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A Program of the Minnesota Higher Education Coordinating Board

# Planning and Library Cooperation

The following is the text of a speech given by Dr. Susan Powell, Director, Program Planning and Coordination, Minnesota Higher Education Coordinating Board at the August 17 St. Paul meeting on Multi-county Multi-type Library Cooperation in Minnesota:

I would like to focus my comments on two primary topics today: cooperation and planning. I speak to you with the biases of an educational planner, as I am not a trained librarian. As an individual who speaks for and works with an agency whose raison d'etre is cooperation and planning, I would like to present my experiences with the liabilities and problems of cooperative planning as well as its attributes. Finally, I would like to articulate my ideas about how one might consider going about the planing process.

One would be hard pressed to claim cooperation to be anything but a pure form of "good". The assumption that cooperation is good is based upon both qualitative and quantitative assumptions about the world we live in. Qualitatively, in a modern society, cooperation connotes civil exchange, friendship, diplomacy and compromise--all fundamentals of human exchange of the highest quality. A breakdown of cooperation leads to breakdown in communication and eventual disorder. Quantitatively, increased cooperation assumes less duplication, and, presumably, therefore reduction in costs, and increased services. Thus, cooperation is perhaps the critical component in a peaceful and productive environment.

As one embarks upon a cooperative or sharing effort, however, readdressing potential pitfalls may be in order. My concern here is specifically library cooperation. I would like to pose to you several questions for your consideration.

(1) What does cooperation mean when it assumes sharing? What does sharing mean? Sharing does not mean equality; some participants will give more than others. Cooperation means sharing resources, needs and responsibilities. A number of libraries that have joined cooperative efforts believe that they are "haves" giving to "have nots."

(2) What are the costs of cooperation and sharing? The biggest costs will be time--time for meetings and planning. These costs are not insignificant and must be budgeted for.

(3) What are the tensions that will be created when there are conflicts between local autonomy and cooperative responsibility? Cooperative agreements must not be made at the expense of the library's primary users, if you assume, as I do, that service to local users should not be diminished in any way.

Membership in a cooperative effort will have permanent long-range effects upon library policy--upon delivery of services, bibliographic standards, collections and retention. In other words, it's a serious arrangement. Once a library embarks upon cooperation, it will never be the same.

The problems of cooperation, just mentioned, become an important backdrop to any scheme in the development of the planning process. I firmly believe, because of the problems inherent in any cooperative effort, that the process one uses in

planning is critical. In fact, I would say that in many instances process becomes more important than product or outcome because it establishes the tone and nature of relationships that will be permanent. Plans can be changed, but the emotional commitments and trust, or lack of it, are extraordinarily difficult, if not impossible, to alter if severely damaged.

The basic components of cooperative planning can vary a hundred ways, but I will briefly outline here things that I believe are essential ingredients of good cooperative planning.

(1) Planning must be a participatory process. When priorities are being established among limited available resources, all interest groups affected should have input into the decision-making process.

(2) The need for the participation of the different interest groups in planning suggests a decentralized planning procedure. This implies that planning may best be conducted as close to the "grass roots" as possible, preferably regionally or community based, and coordinated at the state level.

(3) Assumptions must be clearly established and reasons for the establishment of priorities should be fully rationalized. Planning assumes a certain value system. Assumptions are made, sometimes explicitly, more often implicitly, as to who should be served and how. Priorities for action are then established and framed within these assumptions. Assumptions, therefore, must be clearly stated.

(4) Overall goals must be established and clearly articulated. When goals are being determined, the following questions need to be addressed:

- What will be the acceptable scope of the content, quality, and purposes of the programs?
- How can the burden of the costs of services be shared and distributed?
- What will be the time frame for achieving the accepted goals and how will the process be phased?

A set of premises, formulated with as much clarity as possible for each situation --the state, region, community or learning clientele--is needed to serve as a set of social parameters. These values affect the characteristics and functions of the system and will determine the focus and relevance of the planning process.

When establishing goals, we need to remind ourselves to re-evaluate and focus in upon those services that we best perform. Be cautious about spreading yourselves too thin and taking on functions others are better trained to do. It is here that I must raise some warning flags concerning what people are referring to as "lifelong learning." Lifelong learning, while a sexy idea, is difficult to implement (we're not really sure what it means) and lacks substantial state or national support. I would suggest that you carefully define your role so that you furnish only those services which are not currently available through other institutions or organizations.

(5) Information about existing programs and services needs to be gathered and assessed. This is "needs assessment." Again, pertinent questions to be addressed are:

- What programs are currently available and whom do they serve (age, sex, income distribution)?
- How are the programs/services administered?
- How are the programs/services financed and how are the burdens of costs distributed?

(6) Current programs and services need to be evaluated in terms of:

- The clientele they serve (age, sex, income distribution, geographic distribution).
- The program/service cost.
- The cooperation and coordination of the program with other programs in the geographic vicinity.

(7) A determination of the fiscal and human resources available for these services will need to be calculated.

(8) If demand for services exceeds the resources available for supplying the services, priorities will need to be re-evaluated and, if necessary, re-established.

(9) The plan needs to be implemented. I might add that the development of a plan is easier than its implementation.

- Given the supply and demand for services, determinations of who should do what will

need to be established. The role, scope and functions of institutions in relation to library services will need to be examined in depth and clearly defined. Services best performed in one sector need not be duplicated in another sector. This reinforces the need for an adequate evaluation process. Some resources may need to be redistributed away from one sector into another sector deemed nore adequately equipped to perform the job.

