SWAN ADMINISTRATORS' & DIRECTORS'

QUARTERLY MEETING

Oak Brook Public Library
600 Oak Brook Road
Oak Brook, IL 60523

December 5, 2019
10:00 A.M.

SWAN Administrators' & Directors' Quarterly Meeting

December 5, 2019
10:00 a.m. – 12:00 p.m.
Oak Brook Public Library, 600 Oak Brook Road, Oak Brook, IL 60523
Meeting Room
Please join the meeting from your computer, tablet or smartphone
https://global.gotomeeting.com/join/771079245

Agenda

1. Call to Order and Welcome
2. Public Comment
3. Introduction of New Library Directors
4. Action Item-- Approval of the September 5, 2019 Quarterly Meeting Minutes (pgs. 2-4)
5. Information Item – Strategic Plan 2019-2023 Update (pgs. 5-12)
6. Discussion Item – Clarity Task Force Findings & Recommendation (pgs. 13-66)
7. Discussion Item – SWAN Board Research into 501(c)3 (pgs. 67-83)
8. Discussion Item – Overview of the New SirsiDynix BLUEcloud Acquisitions Pilot (pgs. 85-179)
9. Announcements and Questions
10. Next meeting: March 5, 2020

Meeting Information

Member Comment after each agenda item.

The Quarterly Meeting will be live-streamed via GoToMeeting. The URL at the top of the agenda is specific to the date of the meeting. Please join the meeting from your computer, tablet or smartphone.

SWAN Administrators' Quarterly Meeting Minutes

Oak Brook Public Library
600 Oak Brook Road
Oak Brook, IL 60523
September 5, 2019 10:00 a.m.

1. **Call to Order and Welcome**
   Vice President Wittmann called the meeting to order at 10:04 a.m. Wittmann, Bukovac, Jenkins, Wagner, Bussey and Milavec were present to establish a quorum

2. **Public Comment**
   No public comment

3. **Introduction of New Library Directors**
   Sandra Tomschin, Cicero Public Library

4. **Approval of the June 5, 2019 Quarterly Meeting Minutes**
   Benjamin Weseloh (WCD) moved to approve the June 2019 Quarterly meeting minutes, seconded by Rich Wolff (TPS). Motion carried by unanimous voice vote.

5. **Discussion Item – SWAN Demand Management: Configuration Changes to Holds & Testing Underway**
   Dawne Tortorella discussed the targeted goal for holds.

   Q&A – Wagner (SHS) asked if both the hold queue position in the mobile app and in the number of holds and number of copies can be suppressed in the app display. Answer – it cannot be suppressed in the mobile app but it can be in Enterprise. SWAN is working towards more title level clustering.

6. **Information Item – Overview of the New SirsiDynix BLUEcloud Circulation, Cataloging, & Acquisitions**
   Skog gave an overview of the SWAN Library Service Platform, which includes BLUEcloud Central, eResource Central for e-content integration with Enterprise, BLUEcloud Commerce and BLUEcloud Analytics, formerly called BCA (we have to stop doing that now because it might be confused with BLUEcloud Acquisitions).

   SWAN and our libraries are participating in various ways the company has provided to stay on top of their direction and be involved in the software development process. We have become a key component of the R&D arm of SirsiDynix and are now being invited to various software pilots. Tortorella discussed the three research teams that SWAN has developed: BLUEcloud Circulation, BLUEcloud Cataloging, BLUEcloud Acquisition Pilot Team.

Q&A – Where are they at with BLUEcloud Circ & Cataloging from the SirsiDynix perspective?

BLUEcloud is in constant development so it is just a matter of determining when the new interface is ready for some of our needs. SWAN has set up a research team of library staff and created an online portal as part of our organization in SWAN's SharePoint. We have designed this to allow others to join the R&D group at a later date.

Tortorella concluded with BLUEcloud Forecast: no shared logins as this is a global system accessible anywhere in the world online; getting ready for frequent software updates; opportunities for new consortium models. As a final note Tortorella noted the confusiong around the names BLUEcloud Circulation, MobileCirc and BLUEcloud Mobile.

Q&A – Are there systems in the consortium comparable to ours that are using BLUEcloud exclusively.

Answer – Exclusively no, but several consortia are now using BLUEcloud in very limited scope.

7. **Discussion Item – BLUEcloud Mobile App Feedback & Questions**
   Response has been great thus far, SWAN is posting statistics on the support site that shows the number of downloads and usage per library profile in Mobile.

8. **Information Item – SWAN Board Recommended Change in Accounting Service**
   We began discussion in April/May with Board Treasurer Bukovac on the research and steps to go independent. We reviewed vendors through an RFP and came up with a recommended accounting service independent of RAILS through Lauterbach & Amen (used by many libraries for auditing, accounting, including LIMRiCC). Our first step is to come up with a new chart of accounts for SWAN's budget. There will be a small increase for the startup fees to get setup in Lauterbach's hosted accounting system. We will have to come up with a new auditor after FY20 as Lauterbach is SWAN's current auditor and the accounting and auditing cannot reside within the same company provider. We will have to amend the FY20 budget for the increase of the budget to move independent of RAILS Finance.

9. **Action Item – Amend the Fiscal Year 2020 Budget**

RESOLVED, THE SWAN FISCAL YEAR 2020 BUDGET LINE #5420 ACCOUNTING WILL BE INCREASED FROM $8,445 TO $21,555 FOR 10 MONTHS OF ACCOUNTING SERVICES PLUS ONE-TIME SETUP FEES. Library roll call performed by Dawn Bussey, SWAN Board Secretary, Director of Glen Ellyn Public Library. Article IX Section 6 Voting: The following items require membership vote to pass: Budget & Revisions (In-person affirmative vote of 2/3 of all members present is required)

David Seleb moved to approve, seconded by Rich Wolff. Motion carried by roll call vote with the following results: 25 IN FAVOR, 0 NAY, 72 ABSENT, 0 ABSTAIN.

10. **Information Item – 2019 SWAN Expo**

Reviewed the feedback survey and have good suggestions for next year.

11. **Announcements and Questions**

Steven Schlewitt provided an update on Lynda.com. Lynda.com is a separate subscription and it is going through some changes. Steven will continue to update on SWAN support site so look for announcements and news there.

Next meeting: December 5, 2019 at Oak Brook Public Library

Adjournment: 11:30 a.m.

Minutes Prepared by Ginny Blake

Respectfully Submitted,

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SWAN Executive Director Report

December 5, 2019 SWAN Quarterly Meeting

1 SWAN Strategic Plan 2019-2023

Here are updates on the plan objectives.

1.1 Develop a Shared and Accurate Diagnosis of Member Dissatisfaction Around the Existing ILS and OPAC (Staff Interface and Online Catalog)

Guiding Principle: At this stage, the primary goals are gaining insight and developing a culture of collective ownership of problems.

1.1.1 Form Clarity Task Force: COMPLETE

The Clarity Task Forces serves as an operational task force of member library front-line staff, representing a wide range of expertise. This Task Force is collectively charged with assisting the SWAN Executive Director in evaluating core Library Services Platform software and services and how it is implemented in our consortium. Membership expertise and creativity are critical to the success of surfacing areas of improvement, increased efficiency, and future exploration/experimentation.

The group will assist SWAN in surfacing and documenting areas of dissatisfaction and frustration with our Library Services Platform, as well as help provide direction in priorities for research and exploration. The group will look at specific areas of inefficiency and concern including:

- acquisitions processing bottlenecks,
- circulation practices,
- resource sharing,
- patron access to resources.

This group will also look at the product roadmap of releases and how that impacts implementation into SWAN's project list and strategic priorities.

1.1.1.1 Members of the Clarity Task Force

Kerry Halter, Technical Services Manager, Batavia Public Library District, Kristina Howard, Adult Reference Manager, Tinley Park Public Library

Michelle Kurczak, Head of Youth and Young Adult Services, Messenger Public Library of North Aurora

Amy Prechel, Head of Access Services, Downers Grove Public Library

Angela Romano, Fiction and Reference Librarian, Oak Lawn Public Library

Ahren Sievers, Reference Technology Librarian, Elmwood Park Public Library

Colleen White, Cataloging Librarian, Oak Park Public Library

1.1.1.2 Issue Clarity Task Force Report: COMPLETE

The Task Force has completed its research and analysis. They have issued a written report for the SWAN Board to review at its November 15th meeting. The SWAN Board requested the Task Force present its findings at the December 5th Quarterly meeting.

> **Part 1**: this is the Task Force analysis of the research completed over the 6 months prior. Clarity organized the membership dissatisfaction under six categories. This written report has contributions by Clarity representatives and SWAN staff.
>
> **Part 2**: the research work completed under Clarity's supervision and direction. This portion of the report is the longest as it describes the methodology used and the information gathered through the membership staff. This portion of the report was written by SWAN staff and discussed at Clarity's October meeting.

1.1.2 Conduct ILS Audit: UNDERWAY

The Symphony ILS configuration will be reviewed for holds management, lending, and record loading within the Acquisitions workflow. A key step will be documenting internally SWAN's configuration and procedures.

1.1.2.1 Demand Management Evaluation

Proposed changes to SWAN's Symphony configuration for holds were presented at the SWAN Expo and at the September 5th Quarterly meeting.

1.1.3 Create a Curriculum of Training for Member Library Staff: COMPLETE

SWAN announced training topics in May 2019 and has hosted online, in-person, and training lab events. The online training has been recorded and integrated into the SWAN support site.

1.1.4 Create More Online Documentation: ONGOING

The SWAN support website launched in December 2018. There will be continued focus on writing documentation for library staff. The documentation should focus on the steps all library staff should follow and will become a reference guide for regular training SWAN staff will provide. The training would cover essentials for performing optimally in WorkFlows, BLUEcloud Analytics, among others.

1.1.5 Create Net Promoter Score Survey: UNDERWAY

SWAN Executive Director will create an organization membership survey to set a baseline and ongoing evaluation of the performance and value of SWAN through a “net promoter score” or a “customer satisfaction” survey. This will require outside consulting for survey design that can be used consistently for the 5-year duration of this plan’s objective. The first quotation to design and provide a survey has been received.

1.1.6 Perform a catalog discovery evaluation: UNDERWAY

Tara Wood and the DUX group reviewed criteria and weighting for an OPAC evaluation. The next step for the evaluation will take place after the Enterprise 5.0.1 upgrade takes place in December.

1.2 Deliver on the Solutions that Can Be Readily Implemented, While Focusing on Long Term Solutions

The strategic plan objective 2 activities noted within the Operations Report include the following:

1.2.1 Improve patron email notification through a volume email service: COMPLETE

Steven Schlewitt shared at the March quarterly meeting on how this new service allows SWAN to better monitor the delivery success of emails. SWAN staff can now verify upon library request if a specific patron email address successfully received an email or bounced.

1.2.2 Provide all SWAN libraries a mobile app through BLUEcloud Mobile: COMPLETE

Tara Wood updated the membership at the March quarterly meeting. We do have some support cases open with SirsiDynix that pertain to some snags encountered in the setup of eResource Central resources within Mobile. Tara has cautioned us that the late April publication in the app store will depend on these cases being resolved. I have escalated these cases with our SirsiDynix Library Relations Manager Pam Arnold.

1.2.3 Develop and pilot a SWAN created Automated Delivery In-Transit Label: COMPLETE

Green Hills Public Library District went live with this online label system. The system was piloted with three member libraries and was announced for general availability on May 28, 2019.

1.2.4 Create a new OCLC holdings update process for SWAN: UNDERWAY

Consortia staff from CCS, Pinnacle, PrairieCat, RSA, SHARE, and SWAN met online in November to continue work on the technical requirements for transitioning to a new system. SWAN has written code to process consortia holding extracts to update OCLC. This project and tool are now known as OHM: OCLC Holdings Manager.

1.2.5 Perform an assessment of BLUEcloud Acquisitions: COMPLETE

SWAN is working with Rebecca Bartlett at La Grange Public Library and Amanda Kaiser at St Charles Public Library on the SirsiDynix Strategic Partner Program for BLUEcloud Acquisitions.

1.2.6 Upgrade Enterprise catalog to mobile friendly version: UNDERWAY

The Enterprise catalog will be upgraded December 18th and updated with the SWAN User Experience customizations. This will be a fully responsive design to SWAN's catalog.

1.2.7 Membership Implementation Freeze: COMPLETE

The SWAN Board accepted the recommendation to only accept libraries for admission to SWAN every other year. SWAN is closed for admission for FY20 but reopens in FY21.

1.2.8 Negotiate Extension of SirsiDynix Agreement: UNDERWAY

The SWAN Finance Committee met on November 15th with the Executive Director to review goals for the negotiation. Conversations between the Executive Director and SirsiDynix have begun.

1.2.9 Study & Offer E-Content Consortia Purchases: UNDERWAY

SWAN Electronic Resources Consultant has been working with RAILS staff to create an EBSCO package for all SWAN libraries.

1.3 Reconstitute as a Mission Driven 501c3 with Clear Representative Governance Practices

1.3.1 Evaluate Organization Legal Entity: UNDERWAY

The SWAN Board decided to update the membership at the December 5th Quarterly meeting on the legal issues surrounding the 501c3, SWAN Bylaws, the Illinois Open Meetings Act, and Freedom of Information Act.

Summary of Issues to Cover at the December 5, 2019 Quarterly:

1.3.1.1 Open Meetings Act requires all membership voting specified in SWAN Bylaws to adhere to OMA or have in writing what is permitted for acts of approval, voting, etc. The legal opinion obtained by SWAN noted that membership voting on financial matters be conducted in person (see the September 4, 2018 written opinion).

1.3.1.2 RAILS as a library system is provided some allowance for remote attendance of its board due to the geographic size of the system (see footnote on page 1 of the September 4, 2018 opinion)

1.3.1.3 Remote participation as defined by OMA within the legal opinion must include language that remote attendance due to "personal illness or disability, (ii) employment purposes or the business of the public body, or (iii) a family or other emergency, per 5 ILCS 120/7(a)" define the reason for remote meeting attendance (see page 2 of the September 4, 2018 opinion).

1.3.1.4 SWAN Bylaws currently set membership approval in areas of budget and admitting new member libraries. It is worth noting SWAN could revise its Bylaws, as it has done in the past, to change board and membership roles in approval.

1.3.1.5 The 501(c)3 conversion was evaluated by the SWAN Board and two legal opinions on this conversion were obtained (see April 8 and May 3, 2019 legal opinions).

1.3.1.6 The legal opinion covered SWAN governance representation, and the independence of organization from other government entities as key towards moving away from OMA and FOIA requirements.

1.3.1.7 Converting to a 501(c)3 would have an immediate impact on SWAN's participation in LIMRiCC for health benefits and the retirement program through ICMA-RC. Neither of those programs accept a 501(c)3 entity, so these employee benefits would need to be changed.

1.3.1.8 Fundraising within the 501(c)3 entity is something the SWAN Board is still exploring.

1.4 Increase Presence of the Patron Perspective

SWAN User Experience has completed two user studies during the past year. The Enterprise 5.0.1 catalog upgrade and changes have been tested with library patrons through three rounds of user testing at Glen Ellyn, Elmwood Park, and Eisenhower libraries.

1.4.1 Spring 2019 Usability Report

This test conducted with library patrons focused on the interface for the Article Search, which utilized EBSCO Discovery Service, Enterprise, and OpenAthens. Alternate interfaces were tested within Enterprise. Recommendations include various user interface changes and provide some future direction for Article Search in marketing to segments of library users.

1.4.2 Fall 2019 Usability Report

This test conducted with library patrons focused on e-book content in the catalog. It will be reviewed by DUX and released to the membership in December 2019.

1.5 Strengthen the Collective Identity

1.5.1 Plan SWANx19 Event: COMPLETE

The SWAN Expo 2019 was held on August 17th and feedback from the event was shared at the September 5th Quarterly meeting.

1.5.2 Pilot Online Membership Forums: UNDERWAY

SWAN Community Forums is online and is slowly being introduced to selected user and advisory groups. Thus far the Cataloging Advisory, Book Club Users, Discovery Advisory, RFID Users, and Outreach Users. The site can be found at https://forums.swanlibraries.net/

1.6 Seek External Funding Options to Support the Research & Development Initiatives of SWAN

This objective is waiting for Objective 3 Reconstitute as a 501(c)3 entity to be completed.

2 Libraries Interested in SWAN

The SWAN Tactical Plan freezes adding new libraries during the FY20 period, July 1, 2019 through June 30, 2020. SWAN will be open for admitting libraries every two years, e.g. FY21, FY23, etc. Once the FY21 SWAN budget is approved March 2020, no other libraries will be added to the admission and project plan. Those libraries will need to wait for the FY23 cycle.

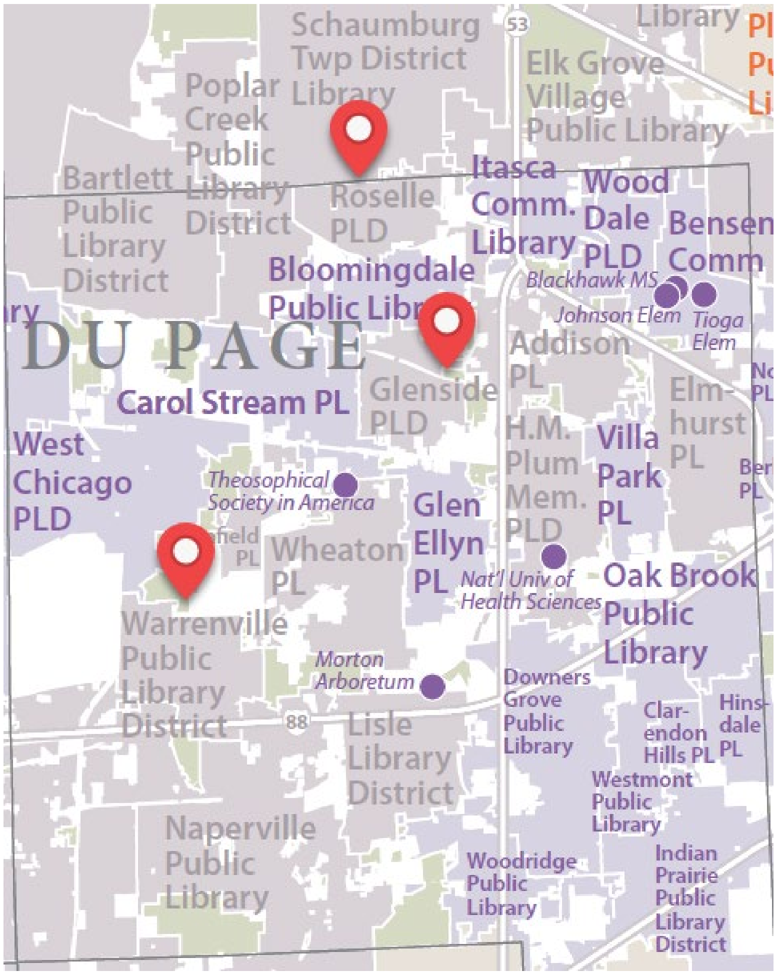
2.1 Three Public Libraries Submitted Letters of Intent

I have been contacted by the library directors from each of the following standalone libraries, last year in March 2018 with Bartlett and Glenside, and more recently Roselle and Warrenville in April 2019. I have completed quotations for all four libraries. Thus far Glenside, Roselle, and Warrenville libraries have accepted the quotation and agreed to the timeline SWAN provided. Bartlett is going to wait for the next round of SWAN's

LIBRARY	CURRENT ILS	LETTER OF INTENT RECEIVED
Glenside	Polaris III	Yes
Roselle	Library.Solution TLC	Yes
Warrenville	Horizon III	Yes

2.2 Region

These libraries are in the area where the New 19 libraries are located. The purple pins in the map below note the location of the four libraries. The four libraries are all within SWAN's geographic region and have significant reciprocal borrower activity.



2.3 Revenue Benefit

The addition of these libraries would bring in an estimated revenue of $137,700 annually to SWAN and increase SWAN's operating expenses $68,420. The net revenue to SWAN would be $69,280 annually. SWAN would receive an estimated $26,000 in a one-time joining fee for cash reserves.

2.4 RAILS Catalog Grant

I have provided updates to Anne Slaughter at RAILS on the prospect of four libraries joining SWAN in FY21. It would be possible to apply for the grant and be awarded prior to the project start, as funds must be spent within 18 months of being awarded the grant.

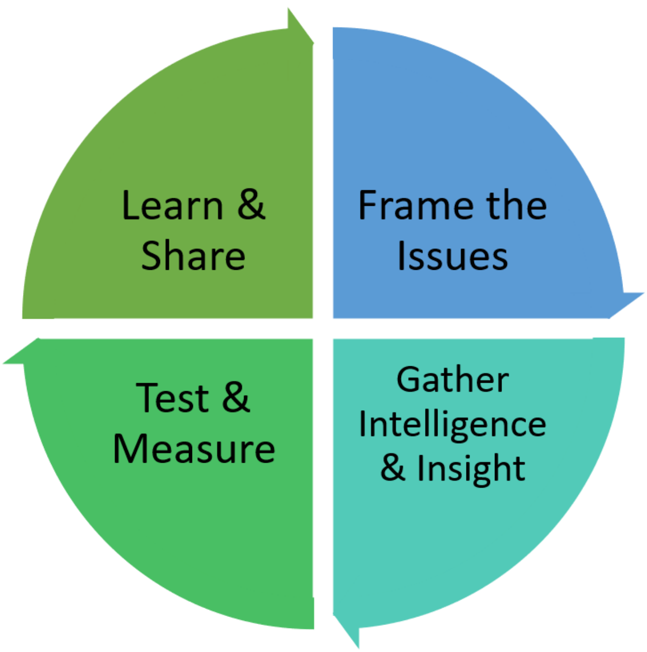
2.5 Tentative Timeline

I have discussed with these libraries the timeline of joining SWAN in the second half of 2020.

Membership approval	March 2020
Migration Project Start	July 2020
Staff Training	October 2020
Go-Live	November 2020

3 Accounting Service

The SWAN Board agreed to have the Executive Director request proposals from accounting firms and provide a recommendation at the August board meeting. They recommend SWAN change from the RAILS Finance department to Lauterbach & Amen. There was a discussion on this topic and a resolution to amend the current budget at the September 5th Quarterly meeting.



SWAN SHARED DIAGNOSIS

Clarity Task Force Report

ABSTRACT

Gaining insight and developing collective ownership of problems

Clarity Task Force

November 2019

SWAN Shared Diagnosis: Clarity Task Force Report

Contents

Clarity Task Force Representatives

Library Staff

Kerry Halter, Technical Services Manager, Batavia Public Library District

Kristina Howard, Adult Services Manager, Tinley Park Public Library

Michelle Kurczak, Head of Youth and Teen Services, Messenger Public Library of North Aurora

Amy Prechel, Head of Access Services, Downers Grove Public Library

Angela Romano, Fiction and Reference Librarian, Oak Lawn Public Library

Ahren Sievers, Technology Librarian, Elmwood Park Public Library

Colleen White, Cataloging Librarian, Oak Park Public Library

SWAN Staff

Dawne Tortorella, Assistant Director, Chair

Scott Brandwein, Bibliographic Services Manager

Steven Schlewitt, Information Technology and Support Services Manager

Tara Wood, User Experience Manager

Aaron Skog, Executive Director

Introduction: Developing a Shared Diagnosis

The SWAN library services software platform[1] is at the center of the chosen mission for the SWAN organization. The 2018 membership survey and interviews conducted as part of the assessment and analysis for SWAN's strategic plan revealed member dissatisfaction exists at a meaningful level. The first objective of the 5-year strategic plan for SWAN was to determine dissatisfaction with the staff interface (WorkFlows) and the patron interface (Enterprise).

As identified in the strategic plan, satisfactory solutions depend on proper diagnosis: "What are the contributors to member dissatisfaction?"

