CARLI Technical Services Committee
2014 White Paper
Demand Driven Acquisitions

Libraries' collection development policies are designed to anticipate and respond to the needs of their patrons. These policies are more narrowly defined for academic institutions, shaped as they are largely by their curricula. A dynamic collection development policy strives to be directly responsive to ideas and suggestions from the library's clientele. Academic librarians may work closely with faculty, as experts in their fields, to determine which resources are most appropriate for acquisition. Larger institutions frequently use approval plans that establish the general parameters for the acquisition of broad ranges of material by subject and format, again in consultation with classroom faculty.

Demand-driven acquisition (DDA), also referred to as patron-driven acquisition (PDA), is based upon a similar premise and offers the additional advantage of more immediate fulfillment of acquisitions requests. As outlined in the 2014 draft document "Demand-Driven Acquisition of Monographs: A Recommended Practice" from the National Information Standards Organization (NISO 2014), DDA makes it possible for libraries to:

- "provide users with immediate access to a wide range of titles to be purchased at the point of need;

- present many more titles to their users for potential use and purchase than would ever be feasible under the traditional purchase model; and

- make it possible, if implemented correctly, to purchase only what is needed, allowing libraries to save money or to spend the same amount as they spend on books now, but with a higher rate of use."

CARLI has already explored cooperative initiatives along these lines in the form of two consortial pilot projects: a print PDA project (http://www.carli.illinois.edu/products-services/collections-management/pda) and an eBook PDA project. (http://www.carli.illinois.edu/products-services/collections-management/ebookpda).

In an era of increasingly limited funding, it is clear that such DDA endeavors will provide libraries with a means of maximizing their resources. However, they represent unknown territory for many institutions. Consequently, the CARLI Technical Services Committee is devoting its 2014 "white paper" introducing the concept and considering the implications of DDA in terms of:

- How to begin a DDA e-book project
- Nuts and bolts of setting up the DDA
- Sustainability
- Assessment

HOW TO BEGIN A DDA E-BOOK PROJECT

A pilot project is a good way to start as most pilots are of a specific duration and involve less expense and records than a permanent project.

In the scope note of the Working Group of the NISO document on DDA of monographs, the Working Group recommends, "development of consistent models for the three basic aspects of e-book DDA—free discovery to prevent inadvertent transactions, temporary lease, and purchase—that work for publishers and libraries."

Choosing an e-book aggregator:
There are currently several e-book aggregators/vendors. As with all vendors, the companies, players, and programs change over time. E-book aggregators have different title lists (usually with overlap), different rental/purchase models, and different platforms. Many e-book aggregators have begun integrating their holdings with large library vendors such as YBP to take advantage of the book profiling that has already been done for the library. Scheduling a webinar with each vendor gives librarians an idea of each product and offers a chance to ask questions.

Considerations for choosing an e-book aggregator:

Content/Costs:
1) What is the approximate overlap of titles between the aggregators under consideration, i.e. which aggregator has the largest number of unique titles?
2) Does the aggregator provide titles that the library would consider buying outside of a DDA? Are the participating publishers reliable and credible in their fields?
3) What is the depth of the aggregator's backlist? Does it add to the backlist, focus on new titles, or both? How many unique titles are provided? How does the aggregator determine age of publication (print publication date vs. e-publication date).
4) Are the major subject areas needed by the library's user community represented adequately?
5) How many titles does the vendor have now, and approximately how many are added each year?
6) What are the options and cost differences for single user access and multiple user access?
7) If a rental model is used, where is the usual or average cost/benefit point, i.e., after how many uses is it generally more cost effective to buy the book rather than to continue to pay for each use?

License terms:
1) Ask to review a copy of the license. Does it allow interlibrary loan for chapters within the constraints of the copyright law?
2) What about provisions for using books or chapters for e-reserves?
3) What provisions have been made for the library's perpetual access to the titles that it has purchased?
4) What percentage of un-purchased content is likely to be removed over the course of a year due to publishers withdrawing titles? What is the procedure for removing those records?
5) If the library terminates its relationship with the vendor at some point in the future, what provisions does the contract or license allow for the library to retain access to the e-books that it purchased?