(10) The planning procedure must be a continuous process of:

- The re-evaluation of goals.
- The participation of those affected and interested in the planning process.
- The assessment of existing needs and resources.
- The assessment of new needs.
- The methods for meeting the needs (financial/structural/programmatic).
- Implementation.
- Re-evaluation.
- Re-assessment.

Planning must not be a static process. Planning should be seen as a continuing process, a framework for adjusting to new needs as they occur while eliminating that which is no longer in demand. The flexibility needed to respond to a rapidly changing environment can be built into carefully designed planning procedures.

In conclusion, I would like to make two final comments.

First, it is difficult to plan under any circumstances, but particularly difficult in our current era of fiscal crisis, retrenchment and recession. Such an environment frequently demands "crisis management" as present problems overwhelm any attempt to look toward the future. However, I will argue that it is more critical than ever to plan carefully for the management of scarce resources for the future, or almost certainly services for our children will be severely diminished.

Second, and finally, I would like us to keep in mind the question, "Who are we planning for?" We are planning for people, not institutions, planning for human needs, not just institutional needs. While it is easier in the short run to concern ourselves with building institutions, in the long run it will be the impact those institutions have upon individuals that will measure their success or failure.

## Reference Service Evaluation

During the month of October, the Back-up Reference Service will conduct a survey on participant satisfaction with its work. Responses to reference requests received in October will be accompanied by a yellow, half-page form which asks the librarian making the request to MINITEX to provide three pieces of information: (1) the date the material or answer was received, (2) the timeliness of the response, and (3) the usefulness of the information provided.

Responses to the questionnaire will provide us with a picture of our delivery system by telling us what the interval of time between material leaving our office and its arrival at the user's library was. Responses on the timeliness and usefulness of the information received will help us to evaluate the Reference Service and plan for its future. In this regard, additional comments not specifically requested on the form would be greatly appreciated.

The form will also provide a convenient means of asking that MINITEX Reference Staff do further work on a particular question. Please do not hesitate to do this if the information provided is not on target and you would like us to make another attempt.

An addressed envelope will be included with the questionnaire. Thank you in advance for taking the time to complete and return the forms to us.

# New Advisory Committee

The Minnesota Higher Education Coordinating Board has announced the membership of the MINITEX Advisory Committee for 1979-81. All of the voting members were appointed upon nomination by their respective membership groups. The two-year term of membership extends from August 1979 through July 1981.

Voting members are Deborah Brude (Anoka AVTI), AVTIs; Janice Landsverk (Austin Community College), Community Colleges; John Berling (St. Cloud State University), State Universities; Donald Pearce (University of Minnesota, Duluth), University of Minnesota Coordinate Campuses; Eldred Smith, University of Minnesota Twin Cities; Robert Suderman (Bethel College), Private Colleges; Marlys O'Brien (Kitchigami Regional Library) Regional Library Systems; Robert Rohlf (Hennepin County Library), County-Public Libraries; Ortha Robbins (Saint Paul Public Library), City-Public Libraries; Lois Byrum (Department of Education), State Agency Libraries.

Ex-Officio members are Alice Wilcox, Director of MINITEX; Peter Roll, University of Minnesota Administration; Susan Powell, Minnesota Higher Education Coordinating Board, Program Planning and Coordination Division; and William Asp, Director of the Office of Public Libraries and Interlibrary Cooperation, Department of Education.

# OCLC and Library Automation

WHAT IS OCLC ANYWAY?

OCLC, Inc., a not-for-profit corporation based in Columbus, Ohio operates an on-line library system for academic, public, and special libraries. Established in 1967 as the Ohio College Library Center, the organization changed its name in 1977 to reflect nationwide growth from 54 Ohio libraries to 1,800 libraries in 49 states.

The purpose of OCLC is to promote the evolution of library use, of libraries themselves, and of librarianship. OCLC has two fundamental objectives: to increase the availability of library resources for users of participating libraries, and to reduce the rate of rise of per-unit costs in libraries.

To achieve its objectives, OCLC has designed a computer network system. Approximately 2,800 specially designed cathode ray tube terminals are linked to the OCLC computer facility in Columbus, Ohio, by dedicated, leased, synchronous telephone lines.

Users at OCLC-connected terminals have at their fingertips an on-line file of information about 5 million books and other library materials. By typing simple commands on the terminal keyboard, users can retrieve needed information in seconds. The information that appears on the terminal screen may be used again and again by libraries in the network system.

The overall design for the OCLC system provides for these subsystems:

On-line Union Catalog and Shared Cataloging
Interlibrary Loan
Serials Control
Acquisitions

Others, such as Subject Access, Circulation Control, and Remote Catalog Access, are in developmental stages.

These subsystems will constitute an integrated, comprehensive on-line system to support libraries nationwide. The systems are being developed so that a future national or international network could be established without major redesign and major investment in new software. (OCLC Brochure)

COMPUTERS: NO SMALL OPERATION

At present, OCLC occupies space in three different buildings. OCLC's computers occupy a room one-half acre in size. Three hundred and sixty tons of air-conditioning are used. A new facility which will house all staff and equipment was begun this summer. The new facility will be located on 40 acres and will be four stories high with a three-story computer facility, a 150-seat auditorium and a cafeteria. In the new building, computers will generate 300 percent of the heat needed.

(continued)

Terminals are connected to multi-line circuits (25 per circuit) encompassing 97,000 miles of leased telephone lines (this amount could serve a city of 15,000 people). The four Sigma 9 computers each accumulate two discs of tape each day for printing cards with provision for 20,000 different formats. There are six IBM printers with full ALA character sets which can print 600 lines a minute. Each week eight tons of paper are needed for catalog cards.