The strategic plan posits there are three possible contributors to the dissatisfaction:

1. **SWAN staff** (i.e. should provide more training, adequate documentation, etc.)
2. **SWAN member libraries** (i.e. have different opinions on how software should work, should embrace common practices, need a role in developing solutions, etc.)
3. **Vendors** (i.e. need to invest more resources in product software development, development cycles are prone to delays, etc.)

SWAN is missing a ***shared*** diagnosis. The below actions will lead to a clearer understanding of where SWAN's member dissatisfaction stems from and will allow us to develop adequate solutions to counter it.

Markers

The strategic plan outlines the following milestones.

- A prioritized list of SWAN software platform related problems has been developed with input from member libraries and patrons.
- SWAN Executive Director and the board systematically work through the list and develop initial diagnostic hypotheses that considers the role of all three potential contributors (staff, member libraries, vendors).
- Where there is disagreement or uncertainty, SWAN Executive Director proposes short term "triangulation" experiments to obtain more accurate data. Each experiment should intentionally modify one of the three potential contributors to discern what moves the meter on which problems.
- The experiments are agreed to by the board. Results are tracked and reported.
- At the end of this process, the Board and Executive Director agree on properly nuanced diagnoses of the major problems of the ILS and connected platforms.

[1] SWAN library services platform includes SirsiDynix suite including the Symphony integrated library system, the BLUEcloud suite, SirsiDynix Enterprise, EBSCO Discovery Service (EDS), OpenAthens, and OCLC WorldCat/WorldShare.

- These findings are shared with the broader membership.

Guiding Principles

At this stage, the primary goals are gaining insight and developing a culture of collective ownership of problems. Research and performance enhancements SWAN completed within Objective 1 should not lose sight of finding ways to improve the patron experience as part of Objective 4, Increase Presence of the Patron Perspective.

SWAN Board Activity

Developing a Shared Diagnosis

The SWAN Board discussed forming a group comprised of library staff from various services areas within a library to help with determining the shared diagnosis as prescribed in the first objective of the strategic plan. This group became the Clarity Task Force. It was agreed the SWAN Executive Director will bring a report and recommendations from the Task Force to the SWAN Board and membership using input from staff as library users. The written charge for the group was reviewed by the SWAN Board, along with the initial names of individuals and libraries. Executive Director Aaron Skog contacted each library director in advance prior to extending the invitation to the selected library staff. Seven staff from seven libraries joined the Clarity Task Force. The group was chaired by Dawne Tortorella, SWAN Assistant Director.

Patron Mobile app

Based on feedback from the strategic planning town halls, the SWAN Board decided to initiate a discussion at the September and December 2018 Quarterly meetings on SWAN's mobile presence. The purpose of this was to not wait for Clarity's recommendation on the need for a mobile app but have the SWAN Board take steps quickly to address what was clearly expressed from library staff. The mobile app was launched to all 97 SWAN libraries in July 2019. While outside of the activity of Clarity, this goal was pursued alongside the purpose of Clarity.

Formation of Clarity Task Force

The Clarity Task Force is an operational task force of member library front-line staff, representing a wide range of expertise. This Task Force is collectively charged with assisting the SWAN Executive Director in evaluating core Library Services Platform software and services and how it is implemented in our consortium. Membership expertise and creativity are critical to the success of surfacing areas of improvement, increased efficiency, and future exploration/experimentation.

Task Force Group Composition

Recommendations for membership of the Clarity Task Force was submitted by the SWAN Executive Director for approval by the SWAN Board of Directors. Active members from our SWAN Advisory and User Groups were a key consideration, with approval sought from their respective Library Directors before invitations were sent to these library staff. Among the selection criteria for individuals was their solutions-driven contributions to the SWAN membership.

Objective

Clarity will assist SWAN in surfacing and documenting areas of dissatisfaction and frustration with our library services platform and membership services, as well as help provide direction in priorities for research and exploration. The Task Force work was guided by three key objectives:

1. Determine a shared diagnosis
2. Deliver on solutions
3. Strengthen our collective identity

The Clarity Task Force has met monthly since April 2019 and participated in shared discovery and research activities. The Task Force has collaborated through a SharePoint project site where documents, research findings, and discussion are open for all members of the Task Force.

Framework

The first meeting of Clarity in April 2019 agreed the following as the framework for the group.

- Learn & share
- Frame the issues
- Test & measure
- Gather intelligence/insight

This framework is represented on the cover of this report.

Task Force Research

To help understand library staff satisfaction with SWAN's library service platform, Clarity reviewed the SWAN membership survey conducted in 2018 as part of the strategic planning process. This included the results and written comments by library staff. Based on this survey results and its comments, Clarity chose to conduct its own research with library staff. The Task Force felt the timing of the 2018 survey directly after the addition of 19 new libraries, combined with strategic planning, required more complete answers.

The Task Force and SWAN staff worked to develop research activities that would surface more in-depth collection of data and staff impressions. Clarity and SWAN staff proposed an approach for research using established user experience methodologies. The approach was not to pre-determine any issues and allow for a variety of inputs to give Clarity the insight it desired for the common diagnosis. The research activities used four methods of input.

- Time Studies of WorkFlows (pp. 17-24)
- Journaling Study (pp. 24-34)
- WorkFlows User Interviews (pp. 35-40)
- Focus Groups (pp. 41-52)

The details of each of the activities is detailed in ***Part 2*** of this report. What follows in ***Part 1*** is the analysis and summary by Clarity representatives on the issues requiring focused attention. This focused attention is not solely directed at problem identification. In many cases, findings highlighted areas of opportunity where directed efforts could provide positive impact. Problems which were identified by only one or a small number of members were not discounted, but rather earmarked for attention through direct communication and resolution. SWAN staff is using information collected through these activities to resolve identified problems directly with member libraries and staff.

Concurrent with the research activities, SWAN staff worked with a group of engaged library staff interested in providing research and development feedback to SirsiDynix related to the BLUEcloud suite of applications. This BLUEcloud R&D work is included in both immediate action and strategic direction related to the clusters of concern.

Part 1: Issues Identified, Responsibility, Corrective Action, and Strategic Direction

Combining information from research activities initiated by the Clarity Task Force, BLUEcloud R&D work within the SWAN community, and input from our advisory and user groups, extensive data collection, and member engagement surfaced five primary issues. While the research, development, and engagement activities surfaced identifiable problems for immediate resolution, the Task Force remained focused on clusters of interest and how these can be addressed through shared responsibility and courage to consider big ideas.

The primary clusters helped focus on issues that impact a large population of the membership and provide opportunities for immediate corrective action and strategic direction.

The highlighted clusters of concern and interest include:

1. Holds (patron and staff experience, demand management, policy)
2. Discovery and access to resources (searching, assisting patrons)
3. Acquisitions processing
4. Reports and statistical analysis
5. Support: communications, documentation, and training

As these issues were reviewed, most refreshing was the attitude of the Clarity Task Force who echoed:

We have the power to solve some of the problems. It requires agreement on a path forward!

Introduction: Purpose of SWAN

Central to developing a shared diagnosis is agreement on how we define and view SWAN. Is SWAN a shared hosting service for a library's integrated library system? Or is it the infrastructure and community of libraries that facilitates resource sharing?

Focus group participants and Clarity Task Force members were asked to define SWAN. Responses overwhelmingly described SWAN as an organization whose primary mission is to facilitate resource sharing amongst participating libraries. It expands the collective resources available to library patrons and is viewed as the community of libraries and SWAN staff as the support structure that allows the resource sharing to take place.

While this answer seemed apparent in discussion, the implications of SWAN as solely hosting the individual library's ILS versus being a resource sharing network as the defining characteristic of SWAN presents challenges. The difference between those focal points creates a dichotomy surrounding shared purpose and practice. These challenges manifest in tension between local control (SWAN is solely an ILS host for the individual library) and consortium-wide policy (SWAN is a resource sharing service for all member libraries).

It is critical to acknowledge that local identity does not preclude strengthening SWAN's collective identity – as well as the inverse. Rather the unique and local identity of each member library fuels our SWAN resource sharing consortium. A shared mission of serving patrons and supporting communities, individually and collectively drives our work.

Just as the SWAN Board leads as a representative democracy, library and SWAN staff strive to be good citizens in providing service and supporting the cooperative. Disparities in resources available locally highlights the positive impact of good citizenry, across our wide geographic reach.

Balancing good stewardship with consistent and expansive access to resources can be difficult. Regardless of challenges and difficult discussions, the research conducted by Clarity shows that the SWAN membership understands resource sharing as the principle value and has a strong desire to work together.

The importance of trust within our SWAN community cannot be taken for granted on our quest for continuous improvement in service and resources. As we present this shared diagnosis of issues, we do not affix blame. Instead, we will assign responsibility on solving problems and following a positive path forward with incremental steps. Incremental successes in this journey will build trust amongst SWAN staff, SWAN members, and our strategic partners.

Issue #1: Holds

The placement, prioritization, and fulfillment of holds through direct patron and staff requests is the nexus of resource sharing throughout SWAN. Holds management related issues were the most surfaced concern. Library staff working at public service desks made clear that dissatisfaction exists around managing holds for library patrons (see the Part 2 "Issues Identified through Journaling Activity").

It is helpful to step back and look at the data to provide a holistic review of holds processing within SWAN, recognizing the volume of holds-related activity in the system.

From July 1, 2018 – June 30, 2019, the following metrics show:

- Holds created – 2,411,036
- Holds made available – 2,271,196
- Transits between SWAN libraries – 4,054,391
- Approximately 84% of holds are filled by another SWAN library
- Items missing in transit (approximately 1 year) – 1,802 or less than 0.04% of 4,054,391 transited items
- Average time of hold shelf before pick-up – 2.218 days
- Holds are placed by:
    - Patrons via Enterprise – 74%
    - Patrons via Mobile Apps - ~1%
    - Staff via WorkFlows – 25%

Detailed analysis July 24 – August 31, 2019 shows:

- Average daily holds filled – 4,747

- Average days to fill hold – 11.01 days
- Median days to fill hold – 6
- 93% of holds filled within one month

SWAN's library services platform is processing an amazingly large number of holds with near flawless efficiency.

Statement of Issue/Problem

Several factors add to the complexity of holds placement and management within SWAN. These factors include:

- Inconsistencies across the membership in restrictions on placing holds on new items is frustrating to patrons and staff.

  An example of these inconsistencies is readily apparent in the SWAN Hold Map. At the 2019 COSUGI Consortia Special Interest Users Group (for SirsiDynix Consortia customers), SWAN's hold map configuration was nearly 3 times larger than the next largest hold map (3,472 lines versus the 1,340 hold map lines within the CLEVNET consortium of 314 libraries). Within SWAN, member libraries range from 3 hold map entries to 153, illustrating the vast differences in how libraries implement restrictions on placement of holds.

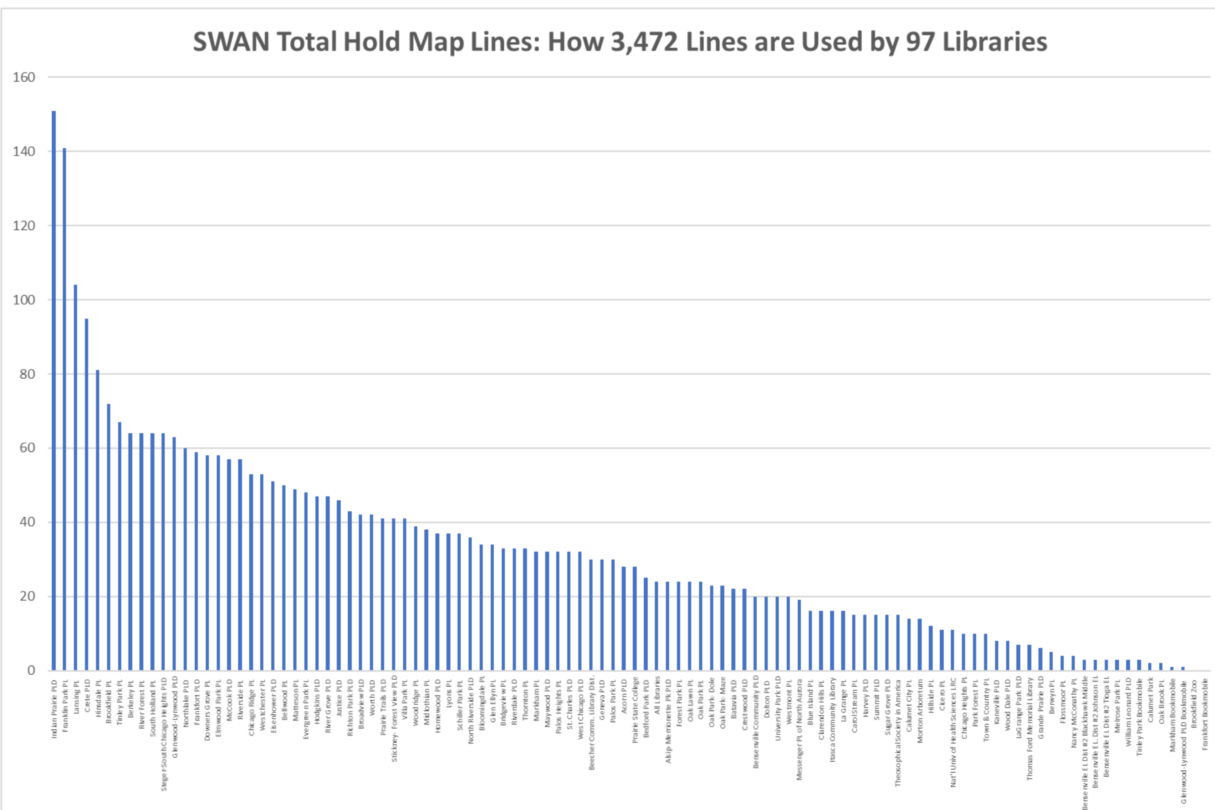


Figure 1: Each line represents a member library's total number of lines used within the SWAN hold map

- Searching and placing holds in WorkFlows is cumbersome, requiring staff to toggle between Enterprise and WorkFlows, and often a supplemental resource such as Google or Amazon is used.
- Due to cataloging of same titles/different format (e.g. Blu-ray, DVD, combo, large type) and duplicates created through pre-cats and vendor records, it is difficult to identify the best title for holds placement which will ensure the fastest fulfillment for patrons.
- Patrons may place a hold on the wrong copy, such as the copy not owned by their home library. Staff would like to be able to more effectively move these holds to a more appropriate record without losing queue order.
- Hold queue wait time is difficult to estimate and staff are not confident about communicating the holds process and configuration.
- Hold wait time is too long for popular titles.
- Item on shelf at home library could fill hold, but it is not selected for pull list.

Corrective Action (Immediate)

- Review Holds Global Configuration, developing ongoing data driven experiments and reporting. [Note: Change implemented 9/10/19 – System is configured to trap hold with first item received.]
- Report on de-duplication processes within SWAN and number of records merged.
- Communicate and enforce compliance of cataloging standards.
- Review record matching criteria used in acquisitions processing to create fewer duplicates.
- Develop recommended best practice for placing holds on on-order titles/items.
- De-mystify how holds are placed, prioritized, and processes in the system.
- Document and communicate impact of on-order records and holds processing.
- Develop training (collaboration between SWAN staff and member library staff) on searching and placing holds, emphasizing how to determine best title.
- Research and test use of BLUEcloud Circulation in public service job roles.

Strategic Direction/Big Ideas

- Implement consistent lending policy across the membership (e.g. allow holds to be placed on all items).
- Develop method where a hold can be placed on every title by any patron. Essentially implementing a model of patron-driven acquisition based on first-copy trigger in SWAN.
  - Provide alerts/reports when patrons have holds on titles that are not available for fulfillment and thus become purchase alerts for patron home library.
- Provide consortium-wide bestseller rental to manage demand. Implement as a roaming collection.
- Eliminate splitting of combo packs; circulate titles consistent with title purchased.
- Develop specialized public service tool which includes a secure and verifiable method of accessing patron accounts in Enterprise for holds placement/management.
- Develop a tool to estimate hold wait time.

Issue #2: Discovery & Access to Resources

The research Clarity conducted through the journaling and focus groups revealed a consistent use of Enterprise to initiate the search for an item and then in placing a hold for a patron in WorkFlows. The two interfaces present challenges within these steps, which can lead to library staff dissatisfaction with serving patrons

Statement of Issue/Problem

Specific difficulties in searching are outlined in the research findings. Many of the search issues surfaced intersect with holds management and how the "most appropriate" title is surfaced for patrons based on their home library.

- WorkFlows only allows sorting on the first 200 titles returned in search results.
- Differences due to editions and formats are not apparent and appear to be duplicate records.
- Search results ranking does not favor patron's library copies.
- Filters/facets are not responsive or persistent.
- Patrons want to search and sort by what is currently available.
- Series searching often requires use of other resources such as Novelist, Amazon, GoodReads, Google to get an ordered list of titles in a series.
- WorkFlows and Enterprise are unforgiving and generally unhelpful with one-word titles, misspellings, and punctuation.
- E-content appears to rank higher in results than physical material.
- Lack of help, guidance for patron in accessing e-content – multiple barriers to entry in use of e-content.

Corrective Action (Immediate)

- Implement universal BLUEcloud Mobile App with templates/scoping for each SWAN library. [COMPLETE]
- Develop training program to address search strategies in WorkFlows and Enterprise. [COMPLETE]
- Configure Article Search (EBSCO Discovery Service) for all SWAN libraries within Enterprise catalog. [COMPLETE]
- Develop a report for libraries to check *Last Copy w/Holds in System Report* allowing staff to intervene when a patron has a hold on an item that cannot be filled [COMPLETE]
- Upgrade to Enterprise 5.0.1 and provide responsive online catalog.
- Modify search results display to highlight available resources and those owned by home library.
- Implement ability to filter on availability and on-order.
- Implement a FRBRized display of search results.
- Conduct usability testing on e-content usage and access.
- Participate in research/testing of SimplyE for consistent access to e-content.
- Develop online patron registration process with immediate access to e-content.
- Evaluate impact and, if possible, implement daytime (delta) harvests of Enterprise.
- Evaluate catalog OPAC/Discovery options, alternatives to Enterprise.

Strategic Direction/Big Ideas

- Implement Enterprise 5.1 and participate in SirsiDynix's Strategic Partnership Program for index enhancements.
- Conduct quarterly evaluation of Enterprise search analytics to identify both effective and problematic search results.

- Develop effective interconnections/services to surface popular subject, series, and awards within the catalog.
- Experiment with solutions to prototype public catalog options (e.g. VuFind, Pika, or OpenSearch).
- Use Web Services to create specific job functions extensions in Enterprise.
- Develop expertise in BIBFRAME and interface for specialized collection display/highlight.

Issue #3: Acquisitions Processing

Acquisitions was identified as a major roadblock to efficient processing immediately following migration of 19 new libraries in 2018. This timing coincided with member feedback collected during strategic planning work in the summer of 2018.

The addition of 19 new libraries added 12 libraries using Symphony Acquisitions, bringing the SWAN total to 27. The contention for run-time of tasks within the SWAN Symphony ILS created bottlenecks for some of the 27 total libraries using Acquisitions. This also constrains SWAN from adding libraries to our already taxed Symphony Acquisitions system. The bottlenecks however, do not affect all libraries using Acquisitions, only a subset.

Statement of Issue/Problem

Acquisitions processing within WorkFlows manages the required tasks. What is troublesome to library staff is waiting on report/task queue contention impacted by competing report/acquisitions processing throughout the membership. In other words, library reports must wait for either each other's reports or mid-day patron notification to complete.

- Ordering material is difficult and time-consuming, especially in the morning, due to the number of reports running in the consortium. As a result, staff schedules needed to change to balance report queues (some Acquisitions staff changed their hours from AM to PM).
- An on-order item must be processed if the library wants to allow holds to be placed on items waiting to be received. Adding on-order items also impacts how items are surfaced and displayed in Enterprise, making the on-order title appear in the list of all items instead of separated into a section visible only in the detail record display. This adds extra steps to the cataloging process when an on-order item needs to be deleted.
- Inconsistent communication and allowance of acquisitions reports to be scheduled outside of normal system hours (e.g. libraries joining in 2018 allowed to schedule acquisitions reports earlier than others).
- Symphony Acquisitions allows many variations in local practice which makes support difficult – what works for one library may introduce problems for another.

Corrective Action (Immediate)

Due to the urgency of the issues surfaced after new 19 libraries migration, priority was placed on addressing Acquisitions. As such, many of the corrective actions outlined have been implemented. But, it is worth noting that Symphony Acquisitions corrective actions are seen as band-aids as we wait for the anticipated cure (Strategic Direction = BLUEcloud Acquisitions).

- Reconfigure notification reports and timing to reduce report contention with acquisitions reports. [COMPLETE]

- Document acquisitions processing flowcharts for clarification on dependencies and report actions. [COMPLETE]
- Develop training on acquisitions overview and processes. [COMPLETE]
- Work with SirsiDynix to develop custom report to purge old fiscal cycles. Purge fiscal cycles older than 2 years. [COMPLETE]
- Reconcile vendor configuration which are creating errors. [COMPLETE]
- Participate in BLUEcloud Acquisitions Pilot. [COMPLETE]
- Work with SirsiDynix to enhance existing Book Invoice X12 reports to limit by vendor and library.
- Make vendor contacts and develop SWAN-library configuration standards. Maintain ongoing and direct contact with primary vendors.
- Work directly with B&T on efficient processing/cart settings, including shelf-ready implications.
- Work directly with Ingram on fiscal roll over and EDI file errors.

Strategic Direction/Big Ideas

- Continue involvement with BLUEcloud Acquisitions; implement BLUEcloud Acquisitions for new libraries. Communicate with vendor that this is our most critical application need.
- Automate on-order record and item record processing (add/delete based on order process).

Issue #4: Reports & Statistical Analysis

SWAN's strategic plan initiative focuses specifically on dissatisfaction with the staff interface WorkFlows and the public interface Enterprise. However, throughout the research conducted by the Task Force, the frustration with statistical reports and collection analysis within SWAN's BLUEcloud Analytics became apparent.

Statement of Issue/Problem

Library staff are the sole user of BLUEcloud Analytics. The tool is powerful and is likely the best analytical platform SWAN has provided libraries. The interface however is non-intuitive, and the organization of the hundreds of reports SWAN staff have created to meet library demands has made use of Analytics a frustrating, confusing place to work.

Corrective Action (Immediate)

- Provide ongoing BLUEcloud Analytics training and consultation as part of SWAN's curriculum of classes
- Create dashboards for library staff to review at-a-glance statistical activity relevant to their position/need.
- Create "Your Monthly Report" as a standard report to all SWAN libraries.
- Design templates in Analytics with the idea of having the "kitchen sink" of data available.
- Develop a method of providing inventory of reports with sample output and purpose.
- Identify and recreate reports available through other 3rd-party analytic tools to highlight collection development (e.g. Grubby items, dead-on-arrival).

Strategic Direction/Big Ideas

- Consider a 3rd party data repository for improved interface, performance, and to plan for a future beyond the BLUEcloud Analytics should SWAN decide to make changes to its library services platform.

Issue #5: Support: Communications, Documentation, & Training

SWAN support was positively acknowledged by members during our research activities. Specifically, development of documentation on the SWAN Support site (launched December 2018) and increased training curriculum with recorded online sessions were mentioned as positive efforts to improve support.

Statement of Issue/Problem

While SWAN has made positive strides in responding to support tickets, online documentation, and training, communication was surfaced in the focus groups. Trust issues were identified through the focus groups with a focus on communication from SWAN and between SWAN libraries leading to a lack of confidence, and thus mistrust.

Communication in SWAN exists within several intersecting spheres:

a) SWAN staff to Member library staff
b) Member to member
c) Member to SWAN staff to Vendor
d) SWAN consortium to Patrons
e) Member Libraries to Patrons

There is a need to remove "blame transfer" within these spheres and consider SWAN as the collective organization which comprises all parties working within the SWAN community of libraries, users, staff, and partners to share resources and services locally, statewide, and farther afield.

