing orders.

Once approval has been given, an email is sent to the branch libraries to alert them to the fact that they can now begin to work on the system again. This may take anything from half an hour to half a day, which again causes significant disruption to workflows and leads inevitably to double handling.

Also as order checking, vendor checking, price checking, bibliographic record downloading and fund commitment all takes place before approval is sought and if an order request is rejected for any reason, all of this work must be undone, which is costly in terms of staff time.

The information supplied to the Associate Director, Information Services is not sufficient to enable an informed decision without further bibliographic checking which can mean the item is checked yet again. Most staff could not recall any items being rejected and those that could, said it was an infrequent occurrence.

Approval for placing orders should reside with the CMLs under stipulated budget constraints. The Millennium system should be able to alert them to relevant budget and commitment milestones.

Recommendation 5: That the authority to approve orders be delegated to the Collection Management Librarians in order to remove the current disruptive approval workflow and thereby facilitate more efficient processes.

4.6 Payment by credit card

The position of Bibliographic Access Officer within the Monographs Team has the authorisation to use a credit card (or purchase card as it is referred to) when there is no other efficient method of paying for library materials. This can cause a bottleneck situation when that person is ill, on vacation or away from his/her desk for any length of time.

Staff in branch libraries can feel particularly isolated in such cases, as the procedure dictates that that they send such order requests to Menzies Library. They then cannot easily follow up on orders and feel that they have lost control over their own acquisitions process.

The University's Finance Department has issued instructions for the process of reconciling the credit card receipts monthly. This can be a time consuming process and raises a number of issues relating to currency, as the exchange rate must be calculated for the day of purchase.

Recommendation 6: That the authorisation to use the purchase card be extended to more than one individual in the Monograph Team and a senior staff member in each of the branch libraries including Chifley Library in order to prevent delays in acquiring Rush material from Amazon and any other authorised source.

Recommendation 7: That the purchase card reconciliation process be able to be undertaken by more than one member of the Monographs Team.

4.7 Invoices

As part of the financial management of acquisitions processes invoices are "posted" twice a day at 11.00am and 4.00pm. This process transfers invoice data into the relevant order records and updates the various budget fund encumbrances. While this process is being carried out, no ordering or invoicing activity can be carried out on Millennium.

Once the process is finished, an email is sent to the branch libraries to alert them to the fact that they can now begin to work on the system again.

These system outages cause significant interruptions to the workflow and lead to double handling.

When invoices are received, they are scanned to the megadisk so they are accessible to all staff in case of queries. However, one staff member of the Monograph Team finds this process to be cumbersome, time consuming and a potential OH&S issue due to the number of mouse clicks involved. As other staff did not indicate these problems with the scanning process there may be a training issue here.

The originals of the invoices are sent to the Finance Department daily. There was a suggestion that the invoices need only go to the Finance Department monthly. This would delay payment considerably, in addition to any delays within the department. The consultants are of the view that a 30+ day payment would not be appreciated by suppliers and may affect the Library's relationship with them. However, a weekly supply of invoices may be acceptable if this was seen as saving time and effort within Technical Services and did not create workflow issues for the Finance Department that would delay payment.

Some staff in the Monograph Team photocopy the invoices and file them. The Electronic and Serials Team has a policy of doing this for print serials as the scanned copy was hard to access at times. This photocopying and filing of the invoice is a waste of time and takes up space in the work area.

Recommendation 8: That the invoice posting process be scheduled out of normal working hours in order to enable ordering and invoicing to continue uninterrupted throughout the working day.

Recommendation 9: That no paper copies of invoices be kept and that staff with problems with the scanning process or with viewing the scanned copy receive training in the best use of the system.

4.8 Rush orders

In the first instance a Rush title is searched for in the University Co-op Bookshop on campus and, if available, it is purchased using direct purchase methods with a credit card. Some requested titles prove to be out of print and therefore difficult to source quickly. In some instances a recommendation to use document delivery is made so as to acquire the material in a timely fashion.

In Menzies Library staff estimated that over 90% of Rush orders are dispatched within 24 hours of receipt of the request. Branch libraries reported that they dispatch all Rush orders within 24 hours of receipt of the request.

Each Monday and Wednesday relevant staff in Menzies Library meet to review the status of Rush orders. Follow-up emails are sent to vendors and if the order is still outstanding, they may be cancelled and another vendor sought. This delays the acquisition of the material.

Once the material is received it is processed in the branch libraries within 24 hours. There may be delays in processing in Menzies Library, especially if the item needs attention from an original cataloguer. Staff reported that it can take up to a week for Rush material to reach the shelves after it has arrived in Technical Services.

Recommendation 10: That targets be set for the processing of Rush order requests and for the processing of the material once it has been delivered to the library and that these targets are monitored regularly.

Recommendation 11: That as much Rush material as possible is acquired locally and that vendors who respond quickly to urgent orders are selected over those who do not respond as quickly.

Recommendation 12: That consideration be given to nominating one staff member to be responsible for overseeing all Rush orders (and associated cataloguing) handled in the Menzies Library in an effort to expedite the processing of this material as much as possible.

Recommendation 13: That more timely use of document delivery options for hard to source material be incorporated into the processes for dealing with Rush material.

See also Section 5.6.

4.9 Shelf ready material

At present YBP approval plan material is delivered to the Menzies Library. Technical Services staff check the material against the invoice, check the labelling and load the bibliographic records.

If the material were to be delivered directly to the Chifley Library, staff there could do the checking of the material against the invoice, check the labelling and then send the invoice to the Menzies Library. The invoice could then be processed and the bibliographic records loaded. This would considerably expedite the delivery of the material to its users.

