

AN ABSTRACT OF THE THESIS OF

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Title: THE DEVELOPMENT OF OCLC IN THREE NEW MEXICO ACADEMIC LIBRARIES

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In 1974 Joe A. Hewitt conducted a study of the development of on-line cataloging in the charter member libraries of the Ohio College Library Center. This study of the development of OCLC in New Mexico utilizes Hewitt's Interview and Evaluation Schedules. Three libraries awarding degrees through the Masters' level have been selected for the purpose of inquiring into the following:

- a. Was the impact on the three New Mexico libraries the same or similar to the impact found by Hewitt in Ohio and why?
- b. Does this verify or deny Hewitt's conclusions and projections about a bibliographic utility as an agent for change?
- c. Will a more intensive use of the utility yield extended patron services as an equal or lower cost or only serve to lower the rate of rise in cost of patron services?

Although there was not sufficient data for statistical testing, insights were gained into the above questions. The findings indicated that although the impact was great, it could have been even more so with an extensive acceptance of the on-line records. Hewitt's conclusions and projections concerning OCLC as an agent for change were verified. There had been an increase in patron services, although at a higher cost,

but automated procedures could help to lower the rate of rise in cost of services in the future.

The resource sharing, originally mandated by legislative guidelines, had not been developed as one would have hoped; but the New Mexico Legislature was sufficiently pleased with the success of the program in the state's academic libraries, that in 1980 it authorized the State Library to plan and institute an intra-state network, including public libraries, using OCLC to facilitate legislative intent.

Five years after Hewitt's study was completed, we did not find significant differences between the conclusions and projections in Ohio and those in New Mexico.

THE DEVELOPMENT OF OCLC IN THREE
NEW MEXICO ACADEMIC LIBRARIES

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the School of Library Science
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In Partial Fulfillment
of the Requirements for the Degree
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by
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DATA PROCESSING

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CHAPTER I

INTRODUCTION

The introduction of a bibliographic utility into the operations of libraries creates an impetus for change that can be documented, an impact that can be evaluated, and a projection for future growth that can be defined in terms of expanded patron services. The introduction of OCLC, Inc., a bibliographic utility, to New Mexico, and more specifically to the academic libraries at New Mexico Highlands University, Eastern New Mexico University, and Western New Mexico University, will be traced and documented, showing the changes created and the resulting impact on library services in these three institutions. The evaluation will entail the use of an interview schedule and general evaluation schedule developed by Joe A. Hewitt for his study of 47 charter members* of OCLC, Inc.¹

Hewitt's data collection began in May and ended in September, 1974.² The libraries' experience in his study indicated a minimum of 3 years in the online cataloging system.³

¹ Joe A. Hewitt, The Impact of On-Line Cataloging on the Operation of Academic Libraries: A Study of the Charter Members of the Ohio College Library Center (Ann Arbor, MI: Xerox University Films, 1976), pp. 329-351.

² Hewitt, op. cit., p. 70.

³ Ibid., p. 63.

*These were members of what is now OHIONET, a group of Ohio academic libraries forming the nucleus of the original Ohio College Library Center, now officially OCLC, Inc.

The interviews for this study were conducted in October, 1980 and showed that ENMU had 6 years of experience in online cataloging, NMHU with 2.75 years, and WNMU, 2.25 years. Although Hewitt's criteria called for 3 years' experience for his sample in 1974,⁴ the author felt that the lack of 3 months in the case of NMHU and 9 months in the case of WNMU regarding this criteria, was more than amply made up for with 6 years' networking experience in the AMIGOS Network for New Mexico⁵ and more than 8 years outside the state to fall back on for assistance. The author would also remind the reader that Hewitt's sample was taken from the charter members of OCLC -- as a pioneering group, there was no one who had gone before. Within this range of experiences, we shall be able to compare the findings in New Mexico with Hewitt's in Ohio. The results of this comparison will be used, along with the appropriate statistical documentation, to define a projection of future growth of patron services within the state of New Mexico. To enable us to make a valid comparison, we have followed Hewitt's lead in using the ex post facto research design, that is, a study of circumstances after the fact.

So that the reader may better visualize the concept of the structure of a bibliographic utility, its purposes and goals, a brief history of the development of OCLC and its current status will be presented in Chapter II. Chapter III will cover the background of the funding

⁴Hewitt, op. cit., p. 63.

⁵Westat, Inc., IUC/OCLC Network Evaluation; Final Report; Submitted to the Interuniversity Council of the North Texas Area (Rockville, MD: Westat, Inc., 1975), p. 88.

and development of OCLC in New Mexico. A summary of Hewitt's evaluation of the charter members of OCLC and a discussion of the research design used will be covered in Chapter IV. Chapter V will discuss the application of the Interview Schedule and the General Evaluation Schedule to the experiences of the three libraries. Chapter VI will deal with conclusions concerning the impact of OCLC as well as projections for future expanded patron services in New Mexico libraries and suggestions for further study.

Among the questions to be considered are: (a) Was the impact on the three New Mexico academic libraries the same or similar to the impact found by Hewitt in Ohio and why? (b) Does this verify or deny Hewitt's conclusions and projections concerning a bibliographic utility as an agent for change? (c) Will a more intensive use of the utility yield extended patron services at an equal or lower cost, or will it simply serve to lower the rate of rise in cost of patron services?

Answers to these questions are important to today's libraries, most especially in states like New Mexico--geographically large, sparsely populated, with few resources and a poorly developed tax base--answers become vital. It is not the purpose of this paper to state unequivocally that New Mexico's plan for expanded services is best for every state whose libraries try to serve in equally restrictive environs, but rather to show how a powerful agent for change was used to solve modern problems in information management.

CHAPTER 11

CHALLENGE FOR CHANGE

In the early sixties, the Committee of Librarians of the Ohio College Association was concerned with rising library operating costs, the need for an effective union catalog to record the holdings of each library, the need to encourage resource sharing, and the desire to avoid the duplication of effort when many libraries catalog the same books.

With the above statement, Ann Allan begins her essay on the development of OCLC. These Ohio librarians, in expressing their concerns and needs, also expressed the concerns of librarians throughout the United States. What they could not have known was that they were conceiving a philosophy which would be born later as the Ohio College Library Center Network, roaring through adolescence to mature as OCLC, Inc., a national bibliographic utility, at age thirteen. Today OCLC maintains these expressed needs as its goals.

Frederick G. Kilgour was hired as the director of the infant Center, and his staff consisted of one secretary.² Allan states that "Without Kilgour and his extreme self-confidence, OCLC could not have survived; it never could have grown into the force it is in today's library world."³ Allan concurs with other librarians when she indicates that the greatest value of OCLC is that it eliminates the need for duplication of the work involved in cataloging.⁴ The system will

¹Ann Allan in OCLC: A National Library Network, eds., A.M. Allison and A. Allan (Short Hills, NJ: Enslow Publishers, 1979), p. 11.

²Allan, op. cit., p. 13.

³Ibid., p. 12.

⁴Ibid., p. 13.

produce cards on demand to the user's specifications, having them at the user library in about ten days and in filing order.⁵ This is a far cry from the days when those using the Library of Congress card service had to wait from six weeks to two years for catalog cards. When this happened, a temporary card with a temporary number was usually made so that processing could continue. Or, full sets of cards would have to be made from scratch or the books held in storage until the LC cards arrived.

The system also carries with each record a holdings location. The union catalog capability that this generates facilitates interlibrary loan. This same capacity also makes possible cooperative purchasing programs to prevent duplication of expensive items.⁶ The original plan of development was to have included serials control, circulation control, interlibrary loan, an acquisitions subsystem, and a subject search capacity. Of this group, now online are the interlibrary loan subsystem and the serials control subsystem (serials control is only partially up at this writing). Magnetic tapes are available for each user-member which are valuable for developing an online or a COM (computer-output microform) catalog, provided the retrospective conversion of the shelf-list is completed. These tapes are sent to subscribers by OCLC at specified intervals. Allan suggests that the reason that not all of the planned systems are operational is probably due to a decision which was made early in the Center's operation. That decision was to cross state

⁵Allan, op. cit., p. 13.

⁶Ibid.

lines to include the Pittsburgh Regional Library Center, which would allow for a single telephone rate structure rather than the multitude of intrastate structures. She speculated that this caused a horizontal, geographic growth rather than a vertical, technical growth.⁷ Kilgour encouraged this horizontal growth, and libraries began to join the system as quickly as the terminals* could be manufactured and installed.⁸ Allan echoes the feelings of most librarians when she says that for OCLC to really be of great value, the public user needs to be able to access records by subject and suggests that the bibliographic information format should be changed to correspond with the catalog cards that the patron is accustomed to using.⁹ She comments that in addition to other data bases, there are commercial organizations which are currently marketing the subsystems which OCLC has yet to implement; however, she feels that OCLC retains a leading position due to the size of the data base, its ability to lower costs of service, and its resource-sharing enhancements with the ILL (interlibrary loan) subsystem.¹⁰

The current status of OCLC demonstrates its profuse growth. In 1967-1968 its total assets were \$62,000.¹¹ In the OCLC, Inc. Annual Report 1978-1979, Kilgour indicates that the data base has forty-five million location listings for more than five million entries;¹² cards

⁷Allan, op. cit., p. 15

⁸ibid., p. 16.

⁹ibid., p. 17.

¹⁰ibid., p. 18

¹¹ibid., p. 13.

¹²OCLC, Inc., Annual Report 1978/1979 (Columbus, OH: OCLC, Inc., 1980), p. 3.

*Refers to a computer terminal using a cathode ray tube for data display connected to a keyboard for data input.

produced for that year numbered 101,601,268; serial issue input was 401,573; ILL averaged 1,500 transactions daily.¹³ With the above mentioned expansion and growth, OCLC's total assets as of June 30, 1979, were \$53,167,366.¹⁴ Today OCLC has user-members in all fifty states.

The future of OCLC appears to be equally bright. A new building is scheduled for completion in January, 1981, which will use heat recycled from the computers for normal heating requirements.¹⁵ Added with the implementation of the ILL subsystem was a new data base processor and related secondary storage which will enable the data base to expand its catalog records to more publications than have come into existence since the middle ages.¹⁶ This also allows OCLC to be able to use any type computer in parallel with its current system. The new network supervisor will allow OCLC to communicate with non-OCLC data bases, thus allowing an opening for circulation and acquisitions control, full serials control, and one kind of subject access through such data bases as the New York Times Information Bank, and ultimately, subject access by a patron of his library's holdings.¹⁷ The next five years should see a phenomenal growth equal in rank to the previous five.

¹³OCLC, op. cit., p. 4

¹⁴ibid., leaf number 18, p. 1 of balance sheet.

¹⁵ibid., p. 6

¹⁶ibid., p. 9

¹⁷ibid., p. 10.

CHAPTER III

NEW MEXICO AND OCLC

OCLC came to New Mexico under conditions that could be described as "desperate". During the late sixties, the quality of education began to be challenged in New Mexico, as it appeared to the populace that it had fallen below acceptable standards. During this time, there was rioting and unrest on the campuses of the colleges and universities of New Mexico and the nation. Prodded by the Vietnam War, the status quo became no longer acceptable. As a consequence, changes began to come about through pressure from constituent bodies. The educational world was one of the first areas to be touched in New Mexico. Better teaching demanded better teachers which demanded better teacher training in the institutions of higher learning. The state legislature realized these demands could not be fulfilled without the best possible library support. As a result, after study by a House Committee, the New Mexico Legislature developed and presented to the state a plan for a bond issue to support collection development in the academic libraries across the state.

