

# CHANGES IN CENTRAL TECHNICAL SERVICES BACKLOG ELIMINATION: MEETING THE CHALLENGE (AUGUST 1999)



## TABLE OF CONTENTS

### [Introduction](#)

[Background](#)

### [Description of the Backlog](#)

[Size](#)

[Cataloging Copy](#)

[Working Backlog](#)

[Growth Rate](#)

[Projected Effect of Repeat Search](#)

### [How the Library is Managing the Backlog](#)

[Overview](#)

[Recent Changes](#)

[Analysis of Interviews](#)

### [Summary of Findings](#)

### [Eliminating the Backlog](#)

[Special Project](#)

[Other Recommendations](#)

### [Required Changes in CTS](#)

[Background](#)

[Step 1: Eliminate the Fastcat Call Number Exclusions](#)

[Step 2: Outsource the Cataloging of 12,000 Approval Plan Acquisitions](#)

[Step 3: Eliminate Series Authority Control Exclusion for Member Fastcat and Older LC Materials](#)

[Step 4: Eliminate Pre-AACR2 Fastcat Exclusion](#)

[Step 5: Eliminate Selected Manual Authority Work](#)

[Conclusion](#)

### [Summary of Impact of CTS Changes](#)

### [Appendix A - Interviews](#)

### [Appendix B - Cost Estimates for Three Alternatives](#)

### [Appendix C - Cataloging MicroEnhancer](#)

### [Appendix D - Sample Project Record Compared to PCC Core Record](#)

### [Appendix E - Current Fastcat Exclusions](#)

### [Appendix F - Remaining Fastcat Exclusions](#)



---

## INTRODUCTION

## Background

To support the highest level of library service to the university, the University Librarian has asked that the CTS backlog (i.e., the backlog stored in the CTS subbasement and unit libraries) be reduced to a working backlog (1) without adverse impact on the processing of current receipts. In other words, eliminating the backlog must occur without reducing the current level at which the collections are being developed.

This paper describes the backlog, outlines a project to reduce it, and explains how CTS is going to fund the backlog reduction project. It is intended as a vehicle for communicating a CTS proposal which is strongly supported by CUL senior management.

Dramatically reducing the backlog will require funds, and the necessary funds will not be available from external sources. Therefore, CUL senior management has asked that CTS create the necessary funds through internal adjustments to its processes and workflow. The savings thus generated are to be allocated initially to backlog reduction and later to retrospective conversion (RECON).

## DESCRIPTION OF THE BACKLOG

### Size

CTS performed a backlog count on May 1, 1997. The results, listed by storage category, are given in Table 1. The four largest storage categories--English, Romance II (Spanish, Portuguese, and Catalan), Slavic, and South Asia--contain more than 10,000 items each and account for 56% of the entire backlog.

**Table 1.** CTS Backlog Storage Categories, by Size and Percentage

Storage Category	May 1997	Percent
English	17571	18%
Romance II	13166	14%
Slavic	13073	13%
South Asia	10973	11%
SE Asia	9209	10%
Romance I	6612	7%
Germanic	4912	5%
CJK	4472	5%
Hebrew, Yiddish	3961	4%
Maps	3895	4%
Fine Arts	3231	3%
Music (bks sco mf)	2143	2%
Arabic	1445	1%
Engineering	1279	1%
JGSM	416	0%

Esoteric	410	0%
Math	81	0%
Total	96849	100%

The May 1997 backlog is 37,584 items smaller than the July 1996 backlog. The decline is due principally to the successful OCLC OKU backlog project, managed by Access Services, which resulted in the removal of 61,571 items from all OKU storage categories except CJK and maps during the period March 1996 through April 1997. In addition to removals from the OKU backlog project, CTS removed items on the basis of patron and original cataloger requests. CTS also added items to the backlog during the period since the last count; the source was new receipts lacking cataloging copy.

### Cataloging Copy

During the study period (April-June 1997), nearly 1200 items were pulled from the backlog for cataloging. Of these, 60% were represented by cataloging records in RLIN or OCLC. These results replicate those of a separate earlier study from September to November 1996, in which copy was found for 59.5% of items. That so much cataloging copy remains in the backlog after the OKU backlog project may seem at first surprising, but it is there for two reasons: 1) the OKU backlog project used brief records as the basis for matching, and the brevity of the input records often prevented a match with an OCLC record; and 2) new receipts may lack copy when they go to the backlog, but in the intervening months, many catalog records appear in the utilities.

Thus, to think of the backlog as an *original cataloging* backlog is incorrect. With some variance by storage category (e.g., English vs. South Asia), there is cataloging copy for perhaps 60% of the backlog.

### Working Backlog

A working backlog is defined as a year's worth of cataloging, given current staffing levels and assignments. The third column of [Table 2](#) provides estimates of the size of a working backlog for each storage category.