There may be issues with certain types of material such as monographs-in-series and varying editions of the same title, but these are factors common to all library materials dealt with by the ANU Library and could be accommodated within the workflow.

Recommendation 14: That consideration be given to YBP approval plan material being delivered directly to the Chifley Library if agreeable to Chifley Library and if the invoicing requirements can be met.

4.10 Claiming

There is no systematic procedure in place for following up outstanding orders, receiving status reports from vendors or cancelling orders. Rather, these tasks are carried out on an ad hoc basis. Status notes are added to the order record whenever an order is followed up.

This has been the subject of much discussion at the Technical Services Coordination Group meetings recently. A strategy for following up on selected vendors for orders that have been outstanding for one month has been proposed. There is a reluctance on the part of some staff to actively follow up on outstanding orders with some vendors for fear of upsetting good relations. These staff consider that follow ups should not occur until the order has been outstanding for three months.

Recommendation 15: That a guideline for handling claims be developed and implemented.

The ILMS should be able to generate claims targeted at known vendor capabilities.

Recommendation 16: That the claiming capabilities of the ILMS be investigated with a view to generating claims according to known vendor capabilities.

4.11 Copy cataloguing

In relation to downloaded bibliographic records, staff reported that most records are altered in some way. Examples given were altering coded information, adding geographic area code and language code fields, amplifying physical description fields, inserting geographic subdivisions into subject headings for Australian materials and amending series.

National and international standard cataloguing practice increasingly emphasises that bibliographic records from reputable sources should not be changed at a local level except where the records do not comply with standards.

The fact that every bibliographic record is closely checked by copy cataloguers adds substantially to the cost of processing material and causes significant delays.

Currently only staff above Level 4 are permitted to add classification numbers and subject headings to bibliographic records. This causes severe disruptions in workflow, as material must await the attention of higher level staff. This, in turn, delays the delivery of material to users.

Vernacular Team members either pass material without subject headings or classification to original cataloguers or they add material to the erroneously named “New Books Collection” if no full bibliographic record is available. Titles are then searched and re-searched after suitable intervals in an attempt to find a full record. At least there is some access to these titles via the discovery interface, but this duplicate handling of resources is inefficient and time consuming. This workaround is in place because only two members of the team can assign classification numbers and subject headings. Staff expressed the wish to be permitted to add classification numbers and subject headings to the material they handle.

Within the Monographs team all material without subject headings or classification numbers is passed on to original cataloguers. This delays the delivery of material to the shelves as well as resulting in double handling of material.

With some initial training and ongoing mentoring where necessary, there is no reason why copy cataloguers should not assign subject headings to downloaded records which lack such headings and assign classification numbers.

Recommendation 17: That bibliographic records from reputable sources be clearly and unambiguously identified in procedural documentation as requiring no changes except those which are determined at a standards level, such as the addition of language codes and geographic subdivisions for Australian material for records sourced from Libraries Australia.

Recommendation 18: That copy cataloguing staff be permitted to add subject headings to downloaded records and assign classification numbers.

4.12 Classification

At the ANU Library classification numbers are associated with particular physical locations. Thus, law material is usually housed in the Law Library and classified according to the Moys classification. Similarly, music resources are usually shelved in the Arts/Music Library and are classified according to the Dewey Decimal Classification.

Chifley Library houses a major undergraduate collection, mainly in the areas of social sciences and humanities. However, a certain number of titles outside of these traditional subject areas are acquired. Examples were cited of some music and law resources being required to support particular university courses. Because the material needed to be housed in Chifley Library, it was reclassified to

related subject areas which meets the policy of particular classification numbers for particular libraries. This is unnecessary, not to say incorrect, reclassification work.

This situation could also apply to Menzies and Hancock Libraries and between Menzies and Chifley Libraries, where there may be overlaps in subject coverage in particular areas such as Anthropology, International Relations and so on.

Recommendation 19: That the full LC classification schedule be able to be used for all the ANU Library material to avoid incorrect assignment of classification numbers as a workaround to keep material at particular locations.

4.13 Foreign language material

There is a very clear reluctance on the part of all Technical Services staff in Menzies Library to process material in a foreign language.

Considerable backlogs of foreign language material exist partly as a result of this attitude. This is of particular concern to the Chifley Library staff who reported material in European languages ordered and received in 2006 and still awaiting cataloguing.

At times PhD students with relevant language skills have been coopted to help in the cataloguing and subject analysis of these materials.

ANU Library collects resources in a wide range of languages as part of its overarching mission of support for research and this material should not be seen as exceptional or unusual in terms of its cataloguing and processing. Bibliographic skills are transferable between languages, with the exception of material in non Roman scripts.

Recommendation 20: That strategies be developed to encourage a willingness to catalogue foreign language material.

See also Section 4.23.

4.14 Print Serials

The handling of printed serials is the most decentralised process in the ANU's Technical Services operations.

All branch libraries except for Chifley Library order, catalogue and invoice their own print serials. The serial issues are sent directly to the relevant library and local technical services staff checkin and endprocess them. Staff in the Electronic Resources and Serials team in Menzies Library order, catalogue and invoice print serials for Chifley Library. Issues are sent directly to Chifley Library and a staff member from the Electronic Resources and Serials team in Menzies Library goes to the library regularly to perform the checkin and endprocessing tasks.

The handling of printed serials at the ANU Library follows a standard workflow and seems to be reasonably efficient.