Corrective Action (Immediate)

- Reorganize SWAN organizational structure to provide clear line of first-level of support. [COMPLETE]
- Institute levels of severity in assessing issues and minimal time to respond to help tickets. [COMPLETE]
- Practice positive communication, provide alternatives instead of saying "no" – instead "yes, but here are options."
- Seek input from the membership through more 10-second surveys based on recommendations from advisory groups, allowing full membership to know their input is heard and followed.
- Launch new networking groups as recommended by the membership (Outreach, ILL – 2019; Book Clubs, Public Service, eResources – 2020). [COMPLETE]
- Encourage member leadership in user groups. (Cataloging Users, Circulation Users, Outreach Users, ILL Users, Book Clubs Users, Public Service Users are led/co-led by member library staff in 2020). [COMPLETE]
- Clarify purpose and opportunities of user groups, encouraging participation.
- Extend training and consultation to members on-site in areas where libraries are underrepresented at user group meetings.

- Maintain an ongoing calendar of meetings with access to agenda, notes, and supplementary material available online for those who cannot attend in person.
- SWAN staff and Member library staff collaborate to develop/co-present training programs for members.
- Create and share standards and best practice recommendations, emphasizing neighborly practice, through the SWAN Support Site.
- Launch an online community forum and open discussion. [IN PILOT]
- SWAN staff and Member library staff develop standard scripts that can be consistently shared with patrons across the membership to facilitate consistent conversation (e.g. when will my hold be filled?)
- Take responsibility for proactive engagement with colleagues – members should feel empowered to lead discussions and network with peers.
- Examine patron messaging which originates from the system, notices and Enterprise for clarity of message and clear contact points for patrons.
- Develop and expand ongoing workshops including hands-on labs, web conferencing, recorded tutorials, open working labs, and reinforcement exercises.
- Develop and share with members an overview of communication channels and how these are used in communicating with the Membership. (SWANcom, Support Site news, Support Site known issues, Newsletter, agenda/minutes/packets of membership meetings, online forum)
- Create and distribute 10-second survey to assess membership desires in communication channel and content (e.g. Do members want SWANcom on library closings?)

Strategic Direction/Big Ideas

The largest idea which extends in all interactions between SWAN staff, SWAN member libraries, vendor partners, and our patrons is the need to **nurture trust**. Operating from a position of trust provides a foundation for tackling sensitive topics, facilitating difficult conversations, promoting compromise and striving towards excellence.

- Develop and adhere to communication style guidelines. This includes consistency of voice, vocabulary, and method of delivery.
- Follow consistent use of messaging options with clear expectations of which channel of communication is used in which circumstance.
- Consider role of Marketing/PR of SWAN, as an organization comprised of our collective staff and patrons.

Conclusion

Part 1 of the report should be viewed in the following light:

> There is no perfect system for SWAN, we will always be modifying the software to bend to our needs. Regardless of platform or software used, our two biggest areas of concern will continue to be holds and searching – the features that deliver the resource sharing benefits to patrons.

Many of the issues identified can be mitigated through standardization of policies and practice.

Standardization of Policies & Practices

The Clarity Task Force was asked to think without constraint and define the biggest idea that could have the most positive impact on our SWAN community. Again, the tension between local policy/practice and shared consistent operations surfaced. Standardization of policies and practice would solve many of the specific problems outlined in our listing of issues.

Finding a balance between members' desire to control their resources and prioritize their patrons and being equitable with easy to manage/follow configuration settings is a challenge. A utopian view of this in practice is not required to realize positive impact. Gradual movement toward consistency is effective and doable.

The lack of standardization in policies leads to issues such as:

- Access to materials and services is inconsistent and at times frustrating for both staff who must follow policy and patrons who can observe these differences in action. Different policies at different libraries can confuse patrons, particularly those who view SWAN libraries as a shared collaborative of libraries working as a consortium. (e.g. a slight variation in circulation rules - 10 cents daily fine versus 15 cents can be confusing for patrons who visit multiple libraries).
- Relying on "best practices" can leave wiggle room for interpretation to disregard if others do not follow.
- Management of the system is more complicated when accommodating different rules for each library. Minute changes require an exponential level of complexity when applied across 100 libraries.
- Savvy patrons are already getting around the most restrictive loan policies by picking up items at less restrictive libraries.

Suggestions for forward movement:

- Define core standards/policies and enforce these when admitting new member libraries.
- Address "low-hanging" fruit – what can we all agree on?
- Recommend compromises we can live with.
- Create and use a shared language/behavior (e.g. QuickPick vs HotPick).
- Anticipate pushback and show examples of where we are already standardizing and succeeding (Boxed sets, auto renewals, pick up anywhere).
- Condense item types (e.g. BOOK_NEW and NEW-BOOK; PERIODICAL and MAGAZINE).
- Develop a path for libraries wishing to go fine free with an understanding of implications for neighboring libraries.
- Automate processes that can more consistently update item types/statuses (e.g. de-newing).
- Target work with libraries that have most complicated loan and hold maps to facilitate a gradual movement to more streamlined policies.
- Develop an annual audit and review with libraries assessing movement toward core standards.

The Task Force welcomes the opportunity to present its findings to the SWAN Board and to the membership.

Part 2: Clarity Task Force: Research Activities

Introduction

During the summer, members of the Clarity Task Force and SWAN staff gathered input from our members to help identify and surface areas of concerns regarding our Library Services Platform.

The following methods of research were deployed:

A. Time Studies of WorkFlows (screen recording at Circulation Desk) [Clarity Task Force]
B. Journaling Study (at Circulation and Public Service Desks) [Clarity Task Force]
C. WorkFlows User Interviews [SWAN Membership]
D. Focus Groups [SWAN Membership]

The Time Studies of WorkFlows and Journaling Study included libraries represented by Clarity Task Force members. Task Force members helped guide their colleagues in completion of these studies. These techniques did prove to be effective in surfacing issues and additional engagement with the membership in the future and in targeted functional areas is recommended as part of SWAN continuous efforts to gather input.

The interviews and focus groups included members of the wider SWAN community.

Clarity Task Force Research Activities

Each of the research activities resulted in written report capturing the information collected through the activity. Reports were compiled by SWAN staff using the input received through these activities.

A. Time Studies of WorkFlows: Our Methodology

Introduction & Purpose

This independent capture of WorkFlows activity allowed us to determine exactly what features of the software are most accessed and the efficiency of that work process. It helped identify areas where finding information of completing actions could be improved. It reinforced potential differences in periods of the day and at libraries, providing a range of activity patterns to observe. We hoped to uncover areas where additional training or configuration of the interface could be helpful.

With time slice studies, it is helpful to have a specific day/time for capture of screen recordings. This provides an opportunity to see a cross section of activity across multiple libraries within the same period – enabling review of both commonalities and uniqueness.

Analyzing the Data

Clarity Task Force members uploaded their recordings into their own folder in the team-based SharePoint project. SWAN staff downloaded these screen captures to secure storage for coding. The function of coding did not include any barcodes or personal identification. The analysis will capture functions enabled during the session. An example might reflect:

1. Discharge/Checkin > Scan item > Route to Holds > Print Hold Wrapper

2. Charge/Checkout > Scan user barcode > Respond "Checkout to User" to delinquent status > scan item barcode > Respond to Alert (previously had a copy of this title) Checkout to User > Click on Date Due > Modify

Immediately upon codifying functional use, the screencast was deleted.

Timeline for Data Capture

During the week of July 15th, Clarity members were be asked to help create screen captures at one Circulation Desk during the following time periods:

- Tuesday, July 16, 10:00 AM – 10:10 AM
- Wednesday, July 17, 12:30 PM – 12:40 PM
- Thursday, July 18, 6:15 PM – 6:25 PM
- Friday, July 19, 3:45 PM – 3:55 PM

This work was not intended to be exhaustive across all circulation work stations, but rather reflective of a typical use case.

Overview

Instructions to Clarity Task Force Library Participants

The following instructions were provided to the participants:

> This independent capture of WorkFlows activity will allow us to determine exactly what features of the software are most accessed and the efficiency of that work process. It will help identify areas where finding information of completing actions could be improved. It will reinforce potential differences in periods of the day and at libraries, providing a range of activity patterns to observe. We may also uncover areas where additional training or configuration of the interface could be helpful. With time studies, it is helpful to have a specific day/time for capture of screen recordings. This provides an opportunity to see a cross section of activity across multiple libraries within the same period – enabling record of both commonalities and uniqueness.

Participation

Six libraries participated in the study for a total of 23 recordings for analysis. The Clarity Task Force members uploaded recordings to a shared personal folder on the team-based SharePoint project site. These recording were immediately downloaded to a secure internal storage and removed from the team site to protect privacy.

Data was analyzed for functional activity with no recording of specific barcodes, either items or users. Functional processes were codified for consistent reporting and comparison. All data was collected and made anonymous without reference to the specific library. Libraries were codified by random selection of color identifiers.

A. Time Studies of WorkFlows: Data Capture

Issues Identified through Time Study

Summary of Activity

Data was analyzed from six libraries, representing 23 sessions. The data was analyzed as a composite set and not broken down by library.

Primary functional activities identified included:

- Discharge/Checkin
- Checkout
- User Lookup and Modification
- Onshelf Holds Lookup
- Bill Payment
- Item Search

The following table provides total and average time/activities recorded.

Average Time on Task:

- Active (performing a task) – 3:06 (3 minutes, 6 seconds)
- Idle (screen static at last state) – 6:54 (6 minutes, 54 seconds)
- Approximately 1/3rd of capture time functional operation was in progress

Average number of processes during session (note this is not the number of checkouts or checkins of items, but rather the activation of the functional task and all the associated items involved in that sequential process):

- Average processes per session – 4.3
- Discharge/Checkin – 1.35 (31%)
- Checkouts – 1.17 (27%)
- User lookup/modification – 1.17 (27%)
- Ohshelf holds lookup – 0.35 (8%)
- Item Search and Display – 0.13 (3%)
- Bill payment – 0.09 (2%)

While we did not analyze each task sequence separately, we did capture the time from start of Checkout transaction until completion. This correlates to a patron interaction where efficiency of the application software is critical.

- Number of Checkout transactions (represents number of patrons helped) – 28
- Average of all checkout transaction sequence per patron – 39 seconds
- Average per patron (no alerts) – 17 seconds
- Average per patron (alert – delinquent) – 49 seconds
- Average per patron (alert – holds available) – 59 seconds
- Average per patron (Chicago PL patron) – 84 seconds

Our sample showed that the checkout process is efficient, and patrons on average are helped from start to finish in less than 40 seconds. If no alerts are issued, that time to complete falls to under 20 seconds. The only checkout that took more than 1 minute was for an external reciprocal borrower where additional verification of patron record and potential lookup at the patron's home library is required.

Process Evaluation

This process of data analysis proved to be effective in showing interaction with a critical application within the SWAN Library Services Platform. As hoped, we were able to determine time-on-task for specific functional tasks that are part of a common circulation desk activity.

Participants indicated that data collection was not a difficult or time-consuming process and use of the recorded selected, activated via the Chrome web browser, did not present installation issues.

For 10 minutes of recorded activity, it takes approximately 20-30 minutes to codify the activity. More active sessions obviously take longer. This process did enable us to create a coding system that can be replicated and expanded for future analysis.

Codified Data Analysis

To understand the process of data collection, the following sample represents how information was codified and analyzed in the recordings. Start time of each transaction was logged. Time on task was calculated (Time of last step in transaction – Time of first step in transaction).

Time	Menu				Total Time in Tasks	Idle
					2:26	7:34
2:16	Circulation >Charge/Checkout			0:28		
2:18		scan user barcode				
2:20		alert - holds available > OK	shows inactive ID in alert			
2:39		scan item barcode				
2:44		close				
5:22	Circulation >Charge/Checkout			0:37		
5:23		scan user barcode				
5:37		scan item barcode				
5:44		scan item barcode				
5:49		scan item barcode				
5:55		email current chekcouts receipt				
5:59		close				
10:35	Circulation >Charge/Checkout			0:23		
10:38		scan user barcode				
10:39		alert - user deliquent	shows amount owed and notes (DL# NEEDS INPUTTING IN RECORD.			
10:44		check out to user				
10:50		scan item barcode				
10:58		close				
11:02	User > Modify User			0:58		
11:03		click on currrent patron				
11:05		Basic Info				

Observations

The following observations were noted which may highlight a need for more standardized procedures across the SWAN membership, additional training, and sharing of common practice amongst members.

- One library updates patron record with driver's license number. This is scanned and used as an alternate id. What security concerns does this raise collecting this information in the SWAN database?
- Observed delays between scanning and barcode and entry of that barcode point to different settings in barcode scanners – some send an automated carriage return, others not. While this is a library choice and can be set based on library preference, have we properly compared/contrasted difference for the membership to evaluate the appropriate settings for their library?
- Many checkins were for items already checked in. It appears libraries doing a double check-in before shelving, or perhaps items are re-scanned before final re-shelving in the service area.
- When re-registering a patron from another library, any additional features activated by their home library (e.g. Outreach, User Groups) is automatically turned on for their record, even if the new library does not use those features of the software.
- Alerts related to delinquency and Inactive IDs are prevalent. Is there a more efficient workflow than displaying alerts in these situations?
- Data clean-up (e.g. changing name/address information to all caps) may be more efficiently done through centralized activity arranged by SWAN staff.

Conclusion

This activity proved valuable in two aspects: evaluation of use of screen recording to observe application use and determination of efficiency of WorkFlows in performing circulation functions.

The data gathering was a straight-forward and easily replicable activity. While data analysis can take some time, targeted key functional analysis can provide much insight. This data collection method should be examined in other targeted work processes including cataloging and placement of holds. When extending this exercise in the future, a participation statement should be signed which indicates understanding of the process and purpose of the activity logging. Some activity logged in the sample did not appear linked to actual service-related activities (e.g. checking in items that were not checked out). Without detailed investigation it would be difficult to identify the purpose of these activities. They were included in this observational study.

Codifying discrete steps required to complete a circulation transaction showed that standard checkout and checkin processes are very efficient. Exception processing, such as registering a new patron, responding to delinquent status, and processing holds were more time consuming. These exceptions are quite prevalent and did not significantly add to overhead of assisting patrons. Verification and review of patron data was helpful in identifying potential system efficiencies (e.g. converting lowercase to uppercase via system processes instead of manual), as well as a legacy practice which was no longer desired (library immediately changed practice).

Related to processing items either through normal checkin or daily processing of transited items, it is common to perform a double checkin. While these introduces an inefficiency in terms of extra transactions, the practice eliminates errors where pop-up screens and appropriate action (transit, shelve, hold) may be missed.

Activity Log by Library

Identity Code	Session	Active Minutes	Idle	Processes	Functional Task					
					Checkout	User	Checkin	Pay bills	Item search	Onshelf Holds
blue	1	48	552	4		1	2			1
blue	2	217	383	7	3	2	2			
blue	3	189	411	6	1	4	1			
blue	4	59	541	2		1	1			
green	1	267	333	7	1	4	1	1		
green	2	354	246	5	1	2	2	0		
green	3	126	474	4	1	2		1		
orange	1	352	248	4	1		3			
orange	2	409	191	5	2		3			
orange	3	456	144	6	3		3			
orange	4	81	519	2	1		1			
purple	1	146	454	4	3	1				
purple	2	104	496	2	1		1			
purple	3	62	538	2	1				1	
purple	4	40	560	2	2					
red	1	43	557	3	1		2			
red	2	225	375	6	3	1	2			
red	3	139	461	3		3				
red	4	97	503	2			1		1	
yellow	1	270	330	4			2			2
yellow	2	144	456	10	1	3	2			3
yellow	3	263	337	7	1	3	1		1	1
yellow	4	181	419	2			1			1
		4272	9528	99	27	27	31	2	3	8
Average		185.74	414.26	4.30	1.17	1.17	1.35	0.09	0.13	0.35
		3:06	6:54							

Calculation of Checkouts

	Checkouts			
	Seconds	RBP	Deliquent	holds
	84	x		
	76		x	
	41		x	
	41		x	
	69		x	
	17		x	
	56			x
	104			x
	53			x
	54			x
	28			x
	28			
	37			
	23			
	28			
	13			
	26			
	20			
	27			
	16			
	26			
	70			
	60			
	17			
	23			
	33			
	22			
	1092			
Avg All	39			
Avg exceptions	16.75	84	48.8	59

B. Journaling Study: Our Methodology

Introduction & Purpose

Why use a journal? Journaling, or diary studies, are intended to provide a method of capturing noteworthy interactions with the software and how that impacts either daily operational work processes or providing services to end users. This is a common methodology employed within user interface design.

Our initial journaling/diary studies were conducted by either selected individuals or teams within the 8 Clarity Task Force libraries. Participation was optional.

Library staff were encouraged to make journal entries as close to the application encounter as possible to accurately capture the activity and impressions.

Personas

The Clarity Task Force developed three sample personas of staff who may be participating in the journaling/diary studies. These personas are provided as a reference in determining how the basic questions addressed through journaling may vary slightly based on persona.

Your specific job role and functions may differ; these personas are provided to illustrate the range of positions and job functions that may participate in the journal activities.

Anna – Adult/Young Adult Service

Anna staffs the adult/young adult A/V desk for approximately 8-10 hours a week. She also manages the department, so has both desk and back-of-house duties. Her primary duties involve collection development and assessment of use of the audio-visual collection for this population of patrons.

Bianca & Friends – Circulation

Bianca and her colleagues provide coverage of the main service desk for Circulation and also assist in back-of-house activities. Depending on location, Bianca and her colleagues may be assisting with patron registration, assisting with overdues and fine payment, checkout, check-in, and locating material on hold. In back-of-house, the team may be processing the pull list, transit of materials, or shelving. Bianca and her team decide they would like to maintain a journal across the team.

Maxwell – Technical Services

Maxwell is a part-time employee who works in Technical Services. This include processing of new materials, scheduling and monitoring acquisitions/loading of files, creating pre-cat records, and checking in serials.

Journaling Prompts/Questions

The following journaling prompts or questions may vary slightly based on your role in the library. Regardless of role, the purpose of the journaling is to capture interactions and work processes that rely on the automated system (Enterprise or Workflows).

1. What system were you using? (Enterprise/WorkFlows)

2. How did this make you feel? If you were working with a patron, did you sense their feelings? [feel free to use an emoji sticker!]
3. What task were you attempting?
4. Quickly/briefly list the steps you took
5. What information did you share with either the patron, a manager, or a colleague related to this event?
6. How did you resolve the issue or workaround the problem?
7. Comments
8. Date/Time (and initials if you are working on a team journal)

Instructions

Step 1 (July 15-19):

Clarity Task Force member works within their library to select 2 people/teams to participate in the journaling activity.

Step 2 (July 15-19):

Clarity Task Force member uses the bookmark prompts file to customize based on persona (e.g. remove references to patrons for back-of-house personas).

Step 3 (prior to July 22):

- Write brief persona, page 1 of journal for recipient(s)
- Distribute journals

Step 4 (July 22 – Aug 13th)

- Recipient(s) journal
- Clarity Task Force member checks progress
- If desired, rotate recipients for journaling

Step 5 (Aug 14th)

- Initial review at Clarity meeting

Journal Example

Page 1 Persona:

My name is Elizabeth and I am a part-time Acquisitions processing clerk. It is my responsibility to schedule and review loading of acquisitions files in Symphony. I work T,W,Th from 7:00 AM – Noon

Journal Entry 

1. WorkFlows – Reports
2. I'm confused and frustrated that this error keeps showing up.
3. Checking finished jobs for ediretrieveftp

4. Go to Reports > Finished Reports > look for status, see ERROR, open report, use the binocular thing to search for “error”, find message, “Error – BWIBook” (that searching tip at least makes it faster to find where in the report this error is happening)
5. I told my Manager but they don’t know what this means. I’m not sure if he told SWAN or if this is something that should be reported. Do I need to talk to the vendor?
6. Everything “looks” fine and comes in, but seeing ERROR makes me worry.
7. I just keep double checking that files come in ok, but I’d really like for that error to go away.

Background on this Activity

Excerpt From “Universal Methods of Design: 30 Diary Studies”[2]

Diaries or journals are guiding artifacts that allow people to conveniently and expressively convey personal details about their daily life and events to design teams.

Diary studies are ideal for collecting information from participants across time, sampling their thoughts, feelings, or behaviors at key moments throughout a day, week, or month.

Blank journals are issued to participants in person or by mail. The diary must be designed for porta-bility and ease of use. An overview of the topic of interest is included up front, with instructions on how and when to complete requested entries, and a sample entry. Participants may be requested to document each time they engage in a particular behavior, encounter a product or situation, or have specific types of interactions. Other studies may require regular entries at particular times of day, or a log of items in summary at day's end. When used within experience sampling, diary entries are made at random times when the participant is signaled by a device or alarm.

Each page entry should be guided with a brief question or prompt, with appropriate space for encouraging the desired length of text. Creative page formats can be used to invite other forms of recording as well, such as sketches or drawings, symbols, or photographs, text or visuals that can be circled or checked, or the use of provided stickers. A small set of questions or space for reflections, and a request for demographic information, is sometimes placed at the end of the diary.

Diary studies are useful tools in exploratory research, preparing the designer for further research by contributing to an understanding of participant user groups While diary studies are typically conducted with a relatively small sample, common themes and patterns can emerge. The synthesized information is intended primarily for inspiration and to indicate design implications for generative design. However, diaries can also be used in generative research. For example, journals are often issued to sensitize participants to research topics leading up to participatory design exer-cises such as collage, flexible modeling, or co-design workshops. In rare cases, diaries may be used for usability studies or evaluation, as a means of collecting feedback from users testing products in context over time.

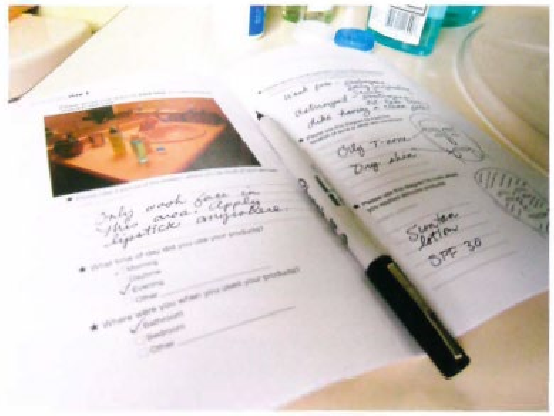
While traditionally diary studies have been completed with paper and pen, technology affords novel forms of entries such as digital photos, video, and audio that may be recorded on digital devices, and sent via email or

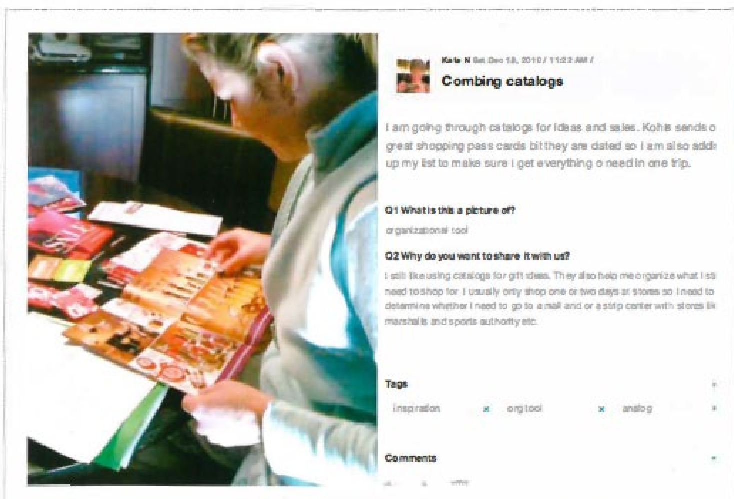
2 HANINGTON, B. (2019). Universal methods of design. ROCKPORT. pp. 66-67.

uploaded on provided sites. Digital diaries can also be completed as an integrated component of online or device interactions, with entry forms imbedded directly within software interfaces.