On February 17, 1972, both houses of the state legislature approved House Bill #50, entitled "State Educational Institution Library Bond Act".¹ This was placed before the voters in the November, 1972 general

¹New Mexico, Laws of 1972, Chapter 13 (1972), pp. 100-111.

election.^{2*} The measure called for \$10 million to be distributed to the six major academic libraries, two special libraries, and ten branch/junior college libraries** of New Mexico in 1973, 1974, 1975, 1976, and 1977 at the rate of \$2 million per year.³ The disbursing agent was to be the New Mexico Board of Educational Finance, who would determine the formula for distribution as well as the guidelines to be followed.⁴ The act further stipulated that not only was the newest in high technology to be obtained with a part of the funds, but that interlibrary cooperation in determining specialities, avoiding unnecessary duplication, and facilitating the use of resources was to receive the highest priority in determining the use of the funds.⁵ It also provided that each institution would submit a five-year plan to the BEF for approval of projected expenditures.⁶ The act further defined library materials as:

---books, periodicals, documents, magnetic tapes, phonograph records, audio-visual materials, cataloging materials, and other printed and published materials which are suitable for inclusion in the library resources of institutions of higher education and which, with the exception of periodicals and newspapers with reasonable care and use, may be expected to last for more than one year. Such terms also include the necessary first binding of printed and published materials, but shall not include supplies.⁷

The BEF interpreted the wishes of the people when it stated in its

²Laws, op. cit., p. 109.

³p. 100.

⁴p. 102.

⁵p. 106.

⁶p. 106.

⁷p. 102.

*Citations 2-7 from same previously cited source.

**See Figure 8, page 18 for distribution by school.

guidelines the following:

Use of library materials is more important than the collection of materials. Each library shall make the holdings as accessible as possible to the students with the goal of increasing utilization...Interlibrary cooperation and coordination will be required ...institutional plans will be consistent with the following guidelines:...New Mexico Highlands University, Western New Mexico University, and Eastern New Mexico University will (build) collections to support a liberal arts and sciences undergraduate curriculum with support for teacher education through the master's level. With few exceptions, little used research material to support other graduate programs should not be purchased by these institutions.⁸

One of the requirements of the bond issue was that the recipient schools use modern technology to facilitate the utilization of the new materials by library patrons. In an evaluation of the OCLC experience of the AMIGOS Network, the research firm of Westat, Inc., made the following observation concerning this requirement:

...New Mexico libraries faced a unique situation of increased acquisitions without supplemental technical services staff. A recent bond issue doubled the book buying budget for a period of five years. Hence OCLC was looked to as a possible aid to limited staff. Moreover, New Mexico's interest in cooperative endeavors in the library area increased the appeal that OCLC represented.⁹

The plan developed by the BEF divided the academic libraries into groups according to the host institutions' educational objectives. They

⁸"Long Range Development Plan for Academic Libraries in New Mexico. (Guidelines)," (Santa Fe: State Board of Educational Finance, December 8, 1972), np. (Mimeographed).

⁹Westat, Inc., IUC/OCLC Network Evaluation; Final Report; Submitted to the Interuniversity Council of the North Texas Area (Rockville, MD: Westat, Inc., 1975), p. 88.

were grouped as follows:

1. Academic libraries at two-year institutions.
2. Academic libraries at four-year institutions.
3. Academic libraries at institutions supporting doctoral and post-doctoral programs.

For the purposes of this study of OCLC in New Mexico, academic libraries at four-year institutions were chosen because this group had characteristics in common with both the others and were given specific directives due to the inherent similarities and programs of the schools of that group.* In 1972 the smallest of the schools had 1,078 students enrolled; the mid-sized school had 2,423 students enrolled; and the largest had 3,586 students enrolled. All three had well-developed teacher education programs, and all provided support to the master's level.¹⁰ Western New Mexico University, the smallest, offered 9 majors at the master's level with 6 majors in Education, which produced 81% of the master's degrees that were granted by this institution in 1970 and 1971. New Mexico Highlands University offered 22 master's level majors with 10 majors in Education, producing 60% of the master's degrees awarded there. Eastern New Mexico University offered 26 master's level majors with 13 majors in Education, producing 45% of its master's degrees. According to the Clapp-Jordan¹¹ formula, WNMU had 75% adequacy

¹⁰ Long Range, op. cit., n.p. (Mimeographed).

¹¹ V.W. Clapp and R.T. Jordan, "Quantitative Criteria for Adequacy of Academic Library Collections," College and Research Libraries, 26: 371-380, September, 1965.

*The statistical data presented here and on the following page was developed by the Board of Educational Finance of Santa Fe, New Mexico, and is condensed here for the reader's convenience.

in its collection, NMHU had 58% adequacy, and ENMU had 74% adequacy. It was noted that all three schools should use the bond issue to upgrade the quality of their holdings, while increasing the quantity to as near the formula goals as possible. Figure 1 was developed to show these relationships.

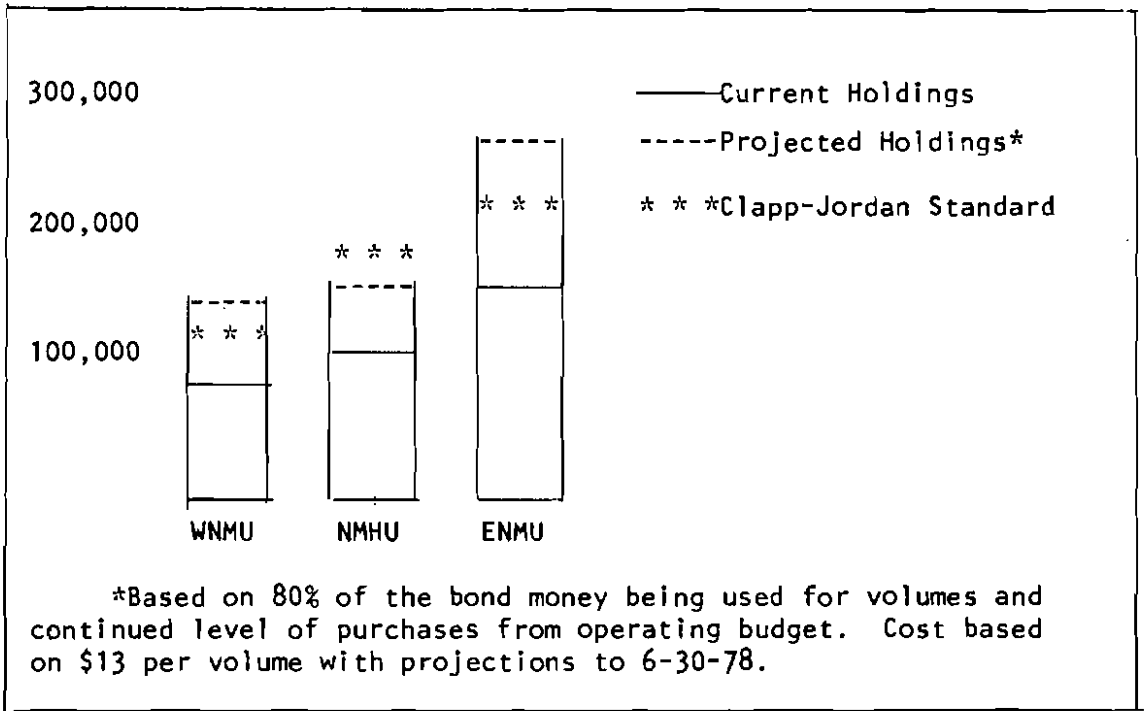


Figure 1¹²

It was on the basis of these projections that plans for capital outlay were to include OCLC, Inc., to assist in the development of the individual collections as required by law. The bond issue gave no assistance for additional technical services positions, indicating that the libraries were to develop the use of advanced technology instead.

¹²Long Range, op. cit., n.p. (Mimeographed).

In this area the guidelines follow the original acc's wording and do not further expand the explanation of spending requirements. The BEF recognized the shortcomings of the Clapp-Jordan formula as a sole basis for the distribution of monies.

The allocation plan of the BEF, adopted the month following the approval of the bond issue by the voters, makes the assumption that "...Institutional needs vary. The amount of library support needed increases with the level of the program offered, and programs involving more students require more library resources."¹³ Along with this assumption, the staff of the BEF felt that the production levels should also be taken into account. That is, the number of degrees granted on each level should also be taken into consideration.¹⁴ This was done due to the fact that the honors programs and independent studies were eliminated from the Clapp-Jordan formula construction because of the inherent difficulty of assessment of those areas in New Mexico. It was felt that the production level would better serve the needs of the students. As a result, two bases were developed for the allocations, of which 50% was based on the Clapp-Jordan formula and 50% on a modified formula ratio incorporating these new factors into a productivity formula.^{15*}

¹³"Plan for Allocating Funds Derived from the Sale of State Educational Institution Library Bonds," (Santa Fe: BEF, December 8, 1972) p. 1. (Mimeographed).

¹⁴Plan, op. cit., p. 7.

¹⁵p. 7.

*Citations 15-23 are from the same previously cited source.

Figures 2 and 3 summarize the adaptation of the Clapp-Jordan formula for the years 1973/1974 and 1974/1975 for the four-year institutions.^{16, 17} Figures 4 and 5 summarize the productivity formula for the same period of time.^{18, 19} Figures 6 and 7 summarize the allocations for the three institutions during that time.^{20, 21} Figure 8 summarizes the entire bond issue through those years showing the relationship of the four-year institutions to the balance of the academic libraries in the state.²²

The New Mexico adaptation of the Clapp-Jordan formula and the Productivity formula are stated as follows:

Clapp-Jordan Formula²³

$50,750 + 100(\text{FTE faculty}) + 12(\text{FTE students}) + 335(\text{number of Bachelor's programs}) + 3,050(\text{number of Master's programs}) + 24,500(\text{number of Doctoral Programs}).$

Productivity Formula²⁴

$(\text{Number of Bachelor's programs})(\text{number of degrees per program}) + 2(\text{number of Master's programs})(\text{number of degrees per program}) + 20(\text{number of Doctoral programs})(\text{number of degrees per program}).$

¹⁶Plan, op. cit., p. 8.

¹⁸p. 10.

²⁰p. 12.

²²p. 13.

²⁴p. 7.

¹⁷p. 9.

¹⁹p. 11.

²¹p. 12.

²³p. 7.