Profiling:
1) Can maximum book costs be set differently for different classification areas? For example, can the maximum cost for chemistry be set at $200 and the maximum for fiction at $40?
2) Does each aggregator collaborate with the library's major book vendor to make profiling and purchasing as seamless as possible?

Technical support:
1) What customization is available?
2) Will the vendor supply high-quality MARC records? Are these included, or is there an additional cost for them? How are the records supplied, and how often? After a purchase, how does the temporary record change to a permanent one?
3) How easy is it to suppress titles temporarily, such as over the summer when activity on a college campus may be minimal?
4) Will the vendor supply a small batch of sample records in advance so that technical services staff can evaluate the quality of the records and test workflow procedures?

Trigger event:
1) How much free browsing time is allowed before the user triggers a rental or a purchase?
2) What circumstances trigger a purchase? How customizable is the trigger?
3) Is there a failsafe that allows an institution to avoid instantly purchasing titles based on simple keyword searches that may or may not be relevant for the search?

Usability:
1) Is the e-book platform user friendly? Attractive? Intuitive? What features make sense?
2) Can the e-books be downloaded to e-readers or other portable devices? If so, which ones?
3) Do the downloading, printing, and copy/paste features work? Does the vendor place any restrictions on how much of a single title a patron may print?
4) If the vendor uses a checkout model, will users be turned away if they try to access titles that are checked out?

Vendor Services:
1) What standard reports are available? Can custom reports be generated? Is there a staff interface with special reports or statistics? Can the vendor provide samples?
2) What future enhancements does the vendor plan to offer? When talking with colleagues who are already working with the vendor, ask if any of their ideas for improvement have been implemented.
3) Does the vendor provide both invoicing and deposit account options? What safeguards are in place to prevent overspending the budget?
4) Are there any annual fee or hosting fees beyond the costs for buying the books triggered by patron use?

Developing the e-book profile:
Although it is possible simply to load the aggregator's e-book list into the OPAC for the trial, most librarians will want to undertake at least some tailoring in the interest of making trial funds last as long as possible, as well as spending said funds as wisely as possible.

Unlike some DDA print programs in which a staff member vets requests individually, most e-book DDA requests have no human oversight once the program is implemented. For this reason, it is crucial that the profile be well thought out, with as much feedback from Collection Development librarians and other interested parties as possible. Developing a profile for DDA e-books mirrors that of creating profiles for traditional selection – the emphasis being on awareness of the subject's significance as it relates to the curriculum. This is where public services and collection development librarians have a vital role to play.

Other elements to take into consideration:

Timing:
For academic libraries, implement the project during a busy semester rather than a quiet summer. The pilot will more accurately measure users' interests and needs.

Maximum costs and mediation:
Decide on the maximum cost per book. Setting this amount too low will result in a much smaller pool of available e-books (see 'Profiling' under 'Choosing an aggregator' for further elaboration).

Single- or multiple-user access:
Depending on the aggregator, there may be a single-user option or a multiple-user option. Librarians should consider how likely it will be that more than one user will need to access the same content simultaneously. There will likely be a cost difference for these two options.

Checkout model:
Some vendors allow a short free browsing period. Users then receive a message inviting them to check out the title for a certain time period. A rental fee may be triggered for the amount of time chosen. Librarians set these intervals when setting up the DDA program. The rental fee itself is set by the publishers and is typically about 10 percent of the purchase price for a twenty-four-hour checkout.

Purchase triggers:
Different e-book aggregators have different models. There are also different definitions of what constitutes a use, view, browse or print, and these definitions often depend on the length of time a user spends with a title. In some cases, a library only buys the book after a predetermined number of uses have been reached. Most e-book aggregators gather information about user trends and can provide guidance about the most cost effective way to set the purchase trigger.