4.15 E-resources

The Library has outsourced the general management of electronic serials to Serials Solutions. Each month the Electronic Resources team receives a monthly update file. The file of new/changed/deleted MARC records is loaded into Millennium. Subsequently a second file containing order and checkin records for the newly loaded bibliographic records is loaded, matching on resource ID.

It was apparent that the ability to keep on top of the ever increasing requirements for electronic resources to be discoverable was being taxed by the absence of a key staff member skilled in working with Serials Solutions. The imminent departure of another staff member was also a source of anxiety.

In addition, in discussions with CML staff there are apparent delays in dealing with expensive electronic Chinese resources. It is not clear where the delay resides but a resolution requires communication between the CML staff and the Vernacular Team or the Electronic Resources Team.

Recommendation 21: That more staff be trained in working with Serials Solutions so that the monthly updates are loaded in a timely and efficient fashion.

Recommendation 22: That communications between the relevant CMLs, the Vernacular Team and the Electronic Resources Team be improved in relation to Chinese e-resources.

Recommendation 23: That plans be put in place to deal with the backlog of e-resource loads and that timelines be set and monitored.

4.16 Spine label printing

In all Technical Services locations except Menzies Library the spine label is produced and attached to the resource at the time of adding the item record. The label is covered with protective tape.

There are just two spine label printers in the Menzies Library. One is for the librarian who handles the Law material. The other is a common printer located at a workstation dedicated to printing labels. A roster arrangement is in place and the Monographs and Vernacular teams share the printer.

Spine labelling is checked regularly for accuracy.

This arrangement leads to the double handling of most of the physical library materials. This is inefficient and time consuming. The process is also error prone as it is possible to leave a previous record open and print out the wrong label. As a result the Monographs Team staff check labelling. These staff are Level 5 and above. Given the cataloguing backlogs in place, this is not an effective use of cataloguers' time.

Recommendation 24: That more spine label printers be purchased for the Monograph and Vernacular teams and that they be networked, so that labels can be produced and attached as part of item record creation.

Recommendation 25: That the practice of checking spine labels regularly be stopped and a system of spot checking replace it; once the error rate is down to the desired level, that consideration be given to stopping the checking.

4.17 Books accompanied by CDs

The ANU Library is the only institution reviewed by the consultants to date where CDs accompanying books are removed from the pocket in the back of the book and processed and shelved separately from the book.

CDs are removed from the books and shelved in jewel cases within secure plastic cases next to the book to which they belong. A "CD in separate case" note is written in the back of the book. A security strip is added to the CD and "ANU Library" and the barcode is written on the disc itself and an author-title label is attached. An "Accompanied by CD in separate case" sticker is attached to the cover of the book.

The extra time involved in this operation, plus the cost of the secure plastic cases (the consultants were given an estimate of \$4.00 per case) makes this an unnecessary and costly process.

Prevention of theft was offered as the reason CDs are processed this way, but the amount of staff time involved plus the cost of materials makes this process not in the least cost-effective.

Recommendation 26: That the CD remain with the book in a pocket at the back in order to keep resources together and reduce the cost of extra processing and supplies.

4.18 Processing DVD/CD/VCD material

These resources are stored on the open shelves (except for Arts/Music Library CDs which are stored in secure cabinets with no open access). "ANU Library" and the barcode number are written around the middle of the disc itself and the case is barcoded. A sticker with running time and region code is attached, as well as a "DO NOT COPY" sticker. A security strip is attached to the case. The case is then placed in a secure plastic case.

In most of the libraries the consultants have reviewed this material sits on the open shelves in the distributor's packaging. It is only augmented where the original packaging is such that the resource cannot stand upright on the shelves by itself.

Apart from the staff time involved, the secure plastic cases are expensive. There were also reports of material being delayed because there was not always sufficient stock of these cases.

Recommendation 27: That DVD/CD/VCD material remain in the distributor's packaging as far as is practicable and that consideration be given to eliminating as many stickers and labels as possible.

4.19 PhD Theses

LC classification numbers are assigned to PhD theses records at the time of full cataloguing.

Theses are shelved in barcode order, so the only practical use of the classification number would be if a user searched for it specifically. With the advent of discovery interfaces such as Summon, call number searches are no longer common. The staff time spent on this process could be used for subject analysis of theses and thus expedite the delivery of full bibliographic access to users.

There is a significant backlog of theses awaiting subject headings and classification. Given the priority that theses have for the ANU in terms of research output, this requires attention.

The Technical Services Coordinator at the Hancock library expressed an interest in cataloguing science PhD theses. This would be valuable professional development and it would relieve Menzies Library staff of some of the theses subject analysis backlog.

Recommendation 28: That search statistics be reviewed to determine whether the number of call number searches justifies the continuation of the practice of classifying theses. If not, that the practice of assigning classification numbers to theses cease in order to expedite the subject analysis of those theses in the backlog.

Recommendation 29: That the Technical Services Coordinator in Hancock Library be approached about cataloguing PhD theses in the subject areas of Science and receive appropriate training.

4.20 Hancock Library request slips

Staff in the Hancock Library file all request slips in case they need to follow up if there is a problem with orders. This happens so rarely that it seems an unnecessary precaution.

Recommendation 30: That the practice of filing request slips for checking problems cease.

4.21 Law Library classification sequences

The Law Library has a number of disparate shelving sequences.

The primary material (statutes, legislation, etc.) is shelved according to an outdated edition of the Dewey Decimal Classification scheme. The bulk of the collection uses Moys as its classification scheme. Serials are shelved in alphabetical order by title and Honours and Masters theses are filed alphabetically by author.