CLAPP-JORDAN FORMULA

Insti- tution	Base	FTE Faculty* x100	FTE Students* x 12	# Bchlr Programs x 335	# Mstrs Programs x 3,050	Clapp- Jordan Standard	Current Holdings	Deficiency % of Total Deficiency	Five-Year Projection**
NMHU	50,750	109	2,423 29,076	38 12,730	22 67,100	170,556	98,281	6.06 72,275	\$ 247,854
WNMU	50,750	62	1,078 12,936	23 7,705	9 27,450	105,041	79,001	2.18 26,040	\$ 89,162
ENMU	50,750	165	3,586 43,032	47 15,745	26 79,300	205,327	151,619	4.51 53,708	\$ 184,459

Figure 2, (Calculation for 1973/1974)²⁵

NMHU	50,750	111	2,119 24,428	38 12,730	22 67,100	167,108	98,281	5.78*** 68,827	\$ 236,402
WNMU	50,750	58.5	1,029 12,348	23 7,705	9 27,450	104,103	79,001	2.11*** 25,102	\$ 86,299
ENMU	50,750	176.5	3,484 41,808	47 15,745	26 79,300	205,253	151,619	4.50*** 53,634	\$ 184,050

Figure 3, (Calculation for 1974/1975)²⁶

* To be updated annually
 ** Based on current proportionate distribution of Faculty and Students. To be updated annually
 *** As of June 30, 1972.
 Note: Education Specialist programs are included with Master's programs.

²⁵Plan, op. cit., p. 8.

²⁶Ibid., p. 9.

PRODUCTIVITY FORMULA

<u>Institution</u>	<u>Bach. Degrees Granted* x 1</u>	<u>Mast. Degrees Granted* x 2</u>	<u>Total Weighted Degrees</u>	<u>% of Total</u>	<u>Five-Year Projection**</u>
NMHU	285	274	559	5.41	\$ 221,269
WNMU	193	130	329	3.13	\$ 128,017
ENMU	601	494	1,095	10.60	\$ 433,540

Figure 4, (Calculation for 1973/1974)²⁷

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NMHU	326	154	308	634	5.73	\$ 234,357
WNMU	191	74	148	339	3.06	\$ 125,154
ENMU	656	263	526	1,182	10.67	\$ 436,403

Figure 5, (Calculation for 1974/1975)²⁸

* Three-year average, to be updated annually.

** Based on current proportionate distribution of degrees granted, by level. To be updated annually.
Note: Education Specialist degrees are included with Master's Degrees.

²⁷ Plan, op. cit., p. 10.

²⁸ Ibid., p. 11.

FOUR YEAR INSTITUTIONS

<u>Institution</u>	<u>Five-Year Projection Clapp-Jordan*</u>	<u>Five-Year Projection Productivity*</u>	<u>Five-Year Projection Total*</u>	<u>First Year's Allocation</u>
NMHU	\$ 247,854	\$ 221,269	\$ 469,123	\$ 94,000
WNMU	\$ 89,162	\$ 128,017	\$ 217,179	\$ 43,000
ENMU	\$ 184,459	\$ 433,540	\$ 617,999	\$ 124,000

Figure 6, (Calculations for 1973/1974)²⁹

NMHU	\$ 236,402	\$ 234,357	\$ 470,759	\$ 94,000
WNMU	\$ 86,299	\$ 125,154	\$ 211,453	\$ 42,000
ENMU	\$ 184,050	\$ 436,403	\$ 620,453	\$ 124,000

Figure 7, Updated for 1974/1975³⁰

*To be updated annually.

²⁹Plan, op. cit., p. 12.

³⁰Ibid., p. 12.

SUMMARY

<u>Use or Institution</u>	<u>Original Projected Five-Year Allocation</u>	<u>First Year's (73-74) Allocation</u>	<u>First Year's (74-75) Actuals</u>	<u>Second Year's (74-75) Allocation</u>
Bond Sale Exp.	\$ 70,000	\$ 14,000	\$ 12,000	\$ 14,000
Capital Outlay	500,000	100,000	22,900	177,100
UNM	4,139,489	800,000	828,000	821,000
Law School	350,000	70,000	70,000	70,000
Medical School	350,000	70,000	70,000	70,000
Gallup Br.	50,000	10,000	10,000	10,000
Northern Br.	50,000	10,000	10,000	10,000
N.M. State U.	2,164,428	433,000	433,000	438,000
Alamogordo Br.	70,000	14,000	14,000	14,000
Carlsbad Br.	50,000	10,000	10,000	10,000
Grants Br.	50,000	10,000	10,000	10,000
San Juan Br.	80,000	16,000	16,000	16,000
NMHU*	469,123	94,000	94,000	94,000
WNMU*	217,179	43,000	43,000	42,000
ENMU*	617,999	124,000	124,000	124,000
Clovis Br.**	50,000	10,000	10,000	10,000
Roswell Br.**	50,000	10,000	10,000	10,000
New Mexico Tech	571,782	114,000	114,000	117,000
N.M. Military In.	50,000	10,000	10,000	10,000
N.M. Junior Coll.	50,000	10,000	10,000	10,000
Unallocated Balance				2,000
TOTAL	10,000,000	2,000,000	1,920,900	2,079,100

*These are the three schools this study is concerned with.

**These are two branches and totally independent, being two-year colleges.

Figure 8³¹

³¹Plan, op. cit., p. 13.

The charts are self-explanatory, but an analysis of Figure 8 shows that the three schools in our study were allocated 13.04% of the monies disbursed. The University of New Mexico was allocated 41.39% with 3.5% to each of its special libraries. New Mexico State University was allocated 21.64%, and New Mexico Institute of Mining and Technology (also called New Mexico Tech) was allowed 5.71%. The junior college and off-campus branch libraries were jointly allowed 5.5% of the total monies. The capital outlay was 5% of the total. Figure 9 indicates how the three four-year schools used their portion of this amount, with the dates the terminals were installed, the number of terminals and the locations in the libraries.

<u>School</u>	<u>Installation Date</u>	<u>Number</u>	<u>Location</u>
ENMU	Sept., 1974	2	Tech. Serv.
NMHU	March, 1978	2	Tech. Serv.
WNMU	August, 1978	2	Tech. Serv.

Figure 9

With the bond sale expense expected to be no more than .7%, there remained a total of .02% in unallocated funds. UNM and NMSU are the largest schools in the state and of course were designated to receive a very large amount; New Mexico Tech is a very small school, but all three of these institutions offer course work to the post-doctoral level. Consequently, the BEF guidelines did not include these three in the same context as ENMU, NMHU, and WNMU, but as separate entities.

CHAPTER IV

METHODS AND EVALUATIONS

Hewitt indicates that because of OCLC's constant evolution, any attempt at evaluation of impact must be defined in terms of tendencies and directions rather than conclusive outcomes, and the identification of patterns within these areas.^{1*} He stated that because the data were for the most part descriptive rather than inferential, that a statistical test was to be used "...whenever the possibilities of relationships between variables are to be explored, (with the) appropriate test of association ...applied."² Because we have followed Hewitt's ex post facto design and used his interview and evaluation schedules, the data we have collected are in the same nature as his data—nominal-dichotomous; therefore we shall use the test he used, that of Φ .³ "The standard deviation is reported whenever summary data is reported in the form of means without the display of individual library statistics."⁴ The author does not anticipate any deviation from Hewitt's plan. As a large number of the questions on the interview schedule are open-ended, the author has followed Hewitt's lead in taking care to frame the questions in the same context to everyone interviewed.⁵ These interviews

¹ Joe A. Hewitt, The Impact of On-Line Cataloging on the Operation of Academic Libraries: A Study of the Charter Members of the Ohio College Library Center (Ann Arbor, MI: Xerox University Films, 1976), p. 307.

² p. 75

³ p. 75

⁴ p. 75

⁵ p. 73

*Citations 2-20 are from the same previously cited source.

were personally conducted at each of the three libraries in question. Hewitt found that in his pre-testing of the schedules, the respondents would not mail the schedules back to him because they would not take the time to answer seventeen pages of inquiries^{*}; he did find that he got excellent responses when a phone call was placed for an appointment with the library administrator for an interview.⁶ The purpose of the visit was thoroughly explained at the time of the call, and the directors, when asked, cooperated fully.⁷ The author found the same spirit of open communication when calling the New Mexico libraries to schedule the interviews, as well as complete cooperation.

The most prominent effect found by Hewitt of OCLC on any operational area was the reduction of "lag-time" (lag-time refers to periods of waiting between Technical Services operations from the ordering of an item until it can be checked out, while under a manual or semi-automated system), and the least prominent effect was in the peripheral areas of book selection and cooperative collection development.⁸ He found that the impact on local cataloging usages was very minor, but when small libraries were used as sources, the tendencies in ILL borrowing and lending patterns showed indications of far-reaching impact.⁹ Hewitt indicated that these things showed the impact was stronger in the direction of improvement of services rather than in the reduction

⁶ pp. 70-71.

⁸ p. 308.

⁷ pp. 70-71.

⁹ pp. 309-310.

*See Appendix for full text of schedules.

of cost of services.¹⁰ The decrease in time required for cataloging monographs and producing the required catalog cards was found to be considerable, causing the effect on service to be greater than on staffing levels or the costs of the corresponding activity.¹¹

Under-utilization of the network produced a substantial reduction in the scope of the impact on member libraries. Lag-time reductions for Technical Services' operations as well as filling ILL requests were significant when all monographs were searched in the data base.¹² Hewitt found that those libraries which did not use OCLC extensively in these areas, or placed limits on the categories to be searched, reduced lag-time in only 9% of the cases as opposed to 83% with full utilization.¹³ His data showed further that "...a severe limitation on the shared cataloging potential of the network..."¹⁴ was brought about by restrictions on terminal operators, such as refusal to accept cataloging copy input by other member libraries. Hewitt indicates that this might well have been justified by the quality of the records at that time.¹⁵ Concerning the scope of the general impact of online cataloging on the operations of the charter members, he indicated that this must be characterized as confined principally to cataloging in the direction of "turn-around" times (refers to how long it takes to get a book on the shelf once received) rather than in a reduction of oper-

¹⁰ pp. 309-310.

¹² pp. 310-311.

¹⁴ p. 311.

¹¹ pp. 309-310.

¹³ pp. 310-311.

¹⁵ p. 311.

ating costs.¹⁶ There were further strong indications that the under-utilization of the utility's capabilities was the principal cause of generally weaker effects on the peripheral, non-cataloging activities.¹⁷ Exploratory information did indicate that there was a favorable effect on the patterns of ILL borrowing and on staff working conditions.¹⁸

The author found most interesting Hewitt's "Projection of Effects."¹⁹ Emphasizing that there are many pre-existing local conditions such as staffing prior to network participation, backlogs, lag-times previously experienced, and the classification system used, which have a great deal to do with predicting the impact of a network, he lists the following general conditions to be expected:

(1) Most libraries can expect with some certainty that the use of online cataloging will reduce the delay-time in cataloging. The effect will result principally from the reduction in the time required to produce catalog cards.

(2) Libraries which fully utilize the data base for verification of monographic orders can expect with some certainty that the time required for pre-order verification will be reduced.

(3) The effects of the network on staff required to man catalog and acquisitions functions cannot be predicted with any certainty without knowledge of specific local conditions...Assuming an adequate level of staff in Technical Services prior to utilization of the online cataloging system, the following probabilities will appear reasonable: (a) the expectation that some staff reductions will be possible is somewhat greater than 50%; (b) the probability that staff reductions will be sufficient to make up for the fees and charges paid to the network is considerably lower than 50%; (c) the probability that the use of the network will serve "to decrease the rate of rise of

¹⁶ p. 311.

¹⁸ p. 311.

¹⁷ p. 311.

