

Tracking Not Yet Published Materials Using the Bibliographic Record The Smart Way

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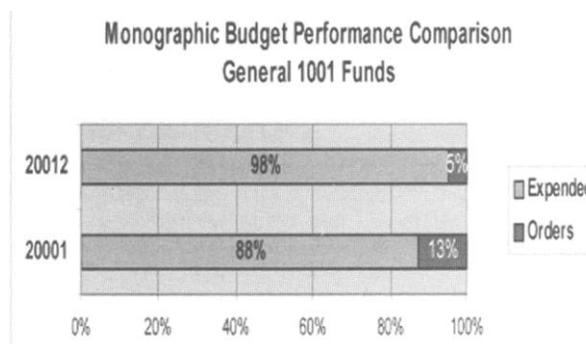
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*****Note: Figures may be missing from this format of the document**

Summary

In July 2001, the Pennsylvania State University Libraries stopped placing purchase orders for materials that were deemed not yet published or available. It was important that our carry-over encumbrances not be too high since that would impact the Libraries' purchasing power for the following year. In addition, it was felt that the collections budget should be spent on titles that are readily available, rather than tied up in materials that may not be published for one to two or even five more years. It should be noted that Penn State's fiscal cycle runs July 1 to June 30, at which time State appropriated funds should be fully expended. Any outstanding orders for library materials are then applied against the new year budget(s). For the first year of implementation of this new policy, manual files that were reviewed at specified intervals, were kept of **all** titles not yet published. This was a time-consuming and tedious process. In an effort to make this process much more efficient, and to take advantage of our new library management system's capabilities, our Budget Coordinator worked with a group of individuals' in Acquisitions Services to develop a procedure that was not only automated, but would allow selectors to gain up to the minute information on not yet published requests via the Web with a WebCat (public catalog) view of their titles.



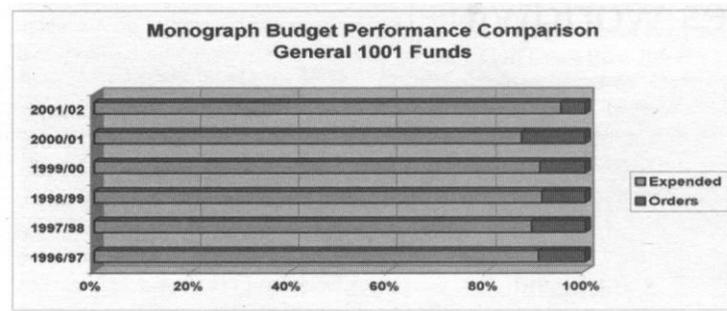
- Encumbrances carried over from FY 2000/01 = \$72,162
- Encumbrances carried over from FY 2001/02 = \$31,053 (some NYP)

Budget Efficiencies Achieved By Not Placing Orders For NYP Materials

It was imperative to see positive results from the holding of NYP materials prior to embarking on a technological way to address the process. To demonstrate the budget efficiencies, our Fiscal and Data Services Team took a look at the University Park' budget performance figures at the

end of FY 2000/01 and compared them to June 30, 2002. Please note, however, that 2001/02 figures do include a small number of NYP orders placed later in the fiscal year.

The preceding five years were also compared to the 2001/02 budget performance. Please note that "orders" reflect unexpended funds and carryover encumbrances:



Based on these figures, it was very clear that the Libraries was headed in the right direction.

Overview of New Process

The Pennsylvania State University Libraries is using SIRSI Corporation (Unicorn) software as its library management system. SIRSI bibliographic records can be entered and indexed in a shadow catalog to provide mechanisms for the Libraries to manage and display special catalog records. Shadowed catalog items are not viewable to users searching the WebCat. This is accomplished with the use of the indexed 594, or Selection list, field. The Acquisitions Services department began to utilize this Unicorn feature to manage requests for materials that are not yet published beginning with the July 2002 fiscal year.

The benefits of managing NYP in this manner are significant:

- Eliminates manual storage and tracking of paper order requests
- Provides regular reports on titles that should be reviewed for order consideration
- Provides the capability for selectors to view their NYP requests through the WebCat via a Web page, using defined URLs.
- Provides the Acquisitions Department with the ability to manage the monthly review of NYP requests via a Web page with defined URLs.

Criteria

It is necessary to have firm criteria in place for determining whether or not an item is Not Yet Published. Acquisitions Services developed the following criteria to facilitate and standardize the process:

- Forthcoming publication notices/brochures accompanying order request. Although orders are not placed for NYP items, exceptions are made when significant discounts are offered at the prepublication rate.
- Bibliographic search results:
 - MARC CIP (cataloging in process—bibliographic record lacking the physical description—pagination and size)

- OCLC records that have not yet been updated to a full record (Cataloging in Publication, or CIPs)
- OCLC records that have only two or less holding locations listed

Note—Items being excluded from the NYP category includes: Rush orders, foreign publishers, small presses & societies when going direct, searching music scores, maps and other formats.