Recommendation 31: That the use of the Dewey Decimal Classification for primary material cease in order to reduce exceptions in the area of classification.

4.22 Arts/Music Library classification

Performance music is shelved according to an inhouse scheme based on the genre of the music. This is non-standard.

Staff report that the system is very satisfactory and that users of the library find it extremely helpful if they are looking for specific types of performance music.

Music CDs are shelved in cabinets in accession number order and there is no open access.

There is no practical reason why CDs should not be shelved with all other non-print materials and classified using Dewey. This would promote browsing and relieve staff of the extra duties associated with non-public access collections.

Recommendation 32: That this non-standard schema for classifying performance music be retained if it is deemed of sufficient value to users of the library as to be justifiable.

Recommendation 33: That consideration be given to classifying music CDs and storing them on the open shelves.

4.23 Backlogs

There are significant backlogs of cataloguing including theses and donations as well as orders to be placed and items ordered.

According to a report dated May 2013 there are 193 orders from 11 April to be written for the Monograph Team and another 101 orders to be processed from 4 April. There are also backlogs in copy cataloguing and original cataloguing.

For most of the material in the current backlog there is at least limited access via Millennium as a bibliographic record will have been created as part of the ordering process. Theses also have brief bibliographic records in Millennium derived from information supplied by the Research Office.

However, for much of the material in the backlogs there is no public access.

Much of the donated material is in languages other than English. The reluctance among Technical Services staff to deal with foreign language material is a major obstacle for dealing with this material efficiently and effectively.

Two briefing papers about the backlogs were brought to the consultants' attention. These lay out the extent of the backlogs and propose some strategies for dealing with them. The strategy for dealing with the "New Book Collection" has been to hire casual staff to copy catalogue and process specific language areas and as a result the "New Book Collection" has reduced by 25%. However, it is unclear from the documents what progress is being made on the other backlogs.

If some of the recommendations in this report are adopted, the cataloguing backlogs should be gradually absorbed and there should be no additions to the current ordered material backlogs. However, other solutions are needed to clear the backlog of orders and to clear some of the donated material.

Discussions with the University Librarian indicate that priorities in the bulk backlogs include the NARU collection of indigenous material, the Barry Carr collections of Spanish material and the RM Elliott collection. From checking a few of the items in the NARU collection it is apparent that there would be some records available from Libraries Australia. Similarly the RM Elliot material would almost certainly have records in WorldCat.

The backlog document of May 2013 nominates one of the Carr collections for outsourcing. It would be worth seeking quotes for outsourcing both collections.

***Recommendation 34:* That one staff member of the Monographs Team be allocated the 300 or so orders to process with a target for completion.**

***Recommendation 35:* That a cataloguer be given responsibility for completing the cataloguing the NARU collection with an agreed timeline for completion.**

***Recommendation 36:* That the cataloging and processing of the Barry Carr collections be outsourced and quotes sought from a number of cataloguing agencies.**

***Recommendation 37:* That all other donated material be reviewed as to whether it is required or not and clear strategies put in place to catalogue and process the material whether that be by absorbing the work, dedicating staff to the task or outsourcing to specialist language agencies.**

5. ANALYSIS AND RECOMMENDATIONS: ENVIRONMENTAL AND MANAGEMENT CONTEXT

5.1 General observations

Overall the Technical Services operations appear to be working with a reasonable level of cohesion and common understanding of workflow and policies despite the decentralised structure. The branch libraries with Technical Services responsibilities are pleased to have the staff on site as they are seen as a vital part of service delivery for the libraries. However, Chifley Library staff feel that they are disadvantaged by not having Technical Services staff on site.

In terms of effectiveness the stated throughput times, as well as feedback from Chifley Library staff in particular, indicate there is room for improvement. Similarly, in terms of efficiency, the number of staff

compared with the amount of material processed, even given vacancies and absences, indicate overheads that are absorbing time and energy.

5.2 Management

There is a level of uncertainty about various aspects of the management of Technical Services. Staff seem unsure of the chain of command when reporting problems. More particularly, there are no clearly documented procedures for dealing with specific projects. There is some general documentation about strategies for dealing with material in the backlogs. Section 4.23 of this report makes some specific recommendations in relation to these.

However, the issue is more general in scope and is worthy of special consideration, particularly in relation to specific staff responsibilities and timelines.

Recommendation 38: That the Library develop guidelines for the management of specific projects with clear lines of responsibility and appropriate targets and timelines, and that these be reviewed on a regular basis.

5.3 Communications

There is an appreciation of the support that the teams within the Menzies Library provide at the branch level, but also some desire for acknowledgement that staff in the branch libraries are doing their best. There is also a view that communications from the other Technical Services branches and Chifley Library to Menzies Library staff could be more understanding of the various pressures under which the Menzies Library teams work.

Recommendation 39: That a focus be placed on improving communication relating to Technical Services.

There are apparent issues between the Menzies Technical Services operations and Chifley Library staff in relation to monograph orders. There are perceived delays in the receipt of material with some clear examples where communications had failed. Complicating the picture is that Chifley Library staff are of the understanding that they may not follow up on items they have ordered until three months has elapsed.

Recommendation 40: That any policies that limit the following up of orders or items awaiting cataloguing be removed.

5.4 Documentation

Some documentation is clearly written and easy to follow, but there is also documentation that is written in a confused style which is difficult to understand. Added to this is the fact that there are areas where there appear to be no formal procedural guidelines. Some of the documentation dates to the 1990s. Other documents have review dates in the 2000s but no indication whether the amendments have been adopted.