The estimates were calculated using current staffing allocations and the following assumptions:

1. On average, there is cataloging copy for 60% of the backlog (33% falls into what CTS calls "FastCat" and the rest is copy cataloging); 40% will require original cataloging;
2. Under current work methods and production rates, a single full-time cataloger can process this mix of FastCat, copy and original cataloging at the rate of 3070 titles per year.

**Table 2.** Estimated Size of Working Backlog By Storage Category and Difference Between Actual and Working Backlog

	Actual	Working	
Storage Category	May 1997	Backlog	Difference
Maps	3895	307	3588

South Asia	10973	1013	9960
Hebrew, Yiddish	3961	522	3439
Slavic	13073	2026	11047
Romance II	13166	3070	10098
Esoteric	410	154	256
Romance I	6612	2610	4002
English	17571	8596	8975
Arabic	1445	768	677
CJK	4472	2026	2446
Germanic	4912	3070	1842
JGSM	416	307	109
Fine Arts	3231	2456	775
SE Asia	9209	8289	920
Engineering	1279	2303	-1024
Math	81	154	-73
Music (bks sco mf)	2143	2594	-451
Total	96849	40265	58132

This analysis suggests some good news and some bad news. The good news: Given current staffing levels and assignments, several storage categories are working backlogs already--JGSM, Fine Arts, Southeast Asia, Engineering, Math, and Music. And, given current staffing, it is likely the backlog storages for Arabic, CJK, and Germanic materials will be working backlogs within 3 to 4 years. The bad news: Present-day work methods and staffing are woefully inadequate to achieve the necessary reduction in the rest of the backlog in less than five years.

### Growth Rate

Over the six weeks from March 31 to May 5, 1997, the backlog averaged 425 titles per week *in* and 194 titles *out*, for a *net average growth* of 231 titles per week. Materials flow *in* from new acquisitions or gifts/exchange; materials flow *out* as a result of patron rush requests or original cataloger requests. The following chart presents the data for each of the six weeks. Because CTS was doing a special project for the Fine Arts Library during this period that could skew the aggregate results, the analysis excludes all Fine Arts data.

### Chronicle of a Death Foretold: CTS Backlog Reduction Update

### Projected Effect of Repeat Search

Repeat Search, an OCLC product which provides for machine matching of a library's brief records to full MARC records, will represent a new type of outflow from the backlog. It is similar to the OCLC batch match process, which was used in the recent OKU backlog project, but Repeat Search is ongoing. In other words, a library sends brief records to OCLC each month on an ongoing basis and OCLC returns matching records on an ongoing basis.

A "what if" analysis of the projected effect of Repeat Search on the backlog suggests that once it is running, Repeat Search will hold the growth of the backlog in check. This analysis indicates that--so long as Repeat Search begins running this summer--in June 1998, the backlog will contain 97,575 items--an increase of only about 550 items over its size on May 1, 1997.

Thus, CTS can expect to experience low or no backlog growth once Repeat Search is under way. The importance of Repeat Search to backlog reduction should not be underestimated. It--or some other automated way of acquiring cataloging records-- is essential to checking the growth of the backlog and keeping it under control. Any backlog reduction strategy that has a chance of success must begin with this tool or its equivalent.



---

## HOW THE LIBRARY IS MANAGING THE BACKLOG

### Overview

Every organization faces both technical and organizational problems. In this study, the backlog is the presenting technical problem. Organizational problems can often be diagnosed--and solutions found--by studying how the presenting problem is being managed by the organization.

To collect the necessary organizational information, a team of original catalogers conducted twenty interviews with selectors and public services staff. Each interviewer used the identical interview script, so that answers could be more easily compared. A copy of the interview questions may be found in Appendix A along with a list of those interviewed.

### Recent Changes

A CUL committee report issued in June 1992 provided the groundwork for a new organization and service approach for the CTS backlog. The eventual result was the patron rush request procedure in place today. Substantial progress in managing the backlog was made by implementing the rush request process.

### Analysis of Interviews

A continuum of opinion emerged about the need for cataloging all backlog materials, weighted *against* cataloging everything (only 30% in favor), while the majority preferred various options. The responses may be presented visually as follows:

**Does everything in the backlog need to be cataloged?**



A number of other themes emerged from the interviews:

- **Perception of CUL as a whole entity:** Those interviewed interpreted their roles/function with respect to the backlog in terms of specific units, collections, departments, and responded accordingly to the interview questions. Their responses suggest that professional responsibility is considered in terms of these particular roles or divisions, and not in terms of CUL as a whole.
- **Sharing of information across functional lines:** Information about issues pertaining to the backlog appears to have been poorly disseminated, sought, absorbed, and assimilated. Interview participants claimed a lack of knowledge and understanding of the backlog.
- **Backlog dynamics:** The interaction of the two sets of variables affecting backlog dynamics are not well understood. The two sets of variables are:
  1. the rate of acquisitions (including the availability of funds, the relative strength of the dollar, the policy for accepting gifts, the attitudes and productivity of selectors and acquisitions staff, the technology available to select and acquire materials, unforeseen opportunities, and so on) and
  2. the rate of cataloging (such as the size of the staff, their productivity, the availability of cataloging copy, the technology available for the work, the cataloging "culture"--legalistic or pragmatic--the acceptability of various levels of cataloging, and so on).



## SUMMARY OF FINDINGS

- In spite of the very successful OKU backlog project this past year, the backlog is big--close to 97,000 items. The four largest storage categories (English, Romance II, Slavic, and South Asia) account for 56% of the backlog.
- There is cataloging copy available for much of the backlog (perhaps 60%). To think of the backlog as an *original cataloging* backlog is incorrect.
- While some working backlogs already exist, the library is far from achieving working backlogs in many storage categories, with the worst being Maps, South Asia, Hebrew/Yiddish, Slavic, and Romance II. Present work methods and staffing allocations are woefully inadequate to address these parts of the backlog.
- The backlog appears to be growing at a net average rate of over 200 titles per week.

- Repeat Search (or its equivalent) is essential to halt and hold the line on further backlog growth.
- Underlying organizational problems cause the backlog to be there and to grow.



---

## ELIMINATING THE BACKLOG

### Special Project

CTS catalogers should continue to process backlogged items as they are doing today. Current practices assure that the highest priority items are identified and removed from the backlog. However, this study reveals that with some exceptions, existing work methods and staffing levels are insufficient to make significant headway toward a working backlog. Staff responsible for acquiring, cataloging, processing and shelving materials for the collection are already stretched thin, so there is little hope of solving the backlog problem by attempting to push more materials through the same pipe as current receipts—the pipe is simply too small.

To deal effectively with the immediate problem, a special project is necessary. Taking the steps outlined here can be expected to reduce the current backlog from 97,000 items to about 40,000 items—a working backlog—in three years.

The project would have the following objectives:

- Move items out of the backlog as fast as possible
- Minimize impact on existing library operations (Commercial Binding Office, CTS current receipts cataloging, Access Services)
- Build on the success of the OKU backlog project and leverage the investment in Repeat Search

Three options were initially considered before choosing the special project described in this paper. All three options were targeted to eliminate the gap between the actual backlog of 97,000 items and a working backlog of about 40,000 items in three years (see [Appendix B](#) for details). The other two options considered were outsourcing of backlog processing, and an in-house project that would handle the materials using current CTS work methods. These options were ruled out because of their costs.

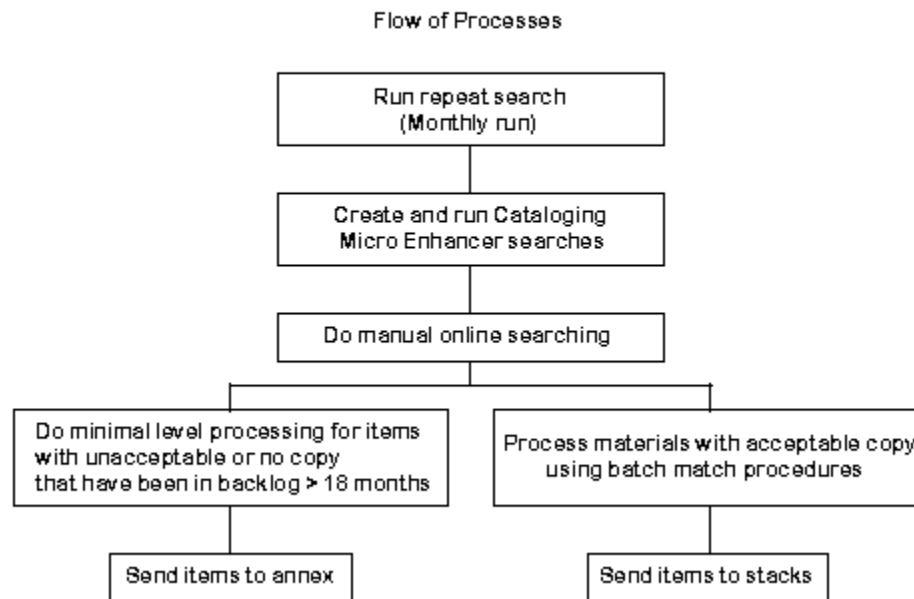
[Figure 2](#) charts the flow of project activities. A cost estimate for the project (as well as the other two options considered) is attached in [Appendix B](#). Each step of the process builds on the previous one.

Repeat Search has been set up to target portions of the backlog each month—the materials shelved there one month ago and the materials placed there 18 months ago. [\(2\)](#)

Each month, Repeat Search will identify much, but not all, of the cataloging copy available for that part of the backlog. The backlog project team would follow on Repeat Search's results each month by using the Cataloging Micro Enhancer (see [Appendix C](#) for product description) to extract cataloging copy that Repeat Search did not get. A staff member would take a laptop to the backlog subbasement and create a file of searches (with items in hand) for batch searching of OCLC. Records identified in this way would

be imported into the CUL catalog. As a last step, project staff would complete the month's cycle by manually searching the remaining items.

**Figure 2. Flow of Activities in Proposed Special Project**



All acceptable copy found by any method (Repeat Search, Cataloging Micro Enhancer, manual searching) would be funneled to a team for processing and then sent to the stacks. The team would use the same procedures used in the OKU backlog project to process the items for which acceptable copy is found.

If acceptable copy is not found, *and* the items have been in the backlog for 18 months or more, the items will be funneled to minimal level processing. It is likely that there will be an overabundance of candidates for minimal-level processing in each month's run; in that event, backlog project staff would process as many items as possible from the most problematic storage categories first--English, Romance II, Slavic, and South Asia.

Staff would use minimal level standards for the fixed and variable fields of the cataloging record, except for assigning an LC call number and appropriate key words. Key words will be added in field 653 of the records. Field 653 is indexed for keyword searching in NOTIS (see [Appendix D](#) for a sample of how a project record would appear in the OPAC), and it is possible to alter the NOTIS public display so keywords appear with an appropriate label, such as "Descriptors" or "Index Terms."

Backlogged items that are represented by minimal level records in OCLC or RLIN would be accepted as is, except for the addition of an LC call number and key words. After processing, these items would be sent to the annex (i.e., the offsite storage facility).

## Other Recommendations

**Maps.** The special project described above will not help to move the large backlog of maps. A

collaborative team of public services and CTS staff has begun studying the issues and preparing a separate proposal for dealing with the maps backlog.

**Ask selectors to assist with the project.** As candidates for minimal-level processing from the backlog are identified and brought to the project office each month, selectors could be invited to review the materials to determine if they are still wanted for the collection. It might be argued that too little would be de-selected by this process to merit the selectors' effort, but if only 5% of the oldest part of the backlog were de-selected, there would be 3,000 fewer items to process--a savings to the library of about \$40,000.



---

## REQUIRED CHANGES IN CTS

### Background

The special project to reduce the backlog is estimated to cost \$360,000 over three years. CTS managers have spent considerable time reviewing current processes to determine how a saving of \$360,000 could be realized. For years, CTS has been looking for ways to process more efficiently. Recent changes which have had significant positive impacts on productivity include:

- An expanded approval plan and concomitant streamlined invoice processing
- Fastcatting, which now is done to 40% of new titles received
- Becoming BIBCO participants and cataloging at the core level
- Vending out authority control
- The machine generation of spine labels

Two changes now in the process of being implemented will add to this list:

- Use of OCLC's Repeat Search for automatic searching of the backlog
- Use of automated cataloging tools (to reduce the need for keying and increase the automatic importing of cataloging information from non-NOTIS sources)

But CTS managers believe that they have run out of options for effecting significant productivity changes. Continuing to fine-tune procedures will continue to yield gains, but these will be marginal, amounting to a few thousand dollars, certainly nowhere near what is needed for this project. They do not believe that \$360,000 can be obtained without major changes in the way materials are processed. They do believe that any changes of the magnitude being discussed here start with the elimination of the current call number exceptions to fastcatting (see [Appendix E](#) for the list of current fastcat exceptions), and continues with the outsourcing of some cataloging.

The following measures would be taken to generate the savings to accomplish backlog reduction, and--later on--RECON:

### Step 1: Eliminate the Fastcat Call Number Exclusions

Saving: \$75,000/year

Having to sort current receipts based on their call numbers adds significantly to the cost of cataloging in two ways. One, the sorting is not easy and requires that it be done by experienced staff as there are many exceptions to remember. Two, the cataloging which is excluded from fastcat at a cost of \$4.54 per title must be processed by copy catalogers for \$25.48 a title. (3) CTS managers have determined that giving up the fastcat call number exclusions for all but music scores would yield \$75,000 in annual savings, all in cataloging-related charges. There are no start-up or continuing costs associated with this step.

Access implication: This step would further compromise collocation in the stacks and the on-line system call number displays. A 1995 CTS study (4) provides some clues to the amount of disarrangement that might result. This study suggests that eliminating the fastcat exclusions would have resulted in some 10,000 of the 76,000 titles cataloged by CTS last year being shelved with classification numbers that are not ideal for the CUL stacks. However, the same study suggests that of those 10,000 items, only about 5,000 would have ended up 10 or more shelf spaces away from their ideal location.

[Appendix F](#) lists the exceptions that would remain.

## **Step 2: Outsource the Cataloging of 12,000 Approval Plan Acquisitions**

Cataloging would be outsourced but the physical processing of these titles would be done in-house.

Saving: \$44,000/year

Current costs of cataloging in CTS range from \$4.54 to \$40.89 per title, exclusive of physical processing, depending on the kind of cataloging done (fastcat, copy, or original). Purchasing cataloging from a vendor costs from \$2.00 to \$18.00 per title (up to \$35 for original cataloging in non-Roman scripts), exclusive of physical processing.