Power to run the system is from utility sources ($440 daily bill). OCLC has generators to even out fluctuations and to supply power in case of utility failure. Several hundred thousand dollars of cables lie under the floor of the computer area. Anti-fire precautions include use of Dupont HALON. A Caterpillar diesel engine with 500,000 watts capacity can yield enough power to run the on-line system, as it did for 22 days during the 1978 coal strike. A 10,000 gallon underground storage tank holds 25 days supply of diesel fuel. Automatic computer controlled switching involves use of batteries and generator which would keep the system operating during a switch from utility to OCLC power with communications uninterrupted. (OCLC and Health Science User Group newsletter)

## HISTORY OF MINITEX OCLC PARTICIPATION

The following statement was prepared as a short historical summary of MINITEX OCLC participation for the MINITEX Advisory Committee:

In 1975 the Minnesota Council of Academic Library Directors (MCALD) identified two urgent needs which needed to be met to insure effective and efficient delivery of library resources within their institutions and the network: (1) the development of a machine-readable bibliographic data base for library materials use; (2) the implementation of a systematic cataloging process to reduce costs and improve processing time. At the September 22 meeting MCALD formally requested that the Minnesota Higher Education Coordinating Board (MHECB) and MINITEX negotiate an agreement with OCLC, Inc. for services to MINITEX libraries and seek foundation funding to assist in the implementation. MHECB submitted a grant proposal and negotiated a contract with OCLC.

The funds provided by the Bush Foundation, $216,066 in July 1976 and $134,980 in October 1977, together with $88,000 of institutional grants from the Kellogg Foundation have assisted 71 libraries, using 70 terminals, to begin building a MINITEX Minnesota/North Dakota/South Dakota data base of library holdings in an on-line cataloging system currently provided through OCLC, Inc. In addition, many participants are adding their retrospective holdings to the data base which will facilitate increased resource sharing among libraries in MINITEX and provide local libraries with additional alternatives to the costly card catalog.

On December 21, 1976, St. Cloud State University input the first record on the data base through our contract. To date over 1.7 million holdings records have been entered into the machine-readable data file and are available to all participants on-line. Current projections assume a continuing growth of about one million additional records annually for the next five years.

In preparation for participation in this cataloging system, approximately 150 librarians from all participating libraries have received extensive training and all continue to receive additional orientation and training through a system of regular workshops as well as special meetings with external resource personnel.

MHECB completed a survey of participating libraries as part of our regular review process and in preparation for negotiations for contract renewal with OCLC. The results of the survey indicate significant opportunities for improvement of the service among participating libraries and an increased awareness of the benefits received from such automated service.

Foundation monies have assisted MINITEX/OCLC participants to reinforce and expand local and regional library cooperation. Participating libraries have made impressive use of OCLC services and the opportunities available through automation.

## COOPERATIVE CATALOGING

The OCLC data base contains 5 million bibliographic records of everything imaginable that libraries have acquired and cataloged for their collections. From a Gutenberg Bible to puppets; from Alex Haley's Roots in movie, sound recording, hardcover and paperback to an obscure early 20th century government publication from India; OCLC has enouraged libraries in the idea that someone's ephemera could be someone else's research material. Retrospective conversion of special collections, both geographic- and subject-oriented, has enriched its coverage.

Linked to each record in the On-line Union Catalog are location symbols identifying libraries that have used the record for cataloging. As libraries convert retrospective cataloging to machine-readable form, the union catalog becomes increasingly useful for locating bibliographic materials. Nearly 45 million location listings are contained in the On-line Union Catalog.

A user retrieves bibliographic records from the On-line Union Catalog by using one of several search keys: LC card number, ISBN, ISSN, OCLC control number, CODEN, and keys derived from name, title, or name/title combinations.

Currently most libraries find cataloging for over 93% of their titles already in the On-line Union Catalog. If a library finds a record for an item, it adds its call number, local added entries and holding symbols to the record. If a similar record is found, the system can incorporate some information from the similar record into a new record for the work in hand. If no record is found, the library creates and enters the cataloging in the data base. A library may order printed cards from records it has used or created and a machine-readable record is generated.

OCLC is a cooperative project; all participants agree to do all their current Roman alphabet cataloging on the system. If original cataloging must be done because an existing record is not found on the system, this new record is contributed to the on-line catalog. In this case the library pays only for the catalog cards it orders from the record and not for use of the record. Holdings information and any new records are immediately available to other OCLC participants. If a library modifies an existing record for its own cataloging, this change does not become a permanent change in the OCLC data which is diplayed when that record is displayed in the future. The transaction, however, is recorded on the machine-readable archival record for that particular library.

OCLC participant responsibility is to not duplicate a record already existing in the data base. Limitations on searching technique make this determination impossible at times, but all search options should be thoroughly exhausted before creating a new record. There are, naturally, opportunities for abuse of the system, and some policing and control are possible, but only at a minimal level. It is assumed that catalogers and terminal operators understand fundamental rules and function accordingly.

Good bibliographic records are essential to all of OCLC's developing subsystems. Knowing that each record originally input is a contribution and saving to someone else makes those who participate responsible for the data base. The strength of the OCLC system began and remains with cooperative cataloging.

## FTU

As soon as a library becomes an OCLC participant, it begins to talk about FTU's. Those three letters seem to have magical properties, and their meaning is sometimes clouded.