Diary studies are used to sample self-reported participant interactions or events over time.

Design Phase:





Above: Traditional diary studies are conducted using pen and paper journals, here for a study on skin care regimens..

Diary design by Aya Horiguchi

Left: Digital diary with user photo and text entries describing Christmas shopping experiences.

Courtesy of dscout.com / Gravity Tank

B. Journaling Study: Data Capture

Affinity Diagram of Journaling Activity

The journals were reviewed through an Affinity Diagramming exercise on September 11, 2019. In total, 14 journals were submitted by staff from public service desks representing youth, adult, and circulation staff. Other staff within cataloging/technical services departments participated within the two-week period. All the journals were submitted to Clarity at the end of the period and were analyzed using an affinity diagramming technique[3]. All journal entries were categorized and grouped around common themes.

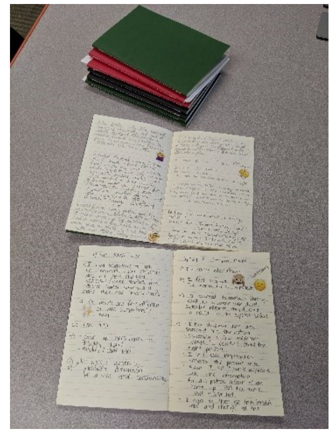


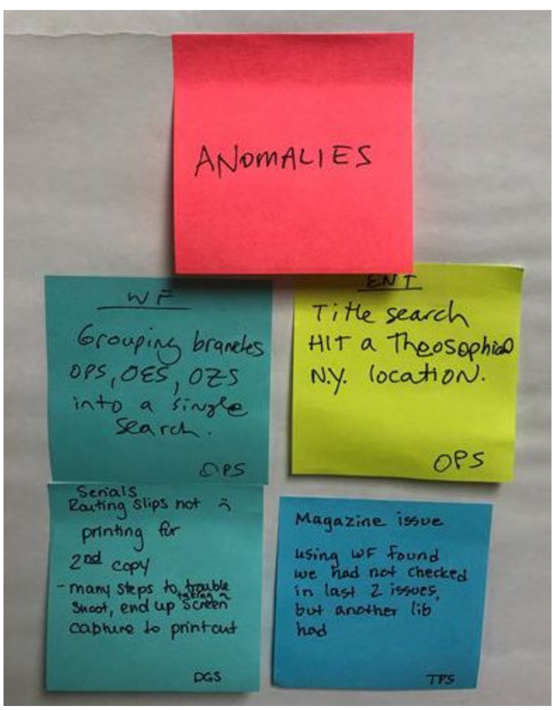
Figure 1 Journals completed within Clarity study

Five SWAN staff (Tara, Crystal, Aaron, Scott, Dawne) participated in this exercise to summarize the journal entries submitted. Journals were returned to the owning libraries upon capturing the topic clusters.

For diagramming we used the following color coding

Blue = WorkFlows
Yellow = Enterprise
Red = Topic clusters

Throughout the issues identified, selected images of the affinity diagramming are included.



[3] Pernice, K., & Pernice, K. (n.d.). Affinity Diagramming: Collaboratively Sort UX Findings & Design Ideas. Retrieved from https://www.nngroup.com/articles/affinity-diagram/.

Issues Identified through Journaling Activity

The issues identified within this journaling and affinity diagram process are meant to be qualitative and not quantitative. The goal of the research was to identify the frustrations of library users, and not necessarily identify how widespread the issue is. Issues fell into the following three major areas:

- Holds related
- Search related
- Others (from cataloging to software related)

Holds Related Issues

The journaling identified a wide number of issues with holds. Some of the issues are software related but many others are SWAN related.

1. Non-holdable new items/restrictive policies

Library users are frustrated by items being available but are restricted from having a hold placed on the item due to the libraries owning that item blocking holds to outside patrons.

2. Hold queues difficult to estimate

Library staff find the task in WorkFlows difficult when asked routinely by library patrons if they can tell them where they are in the hold queue. This is particularly difficult with popular titles that have extremely large queues. Currently, a hold queue on a popular title could include (1) suspended requests that are rising in the queue, but not actively filling the hold, and (2) items that are restricted to only home library patrons, thus being unavailable to fill any other holds in the queue. Providing a patron, the answer "you are 20th in line" while true, provides no accurate estimate on the length of time the item will become available to them.

3. Library staff would like to re-order hold queue

One library indicated that the need to reorder the hold queue is a function desired within WorkFlows but SWAN refuses to grant. The need arises from patrons placing a hold on a title that could be filled faster on another title record (the hardbound with 60 copies vs the paperback with 10 copies). Holds cannot be migrated from one title to another title but are instead recreated on the appropriate title by library staff who then would like to place the patron approximately in the hold queue order as compared to the original hold.

4. Duplicate records, leading to mismatched holds

At various points within the consortium's constant addition of new items, there will be duplicate records. Duplicate title/bibliographic records will be merged and thereby the hold queues will also be merged, retaining the correct hold queue order. But until those records are merged, a title level hold could be waiting on a duplicate record with only one to few copies.

5. Communication/support regarding holds

Library staff indicated that SWAN staff being unsure about holds processes or configuration leads to them having less confidence in the system.

6. Item on shelf could fill hold but does not

Within SWAN's Symphony configuration with holds (specifically called "demand management"), a patron will have a hold filled by a member library, but the locally available item is not triggered first. This can lead to a scenario where an item is transiting from one library to another, but the local copy could have immediately filled the hold.

Search Related Issues

The searching in WorkFlows and Enterprise and the returned results directly impacts the ability for library staff and patrons to quickly locate items available or optimally place hold requests.

7. Holds & relevancy

Enterprise will display search results where the title with the most available copies is listed lower on the results (or the second page), and an item (perhaps newer) that does not have as many available copies is listed higher up on the list. Patrons will place a hold on the first item they see, rather than examine the list and pick the better title option.

8. Library relevancy

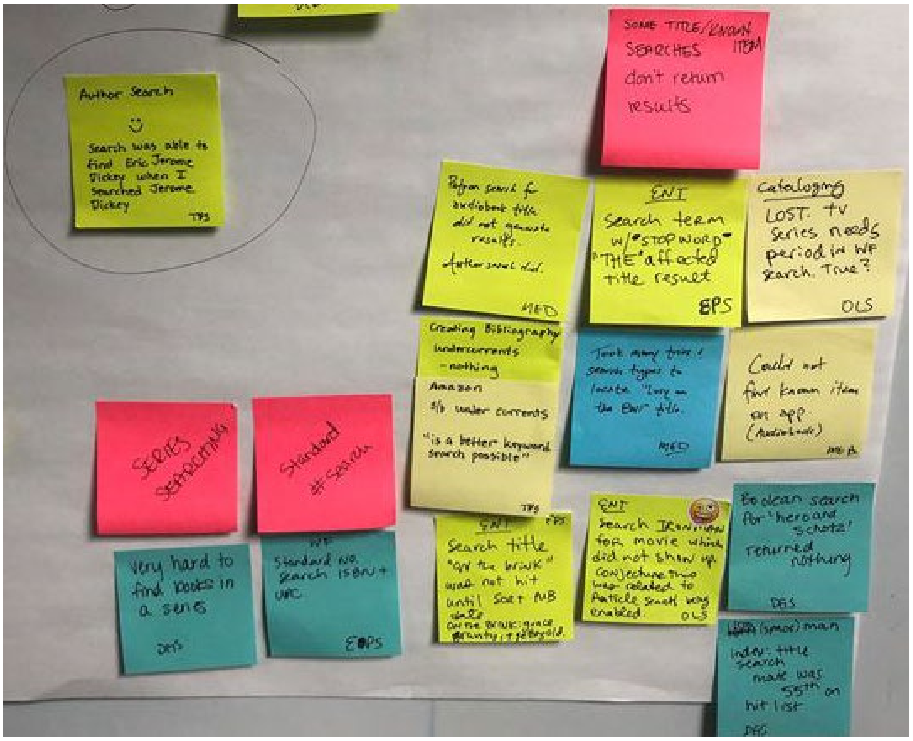
Enterprise search results do not account for owning library within the Enterprise profile. Staff expectation is to have title search results give a priority in the results list of what the library owns.

9. Enterprise/WorkFlows results mismatch

A title search in WorkFlows will bring back different results when compared to Enterprise. This is due to each interface utilizing its own unique index (keyword, title, author, etc.) and not a common, shared index between WorkFlows and Enterprise.

10. E-content surfaces above physical content

The eResource Central content appears higher up in Enterprise search result lists, pushing titles with the most copies available further down the results list or onto a second page of results.



11. Series searching

It is difficult to search for title series in WorkFlows.

12. Standard number searching

Searching standard numbers in WorkFlows can vary day-to-day depending on the amount of records being added/modified/improved by cataloging libraries.

13. Some title/known item searches do not return results

Library users perform a search and know they own the copy, but for some reason their search results returned do not list the item. This is due to a variety of issues, such as library staff using incorrect search indexes in WorkFlows, starting with incomplete titles or titles with short names (It, Us, Smile, etc.). This also occurs in Enterprise.

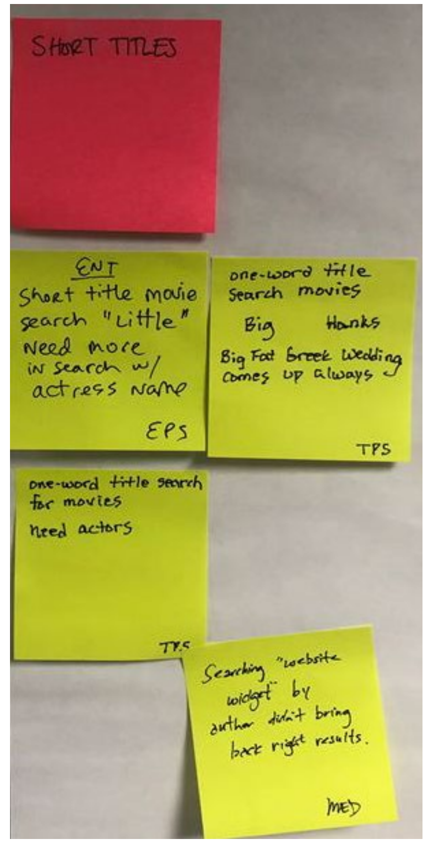
14. Short title searches

One-word title searches require either the author's name or a related performer in the film in order to accurately bring back the result.

15. Limiting searches

Library users will attempt to use the format facets in Enterprise to narrow the results. The Enterprise facets will reset under certain conditions, making library staff redo the search facet limit. This will be the case when Enterprise is used to narrow to locally owned collection titles or expanding the search to all libraries. WorkFlows was also indicated as being problematic for sorting by format. Youth services staff would like to use limits by picture books, readers, junior fiction, etc.

16. Placing holds after searching & generally avoiding WorkFlows search & using other tools first



The journals indicated widespread practice of searching in Enterprise first and then using the selected title in Enterprise to perform a more specific search in WorkFlows in order to place the hold for the patron. Enterprise was noted as being much easier or "user friendly" in regard to searching.

Other Issues

Within the journals, we have identified the following.

17. Cataloging

Records from "dead" inter-library lending with non-SWAN libraries require some cleanup. These are items that remain in the catalog but are of no use to libraries and impact the search.

18. Serials checking sorting

The Symphony Serials functions are not consistent in listing chronology, issues received do not sort in descending order. In addition, there is incongruity in how serial issues display to patrons in the catalog – reverse chronological order is preferred in all interfaces.

19. Desire more actions in one screen

Library users indicated they would like to have the ability to perform an action or a step at various places within their processing, rather than stopping to perform a step elsewhere. This was noted within WorkFlows by cataloging, circulation, acquisitions, and desk staff.

20. Transit cancel option

When checking in an item that either belongs to another library or is on hold at another library a transit box will appear. This pop up has two options, “Put Item In Transit” and “Cancel.” When pressing the Cancel button or closing out the pop up, the item will appear to be on the shelf at the library it was being sent to. The item will show as being on shelf, but it is of course not found there-- the item was checked in that day at another library.

21. Patron registration & searching

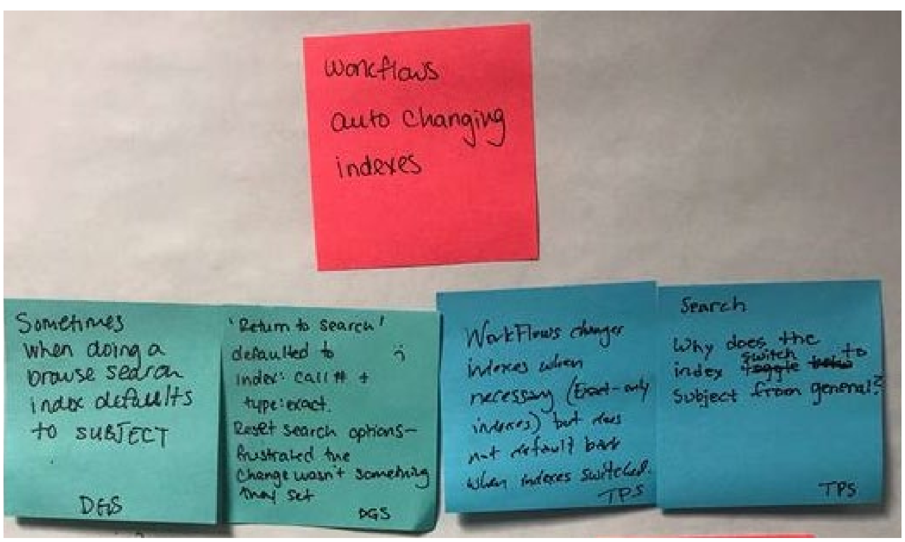
Searching the large patron database in SWAN’s Symphony also presents issues. For example, when the patron has already been entered in the system but the initial search by staff does not find the existing record. Then, during the registration process the library staff realize the patron record already exists. This can be frustrating as the registration process takes longer to either restart the registration steps or fix steps already completed.

22. Availability conflicts

There can be confusing status of items in Enterprise versus what is indicated in WorkFlows. The item returned showed “on shelf” in Enterprise, but the actual data in WorkFlows shows the item was returned within that hour and was on a cart. Patrons and library staff cannot locate the item on the shelf, only to realize later it was on a shelving cart.

23. WorkFlows auto changing indexes

WorkFlows will sometimes change indexes during a search without users understanding why. After completing a browse search the index defaults to subject index, or variations on this index changing.



24. Too many clicks

Attempting to complete a task in WorkFlows will require “too many” clicks either during patron registration, placing holds, or within cataloging.

25. Insufficient permissions or perception of insufficient permissions

Library users indicated frustration over the Symphony logins provided by SWAN and that some logins used at the library do not have permissions to complete a task, so they log out and back in with a circulation login to place the hold, etc. While SWAN could easily fix this on a per library per login basis, some library users are struggling with their daily work because of the login permissions.

26. Long-running overnight processes

The Symphony Reports is a system utilized by both SWAN staff and library staff. The conflict to library users is in the area of Symphony Acquisitions when their scheduled or queued report needed to process a step in Acquisitions is competing for time with scheduled patron notices, overnight maintenance tasks, etc. This will cause a library user's report to wait for the SWAN staff scheduled report to complete. This could be ongoing daily conflicts set at specific times with patron notification or special one-time scheduled data cleanup such as a patron search index being rebuilt overnight.

27. Instructions on scheduling Symphony processes

Library users of Symphony Acquisitions can see that some of the practices recommended by SWAN are not being followed by the other libraries using Acquisitions. This lack of practice is frustrating to those libraries trying to follow the guidelines but can see others "breaking the rules."

28. Software issues

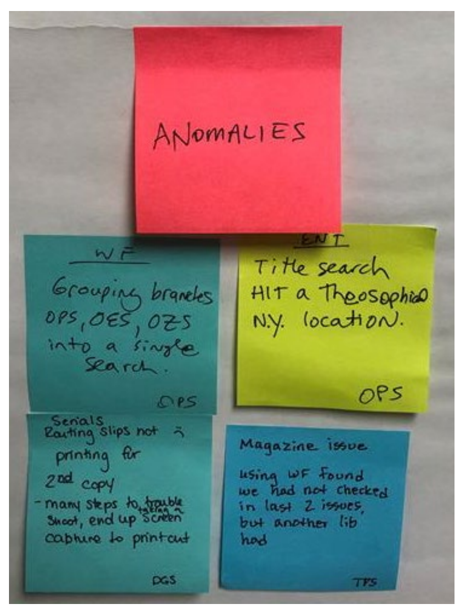
WorkFlows closes for no reason, or Workflows froze during check-in process, or that Enterprise was slow, or an Enterprise record with many items all showed a status of unknown. The likely cause of all of these issues is network related, but the impact of these moments is affecting library users.

29. AV Item/Case missing item or mismatch

Sometimes items returned will not be in the correct case. Typically, this is audio-visual material that was shared and returned, requiring some follow-up with patrons.

30. Library Branch Catalog Holdings

Branch agency issues specific to the journal entry were related to The Theosophical Society of American using Symphony to indicate library items held in a library location in New York, and how Oak Park Public Library staff contend with searching three locations (Main, Dole, and Maze).



C. WorkFlows User Interviews: Our Methodology

Introduction & Purpose

One-on-one interviews were conducted with staff who use Symphony WorkFlows in their daily operations. The first set of interviews focused on circulation functions. These interviews provided direct contact with the members working within the SirsiDynix Library Services Platform application.

User Experience Manager Tara Wood and User Experience Consultant Crystal Vela conducted interactive interview sessions with circulation staff from three libraries to identify areas where SWAN can improve training and documentation, identify and share strategies for efficiency, and provide enhancement requests to SirsiDynix.

In total, interviews were completed with three participants. Three to five participants is standard in this method of user research.[4]

Timeline & Participants

Interviewees were recruited from the Circulation User Group meeting held at RAILS on June 19th, 2019. For this research project, we sought participants that have experience using Workflows daily to assist patrons and run daily processes. Three circulation department heads volunteered, two from south side libraries and one from a northwest side library. Interviews were completed over the July 2019 month.

- Jane Young, Acorn Public Library District
- Barbara Bronkala, Alsip-Merrionette Park Public Library District
- Emily Cotterman, Itasca Community Library

Methods

Crystal Vela moderated the interviews and Tara Wood took notes. Through a think-aloud protocol, participants gave step by step instructions on how to use Workflows to perform common tasks including searching and placing holds, to registering patrons and paying bills.

Summary

While we expected that participants would identify a large range of issues, we were surprised to find that most common tasks are working well; the participants interviewed were confident with Workflows and had positive feelings about using it in general. The issues participants noted with Workflows were minor annoyances not major problems. SWAN will be able to take several of these minor annoyances and make recommendations to SirsiDynix for interface enhancements to the patron display interface and transit information popups.

[4] "The first three users are very likely to encounter the most significant problems related to the tasks you're testing[…]It's much more important to do rounds to testing than to wring everything you can out of each round. Testing with just a few users makes is easier to do more rounds." - Steve Krug, Rocket Surgery Made Easy

Participants also noted confusion around billing and handling damaged items. Their issues were not with Workflows as much as with the larger complexity of those processes.

Interview Script: Workflows Circulation Functions

Introduction

Hello, my name is Crystal a UX Consultant for SWAN and this is Tara the UX Manager at SWAN. We are here to better understand how you use Workflows for your everyday work in Circulation. I estimate that this interview will take up to an hour. During this time, we will go over some questions and I will ask you to show us some of our process is in Workflows as well. I will ask the questions and Tara will be taking notes. We would like you to treat us as if you're responsible for training us; we are here to learn.

Just a few things before we begin. We would like you to know that to the extent possible, we will take your comments to be confidential. We will take both your comments and other interviewees and compile them without names. Also, this interview is entirely voluntary on your part. If for any reason you would like to stop, please let me know. We can end the interview.
Do you have any questions for me?

We are going to proceed now.

Warm-Up Questions

- Tell me about your role in the library.
- How did you come to be in this role?
- What ILS's have you worked with—like Symphony, Horizon, Millennium?

Questions

1) Tell us about the last time you had difficulty searching for an item for a patron
   a) How did you search? What information did you have about the item?
   b) What limiters or facets did you use?
   c) How often do you find yourself searching for a topic, vs. A title, vs. An author? Etc.
2) Placing holds
   a) What is your first step when a patron comes up and wants to place a hold on an item?
   b) Walk us through your process in Workflows.
   c) "Becoming" By: Michelle Obama
   d) How would you change the pickup library for a patron?
   e) How would you suspend the hold for them?
   f) How would you cancel a hold?
   g) How would you cancel an available hold?
3) Talk about process running the pull list and handling missing items
   a) What times of day do you run the pull list? How frequently do you run it?
   b) What do you do when you can't find the item on the shelf?
4) Talk about process handling damaged items
   a) Items from your library for your patron
   b) Items from another library for your patron

5) Billing a patron and paying for an item
    a) Items from your library for your patron
    b) Items from another library for your patron
6) Talk about what you do with items that are not on your clean holdshelf report?
7) Registering new patrons
    a) Tell us step by step how would go about registering a patron.
8) Tell me about your process to modify a due date
    a) On a patron-by-patron basis
    b) Modify due date for an entire day

Follow Up

- Is there anything else you think we should know?
- You find a library genie and you get one wish to come true, on Workflows. What is your one wish?

Conclusion

Thank you so much for participating. Those are all the questions that we have. If anything, else occurs to you after this interview, please let me know. We might follow up with you if we have any follow up questions. Do you have any questions? Thank you!

C. WorkFlows User Interviews: Data Capture

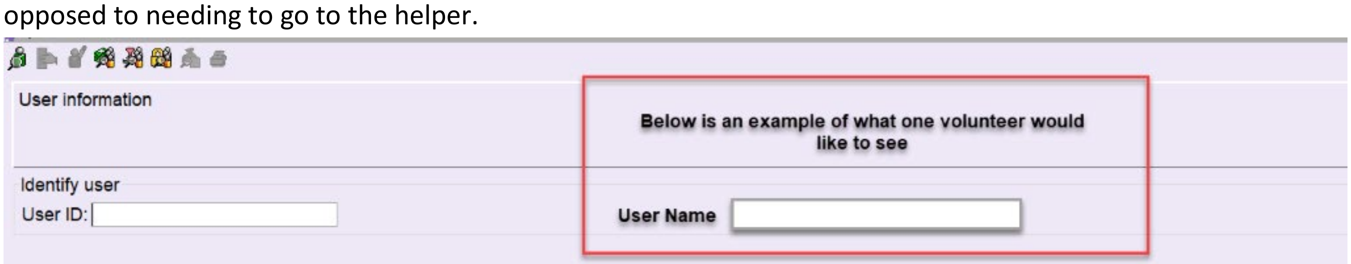
Issues Identified through User Interviews

Patron Registration

Each library has a few ways of searching for a patron based on their own in-house criteria. Initially some limit their search to their library and if the patron is not found they will widen it to include all SWAN libraries.

- Search by full name
- Search by nickname
- If patron is a woman, use only first name

A library brought up that they would like to see an additional box to search by name right away as opposed to needing to go to the helper.



Other ILS Experience

Two of our interviewees have experience with other ILS software, specifically Millennium; while one has only worked on Workflows at a few different libraries.

- It was noted that the list of patrons that recently returned items is a missed feature.

Start Search for planning holds

The interviewees demonstrated the numerous ways they would place a hold based of specific circumstances.

- Place hold straight from the Place Hold Wizard

- Use Item Search and Display wizard to search for holds
- Looks patron up first and then looks up item
- If the title is unknown, uses the Search Item Status

Search Strategies for Items

Many item searches start at the circulation desk, especially for patrons with limited mobility; however, it is also common for patrons to be sent to an adult services or reference desk for more in-depth searches. Most are asked to do title searches more often than author and topic searches. Searches also start as a basic search without limiters, although, some have expressed that they will limit to their library first to make sure they have it on shelf prior to having to place hold.