Procedures

The following are the procedures that have been devised for completing the 594 field.

1. A bibliographic record is created as order requests are identified as Not Yet Published. If the record already exists in the system, the record is simply modified with additional local notes (fund, selection list elements, etc.). There are separate 594 (Selection List) and 536 (Funding Information) fields on the record for each order request. In addition, there may be separate 500 notes for each order as needed. Paper order requests are discarded at this point in time. [see Appendix I for detailed information on creation of the fields]

The 594 (selection list field) contains 4 critical sub fields used for reporting and tracking:

- Subfield A: NYP [constant data]
- Subfield B: Library Location [2 letter code] and (Holding Code) for UP or CCL (space) • Library Code [2 letter code] and (Home location) for Commonwealth Campuses
- Subfield C: Fund acronym
- Subfield D: Month to Review the Record based on anticipated publication date

Sample of this screen:

Field Number	Value	Subfields
Edition	250	Revised edition.
Publication info	260	Mt. Pleasant, TX :bDallas Publishing, lcc2002
Physical descrip	300	256 p. :bill. ;c22 cm.
Price	350	22.95
General Note	500	Previous edition published in 1992
General Note	500	Altoona. Recommended by: SD
Bibliography note	504	Includes bibliographical references and index.
Funding information	536	AACCL-AA-MN-1001
Selection list	594	NYP bCCL AA (STACKS-AA) cAACCL dAugust
Subject term	650	Adult college students zUnited States.
Subject term	650	College student orientation zUnited States.

2. Defined URL(s) based on the Review Date are available at a Website for Acquisitions review and action. Titles are then researched for availability.
3. If the title is now available, an order is placed. The record is modified to delete the Selection List field and local note fields containing order information.
4. If the title is still NYP, the review date is modified so that the record is queued for reviewing again at a future date.

NYP Web Page for Selectors & Acquisitions Staff

The procedure that has been devised is especially efficient because it automatically generates a dynamic Web result based on information recorded in the 594 field of the bibliographic record. It is extremely important that as much information as possible regarding the ordering process is shared with the subject selectors. Two Selector NYP Web pages have been developed that are linked to the Acquisitions Services departmental Web page(s); one for University Park subject/collection accounts, and one for Campus Library locations. These Websites consist of custom URLs that would search the shadow catalog in the WebCat for specific records based on the Selection List field. Selectors could then go to these sites to determine if Acquisitions is holding any order requests due to a NYP status.

[see Appendices II and III for samples of the selector Web pages]

Each page contains a jump list of custom WebCat links, using the base URL to search the shadow catalog of the WebCat + specific elements of the 594 field. The base URL to perform a general search is:

[http://cat.libraries.psu.edu/uhtbin/cgisirsi/x/0/5?searchdata1 =](http://cat.libraries.psu.edu/uhtbin/cgisirsi/x/0/5?searchdata1=)
Example: NYP Records for University Park Account = HRIM

[http://cat.libraries.psu.edu/uhtbin/cgisirsi/x/0/5?searchdata1=NYP+UP+HRIM sel
&shadow=YES&sort_by=TI](http://cat.libraries.psu.edu/uhtbin/cgisirsi/x/0/5?searchdata1=NYP+UP+HRIMsel&shadow=YES&sort_by=TI)
Example #2: NYP Records for ALTOONA Campus

[http://cat.libraries.psu.edu/uhtbin/cgisirsi/x/0/5?searchdata1= NY P+AA { sel
&SHADOW=yes&sort_by=TI](http://cat.libraries.psu.edu/uhtbin/cgisirsi/x/0/5?searchdata1=NY P+AA { sel&SHADOW=yes&sort_by=TI)

Selectors are able to check, by month, any titles that are being held and are planned for review during that particular month. Once a new availability status is confirmed, a new month will be entered into the 594 field and the title will automatically move into the new month tab for review and follow-up.

In addition, selectors can check for titles being held according to their subject/collections account name. This will produce a WebCat list of all titles being held for a specific fund account (See Appendix IV for an example). Selectors can then view detailed information on each title. This produces a WebCat list of all titles being held for a specific account. Selectors can view detailed information on each title. Acquisitions staff uses these very same pages to search, by month, any items that need to be reviewed in a particular month. In essence, this has become their "claims" report.

Conclusion

The libraries have developed an efficient way of monitoring NYP materials using bibliographic records that dynamically create Web search results for our Acquisitions Services staff and selectors. By creating shadowed records, the staff is able to easily speed through the ordering process once a title has been published. It is possible to maintain up to date Web search results because any edits to a bibliographic record automatically affect the search result. Plans are being made to apply this process to lost items and items being held due to lack of available funding. There is great application potential to other uses for the storage and dynamic retrieval of information using this process.