Various iterations of the documents are used in different locations. Indeed, a document for a particular procedure was made available to the consultants by staff in a branch library. It was similar but slightly different to the version which had been uploaded to Alliance for use by the consultants.

Recommendation 41: That the procedures for Technical Services processes be reviewed, updated and completed in a consistent style and be made accessible to all relevant staff.

5.5 Quality

Technical Services staff are keenly aware of the need to ensure that cataloguing is of a high quality whilst at the same time ensuring that this quality is not at the expense of timeliness and throughput. Policies such as making WorldCat the first port of call for records help ensure that the best record is being selected. The interviews with staff revealed that this practice is being adhered to in all sections of the disparate Technical Services operations.

The ANU Technical Services staff maintain an authority file for names and series, but not for subject headings. A new headings list containing name and series headings which are new to the Millennium database is produced weekly and an original cataloguer works with it to eliminate conflicts and anomalies. This is an efficient and effective way of maintaining the integrity of the catalogue data.

Recommendation 42: That the Technical Services staff be congratulated on instituting the policy of setting standards and priorities for downloading bibliographic records and in communicating it effectively.

5.6 Throughput and timeliness

Throughput and timeliness appears to vary across the Technical Services operations. For Rush materials Hancock Library staff have a target of one day from the time a request is received to the time it is ordered and a further target of a day from the time it is received to the time the item goes onto the shelves. Staff are justifiably very proud of meeting this target. The Law Library and Arts/Music Library are also happy with the turnaround for their requests with a few exceptions relating to Chinese and other language material. However, Chifley Library staff referred to a backlog of European language material going back to 2006 and also gave the example of a Rush video order that fell through the cracks at the beginning of 2013. There are also backlogs for loading e-resources.

The consultants have suggested that reports regarding turnaround times be provided on a regular basis. In addition, when an item is ready for the requester or the shelves, it would be good practice to notify the relevant CML as well as the requester.

Recommendation 43: That targets for throughput times for both Rush and Firm orders be included as Key Performance Indicators for the Library.

Recommendation 44: That when an item is ready for the requester or to be shelved, that the relevant CML be notified as well as the requester.

5.7 Efficiency

Looking at the amount of staff time involved in Technical Services and the throughput achieved, it is clear that there is room for improvement.

If the library were to isolate the staff costs associated with monographs (including individually catalogued e-books) and serials from the point of ordering to endprocessing for all the Technical Services operational units and measure that against total throughput, it could derive a cost per title that could be used as a key performance indicator.

Recommendation 45: That the Library consider setting a target for the cost per title ordered and/or received, individually catalogued and processed and review this annually.

5.8 Planning and coordination

Whilst Technical Services staff seem committed to their work and are intent on doing a good job, there does not seem to be any overarching systematic approach to the way that work is distributed and directed. Staff are largely unaware of “the big picture” and are absorbed in their everyday tasks.

It appears that there is no coherent work plan for Technical Services which takes into account the competing needs of both newly ordered materials and the backlogs.

Recommendation 46: That the Library develop a work plan for Technical Services with clearly defined priorities and targets and that this work plan be reviewed annually.

5.9 Staffing

There are areas where the available staff could be more fully engaged in the workflow. For example, there is a policy of not allowing staff below Level 5 to add subject headings where there are none or to assign LC classification numbers. The branch Technical Services staff do some of this themselves already and members of the Vernacular Team expressed a desire to be able to do this. There is a recommendation relating to this in Section 4.11.

It is common practice in University libraries in Australia for Technical Services staff to spend time in the service delivery aspects of the library. Most of the staff involved in the ANU Technical Services in the branch libraries also spend time on the front desk and with other library duties and staff from the Vernacular Team spend time on the loans desk and the reference desk in Menzies Library. There is also some sharing of staff between the Technical Services teams and with the Chifley Library. A cataloguer from the Monograph Team spends half a day at week at the Arts/Music library undertaking original cataloguing and advising the Technical Services staff on cataloguing issues and a member of the Electronic Resources and Serials Team spends time at Chifley Library undertaking serials checkin and processing.

There may be value in seeking volunteers from the Monographs and Electronic Resources and Serials teams to spend time on the desk at Chifley Library in particular. This would also promote better communication and working relations between Technical Services and Chifley Library staff.

Recommendation 47: That volunteers from the Monographs and Electronic Resources and Serials teams be invited to be rostered on the loans/reference desk.

5.10 Systems

The daily system disruptions have been addressed in Section 4 as has the possible role of the ILMS in the request process and claiming.

There could be greater use of reports from the ILMS, eg. tracking the time an item is ordered to the time it is received, the time taken to catalogue the item and how long it takes to reach the users.

Recommendation 48: That the Library make use of the reporting features of the ILMS to support and track performance improvements.

5.11 Support for research and publication

The Australian National University has a significant international and national research profile. As the University has undergone considerable organisational change over the nearly seven decades of its existence, much of this research would have been undertaken by organisations that either no longer exist or have changed their names.

It became clear to the consultants that the authority structure in the ANU catalogue for the university and its various departments and research institutes is incomplete. Although an authority structure becomes less important to the user in a Discovery environment (such as Summon), it is important that the wider research community be aware of the body of work that constitutes the ANU's contribution to scholarly publishing.

