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From the Editor's Desk . . .

Reflecting the spectrum of interests of RTSD and its Council of Regional Groups, the papers in this issue cover collection development, serials librarianship, retrospective conversion, and the preservation of library materials in general and of newspapers in particular. These facets of technical services librarianship seemed an appropriate theme for the last number of *Library Resources & Technical Services* to appear under the present editorship. With the next issue the editor-designate will become the editor. Sheila S. Intner brings to the post a background in technical services librarianship based on practical experience and teaching. Her many qualifications include a long list of publications and editorial experience. An active member of RTSD, she is conversant with the division's goals and concerns.

Though there can be but a single name on the masthead, it is the contributions of many that make a journal a reality. It has been this editor's good fortune to have the cooperation of many members of RTSD. The editor is indebted to the twenty-one who have served as members of the editorial board for their good counsel, their suggestions, and above all for their enthusiasm and support. The need for brevity precludes their being mentioned individually but their names have appeared on the versos of the contents pages of the last eight volumes. One name, however, must be mentioned: a special vote of thanks goes to Ed Swanson for his efficient preparation of all of the indexes.

In smaller print on the same pages are the names of others whose work has been essential to the regular appearance of the journal—the skilled copy editors and design and layout staff of ALA's Central Production Unit, who have so graciously offered suggestions and helped solve problems over the years. The expertise of Eileen Mahoney and Chere Elliott has been a major factor in the attractive appearance and timely arrival of each issue.

There are many others who have helped to make the editor's lot a happier one—the authors, the referees, the members of the juries that have selected papers for *LRTS*. From many staff members at ALA Headquarters the editor has also received expert assistance. But it is to Bill Bunnell especially that she wishes to express her appreciation. His prompt and knowledgeable responses to requests for information and advice and his never-failing courtesy have helped to make these eight years a rewarding experience for this editor, who joins wholeheartedly in the tribute on the next page.

There is no more fitting conclusion for this last editorial than Thank you!—*Elizabeth L. Tate*.

Tribute to William I. Bunnell

On behalf of all RTSD members both present and absent I want to thank you, Bill, for eight-and-a-half years of loyal and dedicated service to the division. During your term as executive director, RTSD has expanded and flourished. It is recognized by the North American library community as an innovative organization and as an exciting place for young librarians to enhance their professional knowledge and abilities. A large part of the recognition RTSD has received must be credited to your efforts to expand the membership, to make it more representative of all types of libraries, and to advertise the division's achievements and potential. In 1980 you established the regional institutes, cooperating with the Library of Congress on introducing AACR2 to the profession.

The second set of institutes on authorities was equally successful. A pattern was established and the regional institutes continued. You have played a large role in their success through coordinating and supporting them. Without your dedication RTSD would not have been the first ALA division to venture into teleconferencing. The 1983 program was an overwhelming success in part because of the many extra hours you devoted to pulling it together. Recently you introduced the informative and helpful "Administrative Newsletter," a bulletin of current RTSD activities and of ALA activities that impact on the operation of RTSD. I have mentioned only a few of your significant accomplishments as executive director. All the membership joins me in wishing you every success in your future career.

Editor's note: This tribute, occasioned by William Bunnell's resignation as executive director, was written by Judith P. Cannan, president of RTSD, and read at the first Midwinter Meeting of the Board of Directors on January 17, 1987.

The Organizational Structure of Collection Development

Bonita Bryant

Multiple organizational structures at present support the collection development function in libraries. Library literature provides little guidance in determining the optimal organization pattern(s) for this activity. This article reviews the influences of organizational evolution and intentional change, library posture toward collection development, personnel management, and human perspectives upon the establishment of an administrative framework for achieving collection development goals. It encourages further communication on these issues to prepare for the library of the future.

COLLECTION DEVELOPMENT CAN ACCOUNT FOR as much as one-third of a library's total operating budget.¹ One could suppose that this places the collection development organization of a library in a unique position of power. Yet the organizational structure within which collection development occurs in libraries has been accorded little attention in professional literature or in library education. While the very existence of a library revolves around its collections, the attention of library administrators has focused on what has to be done to the collection (technical services) and on what can be done with the collection (public services) rather than on the creation of the collection itself. Two possible factors prompt what appears to be a reluctance to discuss how the development of collections fits into the organizational structure of modern libraries. One is an assumption that collection development has occurred and will continue to occur regardless of who does it or what position the process occupies in the distribution of personnel resources. The other is an awareness of the difficulties in measuring the results of the process qualitatively and in measuring the process itself quantitatively. These uncertainties make it uncomfortable to address collection development organization in an era which emphasizes accountability for fiscal and human resources.

Much current library literature speculates about the impending changes in organizational structure for libraries of the future. Charles Osburn sees collection development as central to the library's future role in bringing together the information universe and the community.² Some librarians might find hope and comfort in the absence of a stan-

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standardized approach to collection development practices among contemporary libraries, believing that this function will then be free to find its proper niche in the library organization of tomorrow, unfettered by the rigidity with which libraries have ordered traditional technical and public services. It seems more reasonable, however, to suggest that collection development's future centrality demands a theoretical and practical base from which to contemplate its eventual organizational manifestations.

As a whole, the literature about collection development deals more with tasks to be accomplished than it does with who performs them. Because organizational structure both depends upon and generates the roles of individuals involved in specific activities, one might suppose that examination of the many articles describing the work of collection developers should guide an inquiry into the optimal organization of collection development. The 1960s and 1970s yielded many discussions of the role of selectors, subject specialists, and bibliographers (referred to as collection developers in this paper), in both American and British libraries, but no conclusions were reached about their appropriate place in the total library organization. More recent publications have acknowledged the role of the collection development officer but have not placed this role in organizational perspective either.

Some effort has been made to describe existing organizational patterns for collection development. Elaine Sloan's doctoral dissertation examined the variations in collection development organizations among a group of large university libraries and observed three basic patterns.³ Jeanne Sohn recently surveyed academic libraries among the membership of the Association of Research Libraries⁴ and James Bobick is collecting quite different information for an ARL SPEC kit on this topic. Rose Mary Magrill and Doralyn Hickey provide brief but useful observations about collection development organizations in various types of libraries.⁵ No one has written prescriptively about this issue, although opinions have not been absent when it has been discussed at the collection management and development institutes sponsored by the American Library Association's Resources Section, Resources and Technical Services Division.

Some of the factors that should affect a library's choice of an organizational structure for collection development are

1. an understanding of the organizational evolution of libraries toward recognition of collection development as a separate function;
2. differentiation among postures adopted by libraries toward the collection development function;
3. awareness of the variety of and problems present in existing patterns of organization for collection development; and
4. consideration of the human element—the expectations and conflicts that postures and organizational patterns impose upon collection development personnel.

To facilitate discussion of these factors, the definition of collection development provided by William Hannaford will be useful: "the inten-

tional and systematic building of a library collection.'⁶ Emphasis is on the words *intentional* and *systematic*, for Hannaford contends that while every library builds its collections, collection development can only be said to occur when selection, weeding, evaluation, and budgeting are characterized by these two terms. Hannaford further identifies a group of conditions that signal the presence of collection development in a library:

existence of a collection development policy; control of and responsibility for the materials budget by the library; presence of someone in the library who is, in effect, the chief collection development officer; librarians who select, weed, evaluate, budget, and allocate; the presence of a collection development organization.⁷

COLLECTION DEVELOPMENT AS FUNCTION

The larger a library grows in terms of funding and staff size, the more complex its organizational structure becomes, ultimately de-emphasizing the basic functions of the library. The very multiplicity of organizational patterns currently in use to provide structure for collection development may be symptomatic of a failure to recognize collection development as a basic library function, so aptly characterized by Hannaford.

To state that the collection is the foundation of a library's existence may seem obvious: once an initial collection is established, further collection development can and does occur no matter how simple or complex the library organization is. What is not so obvious is that the recognition of collection development as a basic library function, complementing the functions of cataloging, circulation, reference, and acquisitions, is critical to the future quality of the collection.

It is helpful to place collection development in the context of the evolution of library organizational structure. In the simplest model, the roles of collection development officer and collection developer are subsumed by the role of "librarian." A profile of the collection and plans for its growth can be assumed to exist in the librarian's head, if not on paper. As soon as a library organization expands to include more than one librarian, one librarian assumes the role of director, and organizational patterns are established in a fairly linear sequence.

The director reserves direct control of budget and of determining how funds are spent (for personnel, equipment, and collections) longer than of those tasks involving processing materials (cataloging), making them available to users (circulation), and interpreting the collection to users (reference). The director eventually delegates liaison with users, prior to relinquishing selection and materials budget control, by accepting the reference librarian's interpretation of user needs as a framework for selecting additions to the collection. When the budget becomes large enough that control of its details interferes with the director's overall responsibility for the library's pursuit of its mission and with the growing need to manage an organization, the director delegates responsibility for

the expenditure of the materials budget (acquisitions). Soon thereafter, the decision of what to purchase short-circuits the director's control over collection development: the reference librarian passes interpretation of user needs to the acquisitions librarian, either or both of them translating needs into specific titles. This is the first critical point propitious for recognizing collection development as a function deserving its own organizational structure.

Common responses are to assign responsibility either to the acquisitions unit or the reference unit. As the budget increases, the acquisitions librarian increasingly becomes vendor liaison, accountant, and the controller of recurring expenditures (serials). As the number of reference librarians grows, selection responsibility shifts almost entirely to the reference staff. These two events then impede collection development as defined by Hannaford because (1) acquisitions retains control of funds, viewing them in terms convenient for monitoring expenditures rather than for observing the content of materials purchased, and (2) reference librarians tend to meet demands for information first, relegating selection to time "free" from patron contact. Acknowledgment that neither organization combines fund control with patron contact to develop the collection systematically is the second critical juncture at which a collection development organization could be created.

The usual pattern has been, however, that formal assignments for selection are made among library staff members (not always only reference librarians). Responsibilities are subdivided in a number of ways (subject, intellectual age level of patrons, fiction versus nonfiction, serials versus monographs), all of which tends to inhibit the collection's *systematic* development if pursued without leadership. At some point, inconsistencies in approach to collection development are discovered; some segments of the collection are growing disproportionately to others in terms of the literatures from which they are derived, the use they receive, and the relationship of patron need to the avowed mission of the library. At this third evolutionary crossroads, need for a formalized approach to collection development is acknowledged, sometimes with the appointment of a collection development officer and, more rarely, with a thorough analysis of goals, practices, resources, and policy.

Each time a critical point in organizational evolution is reached and collection development as a function is ignored, the work of the eventual collection development officer and organization is made more complex, for it will be necessary to invest precious and increasing amounts of time in revising established traditions and processes to conform to policy and posture. Methods for achieving such change are not as well documented as we might like. Twenty-nine libraries have elected to perform collection analysis projects with the assistance of the Office of Management Studies (Association of Research Libraries), yet only two reported to Sohn that these studies resulted in changes in the structure of their collection development organizations.⁸ Lynne Gamble described the process used at California Polytechnic State University,⁹ and Diane Parker and Eric Carpenter described the zero-based budgeting effort used at the State University of New York at Buffalo for creating a joint reference/collection development organization.¹⁰ It could be helpful if additional

libraries' experiences were documented as guides to organizational change of this important library function.

POSTURE ON COLLECTION DEVELOPMENT

The value a library places upon developing its collections might be expressed by the proportion of its total staff dedicated to this effort. However, no one has ventured to estimate what a satisfactory proportion of personnel resources should be. Charts published in the Council on Library Resources' *Economics of Research Libraries* indicate that research libraries actually assign 11.9 percent of their librarians and 3.8 percent of total staff to collection development;¹¹ college libraries devote 8 percent and 2.1 percent respectively.¹² Because measures of productivity for collection developers have not been established, collection development might appear to be either the least expensive library operation or a dark hole, down which any available personnel resources could be poured with no end in sight. But Charles Osburn reminds us that

In terms of its place within the organization, a constant nagging problem of collection development has been its projected image as a "soft" area . . . it is a function that has been regarded as one taking place behind the scenes, therefore, insignificant in visibility . . . [which] has meant that it is the activity that can be foregone or delayed when one of the more normalized or visible activities requires additional attention.¹³

Osburn further states that "with the degree of change—at the heart of which will be collection development—libraries will experience in the next two decades, standards comprehensible to the general profession will have to be established for collection development as an organized activity."¹⁴ It is clear that Osburn supports the contention that libraries have a tendency to minimize staff investment in collection development, whatever their public posture about collections may be.

It is important, then, in the consideration of organizational structure for collection development, that the posture of the library be defined and either validated by staff investment or changed when staffing configurations are modified. Three postures toward collection development can be detected in most libraries' organizational structures: an *acquisitions* posture which acknowledges minimal staff investment; a *selection* posture which proclaims the library's intent to bear responsibility for new additions to its collections and for consultation with the library's patron community regarding purchases; or a *collection management and development* posture which perceives the library's collections as comparable in importance to its more visible services.

The basic characteristic of an *acquisitions* posture is reliance on external selection of the majority of new library materials. College libraries may have little choice but to adopt this posture when faculty actually control acquisitions funds; other academic libraries may choose to allow collections to grow almost exclusively through faculty selections, making little attempt to analyze and anticipate fulfillment of the library's mission. Special libraries frequently depend upon patron selection for the majority of their collection growth, even if they have managed to obtain some form of budgetary control. Members of school and public library

systems sometimes find their collection building dependent upon a systemwide committee's decisions. Even large public and academic libraries may choose to adopt an acquisitions posture by depending upon comprehensive approval plans and/or blanket orders. The only vestiges of a collection development policy may be an approval profile or allocations made to academic departments. Few librarians are involved in maintenance of this posture.

A *selection* posture is facilitated by assigning to librarians the responsibility for building the library's collections. Although external selections may be accepted and even solicited, decision making is in the hands of librarians. Some form of liaison with patrons is an established part of the collection development organization; in academic libraries, this requirement may be met with a formal faculty liaison program, while other types of libraries may depend upon collection developers' contacts with patrons via their service as reference librarians. In this posture, there may be an interest in analysis of library mission and patron-community needs, resulting in establishment of a collection development policy, but little time is available for collection developers to participate in (much less initiate) systematic weeding or other collection management projects. Even less attention may be paid to allocation of budget than is required for the acquisitions posture in college libraries where faculty govern selection.

The *collection management and development* posture is extremely labor intensive. Collection development responsibilities are distributed among librarians with academic preparation in specific subject areas. Tasks include not only selection of new materials, evaluation of collections, and the appropriate responses to the universe of publications from which purchases are selected—resulting in complex articulation of policy, concomitant weeding and monitoring of continuations, and budget analysis, allocation, and control. Attention to preservation and resource-sharing issues, in-depth interpretation of collections to patrons (beyond the scope of general reference) and specialized bibliographic instruction for potential researchers are considered appropriate foci for collection developers' energies and time.

The crucial issue in a library's official adoption of a posture for collection development is allocation of staff time. Since few standards exist to describe how much time is required for accomplishing specific tasks within the repertoire of the collection developer, it is important that priorities be assigned the various tasks to be accomplished. Then when personnel resources are reduced, a consistent pattern of attention to specific activities can be evidenced across the organization, and at an appropriate time the library administration can be signaled that its posture no longer reflects the realities of personnel investment. At that point either staffing or posture must be amended.

ORGANIZATIONAL CONFIGURATIONS

Although Sloan's dissertation identified three basic patterns of organizational configuration for collection development in large university libraries (4, 5, and 6 below), there are additional configurations extant in the broader spectrum of library types (small academic libraries, pub-

lic, special and school libraries, and library systems). They include

1. collection development that is performed by a single librarian;
2. separate subject-oriented segments of the library, each of which has its own collection developer(s) who may or may not report to a collection development officer (other than the director);
3. collection development that is the function of a committee that reviews suggestions from patrons and staff, making final purchase decisions;
4. a group of librarians who come together to perform collection development activities and then disperse to their primary assignments throughout the library;
5. a unit of full- or part-time collection developers that is subsumed by a larger division of the library;
6. a unit of collection developers that is separate from other divisions of the library; or
7. the collection development unit that subsumes one or more other library functions, such as acquisitions, special collections, or inter-library loan (creative thinking can add to this list of possibilities).

Libraries that operate day-to-day collection development activities in one of the configurations cited above may also use a committee format for certain types of decision making. Such committees may include persons other than collection developers.

Large library systems may combine elements of the seven configurations, and they may have a variety of centralized and dispersed methods of effecting collection development. In some cases centralization may pertain only to the mechanics of acquisitions, but in others centralized selection committees make purchase decisions for all constituent branch libraries (a topic of some controversy among public librarians).

Resource sharing among libraries has potential for additional structures that may impinge upon the decision making of collection developers in member libraries. Such topics as expensive titles or continuations duplication (or prevention of same) may be dealt with at this level, as well as collection analysis and comparison. Resource sharing between even two libraries involves some structure superimposed upon the individual libraries' patterns of operation and could eventually result in agreement to structure the enterprise identically in each to ease communication and process.

There is certainly potential for controversy about which configuration is best (1) for the library and its collections, (2) for the collection development operation, (3) for the collection development officer, and (4) for the individual collection developer. For example, disagreement surfaced at the Cincinnati Collection Management and Development Institute when Ross Atkinson advocated full-time bibliographers and Cecily Johns defended the reference-bibliographer approach.¹⁵ Yet group discussions invariably yield the conclusion that whatever works best for a specific library should prevail, without regard for whether the organization was created by evolution or by careful analysis of collection development as an organizational function and without a clear definition of "works best for the library."

Different definitions could be expected from the three principal par-

ticipants in the collection development organization of any library. The director might consider that an existing structure "works" because few complaints from patrons about the collection or collection developers reach the "front office," funds are promptly expended, and few personnel problems are presented for resolution. Thus collection development retains its invisibility. The collection development officer may believe that the organization works if similar conditions are met and sufficient time is available for the accomplishment of substantive challenges, such as preparation of policies, collection evaluations, and budget allocations. The collection developer concedes that the organization works if a great degree of autonomy is permitted or if responsibilities are clearly described and sufficient time is available for accomplishing all assignments, including maintaining awareness of the literature, maintaining contact with patrons, spending allocated funds, and performing collection management tasks. Perhaps invisibility is a comfort to all, but it hardly enhances their perceptions of the importance of their daily contributions to the library.

The goal of any collection development organization must be to provide the library with a collection that meets the appropriate needs of its client population, within the limitations of its fiscal and personnel resources. To reach this goal each segment of the collection must be developed with an application of resources consistent with its relative importance to the mission of the library and the needs of its patrons.

Coordination of the efforts of a group of people is implicit in all but the first of the organizational structures described above. Some libraries have chosen to recognize this fact by giving the collection development officer the title "coordinator." Collection development, perhaps more than any other library function, is a team effort; allocation of human and fiscal resources for the enterprise must be accompanied by a common understanding of priorities and consistent attention to them. Only when these requirements are met can an organizational structure for collection development be said to "work."

One issue that arises in discussions among collection development officers as a deterrent to smooth operation of a collection development organization is chain of command. When the collection development officer is not accorded the position of assistant director, some exceptions to the reporting system for the rest of the library's divisions can occur. Directors are understandably sensitive to the need to have an immediate link with the person to whom responsibility for large amounts of money is delegated. So a department head reporting theoretically (and for personnel purposes) to an assistant director may join the director's advisory team or may bear department head title and report to the director as an anomaly in the advisory team otherwise composed of assistant directors. Equally incongruous is the assistant director for collection development who, unlike others with this title, has no line responsibility for collection developers. The common characteristic of such organizational irregularities is that they destroy the symmetry of an organization chart that seeks to equalize responsibility for people at its next-to-the-top level. More cumbersome, however, is the role of the collection development officer who reports to an assistant director and does not participate on

the director's advisory team; obtaining and transmitting vital information on issues of major concern to the library through a third person puts both director and collection development officer at a disadvantage.

In many libraries the role of collection developer is a part-time responsibility. Sohn reports that only three ARL libraries operate with nothing but full-time collection developers, while a mixture of full- and part-time collection developers is common to most libraries.¹⁶ The chain of command between collection development officer and collection developers is equally important to the effective operation of this important library function for the simple reason that an administrator without line responsibility for staff has little authority to require quantity or quality of performance. A popular response to shrinking library staffs in recent years has been the creation of matrix organizations, perhaps to justify the non-traditional administrative structure of using multiple part-time assignments to accomplish necessary work of more than one library function. It is difficult to believe that legitimating this trend in personnel use can be satisfying for the collection developer even if it clarifies reporting lines.

THE HUMAN FACTOR

Both collection developers and collection development officers are subject to pressures not common to all library professional positions. These need to be taken into consideration in the design of the organizational structure for collection development.

A complaint found in several articles about collection developers' work and reiterated during the author's personal conversations with collection developers is that not enough time is allowed for meeting either the collection developer's or others' expectations of the position. Deadlines for spending the acquisitions budget dictate the collection developer's use of time and can produce stresses not common to librarians whose work is not constrained by fiscal limitations.

Some time problems of collection developers may be the result of the phenomenon Osburn has observed that invisible collection development organizations are easily raided when other library functions demand infusions of personnel time. They may reflect frustration brought about by inconsistent patterns of institutional funding over a number of years, particularly when compared with inflation, publishing patterns, and changing patron needs. Further stimuli for these problems may be found in poor personal time management or lack of leadership from library management.

The most severe time issues arise when

1. all assigned collection developers' hours are consumed by selection, but the library's official posture requires more (a collection management and development posture);
2. insufficient time is available for selection alone, so that unwise purchases seem the only solution to spending the budget (a repetition of 1960s mistakes);
3. some collection developers find time for selection and other activities, while others do not, requiring reassessment of the principles

for distribution of subject responsibilities as well as the appropriateness of individual behavior.