Training

With a “revolving door” of staff, frequent training in registering patrons is necessary and most challenging for one library. Billing a patron and paying a bill is challenging and they look for clarification in the circ “bible”, which is a combination of SWAN documentation and local procedures.

Feelings about Workflows

During our interviews we discovered that for the most part the feelings about Workflows are positive.

- “I like Sirsi for the most part, I think it works.”
- “It’s in my blood now.” (snaps fingers).

Misconceptions

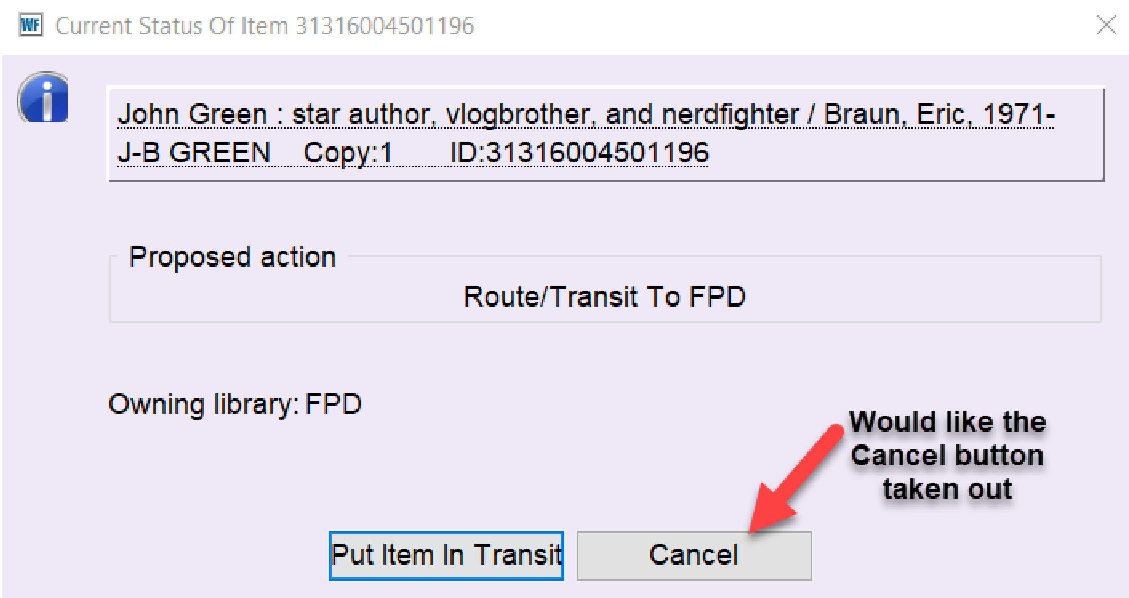
A few misconceptions were uncovered, which directly affect the difficulties they find when training staff.

- Patrons always need to clear their fines before they can be re-registered at their new home library.
- Cannot use right-click/context menu options, especially for marking an item lost. “I know the wizard is the right way to go.”

The little things with Workflows: Issues & Annoyances

- Not Circulation related but would like the Serials module to be to put in price when they check in a serial all from the same screen.
- Wants a pop up in Display User and Checkout wizard when a patron is barred.

- When putting an item in-transit the cancel option should be taken away, if accidently pressed it puts the item "on shelf" at the home library.



Damaged Philosophy, Documentation, and ILL Fears

There is a general discomfort around damaged items that were borrowed from libraries. If the item was their own, libraries seem to have a lenient policy and will not charge their patron for the damage. When the item was borrowed from another SWAN library any signs of wear and tear are heavily noted so as not to be charged by the item's home library upon return, "We're so paranoid here." One library "blames SWAN" when they must charge their patron for a borrowed item that was damaged. Overall, the Damaged and Unusable guidelines that SWAN provided were found to be very helpful and were pinned to cubicle walls.

Damaged and Unusable documentation can be found on the SWAN website:
https://support.swanlibraries.net/documentation/64708

Search Feelings

- Likes
  - "I don't have a lot of difficulty searching."
  - "I know it keeps the last item and remembers it. I love that!"

- Dislikes
  - Title looking for one weren't are not showing up. Ex: Woman
  - "Why don't all titles show up together? This irritates me."

Things that Work

It was revealed that there are many things that our interviewees have no issues with the following tasks.

- Holds
  - Suspending/Unsuspending holds
  - Modifying a hold
  - Change pick up library
  - Canceling holds both available and unavailable
- Items on Shelf with Holds Reports (Pull List)
  - Frequency and time of day the report runs, varies between 1-3 times per day depending on staffing. The reasoning behind running it more often is to help patrons will get their items faster.
  - "I love that we can run it anytime. I love that we have that freedom."
- Missing Items on Pull List
  - Libraries check the library for the materials and if not found they will check it out to the generic missing user. If the item is 3-4 years old, one library will assume that the item is lost and check it out to the generic discard user.
- Missing Items on Hold Shelf
  - Check on the shelf to make sure it wasn't mis-shelved. Will call the patron to make sure the patron doesn't have it. Will then checkout to the generic user. One library didn't see this happen often at all. Another library will keep track of these missing items on a spreadsheet with notes/tracking messages.
- Bills
  - No difficulty paying bills on a patron record. The right click function is from a patron record is often utilized to pay a bill on a patron record.

D. Focus Groups: Our Methodology

Introduction & Purpose

Focus groups were conducted to allow members to engage with a small group of colleagues in a structured discussion seeking to review processes, identify methods of current practice, limitations of the environment, workarounds developed to solve problems or create efficiencies, methods of seeking assistance, and desired outcomes.

SWAN Assistant Director Dawne Tortorella moderated 4 focus groups consisting of between 5-10 member participants. SWAN User Experience Manager Tara Wood served as observer to provide note taking. A written report of the focus group recurring topics and themes follows, which identify areas where more evaluation and inquiry is needed.

Timeline

SWAN conducted focus groups in August-September of 2019 to illicit feedback and provide an opportunity for in-depth discussion around topics of importance for the membership. Four sessions were held throughout the geographic reach of our SWAN members. These sessions were held at the following locations.

- Batavia Public Library, August 21
- Tinley Park Public Library, August 23
- SWAN Headquarter, Westmont, September 10
- Oak Park Public Library, September 13

The focus groups were advertised through SWAN support site news posts, SWANcom posts, and within the SWAN newsletter. Libraries were encouraged to send representatives. Members were asked to send one representative only. Libraries where multiple staff registered were told staff may be bumped if waitlisting occurred. Registration was capped at 10 members per sessions. No session exceeded waitlist parameters and all participants who registered were accommodated.

Of the twenty-seven participants, ten were from libraries that joined SWAN in 2018.

Invitation to Participate

The following announcement went out to the email membership list SWANcom and via news posting; followed up by SWAN's e-newsletter.

SWAN's five-year strategic plan contains an initiative to develop a shared diagnosis around some member library dissatisfaction around the Symphony integrated library system and the Enterprise catalog. To this end, SWAN formed the Clarity Task Force of 8-member library staff to assist with that diagnosis.

As part of our work to collect member input we will be conducting focus groups to encourage members to share with a small group of colleagues in a structured discussion.

We are seeking to review processes, identify methods of current practice, barriers in use of library system software (Symphony WorkFlows and Enterprise), workarounds developed to solve problems or create efficiencies, methods of seeking assistance, and desired outcomes.

Dawne Tortorella will moderate four focus groups consisting of between 5-7 member participants. Tara Wood, Manager of User Experience will serve as observer and note taker. A written report of the focus group recurring topics and themes will be used to identify areas where more evaluation and inquiry is needed. Participant feedback will be anonymous and not associated with an individual or a library in the final report.

To provide as much representation as possible across the membership, only one person from your library will be able to participate in this round of focus groups. There will be additional opportunity for feedback and input when we release the report from our research later this fall.

If you are interested in participating in a focus group, please register through L2. We will reserve space on a first-come basis, but may need to adjust if we find multiple people from the same library have registered. Participants will be confirmed and provided with initial discussion questions.

Focus Groups Date/Time/Location:

- *August 21 10:00-11:30 AM – Batavia Public Library*
- *August 23 2:00-3:30 PM – Tinley Park Public Library*
- *September 10 10:00-11:30 – SWAN Headquarters (Westmont)*
- *September 13 2:00-3:30 – Oak Park Public Library (Main)*

Focus Group Discussion Questions

Thank you for participating in this focus group. Your honest feedback and discussion is critical to our work in identifying areas that work well, as well as those that require attention. I will be asking a series of questions to elicit discussion.

Staff will be observing and note taking during the focus group. These notes will be used to compile the final written report consolidating feedback from all groups. Your feedback will be anonymized in our reporting, so please share your thoughts and experiences freely.

1. Explain your role in the library and how you interact with Symphony WorkFlows or Enterprise on a daily basis.

2. If you have a question or are unsure about a process or procedure, where or who do you go to for assistance? How successful is this process for you?

3. Please describe one scenario which presents the most difficulty in assisting patrons while using Symphony WorkFlows or Enterprise.

4. What situation is the most difficult to manage in the software in your daily work, either patron related or as part of your ongoing duties?

5. Have you heard colleagues discuss difficulties in working with Symphony WorkFlows? Or Enterprise? If so, can you share their experiences to the best of your knowledge, and to what degree you agree

with those assessments?

6. Have patrons presented challenges directly to you in using the SWAN catalog? If so, can you share those challenges or provide an example.

7. What resources have you used to learn more about Symphony WorkFlows and when was the last time you referred to one of these resources?

8. Have you attended any training sessions? If so, what was your experience? How about online training through SirsiDynix Mentor?

9. Do you manage staff? What areas do new staff struggle with the most? How do you help them?

10. Describe a small case “workflow” that works well within Symphony WorkFlows.

11. How involved are you in determining circulation and hold map rules? Do you find your policies easy to explain to patrons when asked about items within your library as well as other SWAN libraries?

12. Are there features of Symphony WorkFlows that your library currently does not use, but you would like to pursue? Perhaps you don’t know what those features might be, so let’s share enhanced features you know your library or others are using.

13. How often do you experience disconnects or failures in connecting to Symphony WorkFlows? Do you notice periods where the system is slow? (NA)

14. What additional information would enable you to better manage your work within Symphony WorkFlows? Or functionality?

15. If you have recently joined SWAN as either a member of a smaller consortium or a standalone library, what differences are noticeable – both positive and negative.

16. How often do you interact with colleagues at other SWAN libraries? Do you attend user group meetings? If so, are they useful? If not, how could they be more worthwhile or better suited to your work schedule?

17. What other Library Services Platforms (ILSs) have you worked on and can you offer come observations and comparisons?

18. If you were talking to someone outside of our SWAN community, how would you define SWAN?

19. What recommendations do you have for the SWAN staff to help you do your job more easily and improve service to patrons?

Attendance and Representation

Twenty-one libraries were represented, with twenty-seven attendees in total. Four attendees cancelled or did not show up for the session, representing an additional three libraries who would have been represented had registrants attended.

Areas of functional responsibility were well represented. The breakdown by primary functional area included:

- Reference & Public Service – 13
- Technical Services – 9
- Circulation Services – 8

Three of the participants managed both Technical and Circulation Services and are reported in both areas. The Reference & Public Service attendees represented both adult and youth services.

Discussion Process

Sessions were ninety minutes in length. Dawne Tortorella, SWAN Assistant Director, facilitated discussion. Tara Wood, SWAN User Experience Manager, took notes. Members of the Clarity Task Force observed at their hosted site location (Kerry Halter, Batavia; Kristina Howard, Tinley Park, Colleen White, Oak Park).

Participants were guaranteed anonymity and therefore all responses are compiled into a composite overview of findings. Addendum A provides the introductory script and leading questions. Based on discussion, additional inquiries were made.

D. Focus Groups: Data Capture

Summary of Discussions

While each focus group surfaced unique comments and experiences, common threads related to core applications (Enterprise, WorkFlows, BLUEcloud Analytics) surfaced from the discussions. In addition, discussion included observations, opinions, and recommendations regarding support, communication, and networking within the membership and with SWAN staff.

Application Usage

Enterprise

Enterprise is used daily by the majority of the focus groups participants, primarily supporting patrons. A typical process is assisting patrons with finding titles and placing holds on these items. This usually includes juggling between Enterprise and WorkFlows to locate items and assist in placing holds for the patron. Often another external tool such as Amazon, IMDB, or GoodReads is added to the arsenal of tools when assisting patrons locate material in the catalog. When the patron has multiple titles of interest, this can be a laborious and lengthy process. Patrons notice the awkward interchange between tools and time/frustration experienced by staff assisting.

Given the awkward exchange between Enterprise searching and locating the patron/item record to place a hold on, some staff actually request the patron to log in to Enterprise for them to assist. Others will use the patron barcode and guess the PIN in order to access the patron account in Enterprise. Staff want the ability to log into a patron's account using the same interface they have when assisting them with searching and placing holds.

Library staff noted that patrons will sometimes place a hold associated with a bibliographic record that is not the best choice for receiving a local copy. This is due to the duplicate titles created through format or edition differences. Some patrons look for the library's copy for placing a hold, but generally, patrons place a hold on the first match returned. One library noted that this pattern of placing holds on a less desirable copy (not my library's copy) with ESL patrons. We may be presenting information in a confusing way to these patrons who also are reluctant to seek our help.

Display of due dates in Enterprise search results and detailed displays can lead to patron dissatisfaction where they sometimes question long due dates or will modify behavior (not place hold) assuming it will soon return to the library.

Difficulty in the mechanics of searching was identified in the following areas:

- Short-title and one-word titles are especially challenging.
- Spelling errors or similar spellings can produce useless results.
- Punctuation and congruent symbols/words (e.g. "and" vs "&") not interpreted as expected.
- Facets/filters are not responsive immediately upon selection and are particularly challenging for children.
- Editions and formats are problematic – often there is an appearance to the patron of duplicate records which technically are not duplicates (e.g. hardcover and paperback editions; DVD, Blu-ray/Combo pack).
- Inclusion of e-books and their prominent ranking in results.
- Subject heading search and embedded links do not provide same results and sometimes do not provide expected results.

Reasons searching in Enterprise preferred over WorkFlows:

- Book covers are available in Enterprise.
- No record limit on returned results (WorkFlows has the imposed 200 search results limit).
- Patron interaction provides a teachable moment.

Enterprise wish list as expressed through Focus Groups:

- Ability to more easily place holds on patron's behalf within Enterprise.
- Provide an online registration form where patrons can immediately set their own PIN and create a library card.
- Daytime (Delta) harvests of Enterprise would improve both patron and staff experience, but particularly helpful for staff (currently only a single nightly harvest runs).
- Simpler search interface for children.
- Responsive display on tablets and mobile devices.
- Remove due date display on checked out items.
- Numeric and consistent display of serial issues.
- Subject headings which are more patron-focused (e.g. birds vs ornithology)
- Limit searches or provide direct search of categories such as picture books.

- User-friendly series search, especially in children's titles.
- Guidance to help patrons place hold on most appropriate record where duplicate titles (e.g. format, edition) exists.

WorkFlows

While strong negative emotions exist related to use of WorkFlows, the tool does not impede staff ability to complete tasks. It is the primary tool for mission critical work including circulation, cataloging, and acquisitions.

The majority of issues raised concerning Symphony WorkFlows can be attributed to inefficiencies, its perceived antiquated interface, and the scale of the SWAN consortium.

Difficulty of using WorkFlows is often associated with procedures libraries must follow as part of the consortium rather than use of the tool to complete a task. These procedures often include detailed steps which require a specific order of operation and rules to follow (e.g. damaged items).

Discussion in two of the four focus groups included problems associated with the system which are actually human errors. Staff are not careful in processing and reading screens or are faced with repetitive unhelpful pop-up screens which impede efficient processing. For example, some libraries have moved to a double checkin process (once to process item, second time before reshelving). This has greatly reduced errors where item was not properly checked in, leaving it on the patron record and leading to difficult conversations when the item was located on shelf.

Competency in use of WorkFlows comes from rote usage. WorkFlows is not intuitive, but with practice and daily repetition of tasks, staff are competent. Time away from desk and WorkFlows quickly makes for rusty skills. WorkFlows options of nested versus tabbed windows introduces personal preference which may lead to inconsistencies in how other colleagues use the system and train others. Staff are not aware of the customizations that can be done to make for more efficient processing based on their specific preferences and tasks. Some customizations, such as access to WorkFlows behaviors is restricted.

There is a tension between wanting more and less functional access. At times a reduced, simple set of common tasks is desired, at other times, a more robust – "give me access to everything" approach is desired. There are inconsistencies in what staff can do with specific role accounts (e.g. CIRC, CIRCSR, TECHSR, REFILL) often leading to staff required to login to different accounts based on what task they need to perform. This leads to inefficiencies.

When working at a busy public service station, staff often keep tabs open of patrons/items which require follow-up. Once there is time, staff can return to complete review and processing of those records.

One library mentioned the need to add a brief record for items not found in the catalog as part of a circulation function. [*Note: This may be related to items that have been weeded/discarded and are presented by patron for checkout.*]

Due to scale, the Symphony Reports queue contention is a problem, especially when a particularly long running report is scheduled. Some libraries no longer run cataloging bibload reports which may be the preferred method of bringing in records; instead they need to use SmartPORT to bring in single records in order to avoid report contention. Also related to scale, consortium-wide processing, like Clean Holdshelf reports, make exception processing difficult (e.g. libraries cannot change hold dates for patrons). And consortium-wide cataloging processes should be reviewed for impact on libraries (e.g. leased titles and impact when DISCARDS are physically removed from catalog).

While libraries mentioned Symphony Acquisitions processing as being more cumbersome than past practice in previous consortium, another library shared they have changed their practice and while different, their revised processing is doable. Contention for report processing is a challenge for report intensive acquisitions processing. Some libraries would like to be able to have items auto created when placing orders through Acquisitions. Attempting this auto creation of items was inefficient due to lack of item level detail being populated, and it took more time to check these auto-created records than to just create them manually. A more automated process would streamline this work.

Accrued fines and marking item lost without immediate payment create difficult encounters with patrons. The system seems inflexible in dealing with payments. Some patrons have difficulty placing a hold when they have items overdue. Patrons can't pay fines before bringing the item back; would like to pay fine and then renew.

Workaround strategies as expressed through Focus Groups::

- Holds management is an area where staff have developed techniques to ensure patron holds are on the most appropriate bibliographic record to minimize time to fill. Some libraries run daily reports to identify holds recently placed and verify that they are associated with the best record for filling the hold with a local copy.
- Two different approaches are used when moving items from new collections. Some libraries use a weekly report that automatically "denews" items; others use Global Item Modification for moving items between collections, selecting specific time frames for this process (e.g. end of fiscal year when orders are frozen, staff can adjust schedule).

WorkFlows difficulties as expressed through Focus Groups:

- Limit of 200 search results is a barrier.
- Lack of knowledge/confidence in effective searching. Enterprise and WorkFlows search strategies are different.
- WorkFlows antiquated interface is off-putting to staff and is not scalable for low-vision users as the icons do not scale.
- Interface requires much clicking to find information or function desired. Often clicking is used as hunt and peck method of discovering what information is needed.
- Running reports on demand due to report contention.
- Report queue contingency causes delays in sequential processing of acquisitions steps/reports.
- Fines and payments – when and how to process payments and bill for the myriad of situations encountered.
- Managing staff and training new staff presents the most challenge in WorkFlows. Some libraries specifically recruit for WorkFlows experience.

WorkFlows wish list as expressed through Focus Groups:

- Numeric and consistent display of serial issues (and same in both Enterprise and WorkFlows).

- Ability to customize toolbars and behaviors.
- Reduce unnecessary pop-ups – those which always results in an "OK" response (e.g. user is delinquent at checkout and checkin).
- More streamlined printing features (e.g. selecting only items of interest to print on due date receipt).
- Ability to reorder the hold queue. [*Note: SWAN's last ILS allowed this.*]
- Access to batch edit items directly in WorkFlows rather than request through a support ticket.
- Use of Bookings module for equipment and Library Of Things items.
- Need a better way to manage family cards and groups, including how to pay bills.
- Automate creation of item records with acquisitions orders.
- Would like to be able to place blanket holds for additional copies.

BLUEcloud Analytics

BLUEcloud Analytics is noted as a powerful product with great capabilities, but the gap between effective use is large.

Mixed responses were shared in effectiveness of BLUEcloud Analytics and confidence in using the application. Those libraries using BLUEcloud Analytics most effectively rely on internal staff who are their go-to people for running reports.

BLUEcloud Analytics is difficult to manage and use. Setting up standard, simple reports is difficult. The complexity of tool use is both application-based and impacted by the number of choices and wide range of reports available in SWAN's Analytics. Library staff want the skillset and ability to easily design their own reports rather than always relying on reports developed by SWAN or via request to SWAN for specialized reports.

When requests are submitted to SWAN for special reports, those requests are answered in a timely fashion. They also appreciate being able to view the wide array of reports developed for other libraries within Library Specific Reports.

Some libraries rely on BLUEcloud Analytics reports to help identify catalog records requiring attention. Those who do not keep an eye on records (e.g. on-order, brief ILL records) negatively impact the catalog.

Difficulties with Analytics as identified in Focus Groups:

- Knowing the range of reports available and what they should be used for.
- Volume of reports available is overwhelming.

Analytics wish list:

- More capability to design reports without SWAN assistance.
- Concise list of required/recommended reports.
- Explanation of report selection criteria and data elements available.
- More consistent use of maintenance related reports and proposed action to take (e.g. identification and clean-up of on-order records).

SWAN Support & Help

Typically, within a library, there is a primary contact for SWAN-related issues where questions and requests for clarification first go. Some libraries allow all staff to submit SWAN help tickets, other libraries have those reviewed and submitted by a lead staff member serving as SWAN liaison. Primary internal staff supporting WorkFlows/SWAN related questions are circulation experts and IT within the library.

Help ticket submissions are quickly acknowledged but sometimes it takes longer than desired to resolve an issue. While ticket response is immediate and trackable, sometimes emailing SWAN staff directly does not result in an immediate confirmation. SWAN staff should acknowledge receipt of email from members.

The SWAN Support Site is a primary source for information and documentation. Improvements in searching and content were noted with the December 2018 revisions. Documentation available is considered helpful and used for staff training purposes. Many use SWAN supplied documentation to create internal manuals, adding library-specific policies and procedures. Members typically do not share these internal manuals with colleagues in other libraries but would like to if there was a mechanism for doing so.

Resources provided by SirsiDynix, including Mentor, the SirsiDynix support site, and the internal help system within Workflows are rarely used. Generally messaging from SirsiDynix is questioned unless it is filtered through SWAN to indicate if it applies to our consortium. Targeted messaging and links to selected resources on the SirsiDynix support site are considered helpful.

Library staff would like a short overview of features available and how they are used in SWAN (e.g. Outreach, User Groups). Ideally this would be a recorded session.

Specific mentions regarding SWAN support:

- Kudos to SWAN for making online recording of training available.
- Patron-facing YouTube videos are helpful and could be promoted more within the library to help our patrons.
- Some library staff miss the ability to pick up the phone and talk to someone at SWAN. However, they appreciate that they can request a phone call when submitting a ticket and SWAN staff will arrange a follow-up phone call at the agreed time.
- Staff is wonderful. Tickets are answered right away.

Communication & Collaboration

Communication topics cover both patron notifications and messages/notices to SWAN members.

Patron Notification

There was minimal discussion on patron notification. The following was noted:

- Hold pickup reminders are confusing to patrons.
- Items not renewed should appear at the top of the autorenewal message instead of the bottom.
- Some patrons are not happy with the automated calling. Staff appreciate not having to call patrons, but we have patrons who do not listen to messages.

SWAN Member Communication

It is not clear when a SWANcom email is used versus news posts or known issues. Library staff are not clear when they should report problems and have been told in the past that they do not need to report problems – SWAN staff already know. Others reported that they recently noticed a shorter SWANcom with basic information and a link to a more in-depth post. That was helpful in that they did not need to read the entire post to know if it applied to them.