FTU means "first-time use" of an OCLC record. When a cataloger or terminal operator, having logged onto the OCLC system with a cataloging authorization number, discovers a record in the On-line Union Catalog which the institution has not previously used and they did not input in the first place, a first-time use charge is levied for creating cataloging for this institution. This FTU is applied when the library uses for the first time a record which already exists in the data base. Typically, the record may be modified for local needs--changes in a call number, a note, additional subject headings, etc. The terminal operator uses the "PRODUCE" command to ask that custom catalog cards be prepared for that

bibliographic record and also to have the institution's three-letter identification code attached to the record in the On-line Union Catalog.

Libraries which do not have card catalogs, but use OCLC to create machine-readable cataloging, are also levied first-time use charges. Instead of a "PRODUCE," these libraries are charged as use of the "UPDATE" command is made.

In either case, the FTU is levied only once, the first time an existing record is used. If the library recalls the record for any subsequent activity (to produce additional cards or to modify a record) no additional FTU charges will be assessed. If the library cancels its holdings from a record, however, and later decides to "use" the record again, another FTU would be levied.

## NOW WHAT DO WE DO?

So you want to become an OCLC participant?

The first step for potential MINITEX OCLC participants is to contact the MINITEX office, either by phone or letter, and express a desire to become an OCLC user. Usually a meeting is arranged with the library director and the MINITEX director to discuss actual participation.

The library then receives an "Agreement on Use of OCLC" which is an agreement between the library and the Minnesota Higher Education Coordinating Board (MHECB) for OCLC services as contracted between MHECB and OCLC. The agreement outlines each party's responsibilities and conditions. Signed and notarized, the agreement gives the go-ahead for MINITEX to begin the steps for participation.

A meeting is arranged with the library staff and the MINITEX Coordinator for OCLC Services to complete an Implementation for Terminal Installation (TI) form and to begin work on the Catalog Card Profile Questionnaire. The TI describes who the institution is, where the terminal will be located, and what it will be used for (primary use for all new participants would be cataloging). The form is then sent to Installation Services at OCLC where it signals that a MINITEX terminal is now to be dedicated and a direct telephone line installed. At the meeting, the Profile is explained and the library may or may not complete the questionnaire at this time. A Profile is a description of an individual library's cataloging files and practices.

When the Profile is returned to the MINITEX Office, the information is reviewed, partially translated into code form, and sent to the Profiling Section at OCLC. Staff there note the receipt of a completed questionnaire and project a date that the Profile will be loaded and ready for card production. This date is sent to Installation Services who release the terminal and begin the process of arranging for the telephone lines, modem and data set which permit communication between the terminal and the central OCLC computer. The time lag between release of a terminal and its installation is currently approximately twelve weeks.

The library is not just sitting and waiting during these twelve weeks. Arrangements are made for staff members to learn (if not already known) the International Standard Bibliographic Description (ISBD) and AACR 1 Cataloging Rules. Standards for input of current cataloging require familiarity with these rules. The cataloging staff also learns how to transfer bibliographic information into machine-readable records using the MARC format. Depending on the number of participants in the network coming on to the system at the same time, these "tagging sessions" may be held as a workshop for new users (or new staff members of currently active OCLC-member libraries) or as an individual session at the library.

When the terminal arrives, the library calls the MINITEX Office and arranges for a training session on how to search the OCLC On-Line Union Catalog. Depending on the geographic location and the number of staff members involved, training may be held at either the MINITEX Office, using the MULS/CONSER terminals, or at the "new" institution. These sessions are basically practical in nature. They begin with a description and demonstration of what the terminal is and how it works, follow with the procedures for searching, and conclude with hands on experience. These sessions usually

last anywhere from three to four hours and appropriate documentation is provided for later referral.

By this time, the notification that the library's profile has been completed and loaded into the computer system at OCLC will have been received at the MINITEX Office. Authorization numbers which permit the new library to communicate with OCLC have also arrived.

The input training session is scheduled for two to three weeks after the searching session to give the library staff time to become acquainted with the terminal and familiar with the bibliographic record display. Libraries are encouraged to spend this time studying the MARC record by comparing traditional catalog cards with the bibliographic records that appear on the OCLC screen.

The input training session is usually divided into three parts. The first part is held in the morning and is an introduction to the documentation. All of the necessary documentation to operate with the Cataloging Subsystem is present and especially important information is highlighted. A demonstration of procedures, using items which the library has previously searched and found on the terminal, is next. Some of the internal operating procedures of the library are discussed, and questions about the profile and how it relates to actual card production are answered. The better part of the day is then devoted to hands-on experience with library cataloging staff members producing cards for materials. As many different situations as possible are simulated. Possibilities for workflow and profile changes may be identified.

Libraries are encouraged to call the MINITEX Office when their first sets of catalog cards arrive and they have checked them carefully to see that everything is as they requested. The library is also encouraged to call the MINITEX Office as other questions arise. Continuing contact with the library is maintained through regular mailings of documentation, workshops and meetings, and site visits.

## PROFILING IS AN EXERCISE IN IDENTIFICATION

One of the first things a prospective OCLC participant does is complete a Catalog Card Profile Questionnaire. The questionnaire helps libraries to identify their holding libraries (collections of materials) and receiving catalogs (any separate sequential arrangement of entries). An example of a holding library is a Reference Collection with its own shelflist the receiving catalog. Many libraries have found this identification process a useful exercise and an opportunity to re-evaluate their collection arrangement and treatment. Files which mave not been used for years are sometimes discovered, while other collections may be identified for control for the first time.