By providing complete authority control over the names of the University and its departments and uploading the records to Libraries Australia, researchers using tools such as Trove would become aware of the breadth of research carried out at the ANU. This would be in line with two of the ANU Library's stated goals - "to support excellence in research with a focus on nationally significant collections and support for e-research" and "to enhance the ANU's profile and reputation through contribution to national policy research"

***Recommendation 49:* That a complete authority structure for the ANU and its various departments be compiled and loaded to Libraries Australia for use in the wider research community.**

ATTACHMENT 1 – MEMO TO STAFF

From: **director.sis@anu.edu.au** <director.sis@anu.edu.au>

Date: Wed, May 22, 2013 at 5:13 PM

Subject: Unilinc visit - Collection processing and cataloguing workflows

To: "sis.staff@anu.edu.au" <sis.staff@anu.edu.au>

Cc: "rona.wade@unilinc.edu.au" <rona.wade@unilinc.edu.au>

Dear Library staff

In the Library we will be having Rona Wade and Glenda Henderson from Unilinc undertaking a visit as for their assessment/review of Collection processing and cataloguing workflows. Rona and Glenda have a methodology developed through studies undertaken in major research libraries in a number of countries including national, state and university libraries. They have great expertise in this area.

Their Assessment aims to provide a report to the University focused on:

- a) understanding the particular needs of the University
- b) effective and efficient workflows/processes for managing resources acquired for the collection
- c) any relevant organisational issues
- d) ensuring common practices across the library, and
- e) use of innovative or modern practices for cost effective and timely access to users of material acquired for
- f) the collection.

The program for the visit is:

Wednesday 29 May		LOCATION
From 2.30	Walk through relevant work places and meet the staff	Menzies Library – walk through starting from Rebecca's office
Thursday 30 May		
9.00 - 10.20	Monograph Technical Services	Graneek Room, Level 4, Chifley Library
10.40 - 12.00	Electronic Resources	Graneek Room, Level 4, Chifley Library
	LUNCH/follow up	
1.30- 2.50	Vernacular team	Graneek Room, Level 4, Chifley Library
3.10 - 4.30	Follow up	Graneek Room, Level 4, Chifley Library
Friday 31 May		
9.00 - 9.50	Arts/MusicLibrary	Arts/Music Library
10.00 - 10.50	Chifley Library	Chifley Library
11.00 - 11.50	Law Library	Law Library
	LUNCH/ follow up	

1.30- 2.20	Science	Hancock Library
3.10 - 4.30		

I invited staff from each area to attend the relevant session.

Thank you in advance for your assistance.

Regards

Roxanne
Roxanne Missingham
University Librarian (Chief Scholarly Information Services)

ATTACHMENT 2 – WORKFLOW, PROCESSES AND POLICIES

1. Procedural guidelines

The procedural documentation for Technical Services at the ANU Library is somewhat haphazard and extremely variable in nature.

Some documentation is clearly written and easy to follow, but there is also documentation that is written in a confused style which is very difficult to follow. Added to this is the fact that there are areas where, on the face of it, there are no formal procedural guidelines.

Some of the documentation dates to the 1990s. Other documents have review dates in the 2000s but no indication whether the amendments have been adopted.

All Technical Services staff follow the same procedures, irrespective of their physical location.

2. Monographs searching and ordering

Order requests are processed chronologically by the date of the request. The Millennium database is searched. If the title is found, the request is referred back to the Collection Management Librarian to see whether a second copy is required.

If the title is not found the Remote Database functionality of Millennium is used to download a bibliographic record from WorldCat, Libraries Australia or WorldCat CJK. If the title cannot be found, then a brief bibliographic record is created in Millennium using a template.

An order record is attached to the bibliographic record and includes information relating to location, fund, Faculty/School, estimated price, currency, vendor details and requester.

Each week on Mondays, Wednesdays and Fridays orders are printed and emailed to the Associate Director, Information Services for approval. No ordering or invoicing activity can take place on Millennium until this approval has been granted. Once approval has been given, the orders can be sent by EDI, email or via the postal service.

There is no systematic procedure in place for following up outstanding orders, receiving status reports from vendors or cancelling orders. Rather, these tasks carried out on an ad hoc basis. Status notes are added to the order record whenever an order is followed up.

3. Receipt and invoicing

Once material has arrived it is unpacked and the contents checked against the invoice/packing slip to ensure the contents match and that there is no damage. In the case of the YBP approval plan material the spine label is checked to make sure it matches the title.

The invoice is stamped and signed. It is an audit requirement that invoices be double-checked and so a different staff member receives the items on Millennium and keys in the invoice data.

At the time of receiving the title in Millennium a printout of the bibliographic record with the attached order information is made. This copy is annotated in various ways. If the material has been ordered for a reserve course or the requester has requested notification, these details are highlighted to assist the circulation staff to perform the notification or locate the material in the reserve collection. Notes are also made if the material is to be sent on to an original cataloguer for subject analysis or classification number assignment or for any other reason.

The invoice data is keyed into Millennium. This includes invoice number, date, currency, order number, title, vendor, price for each line item, shipping costs, GST and total price.

Twice a day invoices are “posted”, which transfers invoice data into the relevant order records and updates the various budget fund encumbrances. While this process is being carried out, no ordering or invoicing activity can be carried out on Millennium.

Invoices are scanned and filed on the megadisk and the originals are sent to the University’s Finance Department for payment.

Purchase card receipts are filed and reconciled monthly according to procedures issued by the Finance Department.

The foreign currency table in Millennium is updated weekly and estimated prices are recalculated weekly on the basis of the currency changes.

Financial reports are generated weekly and fund activity reports are created monthly. These reports are filed electronically.