Recent problems resulting in tracking of known issues was considered a public relations fail as libraries reported the problem via a SWAN support ticket and were referred to the known issue page on the SWAN support site. Staff felt they should have been better informed of the known issue process and how that information is reported.

It is difficult to know what is possible with the SWAN library service platform software and new features. Staff also understand it is difficult for SWAN staff to decipher which features/functionality may be of value to the membership when they hear about things from SirsiDynix. Also, the volume of information to review and disseminate is extensive.

One participant would like to see a shared SLACK channel for SWAN topics, especially for those with similar job functions.

Collaboration with Colleagues

Staff want avenues for networking with colleagues. Many feel SWAN's user groups are too large, do not afford an opportunity for discussion with peers, and largely consist of SWAN staff presenting information.

To be most effective, compiled notes from meetings should be developed into best practice documents, when sharing practice and procedures. Documentation on the support site is more easily searched and discovered than looking through meeting notes.

When asked what an optimal networking group size for collaboration was, 12-15 attendees was suggested. Geographic spread of SWAN membership makes meeting attendance and networking difficult. There is a desire to increase use of online meetings and trainings to allow more people to participate. Members were largely comfortable with meetings held centrally at RALS Burr Ridge location and could not attend meetings very far from their library. When gathering at meetings, introductions are important, even if repeated, to promote collegiality.

Often, SWAN user groups do not feel like a safe place to share feedback or ask questions that may acknowledge a lack of understanding or experience. It was noted that the Cataloging User Group meetings tend to focus on projects SWAN is working on rather than collaboration between members.

Colleague-to-colleague conversations at different libraries are often triggered by a problem. These conversations tend to be tense rather than focused on shared problem-solving. This tension leads to avoidance in those difficult conversations. Clearer guidelines from SWAN would help alleviate some of the discrepancies (e.g. damaged items) library staff experience. Most library-to-library interaction is based on billing related issues related to damaged material. The interpretation of damaged and unusable items creates friction and disparity of practice between member libraries. Some communication between libraries is sparked by confusion over policy where some member library staff provide incorrect information to patrons. For example, special library cards and public library cards – when are duplicates ok?

The lack of reference librarian networking as a formal SWAN user group was also noted. Topics discussed in technical and circulation user group meetings will impact reference staff, yet they do not have a method of easily finding out about these changes (e.g. changes in AV cataloging/catalog display).

Some library staff would like to be able to share training with colleagues at other libraries. Others miss being part of a smaller group where informal gatherings promoted more sharing. It was suggested there be a group email for sharing with colleagues in similar positions.

Branding & Collateral

SWAN libraries appreciate having things like the Mobile App bookmark available. Others want to minimize SWAN branding but appreciate having digital copy of SWAN created material for customization at their local library.

Technical Stability

While the system uptime was noted as exceptional, a minority of libraries mentioned frequent disconnects which require restarting WorkFlows. Most mentioned occasional disconnects; some mentioned rare occurrences of this. For those who do experience disconnects, they report that this has increased within the last several months. When this happens, it tends to impact all workstations within the library.

Generally, staff do not notice slowness in WorkFlows, but occasionally do with Enterprise.

Policies and Consortium-wide Practices

Generally, library staff can explain circulation and hold policies within their own library but are unable to for other member libraries. They refer staff to the other library for explanation. The inconsistency in due date calculations on same type of material is difficult to explain to patrons. Generally, patrons understand newer material may have a shorter due date based on demand.

Decisions on circulation and holdability are made primarily by selectors/technical service. Some library staff express local board and administration make these decisions based on recommendations from staff. Most circulation staff feel they do not have a say in these policies although they are primarily responsible for enforcing them and explaining discrepancies/differences to patrons. When ordering material of new item types, generally an existing loan rule is selected to fill the need. Sometimes, new circulation rules are required and those go through a SWAN help ticket request to set up.

Circulation limits are restricted by ILS item types, rather than the class of item, so some patrons are able to outsmart controls. Symphony user profile limits such as number of items a patron can have overdue cause problems when these patrons as reciprocal borrowers visit other SWAN libraries.

Universally, participants would like to see more uniform and consistent use of ILS item types. A proliferation of item types has occurred to support statistical reporting and special loan rules/ability to place holds. Different item types used throughout the consortium, not at my library, create a challenge in determining circulation due date – often items circulate longer or shorter than intended.

Technical Services staff would like more uniformity in item level information, much like standards at the bibliographic record level. Work-arounds in both cataloging and circulation have been made to accommodate Library of Things.

Inconsistency of fine rates across the consortium creates cumbersome calculations when assisting patrons.

Confusion exists over how on-order items are holdable now versus previous consortium. The lack of standard practices in what is/is not holdable by other library patrons leads to confusion.

In a perfect world, all policies would be synchronized, with each library giving a little to reach compromise. In a real world, budgets and local control make this impossible.

Participants would like to see a core set of simplified standards for ease of explaining to patrons. For example, rather than having library-specific names and rules for "hot" items, could there be agreed upon naming and rules for these items consortium-wide.

Feelings/Emotions to Note

For several members involved in the migration to SirsiDynix there is a feeling that SWAN was promised functionality and services that have not yet been developed or delivered.

It was noted that SWAN, as a whole, does not utilize the human capital and expertise within the member libraries. One participant noted that SWAN staff have an attitude that they know better and the emotional impact of joining SWAN has been the hardest part of joining the consortium.

Defining SWAN

Focus groups were asked to define SWAN. It was understood that SWAN is about resource sharing and it is a partnership between approximately 100 libraries. Library staff expressed "If we are not able to provide something directly, we can get it for you from one of our partner libraries." The benefits of resource sharing and a shared patron database are often taken for granted by our patrons and our staff.

Libraries new to SWAN noted that since joining SWAN their external interlibrary loan requests are way down. The volume of material available for sharing in SWAN is incredible and quickly received. The SWAN network allows us to provide such a larger body of resources than we could financially afford on our own.

Issues Identified through Focus Group Activity

When asked what recommendations participants had for SWAN staff to help make their jobs easier and improve service to patrons, the following large categories were identified:

Holds Management

Holds management topics run the gamut from needing consistent cataloging and the impact of duplicate (or near match) records, placing holds on best record for patrons, modifying hold queues, anticipating queue wait time, efficient transit of items, and managing high demand hold/purchases.

These topics touch all functional areas of the consortium including acquisitions, cataloging, circulation, delivery, interlibrary loan, and policy.

Searching

Searching strategies are unique and inconsistent between Enterprise and WorkFlows. Library staff want the search experience in all tools to be predictable and effective in ranking returned results. Identifying the gaps in library staff desired search results may be data related (bibliographic data/item data) and/or impacted by index/search ranking and display.

Communication & Collegiality

Encourage more and different member library staff to get involved. Provide structured guidelines on how we communicate with each other (SWAN staff to members, member to member, members to SWAN staff).

Use the collective power of the consortium to facilitate group purchasing and collaborative projects.

Research Activities Conclusion

The four methods of research surfaced numerous issues for the Clarity Task Force. This report is not the conclusion of all research activities needed but serves as a blueprint for future research in SWAN using any of the four methods. For example, SWAN User Experience staff will continue to interview library staff users in various departments or with specific duties throughout the year as part of ongoing research and input. The screen recording was a valuable tool that could be utilized in other areas of the library.

This report serves as the foundation for the SWAN Clarity Task Force's final recommendation to the SWAN Board, Executive Director, and member libraries. We hope that showing in detail how this research was conducted that libraries and other library organizations can conduct their own research into how users interact with various components of the library services platform used.

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RE: Application of FOIA and OMA to Intergovernmental Entities

Dear Clients:

You have asked us to research whether or not intergovernmental entities (such as CCS, LIMRiCC, MAGIC, PrairieCat and SWAN) are considered "public bodies" pursuant to the Open Meetings Act ("OMA") and Freedom of Information Act ("FOIA") and must comply with those statutes. In this letter, these intergovernmental entities (CCS, LIMRiCC, MAGIC, PrairieCat and SWAN) are referred to as "the Entity" or "the Entities." Currently, all of the above entities operate in accordance with OMA and FOIA.

Introduction and Statutory Definitions:

The Entities are intergovernmental entities whose members are public libraries and library districts ("Library" or "Libraries"). The Entities have been established pursuant to the intergovernmental cooperation clause in Article VII, Section 10 of the Illinois Constitution and the statutory provisions set forth in the Intergovernmental Cooperation Act, 5 ILCS 220/1 *et seq.* The Intergovernmental Cooperation Act does not address whether OMA or FOIA applies to intergovernmental entities created pursuant to the Intergovernmental Cooperation Act.

OMA defines public body as:

> "Public body" includes all legislative, executive, administrative or advisory bodies of the State, counties, townships, cities, villages, incorporated towns, school districts and all other municipal corporations, boards, bureaus, committees or

> commissions of this State, and any subsidiary bodies of any of the foregoing including but not limited to committees and subcommittees which are supported in whole or in part by tax revenue, or which expend tax revenue, except the General Assembly and committees or commissions thereof. "Public body" includes tourism boards and convention or civic center boards located in counties that are contiguous to the Mississippi River with populations of more than 250,000 but less than 300,000. "Public body" includes the Health Facilities and Services Review Board. "Public body" does not include a child death review team or the Illinois Child Death Review Teams Executive Council established under the Child Death Review Team Act, an ethics commission acting under the State Officials and Employees Ethics Act or the Illinois Independent Tax Tribunal. 5 ILCS 120/1.02.

FOIA is also applicable to "public bodies," and FOIA defines "public body" as follows:

> "Public body" means all legislative, executive, administrative, or advisory bodies of the State, state universities and colleges, counties, townships, cities, villages, incorporated towns, school districts and all other municipal corporations, boards, bureaus, committees, or commissions of this State, any subsidiary bodies of any of the foregoing including but not limited to committees and subcommittees thereof, and a School Finance Authority created under Article 1E of the School Code. "Public body" does not include a child death review team or the Illinois Child Death Review Teams Executive Council established under the Child Death Review Team Act. 5 ILCS 140/2(a).

The distinction between the definition of "public body" in OMA and the definition of "public body" in FOIA is that the definition in FOIA does not include the phrase "supported in whole or in part by tax revenue, or which expend tax revenue." While this distinction is notable, the tax revenue language in OMA is limited to "*committees and subcommittees* supported in whole or in part by tax revenue, or which expend tax revenue." The Entities are not committees or subcommittees of the Libraries, and, as such the distinction is not critical to the "public body" analysis. Moreover, at least one court has determined that the similar purposes behind OMA and FOIA, along with the similar definitions of "public body," support a conclusion that there is no reason to distinguish between the two statutes. *Board of Regents of the Regency University System v. Reynard*, 292 Ill. App. 3d 968, 976 (4th Dist. 1997).

None of the Entities are a legislative, executive, administrative or advisory body of the State, counties, townships, cities, villages, school districts, or incorporated towns. In addition, none of them are a committee, commission, board, or bureau of a municipality or this State, nor are they advisory bodies. None of the intergovernmental entities listed above are a committee or subcommittee. Finally, in our opinion, an intergovernmental entity is not a "municipal corporation." *See Troutman v. Keys*, 156 Ill.App.3d 247, 254-55 (1st Dist. 1987); *Chicago Transit Authority v. Danaher*, 40 Ill.App.3d 913 (1st Dist. 1976); *Village of Peoria Heights v. Illinois Fraternal Order of Police Labor Council*, 12 PERI ¶ 2018.

In light of the fact that the Entities are not municipal corporations, the only remaining argument that OMA and FOIA apply is that an intergovernmental entity is a subsidiary body of the individual Libraries. Further, while the Entities may not fit neatly in the traditional definition of subsidiary body, the Entities are the creation of local governments, funded by local governments and are run by members of local governments. As such, the definition of subsidiary body under FOIA and OMA may be applicable. *See Hopf v. Topcorp, Inc.*, 170 Ill. App. 3d 85, 91 (1st Dist.

1988) (The Court states the essential question is whether the entity is, in essence, a public entity performing a public function). There are currently no PAC opinions or case law addressing whether an intergovernmental entity created pursuant to the Illinois Constitution and Intergovernmental Cooperation Act must comply with OMA or FOIA. Therefore, the best approach is to rely on the case law that evaluates whether an entity is an "advisory body" or a "subsidiary body" and apply that analysis to the Entities.

Analysis of Cases:

Applying the subsidiary and advisory body case law to control our analysis, there are several factors that courts consider when determining whether an entity is an advisory or subsidiary body, such as:

(1) who appoints the members of the entity, the formality of their appointment, and whether they are paid for their tenure;
(2) the entity's assigned duties, including duties reflected in the entity's bylaws or authorizing statute;
(3) whether its role is solely advisory or whether it also has a deliberative or investigative function;
(4) whether the entity is subject to government control or otherwise accountable to any public body;
(5) whether the group has a budget;
(6) its place within the larger organization or institution of which it is a part; and
(7) the impact of decisions or recommendations that the group makes.

University Professionals of Illinois, Local 4100 of the Illinois Federation of Teachers vs. Stukel, 344 Ill. App. 3d 856, 865 (1st Dist. 2003) (citations omitted).

Similarly, in *Hopf v. Topcorp, Inc.*, 170 Ill. App. 3d 85, 91-92 (1st Dist. 1988), the court stated that the significant factors are as follows: (1) the legal nature of entity; (2) whether the entity is subject to direct government control and the degree of such control or supervision; (3) the amount of public funding of the entity; and (4) the nature of the responsibilities of the entity.

Legal Nature of Entity

Here, each Entity is created through an intergovernmental agreement ("IGA") adopted by the respective Libraries and those IGAs and associated By-laws create the governing boards of the Entities (referred to as "Governing Boards"). By the very nature of the Intergovernmental Cooperation Act and the Illinois Constitution, the Entities are created by a governmental resolution or agreement. This is different than the not-for-profit corporation in *Rockford Newspapers* and the private corporations in *Hopf v. Topcorp, Inc*. *See Hopf, supra, and Rockford Newspapers, Inc. v. Northern Illinois Council on Alcoholism and Drug Dependence,* 64 Ill.App.3d 94, 96 (2d Dist. 1978).

Governmental Control

With respect to the amount of control the member Libraries have over the Entities, each Entity is different. Although the Entities are created by IGAs, each IGA establishes the basic operating and procedural requirements for the Entity and the By-Laws establish membership on their respective Governing Boards. The member Libraries jointly control the Entities through the IGAs and, as such, the Entities are subject to direct governmental control. The members of the

Governing Boards are not appointed by the member Libraries nor are the Governing Boards comprised of elected officials, rather they are selected as prescribed by the Entity's By-Laws. *See Rockford Newspapers*, 64 Ill. App. 3d at 96 (Fact that board of directors were selected pursuant to NICADD's own by-laws and not elected or appointed by any governmental official was a significant factor in not being a subsidiary).

Although the member Libraries select their own representatives, the member Libraries have a significant role in the running of the Entities. For many of the Entities, the member Libraries have a role in the day-to-day operations of the Entity. The Libraries also have a role in approving funding for the Entities and participate in the operations of the Entity to a greater extent than an advisory committee.

Public Funding

The budget for the Entities is funded primarily by the member Libraries. While funding by a government is a factor, a large percentage of public funding alone will not create a "subsidiary body." *Hopf*, 170 Ill. App. 3d at 91. In addition, each Entity approves an annual budget and prepares financial statements and undergoes an audit on an annual basis. In addition, many of the employees of the Entities are members of public pension programs such as IMRF or ICMA-RC.

Nature of the Responsibilities

The nature of intergovernmental entities is that they share or combine services and/or powers of the individual units of local government. However, an argument can be made that these functions are similar to a business contracted by the Libraries to provide services. In *Rockford*, the Court recognized that governmental bodies normally contract with private companies to perform services for the public welfare, which includes delegating some statutory duties to those companies. *Rockford Newspapers*, 64 Ill. App. 3d at 97.

In general, all of the Entities except for LIMRiCC provide and maintain library automation and library computer services, which are considered public services of the Libraries. LIMRiCC is an insurance risk pool that provides insurance to its members, which is a service the members need in order to operate as public libraries. Overall, this factor, applied to all entities except for LIMRiCC, appears to fall on the side of compliance with OMA and FOIA.

Legislative Interpretation

Finally, from a legislative interpretation standpoint, neither OMA nor FOIA include the term "intergovernmental agency" or "intergovernmental entity" in their definitions of public body. The creation of intergovernmental agencies and entities was established by the Intergovernmental Cooperation Act in the 1970's and FOIA and OMA have been significantly amended since that time, most notably in 2010. An argument can be made that if the legislature had intended to subject intergovernmental entities to the requirements of OMA and FOIA, it would have included those entities in the definition.

Conclusion:

In summary, there are arguments for and against finding intergovernmental entities to be public bodies under OMA and FOIA. Different courts may weigh the factors outlined above differently by placing emphasis on one factor over another. If a court considers the essential question to be whether the intergovernmental entities are public entities performing public functions, the Entities are likely to be found subject to OMA and FOIA. Also, courts have interpreted OMA and FOIA broadly in accordance with their policies of providing information about government to the public. Further, recent decisions from the Public Access Counselor's Office ("PAC") establish that the PAC has taken a broad view of OMA and FOIA and would consider the factors of public funding, establishment by intergovernmental agreement and the responsibilities of the Entities to weigh in favor of requiring compliance with OMA and FOIA.

To date, we have advised clients that the more conservative approach is to comply with OMA and FOIA. We are aware that some intergovernmental agencies do not comply with OMA and FOIA. It is possible that one of those agencies will be subject to a request for review or to litigation challenging its failure to comply with OMA or FOIA. Until there is clear guidance from the PAC or a court decision that addresses the issue, we continue to believe that compliance with OMA and FOIA is the safer approach. This would continue the Entities' current practice and thus would not impose additional burdens. While FOIA and OMA are burdensome, non-compliance with OMA and FOIA could result in a request for review filed with the PAC or with the Circuit Court which may lead to penalties and will involve legal costs. In addition, given that the current practice of the Entities is to comply with OMA and FOIA, member Libraries are familiar with that openness and may not be in favor of changing the way the Entities are operated. Last, if there is a challenge for failure to comply with OMA or FOIA, there is likely to be negative publicity for the Entity or Entities involved. However, because there is no direct guidance from the PAC or cases, an Entity may decide not to comply with OMA or FOIA and we believe we have good faith arguments to support that position.

Please contact us if you have any questions or would like to discuss these issues further.

Sincerely,

KLEIN, THORPE AND JENKINS, LTD.

Kathie T. Henn

KTH/an
cc: G. Dempsey

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September 4, 2018

VIA EMAIL ONLY
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Re: SWAN, the Illinois Open Meetings Act and Membership Voting

Mr. Skog:

Questions have been raised regarding the application of the Illinois Open Meetings Act ("OMA") with regard to votes by SWAN's member libraries. The questions raised by SWAN, and my answers, are below. If there are additional questions or information I can provide, please advise.

Question: SWAN follows the OMA for its meetings, and the SWAN bylaws define the voting and quorum. If we wished to have some electronic attendance for voting on our annual budget, what would the OMA allow?

Answer: SWAN's Bylaws, in Section III.8.C., provide that SWAN's proposed budget must be approved by a two-thirds (2/3) vote of all the member libraries present at the March member library quarterly meeting. The OMA sets forth minimum legal requirements for meetings of public bodies. SWAN's Bylaws, in Section VIII.4., provide that meetings of its member libraries "shall be noticed, held and otherwise conducted in conformance with the Illinois Open Meetings Act and general Parliamentary Procedure." Under the OMA, a quorum of the members of a public body must be physically present at the meeting location. 5 ILCS 120/2.01.[1] A quorum is a majority of the members of the public body, for example, a quorum of a 100 member public body is 51 members.

Under Section 7 of the OMA, a public body may adopt rules allowing for attendance by video or audio conference if a quorum of its members is physically present at the meeting location. 5 ILCS 120/7. If SWAN member libraries desired to allow for attendance and voting by video or audio conference for voting by member libraries on the annual budget, the member libraries could adopt written rules allowing for such. The written rules must include the following terms, per the OMA:

1. The representative of the member library wishing to participate by video or audio conference must be unable to physically attend the meeting because of (i)

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[1] There is an exception to the physical presence requirement for Illinois library systems with jurisdiction over a specific geographic area of more than four thousand five hundred (4,500) square miles. 5 ILCS 120/2.01. If SWAN has a geographic area of more than four thousand five hundred (4,500) square miles, the physical presence requirement does not apply. If SWAN does not have a geographic area that large, but wants consideration for an exception for the physical presence requirement, SWAN could consider approaching State legislators with a proposed amendment to the OMA that would include SWAN.

personal illness or disability, (ii) employment purposes or the business of the public body, or (iii) a family or other emergency, per 5 ILCS 120/7(a).

2. If a member library representative wishes to attend a meeting by other means, the member library must notify the recording secretary or clerk before the meeting unless advance notice is impractical, per 5 ILCS 120/7(b).

3. At the meeting at which member libraries will vote on the annual budget by video or audio conference, a majority vote of all the member libraries must first be passed to allow for participation by some member libraries by video or audio conference, per 5 ILCS 120/7(c).

4. The written rules for participation by member libraries by video or audio conference may be more strict than the OMA, such as limiting participation by member libraries by video or audio conference to annual budget votes, per 5 ILCS 120/7(c).

Question: Are there recommended revisions of the current SWAN Bylaws to accommodate electronic attendance and voting for membership meetings?

Answer: If there is a desire to allow member libraries to vote on SWAN's annual budget by video or audio conference, as outlined above, the member libraries must adopt written rules permitting it. 5 ILCS 120/7(c). The simplest way for the written rules to be adopted would be to have the member libraries adopt "standalone" written rules by voting on the rules at a member libraries' meeting. The policy must be approved by a majority of the member libraries.

An alternative method to adopt the written rules would be to amend SWAN's Bylaws to include the written rules therein. However, an amendment to SWAN's Bylaws, in Sections III.8.A., IX.6. and XII., requires a two-thirds vote of the member libraries present at any regular or special meeting of member libraries, provided that notice of the proposed amendment must be given in writing to all of SWAN's member libraries thirty (30) days prior to such meeting. Adopting standalone written rules is recommended, as it is a more flexible and commonly used approach. Upon request, I am available to assist SWAN in developing written rules in this regard.

Question: There are a number of technical issues I will research, but having not completed that, are some of the ideas of electronic signatures on online ballots, verifying the individual's identity electronically, worth exploring? Does OMA restrict these?

Answer: The OMA requires that votes of members of a public body be taken during a meeting open to the public. 5 ILCS 120/1.02; 5 ILCS 120/2.06(a)(3) and 5 ILCS 120/2a. Electronic balloting conducted outside of an open meeting may not be used to in lieu of votes cast by members of a public body at an open meeting. Instead, electronic ballots may be used, in certain circumstances, as a "straw poll" to gauge interest in an item.

KTJ provided the following advice to SWAN regarding similar issues in August of 2011, as follows:

> Votes at open meetings should not be done by ballot and also should not be anonymous. Votes should be taken by voice vote or roll call vote. A roll call vote is never improper, although it may be time-consuming. My recommendation

is that you use a roll call vote for any supermajority vote (including the budget) and any other significant votes and a voice vote for the remaining votes. The minutes should reflect how each member voted. You may want to consider a show of hands (equivalent to a voice vote) so that it is clear to all present who is voting in favor and who is voting against. If it is too difficult for whoever is taking the minutes to keep track of each specific vote due to the size of the group, you may want to consider asking members to submit a "scorecard" that records the votes for the meeting at the conclusion of the meeting. That information can be presented to the person taking the minutes and incorporated into the minutes.

This advice remains applicable to the taking and the tallying of votes of SWAN's member libraries at their meetings.

I am available to further discuss this matter with you or the SWAN Board at your convenience. I can be reached at (312) 984-6436 or at gtsmith@ktjlaw.com.