Time seems equally important whether the organization is based on part-time assignments or on full-time ones, whether assignments are narrow enough to justify expectations of in-depth subject expertise or broad enough to recognize that no one can be equally expert across the span of coverage required.

Organizations in which most or all collection developers have part-time assignments have proliferated in the past few decades:

1. to dispel the myth (or at least the perception of noncollection development librarians) that this is not a function of the elite;
2. to enhance the professional appearance of library positions perceived by nonlibrarians (and by some librarians) as quasi-clerical;
3. to "shore up" the collection development function in an era of reduced staffing;
4. to enable library administrators to proclaim that the collection is being built and fostered by subject specialists; and
5. to support the theory that reference service provides satisfactory patron contact upon which collection decisions can be based. Apportionment of time between collection development and the primary or secondary assignments of these employees is sometimes negotiated with the individual, and sometimes a standardized number of hours per week is allotted. However, the amount of time is rarely based on demonstrated demands of the subject literature or the dimensions of the patron populace.

In organizations based on full-time collection developers with broad subject responsibilities, time rarely seems to merit consideration, even through subdisciplines and collection emphases may be disproportionate to the capabilities of individuals. In either situation, clarification and documentation of expectations have been acknowledged as a personnel management necessity in the collection developers' manual being prepared by a subcommittee of the RTSD Collection Management and Development Committee.¹⁷

One might accept the position that librarians are professionals and should make their own judgments about distribution of time among a variety of tasks. However, librarians are human and have varied proclivities for the array of tasks they need to accomplish. Collection developers have an exceedingly labor-intensive role to play: the examination of individual titles can take seconds or hours of bibliographic inquiry. Team approaches to collection management projects require careful coordination of time, especially when deadlines are involved. So collection developers can't be accorded *carte blanche* for approaching their common goals.

The part-time collection developer is at a particular disadvantage whether reporting directly to the collection development officer or to another administrator. Noncollection development work is more easily measurable, so there is a natural tendency to complete the work first and "fit" the collection development assignment around it. This arrangement results either in less than satisfactory time spent on collection de-

velopment or the extension of total hours at work far beyond those normally expected of other library employees.

Collection development officers with line authority over some or all of the collection developers (as well as support staff) are burdened with the normal loads of personnel activities as well as with responsibility for judging the work of subject specialists, whose talents are not all replicated in the person of the collection development officer. Leadership in developing strategy for accomplishing necessary collection management tasks is frequently thwarted by the diversity of subject-oriented perspectives among those who will perform the minute steps of which such projects are composed.

In addition to involvement with traditional collection management and development issues, the collection development officer must respond to a wide array of policy issues impinging upon collection development at the librarywide level. Many such activities are exceedingly time-consuming; for example, budget analysis can include compilation and manipulation of data not always the by-product of an automated system. Collection development officers may find themselves in public relations roles with Friends of the Library organizations, in negotiation of gifts, and when representing the collection development program to library governing agencies (boards of trustees, faculty organizations, and academic administrators) and to external resource-sharing organizations.

Responding to these diverse challenges is frequently frustrated by lack of sufficient support staff, both for collection developers in seeing their requests for purchase and evaluation list-checking performed and for the collection development officer who requires data gathering and secretarial assistance. The charts in *The Economics of Research Libraries*¹⁸ show collection development to be conspicuously short of nonprofessionals and student assistants while technical services, public services, and administration enjoy ratios of two to one or better. Existing support staff may be too few in number or at a level of expertise too low to afford satisfactory response to legitimate needs of collection development work.

CONCLUSION

Important ingredients in the success of a collection development organization are (1) whether the organization is totally a product of evolution or also the result of conscious efforts to arrive at a configuration conducive to the organizational mission; (2) the posture toward collection development espoused by the library in relation to its available resources; (3) the satisfactory configuration of reporting mechanisms; and (4) the congruence of time and support staffing in relation to expectations for individual and group performance.

Libraries would be well advised to assess their collection development organizations periodically to ensure that the power implicit in the investment of enormous resources (more than \$500 million for college and university library materials alone in 1982¹⁹) is supported by structures and personnel levels that deny the anonymity of this important library function. As demands for accountability increase, the collection development organization must assert itself by defining its activities and finding

an appropriate place in the larger library organization. Information about the varieties of organizational structures for collection development must be shared among libraries, their merits debated, and measures of their effectiveness identified. Active participation in professional organizations and contributions to the professional literature by librarians who have experimented with and analyzed organizational structures for collection development will be important to the future role of the collection development function in libraries.

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Collection Development Organizational Patterns in ARL Libraries

Jeanne Sohn

This article is the result of a survey of ninety-three academic libraries in the United States that were members of the Association of Research Libraries in 1983-84. The purpose of the survey was to discover the specific organizational patterns that currently exist for collection development. Findings reveal that, although a variety of patterns exist, the one outstanding development has been the upgrading of the unit responsible for collection development. Other characteristics of collection development units and responsibilities of collection development staff are discussed. The paper concludes that no specific organizational pattern is predominant in ARL libraries.

COLLECTION DEVELOPMENT HAS A HISTORY OF being something of an organizational stepchild in academic libraries. For many years the development of collections was the exclusive domain of the chief librarian and the teaching faculty or, in some cases, the university bibliographer. These individuals had enormous influence in the shaping of library collections during the first two-thirds of the twentieth century. Gradually, however, and for many reasons, changes in this structure emerged. As libraries became larger and more complex, as budgets for materials grew, and as librarians' status within the academic community gained credibility, responsibility for collection development began to involve more librarians. A common structure was that of the bibliography department, comprising the chief bibliographer and several subject specialists, still working closely with the teaching faculty. As more libraries felt the need to increase the numbers of librarians working with collection development, many different organizational patterns developed. The functions of collection development were never as clearly defined as many of the other functions in libraries. Cataloging was always considered a technical service; reference was always considered a public service. The question many libraries had to face was where to place collection development in the administrative scheme of things. In many

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institutions the logical place seemed to be in technical services because of the close link with the acquisitions function; indeed, many acquisitions departments took over the collection development function entirely. Other institutions maintained a separate bibliography department, although many included selectors from other departments on a part-time basis. Still others incorporated the entire function in the reference department with reference librarians assuming responsibility for the development of the library's collections in addition to their other responsibilities. Elaine F. Sloan in her study of twenty-four libraries in the northeastern United States identified a number of these basic patterns in 1973.¹ Several years later Wilmer H. Baatz studied collection development in nineteen of the largest Association of Research Libraries (ARL) and discovered even more patterns.²

These studies have yielded little guidance, however, in defining a specific effective model; what has resulted over time has been a wide variety of structures for the collection development unit, with no single structure developing as a model. Controversy has existed regarding the best or most effective way to organize collection development, and there is a sense of frustration that something is wrong with the current organizational patterns. Librarians, many of them dissatisfied with the way collection development has been organized in their own libraries, have discussed this topic at meetings, institutes and seminars, apparently hoping to find a model suitable to their needs. Recently the issue has been appearing in library literature with both Bryant³ and Osburn⁴ discussing concerns.

To investigate whether or not a contemporary model has evolved, a survey was developed on which this article is based (see appendix A). On the assumption that the ARL member libraries are in the forefront of librarianship and that they are the trendsetters, it seemed reasonable and obvious to turn to them to find out how their collection development units are organized. Possibly specific patterns would emerge or new trends could be determined that would lead to a more satisfying collection development structure if these libraries were queried regarding their own specific organizational patterns.

DESCRIPTION OF THE SURVEY

A questionnaire was developed and sent to the 93 academic libraries in the United States that were members of ARL in 1983-84. Because of the desire to correlate specific responses to questions to the overall ARL ranking of the library, the 1983-84 Association of Research Libraries Annual Survey was used. This volume is the last not to request that overall ranking be kept confidential. The survey itself was designed to be as simple as possible to answer, given the complexity of the topic. Many "yes/no" and single-word responses were included; opportunity was provided for additional comment on any given question, and fuller explanation was encouraged.

ANALYSIS OF THE RESULTS

The response to the survey was gratifying: a total of 73 libraries,

78.5% of those queried, returned the questionnaires. Of the responses, 70, or 75.2% of those queried, were valid responses. Since the questionnaires were individually coded, it was possible to ascertain which libraries responded. Needless to say, confidentiality of individual respondents was guaranteed. However, with the coding it was possible to determine that there was a good distribution of responses, both in terms of library size and geographical location.

The first five questions were devised to find out who in the library had responsibility for collection development and the span of control assigned. The questionnaire was sent to a specific individual when the name of the person was known. In the remaining cases it was directed to "Collection Development Officer." Exactly 60% of the valid respondents indicated that they are administratively in charge of all collection development in their institutions. The remaining 40% indicated a variety of exclusions from their span of control. Most typically special collections was the unit not included, although branch libraries were also frequently not under the control of the collection development officer. A third unit mentioned occasionally was the law or medical library. It is difficult to ascertain whether or not many other libraries have this as an exclusion since law and medical libraries often do not fall under the administration of the general library director and frequently exist on their own separate campuses with their own administrative structures. They may interact with the main library in some cooperative way but not in terms of formal administrative structure.

In helping to define the administrative role of the collection development officer, each person surveyed was asked to specify his or her exact title, to whom the person reports and how each would classify his or her position. Of course the titles varied greatly and some were quite creative. Overwhelmingly, however, the titles indicated that the collection development officer is placed at the assistant or associate director level. In some cases the title also indicated an additional responsibility, e.g., associate director for collection management and technical services, associate director for collections and public services. When asked specifically to classify their positions by level, 60.3% responded that their positions were at the level of assistant or associate director, thereby confirming the obvious supposition that the title is reflective of the level of responsibility. Only 20.6% responded that their positions were classified at the department head level; even fewer (8.8%) were classified as coordinators. The remaining responses varied and could not be classified into any of the stipulated levels. Regardless of the level of the position, 52 of the respondents (74.3%) indicated that they report directly to the chief administrative officer of the library. The remaining respondents report to technical services (6), public services (2), and deputy or associate directors (4). Two specified no collection development unit. Four others specified titles that were unclassifiable given how the response was made. This distribution would indicate that most academic ARL libraries consider collection development an important function and one which should not be relegated to a lower position in the hierarchical chain. It is interesting to note that there seems to be a slight corre-

lation between size of library and the relative position of the collection development officer, since the libraries that assign collection development responsibilities to department heads rather than to assistant/associate directors tend to fall into the mid-to-lower ranges of ARL library rankings.

A more complex issue, i.e., the organizational structure of collection development within ARL libraries, was to be determined by the next set of questions. More than half of the respondents (57.1% or 40 respondents) indicated that collection development is a separate unit within the library, while 17.1% (12) of the libraries have placed it in technical services and 14.3% (10) have placed it in public services. Of the remaining 8 respondents, 6 (8.8%) indicate a variety of locations, including planning and resource development, administration, or bibliographic services, and 2 reiterated that there are no collection development units in their libraries.

The answers to the question about the chief collection development officer's line responsibility for the selectors/bibliographers brought divergent answers. Exactly half of those libraries with collection development units indicated that they do have line responsibility and 23.5% indicated that they do not. However, 20.6% responded that they have line responsibility for some of the selectors but not for all. Many of these respondents added that within the specific department, line responsibility exists but that there are selectors outside the department for whom they do not have such responsibility. Some of these may be reference librarians, some are branch heads, or selectors assigned throughout the library system. In some cases, the responsibility is coordinative. There seems to be little correlation between line responsibility, the level of the position, where the department is placed administratively, or overall ARL ranking.

In an attempt to analyze the span of control of collection development officers, they were asked if there were other major units for which they had line responsibility. Twenty-five respondents indicated that they had none. The remaining answers varied greatly from full divisional to smaller departmental responsibilities. The unit most frequently designated was special collections, with 11 respondents indicating responsibility for this area; preservation and acquisitions were the next two most frequently cited units, with a response of 10 each. In a correlated question, the librarians were asked what additional functions were attached to the collection development unit. This question is differentiated from the previous one in that the function does not refer to a separate administrative unit per se. Although 23 libraries indicated that collection development was the sole function, 47 libraries include at least one and frequently several different functions within the collection development unit. Table 1 indicates the variety of responses.

To determine the span of control that collection development librarians have over personnel, they were first asked how many people report to them directly. The responses ranged from 0 to 36, with the most typical situations represented by 1 to 8 people. However, when asked how many people perform selection in the library system, the responses

TABLE 1
 ADDITIONAL FUNCTIONS ADMINISTRATIVELY
 ATTACHED TO COLLECTION DEVELOPMENT

Additional Functions	Single Additional Functions	Multiple Additional Functions
Acquisitions	0	10
Bibliographic searching	4	18
Preservation	8	20
Gifts and exchange	5	24
Other:		
Special projects	0	2
Fund-raising	1	0
Copyright	0	1
Publicity	0	1
Interlibrary loan	0	1
Computer searching	0	1

changed dramatically, again with a very broad range but expanded from 9 to 70-plus people. Eight institutions have 30 selectors, seven institutions have 22 selectors, and five institutions have 10 selectors. Most of the other institutions were grouped in the range of 9 to 35 with the higher numbers of selectors not unexpectedly being employed by the larger ARL institutions. Very few collection development officers have all of the selectors reporting to them; only 8 indicated this to be the case. Eleven librarians indicated that the selectors report to them for their collection development responsibilities only, while 45 simply responded that not all of the selectors report to them.

Selector responsibilities vary from institution to institution. Not quite half (45.7%) of the libraries stated that the selectors are responsible not only for single subjects but also for large disciplines. Selection for single subjects only are next represented by 24.3% of the libraries while selection for large disciplines only is represented by 21.4%. The remaining 8.6% of the libraries, six in all, indicated that selection responsibilities are broken down by area studies. The overall ARL ranking of the library does not appear to be a factor in determining selector responsibilities, nor does it appear to be a factor in the proportion of time that selectors spend on collection development responsibilities.

Although a number of the higher-ranked institutions appear to have more full-time selectors than do the lower-ranked schools, there still is a reasonable number of full- and part-time selectors at all institutions. Only three institutions, each of which is one of the fifty largest ARL libraries, have nothing but full-time selectors. Conversely, 29 libraries (41.4%) indicate that all of the selectors are less than half time. When the selector is not full-time, the other assignments vary greatly but focus on "reference librarian" and "branch librarian and/or department head" as the most frequent assignments (54 libraries or 77.1%).

Whether or not they have other primary assignments, almost every library expects its selectors to perform a number of functions defined as

part of collection development. Selection and liaison with the teaching faculty are usually the standard ones. However, additional collection development assignments frequently include collection evaluation, specialized reference assistance, online searching, preservation decisions, and specialized bibliographic instruction. The only two areas included on the survey that seem to be excluded occasionally from the responsibilities of the selector are "contribution to policy" and "budget management." The pattern that has emerged from these responses is that most institutions have many part-time selectors, all of whom have many collection development responsibilities but who also have other primary responsibilities as well. Both Baatz⁵ and Bryant⁶ have commented critically on this somewhat unwieldy arrangement for the part-time selector who must wear many hats with little time to accomplish anything adequately. The collection development officer has the unenviable position of trying to coordinate the work of all these individuals without any line responsibility for them.

The next series of questions was designed to give an indication of the amount of control or responsibility that the collection development officer has in a variety of functions. The first question determines whether or not a collection development committee plays a role within the library. Forty-six of the librarians queried (65.7%) stated that their libraries have collection development committees. Of these, more than half (27 respondents) indicated that the committee is advisory only; 4 respondents stated that it is policy-making only; 2 indicated that it is decision making only. The remaining 13 indicate that the committee has a combined function with the emphasis on the advisory/policy-making functions. The ARL ranking of the library does not appear to be correlated with the existence of such a committee since there is an even distribution throughout the range of libraries. Composition of the individual library committees varies, although in almost every case the collection development officer is a member of it. The next most frequent member is the selector, with 82.6% of the libraries including selectors on their collection development committees. Other members in order of frequency are branch heads, department heads, and library administrators. No committee, interestingly enough, has any teaching faculty on it. Most of the members of the collection development committees are appointed; 43 of the respondents are in this position and almost consistently the appointments are made administratively. Either the collection development officer or the library director makes the appointments in most of the cases.

Since at one time teaching faculty had a very strong role to play in the development of collections, it seemed appropriate to examine whether or not the library had managed to regain that control. Three factors were chosen as being indicative of the role faculty may have had or in some cases would like currently to have. Respondents were asked to rank the amount of control, from zero to five, five being complete control. A summary of the responses is shown in table 2.

It is clear that no responding institution believes that faculty has complete control of any of these collection development activities. Indeed

TABLE 2
FACULTY CONTROL OF COLLECTION DEVELOPMENT FUNCTIONS

Functions	Degree of control						Total responses
	0	1	2	3	4	5	
Selection of materials	16	9	27	12	3	0	67
Allocation of funds	55	9	1	0	1	0	66
Expenditure of funds	43	7	14	3	0	0	67

most are of the opinion they have none at all or at least very little. Many respondents noted that they solicit advice from the faculty, particularly in the area of selection of materials. They also indicated that the library informs faculty of selection decisions and solicits input from them. Several libraries were very insistent that these decisions are totally within the purview of the library and that faculty had no right to interfere. In only two cases was it mentioned that faculty departments have control over a portion of the funds that are used to purchase library materials; however, these funds seem to be allocated to faculty from other sources and the library has control over its own portion.

Once it was determined that the control over these functions was within the library, the next step was to determine who within the library had primary responsibility. Many of the respondents named the director of the library. This is undoubtedly true in terms of the ultimate accountability which the director must assume for all library decisions. However, one presumes that any collection development officer should be assigned these primary functions. Yet in terms of full responsibility, only 42 respondents indicated that they have it for selection, only 41 for the allocation of funds, and only 44 for the expenditure of funds. In many cases the librarians who indicated that they were not fully answerable for these functions attributed the responsibility to the selectors in the area of selection, to the director in the area of allocation, and to the acquisitions department in the area of expenditure.

One of the most positive responses came in answer to the question regarding involvement in overall library policy. Fifty-nine of the 70 respondents (84.3%) indicated that they do indeed have a voice in such matters. There does not seem to be a correlation with either the level of the position (assistant/associate director versus coordinator or department head) or with the size of the library regarding whether such a role exists. Any valid analysis of this issue would require considerably more information. The positive response is, however, indicative of the scope of the collection development officer's responsibilities.

The next two questions were devised to try to determine if there have been substantial trends regarding changes in collection development organizational patterns since 1975. During this period there has been increasing awareness among academic librarians of the broadening scope of collection development. Not only has it expanded to include the concept of collection management, its importance has been underscored by the American Library Association's support of publications, institutes, and conference programs relating to the discipline. In response to

whether or not there had been a change in structure or organizational placement of the collection development unit in the last ten years, 57 respondents (81.4%) answered affirmatively. The responses were tallied as follows:

Change in top-level administration	13
Shifting priorities within the library	9
To accommodate changes in personnel	3
To accommodate changes brought about by automation	1
Other	7
Combination of the above	23
No response	1

The most frequent response was a combination of two factors—"change in top-level administration" and "shifting priorities." The responses under "other" indicated that the OMS Collection Analysis Project had influenced two organizational changes, while simplification was cited by three libraries.

Of importance to understanding these changes were the descriptive comments. Of the 57 respondents who had indicated that there had been a change, 47 or 82.5% included brief descriptions of the changes within collection development in their libraries. Some were quite complex and typically reflect the improving status of collection development units within academic libraries. In most cases the collection development function was separated from the unit in which it had been housed previously and was established as a separate unit, either a department or a full division. In conjunction with this change, the position of the collection development officer was upgraded. A number of institutions stated that selection responsibility had been removed from the teaching faculty and placed under the control of the library. Several institutions responded that they were moving away from decentralized collection development with part-time selectors toward tighter units with full-time bibliographers. Another frequent change was that of forming collection development councils or committees to serve the library director in an advisory capacity. Most of the institutions indicated these changes had occurred because of a change in the top-level administration of the library or a shift of priorities within the library or, frequently, both of the above.

The changes made would seem to have been positive ones. Consequently, it was somewhat disconcerting to discover that almost one-third of the responding collection development officers are dissatisfied with the way their libraries have organized collection development. However, there are even more serious implications when one attempts to analyze further the response to this question. Twenty of the 24 dissatisfied librarians have experienced some sort of reorganization within their libraries in the past 10 years. An even more discouraging note was sounded by 10 librarians who qualified their generally affirmative response to this question with some negative comment. When these 10 were added to the 24 negative responses, the result is an almost 50% rate of dissatisfaction with the way collection development is structured in ARL libraries. Unfortunately, such a strong negative response was not predicted and the survey was unable to ascertain either the nature of the

discontent or how the problems might be remedied. More specific information must be collected for any valid explanation to occur.

It is difficult to know whether or not the final question regarding anticipated changes can lead one to be optimistic about the future. Of the 24 respondents who registered dissatisfaction, 19 anticipate changes in their organizational patterns, which it is hoped will improve the situation. Indeed, even though some librarians indicated they were satisfied with the way in which collection development is organized within their libraries, 8 of them are planning some kind of change in the near future, and 3 more believe that change may be possible.

CONCLUSIONS

There are many conclusions to be drawn from this survey. Perhaps the most significant one and the area that this survey set out to explore is that relating to the existence of a singular organizational model that collection development officers might use. Unfortunately, none appears to exist. This study has shown that ARL members seem to have almost as many organizational patterns as there are ARL libraries. Apparently each library has determined an organizational pattern that fits its own overall structure given the restrictions of budget, personnel, politics, or innumerable other factors.