Publication date:
Decide what date range of publications should be included. Clarify with the vendor if the dates associated with the e-books are truly the publication dates of the print equivalent. Some publishers list the digitization date instead of the actual publication date, which may vary by as much as several decades.

Static or growing pool of records?
After finalizing the profile and removing titles that duplicate library holdings, the vendor will share how many thousands of e-book records will be available to add to the OPAC. Librarians then need to decide if, for the pilot, only that initial pool should be used, or whether new titles should be added as they become available. While a static pool is easier to manage, assimilating new records better emulates full implementation conditions.

Subject:
Decide which subjects might be appropriate to omit from the title offerings. For example, if an academic library does not have a law school, omitting all or most legal titles from the list might be appropriate.

Treatment or level:
Most book vendors allow librarians to profile books by treatment or level. For instance, academic librarians might want to exclude textbooks in all but a few disciplines.

The textbook conundrum:
Given the escalating costs of print textbooks, students often welcome e-book editions. The concept of one or two electronic copies available through the library for simultaneous access by multiple users would be most useful for patrons. Publishers, however, seldom embrace this model. Some of them provide e-textbooks on their own platforms, but at a price that recovers their investment in the new format. Some e-book aggregators offer separate e-reserve options for both chapters and books.

Other exclusions:
If the library has purchased all-inclusive e-book packages with major publishers, titles by these publishers should be excluded from the DDA program. Librarians should work with the vendor to make decisions about such exclusions.

NUTS AND BOLTS OF SETTING UP THE DDA

One of the critical components of setting up a DDA program at any institution is its record management. This needs to be taken into consideration at the time of setting up the profile and technical specifications with the vendor, in consultation with consortial record loading practices. CARLI's Technical Services Committee recommends considering the following issues carefully when setting up the profile and technical specifications.

Getting records from the vendor
The majority of MARC records used in a DDA project are received either from a vendor or an aggregator and fall under two types—discovery records that are the basic or foundational records and the "point-of-purchase records" which replace discovery records once titles are purchased. The library has to make a decision whether the library is getting both types of records, and if the discovery records are not replaced with point-of-purchase records, the library must either make changes to the discovery records by enhancing them once titles are purchased or re-catalog discovery records locally after titles are purchased. These decisions are institution specific.

Managing MARC records
This involves all processes from getting records into the catalog, record enrichment for identification and discovery in the catalog, and record overlays or re-cataloging work once a title is purchased.

> **Minimizing duplicates**
> Checking for duplicates is an onerous process. Libraries may or may not choose to duplicate print and an e-book. If using the same book vendor or an approval plan vendor, libraries can check the print holdings against the DDA e-book holdings to avoid duplicates. Libraries should remember to exclude contents appearing in the subscription packages and their print holdings.
>
> **Recommendations for loading records**:
> - Create a bulk import rule that will use the appropriate bib duplicate detection profile for electronic resources.
> - Assign a unique operator ID or add a note in the MARC 79X or 9XX field to identify DDA records and distinguish them from other bibliographic records in the catalog.

- Consider adding a note in the holdings record telling patrons to request a title so that these records are easily identifiable and can be deleted later as a part of the DDA records maintenance procedures.
- Use the 049 $u nouc coding to keep locally-held DDA records out of the I-Share union catalog.
- Consider having separate locations for the pilot DDA records and for DDA purchased titles. If the library uses only one electronic location, purchased titles could be moved to the general electronic location. All the unpurchased titles in the pilot location then could be easily removed from the catalog.

Cataloging purchased titles

Libraries may decide to overlay discovery records with the point-of-purchase records or delete DDA records for purchased titles and decide to catalog and/or replace the DDA bibs with new cataloged records according to the institution specific workflow.