Each section of the questionnaire includes options that the library must choose and poses questions the library may ask itself. The profile asks for a definition of the catalogs used in the library--are they dictionary or divided, and if divided, how? Libraries can decide what portion of the full bibliographic description is to be printed on each card--are tracings to appear on all cards or only the main entry? Are contents notes to appear? These are a few of the many questions raised. Examples of others are: What kind of subject headings are used in the collection? Is Library of Congress used for everything? Does the health science collection use MeSH (National Library of Medicine Subject Headings)? How many classification schemes are used and what are they? Is Library of Congress used for everything? Is the local accessional scheme for sound recordings going to continue? Are government documents classified by LC or SuDocs? Does the collection have an oversize section? What are the requirements for an oversize designation? What should the designation be?

Ideally the profile preparation is an opportunity for the whole library staff, not just the cataloging division, to take a careful look at their collection's organization and to determine the best possible arrangement, not just copy current procedures. This affords the library an opportunity to rethink its procedures and workflow, and to use automation effectively.

## RETROSPECTIVE CONVERSION

When a library joins OCLC, it agrees to input all current, Roman font cataloging onto the On-line Union Catalog using the Cataloging Subsystem. These libraries, however, may have as many as thousands of titles in their collections which are already cataloged. Retrospective conversion is the entry of existing catalog records (usually found on a shelflist and/or catalog main entry) onto magnetic tape through the OCLC system. These records are added to the institution's archival tape along with current cataloging so that at the completion of a retrospective conversion project, the bibliographic information for the entire collection will be in machine-readable form.

To encourage libraries to input their retrospective titles, which will expand the OCLC data base not only for cataloging use but also for location information, OCLC has established special authorizations and billing rates for institutions which define a Retrospective Conversion Project. Participants follow the same routines as in the cataloging subsystem, but instead of producing cards for each record, the records are updated.

This updating adds the library's three-letter institution symbol to the holdings appearing with the bibliographic record in OCLC's online catalog. Updating also adds the record to OCLC's archival tape file for storage and, for MINITEX libraries, onto the network's multi-institutional tape. All information that appears on the terminal screen is part of the archival tape record. Cards are not produced. The updating transactions in Retrospective Conversion Projects do not result in billable first-time updates as long as they are authorized projects and the operators have logged on the system with their special authorization numbers. The update command will be counted, but will not be billed to the library by OCLC. If a library decides to order cards, however, a PRODUCE command made on a retrospective conversion authorization number will result in a billable first-time use of the record.

Some generalizations on how to proceed can be made for any institution. Because a retrospective conversion project involves work beyond current cataloging activity, most conversions are undertaken only after cataloging staff have developed an adequate understanding of the OCLC system and its impact on internal cataloging operations. Conversion projects are typically organized to take advantage of Saturday and evening hours of operation. Under supervision, part-time, temporary, nonprofessional personnel may be assigned to the major portion of the work. Requirements and limitations on decision-making should be well-defined. In some instances, institutions purchase an additional OCLC terminal specifically for the retrospective conversion project and hire and train enough new personnel to complete the project quickly. Recognition of the elements of bibliographic information and the ability to determine whether or not the OCLC record matches the library's catalog record are the major skills required. Variant editions and any items not found must be identified so that modified or original records can be added. Terminal operation is not particularly difficult. Basic searching skills can be learned within a few hours. Editing of the call numbers and holding can also be learned rapidly and it does not take more than a few minutes to learn to use the UPDATE and SEND keys.

Most libraries begin their projects by searching their shelflists (often beginning with the A's or Ø's) against the data base to find Library of Congress cataloging records. When found, local information for call numbers and holdings are added and the record is quickly updated. Those matches are usually fairly simple and straightforward so that the first pass through the shelflist is relatively smooth and rapid. Non-LC matches are flagged and referred to professional personnel who either edit an existing record or prepare a new record to be input on the second pass through the shelflist. First pass hit rates (matches of shelflist with data base record) have been as high as 95% for some collections. As an additional benefit, extensive weeding projects have also been successfully combined with retrospective conversion.

Obvious considerations in retrospective conversion include the type, accuracy, and completeness of the library's shelflist, the type and size of the collection, and the personnel available either to do the work or to supervise additional staff. (See also the MINITEX Messenger, vol.4, no.6, June 1979 for a summary of some of the retrospective activity in MINITEX as reported at the Catalogers Users Group meeting at

Concordia College, Moorhead, Minnesota in May 1979.

The following MINITEX OCLC participants currently have defined retrospective conversion projects:

Hibbing Community College
Hamline University
Itasca Community College
Augsburg College
Bemidji State University
College of St. Catherine
College of St. Benedict
Gustavus Adolphus College
Winona State University
St. John's University
Bethel College
Mankato State University
Carleton College
St. Olaf College
University of Minnesota, Waseca
James J. Hill Reference Library
College of St. Scholastica
College of St. Thomas
Southwest State University
University of Minnesota, Morris
St. Mary's College
College of St. Teresa
Minneapolis Public Library and Information Center
St. Cloud State University
North Dakota State Library
Ramsey County Public Library
Saint Paul Public Library
Tri-College University Libraries
University of South Dakota

Getting a machine-readable record of one's collection allows a library many options: alternatives to the present catalog, print or microform copies of the entire or designated segments of the catalog, automated circulation systems, etc.

## RECLASSIFICATION

Many libraries are in transitional stages of reclassifying their collections. The most obvious reclassification example is a change from the Dewey Decimal Classification scheme to the Library of Congress Classification Scheme for current cataloging. Sometimes a change can be from an accession number system to a more traditional classification scheme (such as Dewey of LC) for sound recordings or audio-visual collections. There are even examples of libraries which have reclassified their entire collection.