It is possible to present a composite pattern, using the structures and functions most commonly adhered to by the maximum number of libraries. The position of the collection development officer has attained a relatively high level within the organization, i.e., assistant/associate director, and this librarian usually has some degree of input into overall library policy. These officers usually do not have responsibility for major units or divisions other than collection development, although many of the units do have related functions attached to them. The most frequently cited are preservation and acquisitions. Most ARL libraries have an independent collection development unit, within which is a core of selectors or bibliographers; many units are supplemented by additional selectors who work with collection development on a part-time basis. Thus one begins to acquire a view of an imaginary collection development unit—imaginary because it does not exist in actuality. No collection development unit could be identified as the unit so described.

The image of collection development as the stepchild within the organization is disappearing among ARL libraries, and the unit has established a definite and legitimate place for itself. Yet the apparent hierarchical upgrading of collection development has done little to solve the basic problems and has had little effect on the basic level of dissatisfaction found among collection development officers. These librarians have multiple pressures placed upon them. Their professional gurus and peers encourage them, and rightly so, to implement the collection management concepts they have learned at institutes and conferences. Using these techniques the collection development officer frequently hopes to guide the selector through the maze of collection development policies, evaluation of collections, review of collections, preservation decisions, resource sharing, formula budgeting, liaison with faculty and the com-

munity, gift and exchange decisions, and sometimes much more. However, we have discovered that most libraries, perhaps through budgetary or political expediency, operate with many part-time selectors who frequently have other primary responsibilities. Often these can include hours of assigned direct reference service, online searching, bibliographic instruction, as well as the unassigned but necessary committee work and, in faculty status institutions, required research and publication. Baatz's sardonic wondering "what they do with their spare time"⁷ is well taken. It may well indicate why 57 of the 70 responding libraries have changed their collection development structures in the last 10 years and may even indicate why so many collection development officers are dissatisfied. It appears suspiciously like an impossible dream—attempting to accomplish too much with too little.

Bryant's latest article reviews much more thoroughly the background of collection development organizational structures than is possible in this survey.⁸ In it she makes a strong plea for intelligent and organized communication on this topic in order to prepare for the future of collection development. It is a timely statement and may well be the only solution to the problems that have become so evident through this survey.

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APPENDIX A: COLLECTION DEVELOPMENT QUESTIONNAIRE

1. Are you in charge administratively of all collection development in your library system?
 Yes No
 If not, please specify exclusions. _____

2. What is your exact title? _____

3. What is the title of the person to whom you report? _____

4. To whom does this person report? _____

19. Who serves on this committee? (Check any which apply)
- | | |
|---|--|
| <input type="checkbox"/> Administrative Librarians | <input type="checkbox"/> Branch Librarians |
| <input type="checkbox"/> Collection Development Officer | <input type="checkbox"/> Department Heads |
| <input type="checkbox"/> Selectors/Bibliographers | <input type="checkbox"/> Teaching Faculty |
| <input type="checkbox"/> Other (Please specify) _____ | |
20. How are members of this committee selected?
- | | |
|------------------------------------|----------------------------------|
| <input type="checkbox"/> Appointed | <input type="checkbox"/> Elected |
|------------------------------------|----------------------------------|
- By whom? (Please specify) _____
21. What control does teaching faculty have in the following areas? Please rank on the basis of 0 to 5, 5 being complete control.
- Selection of materials _____
- Allocation of funds _____
- Expenditure of funds _____
22. As collection development officer, do you have full responsibility for the selection of library materials?
- | | |
|------------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
|------------------------------|-----------------------------|
- If not, who does? (Please specify) _____
23. Do you have full responsibility for the allocation of the materials budget?
- | | |
|------------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
|------------------------------|-----------------------------|
- If not, who does? (Please specify) _____
24. Do you have full responsibility for the expenditure of the materials budget?
- | | |
|------------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
|------------------------------|-----------------------------|
- If not, who does? (Please specify) _____
25. Do you, as the chief collection development officer, have a formal role in determining overall library policy?
- | | |
|------------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
|------------------------------|-----------------------------|
26. Has the structure or organizational placement of the collection development unit changed in your library since 1975?
- | | |
|------------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
|------------------------------|-----------------------------|
- If yes, please describe briefly on back of page.
27. Why were these changes made?
- | |
|---|
| <input type="checkbox"/> Shifting priorities within the library |
| <input type="checkbox"/> To accommodate changes in personnel |
| <input type="checkbox"/> To accommodate changes brought about by automation |
| <input type="checkbox"/> Change in top-level administration |
| <input type="checkbox"/> Other (Please specify) _____ |
28. Are you satisfied with the way collection development is organized in your library?
- | | |
|------------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
|------------------------------|-----------------------------|
29. Do you anticipate any change in the structure or organization of collection development in the near future?
- | | |
|------------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No |
|------------------------------|-----------------------------|
- If yes, please describe briefly on back of page.

The Serials Manager's Obligation

Marcia Tuttle

This article concentrates on two of the serials manager's external relationships: that with the subscription agent and that with the journal publisher. It focuses particularly on the obligation of the serials manager to be an equal and respected participant in the process of acquiring information for the reader. Equality is gained through formal and informal education, communication with one's colleagues and representatives of library-related businesses, and action supporting one's opinions and concerns.

Serials management is a relatively new specialization in librarianship, especially prevalent in large academic libraries. In the past it was often said that good serials librarians sought and were promoted to positions as heads of technical services or directors of small libraries. Today's serials manager, however, resides in a professional world that is different from that of even a decade ago; it is no longer necessary to go on to other specialties. Successful serials management is a continuing challenge because of three trends: constant change in serial publications; runaway proliferation of journals and rising subscription prices; and the new technology applied to serials publishing, distributing, and processing. These developments have created an environment that requires knowledge and strong leadership by serials librarians.

Serial publications are more complex today than in earlier years; change is perhaps their most constant quality. To the aspect of change one may add David C. Taylor's concept of the "serials explosion": "Since 1970, subscription prices for old standard journals have gone haywire. . . . Meanwhile, new journals with important-sounding titles appear each week at unreasonable prices."¹ Growing specialization within academic disciplines has narrowed target audiences for scholarly journals. It has brought split titles, esoteric but nearly identical topics, and fiscal and processing challenges for serials managers. The U.S. dollar rises and falls against foreign currencies in a manner that makes budgeting little more than a guessing game.

The first two stimuli in the evolution of serials management—change and cost—have been negative from the librarian's perspective. The third, new technology, may be viewed as positive when libraries have adequate funding. Technology of the 1980s has made possible excep-

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tional control of serial literature and its contents. The availability of comprehensive online serials management systems, the replacement of labor-intensive card files by the floppy disk, and coverage of the information in journals by means of compact-disk indexes are examples of current uses of automation.

The serials librarian manages personnel, financial and material resources, technology, and change, working regularly with persons and businesses outside the library. The inter- and intradepartmental aspects of serials management are well covered elsewhere in the literature. This discussion concentrates on two of the serials manager's external relationships: those with the subscription agent and the journal publisher. It focuses particularly on the obligation of the serials manager to be an equal and respected participant in the process of acquiring information for the reader. These relationships are at the core of serials librarianship: the area where change occurs, the source of the serials explosion and of the hurt that technology can heal.

MANAGER'S PERCEPTION OF RELATIONSHIPS

Philip E. N. Greene has written of the "three-way responsibility"—the business relationships among the serials librarian, the journal publisher, and the subscription agent—and the obligations of each partner to the others.² John B. Merriman refers to the "information chain," consisting of author, publisher, vendor, and librarian.³ Each of these persons has a role in communicating information to the end user, and all participants depend on the other links of the chain.

The serials librarian has not been a full and confident partner. As a rule, serials managers participate very little in the ongoing struggle over their business, conducted by the agent and the publisher, but they are inclined to accept the situation as described by the commercial parties. They swallow not so much the up-front sales pitch as the financial and service terms offered. Serials acquisitions librarians can negotiate these terms, but usually they do not. Some do not understand what is going on; others do not bother to examine their business relationships. Ignorance, naiveté, and passivity allow serials managers to be swayed easily. In a passive position, serials managers do not serve their patrons well. They waste financial and material resources. Serials managers bemoan the fact that library dollars are buying less, but they do not act. The librarian is an essential partner in the business of getting information to the reader, and the serials manager has an obligation to be an informed and active partner.

At times there may be tension and hard feelings between the serials manager and both the subscription agent and the journal publisher. The primary reason for this disrupted communication is the difference in philosophy each side espouses. Most librarians are employed at libraries funded by nonprofit, service-oriented institutions: schools, towns, or other parent bodies. The traditional *raison d'être* for the serials manager, as for any librarian, is to place the proverbial right material in the hands of the right reader at the right time. The service ethic demands acquisition of appropriate publications, prompt access through library

records, and cheerful, accurate assistance in locating serials and identifying the information they contain. The subscription agent and the publisher, on the other hand, must make a financial profit to survive. The librarian tends to value service more than cost savings; the suppliers earn revenue from the information and services they sell to their library customers.

RELATIONSHIP WITH THE SUBSCRIPTION AGENT

The serials manager's perception of the subscription agent, the closest contact outside the library, has changed more than once over the last few decades. Before the mid-sixties, when the agency was able to pass on to the library a share of journal publishers' discounts, the vendor was simply a middleman who saved libraries time by consolidating ordering and paying, to the financial benefit of both parties.

When rising costs forced many publishers to stop giving vendors a generous discount and caused the agent to add a service charge to the library's invoice, the subscription agent was seen by many serials librarians as an adversary. Shortly thereafter, large vendors installed automated systems for cost-effective operations. Their trial and error use of computers appeared to victimize serials librarians with missed renewals, duplicate charges, and sluggish claiming activity. During these transitional years the agencies, and particularly their sales representatives, enhanced their reputation as the librarian's adversary with glowing tales of new services and promises that could not be fulfilled. Subscription agents claimed to be able to handle nonperiodical serials as well as journals, but they did not recognize the distinction between the two types and programmed their computers to treat every order as if it were a journal.

Now, however, the subscription agencies are very much in control of their computers and are able to provide significant assistance to their customers in terms of bibliographic and subscription information, fast and knowledgeable claiming service, and guidance in budget planning. Many vendors hire serials librarians for sales and management positions, and this investment has paid off handsomely for both the companies and their library customers. The subscription agent's librarians and the purchasing institution's librarians communicate easily about serials and serials problems, and they enjoy talking shop and sharing professional news. Today it is easy for the serials manager to feel that the subscription agents' personnel are trusted allies in the struggle to provide crucial journal information to the patron.

However, because of this feeling of trust on the part of serials managers, vendors are sometimes able to entice them with short-term price breaks, online serials systems, and very low service charges. Such offers may be quite valid and worth an investment or a change of agent, but the serials manager must evaluate each offer and recognize the ramifications of accepting it. Most library suppliers will not lie to the customer; they just do not necessarily tell the whole truth. The librarian's responsibility is to know what questions to ask to uncover more of the truth. It is not to the library's advantage to play one subscription agent against another

for a short-term gain. Changing subscriptions from one vendor to another is expensive in staff time and in public relations (when gaps in receipt occur).

The best agents work hard to maintain a delicate balance between service and profit. They are in business to provide services to libraries, but they must make a profit in order to continue to give service. The subscription agents combat increases in costs by developing ways to reduce their expenses. The shift to early invoicing of subscription renewals is an example of this. The agent receives the library's money several months before it must be paid to the publishers. The funds are invested and bring additional revenue to the agent. Often the library receives a small share of the interest on the agent's investment, which can be applied to renewal charges or other payments to the vendor. Because most libraries are not able to invest materials funds themselves, this means of reducing costs is attractive. The trade-off, however, is in the time required in a manual serials record to post added charges that come in the fall or winter after the agent receives the publishers' new prices.

RELATIONSHIP WITH THE JOURNAL PUBLISHER

The journal publisher is one step further removed from the library than the subscription agent. Librarians often do not understand the business of serial publishing, nor do they usually communicate directly with the publisher. On the contrary, the serials manager assumes that publishers neither understand nor care about library problems caused by changes they make. Gordon Graham, of Butterworth and Company, discussing the relationship between librarians and publishers, states that each party feels "a little precious about his identity, displaying the slight edge of insecurity of those who know inwardly that they are neither the original creators nor the ultimate consumers of the products they handle."⁴ Graham goes on to say that new means of conveying information are forcing publishers and librarians to communicate with each other.

Traditionally, librarians have felt frustrated by the actions of journal publishers, such as apparently unnecessary title changes that require costly recataloging of materials and replacement of records. In the mid-1970s serials librarians' frustration erupted in a newsletter named *Title Varies*. This publication was a vent for the anger and amusement that resulted from such publisher actions as changing *Conditional Reflex* to *The Pavlovian Journal of Biological Science*, and changing *Commerce Today* to *Commerce America*, "in the spirit of the 1976 American Bicentennial."⁵ The frustration gave rise to an organization known as "LUTFCSUSTC," Librarians United To Fight Costly Silly Unnecessary Serial Title Changes, that lives today in the ALA/RTSD Serials Section's Worst Title Change of the Year Awards. Unfortunately, *Title Varies* spreads the bad news only after the fact, and it reached all too few journal publishers. Perhaps the greatest contribution of the newsletter was the sense of community that developed when serials librarians learned that they did not have to fight their battles alone.

Often accompanying the serials librarian's frustration with the practices of journal publishers is a feeling of mistrust. This feeling has re-

cently come to the fore in the context of the furor over some British publishers' discriminatory pricing of journals for the North American market.⁶ Sometimes serials librarians come to accept publishers' changes in policy that make their work more difficult. Two examples are the controversy formerly surrounding individual versus institutional pricing⁷ and the use of automated subscription fulfillment centers by mass-circulation magazine publishers.⁸ Librarians criticized publishers verbally and in print for both of these practices; however, no changes were made, and eventually the clamor abated. Some librarians came to accept the publishers' positions, some got tired of the fight and gave up, and others did not care enough to pursue the issues.

If the passing of the dual pricing and fulfillment center tempests is any indication, it is likely that, abetted by the apparent current stability of the U.S. dollar against the pound sterling, the British pricing issue will quietly fade out of the picture when the next crisis appears, once more to pit the serials librarian against the journal publisher.

In fact, the next crisis may already exist in the form of one publisher's addition to the 1987 renewal invoices of a charge for "License to Photocopy." The publisher offers an alternative to subscribers not wishing to purchase the license to copy: a form to sign and return that, in effect, gives the publisher permission to sue any subscriber if it believes the contract has been violated. While some corporate libraries may find the license attractive, American academic libraries already make every effort to abide by the provisions of the law regarding photocopying. The requirement that they pay a fee for what is permitted or that they leave themselves open to legal action is untenable. David Taylor explains the situation: "Royalties from the reproduction of copyrighted material have been a disappointment as a producer of revenue, and publishers are not sure whether to blame the law for being too ambiguous, or librarians for cheating."⁹ If efforts such as this one are not stopped immediately, the unnecessary photocopying charge will become widespread and will represent yet another source of tension between the serials manager and the journal publisher.

MUTUAL INTERDEPENDENCE

This article has discussed the serials manager's perceived relationships with the subscription agent and the journal publisher. However, as Philip Greene¹⁰ stated, the association is a three-way responsibility: the three partners rely on each other in a complicated business situation akin to a love/hate relationship.

SERIALS MANAGERS

Serials managers are likely to be naive and passive in their business relationships with vendors and publishers. Their livelihoods have never been contingent upon efficiency and economy in the use of financial resources. Thus, the serials manager is easily taken advantage of by those whose jobs depend on revenue generated from library business. In today's world publishers understand serials, and subscription agents understand serials. Not only do they understand serials, but they invest

time and money to make their business transactions with the library easier and more profitable.

This effort benefits all parties, but it is certain to benefit the commercial partner most. For example, one major publisher recently decided that it would no longer use the vendor in the distribution of its nonperiodical serials but would take on that work within its own organization, in order to give better service. Libraries placing standing orders would receive a 5 percent discount. This arrangement sounds fine until one realizes that libraries formerly received from the vendors not only satisfactory service, but also a discount several times greater than that now offered by the publisher. The vendor loses a sale, the library pays a higher price, and the publisher benefits financially.

This discussion is not intended to portray the serials manager as a victim of the journal publisher. Nor does it advocate that the library bypass the agent and order its serials directly from the publishers, for the costs of processing separate invoices, writing separate checks, and even mailing separate envelopes are prohibitive. It is true, however, that the serials manager needs the subscription agent more than the publisher does.

SUBSCRIPTION AGENT

The longstanding market of the journal subscription agent was saturated some time ago. The companies must, however, continue to show growth in revenue if they are to remain in business. Thus, placing orders and sending invoices has become a lesser share of the role of the large vendors. They are making creative use of their databases in order to offer more services to library customers. Online access to the vendor's publisher and title information files is one of the most useful services the agent can offer. For libraries having all subscriptions with a single agent, a vendor-supplied online check-in system is valuable. Subscription agencies create "needs" among their library customers, and they must market the new products and services successfully. They must respond to their customers' perceived needs in order to retain library business.

Subscription agents' publisher-relations staff are working with managers of the magazine fulfillment centers to come to an arrangement by which library needs are recognized and served within the highly automated distribution environment. Serials managers support these discussions, because mass-circulation magazines cause acquisitions problems far outweighing their modest subscription cost. The vendors' advice to make changes in address and in timing of renewal and the suggestion to place certain orders directly with the fulfillment center are sound. If relations are good, the agent wants the libraries' orders for these titles; if the two parties are at loggerheads, the agent finds it too expensive to be bothered.

In the continuing struggle for American serials managers to circumvent or abolish geographical price discrimination, the subscription agent is working with librarians and publishers in a complicated situation. If American libraries receiving these expensive journals were to cancel their subscriptions in protest, the agents would lose a significant

amount of revenue. In order to head off any such action, their publisher-liaison personnel are very active. Some British and other European agents offer consolidation services, whereby journals for the American library are mailed to the agent at the lower domestic or European price and then air freighted to this country. Agents in the United States tried to have British and other foreign journals mailed to their offices in the United Kingdom to get the pricing break, but the publishers refused to permit this, claiming that all subscribers in North America must pay the high price. American subscription agents, then, insisted that European publishers refuse to permit vendors outside the United States to acquire their journals at the domestic price and reship them to American libraries. The result is that American libraries are paying premium prices for more and more foreign journals.

Competition among subscription agents can be fierce, and discriminatory treatment by publishers is financially damaging. So long as no vendor is given special pricing consideration by the publisher, the agent is not primarily concerned with minimizing the cost of the journal. In fact, a 10 percent discount on a \$500 library subscription gives the agent, for each subscription, \$45 more to work with than a 10 percent discount on a \$50 journal. Similarly, a 5 percent service charge to the library brings in more revenue for the higher priced journal than for the less expensive title. Thus, it is to the agent's financial advantage for the library to pay a higher price, provided the library is not forced to cancel other subscriptions to pay for the one.

JOURNAL PUBLISHERS

The mutually dependent relationship between librarians and publishers is described by David Taylor:

Libraries depend on publishers to produce information that has the authority of creative authorship balanced by the critical judgment of the editor. It is ludicrous to think of the library as publisher of original material. It is not organized for this complicated task. Likewise, a publisher is not set up to be a library. A publisher can save copies of its own publications, but it cannot duplicate the ability of even a small library to acquire, organize, preserve, and make accessible a wide variety of materials without organizing itself into a library-like organization. In other words, both institutions play essential roles in the dissemination of information. Each is dependent on the other for those functions.¹¹

Journal publishers are under pressure by the subscription agents to extend to them discounts of 10 or 15 percent. The agent believes that its intervention saves the publisher time and money by consolidating library orders, paying the correct amount well in advance, and screening library claims.¹² It is becoming commonplace for the large agents to order and pay electronically and even to have electronic communication between major journal publishers and the agents' title information databases. There is no doubt that the subscription agent provides a service to the publisher.

A publisher who does not give vendors a discount claims that the journal price is as low as it can be already and that giving a discount to the

agent will just raise the price to the subscriber. This publisher is reluctant to admit that the agent performs a service for anyone besides the library:

These agents are carrying out a perfectly straightforward commercial operation. It matters little whether the commodity they deal with is learned journals or specialised widgets. They are employed by the libraries as purchasing agents, to get the best deal they can on behalf of their clients. They are no longer retailers providing a distribution system. If the agents are truly purchasing agents acting for the purchaser, the librarian, then they should charge their employers for such services so that there could be a proper regulation of the market by price and service provided.¹³

Discount-giving publishers may elect in some years to reduce the vendor discount instead of raising the subscription price. This action forces the agent to raise the library's service charge, in order to make the necessary (or desired) profit margin.

THE OBLIGATION

The serials manager's obligation to the library and library users is to become a full and equal partner in relationships with the subscription agent and the journal publisher. Partnership requires that the serials manager invest in a long-term program of education, communication, and action.

EDUCATION

The first step toward becoming a responsible serials manager is education. Serials librarians report, almost as one voice, that their graduate courses in librarianship did not prepare them to work with serials, and they come to their positions having to learn serials work on the job. Despite the efforts of the ALA/RTSD Serials Section's Library School Education Committee, very few library schools offer a formal serials course or curriculum. The author's graduate assistants express frustration that serials librarianship is not taught in the M.L.S. program. Even the students who aspire to be children's librarians, manuscripts librarians, and public librarians believe that the school should offer a course in serials management. They write to administrators explaining that one class session in a few related courses is not sufficient, only to be told that there are higher priorities for faculty funds. As was the case with *Title Varies'* mission to influence publishers, no campaign for serials courses in schools of library science has met with noticeable success.