Sincerely,

KLEIN, THORPE & JENKINS, LTD.

Gregory Smith

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April 8, 2019

VIA E-MAIL
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Re: Converting SWAN Into A Nonprofit Entity

Dear Mr. Skog:

You asked us to prepare a summary of the advantages and disadvantages of the System Wide Automated Network ("SWAN") converting from an intergovernmental agency into an Illinois nonprofit corporation exempt from income tax under Section 501(c)(3) of the Internal Revenue Code.[1] A summary of these matters is set forth below.

SWAN AS A PUBLIC BODY

Operating as an intergovernmental agency, SWAN is subject to the Illinois Freedom of Information Act ("FOIA"), the Illinois Open Meetings Act ("OMA," which together with the FOIA are the "Acts") and other laws applicable to intergovernmental agencies. Abiding by these two Acts, and other applicable laws, SWAN is required to share certain information with the public and provide the public an opportunity to attend certain of its meetings. Being subjected to these Acts adds burdens to SWAN operations, including costs, organizational issues, and allocations of resources that would be avoided if SWAN was not subject to them.

Converting SWAN into a nonprofit would potentially alleviate the need to comply with these Acts. However, SWAN will still be required to comply with the Acts if it remains a "public body," even if SWAN converts the legal form in which it exists from an intergovernmental agency into an Illinois nonprofit corporation.

In a recent Illinois Appellate Court case, *Chicago Tribune v. College of DuPage*, the Court examined the definition of "public body" and held that a nonprofit corporation, which claimed to be distinct from any branch of government, was a public body and, therefore, subject to the FOIA. 2017 IL App (2d) 160274, 79 N.E.3d 694. The College of DuPage ("College"), a public body, contracted with the College of DuPage Foundation ("Foundation"), a nonprofit corporation, to perform what the Court found to be a governmental function, which was to support the educational mission of the College by raising money to fund the College's academic

[1] This correspondence references a conversion to a Section 501(c)(3) charitable organization per your direction. If SWAN obtained status as a charitable organization, it would be able to accept tax deductible donations from donors. If donations need to be tax-deductible, then SWAN should apply for Section 501(c)(3) status; otherwise, there would be no need to apply for the same. For purposes of this correspondence, we assume that SWAN believes that it will receive and/or solicit tax-deductible donations.

programs, capital programs, and student scholarships. According to the Court, because the Foundation provided a governmental function, it was a public body subject to FOIA, and had to respond to requests for public records, even though the Foundation was a nonprofit corporation.

In the *College of DuPage* case, the Chicago Tribune suggested defining "governmental function" as any conduct that is expressly or impliedly mandated or authorized by constitution, statute, or other law and that is carried out for the benefit of the general public." *Id.* at 707. The Court declined to use that definition, stating that it was too narrow, and instead chose to use "a fact-specific inquiry, with an eye toward the particular body's role and responsibilities and keeping in mind the specific act that it has contracted a third party to perform on its behalf." *Id.*

The fact-specific inquiry in *Chicago Tribune* looked at a variety of factors including: (1) the fact that the College had no private fundraising operation of its own and relied entirely on the efforts of the Foundation; (2) the fact that the Foundation created and stored all documents related to donations to the College and the Foundation; (3) the fact that the Foundation and College worked closely in determining goals and methods for fundraising instead of the College setting the same; (4) that the College provided office space, office furniture, and even College staff to the Foundation; (5) that the College President assumed a prominent role in the Foundation's activities, and was entitled to recommend an individual to serve as the executive director of the Foundation; and (6) that the Foundation was allowed to adopt the College's name, logo, and marketing brand. After finding all of these facts, the Court determined that the Foundation was closely intertwined with the College, and that symbiotic relationship made the Foundation nothing more than an extension of the College, and more specifically, it was enough to conclude that the Foundation was providing a governmental function and was therefore a public body subject to FOIA.

In an Iowa decision, *Gannon v. Board of Regents*, an Iowa taxpayer, using the Iowa FOIA, wanted to see records from the Iowa State University Foundation ("ISU Foundation"), a foundation that accepted, held, administered, invested, and dispersed gifts and grants for Iowa State University. 692 N.W. 2d 31 Iowa (2005). The ISU Foundation argued that it was not subject to FOIA because it was independently incorporated and not a subsidiary of Iowa State University, a public body. Like in *Chicago Tribune*, the Court analyzed the facts of the relationship between the ISU Foundation and Iowa State University. The Court recognized that the ISU Foundation was only concerned with managing grant and gift money for Iowa State University, it was located on the Iowa State University campus, and it was staffed with Iowa State University employees. These specific facts prompted the Court in *Gannon* to find that the ISU Foundation was performing a governmental function.

These two cases suggest that simply SWAN incorporating as a private nonprofit corporation will not necessarily relieve it of its responsibilities as a public body under the FOIA and the OMA if the circumstances indicate that SWAN provides governmental functions.

As such, if SWAN converted to a nonprofit corporation, it would be important to closely examine the relationships it already has with its members, which are units of government, and which SWAN might gain with other government agencies moving forward. Further, it would be a priority to establish outlines for partnering with or working for governmental agencies, such as public libraries, in the future. In the event that a nonprofit corporation version of SWAN were to cross the line of being a public body, SWAN would still have to comply with the FOIA and the OMA, even though SWAN was no longer an intergovernmental agency. Regardless of whether SWAN is an intergovernmental agency or a nonprofit entity, the more services that are traditionally provided by government agencies that SWAN provides, the more likely it is that

SWAN would be subject to the FOIA and the OMA. As such, if SWAN wants to avoid compliance with the FOIA and the OMA, SWAN must not be considered to provide governmental service under the factors in the *College of DuPage* case.

Even if the nonprofit corporation version of SWAN avoided public body classification, the nonprofit would not be entirely immune from any scrutiny by the public. Nonprofits, which are exempt from income tax under Internal Revenue Code Section 501(c)(3) are still required to make available for public inspection and copying, the following forms:

- IRS Form 1023 – *Application for Recognition of Exemption*. This form will includes basic information about the nonprofit, compensation arrangements with officers, directors, trustees, and employees of the nonprofit, and a variety of other details about topics ranging from familial relationships between key personnel to joint ventures with other organizations;

- IRS Form 990 – *Return of Organization Exempt from Income Tax*. This form reports the information that would otherwise be reported for income tax purposes if the nonprofit were not exempt from paying income taxes. This form includes details regarding received contributions, grants, revenues, etc., salaries, and expenses.

While these documents do contain some sensitive information, they do not ask for much in the way of context of the information. For example, while these forms would require the nonprofit to disclose how much it received in contributions, the identity and number of contributors would not be disclosed. These documents solicit information regarding the status and financial information of entities in order to ensure compliance with the internal revenue code and related legislation, but the nonprofit would not be required to offer nearly as much or the same types of information that it currently must provide under FOIA, nor would it have to hold open meetings as it currently does under OMA.

GOVERNANCE

If SWAN wants to no longer be an intergovernmental agency, it will be important to make several substantive changes to SWAN's bylaws, so that, in general, the entity does not function as a public body.

First, the new entity will not be bound by the provisions of the intergovernmental agreement which established SWAN. Instead, the new entity will be governed by a new set of bylaws. The founders of the new entity will be able to establish rules for membership eligibility, how many board members will be required, voting rules, and elections. While these rules do not necessarily have to differ from those in the existing bylaws, it will be important to not cite the intergovernmental agreement as the source of the rules, or as the binding document that requires the use of these rules.

Second, new member libraries would no longer be required to sign the intergovernmental agreement, and instead, would sign traditional service agreements that would be drafted to include terms of service decided on by the board members of the new nonprofit.

Generally, the directors and officers of the new nonprofit would need to understand that the nonprofit entity is a service provider that does not exclusively serve any agency of local, state, or federal government. The nonprofit would not be viewed as a supplement to member libraries, but instead provides services in exchange for fees. The provision of services would be handled as if the relationship between the recipient and the new nonprofit is that of a provider-customer relationship. The services provided would be distinct from services traditionally provided by libraries, otherwise a court could conclude that the new nonprofit is simply an extension of the member libraries, and therefore a public body.

Lastly, the *College of DuPage* opinion considered overlap of employees and directors between the College of DuPage and the Foundation to be indicative of the Foundation being a public body. For that reason, the new nonprofit should not employ individuals who are simultaneously employees of libraries or other units of government, nor should the new board be completely or mostly comprised of library employees or officials.

The aforementioned changes and requirements will assist SWAN in establishing that the new nonprofit is not a public body that might be subject to FOIA or OMA. However, in our research, we were unable to find a conclusive description of what constitutes a public body. The best measure will be to follow the guidance in the *College of DuPage* case. Operating as a business, even a nonprofit business, as opposed to an agent of the government will help insulate the new entity from public body classification, but it must be understood that there is no way to guarantee a court could not still make such a classification.

COST OF CONVERTING TO A SECTION 501(c)(3) ENTITY

In addition to our fees for preparing articles of incorporation, by-laws, registering with the Illinois Attorney General's office and applying for tax-exempt status with the IRS, SWAN would have to pay any associated fees for the filings required to organize the nonprofit as well as any fees to receive exempt status from the IRS. At a minimum, the fees include a $600 filing fee associated with Form 1023 and a $50 filing fee for the articles of incorporation (increased to $75 for expedited service), as well as a $15 fee for filing two different documents associated with being a charitable organization.

REQUIRED TAX FILINGS

IRS Form 990, and the corresponding IL-AG 990, mentioned above, would function as the nonprofit's informational tax return. This document would not be confidential the way that a regular entity's tax filing would be, but as discussed earlier, would be available to the public. Additionally, preparation of these forms would likely cause SWAN to incur costs in the way of preparer's fees.

GRANTS

Converting into a Section 501(c)(3) would assist SWAN's ability to apply for and receive grants. In general, private foundations may *only* make grants to nonprofit entities, meaning that SWAN would be able to solicit grants from those sources. Additionally, governments at times make grants to nonprofit organizations.

DONATIONS

As a Section 501(c)(3) organization, SWAN would be able to represent to potential donors that their contributions would be tax deductible. This would be an advantage over its current structure as an intergovernmental agency.

EMPLOYEE BENEFITS

Nonprofit corporations are authorized to provide regular packages of benefits to employees, including healthcare sponsorship and retirement account enrollment.

Currently, SWAN offers a 401(a) Defined Contribution Plan through ICMA-RC. 401(a) plans have similar features as the more well-known 401(k) plans in terms of allowing employer contributions to employees' plans, and employers being allowed to select investment options. The Federal Tax Code allows nonprofit organizations to offer 401(a) plans, meaning that, if SWAN converts to a nonprofit, the members' employees would be able to rollover their 401(a) funds into another employer-sponsored 401(a) without incurring income tax liabilities. It seems that ICMA-RC would no longer be used as the third-party manager of the retirement plans, as it appears to only serve public sector employers.

Because of a nonprofit's eligibility to participate in 401(a) plans and the added option of rolling over funds into other conventional retirement accounts, neither the entity, nor its employees, would have to be adversely affected by the conversion of SWAN into a nonprofit corporation.

LIABILITIES

As an intergovernmental agency, SWAN currently enjoys protection as a local public entity under the Illinois Local Governmental and Governmental Employees Tort Immunity Act ("Tort Immunity Act"). *See* 745 ILCS 10/1-206 (including intergovernmental agencies in definition of "local public entity").

As a nonprofit corporation, SWAN would no longer be covered by the Tort Immunity Act unless it was formed for purposes of conducting public business. However, as a nonprofit corporation, SWAN's members would have limited liability protection under the Illinois Not-For-Profit Corporation Act. 805 ILCS 105/107.85. SWAN's volunteer board members would also receive protection and insulation under the Illinois Not-For-Profit Corporation Act. 805 ILCS 105/108.70. Generally, Illinois law protects directors and officers from personal liability but there are significant limitations.

Nonprofit leaders serve as stewards of the organizations' assets and because charitable assets are, by definition, intended for public benefit, they belong to no individual and must be guarded carefully. As a result, nonprofit leaders owe fiduciary duties of care, loyalty, and obedience. In essence, the leaders of the nonprofit must be careful to not act recklessly or in such a way that benefits them personally, or in any way that drastically differs from the nonprofit's mission or corporate purpose.

Under the Illinois Not-For-Profit Corporation Act, agents of the nonprofit can, and in some cases, must, be indemnified by the nonprofit, so long as the agent acted in good faith and in a manner he or she believed to be in the best interest of the nonprofit. 805 ILCS 105/108.75. As a result, in the event of a conversion to a nonprofit, it would be imperative to purchase an appropriate amount of directors' and officers' insurance, which would cover both potential personal liability, and the legal defense expenses required to defend against lawsuits.

If you have any questions, please do not hesitate to contact me.

Sincerely,

KLEIN, THORPE & JENKINS, LTD.

Gregory T. Smith

Gregory T. Smith

cc: Donald E. Renner, Klein Thorpe & Jenkin, Ltd.
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May 3, 2019

<u>VIA E-MAIL</u>
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Re: Supplemental Letter regarding Converting SWAN into a Nonprofit Entity

Dear Mr. Skog:

You asked us to prepare a supplemental letter discussing the options for the composition of the Board of Directors of the System Wide Automated Network ("SWAN") if it converts into a nonprofit entity, as well as SWAN's current ability to receive tax deductible donations. Our opinions on these matters are set forth below.

BOARD OF DIRECTORS COMPOSITION

In the *College of DuPage* case that was cited in our prior letter, the Illinois Appellate Court considered the structure of the College of DuPage Foundation's ("Foundation") board of directors, among other things, in its analysis into whether or not the Foundation was a public body. *Chicago Tribune v. College of DuPage*, 2017 IL App (2d) 160274. There, the Foundation was a separate entity created by the College of DuPage ("College") to manage all of the College's fundraising initiatives. The court noted that even though the Foundation's board had many members that were unaffiliated with the College, because the Foundation's board also included high-ranking employees of the College, the board was linked too closely to the College, and therefore it was more appropriate to find that the Foundation was a public body, and therefore subject to the Illinois Freedom of Information Act ("FOIA"). While the Foundation's board composition was not the sole determinative factor in the court's analysis and ultimate decision to view the Foundation as a public body subject to the FOIA, it was an important factor considered by the court.

With that understanding, we will analyze three examples of potential membership of SWAN's Board of Directors, if SWAN were to convert into a nonprofit entity: (1) a Board consisting entirely of public library member representatives; (2) only a portion of the Board consisting of public library member representatives; and (3) no representatives of public library members on the Board.

Only Public Library Member Representatives on the Board of Directors

If SWAN converted into a nonprofit entity, and if its Board was comprised of only public library member representatives, a court would be more likely find that SWAN was a public body subject to the FOIA and the Illinois Open Meetings Act ("OMA") using the same reasoning as the *College of DuPage* case set forth above. While Board membership is not the sole determining factor a court would consider in this analysis, SWAN's Board composition would be an important factor in the court's decision.

In a different context, it is possible that a nonprofit entity, with only representatives from government members on its board of directors, could perform non-governmental functions and therefore not be subject to the FOIA and the OMA. However, given that SWAN wants to continue to provide the same services it does currently, it would be difficult for SWAN to argue that it was not a public body, when its Board is comprised of solely public library member representatives.

A Blend of Representatives and Non-Representatives of Public Library Members on the Board of Directors

As a nonprofit entity, SWAN could have a Board consisting of a blend of representatives from public library members and those with no affiliation with public library members. Depending on how many Board members SWAN would have if it converts into a nonprofit entity, this option may or may not be feasible while still reducing the risk of the nonprofit entity being found to be a public body subject to the FOIA and the OMA. For example, if over half of the Board consists of representatives of the public library members, then the same problems arise as in the scenario above. If SWAN converts to a nonprofit entity, it would be critical for SWAN to have a majority of Board members that have the primary interest of serving the nonprofit entity, and not of its public library members. If the SWAN Board maintains significant loyalty to SWAN's public library members, a court is more likely to find that SWAN remains an extension of the public libraries it serves, and is would therefore continue to be subject to the FOIA and the OMA.

However, if a minority of the Board consists of representatives of SWAN's public library members, then decisions made in directing the nonprofit entity will have been made with a majority of Board members not affiliated with a public library, which would better support SWAN's position that it is not a public body for purposes of compliance with the FOIA and the OMA. The smaller the ratio of Board representatives of public libraries to non-representatives, the less likely it is that a court would see the Board as too closely linked to a public body.

No Public Library Representatives on the Entity's Board of Directors

SWAN could have a Board with no public library representatives. This is Board composition is the least likely to cause concern if SWAN converts to a nonprofit entity in terms of avoiding public body classification for purposes of complying with the FOIA and the OMA. A SWAN Board with no public library representatives is the optimal composition of the Board, if SWAN desires to stay as far away as possible from being classified as a public body under FOIA and OMA.

DONATIONS

The second question you asked us to analyze are the implications of converting to a Section 501(c)(3) organization in terms of receiving donations. Currently, as an intergovernmental entity, we believe that SWAN cannot accept donations that are tax deductible to the donors. However, if SWAN were converted into a nonprofit entity, we believe SWAN would be able to accept tax deductible donations.

The Internal Revenue Code ("IRC") defines charitable contributions as a "contribution or gift to [a] State, a possession of the United States, or **any political subdivision** of any of the foregoing, or the United States or the District of Columbia, but only if the contribution or gift is made for exclusively public purposes," IRC Section 170(c)(1) (emphasis added).

As the United States Court of Appeals in the 5th Circuit explained, "[t]he term 'political subdivision' is not defined in § 170 or in the Treasury Regulations accompanying § 170. Treasury Regulation 1.103-1(b), however, provides that any division of the government that is a municipal corporation or has been delegated the right to exercise part of the sovereign power of the government, is a political subdivision." *Texas Learning Tech. Group v. C.I.R.*, 958 F.2d 122, 124 (5th Cir. 1992).

In *Texas Learning Tech. Group*, a group of eleven (11) public school districts formed an entity via an "interlocal agreement" pursuant to the Texas Interlocal Cooperation Act. The Texas Learning Tech Group appealed to the 5th Circuit Court of Appeals after it was found not to be a political subdivision, as contemplated in IRC Section 170(c)(1), by the United States Tax Court. The court noted that case law requires an entity to be authorized to exercise some sovereign powers in order to be considered a political subdivision. *Id.* Examples of sovereign powers include the power to tax, the power of eminent domain and to exercise police power. *Id (*citing 1 MERTENS, *LAW OF FEDERAL INCOME TAXATION*, Section 8.09 at 27).

The Attorney General of the United States stated that in order to create a political subdivision, a state must delegate some of its sovereign powers to the entity. *See* 30 Op.Atty.Gen. 252 ("It is not necessary [the political subdivision] exercise all the functions of the state ..., it is sufficient if it be authorized to exercise a portion of them"). The Intergovernmental Cooperation Act of Illinois, in Section 3, provides, "[a]ny power or powers, privileges, functions, or authority exercised or which may be exercised by a public agency of this State may be exercised, combined, transferred, and enjoyed jointly with any other public agency of this State and jointly with any public agency of any other state or of the United States to the extent that laws of such other state or of the United States do not prohibit joint exercise or enjoyment and except where specifically and expressly prohibited by law." 5 ILCS 220/3.

Although under State law, SWAN may be granted some of the powers of its governmental library members, SWAN does not have the power to tax, does not have the power of eminent domain and has no police powers. Therefore, we do not believe that SWAN is a political subdivision of its member libraries under IRC Section 170(c)(1), and therefore is not eligible to receive tax deductible donations at this time. This is our preliminary opinion on this matter. If SWAN would like a more comprehensive review of this issue, please advise, and we will prepare the same.

Upon conversion to a Section 501(c)(3) nonprofit corporation, the new SWAN entity would be able to accept tax deductible donations because of the deductibility of charitable contributions. IRC Section 170(c)(2) defines charitable contributions as a contribution or gift to domestic organizations described in IRC Section 501(c)(3). Incorporating SWAN as a Section 501(c)(3) entity would allow the new nonprofit to obtain the tax-exempt determination letter previously mentioned.

Converting SWAN into a Section 501(c)(3) entity would provide SWAN with the benefit of potentially receiving tax-deductible contributions from donors to SWAN, as, in its present form, we do not believe that donations to SWAN are tax deductible given the analysis above.

If you have any questions, please do not hesitate to contact me.

Sincerely,

KLEIN, THORPE & JENKINS, LTD.

Gregory T. Smith

cc: Donald E. Renner, Klein Thorpe & Jenkin, Ltd.
Derek A. Farrugia, Klein Thorpe & Jenkin, Ltd.

System Wide Automated Network

BLUEcloud Acquisitions Pilot

SWAN Report on Software Pilot with SirsiDynix

Samantha Dietel
11-27-2019

Contents

BLUEcloud Acquisitions Pilot: SWAN Report on Software Pilot with SirsiDynix

Executive Summary

SWAN participated in the SirsiDynix Phase III BLUEcloud Acquisitions Pilot for roughly 3 months. During this time, participants watched 35+ training videos supplied by SirsiDynix and completed weekly assignments covering a wide variety of topics, from fund hierarchy setup to fiscal close and rollover. The purpose of the Pilot Program was to evaluate the BLUEcloud Acquisitions product and determine its readiness for use in a live environment. Our goal was to provide valuable feedback to SirsiDynix, specifically as a large consortium, and to establish a positive relationship with the Product Development Team. Participation in the pilot was by invitation only, with limited library/consortium participation. SWAN worked with SirsiDynix to define scope of SWAN's involvement and implications for our libraries in adoption before accepting the invitation.

Each week the participating libraries and SWAN provided a detailed feedback report to SirsiDynix based on the outline of tasks pilot libraries were asked to complete. These detailed weekly reports are included in this report. Our pilot libraries worked together through the SirsiDynix Strategic Partner Program BLUEcloud Acquisitions Phase III Basecamp, as well as a SWAN SharePoint portal.

Participants found and reported bugs in the software and identified missing features critical for live use in production. While some necessary missing features would prevent existing acquisitions users from moving to BLUEcloud Acquisitions, the product has a lot of potential for libraries new to acquisitions. Some processes, like EDI and invoicing, need to be developed by SirsiDynix. Others are ready as-is and even show a marked improvement when compared to the existing Symphony processes. For example, BLUEcloud Acquisitions 9xx/MARC Order Loading does not rely on Symphony reports and is therefore much faster, and fund hierarchy setup allows for more granularity.

Overall Pluses

- Acquisitions data is housed outside of the Symphony server, which makes reporting faster and more efficient and prohibits open orders from holding up the Discard Process.
- Fund hierarchies can be much more elaborate, allowing for parent/child fund relationships.
- The interface is intuitive and easy to use.

Overall Minuses

- Invoicing is not fully developed and therefore not ready for live production. Manual invoicing is not yet possible.
- EDI is not yet functional.
- Each title is its own purchase order (PO), and orders most often must be searched for by PO number. This is a departure from Symphony, where each title is an orderline on a PO and orders can easily be retrieved by standard numbers.

BLUEcloud Acquisitions is not yet available for general release within the BLUEcloud plaftorm, although pilot organizations can elect to use the product in a production environment. When the product and libraries are ready to transition to BLUEcloud Acquisitions, it will be based on library decision and fiscal year timing. We continue to work with SirsiDynix on the priority features. Our goal is that new libraries joining SWAN, and libraries not yet using WorkFlows Acquisitions can begin using BLUEcloud Acquisitions in early 2020.