Alongside this workflow is the provision of shelf ready material by YBP. An approval plan is in place for the selection and provision of shelf ready materials in the subject areas of the social sciences and humanities. Files of new records are regularly retrieved from YBP via ftp and loaded into Millennium after some initial checks have been made using MARCEdit. The material is checked against the invoice and a cursory check of the labeling is made to ensure that the labels match the items. The material is then sent to the receiving library (usually Chifley Library).

4. Copying cataloguing

Every bibliographic record is checked. A procedure is in place to help staff determine whether it should be passed to an original cataloguer, eg if the leader displays certain encoding levels or is missing an 008 field, a classification number or subject headings.

Changes/additions are made to most bibliographic records, eg the physical description field is amplified or corrected if not complete, a geographic area code (043) is added if deemed required, the geographic subdivision for Australia is added to subject headings of records sourced from Libraries Australia if it is required.

Item records are added and include barcode number, location, processing status, call number, volume number, notes.

5. Original cataloguing

Original cataloguing staff create bibliographic records to an AACR2 Level 3 standard. The tools used to facilitate this include AACR2, LC classification, Moys classification, MARC21, Library of Congress Name and Subject authority files and inhouse procedure manuals. There are plans for RDA training and implementation in the coming months.

Names, uniform titles and series are checked against the ANU Library’s authority file and Library of Congress subject headings are used.

The ANU Library maintains an authority file for names, series and uniform titles headings, but there is no subject authority control. Headings in non-Roman scripts are not well controlled.

A new headings report is run daily and this is used as the basis for determining when authority control is required.

There are a number of classification schemes in use at the ANU Library. The Library of Congress classification scheme is used for most subject areas. However, the Moys classification scheme is used for material in the Law Library and the Dewey Decimal classification scheme is used for Arts/Music Library material and some material in the Law Library. There is an inhouse classification schema for performance music in use in the Arts/Music Library.

Theses are given LC classification numbers, but shelved by barcode number. Rare books and microforms are not classified and are shelved in barcode order.

Serials in the Law Library are shelved alphabetically by title.

6. Database maintenance

Index cleanups and global changes to headings are carried out on an ad hoc basis when considered necessary.

Bibliographic and holdings data are uploaded to Libraries Australia monthly and holdings identify specific branch library locations.

7. Processing

Material is barcoded and stamped and the security strip attached at the time of receipt. The classification/barcode number is sometimes added in pencil in the back of books.

In all locations except Menzies Library the spine label is produced and attached at the time of adding the item record. The label is covered with protective tape. There is only one spine label printer in the Menzies Library and it is located at a workstation dedicated to printing labels. A roster arrangement is in place and the Monographs and Vernacular teams share the printer.

Spine labelling is checked regularly.

Books accompanied by CDs

These are removed from the books and shelved in jewel cases and secure plastic cases next to the book to which they belong. A "CD in separate case" is written in the back of the book. A security strip is added to the CD and "ANU Library" and the barcode is written on the disc itself and an author-title label is attached. An "Accompanied by CD in separate case" sticker is attached to the cover of the book.

DVD/CD/VCD material

These resources are stored on the open shelves (except for Arts/Music Library CDs which are stored in secure cabinets). "ANU Library" and the barcode number are written around the middle of the disc itself and the case is barcoded. A sticker with running time and region code is attached, as well as a "DO NOT COPY" sticker. A security strip is attached to the case. The case is then placed in a secure plastic case.

8. Serials and e-resources

Printed serials

The process for ordering print serials closely resembles that for monographs except that different vendors are used and checkin records need to be created and the correct publication pattern established. There are some 1,800 current subscriptions for printed serials.

Serial orders are included in the approval process that occurs three times a week.

As issues are received and checked in the received date is entered into the order record. A call number label, library stamp and a security strip is attached to each issue as it arrives and the current issue is sent to a display area.

The invoicing procedure is essentially the same as for monographs except that both a scanned copy and a photocopy of the invoice is kept.

Each week a serials renewal report is run to keep a check on due dates for subscriptions. Large vendors generally send renewal lists, but in the case of small vendors a monthly report is run on Millennium for administrative purposes.

Completed volumes of serials are no longer bound, but stored on the shelves either in pamphlet boxes or as free standing items.

Electronic serials

The ANU Library has outsourced the general management of electronic serials to Serials Solutions. Each month the Electronic Resources team receives a monthly update file. The file of new/changed/deleted MARC records is loaded into Millennium. Subsequently a second file containing order and checkin records for the newly loaded bibliographic records is loaded, matching on resource ID.

The process for ordering non Serials Solutions electronic serials is similar to the process for print serials except that licensing agreements need to be negotiated and managed. Also, the resource record, licence record and contact record must be manually linked to the bibliographic record. Titles must also be assigned subject areas and entered into Serials Solutions so that they will appear in the Electronic serials list on the Library's website.

The formal licensing agreements, in both paper and electronic formats, are kept for 7 years. This is a requirement of the National Archives Act.

Electronic books

The processing of electronic books is split between the Electronic Resources team and the other technical services areas. The Electronic Resources team staff manage the big aggregations and collections of electronic books, whereas the other teams can handle individual titles.

There are two main sources of collections of electronic books – EBL and Ebsco. Orders may be placed directly on the publisher's portal.

Serials Solutions also has an electronic books management service that is currently being trialled. The bibliographic records are not of a consistent quality.

Individual orders for electronic books are created in the usual way. Again, the resource record, licence record and contact record must be manually linked to the bibliographic record. Once access has been established, the relevant URL is inserted into the bibliographic record. The link is then verified.