OCLC participation can help a library in its reclassification effort. The library defines a Reclassification Project and applies for a special reclassification authorization number. This number allows the library to re-catalog its items on the terminal into the new classification scheme. Instead of being charged the full price, the library is billed only one-half the regular first-time use rate. This reduced rate encourages libraries to use the OCLC data base records (often the desired call number is already included in the record) and will cause additional contributions to the data base as original cataloging for unique items in the collection are input.

Currently the following MINITEX OCLC participants are involved in reclassification activity through OCLC:

Austin Community College
Legislative Reference Library
Augsburg College
College of St. Catherine
St. John's University
Bethel College
Mankato State University
Carleton College
St. Olaf College
North Central Bible College
South Dakota Historical Resource Center
South Dakota State Library
University of North Dakota
University of South Dakota

## ARCHIVAL TAPES

The phrase "machine-readable record" and its counterpart "archival tape" run through all OCLC operations. The words sound good and everyone agrees with them, but most of us have a difficult time explaining them or even bringing some image to mind.

The cataloging produced by OCLC participants is available in the form of standard MARC records through the OCLC/MARC Subscription Service. All records are directed to a subscription file as they are produced or updated, resulting in a chronologically arranged sequence of all "uses" of any records treated by the library's terminal(s)

operating in cataloging mode (this includes any retrospective and/or reclassification work). Data is not cumulated from one record to the next for records with the same OCLC number. The subscription file is a historic file of the library's activity on the OCLC system. Essentially, the information that appears on the terminal screen when the SEND key is depressed will be on the tape.

The tape subscription is available weekly, bi-weekly, monthly, quarterly, and semi-annually. Institutions order their tapes and then either manipulate their own data or contract with an agency or vendor to produce the desired output. Some examples of archival tape activity are:

(1) Bethany Lutheran Seminary put its entire collection on microfiche.

(2) CLIC libraries (Augsburg College, Bethel College, College of St. Catherine, College of St. Thomas, Concordia College, Hamline University, James J. Hill Reference Library, and Macalester College) receive a combined tape which is processed for their COM union catalog.

(3) The Legislative Reference Library will soon be producing the checklist of state publications from their OCLC archival tapes.

(4) Mankato State University is working on a COM catalog.

(5) Minneapolis Public Library & Information Center will soon have a COM catalog.

(6) Ramsey County Public Library will be producing a COM catalog.

(7) St. Cloud State University has produced separate catalogs of parts of their collection: reference, AV, etc.

(8) Saint Paul Public Library will be producing a COM catalog.

(9) Tri-College University Libraries (Concordia College, Moorhead State University, North Dakota State University) are using their tapes to add to their COM catalog.

And many MINITEX libraries are exploring the possibilities for use of these machine-readable records on their archival tapes.

INTERLIBRARY LOAN SUBSYSTEM

The OCLC Interlibrary Loan (ILL) Subsystem is a library-to-library on-line communication system. It is designed to encourage and to support more efficient and effective exchange of information and library resources. Linked to each record in the OCLC On-line Union Catalog are location symbols identifying institutions which have processed the described item through the Cataloging Subsystem. To locate an item which the library does not own, a user requests a display of the symbols of other institutions which have cataloged the item.

Within the coming year, the holdings symbols will be rearranged to enable a more efficient search for items. Instead of displaying the entire holdings record in its random alphabetical order, the display will reflect the particular geographic area or existing and developing sharing arrangements in which the library participates. Rearrangement of the holdings display will facilitate libraries' use of existing resource sharing patterns and encourage loaning protocols.

If a record for the needed item exists in the On-line Union Catalog, the system automatically supplies the bibliographic description in an ILL workform. To request an item not cataloged, such as a photocopy of an article, the user enters a simplified bibliographic description in an ILL workform. The user can specify the maximum fee that will be paid for photocopies.

The borrowing library can specify up to five potential lending libraries. The system transmits the loan request to one library at a time. If a library does not respond affirmatively within four days, the system transmits the request to the next library. After receiving an affirmative response, the system ceases further queries.

The lending library ships the item and updates the on-line ILL record with this information: restrictions on use of the loaned item, shipping date and due date, addresses and instructions, charges to the borrowing library, and special notes about the loan. The system them transmits a message to the borrowing library.

An on-line message file stores incoming interlibrary loan messages for each library. This file contains notices of new

requests for loans, responses to loan requests, overdue notifications, and special interlibrary loan messages. Upon request, the system displays a list of these pending messages, which users examine to determine necessary action.

The system provides access to ILL records by author's name and title of the loaned item. It enables a library to retrieve records for all items on loan from or to a particular library. The lending library can retrieve records by local call number. The borrowing library can retrieve records by patron name or identification number.

Generally, the ILL Subsystem has received positive response. It has great potential for solving a longtime ILL problem for libraries. The system is still under development, however, and enhancements, including rearrangement of the holding locations, library address file, and statistical support, are projected for the near future. The system quickly identified the long overdue need for resource sharing protocols. Many segments of the library community are currently working on this aspect.

Training on the ILL Subsystem for MINITEX participants began in April, with the majority of libraries trained by the end of the summer. Sessions for those not yet trained are being arranged as requested.

## SERIAL CONTROL SUBSYSTEM

The OCLC Serials Control Subsystem is intended to provide for three aspects of inventory control of serials: check-in, claiming, and binding. Currently, only the check-in capability is available to participants. The other parts are being developed.