¹⁹ p. 311.

unit cost" is in the range of 50% or lower.

(4) Significant internal effects on the operation of ILL should not be expected.

(5) Utilization of online cataloging does not of necessity lead to abandonment of local cataloging usages or reorganization of the structure of Technical Services, although such changes may be found advisable in some libraries.²⁰

In relating Hewitt's study to the conditions found in New Mexico academic libraries, one must ask: Do These effects and conditions hold true for New Mexico?

²⁰pp. 312-314.

CHAPTER V

NEW MEXICO: EVALUATION AND CONCLUSIONS

The three libraries, although having the same defined educational objectives, had varied operating budgets in 1979-1980. The largest was at ENMU with approximately \$1.4 million total amount; NMHU had \$445,377; and WNMU's budget totaled \$285,000. The disparity is not as wide as one would assume. ENMU had budgeted some capital improvements. Their materials' budgets reflect a closer relationship, as well as their monetary position as regards the bond issue monies. ENMU had \$266,625 with the notation that they had completed (or nearly so) their portion of this extra funding. NMHU showed \$320,426 with the notation that they still had some committed funding left. WNMU's materials budget for 1979-1980 was \$68,400, indicating that they did not have very much of the bond issue money left.

The staff positions in each system and its related Technical Services area are shown below in Figure 10.

	<u>Library System</u>			<u>Technical Services</u>		
	<u>ENMU</u>	<u>NMHU</u>	<u>WNMU</u>	<u>ENMU</u>	<u>NMHU</u>	<u>WNMU</u>
Professional	9	6	3	4	1	1
Paraprofessional	1	2	0	1	1	0
Clerical*	14	8	10	7	2	4
Student (hourly)	<u>24**</u>	<u>31</u>	<u>32</u>	<u>24</u>	<u>15</u>	<u>6</u>
Total	48	47	45	36	19	11

*Clerical includes Library Technicians where applicable.

**The total student figure was not available at the time of the interview.

Figure 10

Terminal Installation and Management.

Part II of the schedule deals with terminal installation and management. All three of the schools have two terminals each, with ENMU having both in the cataloging area, but available to ILL and serials departments and NMHU and WNMU with terminals in the Technical Services areas, with the same type of availability. Each primary area has the responsibility of scheduling, management and maintenance, with access being scheduled by function in all three libraries. Figure 11 shows the utilization of the terminals by function for each school. The reader should know that availability is described as the amount of time daily per week that OCLC may accept transactions. In New Mexico, this is from 8 a.m. to 8 p.m., mountain time, Monday through Saturday, a total of 72 hours. With two terminals in simultaneous operation, then the time of availability would be increased incrementally to 144 hours per week.

FUNCTION:	ENMU		NMHU		WNMU	
	HOURS /WEEK	NO./ D.T.*	HOURS /WEEK	NO./ D.T.	HOURS /WEEK	NO./ D.T.
Biblio. Verif.	5	1	5	1	2½	1
Copy Cataloging	49	1	40	2	20	2
Orig. Cataloging	10	1	5	1	2½	1
Interlibrary Loan	8	1	20	1	15	1
Other	24**	1	0	0	2***	1
Total Hours	96		70		42	

*Dedicated Terminals.

**Includes all miscellaneous activities such as retrospective conversion of the shelf list.

***This is for use by reference librarian.

Figure 11

This indicates that ENMU utilizes 66.6% of the data base time availability, NMHU uses 48.6%, and WNMU, 29%. It should be noted that due to budget restraints, NMHU and WNMU do not have the staff to increase terminal time. WNMU staff indicated that one terminal was completely shut down for a minimum of two hours daily for this very reason.

All three schools indicated that the terminals were reliable pieces of equipment. The remarks ranged from "Like Maytag!" to "For the most part," indicating satisfaction with the quality.

The level of personnel operating the terminal in all three libraries ranged from Library Technicians to clerks to students in all phases. The only exceptions were for original cataloging. In the case of ENMU, tag sheets were used by professionals, and input, by students, was supervised. In the case of NMHU, a paraprofessional checked all O90 copy (input by any institution other than Library of Congress or OCLC) before input, and a professional did all of the original cataloging input.

No problems were reported concerning the adaptation of the staffs of the individual libraries to terminal use. It was indicated that most would ask for additional training when unsure of procedures. It was noted that the AMIGOS training sessions were excellent.

Unfortunately, none of the libraries had in-house cost evaluations, or other reports related to OCLC usage in Technical Services.

Part III of the interview schedule covers the utilization of OCLC and is divided into parts. Part A is concerned with pre-order bibliographic verification. Part B pertains to cataloging and card production.

Utilization of OCLC: Pre-Order Bibliographic Verification

All three libraries indicated that the data base was used for pre-order bibliographic verification. WNMU stated that it specifically looked for the location of items that would be over \$50 in cost. Not all titles are searched in the data base, however. ENMU indicated that their procedure called for searching first the card catalog and the outstanding order file. NMHU indicated that Books in Print (New York: Bowker, 1980) was checked first, then if the item was not found, OCLC was checked. WNMU indicated that their procedure calls for checking all the standard tools first, then going to the data base if the title is not found.

When asked to place in procedural order the card catalog, on-order file, and OCLC, when doing pre-order searching, all three libraries designated the stated order. ENMU indicated that the procedure was working well for them as it had cut down on duplicate orders. WNMU indicated that they are presently working on a retrospective conversion, and when that is completed, they will go to OCLC first, instead of last in the pre-order search procedure. Insofar as verification rate was concerned, ENMU indicated a 97% success rate; NMHU indicated that as their procedures at that point in time required them to look for price, the data base was not very effective; WNMU indicated an 80% verification rate. Turnaround time was not good for ENMU due to data base inadequacy. The same reason was cited for NMHU in relation to the above mentioned lack of pricing information. WNMU indicated a definite reduction in turnaround time. The extent of the reduction

was reported as 1.5 days per week, and the student who was searching was released for other tasks.

ENMU indicated that because of OCLC, it had dropped its subscription to American Book Publishing Record (BPR), and ENMU indicated that it had dropped its subscription to the National Union Catalog (NUC), book form. NMHU had dropped none of its subscriptions. When queried as to why the libraries kept the bibliographic services, ENMU cited data base inadequacy, needed historical record, and pricing difficulties. NMHU also cited pricing difficulties. WNMU said that in the case of NUC, it had retained the MARC fiche as a back-up.

When asked to assess the efficiency of the on-line system for pre-order verification as regards access and search logic, all three answered, "Good" and commented on the help the new enhancements have been. The data base in general was assessed as, "getting better". When asked if it represented an improvement over previous procedure, ENMU and WNMU answered positively, but NMHU was negative.

In asking what changes they would recommend for improving support for bibliographic verification in the library, ENMU suggested that a quicker updating of the data base would be helpful. NMHU said that complete acquisition information should be mandatory. WNMU suggested that some way to access basic rules on-line would be helpful. All three indicated that the number of orders searched increased through the bond issue, but was now back to normal levels.

Utilization of OCLC: Cataloging and Card Production.

In inquiring into this area of utilization, it was established that

both major classification systems are used. ENMU uses the LC system on the major portion of its collection, while using the Dewey on its juvenile collection only. The reason for this is that the public school libraries for which it trains teacher-librarians use the Dewey Abridged system, and this facilitates the learning of selection for both the classroom and the library. WNMU uses the LC system exclusively, and NMHU uses the Dewey exclusively.

All three libraries search the data base for copy on all Roman-title alphabets. The steps in using the terminal vary with local procedures, however. ENMU uses the LC card number in its first step, then in order, ISBN number (International Standard Book Number, issued by publishers upon publication of a book), author/title, title, (music) author/title. They indicated that after the OCLC conversion to AACR II (Anglo-American Cataloging Rules, Second Edition), all searching will commence with title. NMHU searched first the LC card number, if available, then title, author/title, and author, in that order. ENMU first separates out all Cataloging in Publication (CIP), and then moves on to the NUC MARC fiche for LC card numbers before going to the terminal.

The name authority files are checked by ENMU at the beginning; NMHU checks after the initial search; and WNMU doesn't have an on-site file, so it uses the data base as its authority. As regards the tracing of series, ENMU and NMHU do not trace series publications. WNMU checks their shelf list and card catalog before card production. All three libraries accept the subject authority of the data base.

Only ENMU operates on an approval plan for book selection, and

notes that after the selection or rejection of a title, there is no special treatment of a book.

If copy is not found on the initial search, ENMU re-search's at three-month intervals, NMHU at one-to two-week intervals and WNMU two- to three-month intervals on non-CIP and two weeks on CIP. Original cataloging is done by ENMU after three to six months and two searches, by NMHU after one month with four searches, and WNMU has an indefinite period using whatever number of searches needed. First time search success rate for ENMU was given as 85-90%, NMHU as 95.5%, and WNMU as 85%. ENMU indicated that 50% of the remaining titles were found in a second search, WNMU indicated that 15% of the remaining titles were found on subsequent searches. NMHU did not have any figures on their related success rate.

All three libraries indicated that four to five titles could be cataloged per hour when copy was available. No systematic changes in the copy were made by either ENMU or WNMU. NMHU, due to the fact that it is on the Dewey system, made changes only to add the Dewey Decimal Number and the Cutter Number and only occasionally made changes in the descriptive cataloging. With ENMU and NMHU, the policy on acceptance of LC copy has remained unchanged since going on-line, but WNMU indicated that they do check LC copy from other sources to be sure the card catalog is consistent with the data base.

ENMU and NMHU indicated that there was no change in the final cataloging product to accommodate the OCLC system, but WNMU did indicate that before going on-line, the subject headings on the LC card were

underlined rather than being typed at the top of the card. After going on-line, they have used the standard OCLC output.

None of the three indicated that they accepted OCLC member input copy "as is". ENMU's policy calls for closer checking; NMHU checks to be sure that the copy is applicable to library policies and patron needs; WNMU requires that copy meet the standards of their library to be accepted. As regards LC source copy, NMHU and WNMU indicated acceptance, and ENMU did check the music call numbers. On original input, the above mentioned standards are met. ENMU did indicate that any copy was accepted as long as there was no blatant error.

All three libraries indicated that flexibility in editing copy was a consideration in the decision to go on-line, but that upper level administration made the final decision. WNMU did indicate that the ability to access other collections through the union catalog capacity of OCLC was a part of their recommendation.

The procedure for receiving cards from OCLC did not vary significantly from library to library. Any needed revision takes place after proofing and before filing, with accession numbers being added to shelf list cards before filing. All three libraries indicated that OCLC mailing procedures caused no problems, that no problems evolved due to the cards being received in filing order, and that none preferred to receive the cards in set order.

Regarding the inputting of local cataloging, each library uses a work-form. ENMU uses a paper "tag-sheet" (a form developed to match the requirements of the data base) and NMHU and WNMU use the basic on-

line work-form. Because of the paper tag-sheet, ENMU can use students for inputting local cataloging. NMHU uses a professional only, and WNMU uses a clerk, but noted that she has six years' experience and is considered to be as effective as a professional. All three libraries indicated that the procedure was revised when necessary. ENMU noted that it gave the professionals time to double check the input and give additional training if necessary. NMHU indicated that it was done when needed, but that this was not often. WNMU indicated that there was a revision only when the clerk felt unsure about the data. General observations indicated that each library's procedures worked for it. WNMU added that it wants other libraries to input on a fuller standard. All indicated that a trained operator, under the procedures used, could input approximately four original records an hour on an average.