Appendix I

Procedures for Creating the NYP Record

A. Field Descriptions

The following table lists the most common fields used either on MLP or full records.

<i>Field description</i>	<i>Tag</i>	<i>Text</i>
ISBN	020	*
Personal Author	100	*
Title	245	*
Edition	250	*
Publication info	260	*
Projected pub. Date	263	Enter if known
Price	350	Dollar or foreign currency amount
Series	490	*
General note	500	This field will be used to enter special instructions. Note will begin with the Library : (colon) Note (e.g., Great Valley: Notify Potasky)
Funding info	536	Fund ID. If request has information regarding diversity, program or international codes, the information is entered after the fund separated by a comma using abbreviations in upper case (e.g., IST-GV-MN-1001, PROG: IST)
Selection list	594	This field consists of the following sub fields: aNYP b2 letter Library Code (Holding Code) <i>Example: UP (UPJOE3BK)</i> or <i>for Commonwealth Campuses as:</i> bCCL (space) 2 letter Library Code (Home location) <i>Example: CCL FE (STACKS-FE)</i> cFund acronym (SOCIO, AGBIO, etc.) dMonth to review publication status (Do not use any abbreviations ; input full month name, capitalizing the first letter) <i>Example: January</i>
Added entries (personal or corporate names)	7XX	*

Appendix II

Not Yet Published Order Requests Available for Viewing in the WebCat University Park Subject/Collections Accounts

Bibliographic records are entered in Unicorn for order requests for items with a publication status of "not yet published" (NYP). Orders for these items will not be placed until the item is available. NYP records will be reviewed routinely based on expected publication date. These records are "shadowed" and will not display in the public WebCat. To view all University Park NYP requests scheduled for review in a particular month, click on the month below:

July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June
------	-----	------	-----	-----	-----	-----	-----	-----	-----	-----	------

To view NYP order requests for a subject/collections account, click on the account acronym in the table below. This will take you directly to the WebCat to view a listing of the titles. To view all University Park NYP order requests, click on ALL UP NYP. To view all NYP order requests, click on ALL NYP.

ACQ	ADMJS	AFRAM	AFRST
AGBIO	ANTHY	ARCHT	AREA
ARTBZ	ARTGL	ARTHUGRP	ARTHUREF
ARTPT	ARTS	ASNST	BEHSC
BUSGRP	BUSREF	CAT	CHPHY
CLASS	COLGN	COMEG	COMM
COMPLIT	COMPS	CONTM	CURIN
DANCE	DATA	DIVERSITY	DOCS
EARTH	ECON	EDCOUN	EDGRP
EDREF	EDUC	EMSGRP	ENDLIB
ENGIN	ENGSH	FILM	FIN
FOLK	FRNCH	GENRL	GEOG
GERMN	GLBS	GLOBAL	HELTH
HISBK	HIST	HISTSCI	HRIM
HUMREF	ILL	IST	ITAL
JEWSH	JUVED	LABOR	LATAM
LAW	LIBS	LIFE	LIFEGRP
LING	MANG	MAPS	MATH
MICRO	MIDE	MILSC	MKT
MNIND	MUREC	MUSCO	MUSIC
NEWS	PACENTER	PENNS	PHED
PHILO	POLSC	PRES	RARAP
RAREB	RELIG	REPL	RESBK
SCIGL	SLAVC	SOCIO	SOCREF
SOCSCGRP	SPAN	SPECH	SPSE
THART	WOMEN	ALL NYP	ALL UP NYP

Not Yet Published Order Requests Available for Viewing in the WebCat Campus College Library Locations

Bibliographic records are entered in Unicorn for order requests for items with a publication status of "not yet published" (NYP). Orders for these items will not be placed until the item is available. NYP records will be reviewed routinely based on expected publication date. These records are "shadowed" and will not display in the public WebCat. To view all CCL NYP requests scheduled for review in a particular month, click on the month below:

July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June
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To view NYP order requests for a Campus College Library location, click on the location in the table below. This will take you directly to the WebCat to view a listing of the titles. To view all Campus College Library NYP order requests, click on ALL CCL NYP. To view all NYP order requests, click on ALL NYP.

ABINGTON	ALTOONA
BEAVER	BEHREND
BERKS	DELAWARE
DUBOIS	FAYETTE
GREAT VALLEY	HARRISBURG
HAZLETON	LEHIGH VALLEY
MCKEESPORT	MONT ALTO
NEW KENSINGTON	SCHUYLKILL
SHENANGO	WILKES-BARRE
W. SCRANTON	YORK
ALL CCL NYP	ALL NYP

Appendix IV

Example of search results of the WebCat utilizing a defined URL to find bibliographic records in the shadow catalog for NYP items funded on the ENGIN account:

