## Standard Acquisition Practices for Shared Print Monographs

**February 16, 2011**

**A. GENERAL GUIDELINES**
Monographs purchased cooperatively are designated as Shared Print monographs. The Shared Print monographs are subject to specific acquisitions practices, descriptive standards, retention commitments and access policies.

The following standards outline the responsibilities of a managing campus for acquiring and processing Shared Print monographs, working with vendors and prioritizing processing in relation to other copies. Additional descriptive standards for Shared Print monographs are outlined separately.

A managing campus or campuses are designated to handle Shared Print monographs. A managing campus acquires and catalogs Shared Print materials according to these standards. A lead acquisitions staff member is identified at a managing campus and is responsible for responding to day-to-day questions from campuses, consortia, storage facilities and vendors.

Changes to these standards are made by HOTS in consultation with CDL Shared Print..

**B. ORDER MANAGEMENT AND REPORTING REQUIREMENTS**
1. Orders created in the campus ILS system are coded as part of the Shared Print Collections. These records should be identified so that they can be exported in a list format with basic bibliographic information/price/vendor using ILS reporting capabilities.

2. The campus ILS will track funds allocated for Shared Print, encumbrance amounts, commitments and free balances throughout the fiscal year. Specific fund codes for Shared Print are established to track expenses and prepare reports.

3. Data related to Shared Print Purchases should be stored in a campus ILS for a minimum of two years to facilitate reporting and audit. Reports on materials acquired through the Shared Print Collections will contain the following elements from the bibliographic fields at a minimum:

1XX Author fields
245 Title field
250 Edition
260 Imprint/Pub. Yr.
3XX Physical description.
4XX Series titles if available.
Format (usually from Leader 06)
ISBN
LC Classification
OCLC Control

4. The reports will contain at a minimum the following information from the order records:

Date ordered
Date received
Paid amount
Vendor name
Vendor discount percentage (if available, applicable)
Shipping and handling costs
Sales or use tax amounts

5. At the time a Shared Print collecting area is identified, the binding requirements will be specified. The costs for binding and preservation should be identified separately from the cost of the material, if at all possible and reported separately.

6. As far as is reasonably possible and consistent with local Library and campus fiscal policies, residual unspent funds for the Shared Print Collections should be carried forward, unless the project guidelines indicate they should be returned to the original funding source.

7. Orders for shared print material should be submitted before May 1 (domestic) and April 1 (foreign) to ensure receipt or cancellation prior to the end of fiscal year on June 30.

8. Orders placed for shared print materials should remain open for a minimum of 18 months providing status reports have been received from the vendor in response to a minimum of three claims. The campus library may choose to re-vend the order after a shorter period.

9. Unfulfilled orders are reported in an aggregated list with a status of unfilled after 18 months and three claims.

**C. TRACKING PROCESSING COSTS**1. If the materials are cataloged and/or physically processed by the vendor or another third party (e.g. OCLC, MARCNow) the processing costs should be tracked and reported separately from the cost of the materials. The breakdown should include the cataloging costs plus the costs of the materials used in processing (spine labels, bar codes, security devices), and the labor costs associated with doing the physical processing.

2. If PromptCat subscription costs are absorbed by an OCLC Subscription, the cost per item is calculated based on the published PromptCat pricing, even though that cost is included in the OCLC Subscription.

3. If the library supplies the vendor with bar codes, security strips, or other materials to be used in processing, estimate the costs for these materials used in support of shared print activities.

**D. PHYSICAL PROCESSING/LOAN RULE CONFIGURATIONS**1. Shared Print monographs require a special property stamp: "UCL Shared Print". The property stamp is applied consistent with campus practice for property stamping. Shared Print monographs may be physically integrated in a local library collection.

2. The circulation rules for Shared Print materials are governed by the Common Access Policy for Shared Print Monographs. If special loan rules are indicated in that policy or subsequent amendments, special loan rules are applied in the circulation module of the campus ILS.

3. Shared Print monographs must have a library security device applied consistent with the campus library practice.

**E. PAYMENT AND FINANCIAL CONTROLS**1. Invoices for materials received through the Shared Print Program are paid through existing campus financial systems, subject to campus audit requirements, and using existing campus payment programs consistent with policies and practices in place at the campus library.

2. If funds are pooled, such funds will be deposited at the managing campus via Intercampus Transfer of Funds. The frequency of transfers is arranged between CDL and the managing campus. The managing library pays invoices against the pooled account.

3. If funds are pooled, such funds should only come from the following fund sources (19900A General Funds, Opportunity, Education, Grants and Contracts) and not from endowment funds. Campuses may elect to "swap" endowment funds for state funds to use in Shared Print purchases. The Shared Print Program cannot assume responsibility that endowment funds are spent according to the restrictions of the fund or provide title reports to fund managers or trustees.

4. Quarterly (in October, January, and March, July) the managing library will prepare a report for the Shared Monographs Coordinating Group and HOTS showing the Allocation/Expenditures/Liens and Free Balances in those accounts.