When questioned about a reduction in turnaround time for cataloging and card production, all indicated that a reduction had been accomplished. The extent of the reduction for ENMU was from five days to one day, plus OCLC mail time. NMHU, using the LC cards, waited from six weeks to six months for cards, previously. With OCLC, the time has been reduced to ten working days including mail time. WNMU stated their reduction had been to a minimum of five working days if no difficulties arose (eg., down-time or mail problems).

By way of comparison, the card production system used before OCLC for ENMU was a XEROX reproduction; for NMHU, LC cards and jobber furnished; for WNMU, all three systems were in use. Only ENMU retained a parallel card collection items that it did not want on the data base.

All three libraries were asked to assess the efficiency of the on-line system as regards access system and search logic, and the data base for the purposes of cataloging and card production. ENMU commented that both were excellent. NMHU commented that both were good, but that slow response-time and down-time problems were bothersome. WNMU stated that although their needs were satisfactorily met, the data base needed higher input standards and additional foreign language materials. When asked if OCLC represented an improvement over previous procedure, all three were emphatically positive.

The libraries were also asked to rate the quality of the cards received from OCLC on a scale of one to five, with one representing "poor" and five representing "good". ENMU and WNMU rated the quality at a four, citing occasional "garbage" printouts. NMHU rated the quality at a five.

When inquiry was made as to an increase or decrease in the number of books cataloged since the installation of the terminals, all three libraries stated that with the bond issue money, the cataloging increased until the funding was completed and the backlogs cleared. Since that time, however, the level has stabilized.

Upon being asked to recommend changes to improve OCLC's cataloging support, ENMU specified better quality control, elimination of duplicate records, and standardized audio-visual input requirements. NMHU had no comment. WNMU felt that an error message when the call number spacing was inaccurate would be advantageous.

Some of the miscellaneous uses of the system at ENMU included

acquisitions, authority files, interlibrary loan, and serials control information. NMHU included in its list pre-order verification, interlibrary loan, informational searches on subjects covered by a specific book, and authority file searches. WNMU reference librarians use the system to verify or obtain peripheral information, and for a "backward" subject search as well as interlibrary loan.

Impact of OCLC Utilization: Staffing.

A reduction in staffing was accomplished at ENMU and WNMU, but NMHU required an increase in help. The total of the reduction for the two schools was two positions each. Both were accomplished through attrition and transfer. At ENMU this was accomplished in two years, after the backlog was cleared, and at WNMU over a period of six months to one year. WNMU transferred one FTE clerk to circulation. Interdepartmental transfers for previously not done projects included the beginning of reclassing and authority file changes for ENMU; NMHU was able to provide staffing for its retro-conversion project, with one professional, one para-professional, one library technician, and two students; WNMU moved one person to inventory control.

Impact of OCLC Utilization: Organization.

The first time we asked about any reorganization as a result of OCLC, we were asked to define the context of the word. Consequently, we defined reorganization to all three schools as "Change in tasks and duties which have resulted in personnel changes and/or shifts." All three libraries indicated that changes had been made. ENMU reported that the types of duties assigned to the support staff have changed.

Acquisitions has one professional (who is also head of Technical Services), one clerk, one bookkeeper, and three students. Cataloging has two professionals, one paraprofessional (who has an MLS), three clerks, and fifteen students. The serials area has added six student assistants. It was noted that the support staff does all the cataloging now. NMHU has added a paraprofessional (with a BA in Library Science), and upgraded a clerk to Library Technician in the cataloging area. A clerk in the Acquisitions section has been upgraded to Library Technician, as well. A professional has been added to the serials and periodicals area. WNMU indicated that when additional student help came available for circulation, a full-time clerk was moved to the Technical Services area to fill at half-time each, two positions where people had resigned.

ENMU and NMHU noted that there had been some apprehension about the system when it was first installed, but related that with additional training and use, this has been eliminated. The three libraries report that staff acceptance is now fine.

The professionals and non-professionals were asked what they felt had been the major effect on working procedures and conditions. At ENMU the professionals reported that their duties now entailed more decision-making, and the non-professionals indicated that they were doing a higher level of work which increased job satisfaction. At NMHU both the professionals and the non-professionals cited greater production, higher morale and job satisfaction. At WNMU the professionals were pleased with the enhanced ability to catalog according to national standards as well as a higher awareness of rule changes. The non-pro-

professionals felt that the work was easier and more enjoyable.

Commenting on the principal long-term effect of OCLC on the organization of the Technical Services areas, ENMU librarians believe that there will be less original cataloging, depending on the addition of other enhancements. NMHU felt that there would be a continual increase in the work output, constrained only by budgetary considerations. They looked for complete automation in the near future for libraries. WNMU felt that there would be a continued easing of cataloging problems, and looked toward a microform or on-line cataloging.

Interlibrary Loan.

In looking into the utilization of OCLC for interlibrary loan, the libraries were asked if the data base was used to verify requests for ILL. NMHU and WNMU replied affirmatively, and ENMU gave a qualified yes. ENMU uses what is available in their own resources first, then the data base. The explanation was that the ILL department has so few hours per week that a terminal is dedicated to its use, it must save the terminal time for those things which it cannot locate locally or require rapid service. When asked if all monographic ILL requests were searched on the terminal, again the same answer resulted, with ENMU explaining that their verification procedures call for the reference area to verify the request, insert a possible source, with ILL then taking the request to the terminal or putting it in the mail as the time element dictates.

When asked at what point in the verification procedure did each go to the terminal, ENMU replied they went first, if a terminal was avail-

able. NMHU indicated that the terminal was first in their procedure, and WNMU indicated that the terminal was the last point in their verification procedure. The level of personnel handling the verification in all three libraries was clerical, with the exception of WNMU where a professional occasionally searched a request.

All the libraries reported that the level of lending and borrowing had increased, especially in the region/state. Consequently, they reported that the level of ILL transactions had risen accordingly. ENMU reported that there was now some easing off in the increase, however. The increase in the ILL transactions was attributed to OCLC. WMNU noted access had helped to increase curriculum-based requests from their faculty. All noted as well that the reduction in time has been phenomenal. This had dropped from six weeks using the mail for requests and verification to about five days using OCLC. There has not been a decrease in the ILL staff in any of the libraries.

ENMU believes that the principal long-range impact of OCLC on ILL will be expanded efficiency, NMHU cites more participation, and WNMU believes that ILL will get bigger and better, and will level out the lending and borrowing for more equal sharing by all libraries. Figure 12 shows the level of activity for each library during 1979-1980.

Collection Development.

At the present time, NMHU is the only school of the three that has any kind of coordinated acquisitions program with other OCLC libraries in New Mexico. This is used for very expensive items and was developed as a result of being able to check for location through the system's

Comparisons of the Borrowing and Lending

Statistics Among the Three Schools

School/ Transaction	Annual Transactions	Monthly Mean	Annual Completed Transactions	Monthly Mean	Annual Incomplete	% Annual Incomplete	% Monthly Incomplete
<u>ENMU:</u>							
Borrow	2,756	299.7	2,230	186	526	19 %	14 %
Lend	2,190	182.5	1,521	126.8	669	31 %	31 %
Total	4,946	412.2	3,751	312.6	1,195	23 %	24 %
<u>NMHU:</u>							
Borrow	1,323	110	1,146	95.5	177	13 %	15.5 %
Lend	579	48	192	16	393	68 %	69 %
Total	1,902	158.5	1,338	111.5	570	43 %	30 %
<u>WMMU:</u>							
Borrow	476	39.6	440	36.6	33	7 %	7 %
Lend	300	25	271	26.6	29	10 %	8 %
Total	776	64.7	711	59.3	62	8 %	.03%

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union catalog capacity. NMHU plans a more active role for this area, especially if OCLC develops an acquisitions capacity. WNMU noted that it would consider this route if it was cost-effective. The union catalog capability has begun to affect long-range planning in the two smaller libraries regarding collection development in particular areas. NMHU consults with other libraries when contemplating the purchase of very expensive items, and WNMU checks for "best sellers" as well as costly items. ENMU did state that although they have not formed such a policy, to all intents and purposes, it is in force.

When asked if each library was aware that their patrons use other libraries directly, the replies were in the affirmative. None of the libraries allow hands-on use of the terminals by their patrons.

Concerning the long-range impact of OCLC on collection development, ENMU indicated that their primary impact would be through a reduction of duplication, adding that there would be a greater impact later if the publication services attain access to the system. NMHU agreed as did WNMU, who added there would be a greater impact on pre-order searching within their own organization as well.

General Evaluation Schedule.

The General Evaluation Schedule was used with all persons in each library that were talked to about OCLC, regardless of personnel status. Its main purpose was to find out how the primary users of the system perceived its effectiveness in regard to each one's tasks as well as how each perceived OCLC's relationship to the individual library's objectives and goals.

There were a total of sixteen respondents to this schedule of six questions.

The first question asked, "What were the objectives of your library in joining OCLC?" Nine answered that the purpose was to speed up cataloging; four, to improve or enhance the quality of service; four, to go on-line with or to get rid of the catalog; and three to expedite services such as ILL. When asked to identify the one principal objective, seven named speed; two each, improve catalog operation, reduce cost, enhance resource sharing; and one each, to eliminate catalog errors, give better service, provide greater accessibility.

When asked if OCLC had met the principal objective, fourteen said yes; one said no; and one answered, yes and no. Asked to comment on the extent of meeting secondary objectives, those who answered yes to the above agreed that these had been met better than expected; the one who answered no indicated a need for better acquisitions information; and the one who answered yes and no indicated that the answer was more yes than no in that OCLC was improving.

When asked if OCLC had served to "reduce the rate of rise for the unit cost of library service" in their libraries, ten respondents gave a definite yes; four, yes and no; and two just simply did not know.

When we inquired if OCLC had served to improve library services, and in what ways, all responded positively with multiple reasons. Fifteen named an increase of service through ILL; twelve indicated a faster turnaround on books, cards; eight noted faster verification of serials, reference materials; five pointed out a greater use of the

library facilities by patrons; three indicated a greater accuracy in cataloging; and one said that OCLC brought staff morale up, thereby giving better service.

Each was asked what he/she felt would be the long-range impact of OCLC on the individual library, nine noted improved service; four, greater access for patrons; three, fewer staff and decreased costs; two looked to full automation for libraries; and one each commented that it would make the university better, bring better communications between libraries, and that terminals could be installed around the campus.

When asked to comment as to what factor each felt OCLC owed its success as a cooperative project, the respondents again gave multiple answers. Five each noted the sharing of input and the on-going research in cooperative projects as ILL. Three indicated innovation; two each, the fact that OCLC held a nation-wide view, and that librarians are the primary users. Three each noted communications, quality control, and training programs and outreach as reasons.

As the reader can readily ascertain, the overwhelming perception is that OCLC works, and better than that, it is going to work even better. Although some of the personnel are a little apprehensive as regards their job security, from professional to clerk, everyone remains enthusiastic to a relative degree concerning the future of OCLC in their libraries, regardless of what each might feel about the system now.