Because schools of library and information science do not teach courses in serials acquisitions, the serials manager must make an individual effort to learn through formal business courses, various continuing education programs, or informal study. In order to understand the process of serials acquisitions, one must understand the business of journal publishing, including marketing and economics. Serials publishing, for the purpose of this article, consists of domestic scholarly publishing, domestic mass-market publishing, and foreign publishing.

Scholarly publishing, especially the production and distribution of learned society journals (either by the society itself or by a university press), is most relevant to the academic serials manager, because paying

subscribers are predominantly libraries. Commercial firms also publish society and other scholarly journals for libraries. These journals' prices may be so high that few individuals are willing to invest the cost of a personal subscription. It is to the librarian's advantage to understand the differences between the two publishing philosophies and to realize that at times the line fades between scholarly and commercial publishing.

Mass-market publishing (such as news magazines and hobby magazines) depends far less upon library subscriptions than upon personal orders and especially renewals. An understanding of the economies of scale in fulfillment center distribution and the importance of advertising revenues and sale of the subscriber list assists the serials manager in resolving problems caused by mass-circulation magazines.

The foreign serial publishing industry is another story entirely. For American libraries, the tradition in each country is combined with currency fluctuations and the world situation in general. German publishing differs from British publishing; Dutch and French publishing differ also. With North America holding so large a share of today's journals market, many large, predominantly scientific publishers are actually international publishers, wherever they are situated. American serials managers have much to learn about serials publishing outside of the United States.

The economics of journal publishing is a fascinating topic involving budgeting for a new journal, either alone or in the context of other journals issued by a large publisher; the determination of the break-even point and time for a periodical and the action to be taken if the goals appear to be in jeopardy; and financial terms that are negotiable among the publisher, subscription agent, and librarian. Library schools may offer courses in publishing, but these courses are likely to concentrate on book publishing and need to be supplemented by further reading and by discussion with journal publishers.

Membership in the Society for Scholarly Publishing,¹⁴ is a good place to begin. The society holds an annual conference, issues proceedings and a newsletter, and furnishes its members a subscription to the quarterly journal, *Scholarly Publishing*.¹⁵ The society's activities concern monograph publishing as well as journal publishing, but publishers of monographs often issue journals. Subscription agents also participate in the society's programs. Publishers and librarians, as well as authors, contribute articles to *Scholarly Publishing*, and often there are articles on serials publishing. The membership of SISAC, the Serials Industry Systems Advisory Committee,¹⁶ is composed of the three groups discussed in this article: librarians, journal publishers, and periodical subscription agents. Membership is open, as is participation in one of the subcommittees: Identification Code, Order & Claim Formats, Membership & Publicity, and Beta Test. *SISAC News*¹⁷ is the journal of this group. Its cover illustrates the use of the SISAC Bar Code, a serial issue/article identifier.

COMMUNICATION

Communication is the second step toward becoming a responsible serials manager. Several channels for communication exist, among them

meetings and workshops, users' groups, and field visits. In addition, there is the network of serials managers that has developed from contact at professional meetings. An example of this group in action was the response to the attempt to charge libraries for permissible photocopying. Telephone calls, electronic messages, and letters alerted librarians and subscription agents and relayed measures being taken to resist the charge.

Among the formal meetings where serials managers gather are those of the Serials Section of ALA,¹⁸ the new North American Serials Interest Group (NASIG),¹⁹ and the United Kingdom Serials Group (UKSG).²⁰ Of these three, the first is probably the most difficult context in which to establish relationships with other serials managers. Although virtually all meetings are open meetings, the Serials Section is part of the twice-yearly ALA Conference and exists in the midst of scheduling conflicts and vast crowds of librarians and exhibitors. The problem is not an unwillingness to communicate, but a shortage of time. The cost of attending an ALA conference is also a significant deterrent to many serials managers.

On the other hand, NASIG and UKSG conferences consist only of persons involved with library serials, whether librarian, vendor, publisher, educator, or binder. Their conference schedules are designed to reduce programming conflicts to the minimum, and the number of attendees is a manageable two to three hundred. Both of the latter organizations hold annual meetings on college campuses, where they take advantage of economical dormitory housing and institutional meals. The schedule includes nightly informal gatherings during which business and professional relationships are formed and strengthened. Both NASIG and the UKSG issue newsletters and conference proceedings to their members.

NASIG is planning to hold and the other two groups have already held regional workshops and seminars directed toward specific groups of serials specialists. For instance, ALA's Serials Section is currently sponsoring serials cataloging institutes, offered across the United States. The UKSG presents short courses for paraprofessional staff members, as well as workshops for managers. NASIG will concentrate on developing a comprehensive program of practical and inexpensive continuing education that will grow as the organization matures.

There is a Section on Serial Publications, as well as an Acquisitions Section, in IFLA, International Federation of Library Associations and Institutions. This group meets annually in various countries throughout the world and attracts primarily the most established and best-known persons in the field. Committee representation is by nation, and appointments are made by such bodies as ALA and the Library of Congress working together. While IFLA committee meetings are not generally open to the public, permission to attend may be granted a serials specialist. In addition, sections sponsor program meetings that are open.

Other opportunities for professional communication occur in the context of various users' groups. Subscription agents occasionally bring sev-

eral librarians together for a thorough and concentrated discussion of common problems. The producers of bibliographic utilities and online serials systems have regular meetings of their users, either in conjunction with ALA or separately. Journal publishers have librarian advisory boards to recommend policy and practice. During all of these meetings the communication grows not only between the host and the guests, but also among librarians attending the sessions.

An additional channel of communication is the interaction between the serials manager and the sales and service representatives of subscription agencies and publishers. These persons are much more knowledgeable about library practices and library needs than they were a decade ago. Their visits, for which the serials manager should prepare, are opportunities to learn from each other, both in general discussion and in the solution of special problems. The representative can offer the name of a librarian who has had experience with a problem situation and may even facilitate the initial contact. Occasionally, a representative asks the librarian to assist another customer with a problem. Librarians' visits to the home or branch offices of the companies with which they do business provide a wealth of information and introduce a number of persons with whom specific concerns can be discussed. Again, the relationship is mutually beneficial.

A further source of communication is a grant or fellowship that can be used for an internship with a journal publisher, a subscription agency, or possibly a fulfillment center. The Council on Library Resources provides funding, as does ALA's Association of College and Research Libraries' Samuel Lazarow Fellowship. Many libraries have a grants specialist on the staff who can assist in writing the proposal.

INFORMED ACTION

The final component in fulfilling the serials manager's obligation is informed action. In combination with education and communication, one must act. The responsible serials manager questions what is taught, what is communicated, and what he or she does not agree with or understand. Action in the form of reading and questioning contributes to learning, which leads to confidence. Action by means of writing for publication is a way both to teach and to learn. Passing one's understanding on to others helps the writer clarify his or her own thinking as much as it instructs the reader. If one is fortunate enough to have writing generate response, the resulting interchange of ideas is beneficial and exciting.

Supported by education and communication, the serials manager acts through negotiating with business and professional colleagues outside the library. The informed serials manager who is willing to act is in an excellent position to get results. In the case of an alleged injustice by a journal publisher, the active serials manager works with other librarians within the local library and perhaps with institutional legal counsel. The network of serials specialists is available for information exchange, for the collective evaluation of the implications of library action, and for bringing about the impact of concerted action. If a publisher or vendor engages in a practice that appears to be unfair, serials managers working

together may be able to force either the rescinding of the practice or an acceptable compromise.

Beyond this network is the American Library Association's professional clout. The Serials Section has a channel to the very top level of ALA, the executive director and ALA Council, whose responsibility is to serve the needs and protect the interests of the profession. Additionally, there are relationships with commercial and other business-related groups and individuals, perhaps developed in the context of NASIG or perhaps coming through members of one's own institutional community. For example, a faculty member may edit one of an offending publisher's journals. Acting in informed concert to refuse to be victims of unjust practices can be very effective, and it is an essential role for the responsible serials manager. Even without the public backing of colleagues, one person can negotiate favorable terms by coming to the discussion well informed and asking the right questions. This kind of activity is the serials manager's obligation.

CONCLUSION

Because the librarian, the journal publisher, and the subscription agent are mutually interdependent, the responsible serials manager must participate in business dealings on an equal basis with the other parties. This equality is founded on knowledge of the serials publishing, marketing, and distributing industries. It is gained through formal and informal education, through communication with one's colleagues and representatives of library-related businesses, and through action supporting one's opinions and concerns. Equality is not taught in library school; it is up to the professional serials manager to attain this status, and, if necessary, to create the continuing education opportunities that facilitate growth and confidence. Personnel from publishers and subscription agencies are available to share, to teach, and to learn. The serials manager needs to learn what questions to ask to earn these persons' respect. He or she can no longer coast along on the premise of service over cost, but must balance the two philosophies according to the objectives of the library and its parent body and according to one's own informed best judgment. The person who makes this commitment will be rewarded by the satisfaction of a job well done, enduring friendships, and the opportunity to have an impact on the profession.

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Quality Control in Data Conversion

Derry C. Juneja

This article discusses briefly the reasons for retrospective conversion and the methods for accomplishing it. The need for standards is emphasized and suggestions are given for completing local standards. Included are ideas for completing the conversion of parts of the collection that might have been overlooked in a project undertaken by a vendor.

AS MORE LIBRARIES CONSIDER THE PROSPECT of some form of library automation, the interest in retrospective conversion is becoming more intensive.

What is *conversion*? It is the process of transforming cataloging data in a manual form, such as a card catalog, to a machine-readable form. This process usually involves the use of a bibliographic source database against which the library matches its manual records and by some designated method creates a database of the local records of that library.

Whatever form of library automation is being considered, it is important to keep in perspective the fact that the catalog is the core of any integrated system. Whether the purpose is circulation, catalogs and catalog maintenance, interlibrary loan, or interface with another library system for resource sharing, the integrity of the catalog should always be maintained.

In the sixties and seventies the trend towards automated circulation systems coupled with high costs of equipment led to the creation of brief records, often merely author, title, call number and an identification number. Today it is possible for a library to look beyond circulation and to consider other ways in which automation can improve the use of the library.

As we come to the end of the eighties and start to look at the twenty-first century, we are seeing mini and small mainframe systems that are considerably less expensive than the early large mainframe systems, and able to support a full bibliographic record.

The creation of a full bibliographic record should always be considered regardless of the purpose of the conversion project. The immediate aim may be to create a database to support circulation, but the long-term plan may be to support a public access catalog. An online catalog may be

desired, but only selected elements of the record are to be displayed to the patron. Hidden elements, however, can improve the efficiency of the search and provide, for example, the ability to combine a search with a date or range of dates, the ability to restrict the search to a language, or the ability to retrieve only sound recordings or serials.

WHAT IS TO BE CONVERTED?

In planning a conversion project the library must decide how much of the collection is to be converted and how that conversion is to be accomplished.

Ideally records for the entire collection should be converted to machine-readable form. A recent large survey of online catalog users indicated that users expect to find records for all resources in a collection in the online catalog.¹ Some smaller libraries believe that, because of time and cost, complete conversion would not necessarily improve service.² The automation planners must balance the needs of the users, available resources, and cost with the necessity of total conversion.

Also to be considered is that the library may be a member of a bibliographic utility such as OCLC, RLIN, or WLN, and that a portion of the collection is already in a machine-readable form based on current cataloging. The library may need to manipulate data cataloged prior to the date of association with the utility. Material not previously cataloged in machine-readable form, such as audiovisual, archival, or sound recordings may need to be converted.

ANALYZE THE COLLECTION

An analysis of the collection and consideration of the goals of the automation project will determine the parts of the collection to be converted first. If circulation is a priority then the most highly circulated collections should take priority. If a COM catalog or online catalog is desired, then priority could be assigned to material published and/or cataloged beyond a certain date.

WEED THE COLLECTION

Weeding of the collection will remove titles or copies in poor condition or of marginal worth. Joseph Matthews suggests that because extensive weeding can be very difficult for library staffs to carry out, libraries should consider weeding a collection after the initial pass through the holdings.³

WHO WILL DO THE CONVERSION?

Retrospective conversion projects at present are most likely to be accomplished as (1) an in-house conversion with existing staff, (2) an in-house conversion with additional staff or, (3) a vendor service. The advantages and disadvantages of each are noted below.

In-house conversion with existing staff leads to a high quality project as the existing staff will be experts in their area of cataloging. However, if this conversion has to become part of the regular workflow, it can cause backlogs in the current workload. If this becomes an "as you can fit it in" project, it becomes a long-drawn-out process.

The extra staff, equipment, and training needed for in-house conversion with additional staff, along with the possible addition of extra shifts, can make this a more costly method. It is a method by which quality can be maintained as the existing experienced staff should be available for consultation.

A vendor conversion is probably the cheapest and fastest method of conversion, which can be contracted through a bibliographic utility such as OCLC or UTLAS, or a commercial vendor. The quality of this type of conversion is more difficult to monitor.

QUALITY STANDARDS FOR CONVERSION

The standards to be followed should be national standards. Efficiency will follow if the standards adhered to are AACR2 for cataloging and MARC II for the coding of the records. Richard Boss has stated that if these standards are adhered to rigidly, the database is likely to outlast several different generations of computer hardware and software.⁴

The Association of Research Libraries (ARL) has adopted basic guidelines for monograph converted records.⁵ These guidelines suggest mandatory record elements although not all need to be used and will be required only if applicable to a given record.

Leader:

- 05 Record status
- 06 Type of record
- 07 Bibliographic level
- 17 Encoding level
- 18 Descriptive cataloging form
- 007 Physical description fixed field . . .
- 008 Fixed length data elements
 - 06 Type of publication date
 - 07-10 Date 1
 - 11-14 Date 2
 - 15-17 Country of publication
 - 23 Form of reproduction
 - 35-37 Language
- 010* LC card number
- 016* Canadiana control number
- 020* ISBN
- 040 Cataloging source
- 1xx* Main entry
- 245 Title statement
 - \$a Short title
 - \$b* Remainder of title
 - \$c* Remainder of title page
 - \$h* Media qualifier
 - \$n* Number of part/section
 - \$p* Name of part/section
- 250 Edition statement
 - \$a Edition statement
 - \$b* Remainder of edition
- 260 Imprint statement

- \$a* Place of publication
- \$b* Name of publisher
- \$c Date of publication
- 300 Physical description
 - \$a Extent of item
 - \$b* Other physical details
 - \$c* Dimension
 - \$e* Accompanying materials
- 400-411* Series statement
 - 440* Series statement, title traced
 - 490* Series statement, title untraced or traced differently
 - 553* Photo-reproduction note
- 600-651* Subject added entries
- 700-740* Added entries
- 800-830* Series added entries

These elements basically constitute the minimal-level data required. Those marked with an asterisk are required only if applicable. These monograph standards can be used to determine the fullness and consistency of records regardless of previous cataloging policies dictated by local practices.

SOURCE FOR CONVERSION

What is the source of the records to be used for conversion? Studies can be undertaken to determine which source in the library has the most complete information. Does the shelflist contain the information needed or is this information too brief? Some shelflists are like brief circulation records of the sixties and cannot be used. Can the public card catalog be used and if so what are the problems of removing that catalog from public use? This is a major concern if an outside vendor is chosen to complete the conversion. An alternative is to microfilm the chosen source.

DOCUMENTATION

Once the library has determined what is to be converted and how the project is to be accomplished, these decisions should be documented.

Many libraries using bibliographic utilities for current cataloging have never documented what constitutes their standard. The utility provides a record in MARC II format and elements of that record, according to the library profile, are printed on a catalog card. If the library inputs a new record, both AACR2 and the utility requirements are followed.

Thus an important element of a conversion project is a document outlining the policies that will be in effect and that will govern the creation of the bibliographic record, along with the procedures and routines to be followed. This document should specify that bibliographic records follow at least minimal-level data using AACR2 for headings and the MARC II format for input. For local requirements, issues beyond the AACR2-MARC II format must also be decided.

1. What level and detail of information is to be recorded?
2. Will hard copy and microform be identified on the same record?
3. Will serials be treated as latest title or successive entry? Regardless

- of current practice some libraries have had to continue local practices based on the size of their collections.
4. How much authority work will be completed prior to conversion to bring pre-AACR cataloging to AACR2 standard?
 5. Will the library upgrade access points but not convert the body of the record to ISBD standard?
 6. Will specific item information be recorded in the bibliographic record?

VENDOR CONVERSION

If the library has contracted for conversion the communication between the library and the vendor is of extreme importance. Instructions given by the library and those given by the supervisor of the vendor project must be accurate, as complete as possible, and must be followed.

In a large library where the cataloging may be more than 100 years old the instructions may be difficult to write and not all areas of concern may be obvious at first.

The following excerpt from a document prepared by the manager of the OCLC conversion unit for the fiction conversion of a large public library shows the type of local requirements that a library may request.

1. Ignore OCLC computer-generated cards, and "In" analytics. Do not update, tally, or flag.
2. If XXX is at the home position on the screen, do not convert the record, but tally it as "updated previously."
3. Edit M/F/B in the fixed field. (F:1 for fiction)
4. Delete all *call numbers* (050, 082, 092, etc.) from the record, but do not delete 010 or 020 fields as they are not call numbers.
5. Ignore the "Pop" or any other symbols above the "call number" on the cards.
6. Enter "Fiction" (Capital F, no quotation mark) in a 099 field.
7. XXXX in the 049 field.
8. Always trace title (i.e. first indicator of the 245 field shall be 1) *except* for title main entry.
9. Edit the nonfiling indicator in the 245, 440, 730, and 740 fields.
10. Delete contents note (505 field) from the record with more than three titles listed.
11. Delete all subject headings (6xx fields) from the record and ignore subject headings on the card.
12. Ignore tracing "ta as per contents" or "ata as per contents" on the card.
13. Do not trace translators (i.e. delete 700 fields for translators from the record) but keep joint authors if they appear in the record and not on the card. Enter a 7xx field for the joint author if it appears in the tracing on the card but not on the record.⁶

LOCAL INFORMATION

What type of local information could be important to the library? As stated earlier a full bibliographic record should be considered but sometimes a full record taken from a utility can be too full and editing is necessary. The following are examples of specific areas to be noted.

CALL NUMBERS

These can be Dewey, Library of Congress or any local scheme. Local call numbers may apply only to certain parts of the collection. Some collections may have multiple call numbers for the same title, or a reclassification project may be taking place at the same time as the conversion. Clearly define the local needs and in which field the call number is to appear. A library that has more than one classification scheme and wishes to index in their local system by call number must take care when using a bibliographic utility. If both Library of Congress and Dewey classification schemes are acceptable, care must be taken to remove call numbers that may be specific to another library collection. Local call numbers must have an exact method of recording. A local biography scheme could have a call number, e.g., 234 B 756 that, on the catalog card, would print as

234
B
756

This could appear in the bibliographic record in one of the following forms but only one should be adhered to for the sake of consistency:

\$a 234 \$b B 756
\$a 234 \$b B-756
\$a 234 \$b B756

ACCESS POINTS

Does the library require that access points be upgraded to AACR2 standard or are there local requirements for all or part of the collection? AACR2 headings and Library of Congress authority information may be required, but public libraries could have a special need to have fiction titles treated differently. Titles may be arranged on the shelf by the author's name as it appears on the title page, even if that name is a pseudonym. That name may be the one the library wants to appear as the main entry heading in the bibliographic record regardless of the "official" form. An example is Eleanor Hibbert, whose pseudonyms include Jean Plaidy, Victoria Holt, and Phillipa Carr, but for whom the Library of Congress form is currently Jean Plaidy.

SUBJECT HEADINGS

Local subject headings may be a requirement and the written document should be specific as to which fields should be used for these headings. An older catalog may have local subject headings but the library finds Library of Congress subject headings acceptable if they are coded in the source record. The library may wish to specify that annotated headings for children's literature or headings for the National Library of Medicine be deleted.

EXTRANEOUS INFORMATION

Older catalogs may contain cards that have handwritten corrections or typed information dealing with a variety of informational needs. Additional locations, specific copy information, and, in some cases, infor-

mation so old and outdated that current staff are no longer aware of what these notations mean, may be found. However difficult it is to document what is important and what is not, an attempt should be made to identify each situation. An item important in a card catalog may not be important in an online environment. For example, specific copy information could be linked from an item file to a bibliographic file, whereas the card catalog gave this information from only that one location.

INTERPRETATION OF TRACINGS

Again the older catalog will have variations in the methods by which the tracings were indicated. The placing of this information could have been either on the front or the back of the card and the main entry card may be the only card that contains the tracings. Changes in cataloging conventions may require the updating of information. Abbreviations should not be used or if used should be used consistently. A tracing may indicate "D & T" or "Descr. & trav." for the term *Description and travel*. The use of the word *and* or the ampersand (&) could affect the retrieval of this information in the online catalog. Local information should be noted with care. Past practices based on the type and location of card catalogs may have required notations that are not necessary in the online catalog. A note such as "Main catalog only" or "Both cats" should not appear following a heading. Indicate terms that should not be added as local headings such as *ta's as per contents*, or the word *Title*, or *Added title* before the appropriate entry. These terms have been added during some conversions and a search under the word *Title* can bring up that word followed by the title.

The following is an instruction given to OCLC operators with specific regard to tracings. It shows the variations of tracings that could be found in many library situations.