Removing records

After the DDA pilot project is concluded, the unpurchased records need to be removed. This process of removing records will depend upon a library's workflow. Libraries should run a report for obtaining a list of records to delete using the operator ID along with other parameters such as notes in the bib or MFHD that identify unpurchased titles. This delete file should either be submitted to CARLI to remove the bibliographic records from the library's catalog or be used to locally delete the individual entries from the library's catalog.

SUSTAINABILITY

MARC records in the DDA pool need to be maintained just as other records in the catalog are maintained. DDA records should not remain static in the catalog. Many aggregators have a regular schedule for sending updates to DDA records. It is important to keep up with these updates, especially removals. It is not a good idea to have titles in the catalog that are not accessible. All DDA records should contain an identifier. This is important for record management, but is also crucial for collecting assessment data.

There are a variety of reasons why DDA records are removed from the OPAC:
- Publisher or aggregator is no longer offering the title as a DDA
- Item may no longer match the criteria, e.g. the book is 6 years old, and the criteria is to included only the last five years of publications
- Currency, availability if a newer edition, duplication with print
- Financial reasons might necessitate decreasing the overall size of the pool
- Publishers may also pull records for a variety of reasons: the title is no longer available, changes to author agreements, or divestiture to another publisher

NISO Recommendations for DDA Program Sustainability
- If a library has short term loans (STLs), library patrons will be unaware that the book they are accessing is part of a DDA program. Removing a title that the patron formerly had access to could be confusing and frustrating. NISO therefore recommends maintaining access to all titles that have had a use, if possible.
- Maintain a list of titles removed from the DDA pool, if possible. The list could be used for assessment purposes.

- Review the profile periodically to make sure appropriate titles are being added to the pool; e.g. if a new program is added to the curriculum, the profile may need to be adjusted to include that subject area.

ASSESSMENT

Assessment should be an integral part of the DDA program, and should be addressed during the early stages of planning for the DDA. The two major aspects of the DDA program that require assessment are evaluating the overall effectiveness of the program and predicting expenditures.

The metrics chosen to evaluate the overall effectiveness of a DDA program should be based on the program goals. If the overall goal of the DDA program is to reduce costs, then overall expenditures and cost per use should be evaluated. To help with tracking expenditures, a unique account should be created for the DDA program. Most DDA programs have multiple types of use, so calculating the cost per use is not always straightforward.

Another important component of assessment concerns the use of the purchased items. Metrics should be developed to assess both pre- and post-purchase, for example do purchased items continue to be used? Some vendor reports show time spent in an eBook, number of pages viewed, and statistics on the number of downloads, printing and copying. The library should determine which of these factors should be measured and used for assessment.

Managing expenditures in a DDA program is a major concern for many libraries since they want to make sure that the funds last an appropriate amount of time. Data from the DDA can be used to help predict future expenditures. Auto-purchase plans will spend funds faster than short-term loan plans. The size of the pool of DDA MARC records is also a significant factor in determining how fast funds are spent. Larger pools usually lead to greater expenditures, but other factors such as the total number of records in the catalog and the number of users significantly affect the outcome.

The pool of MARC records should also be continuously assessed. If the records were selected using a profile, the profile should be periodically examined to determine if it is still relevant. Use should also be used in assessing the pool. If there are clusters of purchases on a particular subject, it is possible that the subject offerings should be expanded. Similarly, if there are large groups of records that show little or no use, that area may need to be decreased. Librarians should also consider other reasons for lack of use, including potential resource discovery issues.

Conclusion

DDA is a microcosm of the challenges inherent in collection development and acquisitions. It strives to involve the library's clientele in the development process and to make the materials acquired available in a timely and efficient manner. It provides an opportunity for librarians to broaden their understanding of the disciplines represented within their collections. At the same time, it requires close monitoring and careful planning, with proper attention paid to relevant cataloging and organizational issues. DDA represents a new mechanism for negotiating the complex questions surrounding the creation and maintenance of a collection, how it is to be made easily accessible to library patrons, and it also raises questions about how it influences—and is influenced by—changes in the library's institutional curriculum and patron population.

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