Conclusions.

From the beginning the author knew that there probably would not be enough of a sample to supply adequate statistical data to test in the

manner prescribed. She felt, however, that if the libraries concerned had kept records of the activities to be Inquired into, there might be enough for a simple analysis. As it turned out, we may only suggest trends in New Mexico's service from those data available and outline the idea which New Mexico has planned for the state's library system. These are sufficient to suggest topics for further study, however.

There was no deviation from Hewitt's plan of data collection. In relation to the questions which the author felt should be considered, the data supported the following:

a. Was the impact on the three New Mexico libraries the same or similar to the impact found by Hewitt in Ohio and why? The impact was virtually the same that Hewitt found. None of the people we talked to wanted to go back to a manual system. We also note that the impact could have been far greater with a more effective use of the data base, a greater trust in its validity regarding member input, with both these items bringing about a greater reduction of the duplication of cataloging tasks.

b. Does this verify or deny Hewitt's conclusions and projections concerning a bibliographic utility as an agent for change? Most assuredly the data verifies his conclusions and his projections. The impetus for change is there, and the libraries' hold on this promise will not likely be relinquished.

c. Will a more intensive use of the utility yield extended patron services at an equal or lower cost, or will it simply serve to lower the rate of rise in the cost of patron services? There is no doubt that the patrons are being better served by a reduction of lag-time and turnaround

time, but at a higher cost. In the long run a total use of automated procedures could be expected to lower the rate of rise in cost of patron services, if the libraries' incomes keep pace with the current rate of inflation.

It would be hoped that in the future the libraries will schedule tasks in a more efficient manner. With the new systems and equipment, perhaps OCLC will be able to edit sufficiently to enable confidence to be placed in the data base for any use of any copy available.

Only one of the libraries indicated that it was using OCLC in the area of cooperative book selection and collection development, although this was part of the original legislative intent in promoting the use of the system in these areas. Book selection, on a state-wide cooperative basis, will continue to show little progress until a greater use of the data base is experienced by all three of the libraries.

In July of 1979, the interlibrary loan subsystem became officially operative. Insofar as use in New Mexico is concerned, the graphs tell their own story. ENMU was the only school to provide us with statistics for both 1978-1979 and 1979-1980. Figures 13 and 14, comparing the borrowing and lending patterns for 1979-1980, show the ILL relationships of the three libraries during this time. When one looks at the graphs shown in Figures 15 and 16, depicting the dramatic increase in ILL at ENMU in the borrowing patterns, one sees a greater utilization of the data base regarding shared resources.

The success rate was sufficient to allow us to present New Mexico's plan for the future. The Legislature had confidence in the utility's ability to handle an extensive intra-state data base.