9. Special processes

Rush material

In the first instance the title is sought in the University Co-op Bookshop on campus and, if available, it is purchased using direct purchase methods with a credit card. Some requested titles prove to be out of print and therefore difficult to source quickly. In some instances a recommendation to attempt to access the title using document delivery is made as it is impossible to acquire the material in a timely fashion.

Over 90% of rush orders are dispatched within 24 hours of receipt of the request.

Each Monday and Wednesday relevant staff meet to review the status of rush orders. Follow-up emails are sent to vendors and if the order is still outstanding, they may be cancelled and another vendor sought.

PhD Theses

The Monographs Team receives thesis data from the university's research office and is able to create descriptive bibliographic records from this data. Items are added to the bibliographic records and the theses are endprocessed and shelved in barcode order.

There is a backlog in terms of adding classification numbers and subject headings.

Monographs in series (Green flag material)

Each volume is catalogued and classified separately, but attached to a single standing order. Serials staff receive the material, check it in and write "SM", location code and bibliographic control number on the title page.

The material is then sent to a monographs cataloguer for processing. The order number is added to the item record for each title.

Analyticals

Each volume is catalogued separately but shelved at a common classification number.

Serials staff receive the material, check it in and write "SA", location code, call number and bibliographic control number on the title page.

The material is then sent to a monographs cataloguer for processing. The order number is added to the item record for each title.

Donations

The ANU Library receives considerable numbers of donations. They can be large collections of material or individual titles. Technical Services staff are usually notified by the Collection Management Librarians that donated material is on its way. Occasionally large collections are sent directly to Technical Services in Menzies Library and staff then collaborate with the CMLs to determine what is to be retained.

Gift material should theoretically be absorbed into the Technical Services workflows, but as a lot of the donations are in foreign languages, this has not been practical and the material is generally stored away from the Technical Services work areas.

Disability unit materials

The University has authorisation to reproduce library materials in alternative formats for disabled students.

Technical Services staff are peripherally involved in this process in that they create item records with specific notes relating to access restrictions.

Rare Books

Approximately 300-400 titles a year are added to this collection. There is no specialised cataloguing of this material and no special storage conditions.

There are multiple shelving sequences (eg. Bliss, LC, Dewey, Theses and special collections shelved in accession number order) which occasionally result in items being misplaced. Staff in the Monograph Team are involved in an annual audit process which aims to restore misshelved items to their correct location and to ensure that the collection is intact and complete.

10. Special collections

Vernacular material

The Vernacular Team deals with a wide variety of Asian languages, some of which are not in Roman script.

WorldCat CJK is the primary source for material in non-Roman scripts. If no record can be found, a brief bibliographic record is created. Linking fields (880), containing the relevant vernacular script, are added to the bibliographic record at the time of ordering.

There is a blanket order arrangement in place for Indonesian materials and an approval plan with Mary Martin is being trialled for shelf ready material from select Asian countries.

Once the material is received it is catalogued, but if a full bibliographic record cannot be sourced, it may be shelved in barcode number order in the New Book Collection. This material is regularly re-checked in WorldCat CJK for full bibliographic records which then overlay the brief records and the material can then be shelved by its classification number. This workaround is in place because only two members of the team can assign classification numbers and subject headings.

Rush items and requested material are processed as a priority. Serials orders and processing is spread across the team according to the language of the material.

Over 50% of material to be processed by the Vernacular Team consists of donations.

The monthly reporting of statistics for the whole of Technical Services is carried out by Vernacular Team members.

Law Library

There are a number of shelving sequences in the Law Library. Primary material is shelved according to a superseded edition of the Dewey Decimal Classification Scheme. Secondary materials have Moys classification numbers. Print serials are shelved alphabetically by title and Honours and Masters theses are shelved alphabetically by author. PhD theses are processed and shelved in the Menzies Library.

Requests for orders are received in the library. Monographs orders are sent to the Menzies Library, whereas serials are handled within the library. Serial issues are delivered directly to the Law Library and checked in and processed inhouse, but monographs are received and processed in the Menzies Library.

Legislation and some journals are bound, but most serials are shelved normally or placed in pamphlet boxes.

Rush material is dealt with promptly.

Arts/Music Library

All ordering, receiving, invoicing, cataloguing and processing activities are carried out inhouse following procedures established in the Menzies Library. The only exception to this is electronic resources, which are handled by the Electronic Resources Team in the Menzies Library.

An experienced cataloguer from Menzies Library works in the Arts/Music Library for half a day a week to help with any cataloguing/classification queries that arise.

Dewey Decimal Classification numbers are used for printed books and DVDs. Music scores are shelved alphabetically by author. Performance music is shelved according to an inhouse scheme based on the genre of the music. Music CDs are shelved in cabinets in accession number order and there is no open access.

Spine labels are produced at the time the item record is added. Music scores carry a label which lists SCORE, composer and bibliographic ID number. Other materials are processed in line with Menzies Library's procedures.

Hancock Library (Science)

All ordering, receiving, invoicing, cataloguing and processing activities are carried out inhouse following procedures established in the Menzies Library.

Hancock Library staff maintain a spreadsheet with up to date vendor contact information as the data in Millennium may not be current. Branch library staff may view vendor records but not edit them.

Once an order has been sent the request slips are filed and used for checking if problems arise with the order.

Rush orders and processing are carried out within twenty four hours of the receipt of the request or the material.

Spine labels are created at the time the item record is added. The call number is noted in the back of the book. Print serials are not bound, but shelved in pamphlet boxes.

Electronic books and serials are ordered and processed inhouse unless they are part of aggregations and collections, in which case they are handled by the Electronic Resources Team.