TRACINGS

1. For non-LC cards (typed cards), tracings usually appear on the back of the cards.
2. Following is a list of notations being used in the tracings on the non-LC cards.

On card	Input as
tc	245 1X
ptc	740
sa	6XX
aa	7XX
ad ent	7XX
x title (ref)	Ignore
ser	400
	410
	411
	440
ser: xxxx-	
xxx	490 1
	8XX
ci	Ignore

3. If page numbers follow a subject heading or added entry in the tracings, leave out the page numbers.

REMARKS

1. Keep the cards *in the same drawer and in the same order* as you receive them.
2. When you input a card as an LC card, leave out information that is local (such as information written in pencil).
3. When you input a card as a non-LC card, then input it with local information.

DUPLICATE RECORDS

There is a need to prevent the creation of duplicate records that clutter a database and can lead to time-consuming retrieval. One advantage of a good quality conversion as done by a utility such as OCLC is the careful monitoring of the projects. If a record is not correct, the operator has to update with corrected information. This leads to duplicate records on the archival tape. Usually the latest record is the one that should be accepted by the system. Some process must be initiated to avoid the loading of such duplicate records into the local system, which can be accomplished by a program that flags records with duplicate OCLC control numbers and loads only the last occurrence of the record with this number. An ISBN is also a fairly accurate measure of duplication. Less accurate is the LC card number. Either can be used to assist in identifying duplicate records in a utility database among records that do not have the same internal number.

CHOICE OF RECORD

Choice of record from the source database can cause unforeseen problems unless care is taken. Although AACR2 allows for unique records to be created for microform, these rules are not always followed unless the microform is an original one and not a copy of some other item. It is possible for a microform record to be chosen as the source record when the library has the original item in hand. This choice can be made if the instructions to the vendor are to match only on certain elements and not on the notes field or form of reproduction field that would indicate whether the item was hard copy or microform. In a large utility there is always the concern of duplicate records added by participating libraries. If an operator makes the choice of a record that has not had the library holding bit set and makes the wrong choice of record, a duplicate record can occur.

AUTHORITY CONTROL

A conversion project completed today will generally be completed against a source database that has a majority of its records in an up-to-date authority form. A library that has archival tapes from the seventies and is now completing a conversion of the remainder of its collection may meet another challenge. Rules and their interpretations change and archival tapes may contain information in pre-AACR2 form. The staff

that spent many hours pulling, changing, and refiling cards in the manual file but did not update the machine-readable record may find that the authority work will need to be done again.

Few systems today have full authority control; and name authority is still more common than subject authority, but even for names, full authority is not widely established in source databases.⁸

A problem of retrospective conversion is achieving uniformity of headings in both the converted former card or book file and the more recent records that may have been created according to current standards.⁹

ISSUES TO CONSIDER IN QUALITY CONTROL

What kinds of errors in bibliographic records should we particularly be concerned about and which can be disregarded without affecting the quality of the catalog?

The most important elements are fields that can be indexed, such as author (1XX), title (245), series (4XX), subjects (6XX), and added entries (7XX and 8XX). Other fields that may be designated important could be the LC card number, ISBN, and call numbers. A bibliographic record should be retrievable by the designated access points and enhanced by elements from other parts of the record, such as the fixed fields. Accuracy in these fields is of the utmost importance. Although accuracy in other fields is a nicety, the cost of precision may be greater than the library is willing to consider for the conversion. If the nonindexed field does not cause a stumbling block to retrieval do not make a special effort to correct, but if other corrections are to be made to the record also consider correcting the error at that time. We should consider the difference between providing essential information to a patron, and useful information, the difference between providing any access at all, and providing convenience in access.¹⁰

MONITORING THE QUALITY

The method for monitoring quality will vary according to the method chosen for conversion and the availability of the automated system chosen by the library at the time the conversion is taking place.

If the conversion takes place in-house, quality can be controlled at the point of conversion through judicious use of a save file or monitoring as the information is being added to the local database. If the conversion is taking place before a system is in place, monitoring is more difficult as the finished product is often not seen until some time after the project is completed.

For a conversion completed by a vendor the quality control must be handled in a different manner. It is to be hoped that quality is monitored by the vendor and this certainly does take place. Quality must also be maintained at the library end. The first method has been mentioned above, namely the importance of the written instruction. Beyond that the time at which the quality is monitored again, by the library, depends on whether the library has access to the database, and whether there are

catalog maintenance programs available in-house or if corrections need to be made through a bibliographic utility.

ORIGINAL INPUT

In any conversion there will be a number of records for which there will be no match in the source database. These will require keying directly into the source database or the local library system. As more conversion projects take place it seems that the number of titles requiring original input should be fewer.

If the conversion is being completed from catalog cards, the keying can be completed without having to retrieve the item being converted. There will be cards with incomplete information because of the minimal-level cataloging that may have been acceptable to the library at the time of cataloging. This can occur for certain types of material, such as sound recordings or fiction collections. Decide whether minimal-level cataloging is acceptable and whether the bibliographic utility will accept the minimal level. Costs can rise if cataloging has to be upgraded. Perhaps, as mentioned above, these items could become candidates for weeding.

WHEN IS THE CONVERSION COMPLETED?

After the conversion seems to be completed, the source material refiled or discarded, the library staff ready to begin automated circulation, or to use an online catalog, what is to be done if it is then discovered that there is a special collection that was overlooked, or that there is material sitting on the shelves that has not had a machine-readable record created because there was no manual record to be used for conversion?

Procedures can be set up to handle this situation. Each one has merits based on the automated system in place.

1. Add a brief record at the time that an item circulates, trap the item on return and upgrade the record.
2. At the point of circulation, identify the item with a bar code or OCR number and circulate "on the fly" as an uncataloged item. Upon return add the record to the database.
3. Set up a team of staff to identify titles not added to the database and continue with in-house conversion.
4. Identify large portions of the collection and renegotiate with a vendor to complete conversion.

SUCCESSFUL CONVERSION

Resource sharing through large bibliographic databases, both utility and vendor, combined with the standards of AACR2 and MARC II have eased the process of conversion. A carefully planned conversion project will contribute greatly to the success of the project.

DeGennaro has said that libraries should do retrospective conversion of their catalogs if they want to speed up automation, improve management and reduce the expense and difficulties of maintaining parallel machine and manual systems.¹¹

It must be remembered that a card catalog was never a perfect catalog. An online catalog is the same catalog information in a different format. It is a new approach to an old subject, a more sophisticated approach that allows integration of circulation, patron, and acquisition files with a database that has followed national standards and allows a library many options for the future.

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Implementing a Book Repair and Treatment Program

Robert J. Milevski and Linda Nainis

For librarians who face the problem of how to keep their circulating collection in serviceable condition, this article presents a workable design for establishing an in-house repair unit that will be a complementary component in the library's overall preservation program. It delineates the issues and procedures for garnering the physical and personnel resources needed and recommends a four-stage decision-making process for selecting material for treatment.

The library world has traditionally viewed book repair as a little old man fiddling with books in the basement, off the beaten path from typical library operations; or as the clerk in the back room, using white glue and tape to mend broken-down books; or as a bookbinder working alone, consumed by a self-indulgent craft activity. Now that librarians are more conscious of conservation, they may wrongly envision repair as a conservator painstakingly performing archival-quality restorations on rare and historic volumes.

The concept that has been developing over the last decade is rather different. Conservation, rather than being an isolated and esoteric activity, is being regarded as mainstream an activity as other typical library operations. Book repair is really one component of an overall preservation and collection maintenance program within any library, from the smallest public branch library to the largest academic research library.¹

The various components of a preservation/conservation program are (1) commercial library binding; (2) repair and treatment program; (3) staff and user education; (4) information reformatting via microfilming, photocopying, optical disk, etc.; (5) shelf preparation; (6) environmental control, including disaster prevention and planning; and (7) outreach to other libraries.

Each library must analyze its situation to decide what priority and emphasis each preservation program component should receive, keeping in mind that without a balanced program, the work done in one area can be undermined by inadequate planning in another. Shortsighted inattention to routine maintenance of books, which are mechanical objects, just

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as microform readers or photocopy machines are, will predictably entail more major expenditures in the long run. For example, if a library has not allocated its resources for the expertise, time, space, and supplies to perform simple repairs, in the end it may spend more money on complete rebinding, or even replacement.

WHAT IS BOOK REPAIR?

Book repair is a preventive maintenance activity. It anticipates potential damage to library materials and it provides corrective treatments to protect them from deterioration in the future. Materials repaired in-house are quickly returned to the shelf in a totally serviceable state. (Repair, in this sense, is a functional consideration rather than an aesthetic one.)

The purpose of repair is to keep the item in use for as long as it is needed. Ideally, this refers to the point when the book is no longer needed by anyone for any purpose. Theoretically, this point is reached in the academic library when the book or the collection no longer supports the long- or short-term goals of the institution, as reflected by changes in the curricula and the collecting scope of the library; or in the public library when the book or the collection no longer meets the needs or interests of its diverse and changing community of users. As soon as it is no longer needed, the book may be allowed to deteriorate on the shelf, a procedure known as *benign neglect*, or it may be withdrawn from the collection.

The target of a book repair program is more likely to be modern books than older volumes. New publishers' bindings are frequently too weak to withstand normal library use, particularly at the critical attachment between book block and cover. The problem is especially notable in heavy, thick, and oversize volumes, such as those found in reference collections, because their bindings are not correspondingly stronger.² In contrast to modern materials, older volumes may be less appropriate candidates for repair, either because they may have historic or intrinsic value that could be altered by standard book repair techniques or because they may contain paper too weak or brittle to withstand normal repair operations.

It is advantageous to have an in-house repair facility to keep deteriorated and heavily circulating volumes serviceable. Alternatives exist, such as sharing a regional conservation facility or using the repair services of a commercial library bindery, but often they are not as cost-effective and time-saving as an in-house facility. There are circumstances, however, when outside repair services can be more cost-effective: when the library's labor costs are high, or when the library's contract with the vendor favors this option.

This article investigates the rationale and steps necessary to implement an in-house book repair and treatment program. It will cover (1) justifying the establishment of a repair facility to the library administration; (2) planning for and acquiring the space and equipment needed; (3) defining the personnel requirements and writing job descriptions; and (4) selecting library materials for repair.

JUSTIFYING A REPAIR FACILITY

PROGRAM PROPOSAL

It is important to explain the benefits of an in-house book repair program to administrators in terms that meet overall library objectives. As stated in the *RLG Preservation Manual*, the administration is the most important element in planning preservation programs. Cooperation and support from the administration translate into a successful program.³

To gain approval for a new program, it will usually be necessary to write a planning document or budget proposal. A number of examples of this are included in Spec Kit 66, *Planning for the Preservation of Library Materials*, from the Association of Research Libraries.⁴ The budget proposal should emphasize the library's commitment to its fundamental goals, one of which is preservation. The estimated proportion of books in poor condition, together with collection growth figures, will illustrate the magnitude of the deterioration problem. Factors that contribute to poor condition, such as declining paper and binding quality, poor environmental and shelving conditions, and heavy use of the collections, should be described. It is also important to outline what attempts have already been made to improve the condition of library materials.

The proposal should list the components of the proposed program, earmarking the cost of each in staff, materials, equipment, replacements and binding budgets. It is especially important to describe the level of personnel needed, complete with salary range and justification. Finally a cost summary is needed, based on a thorough budget analysis, with a separate breakdown for salary, equipment, and supplies.

SUPPORTING DATA

Factual data to document the need and benefits of the program, particularly the cost benefits, may be necessary to fully support the proposal.

The Need for a Book Repair Program. The strongest justification for establishing any program is documentation that there is a critical need, in this case, deteriorated books needing treatment.

Heavily used libraries have large numbers of volumes needing repair, but it would be difficult to identify all of them at any given time. The most effective strategy to make a convincing case of the need for treatment is to conduct a random sample survey of the condition of the collection. Though a considerable amount of time will be spent gathering and analyzing findings, hard data about the deteriorating condition of a collection can be quite compelling.

To obtain credible findings from a sample survey, the librarian must carry out a careful, statistically sound survey. If the survey is carefully conducted and the information objectives are clearly defined, the data will pinpoint some of the major condition problems, which will suggest directions for treatment. One can obtain ideas about defining data collection requirements and learn the methods of survey sampling techniques from studying other published surveys.⁵

The survey findings will also indicate other various preservation

problems, as well as those that are targets for a book repair program. For example, a large proportion of brittle books that cannot be repaired, but may be candidates for replacement, reformatting, or, at a minimum, protective encasement, may be identified. The data will help the library set broad preservation priorities and will provide helpful statistics with which to justify budget requests for many kinds of preservation funds, including, but not limited to, those for repair.

Cost Benefits. Once the need has been established, the strongest argument for an in-house repair program is that it is a way to make books serviceable at very low cost. In many libraries materials can be repaired in-house for less than the cost of contract library binding or the cost of replacement, including both labor and materials costs.

Establishing an in-house repair program entails modest to high start-up costs, due primarily to equipment needs, but also to staff and materials requirements. These costs justify themselves year to year through high production and low unit cost per repair, relative to the expense for similar outside services, such as commercial binding. Once a program is underway, meticulously compiled production statistics will thoroughly document the cost-effectiveness of the program. At the outset, treatment projections, based on the experience of other libraries, are appropriate.

The cost of a conservation technician is slightly higher or equal to the high end of the library clerk series in most institutions. However, when averaged over a large number of books very quickly repaired, the salary will seem well spent. It is a surprise to most administrators to learn how quickly most routine repairs can be performed. For example, it takes only five to eight minutes to tighten the hinges on a volume sagging out of its cover, a frequently needed repair. Recasing a text block into its cover takes just twenty-five to thirty minutes. Applying a new buckram spine takes about twenty minutes.

The actual labor cost per volume over a year will depend upon a library's treatment priorities and collection needs. For example, if a conservation technician, at a salary of \$20,000 per year, concentrated on hinge repairs for one year, and if the technician was productive 80 percent of a thirty-five-hour work week and received two weeks paid leave and thirteen paid holidays, at least 12,249 books could have their hinges tightened. If, as experience has shown, the average time for a hinge repair is 6.5 minutes, the average labor cost per volume would be only \$1.63.

Equipment costs are one-time expenditures and can be recovered over time. For example, if the initial start-up cost of \$10,000 to outfit a workshop is amortized over a five-year period, the yearly cost is only \$2,000. Given the high number of repairs possible, the cost per volume in a production setting can be astonishingly low.

Supplies are a third necessity for book repair. Simple supplies including various papers and boards, glues and pastes, book cloths and buckrams are inexpensive, especially when purchased in quantity. The materials-per-repair cost is only pennies: recasing costs only about twenty cents in materials, putting on a new buckram spine costs only ten

cents, and the cost of tightening hinges with a bit of glue is negligible.

Another cost benefit to establishing an in-house repair program is the potential savings in binding funds. A library will pay a bindery approximately 10 dollars to rebind a volume, plus the costs for in-house staff preparation and check-in time. Morrow points out in *Conservation Treatment Procedures* that, for most libraries, massive commercial rebinding of all books in disrepair would quickly deplete the binding budget and result in a very boring shelf appearance.⁷ Many deteriorated books that would normally fall into this category can be treated in-house inexpensively, thus allocating limited funds and bindery preparation staff time to those items more appropriate for commercial binding.

Other Benefits. A significant benefit of in-house treatments is a shortened turnaround time for most books. Assuming efficient repair and materials routing procedures, books should not be out of use or off the shelf for very long, at the most, two or three days, whereas materials can be "at the bindery" from two to six weeks. This is an advantage without a corresponding monetary value.

An additional advantage of a book repair program is that providing a designated and well-trained person to handle the problem of deteriorating books in the library eliminates creative but potentially damaging "first aid" treatments performed by well-intentioned staff. A trained conservation technician and a well-organized program, which fits in with other library operations, readily demonstrate that there are clear alternatives to these inappropriate pressure-sensitive tape and white glue repairs and that there are alternatives to doing nothing at all.

PLANNING FOR AND ACQUIRING SPACE AND EQUIPMENT

An effectively designed and efficiently organized work area will help the conservation technician achieve the production goals of the book repair program. Appropriate equipment, tools and supplies necessary to perform the treatments are essential to a well-functioning workshop. Equally as important are the procurement and resupply of these items, which require staff familiarity with the intricacies of the purchasing process within the institution. And, finally, an adequate budget is needed to begin and maintain an in-house program. At this stage, as at other stages in the process, it may be necessary to hire a preservation consultant to review the situation and make recommendations.

SPACE

A dedicated work space should be set aside or created within the library. In many libraries, carving out space from already crowded work areas is not easy, and it can become a highly emotional, territorial, and political issue. The cooperation of all appropriate staff is mandatory. To gain the necessary librarywide support, the importance of the book repair program to all library operations should be emphasized.

The amount of space needed is linked to the types and amount of work to be performed there. For example, some libraries, which perform only the most elementary repairs, temporarily convert a table or desk top to a

work space for an afternoon, with books, supplies, and equipment housed on several nearby shelves.

Libraries with more ambitious programs need larger spaces to perform a wider variety of treatments. Washing or aqueously deacidifying book paper requires direct access to running water that can be filtered and treated. Normally, water is needed to wash tools and brushes, to mix adhesives, and for other cleanup operations. It should be located near the repair area. These considerations help to pinpoint possible locations more easily.

The minimum amount of space required to establish a medium-sized repair facility is about twelve by eighteen feet. The area should be reasonably secure. It should be designed so that everything is neatly arranged and effectively utilized. In addition to the equipment, supplies, and tools, the area should also include a workbench, tall swivel stools, storage shelves, tool and file cabinets, a book truck, flat or map files, good fluorescent lighting, and nearby electrical outlets.

The space should also have enough tabletop work surface for the conservation technician and at least one student assistant (who could be added to the repair staff in the future and be trained to perform the most fundamental treatments). In general, there should be at least eighteen square feet (three by six feet) of cleared table-top or workbench space per person.

An alternative to hiring a preservation consultant is to visit repair or conservation programs or facilities in the area. Their laboratory or workshop designs will be especially instructive with regard to equipment layout, storage, and work flow. Also, study plans or photographs of facilities in library preservation literature, such as *Conservation Administration News, Technology & Conservation*, and Carolyn Clark Morrow's *Conservation Treatment Procedures*.⁸ An article by Kenneth G. Peterson, entitled "Preservation at Morris Library, Southern Illinois University," contains a plan for a rather large facility, including equipment prices.⁹

EQUIPMENT AND SUPPLIES

After the cost of creating and funding a new position, the next largest outlay will be for equipment, tools, and supplies. Book repair calls for particular materials linked to the kinds of repairs and treatments to be performed. In many cases, most of these will not be part of a library's current inventory of supplies. Without appropriate materials, e.g., special hand tools, acid-free papers and boards, and precision cutting equipment, repairs cannot usually be performed efficiently and effectively.

All paper and board products should be acid-free and buffered. Acid-free means that there are not any acids in the paper that will cause it to self-destruct. Acid-free papers can also be called acid-neutral. Buffered means that the paper or board contains an alkaline buffering compound that protects it from acid attack by airborne pollutants, such as sulfur dioxide. The adhesives used in book repair are also important. The standard one is polyvinyl acetate. PVA dries clear and pliable, whereas the other drugstore variety white glues dry clear and brittle. It can flex and

has a certain amount of elasticity. These important properties make it very suitable for book repair. A growing variety of quality products for book repair and conservation is available from a number of suppliers. Supplier catalogs almost always include informative product descriptions.

For table-top repairs, only a small number of items are needed. More ambitious programs require larger amounts of materials. In either case, two references provide an inventory of the necessary items to outfit the repair program. The first is Becky Winkle's "Preservation on a Shoestring," in which she outlines just what and how much a library can accomplish with no budget or small amounts of money for preservation.¹⁰ It also lists supplies and prices.

The second is the *Book Repair Manual* by Robert J. Milevski.¹¹ This book was the outcome of a series of book repair workshops funded in Illinois. At each workshop participants purchased a kit of tools and supplies to aid them in repairing at least two hundred books in their libraries before running out of materials. The book lists these supplies, suppliers, and prices. It also contains step-by-step procedures for four simple repairs. One unique feature is that each repair lists and illustrates all the tools and supplies needed to perform the procedure.

A list of typical materials for tabletop book repair can be found in the *Book Repair Manual*.¹² The cost of these items in 1984 was about fifty to seventy-five dollars. For a modest-size repair facility, a greater number of materials are required.¹³ The cost of these items can vary from \$9,000 to \$17,000.

The two lists given here are fairly specific. Peterson's article mentioned above goes into greater detail, listing and pricing the equipment purchased for the conservation laboratory at his library, but he does not itemize tools and supplies. Beyond this, standard lists do not exist in the literature and may not be, in fact, practicable, because they cannot cover all program possibilities and space configurations at particular libraries.

Several pieces of equipment are essential to any size repair program, especially where production work is anticipated. They are the paper cutter, which is known in its larger versions as a board cutter or a board shear, and the book press. Both of these can be very expensive items. The price of a board shear ranges from \$1,700 to \$6,700, depending upon the size, make, and manufacturer. A simple, but small, book press from a library supplier costs \$60. Larger presses designed for production work vary from \$280 for wood models to \$600 or more for those made of cast iron.

The initial costs for a book repair program will vary from \$100 for the simplest tabletop projects to \$9,000 or more for the more ambitious programs that may include expensive pieces of equipment, such as a board shear/cutter, custom-designed workbenches, and storage cabinets. Used equipment, which is sometimes available from various sources, can significantly lower initial capital costs.