Interlibrary Borrowing Patterns

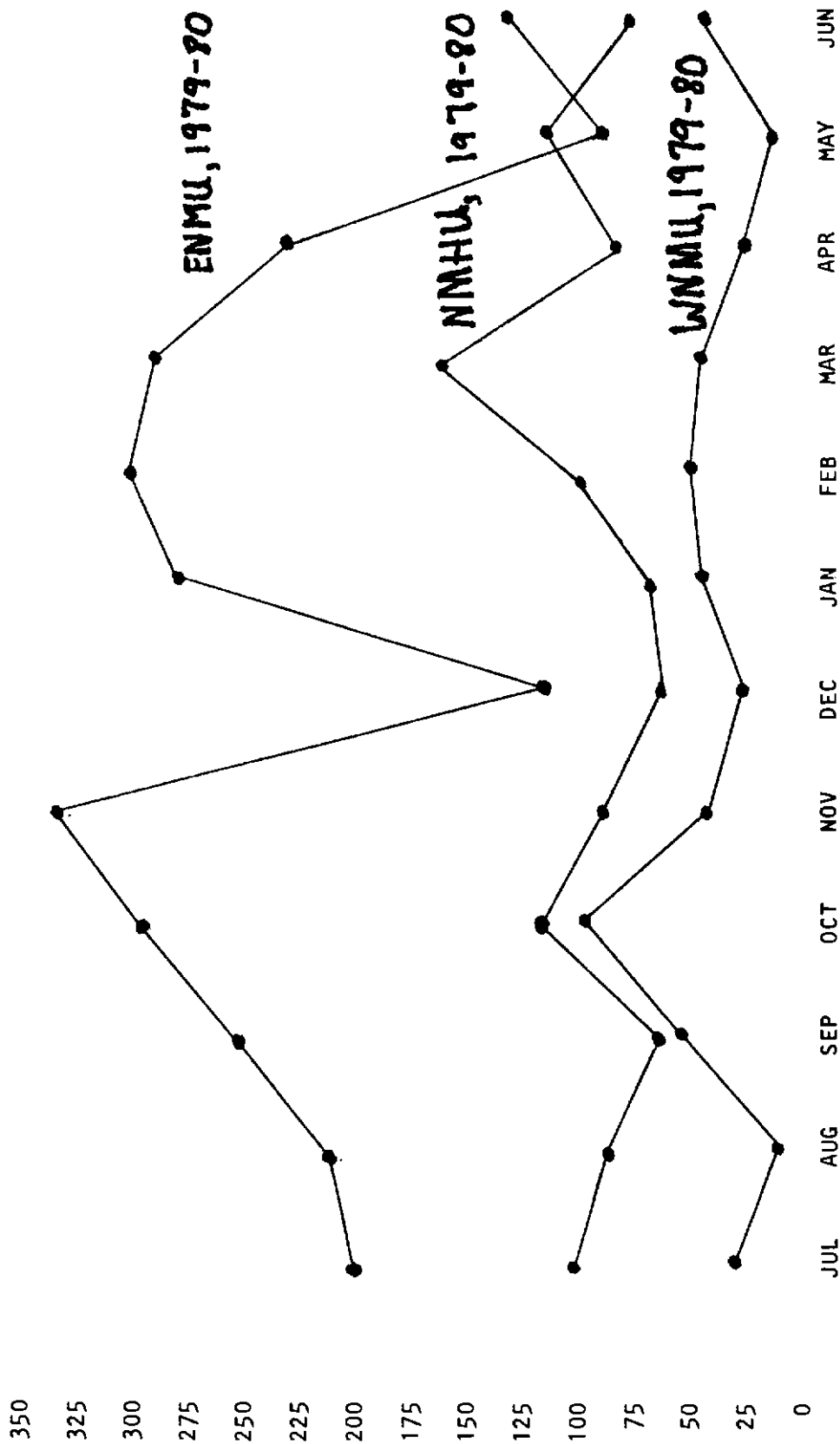


Figure 13

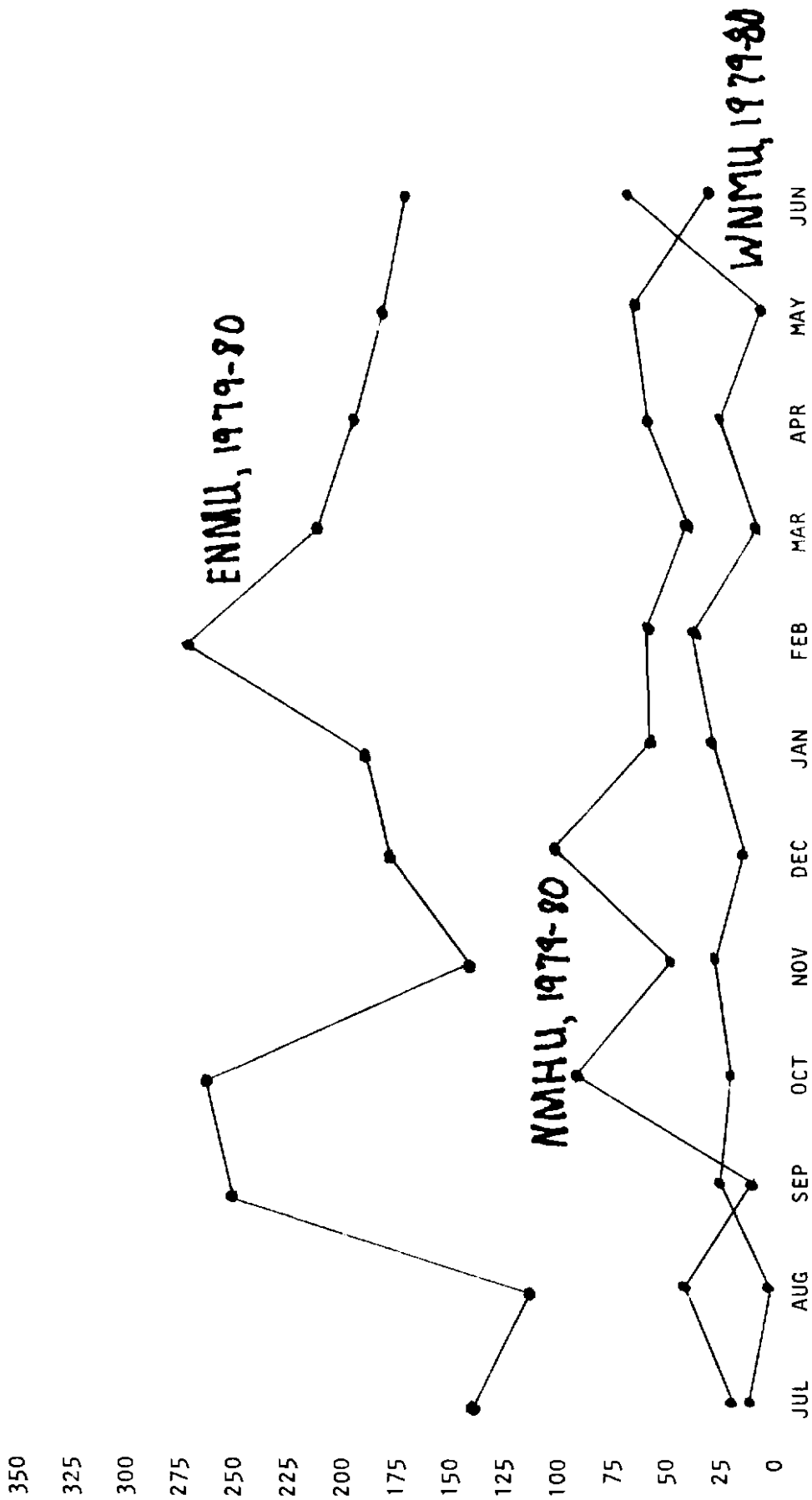


Figure 14

ENMU Borrowing Patterns 1978/79 and 1979/80

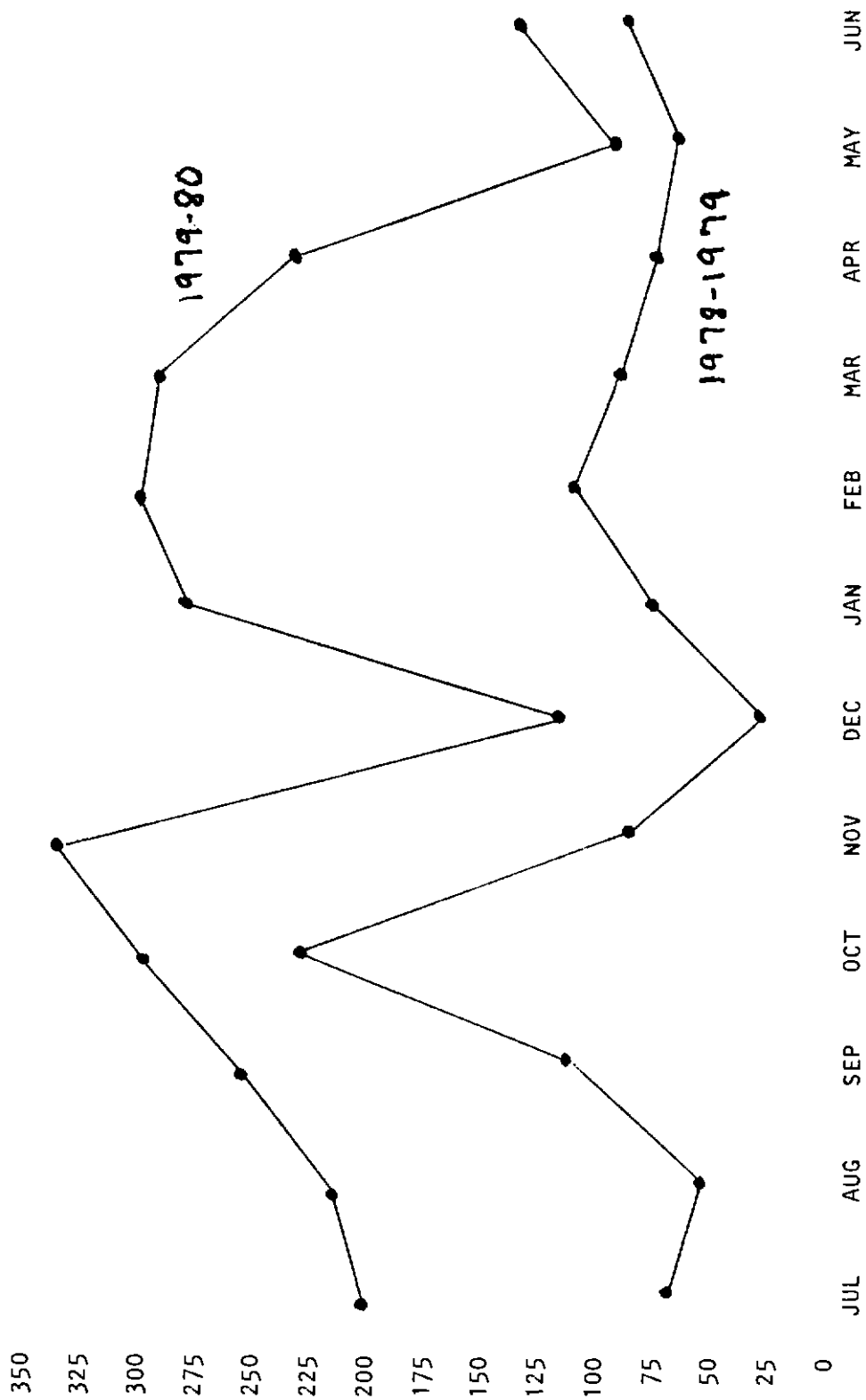


Figure 15

ENMU Lending Patterns 1978/79 and 1979/80

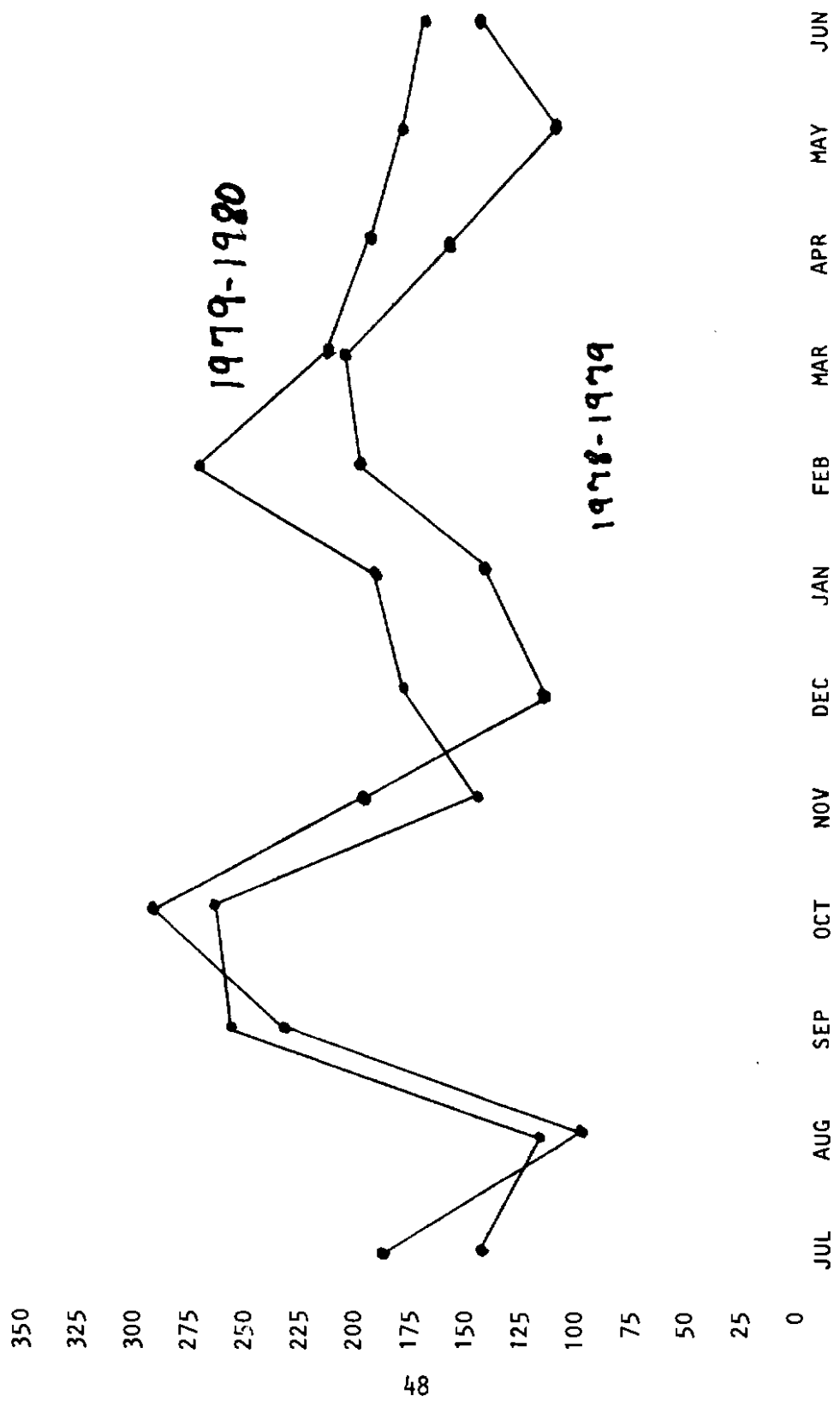


Figure 16

Future Plans.

On January 25, 1980, the 34th Legislature of the State of New Mexico, in its second session passed Senate Bill #52¹. It was entitled, An Act Making an Appropriation to the State Library for the Purpose of Establishing a System of Indexing Library Acquisitions and Providing for Inter-Library Loans. The act turned over to the State Library \$165,000, the first year, for the purpose of establishing what one librarian termed "our new data base!" The Plan for A New Mexico State-Wide Network^{2*} called for a seven-year disbursement for the development of the network. The basic group included what was termed the TWX Network, plus two additional libraries (all public libraries), the current academic libraries in the State Universities and one private institution, the University of Albuquerque.³ The State Library went on-line in 1980, the first year and the second year with the basic group, of which the universities were already operational. The third and fourth years, ten more public libraries each will go on-line.⁴ A COM Catalog is also to be developed with the use of micro-fiche (computer originated microform for a catalog is micro-fiche developed from data base tapes, in this case).⁵

The implications for the state of New Mexico are tremendous. Being a state with few resources and a very thin tax base, its Legislature has shown a great faith in the ability of OCLC to provide, state-wide, the distinct advantage of cooperative access to its resources.

¹New Mexico, Laws of 1980, Senate Bill #52, "An Act Making an Appropriation to the State Library...", np.

²New Mexico State Library, Division of Educational Finance and Cultural Affairs, "Plan For a New Mexico Statewide Network," (Santa Fe, NM: State Library, January, 1980), (np.), (Mimeographed).

³Ibid.

⁴Ibid.

⁵Ibid.

*All further citations are from this same document.

Suggestions for Study.

Suggestions for future study are many. In view of the fact that some of the librarians we interviewed expressed concern over the security of their jobs, a study should be undertaken to find out how these professionals view themselves as decision-makers in the future of New Mexico libraries. The fact that some feel they are working themselves out of a job indicates that there is a lack of confidence in the state's personnel policy regarding their position. Many feel that they will no longer be needed in libraries.

Another area that should be studied concerns why the utility is not used any more extensively than it is for ILL activities. Will there be a difference in attitudes once the retrospective conversion statewide is complete?

What will be the effect of AACR II on the small public libraries that are going on-line? What changes in activities will have to take place for these small institutions? Will the state fund the local libraries sufficiently for additional training for those in charge?

All of these are questions for study. The fact that these have arisen merely means that more are waiting to be answered.

OCLC has been an instrument of change in New Mexico. Patron services have been expanded greatly. The biggest problem left is that which we began with. There should be another study in ten years to determine just exactly what has taken place. It is recommended that the whole state, every library on-line with OCLC, be included. Only then will the full impact of this powerful agent for change be truly and fully evaluated in New Mexico.

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APPENDIX



THE UNIVERSITY OF NORTH CAROLINA
AT
CHAPEL HILL

The University of North Carolina at Chapel Hill
Wilson Library 024 A
Chapel Hill, N.C. 27514

July 1, 1980

Ms. Jeanne V.N. Mundorff
P. O. Box 173
Emporia, KS 66801

Dear Ms. Mundorff:

Please feel free to use my dissertation for your thesis in the matter requested in your letter of June 14. I would only caution you that the generalization concerning the cost-effectiveness of a utility, which you mention in your first paragraph, is based on a composite of experience and may not be discernible in a replication in a single library. It is also, inherently, a generalization that can be made only on the basis of a comparative study. It would, however, still be interesting to see the questionnaire applied in another setting.

Good luck on your study. I am looking forward to reading it when it is completed. May be we can get together to talk about it in San Francisco.

Sincerely,

A handwritten signature in cursive script that reads "Joe A. Hewitt".

Joe A. Hewitt
Associate University Librarian
for Technical Services

JAH:jfs

IMPACT STUDY*

Library Data Sheet and Interview Schedule

Date of Completion _____

Total Time _____

Library:

<u>Respondents:</u>	<u>Position</u>	<u>Sections Answered</u>
1)		
2)		
3)		
4)		
5)		
6)		
7)		

*The following Interview Schedule and General Evaluation Schedule were developed by Joe A. Hewitt for his dissertation and were used by the author with his written permission.