Cataloging services are available from all major U.S. booksellers which do business with university libraries such as Cornell. Yankee Book Peddler, Cornell's current approval vendor for U.S. materials, currently sells cataloging to the universities of Stanford, Florida, Virginia, and Vermont. OCLC sells its PromptCat service to numerous libraries, and Blackwell North America provides its service to 39 research libraries, including Vanderbilt, Florida, Stanford, and New York Public. Other vendors who sell cataloging products also include Academic Book Center, which just became CUL's firm order vendor for U.S. imprints, and Coutts Library Service.

Purchasing cataloged records for the 12,000 titles that CUL receives on its U.S. approval plan each year would result in savings--all from decreased cataloging costs--of \$44,000 per year. One-time costs may involve the development or modification of a loader to add the vendor bibliographic records to the on-line catalog.

Access implications: Greater risk for occasional mismatching of editions, as well as mistags and typographical errors in access fields. What would be given up is local proofreading of cataloging done by another agency. This step would further reduce collocation in the stacks and in the call number index of the catalog for all items currently excluded from fastcat based on their call numbers, because implementation would require accepting call numbers from the vendors' records. There would be very little sense in eliminating steps to assure collocation for vendor-cataloged items, while keeping these procedures for locally-cataloged books.

### **Step 3: Eliminate Series Authority Control Exclusion for Member Fastcat and Older LC Materials**

Saving: \$22,000/year

Currently, fastcatters are told to bump all titles in series not represented by a series authority record in NOTIS to Copy Cataloging. This insures that every series used in a bibliographic record in NOTIS is supported by an authority record, since copy catalogers are instructed to create an original series authority record for every series heading in NOTIS, whenever an SAR for the heading in question does not already exist in the national authorities database. However, this kind of authority control insurance did not happen for the OCLC OKU backlog project, and it is not currently happening for the Kisch Project. There would, however, be a certain amount of cleanup involved for those series headings which would appear on error reports to the Authorities Unit.

Access implications: Loss of (or at least delays in) authority control and cross-referencing for series access points that are not already supported by authority records in NOTIS or in the national authorities database. In other words, certain series will lack collocation in the catalog, at least until a CUL cataloger or member of the Authorities Unit is alerted to the problem.

### **Step 4: Eliminate Pre-AACR2 Fastcat Exclusion**

Saving: \$6,000/year

Although a larger number of headings in pre-AACR2 records are not supported by authority records, CUL has done without much of this authority work for the OCLC OKU backlog project, and is doing without it for the Kisch Project. In this case, too, the principal drawback would be in the post-processing authorities cleanup. The volume of materials received in this category is fairly low.

Access implications: Less authority control and cross-referencing for headings on older (pre-1980) catalog records.

### **Step 5: Eliminate Selected Manual Authority Work**

CTS would eliminate all manual authority work for those items formerly excluded from fastcatting because of their classification.

Saving: \$4,000/year

Access implications: Less authority control and cross-referencing for those classes of persons on which the call number exclusions are based (e.g. literary authors, artists for Fine Arts, musicians for Music, etc.)

## **Conclusion**

[Step 1](#) is at the heart of the effort to generate resources that can be applied to the elimination of the backlog. Without it the subsequent proposals make no sense or do not generate sufficient savings. Steps [3](#), [4](#), and [5](#) do not have as significant access implications as [1](#) and [2](#), but do result in a significant streamlining of operations as well as not insignificant savings. CTS managers are well aware of the controversial nature of these measures and have tried hard to come up with alternatives. They believe

that there are none that do not require substantial outside support.



## SUMMARY OF IMPACT OF CTS CHANGES

CTS managers expect that library users and various groups of CUL professionals and staff would be affected in the following ways by implementation of the changes in CTS:

Group	Impact
Library users	Improvement in coverage, completeness of online catalog
	More materials available in the stacks
	Less effective browsing for a subset of call numbers (online and in stacks)
CUL processing units served by CTS	Maintenance of short turnaround time for current receipts with copy
	At same time, dramatic improvement in number of items available in the stacks, as well as in OPAC retrieva;
	Further disarrangement in stacks (due to less time spent shelflisting and adjusting call numbers from cataloging copy)
CTS staff	More material will be processed with fewer people; some lines will be cut to fund outsourcing and related project costs
	Jobs will change, especially receivers, searcher/inputters, fastcatters and copy catalogers
	Some staff will be redeployed to work on backlog reduction
	Some categories of work will shrink while other categories will increase
	CTS will become a more dynamic workplace, flexibility will be a must, and change will be constant
CTS unit heads and supervisors	Significant time will be required for project planning and management, job analysis and staffing reallocation and training



## APPENDIX A: INTERVIEWS

### Interviewees

David Block	David Brumberg
Lenore Coral	Susan Currie
Charles d'Orban	Susan Greaves
Janie Harris	Judith Holliday
Sarah How	Martha Hsu
Ved Kayastha	Fred Kotas
Boodie McGinnis	Fred Muratori
Suzy Szasz Palmer	Allen Riedy
John Saylor	Caroline Spicer
Julie Stiles	Yoram Szekely