Libraries which use the subsystem increase the availability and timeliness of their serials information. Staff and patrons have on-line access to up-to-date, detailed, copy-specific holdings and location information for serials in the library. Using the OCLC On-line Union Catalog, libraries can access the bibliographic information for serials input by any library. The CONSER (CONversion of SERials) project, of which the Minnesota Union List of Serials is a part, has contributed to building a serials data base of over 200,000 titles. MULS has contributed or added holdings to over 100,000 of these records. Through this project, the Library of Congress and the National Library of Canada have authenticated the bibliographic information for over 85,000 of the records.

The subsystem enables each library to build its own on-line file of complete, detailed holdings statements for each copy. In addition, the library may enter receipt dates for the last six issues. When an issue is received and checked in, the system automatically updates holdings information, including date received. Based on the title's frequency of publication, the system predicts and displays the next expected issue number and receipt date. The system identifies a missing issue if a gap in the issues checked in occurs.

Serials cataloging in the On-line Union Catalog is naturally linked to the check-in system. To encourage libraries to make their serials cataloging available for the serials subsystem, their is no "use" charge for serials cataloging. In other words, there is no "first-time use" charge. This may change, but at the present time OCLC feels that bibliographic control of serials is so important that they make free use an incentive for it.

OCLC serials cataloging is, in fact, required before the OCLC Serial Control Subsystem will be implemented for a library's file of current subscriptions. Serial cataloging can be produced by OCLC for libraries in the form of catalog cards. Since OCLC uses the standard MARC-S format for distributed versions of serial cataloging, data files based on OCLC records will fit well with existing MARC-S files and projects.

CONSER participants (including the national libraries of the United States) have the responsibility to build this file by contributing their own records, enhancing each other's records, and, in the case of LC and the National Library of Canada, authenticating bibliographic records. This is truly a cooperative endeavor and is building a significant serial file for use by OCLC libraries.

## ACQUISITIONS SUBSYSTEM

The OCLC Acquisitions Subsystem is planned to provide timely and cost-effective control of the acquisitions of library materials. The system is being designed so that users can place orders for all types of bibliographic materials, renew subscriptions, request publications or price quotes, create deposit account orders, send prepaid orders, cancel orders, create and adjust fund commitment records, and request fund activity reports.

When an item is requested, a user will search the On-line Union Catalog for a bibliographic record to verify the citation. The search also may locate order information from which the user can determine whether the item is already on order and can identify other libraries which have ordered it. If the library participates in a cooperative acquisitions program, the user may learn whether the item is on order by a cooperating library.

To order the item, the user accepts bibliographic information from an existing record (or, if no record is found, enters new bibliographic information) and enters order information such as number of copies, vendor's identification, costs, fund, and requestor's name. The system generates a purchase order, which is transmitted to the vendor. The library receives a copy of the purchase order, if desired. Financial information (encumbrances and expenditures, as specified in the order record) is posted automatically to the appropriate fund record.

Users can consult the on-line name/address directory to identify appropriate vendors. When a user enters a vendor code into an order record, the system supplies the correct name and address. To help libraries control expenditures for library materials, the system makes fund reporting information available both on-line and off-line. When the user records receipt of the item, the system adjusts the appropriate financial records. The item is then ready for cataloging through the OCLC Cataloging Subsystem. An innovative feature of this subsystem is a "Help" screen. If an operator needs assistance to define a particular field on the order form, this screen is requested. After consultation the operator then recalls the acquisitions record being worked on and it returns intact.

OCLC is now in the process of selecting twenty institutions to be part of the user evaluation for Phase 1 of the Subsystem, currently scheduled for the first half of 1980. The institutions selected will agree to use the OCLC Acquisitions Subsystem for their single-title orders during the user evaluation period. Single-title orders may include multi-volume (piece) sets and subscriptions but no bulk orders such as blanket, approval or standing orders. Users will evaluate the Subsystem by applying its functions in their individual situations. The evaluation period is an opportunity to examine workflows and to make suggestions based on experience. Seven MINITEX participants have asked to be considered as evaluators and have completed the Selection Questionnaire.

The first phase of the Acquisitions Subsystem is scheduled to be available to all participants in the beginning of fiscal year 1980/81.

## DOCUMENTATION

The OCLC automated system has not reduced the amount of paper a participating library must handle. On the contrary, with the system constantly in development, new information is always appearing. Just keeping up soon becomes a burden.

Distribution of that necessary information is a critical problem. Each OCLC network has to work out arrangements for its own participants. OCLC generates documents from all levels of its divisions, but coordination is accomplished through its Documentation Department.

OCLC supplies On-line Systems directly to all participants. This is a set of documents that will give directions for use of all operational OCLC subsystems. Eight sections are projected and libraries have already begun to receive some of them. System changes and explanations are provided to all participants in the form of Technical Bulletins. OCLC ships these in bulk to the network offices where they are distributed individually or sent with network mailings. Changes in procedures, requirements, and internal OCLC operations are sent to the networks in the form of Network Memoranda. OCLC also generates special memoranda

and correspondence to all network offices. If necessary, the information is passed on to all participants through a Technical Bulletin or a network's memo series.

The MINITEX Office generates two series of documents: MINITEX Network Memorandum to OCLC Users and MINITEX Network Memo to OCLC ILL Users. Information in these memos is gleaned from other networks and OCLC, and often consists of answers to questions raised by participants. Clarifications and suggestions and, in general, sharing of information is included in these irregularly issued publications.

## THAT TERMINAL!

It is likely that most librarians can remember quite vividly only a few years ago when the word "terminal" meant airport. Now it is part of our daily library vocabulary. Often the installation of an OCLC terminal has been the signal that automation has arrived. "Even here," some might reflect.