PART I

GENERAL INFORMATION

- 1) Library operating budget, FY 1979/80*: _____
- 2) Staff positions budgeted, FY 1979/80 (FTE):

	<u>Library System</u>	<u>Technical Services Division</u>
a) Professional	_____	_____
b) Paraprofessional	_____	_____
c) Clerical	_____	_____
d) Student (Hourly)	_____	_____
<u>Total</u>	_____	_____

- 3) Number of libraries in system: _____
- 4) Organizational of Technical Services:
(attach chart if available)

<u>Departments</u>	<u>Staff</u>	<u>Major Units</u>	<u>Head reports to:</u>

*The original study period used by Hewitt was FY 1973-74. It was changed here to reflect the period in question related to this study.

PART II

OCLC TERMINAL INSTALLATION AND MANAGEMENT

Terminal installation and management

- 1) Date terminal(s) installed (month and year) _____
- 2) Type of terminal _____
- 3) Number of terminals _____
- 4) Location of terminals:

Department Number

- 5) Which department(s) is responsible for scheduling, management, and maintenance of terminal(s)?

- 6) Is access to terminal(s) scheduled by function? Yes No

- a) If so, what are the weekly number of hours scheduled for each function?

<u>Function</u>	<u>Hours</u>	<u>Dedicated Terminals</u>
Bibliographic verification	_____	_____
Cataloging (with copy)	_____	_____
Cataloging (original input)	_____	_____
Interlibrary Loan	_____	_____
Other (specify)	_____	_____

- b) If no, what is the rationale for not scheduling terminals?

- c) If no, what are the weekly number of hours used for each function?

7) Are terminals scheduled continuously? Yes No

Comment:

8) Have you found the terminals to be reliable pieces of equipment?
Yes No

Comment:

9) What level of personnel normally operate the terminal(s)?

Function

Personnel

Pre-Order verification _____

Searching for cataloging copy _____

Input cataloging _____

10) Were there any particular problems in training staff to use terminals, or in accomodating staff to their utilization? Yes No

Comment:

11) Do you have any in-house cost studies, evaluations, or other reports related to OCLC in your library? Yes No

If yes, may I have a copy?

Comment:

PART III

UTILIZATION OF OCLC

A) Pre-order Bibliographic Verification

1) Does your library use the OCLC data base for pre-order verification? Yes No

a) If no, please describe the conditions and rationale for not using the data base for this purpose:

b) (If yes, continue this section of questionnaire)

2) Are all titles searched in the data base prior to being ordered? Yes No

a) If no, which categories are excluded:

Exclusions (Describe)

3) Please describe the steps of the searching sequence in the process of using the terminals for pre-order searching:

Procedural order

	<u>No.</u>
Catalog	_____
Order file	_____
OCLC	_____

Comment on procedure:

4) What is the percentage of 'hits' (or verification rate) on titles searched in the data base for pre-order verification?

5) Has the turnaround time for bibliographic verification in your library been reduced since the installation of the terminal? Yes No

a) If no, how do you account for the failure to reduce turnaround?

b) If yes, what is the extent of the reduction, in working days?

Comment:

- 6) Has the library dropped subscriptions to other bibliographic services as a result of OCLC? Yes No
- a) If yes, specify the services discontinued:
- b) If no, why is it considered necessary to continue these services?
- 7) At its present stage of development, how would you assess the efficiency of the online system for the purpose of pre-order verification?
- a) Access and search logic: comment
- b) Data base: comment
- c) In your judgment, does OCLC represent an improvement over previous procedure? Yes No
- 8) What changes in the operation of OCLC would you recommend to improve support for bibliographic verification in your library?
- 9) Has the number of orders searched by your verification unit increased or decreased since the installation of the OCLC terminal?

Comment:

B) Cataloging and Card Production

- 1) Classification system used: LC Dewey
- 2) Other than titles in non-Roman alphabets, are all the books to be cataloged searched in the data base? Yes No
- a) If not, what categories are excluded?

Type (Describe)

- 3) Please describe the steps in the process of using terminals to locate the cataloging copy.

- a) At what point in the cataloging process are the authority files checked?

Name:

Series:

Subject:

- 4) Does your library operate on the approval plan? Yes No

- 5) Does the handling of approval titles differ from the handling of regular orders? Yes No

- a) If yes, please describe the differences in procedure.

- 6) If the copy is not found on the initial search, at what intervals are the titles researched?

- 7) What is the limit, in time and/or number of searches, at which a decision is made to perform original cataloging?
- a) time (in months) _____
- b) number of searches _____
- 8) Please estimate, or provide any available statistics on the percentage of titles cataloged which has copy on the first search.
- 9) What percentage of titles cataloged has copy on subsequent searches?
- 10) Please estimate the number of titles that can be cataloged on the terminals in one hour when copy is available in the data base.
- 11) Other than for obvious typographical and cataloging errors, is MARC copy accepted without editing? Yes No
- a) If no, what systematic changes do you make on MARC copy?

Cataloging Element

Description of Changes

Entry	_____
Classification	_____
Cutter number	_____
Subject headings	_____
Added entries	_____
Descriptive cataloging	_____
Other (specify)	_____

- 12) Is the policy on acceptance of LC copy the same or different than before use of the online system? Same Changed
- a) If changed, please state policy before OCLC and explain the rationale for change.
- 13) Did your library make any changes in cataloging policy, which affect the final cataloging product, in order to accomodate the OCLC system? Yes No

If yes, please describe these changes:

14) Do you accept OCLC input copy (from libraries using the same classification system) on the same basis as MARC copy? Yes No

a) If no, please state the policy (or variation in procedure) for acceptance of non-MARC copy:

LC source:

Original:

15) In your opinion, was the editing flexibility of OCLC an important consideration in your library's decision to join the Center (OCLC/network)? Yes No

Comment:

16) Please describe the procedure for receiving cards from OCLC:

a) Does revision of cards take place after receipt? Yes No

Comment:

17) In your opinion, do OCLC card delivery procedures cause any particular problems in cataloging maintenance and integration? Yes No

If yes, please describe problems:

18) Are there handling problems resulting in receipt of cards in filing order rather than sets? Yes No

a) If yes, please describe problems:

b) Would you prefer to receive cards in set order? Yes No

19) Please describe the steps in the process of inputting local cataloging into the OCLC data base.

a) Are workforms used for this procedure? Yes No

Comment:

b) What level(s) of personnel input local cataloging?

c) Is there any revision of this procedure? Yes No

Comment:

d) Please estimate the number of records a trained operator can input in one hour.

26) Has the number of books cataloged increased or decreased since the installation of the OCLC terminal?

Comment:

27) What changes in the OCLC system would you recommend to improve its support for cataloging?

28) What are some of the miscellaneous uses to which the system is put in your library?

PART IV

IMPACT OF OCLC UTILIZATION

A) Staffing

1) Has there been a reduction in staff in Technical Services attributable to the installation of the OCLC system? Yes No

Comment:

a) If no, how do you account for the failure of OCLC to result in a reduction of staff?

b) If yes, what is the extent of the staff reduction?

<u>Function</u>	<u>Number Reduced</u>	<u>Staff Classification Levels</u>
Bibliographic searching	_____	_____
Cataloging	_____	_____
Card production	_____	_____
Other	_____	_____
Total	_____	_____

c) How was reduction accomplished?

attrition release of staff transfer

d) How soon after the installation of terminal was staff reduced?

e) If Technical Service staff was reduced through transfer to Public Service departments, to which departments were staff transferred?

<u>Department Transferred to:</u>	<u>Number</u>	<u>Staff Classification Levels</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

- 2) Aside from reductions and transfers out of Technical Services, have there been reassignments within Technical Services to projects which were not previously being done? Yes No
- a) If yes, please describe projects and number of staff contributed.

B) Organization

- a) Has there been a reorganization of Technical Services as a result of the online cataloging system? Yes No
- a) If no, how do you account for that?
- b) If yes, please describe the organization:

General

Acquisitions

Cataloging

Serials

- 2) When the system was first installed, was there apprehension on the part of the staff?

Comment:

- 3) In general, how would you describe the staff's acceptance of the change?
- 4) In your judgment, what has been the major effect on the working procedures and conditions of the staff in Technical Services?

Professional:

Non-professional:

- 5) In your judgment, what will be the principal long-term effect of online cataloging on the organization of Technical Services?

a) If yes, please estimate the amount of this decrease in days.

Comment:

10) Has there been a decrease of staff assigned to the verification activity? Yes No

a) If yes, what is the extent of this decrease?

11) What in your judgment will be the principal long-range impact of OCLC on the operation of interlibrary loan services?

B) Collection Development

1) Does your library operate any coordinated acquisitions programs with other OCLC libraries? Yes No

a) If yes, which libraries are involved?

b) Type of materials involved?

c) Description of agreements?

d) Did programs exist prior to OCLC, or were they developed as a result of OCLC?

e) Is the online cataloging system used to facilitate the program? Yes No

Comment:

2) Are you now actively planning any coordinated acquisitions programs to be operated through OCLC? Yes No

Comment:

3) Has the union catalog capability of OCLC begun to affect long-range collection development planning? Yes No

Comment:

4) Apart from cooperative programs with other libraries, do you have a policy of not ordering other materials if held by other libraries? Yes No

a) If yes, describe policy:

b) If no, please state rationale:

c) If no, are such policies under consideration? Yes No

Comment:

5) Are you aware that your patrons use other libraries directly?

a) Is there any evidence that this use is facilitated by OCLC?

Comment:

6) Do you at present allow hands-on use of the terminal by your library users? Yes No

a) If yes, what type of use?

7) What do you see as the principal long-range impact of OCLC on collection development in your library?

PART V

INTERLIBRARY LOAN AND COLLECTION DEVELOPMENT

A) Interlibrary Loan

- 1) Is the OCLC data base used to verify requests for interlibrary loan? Yes No
 - a) If no, what is the rationale for not using the data base for interlibrary loan work?
- 2) Are all monographic ILL requests searched on the terminal? Yes No
 - a) If not, please describe exclusions:
- 3) At what point in the ILL verification procedure are requests searched on the OCLC terminal?
- 4) What level of personnel search the requests on the terminal?
- 5) Have patterns of borrowing changed by your library as a result of use of the online system? Yes No
 - a) Please describe change:
- 6) Have patterns of lending to other libraries been affected by your membership in the network? Yes No
 - a) Please describe change:
- 7) Has there been an increase in interlibrary loan transactions since the installation of the system? Yes No

Comment:

Amount of increase:

- a) Borrowing
 - b) Lending
- 8) In your judgment, are the increases attributable to OCLC? Yes No

Comment:

- 9) Has there been a decrease in the amount of time required to acquire materials on interlibrary loan? Yes No

General Evaluation Schedule

Library

Respondent

Position

- 1) What were the objectives of your library in joining OCLC?
 - a) Can you identify the one principal objective in joining the Center?
- 2) In your judgment, has OCLC at this point met your principal objective? Yes No
 - a) Please comment on the extent to which secondary objectives have been met:
- 3) In your judgment, has the OCLC online cataloging system served to "decrease the rate of rise for the unit cost of library service" in your library? Yes No

Discussion:

- 4) Has OCLC served to improve library services? Yes No
In what ways?
- 5) What in your judgment will be the principal long-range impacts of the network on your library?
- 6) OCLC has been successful in a number of respects, both technological and as a cooperative library project. In your judgment, to what factors is the Center's success as a cooperative project due?