### Interview Questions

1. In your view, what impact does the backlog have on the effectiveness of the Cornell University Library?
2. From your perspective, why does the backlog exist?
3. Are you satisfied with how the backlog is being managed now? Why or why not?
4. In your view, what are the roles of various groups in CUL in causing or maintaining the backlog at its current levels?
5. The report we are preparing seeks to present options for reducing the backlog to the size of a working backlog (defined as one year's worth of cataloging) in 5 to 7 years. Even after the recent backlog project using OCLC batch match software, we estimate we are at least 60,000 titles away from the goal. What do you see as the options for achieving the goal of backlog reduction in the required time frame?
6. Are you aware of how Cornell's peer institutions have dealt with their backlogs in recent years?
7. In your view, does eliminating the backlog mean that everything has to be cataloged?
8. It is possible that work on the backlog will need to be prioritized. In your view, what criteria should be used to set priorities?
9. What do you personally see as the backlog cataloging priorities at this time?




---

### APPENDIX B: COST ESTIMATES FOR THREE ALTERNATIVES

In order to achieve a working backlog, the library needs to close the gap between the size of the backlog today and the size of a working backlog. This study's findings suggest the gap consists of approximately 47,775 items. (5) These 47,775 items represent a mix of items that have been in the backlog longer than 18 months and more recently-acquired items with cataloging copy. For each option, the following assumptions were made:

- Repeat Search will find acceptable cataloging copy for 40% (19,110) of the 47,775 items;

- Cataloging MicroEnhancer (Cat ME) and manual online searching will find acceptable copy for another 20% (9,555) of the items;
- Unacceptable or no cataloging copy will be found for the remaining 40% (19,110) of the items.

The three options dealt with in this appendix therefore target the estimated 28,665 items **not** dealt with by Repeat Search. The target items are backlogged materials from the South Asia, Hebrew/Yiddish, Slavic, Romance II, Esoteric, Romance I, and English storage categories. To those familiar with the costs of the OKU backlog project, the cost estimates may seem high, but the OKU backlog project skimmed off the least costly items to process. Repeat Search will skim off another layer of items that are inexpensive to process, leaving the items that require not only more, but more skilled labor to handle.

### Option 1: Special Project In-House Using Cataloging Shortcuts

The first alternative is the special in-house project described in the body of the report. This project's costs are estimated in the second column of [Table B-1](#). Some advantages and disadvantages of option 1 are:

#### Advantages

---

- Improves OPAC retrieval and accessibility of items now in backlog
- Leverages investment in Repeat Search
- Has minimal impact on existing library operations
- Provides opportunities for collaboration across library functional lines
- Least costly of the three alternatives

#### Disadvantages

---

- About 19,000 records will have LC call numbers and keyword subject access, but will lack LC subject headings
- Requires policy change to allow use of minimal level records for CUL materials
- Minimal level processing is a "red flag" for some CUL staff
- Original records will not be produced by original catalogers

### Option 2: Vend Out Special Project

A second alternative is to vend out the work. Just as in the in-house project, records for items with unacceptable or no copy would be done at the minimal level, but would be enriched with LC call numbers and subject key words. Like option 1, it is assumed that this project's costs, estimated in the third column of [Table B-1](#), would be spread out over three years. Some advantages and disadvantages of option 2 are:

#### Advantages

---

- Improves OPAC retrieval and accessibility of items now in backlog
- Leverages investment in Repeat Search
- Has least impact on existing library operations of options considered
- Depending on choice of vendor, records would be produced by experienced catalogers
- Much less costly than producing records in house using standard staffing levels and work methods

#### Disadvantages

---

- About 19,000 records will have LC call numbers and keyword subject access, but will lack LC subject headings
- Requires policy change to allow use of minimal level records for CUL materials
- Minimal level processing is a "red flag" for some CUL staff
- Outsourcing frowned upon by many CUL staff

### Option 3: Special Project Using Standard Staffing and Current Work Practices

A third alternative is to mount a special project in-house using the same staffing levels and work practices that are used for current receipts. This means that items with acceptable copy would be processed via FastCat or copy catalogers, and items with unacceptable or no copy would be either upgraded or cataloged as PCC core or full records by Band E or professional catalogers. All headings in the upgrades or original records would be supported by full authority work and NACO authority records. Except for records that normally lack them, all records would bear LC subject headings. It is assumed that this project's costs, estimated in the fourth column of [Table B-1](#), would be spread out over three years. Some advantages and disadvantages of option 3 are:

#### Advantages

- Provides best OPAC retrieval and accessibility of items now in backlog; all records would have controlled name and subject headings
- Leverages investment in Repeat Search
- Requires no policy changes
- Familiar solution; most CUL staff understand and support current cataloging practices; this option would generate little or no controversy

#### Disadvantages

- Extremely costly to library
- Difficult to find and train additional qualified catalogers
- Tricky to justify high cost vs. added benefit for these 28,665 items, compared to less costly options for achieving working backlog
- "The easy way out leads back in"; familiar solution fails to challenge entrenched CUL practices fueling backlog growth