5. It is imperative that the funds be monitored by the managing library working with a vendor. In the event that pooled funds are being expended ahead of the target spend levels (30% by October 30, 60% by January 30, and 90% by May 30) - the managing campus will work with the Shared Print Manager to work with the vendor to achieve more precise spend targets. The managing campus cannot over spend Shared Print Funds.

6. In the event that there are pooled funds unexpended on July 1 - those funds should be retained in the accounts if campus accounting practices permit carry forward. However, those funds remain only available for Shared Print Purchases.

**F. REPORTING RESPONSIBILITIES FOR SHARED PRINT ACQUISITIONS**1. The managing campus is responsible for preparing reports, coordinating with other managing campuses to prepare aggregate systemwide reports and coordinating with vendors to request reports. (See B3 above)

2. Each managing campus and/or vendor will use standard report templates designed for Shared Print to ensure consistency in systemwide reporting. These will include, at a minimum, reports for End of Year, statistics (UCOP, ARL, CEAL, AAHSL), materials and technical service costs including human resource costs, usage and special duplication analysis reports for assessment purposes.

3. The Shared Monographs Coordinating Group may request additional reports, which the managing campus/campuses will prepare in a reasonable timeframe.

4. At the end of each fiscal year, the Managing campus will supply a report to the Shared Print Manager. The reports will be stored at a central web site or wiki and will include the following elements included and stored in a format that permits extraction by each element:

Author fields, Title field, Edition, Imprint, Publisher/Publication Year. Format. ISBN,

LC Classification, NLM Classification (if available) LCSH, MESH (if available)

Number of Copies, Net Cost, Vendor

The reports will be retained indefinitely to permit time series analysis.

5. In addition to reports regarding acquisitions, the managing campus is responsible for working with campus library and RLF staff to prepare usage statistics reports for materials received through the shared print program.

**G. CAMPUS RESPONSIBILITIES FOR WORKING WITH THE VENDOR**

1. When a campus agrees to take on a shared print activity on behalf of other libraries, it also agrees to take on the role of working directly with the vendor to set up the program, monitor it, resolve discrepancies, and carry out any financial activities associated with it.

2. The campus library will work with the vendor to set up parameters for the program (approval plan profile, subscription agreements, etc.) and communicate the service expectations.

3. The campus library will work to resolve differences that arise with the vendor over service or pricing.

4. Campuses are responsible for ensuring that appropriate sales/use tax is applied by the vendor and must be able to meet the audit standards of the University of California with regard to verification of receipt, appropriate payment documentation, and retention of records.

5. The campus library will evaluate the service provided by the vendor and report regularly to the Shared Monographs Coordinating Group and HOTS.

6. Important communications and major service negotiations with a vendor will include the managing campus, Shared Monographs Coordinating Group and Shared Print Manager.

**H. GENERAL VENDOR PERFORMANCE STANDARDS**

1. A formal agreement between the libraries and a vendor should normally be set up that outlines the following:

a. What is being supplied (subject, geographic, non-subject, and publisher parameters)
b. On what basis publications are supplied (e.g. subscription, standing order, etc.)
c. Pricing model (list, Deep Discounted Pricing, etc.)
d. Applicable discounts
e. Shipping and handling charges
f. Ship to and Bill to information
g. Campus library contact
h. Shared Monographs Coordinating Group contact
i. Vendor contact information

2. Materials should be invoiced within 30 days of shipment.

3. Invoices should contain title/standard number/price/quantity for each item.

4. Electronic invoicing in EDIFACT format is preferred. Paper invoices must still be supplied for purposes of archiving at the managing campus.

5. Invoices should break out shipping and handling costs and sales/use tax separately in the invoice total.

6. If shelf-ready services are included, they should be described explicitly. During the profiling with a shelf-ready vendor, the managing campus will specify the acceptable source and level of cataloging, a detailed breakdown of the physical processing that will be applied to each volume, with the unit cost for each activity. In addition, the specifications for the standard of binding and the unit cost applied to each one should be indicated. Specify any exceptions to shelf-ready processing (e.g. books with accompanying CDs, etc.)

**I. QUALITY ASSURANCE**

1. Quality assurance on the vendor-supplied cataloging and processing are the responsibility of the receiving library.

2. Though authority work is not required for shared print monographs, the managing campus will need to publicly disclose whether they are (or are not) handling authority work. Name and subject authority records are encouraged. It is assumed the managing campus staff will manage the process of sending and/or receiving records with a vendor, if outsourced (e.g. Backstage Library Works) and reporting those costs along with the other processing costs.

**J. OCLC HOLDINGS**

1. The receiving library is responsible for seeing that holdings are set according to the Bibliographic Service Standards. The receiving library may choose to set the holdings or ask OCLC to set the holdings upon shipment of shelf-ready material.

**K. PRIORITIZATION OF EFFORT AND STANDARDS FOR DISCLOSURE IN UNION CATALOG**

1. Because other libraries depend upon the shared print collections when making purchasing decisions, acquisition effort for Shared Print monographs takes priority over efforts for all other campus monograph collections.

2. Shared Print monographs in area studies area studies must be cataloged and disclosed in union catalogs within three (3) months of receipt.

3. Shared Print monographs supplied by a primary monograph vendor must be cataloged and disclosed in union catalogs within one month of receipt.

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