Procurement. Purchasing department staff should be familiar with standard suppliers of book repair materials. Suppliers' catalogs should be

requested and specifications and justifications should be written pertaining to the use of particular materials and suppliers. Purchasing staff need to understand why these particular materials are necessary. If this is not done, creative, inappropriate, or low-bid item substitution may occur. Of course, selecting appropriate equipment, tools, and supplies depends entirely upon the knowledge and expertise of the preservation staff, including the conservation technician.

Budget. Materials costs are ongoing. Expendable supplies are depleted and must be replaced: paper, board, cloth, adhesives, etc. Tools and equipment wear out and must be replaced or repaired: knife blades, glue brushes, paper cutter blades, etc. The costs of these items must be budgeted yearly. There should be a conservation equipment and supplies budget line. Only larger pieces of equipment are really one-time expenses, such as a paper cutter or a small book press.

Even with a funded conservation technician position and space available for the repair program, the library administration may find it difficult to fully fund the program's materials budget. Creative funding may be necessary. Book sale funds can be diverted to the book repair account. A generous donor can be asked to fund the library's preservation efforts.

Grant funds for conservation and preservation are available through such agencies as the Office of Preservation, National Endowment for the Humanities (NEH), and the Library Programs Office, Office of Educational Research and Improvement, U.S. Department of Education, which dispenses Higher Education Act (HEA) and Library Services and Construction Act (LSCA) monies. Depending upon the grant proposal, an entire program may be funded with this "soft money," including a staff position (which the library could assume at the conclusion of the grant). Private foundation grants are sometimes available, also. If the library or system has a development officer, this person could investigate possible outside funding sources for the conservation program.

DEFINING PERSONNEL REQUIREMENTS

The most important component of the book repair program is the conservation technician who carries out the repairs and treatments. The level of work performed in such a program, which is of a routine and production nature, does not require a highly skilled book conservator.

The technician's job has a limited scope and it should be clearly and concisely written. Otherwise, it might attract overqualified applicants, e.g., book conservators or bookbinders, who could be expected to become dissatisfied quickly with the production setting of the job and working only with modern and ordinary materials rather than older and rare ones. Such applicants would probably not remain long on the job. High turnover in the position is neither cost-effective nor productive. It could quickly discourage library administrators from continuing funding and support for the book repair program.

SPECIAL QUALIFICATIONS

The manager who interviews a job applicant looks for a number of desirable qualities. These qualities fall into broad categories such as per-

sonality, capability, and compatibility. With regard to the conservation technician, specific qualifications are necessary and of prime importance.

The technician should be experienced in conservation treatments and repair procedures, must possess both a high degree of manual dexterity and well-developed hand skills, and must be able to attain and sustain an acceptable level of productivity.

The usual ways to judge these qualifications are to check references and previous job performance and to examine a portfolio of sample work. Examination of samples is very important for determining levels of quality and skill. The appearance of a repair or treatment is as important as its soundness, because library materials are looked at as well as used. A well-executed repair is less obvious than one that is poorly done.

POSITION DESCRIPTIONS FOR BOOK REPAIR TECHNICIANS

In addition to the above, the candidate's qualifications may be compared with a reasonably sound and detailed position description. Although space limitations prevent a sample position description from being included here, consult current and back issues of the *Abbey Newsletter* (ANL) and Carolyn Clark Morrow's *The Preservation Challenge*.¹⁴ ANL lists job openings in the library preservation and conservation field, and Morrow provides a sample description in appendix 3. A library may formulate its own job description for a conservation technician based on these models and its own needs.

Limitations. Although appropriately trained and experienced, the conservation technician is not a professional book conservator and should not be expected to perform a wide range of conservation treatments requiring advanced skills, training, experience, and education. The library should expect the technician to perform a variety of routine, basic, and simple repairs and treatments.

An example of book work normally beyond the technician skill level is a conservation rebinding. This operation involves a number of procedures, including pulling the sections of the book apart, washing and deacidifying the paper, mending and guarding the sections, resewing the sections into a text block and attaching new boards, sewing headbands, covering in leather, vellum, or cloth, and finally, tooling in blind or in gold or making and stamping a label. In addition, each step requires a series of procedures which, if not performed properly, can have a marked effect on the outcome of the work.

At institutions with large conservation departments, technicians are guided in their work by conservators. Because the guidance and leadership of a conservator is lacking at smaller institutions that hire conservation technicians, a number of questions arise concerning quality control, problem treatments, and training. The absence of a book conservator on the staff calls for a knowledgeable supervisor to monitor the technician's work for quality. When such expertise is not available in-house, local conservators or preservation consultants may be hired to train the supervisor to identify both poorly done and well-executed repairs and treatments as well as to answer technical questions from the technician.

Classification. The following questions may serve as guides in classifying the new conservation technician position. Does a matching or similar position now exist within the system? If so, the groundwork may have been set. If not, how quickly would it take to get such a position audited and approved? Should the position be posted at a professional, paraprofessional, technical or clerical level? Would it be a union or nonunion job?

Personnel staff may have their own ideas concerning the position. They may not be willing to write a new description to match the job, but would rather adapt an existing position as much as necessary to suit the need. They need to be educated about this kind of position so they understand what it is about, why it is needed, and how it fits into library operations.

The conservation technician position is clearly of a technical nature and requires skills vastly different from those necessary for clerical jobs. Institutions that have recognized this distinction have classified these positions outside of the normal library clerk classification scheme.

Salary. Related to classification questions are salary requirements. A position that has supervisory responsibilities will require a higher starting salary. Would the salary be high enough to attract an adequate pool of qualified candidates?

Salaries for conservation technicians usually fall between the upper end of the library clerk series and the beginning professional levels. They range from \$14,000 to \$20,000 per year, plus benefits, depending upon the area of the country where the technicians are employed and who employs them.

Persons who qualify for these positions have training and experience that are difficult to obtain. Their work is important and should not be minimized because it is not highly visible. They help a library make impressive strides in preserving its collections, and they should not be dismissed lightly with a low starting salary.

SELECTION FOR PRESERVATION OR REPAIR

Deciding upon the best treatment options for deteriorated materials can be a complex process, and can involve as many as four stages: (1) identification of material for treatment; (2) treatment proposal for routine materials; (3) evaluation of material for nonroutine treatment; and (4) routine treatment implementation.¹⁵

In small libraries, the one-professional library for example, a single librarian may follow the decision-making process through all of these stages. In large libraries preservation staff may engage in decision-making stages one, two and four, while collection development experts may take the responsibility for stage three, evaluation.

It is the premise of this paper that in-house repairs are routine treatments and should be handled expeditiously. At the same time, clear retention guidelines will facilitate early identification of proper candidates for routine repairs. Collection development input is essential when non-routine materials are potential candidates for preservation. The role of collection development staff in making treatment decisions should not be underemphasized.

Though this is, at the most, a four-stage decision-making process, it is not overly complex or cumbersome in every case. Many decisions are made quickly because most routine book problems fall into a small number of typical categories. Indeed, where clear policies and priorities exist, the preservation staff may be guided through even the evaluation stage for some nonroutine materials without the necessity for collection development intervention.

STAGE 1: IDENTIFICATION OF MATERIAL FOR TREATMENT

Atkinson describes the two-dimensional nature of the identification procedure, which encompasses, first, a technical decision about what physically needs preservation, and secondly, a decision about whether these particular materials should be preserved or treated.¹⁶

What Needs Treatment? Damaged or deteriorated library materials are identified as likely candidates for repair or treatment in a number of ways: (a) as they enter the library as new acquisitions; (b) as they return from circulation either within or outside the library; (c) during shelving operations; (d) by staff or users who are familiar with the condition of all or parts of the collection; (e) through resource sharing, such as interlibrary loan and selection for exhibition; and (f) through collection condition surveys or other surveys of the collection.

The preservation unit of the library may proactively identify groups of materials known to need preservation, rather than waiting for damaged and deteriorated items to be identified through other channels. When beginning the repair program, it may be desirable, for instance, to perform treatments that have a large impact on the collection as a whole; that is, mass treatments that will improve the overall condition of the library's collections in the shortest time. For example, the most important mass treatment a library can initiate, one that extends the life of its collections, is to improve the environmental conditions under which its materials are stored. This includes good housekeeping as well as stable temperature and relative humidity and low light levels. With regard to repairs, materials can be selected with a particular type of routine repair in mind such as hinge tightening, in order to establish a large category of materials to be handled in assembly line fashion. This handling of a large quantity of materials at one time can be termed a mass treatment process.

In addition, if a collection condition survey has been conducted, the findings will identify categories of materials that are most deteriorated and may be a high priority for treatment by the preservation staff. Treating this class of materials first is a sensible approach because otherwise, by the time they are reached, the books may have deteriorated beyond repair, reformatting, or other conservation treatments.

What Should Be Treated? A second stage of the identification process consists of what Atkinson calls the "critical decision" of what should be preserved.¹⁷ This critical question is more thoroughly analyzed at the evaluation stage. However, some basic retention guidelines are needed by the preservation staff in order to know which general categories of materials are appropriate for treatment, and which are not.

The library's basic retention policy, which is usually part of the collec-

tion development policy statement, will guide staff in making these decisions. Material may be retained on a temporary, archival, and permanent basis. All library staff, including the conservation technician, should develop a good understanding of which broad retention category governs various materials.

Temporary retention is suitable for ephemeral materials soon to be discarded, superseded, or reformatted. Examples of such materials are newspapers and serials available in yearly or monthly cumulations in microform or hard copy. It is usually clear to library staff, either from the inherent nature of the material itself or from notations in the records, what materials are only temporarily retained. Temporary holdings are not worth extensive preservation efforts; they should receive lowest priority for preservation resources.

Archival retention means that the library will keep the item forever, if possible. Archival retention is based upon the exceptional value of the material, either because it is unique or not widely held, it is rare, or replacement would be extremely difficult. Rare books, special collections, and institutional archives fall within this category.

Most material slated for archival retention is easily identified, because it is normally housed in a special collections department. Since valuable materials can also be found in the general stacks occasionally, it is a good idea for the library to formulate identification criteria. A simple publishing date criterion is commonly used. In addition, staff can be trained to recognize other factors associated with physical value, such as (1) first edition of an important work or author; (2) important edition of a standard work; (3) historical value, such as an early imprint; (4) colorplates, half-tones, or other illustrations valuable as originals; (5) unusual or important binding, printing, illustration, or imprint; and (6) inscription by author or marginalia of interest. Gay Walker has compiled a list of "considerations in the retention of items in original format," which is more detailed and may be more useful for some libraries.¹⁸ Typically, archival material has a high preservation priority, but, beyond constructing wrappers and boxes, the in-house repair facility is not equipped to perform repairs on these materials.

All treatments for physically valuable items should bypass the in-house repair unit and should receive further evaluation, stage 3, by a subject specialist, a collection development librarian and/or a special collections librarian. All physical work done on these items should be done by a professional conservator.

In the *permanent retention* category will be a large portion of the remaining materials in a library, including what is known as the "core collection." It may not be evident upon routine inspection whether an item has ultimate permanent research value without the evaluation of a collection development librarian. At this stage, however, once temporary and archival materials have been set aside, the minimal amount of effort required for most routine repairs does not justify a full collection development review. In the absence of conflicting information, it is good policy to treat routine materials as expeditiously and as inexpensively as

possible to keep them in serviceable condition. Materials with permanent research value are a high preservation priority.

STAGE 2: SCREENING AND TREATMENT PROPOSAL

After identifying material in need of potential routine repair or treatment, it must be decided (1) what, if anything, can be done for an item, and (2) which of the available options is best. The preservation staff are responsible for examining each book and for choosing the best combination of methods and materials for its treatment. As stated above, many decisions are made quickly during this examination or screening process because most routine deteriorated material falls into a small number of typical treatment categories and can be handled expeditiously.

Item Evaluation. In deciding what can be done to preserve an item, a number of questions are asked about each book and they are just as quickly answered. Not all of these questions need be considered to reach a decision for a particular item.

- a. How is the book constructed?
- b. Is the cover protecting the book block?
- c. What is the condition of the paper?
- d. Does the book have an unusual format or feature?
- e. Are there other options besides repair?¹⁹

An additional consideration is the cost of repair, treatment, or replacement versus the cost of neglect. For example, if the library's books are allowed to continue to deteriorate, how much more will it cost in the future to rebuild the collection by replacing damaged and unusable books than by repairing them now?

Treatment Options. After examination, treatment options are reviewed for each book and an appropriate one is chosen. Although the preservation librarian or designated staff usually choose and recommend the treatment option, the conservation technician may also be a participant at this point in the process. The options fall into two categories: (a) routine treatments of routine materials, which can be undertaken without delay, and (b) nonroutine treatments of problematical, questionable, brittle, valuable, or like materials, which, in an atmosphere of limited resources, usually suggest the need for further consultation with collection development librarians.

Because routine repairs are usually batched (much like binding and other collection maintenance functions), the third stage, nonroutine materials evaluation, will not occur in every case. Only a well-staffed and well-financed library would elect to evaluate each title in poor condition to determine its relevance in the collections.²⁰

There are occasions, however, when the expense of a full bibliographic search and collection development evaluation is well advised, as when the treatment proposal is complex or involves substantial intervention. For example, when changing the volume's physical format, a formal review would be necessary.²¹

Routine Treatments. For many items any of three different techniques would be suitable. *Repair* is a simple, straightforward in-house treat-

ment. A book can be made more serviceable with such easy repairs as hinge tightening, replacing torn or worn endsheets, recasing a text block into its cover, replacing a worn, torn, or missing cloth spine with a new one, label repair or replacement, refashioning bent and tattered book corners, consolidating or protecting friable leather bindings, paper cleaning and mending, and leather treatments.

The protective enclosure is an option that consists of protecting fragile, valuable, or deteriorated materials through means such as phase or clam shell boxes, portfolios, polyester encapsulations, wrappers, or polyester dust jackets.

Commercial library binding is an option to be used only with materials with strong paper and wide gutter margins. It is appropriate where the covers are detached, missing, or totally worn out, or the leaf attachment is loose or broken, or both. In-house treatment, in this case, would be too time-consuming, labor intensive, beyond the skills of the technician, and antithetical to the production goals of the program. A small repair facility cannot match the mass treatments a commercial binder can provide for these types of materials, including the reduced cost per volume.

Nonroutine Treatments. When an extensive, elaborate, or expensive treatment option is needed, such as professional conservation, reformatting, replacement or withdrawal, then a formal collection development evaluation becomes necessary. The decision-making process becomes more inclusive because it involves the close cooperation of the collection development staff (or bibliographers or subject specialists) and the preservation staff.

The full bibliographic information for the item should be forwarded to a collection development librarian along with the treatment proposal and information about other copies and editions of the work in the library. Thereafter, the collection development librarian can indicate whether the volume should be treated, not treated, replaced, or withdrawn. Also, a dollar limit may be set on treatment costs.

Alternatively, the item can be boxed for future treatment decision making. This type of boxing is known at the Library of Congress as *phase boxing*. A phase box protects a fragile and deteriorated item from further physical damage until either the time or funds, or both, allows a treatment (or a series of treatments) to be performed on it. In effect, the preservation of an item takes place over time, in phases. Boxing also discourages indiscriminate browsing of deteriorated materials, which can lead to further damage. Ultimately, limited resources may force selective decisions to be made about what is preserved and what is allowed to deteriorate, or possibly self-destruct.

Defining the Limits of Book Repair. It is important to recognize when a book cannot be repaired or treated in-house, when it should be sent to a commercial library binder or a professional conservator, and when it should not be treated at all. The skills of the conservation technician will necessarily be limited to a small number of treatments, as mentioned elsewhere. A deteriorated book may need repairs that are beyond the technician's skill level or would take up a great deal of time, thus interrupting production goals. At this point a decision may be made to send

the book out to a conservator or to replace it, because the treatment expense would be greater than the value of the item, or to not treat the book and to return it to the shelf or remove it from circulation. Some books clearly call for the mass treatments offered by a commercial library binder, such as resewing or a new cover. Examples of such materials are leather bound books having loose boards; dog-eared reference books needing extensive mending; books with loose sections or those in which the sewing threads are broken and the sections are falling out of their covers; recent adhesive bound publishers bindings with detached pages or blocks of text; an older and outdated edition of a work that has limited use and is in a deteriorated state; a brittle book that is still important to the collection but is no longer in print and is not available in microform and cannot be used because of its condition.

Obviously, books identified during the selection process as rare or unique should not be treated by the technician. They should be placed in an entirely different decision-making line. At the most the technician can produce protective enclosures for them.

In-house deacidification of book paper is an option for some libraries. The technician who has specific training in this area should not have any problem with typical and modern book papers. For problematical, questionable, or older materials, the library should consult with a book or paper conservator. Any treatment that involves chemicals, safety equipment, special tools, and advanced training, such as that needed for pressure sensitive tape removal, is clearly beyond the capabilities of the technician and any small in-house repair program.

STAGE 3: EVALUATION OF NONROUTINE OPTIONS

Role of Collection Development Staff. Collection development librarians are the most knowledgeable about the value of an item, its importance to the collection, and its intended use, all of which theoretically should be taken into account in *all* treatment decisions. A collection development librarian should be consulted about all nonroutine materials and their appropriate treatments, particularly those that are potentially expensive, time-consuming or would change the physical format of the item. Similar criteria are used in allocating resources for treatment, as in making initial selection decisions.²²

Book or paper conservators can be hired to treat books deteriorated beyond the skills of the technician or those with intrinsic value.

Information reformatting is accomplished either through preservation microfilming or photocopying onto acid-free paper, and may be a suitable choice for brittle books with substantial intellectual content but little or no intrinsic value.

An irreparably deteriorated or damaged book, or one that is prohibitively expensive to treat, can be replaced when another copy, edition, reprint, or microform can be located in the marketplace.

“Nontreatment” or “benign neglect” is a valid and appropriate treatment recommendation for materials in the following categories: items that are not considered important enough to treat; those that can no longer be used without further damage occurring, as with brittle

books; books and pamphlets that are no longer needed, but which cannot be withdrawn from the collection; or materials that would be damaged in some way if treated or repaired. Some nontreatments may involve some form of protection, such as a box; otherwise the items may simply be returned to the stacks or placed into storage.

Some materials may no longer be needed by the library (for whatever reasons) and can be withdrawn from the collection.

STAGE 4: ROUTINE TREATMENT IMPLEMENTATION

After the screening procedure described in stage 2, implementation of the treatment proposals occurs. Materials selected for routine repair or protective enclosures are routed to the repair unit, whereas nonroutine and commercial binding decisions are handled by appropriate staff. The conservation technician closely examines the physical condition of each book and decides what particular repair or treatment must be executed to protect the book or to make it fully serviceable.

It is reasonable to assume that, on an item-by-item, or type-by-type, basis, the technician's treatment prescription will be based on several factors: (1) a good grasp of the collection; (2) familiarity with the collecting and preservation priorities of the library; (3) expected use and value of an item to the collection (based on 1 and 2); (4) extent of damage or deterioration; and (5) precedent for that particular type of material. Of course, the technician can suggest an alternative treatment option after closer examination of the volume.

The conservation technician should approach his or her work with a good philosophy. Repairs should be performed with skill, good judgment, and efficiency. They should be fundamentally sound, look good, and in no way cause the book stress or damage. Basically, repairs should be expeditious, appropriate, and nondamaging.

Conservation of rare materials is usually directed by an unswerving faith in the reversibility of the treatment (among other considerations); that is, the treatment can be undone or reversed easily and without damage to the item at any time. Theoretically, a rare, archival, or valuable item will be kept "forever," and the recommended treatment provides the optimal protection to insure the item's longevity, barring abuse, theft, or destruction. In book repair, however, reversibility is a consideration but not a necessity or precondition. Paper repair or mending is the one exception. It normally employs reversible materials: Japanese paper and starch paste or heat-set tissue.

CONCLUSION

The implementation and effectiveness of a book repair program will be judged by (1) how well it responds to the library's acknowledged preservation objectives, (2) how well it interfaces with the library's overall preservation program, (3) how little it costs compared to the library's alternate preservation options, and (4) how fast it treats the library's identified preservation problems. A program should not be instituted without a coherent set of preservation goals and objectives, nor should it

be isolated from all other library operations. A book repair program will not solve all of a library's preservation problems.

A prescriptive model for an ideal book repair program in any library cannot be written; each library must tailor its treatment approaches to meet its own institutional needs. The guidelines offered in this paper are intended to provide a framework to assist in designing a workable program that will maintain permanent collection holdings in serviceable condition for as long as they support the needs or interests of the institution's community of users.

Library materials should not be allowed to disintegrate before they have outlived their need. Today's deteriorating books cannot wait too long for future corrective action. Collection preservation, keeping library books serviceable, is a utilitarian goal. Margaret Child articulated this goal when she stated that we "should not agonize too much over the finer points of definition of scope, but should begin to deal with the most easily grasped portion of the problem in an organized way as soon as possible."²³

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 16. Ross W. Atkinson, "Selection for Preservation: A Materialistic Approach," *Library Resources & Technical Services*, 30:343 (Oct./Dec. 1986).
 17. Atkinson, "Selection," p.343.
 18. R. Gay Walker, "The Book as Object," *Abbey Newsletter* 11:4 (Jan. 1987).
 19. A more complete list of questions appears in "Appendix 1: Decision-Making Checklist for Book Repair," in Morrow's *Conservation Treatment Procedures*, p.148-49. She also writes about the screening process on p.16-17.
 20. Susan G. Swartzburg, *Preserving Library Materials* (Metuchen, N.J.: Scarecrow Press, 1980), p.15.
 21. Hazen classifies some preservation activities such as environmental controls and general collection maintenance, including repair and rebinding, as mass treatments, not needing item-by-item attention from collection development librarians. Hazen, "Collection Development," p.4-6.
 22. *Ibid.*, p.6-7.
 23. Margaret Child, "Deciding What to Save," *Abbey Newsletter* 6, no.4:2 suppl. (1982).