**Table B-1.** Comparison of Estimated Costs of Three Options

Activities (6)	Special Project in-House	Outsource to Vendor	Std Staffing & Procedures
Cat ME software (7)	\$395	N/A	N/A
Ship to vendor (8)	N/A	\$14,333	N/A
Utility search charges (9)	\$14,333	N/A	\$14,333
Cat ME searching (10)	28,665	N/A	N/A
Man. pre-cat searching (11)	\$19,430	N/A	\$38,411
Batch match processing (12)	\$31,532	N/A	N/A
Copy cat sorting (13)	N/A	N/A	\$15,766
FastCat (14)	N/A	N/A	\$11,323
Copy Cataloging (15)	N/A	\$98,552	\$119,438
Original Cataloging (16)	N/A	N/A	\$707,070
Min. level processing (17)	\$267,400	\$307,421	N/A

<b>Total</b>	<b>\$361,754</b>	<b>\$420,306</b>	<b>\$906,340</b>
--------------	------------------	------------------	------------------



## APPENDIX C: CATALOGING MICROENHANCER (18)

The OCLC Cataloging MicroEnhancer (aka Cat ME) facilitates cataloging on OCLC. It reduces costs by combining offline search creation and editing with batch online searching and processing in the OCLC database. A library can use any or all features of the software. A DOS-based version of the product (CAT ME Plus) has been available since the early 1980s and many OCLC libraries use it. A Windows version is expected to be available by the end of 1997.

The software allows batch searching and processing on OCLC after work hours, when costs are lower. Although the software has many features, the special project proposed in the body of this report would make use of the ability to create search queries offline (on a machine without telecommunications capability, if need be), then run them later on OCLC in batch mode. Batch printing and exporting of records can also be done.

Some features new in the Windows version that might be useful for the special backlog project include the abilities to specify one to ten search matches for downloading; to use date, language, format, etc. qualifiers for narrowing searches; and to switch to interactive mode to retrieve records not found during batch searching (so only one interface need be learned by searchers).

The software can be run on a single workstation or shared on a LAN. The Windows version requires Microsoft Windows 95 or NT (version 3.51 with Service Pack 5, or higher) and 30MB of available hard-drive space. Minimum requirements for Microsoft Windows 95 are:

- 486/25 MHz-based system
- 8MB of memory
- 40MB of available hard-drive space

Minimum requirements for Microsoft Windows NT are:

- 486/25 MHz- or Pentium-based processor
- 12MB of memory
- CD-ROM drive
- 110MB of available hard-drive space

Both also require VGA or higher resolution display and a mouse or compatible point-and-click device. For best response time and overall performance, OCLC recommends using a system with more than these minimal requirements.

### Telecommunications Methods

For connection to OCLC Cataloging, the new Windows product supports OCLC dial access (asynchronous and TCP/IP methods), the Internet, the X.25 Telecommunications Linking Program

(TLP), and dedicated TCP/IP access.




---

## APPENDIX D: SAMPLE PROJECT RECORD COMPARED TO PCC CORE RECORD

### Proposed Backlog Project Record

<b>TITLE:</b>	Evaluation of beach profile data from Betio and Bairiki, Republic of Kiribati / John Harper.	
<b>AUTHOR/NAME:</b>	Harper, John R.	
<b>PUBLISHED:</b>	[Suva, Fiji?]: South Pacific Applied Geoscience Commission, 1989.	
<b>DESCRIPTION:</b>	136 p. : ill., maps ; 28 cm.	
<b>SERIES:</b>	GCOP/SOPAC technical report ; 94	
<b>DESCRIPTORS:</b>	Beaches Kiribati	
<b>LOCATION:</b>	<b>CALL NUMBER:</b>	<b>STATUS:</b>
Annex	GB 458 .62 .K5 H29	Not checked out

### PCC Core Record

<b>TITLE:</b>	Evaluation of beach profile data from Betio and Bairiki, Republic of Kiribati / John Harper.	
<b>AUTHOR/NAME:</b>	Harper, John R.	
<b>PUBLISHED:</b>	[Suva, Fiji?]: South Pacific Applied Geoscience Commission, 1989.	
<b>DESCRIPTION:</b>	136 p. : ill., maps ; 28 cm.	
<b>SUBJECTS:</b>	Beach erosion--Kiribati. Coast changes--Kiribati.	
<b>NOTES:</b>	"Prepared for South Pacific Applied Geoscience Commission (SOPAC), Coastal and Nearshore Program, Kiribati Project KI.4."	
<b>SERIES:</b>	GCOP/SOPAC technical report ; 94	
<b>LOCATION:</b>	<b>CALL NUMBER:</b>	<b>STATUS:</b>
Olin Library	GB 458 .62 .K5 H29	Not checked out