Library staff members approach the terminal with one or more of many emotions: fear, disgust, disinterest, anticipation, joy, wonder, relief, sadness. These are soon replaced with "knowledge" and skills. After all, if you know one computer, you know them all.

In addition to the cataloging activity, reference, interlibrary loan and acquisitions staff soon begin using the OCLC terminal in a searching mode to verify bibliographic citations and to discover location information. Many libraries encourage all staff to learn to use the terminal. As an example, St. John's University uses a printout of an OCLC record as the acquisition order form. Simple editing for additional order information is done at the terminal, reducing typing and speeding the technical processing of materials.

Now, OCLC terminals are so much a part of our libraries that we have to worry about scheduling so that everyone has an opportunity to use them when they need them. "Say, when will you be done? Could I sneak in and search just one thing? It shouldn't take long..."

## THE NETWORK

MINITEX staff, as in other networks, play in important role in OCLC activity. The Minnesota Higher Education Coordinating Board has contractual agreements with OCLC for providing OCLC service to Minnesota and its contiguous states. The network staff assist with local agreements, training, documentation, workshops, billing and site visits. They are available to assist local libraries in the effective utilization of a remarkable library automation system.

## THE LIBRARIES

Without a doubt, OCLC will be regarded as one of the major accomplishments of twentieth century librarianship. On-line access to information on almost 50 million items located in over 1900 libraries is difficult to imagine, but is a reality. Regional computerized networks such as SOLINET, AMIGOS, INCOLSA and MINITEX are a phenomenon of the seventies and play a crucial role in introducing automation to libraries.

But the most important element is the local library. That is where library staff have sat at OCLC terminals and input those 50,000,000 records. That is where the collections are. That is where library users come and where those bibliographic records will be used to provide them with the documents, books, journal articles, maps or recordings that they need, efficiently and effectively.

## ACKNOWLEDGEMENT

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Editor's note: This special OCLC section of the Messenger was compiled and written by Julia Blixrud, MINITEX Coordinator for OCLC Services.

## MINITEX LIBRARIES ON OCLC: A DIRECTORY

ACO Austin Community College

AGC North Central Forest Experiment Sta., U.S. Dept. of Agriculture ++ **

APS Austin Public Schools*

AVT Austin Area Vo-Tech Institute*

BPL Veteran's Memorial Library, Bismarck

DML Dr. Martin Luther College

FWB Freshwater Biological Institute**

HCC Hibbing Community College

HOR Hormel Institute*

MAC Macalester College

MBE Bethany Lutheran College*

MBS Bethany Lutheran Seminary*

MCV Mesabi Community College*

MDE Minnesota State Dept. of Education

MHA Hamline University

MHL Hamline University School of Law*

MHS Minnesota Historical Society

MIC Itasca Community College*

MIL Office of Public Libraries and Interlibrary Cooperation*

MLD° Legislative Reference Library, Minnesota Documents Collection

MLL University of Minnesota, Twin Cities, Law

MLR Legislative Reference Library

MNA Augsburg College

MNB Bemidji State University

MNC Concordia College (St. Paul)

MND University of Minnesota, Duluth

MNE College of St. Catherine

MNF College of St. Benedict

MNG Gustavus Adolphus College

MNH University of Minnesota, Duluth, Health Science*

MNI Winona State University

MNJ St. John's University

MNK Bethel College

MNM Mankato State University

MNN Carleton College

MNO St. Olaf College

MNP University of Minnesota, Twin Cities, St. Paul

MNQ University of Minnesota, Waseca

MNR James J. Hill Reference Library

MNS College of St. Scholastica

MNT College of St. Thomas

MNU University of Minnesota, Twin Cities, Minneapolis

MNV Southwest State University

MNX University of Minnesota, Morris

MNY St. Mary's College

MNZ College of St. Teresa

MPI Minneapolis Public Library and Information Center

MSL Minnesota State Law Library*

MST St. Cloud State University

NCA North Central Bible College*

NDS North Dakota State Library

NOR Normandale Community College

NOS° Northern State College

OMC Mayo Clinic (independent)

MINITEX Messenger
30 Wilson Library
University of Minnesota
309 19th Avenue So.
Minneapolis, MN 55455





| | |
|---|---|
| RCC | Rochester Community College |
| RCL | Ramsey County Library |
| RCP | Rapid City Public Library* |
| RRC | Rainy River Community College* |
| SDB | South Dakota State University+ |
| SDC | Yankton College+ |
| SDD | Sioux Falls Public Library+ |
| SDF | Sioux Falls College+ |
| SDH | South Dakota State Historical Resource Center* |
| SDN | North American Baptist Seminary+ |
| SDS | South Dakota State Library |
| SDY | Mount Marty College+ |
| SMT | South Dakota School of Mines and Technology |
| SPP | St. Paul Public Library |
| TDS | Traverse des Sioux Library System |
| TRI | Concordia College (Moorhead)<br>Moorhead State University<br>North Dakota State University |
| UDJ | Northern Prairie Wildlife Research Center ++ ** |
| UDT | U.S. Fish & Wildlife Service, U.S. Dept. of the Interior ++ ** |
| UND | University of North Dakota |
| USD | University of South Dakota |
| USE | University of South Dakota, Law* |
| USF | University of South Dakota, Health Science* |
| VCC | Vermilion Community College* |
| WMM | William Mitchell College of Law* |

* Libraries which share a terminal located at another library
** Libraries which communicate with OCLC through Tymnet
° Libraries not yet operational
\+ Libraries which participate in OCLC through BCR
++ Libraries which participate in OCLC through FEDLINK

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