The Utah Newspaper Project

Robert P. Holley

As part of the United States Newspaper Program, the Marriott Library at the University of Utah undertook the Utah Newspaper Project with funding from the National Endowment for the Humanities. During the planning phase, the Utah project sponsored a conference and compiled a preliminary checklist of 920 newspapers from secondary sources. During the time-consuming bibliographic control phase, staff inventoried 525 Utah newspapers and 803 out-of-state newspapers in 32 newspaper repositories for a total of 3,298 local holdings records. The public responded well to the media campaign and came forward with many missing issues and titles. Because of a prior microfilming project in the 1950s, the Marriott Library has at least some holdings for 488 Utah newspapers and will microfilm remaining hard-copy Utah newspapers in the near future.

THE MARRIOTT LIBRARY AT THE UNIVERSITY OF UTAH began its long involvement with Utah newspapers almost by accident.¹ In the late 1940s, Barton Howell accepted a position as physics professor at the university. He returned to Salt Lake "with the notion that money could be made in microfilming materials such as newspapers for scholarly research" because his wife had worked for a firm called University Microfilms while he was in graduate school at the University of Michigan.² He shared his idea with his neighbor, John Spencer, who was excited enough about the possibility to leave his position as manager of the Photo Bureau at the University of Utah to found Universal Microfilming in 1948.

Leonard H. Kirkpatrick, university librarian at Utah from 1944 to 1962, happened to be a Saturday bowling partner of John Spencer. In short order, John sold him on the idea of microfilming Utah newspapers. The first step was to convince the *Salt Lake Tribune* to change its microfilming authorization to Universal Microfilming in the name of supporting local business. Then in 1951, a student asked Kirkpatrick to provide funds for microfilming the *Vernal Express* to save the student's traveling to Vernal to consult holdings. This request caused Kirkpatrick to seek funding for a major microfilming project. Though the other libraries in the state did not agree to participate, the university adminis-

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tration diverted a portion of mineral lease revenue to the project.

The money allowed for microfilming an average of two county newspapers per week. At first, the library paid for one master negative, which was also used as the service copy. Increased student use of the newspapers led to scratched masters, with the result that the library "received one copy of the film while Universal retained a master negative which was stored in the company's vault," a practice which continues to the present.³

Universal Microfilming handled the collection and filming of the county papers. John Spencer would contact the local publisher and ask for permission to film with the inducement that the Marriott Library would then subscribe to future issues. If the newspaper held incomplete files, the editor would usually feature a story on the project with a request for missing issues. Spencer would arrive on a prearranged date, bring the papers back to Salt Lake for filming, and then personally return them to their owners.

Two incidents during the project serve as good examples of the problems and rewards involved in newspaper preservation. In the first, the editor of a newspaper in southern Utah could not spare the time to show John Spencer where the papers were stored because of an impending publication deadline. By the time Spencer returned, flooding in the basement during the spring run-off had destroyed many copies of the newspaper. The second incident had a happier ending. During the search for missing issues of the *Tooele Transcript*, an elderly resident who had been copy boy for the paper in his youth came forward. He remembers that the Latter-Day Saints Church Historical Department had subscribed. When John Spencer went to the Historical Department, they could find no trace of the newspaper, but they told Spencer to look around for himself. "On the hidden side of a new air conditioning duct, the missing papers were discovered."⁴

The project officially ended in January 1953, since Universal had completed microfilming the easily accessible newspapers. Written evidence is slight; but John Spencer, who remained involved in Universal Microfilming and its corporate successors until retirement in the early 1980s, testified to the Marriott Library's continued interest in filming newly discovered issues. The main legacy of the project, however, was an automatic mechanism for filming Utah newspapers as they appeared. When the United States Newspaper Program was born, the Marriott Library already had almost complete microfilm holdings for thirty years of Utah newspapers in addition to the Kirkpatrick back files.

PLANNING PHASE

INITIAL AND REVISED GRANT PROPOSAL

When the National Endowment for the Humanities (NEH) announced that it would accept applications for individual state newspaper projects in 1983, the Marriott Library at the University of Utah decided to apply at the first opportunity because of its history of involvement with Utah newspapers. The first step was to obtain support from the other possible applicants in Utah, especially since their cooperation

would be an important factor in completing the project successfully. Because of our extensive microfilm holdings, the Utah State Historical Society, Brigham Young University Library, Utah State Library, and Salt Lake City Public Library all agreed that the Marriott Library was the most appropriate institution within the state to apply.

In the initial application, we cited our previous commitment and asked for permission to skip the planning phase and to proceed directly to the bibliographic control phase. While our efforts at preservation had been remarkably successful, bibliographic control of newspapers at the Marriott Library was much less advanced. We provided patron access to most serials by using an abbreviated bibliographic record in a separate public serials list. Not only did these records not meet national cataloging standards, but they were also in a local communications format that was incompatible with MARC-S. At this point, we estimated 800 titles in the universe of Utah newspapers and proposed completion of the grant in twelve months, from July 1, 1983, to June 30, 1984.

NEH did not approve our request to omit the planning phase. While preservation and bibliographic control of newspapers were desired, NEH also wanted each project to build a statewide consensus on the importance of newspapers and to foster a commitment to newspaper preservation and bibliographic control among librarians, archivists, publishers, and researchers. The Marriott Library then submitted a revised proposal that was approved for the amount of \$6,480. In the planning phase, the Marriott Library would engage a consultant and host the Utah Newspaper Project Conference.

Robert P. Holley, who had prepared the proposals, was then invited to attend the NEH training session held in Los Angeles in June 1983 after the American Library Association Annual Conference. The meeting brought together United States Newspaper Program participants from around the country and showed the diversity in grantees. In many states the historical society, rather than a library, had a long history of newspaper involvement. As it was the first of the state training sessions, not all the philosophical issues had yet been decided; but the meeting provided an excellent opportunity to define the scope of the program and to hear about the varying strategies that had evolved in each state.

PROJECT CONSULTANT

We decided to engage a consultant because we felt that continuous day-to-day activities would not occur at a high enough level to justify adding a new staff member, even at halftime. We looked for the following qualifications in priority order:

1. Experience in bibliographic control, preferably with cataloging training
2. Experience in historical research and its methods
3. Experience with newspapers and publishing
4. Familiarity with the state of Utah and its history
5. Experience in microfilming techniques.

We eventually selected Dennis McCargar, whose credentials included cataloging experience at the Salt Lake City Public Library, archival

training at the Colorado State Archives, a certificate in historical archives from the University of Denver, and an M.A. in history. In addition, long before the Utah Newspaper Project, he had shown interest in updating the newspaper bibliography for his home state of Colorado.

The consultant's tasks were as follows:

1. Identifying appropriate existing bibliographical and historical sources that list and/or describe Utah newspapers
2. Preparing a preliminary checklist from these sources
3. Drawing up a list of possible repositories for Utah newspapers within the state and developing a strategy for surveying their holdings
4. Identifying research libraries outside Utah with significant Utah holdings
5. Conducting an informal survey of key repositories to estimate the scope of a complete bibliographic inventory
6. Examining the holdings of a representative cross section of repositories to help establish appropriate standards for data collection and verification
7. Planning with Marriott Library staff for phases II and III of the Utah Newspaper Project.

While we kept in close contact with Dennis McCargar and required monthly progress reports, he put more emphasis than originally intended on the checklist and less on planning for phase II. In the end, he may have made a wise decision because the checklist, which is described below, became the bibliographic cornerstone for phase II and remains the most complete printed bibliography of Utah newspapers. For his survey, McCargar selected seven repositories including two academic libraries, four public libraries, and the Utah State Historical Society. His findings emphasized the need for on-site visits to obtain the necessary bibliographic and holdings information. Finally, he provided a list of all libraries, newspaper offices, and museums that he thought might have newspaper holdings.

PROJECT CONFERENCE

"Utah's Newspapers: Traces of Her Past" featured six speakers and was held on November 18, 1983, in the Marriott Library auditorium. Publicity had been widely distributed throughout Utah by using mailing lists of archivists, librarians, library school students, journalists, and professors in departments of history, political science, and communications. To overcome an oft-heard criticism about conferences at the Marriott Library, we provided free parking validation. Though in direct competition with the inaugural ceremonies for the new president of the university, the conference attracted more than ninety participants from approximately thirty institutions and included representatives from all facets of newspaper publication, preservation, and use.

The quality of the conference papers and the importance of the checklist compiled by Dennis McCargar led us to publish them together in book format. NEH graciously allowed us to use the unexpended balance from the planning grant as a publication subsidy. Under the Marriott

Library imprint, *Utah's Newspapers: Traces of Her Past*, edited by Robert P. Holley, appeared in the late summer of 1984.

CHECKLIST

The checklist was edited and expanded by Yvonne Stroup, using a database set up by the Systems Office in the library.⁵ As stated in the consultant's report, "the purpose of the checklist is twofold: first, to gain an estimate of how many titles have been published in Utah, and secondly, to provide a working tool for the cataloger during the second phase of the project."⁶ In all, McCargar examined forty-one secondary sources from standard newspaper reference guides to local histories.⁷ The most productive were J. Cecil Alter's *Early Utah Journalism*, which listed more than 500 titles, *The Utah Press Association Newspaper Directory* (1944-1984), Ayer's *American Newspaper Annual* (1880-1983), and George P. Rowell's *American Newspaper Directory* (selected editions from 1888-1907). Titles were listed as cited, with no attempt to determine a bibliographically accurate entry. As the project librarian discovered later, many entries did not arise from true title variations but from differences in citation practice. McCargar gathered a total of 1,137 titles from these secondary sources; but after he discarded 217 that did not fit our agreed-upon definition of a newspaper, the final total was 920 Utah newspapers.

As published in the Newspaper Project book, each entry included county and city of publication, dates of publication, a listing of sources, and miscellaneous comments including names of editors, related titles, and frequency. The main listing was by title with three additional registers: County/City, City, and Starting Date. (A sample page from the checklist appears in appendix A.)

CONTINUING CONCERNS

BUILDING THE CONSENSUS: PUBLICITY

During both phases, we took care to build support for the Utah Newspaper Project throughout the state. In addition to the benefits of the conference, we sought the maximum amount of media publicity. The initial announcement of the project, prepared by the university's Department of Public Relations, appeared in sixteen Utah newspapers. For the conference itself, a second publicity release was published in the *Salt Lake Tribune*, *Deseret News*, *Utah Journalism Review*, and *Daily Utah Chronicle*. In addition, reporters from the *Salt Lake Tribune* and the *Deseret News* interviewed staff members and speakers connected with the project for two feature articles. Robert P. Holley spoke briefly on one of the local talk shows while one radio station, KALL, put together a public service announcement from the publicity release. On January 4, 1984, KSL, one of our most-watched local television stations, aired a segment on Utah newspapers during its news program "Prime Time Access." To keep the project in the news, the Department of Public Relations sent out a report on the results of phase I on August 22, 1984. The release stressed the number of new titles already acquired and asked for continued support.

In connection with the field visits, Yvonne Stroup sent out publicity timed to arrive at regional newspapers and local radio stations within the month before her arrival. Since the release asked people with missing issues to get in touch with the local librarian, she was able to gauge the effectiveness of the campaign at the time of her visit. While most newspapers and radio stations cooperated, some were not willing to use our publicity materials. To announce the formation of the advisory board, we sent out a publicity release on April 18, 1985. On January 2, 1986, a news team from KUTV asked to do a story on the project, which was aired that evening in a very abbreviated form. In early January 1987, we issued a press release that reported completion of phase II of the project. We are now working with the Department of Public Relations to send out another localized press release asking for specific missing issues and titles in each region of the state.

Within the Utah Library Association (ULA), we used the annual conferences to spread the word. On May 3, 1986, Holley described developments at "A Symposium on Newspaper Indexing in Utah: Past, Present, and What the Future Holds for Us," while Stroup did the same in a program on the "Utah Union List of Serials." At the same conference, the ULA Board endorsed the Utah Newspaper Project and encouraged all libraries to cooperate. The following year, on April 10, 1986, Stroup spoke at a presentation on "Indexing the News: Alternatives." For the 1987 conference, there will be a final report on the bibliographic control phase.

GIFTS AND LOANS FROM THE PUBLIC

The public responded well to our publicity efforts. In response to our first request for help in locating missing issues and titles, the library received approximately twenty-five calls. We already held most of the issues offered, but we made several important new acquisitions. We quickly faced a difficult policy decision regarding an owner's unwillingness to donate the issues to the library. In order not to lose the opportunity, we decided to pay for microfilming all needed newspapers in non-institutional hands, and special arrangements were made for the return of the newspapers to the owner. To encourage loans, we paid the cost of rebinding, which in some cases exceeded \$50 per volume. If the issues could not be rebound without damage, we consulted the donors. If they did not agree to our offer of a microfilm copy as a replacement, we accepted the loss of text as the best possible option. If a library or museum owned the issues, we decided to defer microfilming until we knew whether we would apply for a phase III preservation grant, since we believed these issues to be in safe hands.

To cite one example of our successes, Joyce Martin provided us with copies of the *Blanding Outlook* from 1959 to 1962, which she had acquired when her newspaper, the *San Juan Record*, merged with the former. This loan warned us that we might have missed microfilming Utah newspapers that had begun publication after the completion of the original Kirkpatrick project in 1953. While appreciated in spirit, some offers were much less fruitful. One gentleman inquired whether we were inter-

ested in old issues of the *Salt Lake Tribune* that had been used to insulate the pipes in a factory near Price, Utah.

Offers continued to arrive during phase II as the result of the regional publicity and the sporadic public service announcements on local radio. When Yvonne Stroup picked up issues of the *Myton Free Press* from two area residents, the *Unitah Basin Standard* ran a story and picture of the event. In a donation of papers published in Washington County was one issue of the *Washington Star* (1936), which appears to be a newspaper parody. Published by B. I. Will Stickum, the front and back pages lack serious news. The editor admits that there is probably "a \$1,000,000 worth of libel" in the paper, but the "home is the mother-in-law's, the automobile is our wife's, our credit is above reproach . . . so go ahead and sue us and damn you, who cares." Yvonne Stroup wrote several letters to find out more about its publication history, but so far without success.

PUBLIC SERVICE

The publicity announcements also established the Marriott Library Project staff as the "newspaper experts" in the minds of Utah citizens. One of the first inquiries came from a woman who wanted help in locating issues of the *Logan Post* that her father had edited in the early 1900s. Unfortunately, nothing turned up during the project. We have also received a steady stream of calls from people who wanted to sell their newspapers to us. When told in most cases that we already held the issues, many then asked for a financial evaluation. While we have on file the name of a New York dealer who is interested in nineteenth-century Utah newspapers, most inquiries have been about more recent issues or about the *New York Herald Tribune* facsimile on the assassination of Lincoln. Especially in the latter stages of the project, researchers began to call Yvonne Stroup, newspaper project librarian, to ask about the availability and location of specific titles and dates. As finding tools from the project appear and receive wider publicity, we expect the number of such calls to diminish.

We received assistance from an unexpected source. William Seifrit, a local scholar, purchased a copy of the checklist to help him in his research on art criticism in Utah in the nineteenth century. Since his efforts required a detailed examination of many newspapers, he forwarded references on the publication history of Utah newspapers.

BIBLIOGRAPHIC CONTROL

INITIAL AND REVISED GRANT PROPOSALS

As with the planning grant proposal, preparation was assigned to Robert P. Holley. A major problem in submitting the proposal on time was the debate within the United States Newspaper Program on the scope of the state projects. Was each state project responsible for locating only its publications, but on a national scale; or was the state project responsible for inventorying all American newspapers within the state, no matter where they were published? NEH chose the second possibility as more practical, since this strategy would assure complete national coverage at the conclusion of the individual state projects. Since the Marriott

Library had initially prepared its proposal under the first alternative, we were not as statistically scientific as we would have liked in arriving at our estimate of 500 non-Utah titles held within the state, a number that subsequently proved to be much too low because of certain peculiarities in newspaper collecting within Utah. To take into account the additional task of surveying non-Utah newspapers, we added an additional six months to our original plan for finishing within a year. We also proposed to give priority to Utah newspapers and to have the project librarian make two trips to each major research library, the second reserved for out-of-state holdings.

In reviewing the proposal, the U.S. Newspaper Program panel questioned the limited amount of travel and the purchase of a microfilm reader-printer and recommended the appointment of a statewide advisory committee, to include key individuals in the newspaper arena with the objective of reaffirming the state-wide consensus. Satisfied with our responses to these concerns, NEH awarded \$109,102 to the Utah Newspaper Project; with cost sharing on our part in the amount of \$31,820, the total was \$140,922. Because of the delay in approval, the bibliographic control phase started on January 2, 1985, instead of on July 1, 1984, as originally planned. Since past grant projects have always required a no-cost extension, our request for extending the project an additional three months, to September 30, 1986, with no increased funding, was successful.

PROJECT STAFF AND ADVISORY COUNCIL

Yvonne Stroup, project librarian, deserves the major credit for the successful completion of the project. A longtime resident of Utah, she brought to the project not only expertise in the bibliographic control of serials but also knowledge of Utah and Utah librarians. Mitchell Moun-
teer was hired as the project library assistant; his dedication to the tedious chore of examining reel after reel of microfilmed newspapers was much appreciated. As funds permitted, several students were briefly employed for specific tasks. The project was monitored by Robert P. Holley as the unfunded coordinator.

The advisory council, which met for the first time on April 9, 1985, provided a channel of communication for six organizations likely to be interested in the project, namely the *Deseret News*, KSL Television and Radio, Latter-Day Saints Church Historical Department, Utah State Historical Society, Utah State Library and Weber State College, represented respectively by Jay Livingood, G. Donald Gale, Larry Draper, Linda Thatcher, Edith Blankenship, and John Sillito. Members were kept fully informed by means of the project librarian's monthly reports. Happily no problems arose that required another meeting.

COORDINATION WITH RELATED PROJECTS

The Utah Newspaper Project was able to coordinate its activities with two related Utah-based projects. The more important was the Utah Union List of Serials Project. With partial grant funding, the Utah State Library undertook to provide a comprehensive union list of all serials

held within the state. Before proceeding, the library obtained a participation commitment from all major libraries in Utah. The Utah Newspaper Project served as a major part of the University of Utah's contribution during the first eighteen months. All holdings records input as part of the newspaper project became part of the Utah Union List of Serials in addition to being included in newspaper union lists. In this way, other Utah libraries were relieved of the responsibility of submitting their newspaper holdings, and the Utah Union List of Serials will serve as one of the major finding tools for use of the newspaper project's efforts. Statistically, as of November 1986, the newspaper project was responsible for 3,298 entries of the 14,055 total in the Utah Union List.

The other project, initially sponsored by ULA's Reference and Adult Services Section, is concerned with the current and retrospective indexing of Utah newspapers. Now under the direction of ULA's Steering Committee on Utah Newspaper Indexing, this group called upon the Utah Newspaper Project as a source of information on the number of newspapers in Utah and the extent of holdings in various institutions.

PRELIMINARIES

While awaiting the beginning date for the project, we completed the necessary profiling for OCLC with the help of the Bibliographic Center for Research. As part of the limited CONSER membership extended to state newspaper project participants, we received a new three-letter symbol and agent authorizations for all other locations on the list. All existing OCLC locations in Utah became part of the profile, and we assigned a three-letter symbol to certain major newspaper depositories such as the Utah State Historical Society and the Church of Jesus Christ of Latter-Day Saints' libraries. We used one three-letter code with a fourth-letter subdivision for all other libraries in the state and another similar sequence for miscellaneous county locations. In the latter case, a note attached to the holdings gives the exact location.

Stroup and Mounter were among the nine who attended the third scheduled training session for state newspaper project participants from January 30 to February 1, 1985, at OCLC in Dublin, Ohio.

PLAN OF ACTION

The plan of action for the bulk of the project was remarkably simple. Stroup and Mounter examined in detail the almost 19,000 reels of microfilmed newspapers in the Marriott Library. Beginning with the Utah portion of the collection, they completed a substantial portion of the cataloging and union listing before Stroup visited the other newspaper repositories in the state. Especially for Utah newspapers, she took copies of Marriott Library findings to use as a base record in describing other holdings. We also asked for preliminary lists from each repository and searched unknown titles, usually those from out of state, on OCLC to determine if an adequate bibliographic record existed. With this information Stroup, upon her return, would enter holdings records and, where necessary, bibliographic records into the OCLC database.

INVENTORYING THE MARRIOTT LIBRARY MICROFILM

This process was much more time-consuming than expected. Though filmed by a reputable firm, the newspaper microfilm showed lack of bibliographic expertise: multiple titles on the same reel, incomplete runs of the same paper on different reels, and multiple copies of titles scattered over several reels. In fact, we are seriously considering refilming several especially bad examples to ease patron frustration.

Project staff set the automatic feed of the reader/printer at the fastest comfortable speed and then stared intently at the screen as page after page scrolled by. They would stop the flow to jot down missing issues and would use the print function to make copies of variant title pages. As Stroup put it in her monthly report, "early in the morning or immediately after lunch, it can make one a little sea sick; but then every job has its hazards." Each reel took from four to more than forty-five minutes depending upon the number of title changes and missing issues. Since a daily like the *Deseret News* takes up a full reel per month, to inventory each year took a minimum of about fifty minutes under the best of circumstances.