## APPENDIX E: CURRENT FASTCAT EXCLUSIONS

### Locations:

- Maps (uses separate procedure, "Fastmap")
- Music
- Olin Reference

### Call Numbers:

- M-MT for Olin
- M and N for Uris
- N-NX, S-SK, and TR for Fine Arts (except when local call number is provided)
- P-PZ for literary works if the call number applies to an individual author (or other individual creative person), a named group of authors, or an anonymous literary work
- Z, with a partial alternative call number for ENGR, MATH, or PHYS
- Call numbers with no cutter to which an "x" or "w" can be added
- Series classed together by LC or member library, but not by CUL
- U.S. congressional hearings with member copy only (LC okay)
- Conferences for ENGR, MATH, and PHYS
- Census of India publications

### Types of material:

- Items whose accompanying record is not an exact match
- Items represented by minimal level records
- Items represented by pre-AACR2 records
- Items whose accompanying record lacks an LC-style call number
- Items in non-books formats (for example, scores, sound recordings, videos)
- Items requiring a MARC holdings record (usually multi-volume works)
- Items in series not supported by a series authority record in NOTIS



---

## APPENDIX F: REMAINING FASTCAT EXCLUSIONS

### Types of material:

- Items whose accompanying record is not an exact match
- Items represented by minimal level records
- Items whose accompanying record lacks an LC-style call number
- Items in non-books formats (for example, scores, sound recordings, videos)
- Items requiring a MARC holdings record (usually multi-volume works)



- 
- 1/ A working backlog is defined as a year's worth of cataloging, given current staffing levels and assignments. ↑
  - 2/ Recent analyses suggest there is a point of diminishing returns for obtaining cataloging copy from the utilities. Items that are without cataloging copy in OCLC or RLIN for 18 months after receipt are unlikely to receive cataloging. As an example see Erbolato-Ramsey, C. and M. L. Grover, "Spanish and Portuguese online cataloging: where do you start from scratch?" CCQ 19:1 (1994): 75-87. ↑
  - 3/ Unit costs are from spring 1997 CTS cost study. ↑
  - 4/ From LeBlanc, Jim. "Report on the 1995 member copy cataloging study: CTS Copy Cataloging Unit." Unpublished study. ↑
  - 5/ See Table 2 in the body of the report. The size of the gap was calculated by subtracting the Maps storage category and storage categories that are already working backlogs from the total in the fourth column of this table. ↑
  - 6/ For the purpose of the cost comparisons, the costs of Repeat Search and the labor cost of pulling items from the backlog are ignored, because they are the same under every option and therefore not relevant to the comparison of options. ↑
  - 7/ Price quote from OCLC for single copy of Cat ME; software is one-time cost. If a laptop is not available for project use, there will also be a one-time cost for purchasing equipment. ↑
  - 8/ Assumes 50 cents per item for shipping to the vendor the 28,665 items for which Repeat Search is not expected to find matches. ↑
  - 9/ OCLC system costs for searching via Cat ME and manually; assumes 50 cents per item for the 28,665 items for which Repeat Search is not expected to find matches. ↑
  - 10/ Assumes \$1 per item labor cost for handling items and constructing Cat ME searches using laptop. ↑
  - 11/ Special project: Assumes 14,500 candidate items will remain after matches from Repeat Search and Cat ME are removed; these will require manual online searching at a rate of \$1.34 per title (figure from recent CTS cost study). Standard staffing: Assumes that all 28,665 items not matched by Repeat Search will be manually searched at a labor cost of \$1.34 per item. ↑
  - 12/ Assumes \$1.10 per item for labor to match title to online record, create item record, change record status, and attach call number label to send item to stacks or annex (figure developed from costs of OKU backlog project provided by Susan Currie). ↑

13/ Assumes 55 cents per item for sorting and routing items to appropriate CTS workflows (from CTS cost study). ↑

14/ Assumes half of the 9,555 items with acceptable cataloging copy are "fastcattable" at \$2.37 per title. ↑

15/ Vendor: Assumes \$14 per item for copy cataloging of items in non-Roman languages; \$6 for copy cataloging of remainder (ballpark estimate from OCLC TECHPRO office). Standard staffing: Assumes half of the 9,555 items with acceptable copy require copy cataloging at \$25 per title. ↑

16/ Assumes 19,100 items will require standard CTS original cataloging at \$37 per title. ↑

17/ Special project: Assumes Band D staff will be used for minimal level processing at a cost of \$14 per item (figure derived from estimate of 30 minutes/record by Band D, plus compensating factor for non-productive time, benefits, and overhead). Vendor: Assumes that minimal level records will be found for one-third of items with unacceptable or no copy. Vendor to process these at \$16 per title for items in non-Roman languages and \$8 per title for remainder. For items requiring new minimal level records (specifications same as special in-house project records), assumes \$28 per title for items in non-Roman languages and \$15 per title for remainder. All of these figures are ballpark estimates from TECHPRO. ↑

18/ Summarized from information available via the OCLC home page: <http://www.oclc.org> ↑

---

8/16/97



---

Last Updated: 5/20/04 4:10 PM