If a bibliographic record did not already exist in the OCLC database, they would use the photocopied title pages to prepare a rough work form to take to the terminal. The time used in scanning for holdings provided ample opportunity for constructing the basic local data record. In some complex cases, a single newspaper needed more than one local data record because of the limit on the number of characters. In addition, Marriott Library Special Collections held a few hard-copy issues for a surprising number of titles, and that called for a second local data record. Mounteer did most of the inputting into OCLC, both for the bibliographic records and for the local data records, with revision by Stroup.

Many items in the Marriott Library newspaper collection turned out not to qualify under the official definition of a newspaper, though they may have frequently been cited in newspaper histories and bibliographies. Since we shelve newspapers in a separate section in the microform area, we kept a list of these titles so that they can be removed at a later date and shelved with the general serials. Another problem arose much later in the project as we began to work with out-of-state publications, especially those from the nearby states where we had collected newspaper titles of limited national interest. Since bibliographic records were not found in the OCLC database, the amount of original cataloging led us to seek permission to reduce the complexity of the local data record in the expectation that a state newspaper project would eventually provide more detailed local holdings. The national project coordinator agreed that we were not expected to furnish an issue-by-issue inventory of long runs of non-Utah titles. Instead, we provided a reel-by-reel listing with an indication of missing issues, except in those cases where a complete listing involved relatively little extra effort.

INVENTORYING NEWSPAPERS IN OTHER REPOSITORIES

During the course of the project, the project librarian spent forty-nine

days away from the Marriott Library. Our previous microfilming efforts made her task easier in two ways. First, many of the hard-copy files in newspaper offices were the issues used for microfilming by the Marriott Library. Second, as part of our agreement with the microfilming company, we allowed them to use our master negative to make positive copies for sale to other customers. As a result, most microfilm copies in the state were duplicates of the ones in the Marriott Library and could be easily inventoried. In rare instances, to avoid the complexity of retyping detailed union list holdings for the same microfilm, we indicated in the local data record that detailed holdings were the same as those recorded on the University of Utah local data record. Libraries participating in the Utah Union List of Serials have the opportunity of expanding the listing on their own later. One unexpected problem was the difficulty in convincing small public libraries that we were interested in listing their limited newspaper subscriptions.

Utah State University was the main stop on Stroup's trip to northern Utah. Through she had been assured that their list of newspapers was relatively complete, she added about thirty new titles in addition to unrecorded title changes. Since the university is close to the Idaho border, it has extensive holdings of southern Idaho newspapers. Stroup found a few Utah titles that had not been filmed and discovered that the university had filmed some Utah newspapers on its own; these are therefore unavailable from the commercial microfilming concern.

On a preliminary trip in August 1985, Stroup learned that the out-of-state holdings at Brigham Young University would be larger than expected. In addition to serving as a branch of the Latter-Day Saints Genealogical Library, the Brigham Young University Library has bought and kept single issues of old papers with articles on Mormonism. However, their collection of Utah newspapers was not as extensive as we had supposed. All the Utah microfilm duplicated ours except for the first eighty years of the *Deseret News*, which had also been filmed by the Latter-Day Saints Church.

Since the Utah State Historical Society is located in Salt Lake City, Stroup inventoried their holdings over the course of the year. Considering the University of Utah a more appropriate repository, the historical society offered us sixteen boxes of miscellaneous Utah newspapers (ca. 1918-1935). When we took possession of the treasure-trove in July 1986, we found fifty titles that needed to be microfilmed. In addition, they lent us six bound volumes to use for filming missing issues.

The Latter-Day Saints Church libraries provided the most serious unexpected complication for the project. First, their holdings of out-of-state newspapers were much larger than anticipated. Second, their library practice is designed to meet their own needs and is much less in conformity with national standards than that of other libraries in the state. We hasten to add, however, that they gave us excellent cooperation in our efforts to overcome the difficulties. Because the Genealogical Library had recently moved to a new building, the staff was unable to generate a computer list of newspaper holdings. It was necessary to consult the "Newspapers" subdivision in their "geographic locations" cat-

alog for the information. The Latter-Day Saints Church Historian's Library presented a different sort of problem. Because their holdings are listed by volume and number rather than by month and day, the tedious task of conversion was required for integrating their holdings into the project database.

The Salt Lake City Public Library had the largest newspaper collection among the public libraries in Utah. There Stroup found bound volumes of newspapers that had been only partially filmed by the University of Utah. Southern Utah State College was able to provide certain issues missing from our microfilm. Even though Dixie College had only thirty-four Utah and four out-of-state newspapers, we found five Utah titles previously believed nonexistent. The *Tooele-Bulletin* newspaper office had issues of two previously unrecorded newspapers. While Snow College in Ephraim did not offer many new finds, their newspaper holdings were surprisingly large. We were very pleased with the cooperation we received from the Daughters of the Utah Pioneers. Though they have in the past hesitated to open their resources to nonmembers, their president, Emma Olsen, allowed access to their Salt Lake City museum and encouraged participation by local branches around the state.

RELATIONS WITH OTHER NEWSPAPER PROJECTS

The Utah Newspaper Project has cooperated with the other national and state newspaper projects. For example, we answered questions from the Montana Newspaper Project about cataloging the *Deseret News*, and we asked the American Antiquarian Society, one of the national newspaper projects, for further information about their holdings of the *Salt Lake Tribune*. In April 1986, Stroup called Sabra Kurth at the Nevada Newspaper Project to coordinate forms of entry. After a brief conversation, they discovered that they were simultaneously working on the same Reno newspapers and would have possibly duplicated each other's records except for the chance telephone call. We were pleased that Kurth was able to visit us soon afterwards, since her stay allowed us to exchange perspectives on the two projects. Since the Utah Newspaper Project was one of the earliest funded projects, applicants from other states have asked us for advice on planning a state project. In addition, we shared our form letters and publicity releases with several other participants. Finally, Holley attended programs and meetings at the American Library Association conferences that dealt with or were sponsored by the United States Newspaper Program.

The exchange of unwanted newspaper issues is an even more important form of cooperation brought about by the United States Newspaper Program. Among the gift of newspapers from the Utah State Historical Society were several issues from eastern states. Taking nothing for granted, Stroup mailed them to the newspaper project for the state or, if none existed, to the state historical society. In the other direction, the North Dakota State University Library sent us two issues of the *Alta Daily Independent*; though this newspaper was cited in the checklist, we had not found any issues in Utah and were most grateful for the gift.

LOOSE ENDS

Phase II of the project, though officially concluded, left some loose ends that will need to be tied up in the future. For example, we have not completely inventoried the broken runs of out-of-state newspapers at the Brigham Young University Library. We need to devise a strategy to include the out-of-state holdings at the Latter-Day Saints Church libraries. We have asked for assistance in our search for newspapers published in and around the Ute Indian reservation. We were not able to include newspapers in major microform sets, such as American Indian Newspapers, Underground Newspapers, and Early American Newspapers; however, these have been assigned a low priority in the national program, since the microform sets are widely held and have standardized holdings. Finally, miscellaneous issues of titles that need to be microfilmed are scattered throughout the state.

EVALUATION OF THE PROJECT

STATISTICS

During the course of the twenty-one-month Utah Newspaper Project, we created 827 new bibliographic records and used 501 existing ones, listing a total of 1,328 newspapers. We authenticated 44 records not previously examined by a CONSER participant. We created 3,298 local data records.

The project librarian annotated a copy of the checklist to monitor the number of Utah newspaper titles. She made some titles into *see* references and deleted others inappropriate to the list. She was able to use 319 titles as listed, to which she added 206, bringing the total number of Utah newspapers examined in the project to 525. Of these, the Marriott Library has at least some holdings for 488 Utah newspapers (93.0%). This fact confirms our supposition that we probably have the most complete holdings of Utah newspapers in existence.

Utah newspaper repositories hold 803 out-of-state newspapers published in the U.S., a figure substantially above our projection of 500. Utah has strong holdings for neighboring states, notably Nevada and Idaho, and for states such as New York and Illinois that were important in the history of Mormonism. During the project, we cataloged newspapers in Danish, Dutch, German, Greek, Japanese, Norwegian, and Swedish, most of which were published in Salt Lake City for the ethnic communities.

CONCLUSIONS

We believe that this report suggests that the project was a success. While loose ends remain, newspapers in Utah are now under good bibliographic control both for cataloging and union listing. While some microfilming remains to be done, we currently believe that the best strategy is for the Marriott Library to film the remaining newspapers as its finances permit, without a further grant from NEH. We expect some help from other states as they discover Utah newspapers within their collec-

tions. We will continue to microfilm all Utah newspapers as they are published, at a current cost of about \$14,000 annually, and to keep the bibliographic and holdings records up to date.

We are presently unsure how best to distribute the Utah Newspaper Union List. For Utah libraries, all the entries will appear in the Utah Union List of Serials, and we are sending each participating repository a list of its newspaper holdings with the bibliographic record and the attached local data records. Since the Utah State Library has the machine-readable data from OCLC, we will work together to determine whether a separate list devoted solely to newspapers is desirable. If we should decide to do so, the task will not be difficult. We may wait to see if out-of-state institutions ask for a list of Utah newspaper holdings.

Our advice to other potential applicants for state newspaper projects is not to underestimate the scope of the task. Newspaper holdings turn up where least expected, especially if a media campaign succeeds in reaching the public. The time involved in inventorying long runs of newspapers on microform is substantial. Physical strength and stamina are requirements for working with hard-copy bound volumes. We found inventorying to be the truly difficult portion of the task. After a short training period, newspaper cataloging becomes routine, as does the accurate creation of local data records.

With this, we officially close the project. Once more, we wish to thank the numerous individuals and institutions who helped us to accomplish the task. These librarians, newspaper publishers, archivists, researchers, and concerned individuals have much to be proud of. Finally, we acknowledge the critical role of NEH, whose financial support made it all possible.

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1. Richard Van Orden, "Past Attempts at Bibliographic Control of Utah Newspapers," in *Utah's Newspapers—Traces of Her Past*, ed. Robert P. Holley (Salt Lake City: Marriott Library, University of Utah, 1984), p.67-80.
2. *Ibid.*, p.69.
3. *Ibid.*, p.71.
4. *Ibid.*, p.72.
5. A description of the checklist is given in Dennis McCargar, "Checklist of Utah Newspapers," ed. Yvonne Stroup, in *Utah's Newspapers*, p.109-11. See ref. 1.
6. Dennis McCargar, *Utah Newspaper Project: Phase I, Final Report of Project Consultant, July-December 1983* (Salt Lake City: Marriott Library, University of Utah, 1984),[7].
7. *Ibid.*, [2-6].

APPENDIX A: SAMPLE PAGE FROM THE UTAH NEWSPAPER CHECKLIST

Virgin Valley Enterprise

County: Washington City: Virgin City Dates: 1908?-1909?

Sources: Alter, Early Utah journalism

Comments: Editors: M. Earl, M.F. Sutton, M.A. Hamilton

Frequency: Wkly-Th

Voice of Sharon

County: Utah City: Provo Dates: 1933?-1947?

Sources: Ayers 1945; Newspapers in Microform: USA 1948-72

Comments: Frequency: Wkly-Th Notes: A47N

Warren Foster's Paper

County: Salt Lake City: Salt Lake Dates: 1890?-1900?
 Sources: Gregory, American Newspapers, 1821-1936
 Comments: Editors: W. Foster Related Titles: Living Issues
 Frequency: Wkly?

Wasatch Wave

County: Wasatch City: Heber Dates: 03/23/1889-???
 Sources: Ayers 1896, 1940, 1941, 1944, 1947, 1975, 1979, 1980, 1981; Utah Newspaper Assoc. Directory 1983; Alter, Early Utah Journalism; Gregory, American Newspapers, 1821-1936
 Comments: Editors: W. Buys, W.H. Kenner, G. Barzee, C.N. Broadbent, J.A. Wallis, J.H. Mountford, F.W. Mountford, R.M. Buys, D. Hampshire, R. Hicken, J. Arnett Frequency: Wkly-F

Washington County News (1898)

County: Washington City: St. George Dates: 06/18/1898-07/28/1900
 Sources: Alter, Early Utah Journalism
 Comments: Related Titles: Dixie Falcon

Washington County News (1908)

County: Washington City: St. George Dates: 06/30/1908-???
 Sources: Ayers 1909, 1935, 1941, 1950, 1959, 1974, 1977; Alter, Early Utah Journalism; Gregory, American Newspapers, 1821-1936.
 Comments: Editors: J.R. Wallis, J.F. Stauffer, E.R. Simpson, D.R. Conway, C.W. Lyman, F.W. Mountford, J. Mountford Frequency: Wkly-Th

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IN MEMORIAM
DORALYN J. HICKEY
5 October 1929-18 March 1987

When Doralyn Hickey received the Margaret Mann award in 1973, she had to her credit accomplishments that might well be the envy of many. She had earned a B.A., two master's degrees, and, in 1962, a Ph.D. in religion from Duke University. Her curriculum vitae already included numerous publications. The practical experience afforded by her early professional positions, her sound knowledge of theory, and her ability to express her thoughts clearly and concisely were bringing her a reputation as an excellent teacher. Convinced that people of good will could resolve problems by working together, she was an active participant in professional associations, and in ALA had served as a member of various committees and as managing editor of *LRTS* for five years.

But Doralyn was not the kind of person who rests on her laurels. She continued her career as an educator on the faculties of the library schools at the University of North Carolina and North Texas State University and as director of the school at the University of Wisconsin-Milwaukee for three years in the 1970s. Her frequently cited journal articles and monographs have reflected her interests in technical services, standards, and international librarianship. The story of her contributions to ALA, and especially to RTSD, can be read in the last thirteen issues of the *ALA Handbook of Organization*. Only the highlights can be mentioned here: president, RTSD, 1974/75; member, Catalog Code Revision Committee, 1975/76-1977/78; chair, AACR2 Introductory Program Committee; ALA councilor, 1974/75-1976/77; and RTSD division councilor, 1983/84, until illness recently obliged her to resign. Catalog code revision expanded horizons for many of us, and Doralyn became an active participant in IFLA, serving as secretary of the bibliography section and as chair of the professional board. To all of these commitments she brought a dynamic vitality, a willingness to shoulder more than her share of the work load, and a firm belief in the efficacy of the democratic approach. Those who sat beside her at meetings marveled at her quick grasp of problems and her ability to offer sensible solutions on the spur of the moment.

When Doralyn Hickey was presented with the Margaret Mann Citation, she responded with an eloquent plea to her colleagues, asking us to help new members of our profession become actively involved members of ALA and RTSD. This double concern for people and for her much-loved professional organization won for Doralyn the love and respect of her fellow workers, students, and associates and may well contribute more to keeping her memory green than her more concrete contributions to the library profession, outstanding though they were.—*Frances Hinton and Elizabeth Tate.*



Dear Editor:

From *Helen W. Samuels, Institute Archivist, Massachusetts Institute of Technology Libraries*.—Abridged. This letter is a response to the articles by Margaret Child and Ross Atkinson in the Oct./Dec. 1986 issue with reference to the theoretical approach to preservation and documentation strategies.

Documentation strategies are being advanced in the archival profession as a reaction to an abundance of documentation. We recognize that not everything can—or should—be preserved. We also recognize that in the 20th century, although individual documents may be unique, the information they contain is rarely unique. We must achieve a better understanding of the nature and use of the documentary record so that we can fashion more effective collecting strategies. The documentary record includes not just manuscript and archival sources, but also published, visual and artifactual sources. Modern documentation is integrated. Our researchers understand this fact and use a variety of sources. But, traditionally, our collecting activities have been segmented by form of material.

Documentation strategies attempt to lay a framework for collecting by examining a topical area in order to understand the history of the topic, the nature of the documentation available, and the potential for reuse of the sources available. Based upon this understanding, recommendations can be made about what should be documented and the best sources of information. The strategies are cooperative tasks carried out by curators working with creators and potential users. . . .

Traditionally, archivists initiated a collecting project by surveying the available sources. But, in the end, what we knew was what existed, not what we wanted to exist. This problem is similar to Atkinson's first emphasis on "which items in the collection are physically in need of preservation." This tells us what needs care, but not necessarily what we think should be preserved.

I have no argument with Atkinson's descriptions and recommendations for Class 1 & 2 materials. I agree with Margaret Child that we should describe Class 1 materials as having intrinsic worth rather than having an economic value. My real problem is with the recommendations for Class 3. Cooperation is proposed, which is the only logical path. But implied in that recommendation is that together we can save everything, and then we don't have to make any decisions. . . .

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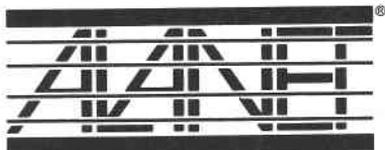
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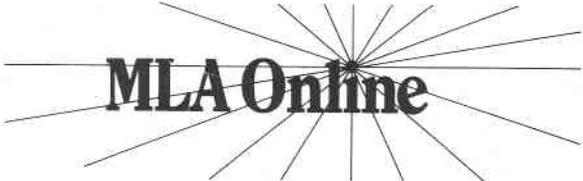
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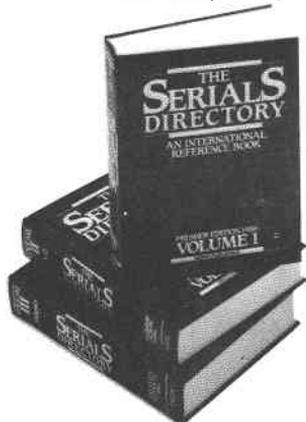
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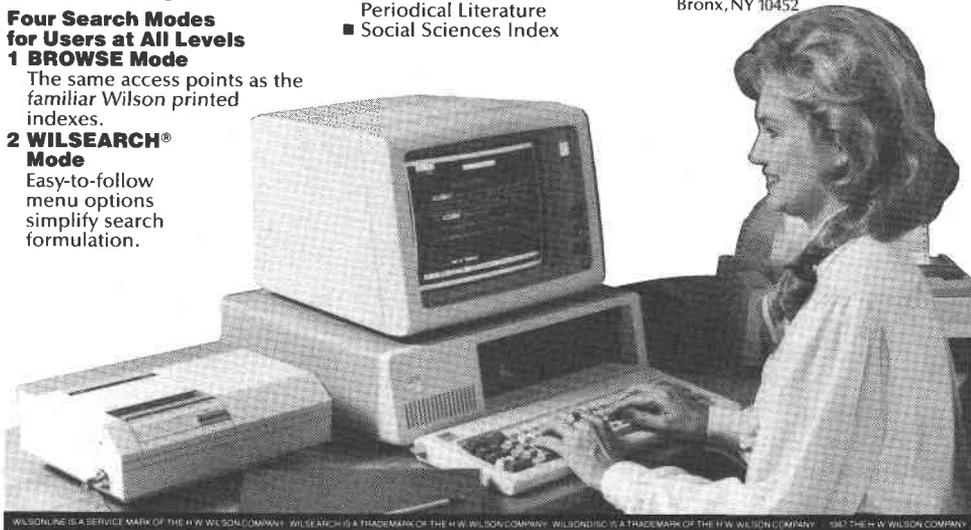
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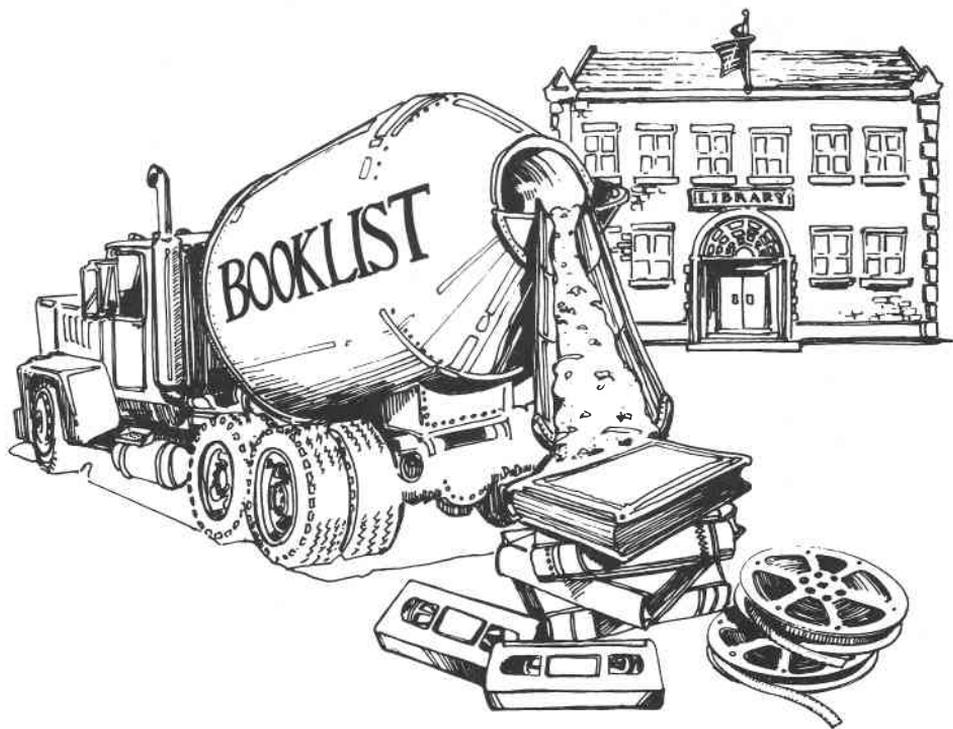
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