Participants

La Grange Public Library staff

Rebecca Bartlett, Collection Services Manager

Linda Ertler, Technical Services Associate

St. Charles Public Library staff

Julie Tegtmeier, Cataloging Librarian

Amanda Kaiser, Technical Services Manager

SWAN staff

Samantha Dietel, SWAN Bibliographic Services Consultant

Scott Brandwein, SWAN Bibliographic Services Manager

Steven Schlewitt, SWAN Information Technology and Systems Support Manager

Dawne Tortorella, SWAN Assistant Director

Vickie Totton, SWAN Systems & Support Consultant

Timeline

Pilot Preparation: 27 May-12 July 2019

Pilot Testing: 15 July-14 October 2019

Setting Up BLUEcloud Acquisitions

Feedback Date: July 29, 2019
Feedback Topic: Setting up BC Acquisitions (15-26 July 2019)
Provided by: SWAN Consortium

Outline of Tasks:

- Review recorded training sessions for Training Session 2: Setting up BC Acquisitions – Session 9-10
- 8. Setting up BC Acquisitions Users
- 9. Setting up BC Acquisitions Profile
- 10. Setting up Selector Limits

1. Set up BC Acquisitions users, using Appendix B in the BC Acquisitions pilot setup guide as a resource when creating BC Acq users.
2. Set up BC Acquisitions profile
3. Set up selector limits
4. Report testing results relative to BC Acquisitions setup

BLUEcloud Acquisitions setup of accounts required some review and rethinking of how SWAN initially set up permissions groups and roles. As part of this pilot we wanted to start from scratch, defining appropriate permission groups without pre-conceived WorkFlows policy thinking.
We created user accounts for member library staff and SWAN staff who will be participating in the pilot and tried to define various acquisitions related roles/job functions people would have to drive a consistent break down of those permissions.

Our biggest concern moving to a cloud-based environment from a controlled VPN secure network is making sure access is as limited as possible while providing staff with the permissions required for their specific job function. No longer can accounts be shared and passed amongst staff, so role-based granular permissions are required to support the various job functions throughout our membership without creating customized roles based on libraries.

Provide recommended roles/permissions as starting points to work from. What is typical of the person who manages selection lists? Funds? Creates/manages order? Supervises the entire Acquisitions process?

1. Setting up BC Acquisitions

This is what we ended up with, which may require adjustment as we work through the pilot.

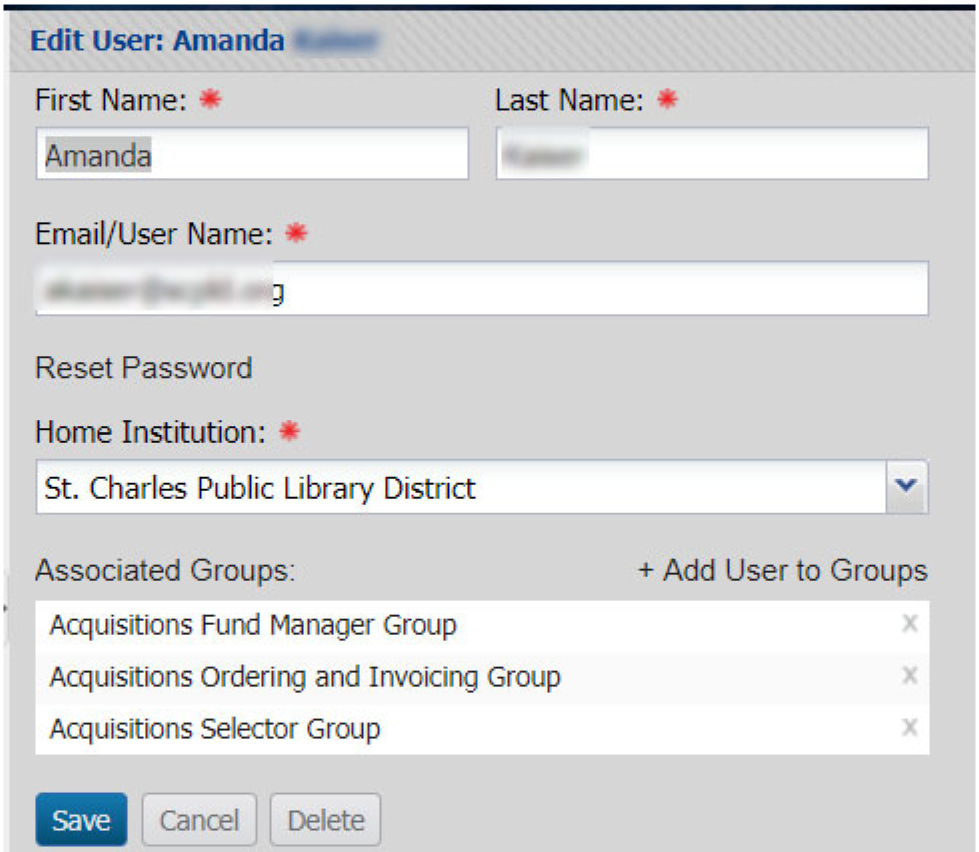
Setting up BC Acquisitions Users –

Users:

In our consortium, users are associated with their Home Institution to provide the level of access/security needed to manage acquisitions at the individual library level.

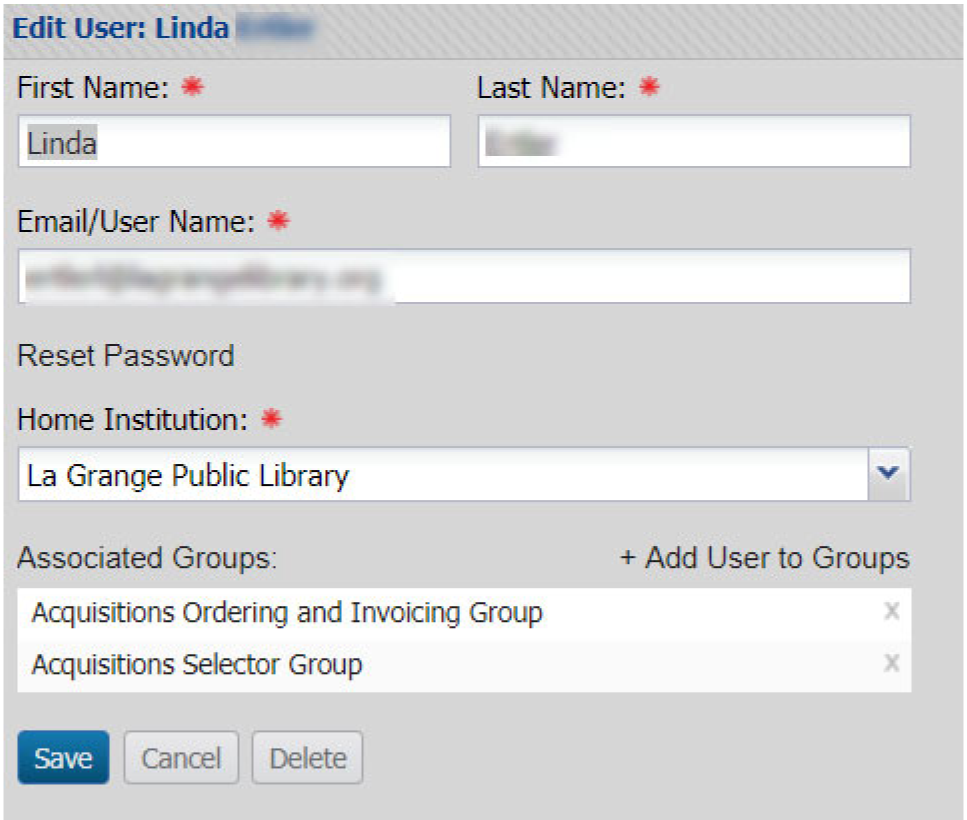
The following user represents the typical group assignments for the head of Acquisitions processing. They are in the Associated Groups:

- Acquisitions Fund Manager Group
- Acquisitions Ordering and Invoicing Group
- Acquisitions Selector Group



Staff responsible for the daily order placement and management do not manage funds, and therefore are in the Associated Groups:

- Acquisitions Ordering and Invoicing Group
- Acquisitions Selector Group



In this pilot, we will not be having Selector-only staff, but may experiment with a more reduced set of permissions that would be appropriate in that role.

Groups:

As recommended by SirsiDynix consultants and trainers, we have tried to provide a one-to-one correspondence between Roles and Groups. From a point of managing consistency, we understand this practice. However, from a user and system management perspective this is a tedious process. We are not sure the benefit of having both Roles and Groups provides, except to provide a once removed link between users and roles/permissions.

Recommendation: Allow roles/permission to be selected within the group definition, rather than separating the two. Or provide guidance on why these are separated and a use case of where that would be observed in practice.

Groups

Search

Group Name	Owning Institution
Acquisitions All Group	SWAN Consortium
Acquisitions Fund Manager Group	SWAN Consortium
Acquisitions Ordering and Invoicing Group	SWAN Consortium
Acquisitions Selector Group	SWAN Consortium

Roles:

Our description for roles includes the date of last update/change. We anticipate as additional features and functionality are rolled out, changes will be needed and we need an easy way to audit/verify as this happens.

Name ▲	Description	Associated Product
Acquisitions All Role	Acquisitions All Privileges 2019/06	BLUEcloud Acquisitions
Acquisitions Fund Manager Role	Acquisitions Fund Privileges 2019/06	BLUEcloud Acquisitions
Acquisitions Ordering and Invoicin...	Acquisitions Ordering and Invoicing Privileges 2019/06	BLUEcloud Acquisitions
Acquisitions Selector Role	Acquisitions Selector Privileges 2019/06	BLUEcloud Acquisitions

Acquisitions All Role

- All Acquisitions Associated Privileges selected
- Corresponds to the following groups
    - Acquisitions All Group
    - BLUEcloud Admin

Acquisitions Fund Manager Group

- Associated Privileges
    - Available Funds Report
    - Expenditure by Fund Category Report
    - Fund Account Report
    - Manage Fund Cycles
    - Manage Fund Categories
    - Manage Reports
- Associated Groups
    - Acquisitions Fund Manager Group
    - BLUEcloud Admin

Acquisitions Ordering and Invoicing Role

- Associated Privileged
    - Approve Invoices
    - Approve Orders
    - Available Funds Report
    - Cancel Orders
    - Claim Orders
    - Create update Invoices
    - Create Update Orders
    - Delete Invoices
    - Delete Orders
    - Manage Invoices
    - Manager Orders
    - Manage Payment Terms

- Manage Reports
- Manage Vendors
- Outstanding Orders report
- Price Variance Report
- Receive Orders
- Update Approved Invoices
- Update approved Order
- View Invoices
- View Orders

- Associate Groups
  - Acquisitions Ordering and Invoicing Group

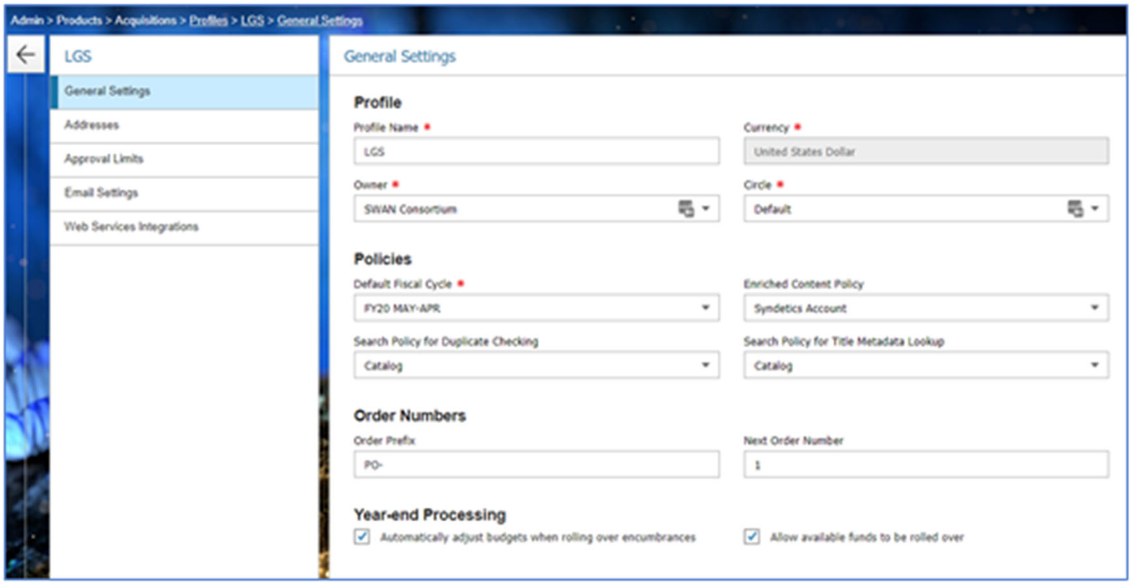
Acquisitions Selector Role

- Associated Privileges
  - Manage Selection Lists
  - Manage Selector Limits
  - Selection Performance Report
  - Selector
- Associated Groups
  - Acquisitions Selector Group

2. Setting up BC Acquisitions Profile

SWAN will have three institutions participating in the pilot. Three profiles have been set up for these agencies/libraries.

Our member libraries have different fiscal cycles so it was imperative to these established correctly.

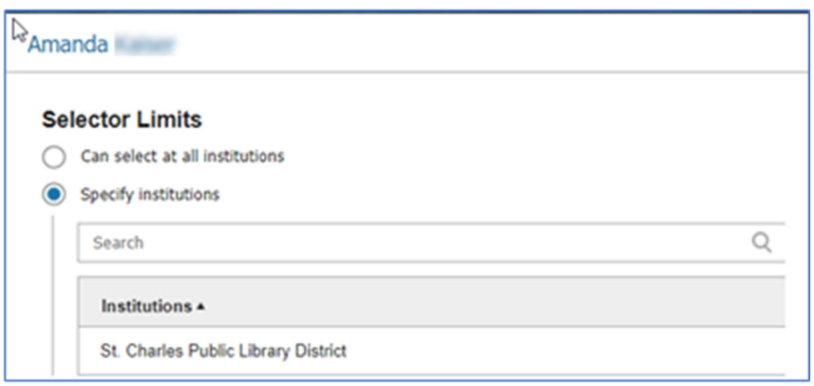


3. Setting up Selector Limits

Each of our pilot institutions has the selector limits configured. These limits are associated with the member library (La Grange and St. Charles, and SWAN headquarters). We may experiment with adding all participating in the pilot, the ability to select during the pilot.

St. Charles Public Library District

- Amanda
- Julie



La Grange Public Library

- Rebecca
- Linda

SWAN Headquarters

- Scott
- Sam
- Vickie
- Claudia
- Dawne

4. Report testing results relative to BC Acquisitions setup

The documentation and supporting material, including the detailed tutorials, made setup possible. It is not an intuitive process and a walk-through guide of a typical library would be helpful. But, we think we accomplished the tasks and with any detailed configuration there will be room for some confusion.

Managing Fund Accounts

Feedback Date: August 5, 2019
Feedback Topic: Managing Fund Accounts (29 July – 2 August 2019)
Provided by: La Grange Public Library, St. Charles Public Library, SWAN Headquarter (testing within SWAN Consortium)

Outline of Tasks:

- Review recorded training sessions for Training Session 3: Managing Fund Accounts

1. Set up fund accounts as appropriate to your needs based on the recorded training sessions listed above.
2. Run through phase III pilot exercises for Managing Fund Accounts
3. Report testing results relative Fund Management

Pre-qualifiers

- Review the following recorded training: Managing Fund Accounts
- At least one fiscal cycle must be set up
- Address policies must be set up
- At least one Acquisitions profile must be set up
- Fund categories should be set up

Exercises

1. Verify that the default fiscal cycle set in the Fund Accounts UI is the expected fiscal cycle. If not, reset the default fiscal cycle in the Acquisitions profile.
2. Create a primary fund account entering in the fund account name, fund account ID and general ledger number.

Note 1: Account IDs should be unique per fund account.

Note 2: General ledger numbers should represent groupings of fund accounts you need to report on, and typically match how your accounting office reports on library expenditures. For example, let's say a site has three library branches, and the accounting office has a distinct general ledger number for each branch. You could create a single fund account as the primary fund account that represents all three libraries (e.g., Central), and then three child accounts for each library branch, and entering in the distinct general ledger number for each one. If you want to further subdivide fund accounts to better manage your budgets, each sub-account would maintain the same general ledger number as its parent account.

3. Add money to the budget of the primary fund account.
4. Create child and grand-child fund accounts that are representative of your accounting hierarchy.
5. Associate each fund account with the proper owning institution.
6. Mark the budgets for associated fund accounts as chargeable, meaning the budgets you want to encumber and expend from.
7. Assign appropriate fund categories to each fund account that is marked with a chargeable budget.
8. Transfer appropriate amounts from the primary fund account to each child/grand-child fund account.
9. Move a single or a group of fund accounts as needed to various parts of the fund account hierarchy.
10. When you're happy with the initial setup and you're ready to begin selecting or ordering material, change the budge status from Building to Open on the primary fund account.

La Grange Public Library Feedback

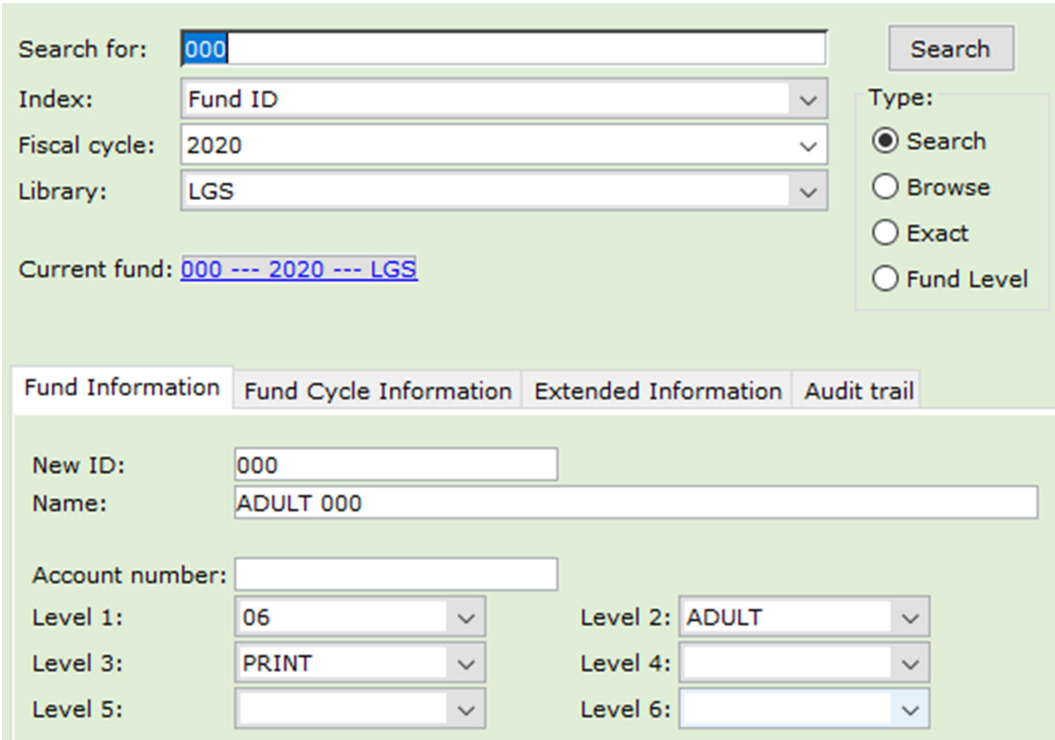
Rebecca Bartlett

Today I created six Fund Account IDs in BC Acquisitions. Our library's Fund Categories in BC Acquisitions are based on their corresponding Fund Levels in WorkFlows Acquisitions.

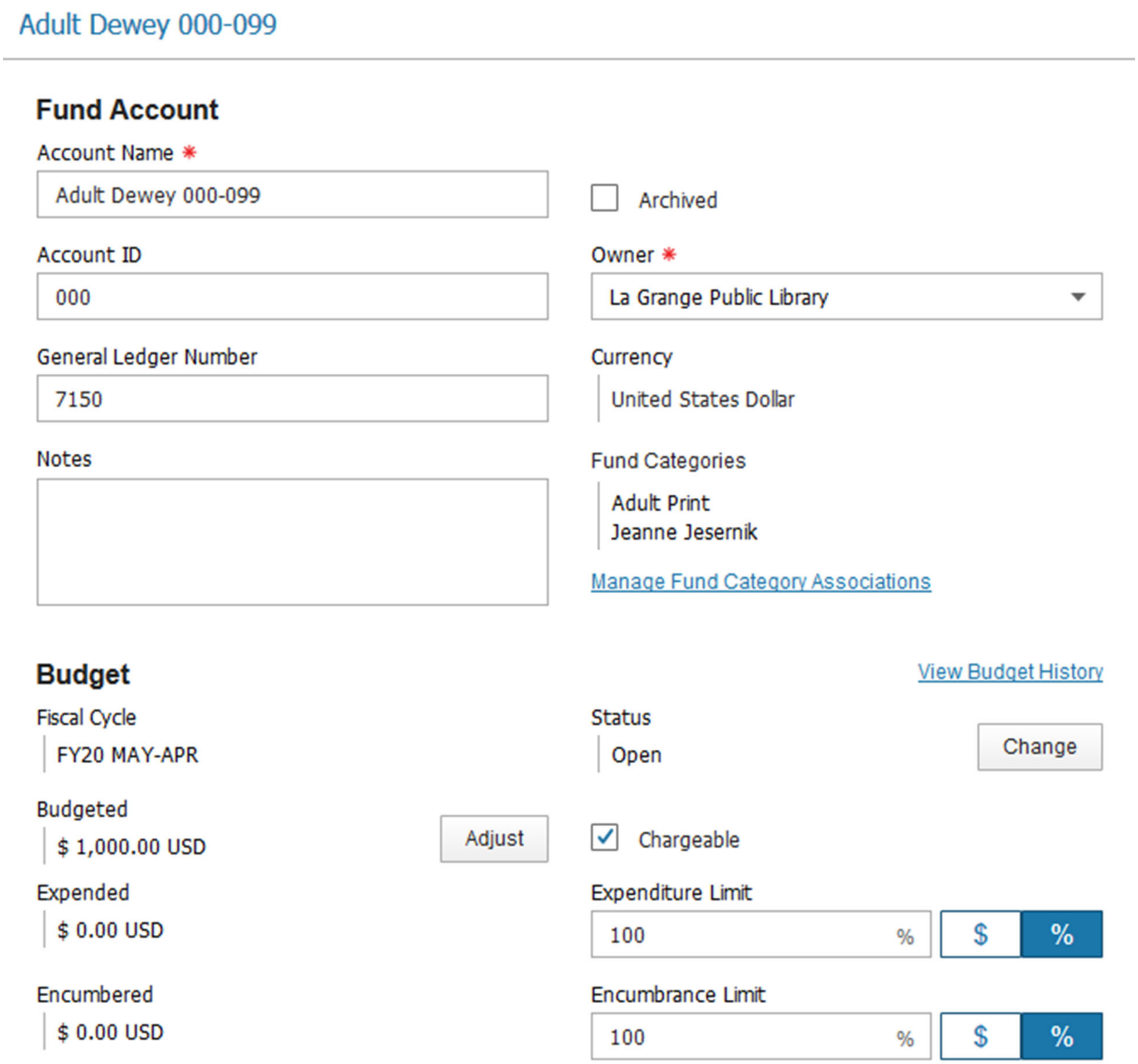
I wasn't sure what the Address Policy was, so I skipped that part of the exercise. I also hope that Mike Hilmo allows us to remove the error message about changing the currency on the Fund Account, that is not relevant to our library, since we always use U.S. dollars.

In this example, I used the Fund ID = 000 (Adult Dewey 000-099). In WorkFlows, Fund ID 000 has a Fund Level 1 = 06 (Jeanne Jesernik), Level 2 = ADULT, and Level 3 = PRINT. In BC Acquisitions, I combined Fund Level 2 and 3, creating a Fund Category of Adult Print.

Here is Fund ID 000 in WorkFlows:



Here is Account ID 000 in BLUECloud Acquisitions:



St. Charles Public Library Feedback

Julie Tegtmeier

I set up all of the accounts and added funds our Adult Collection FY 19-20 and created a hierarchy that matches how our Business Office manages our accounts. I thought setting up the fund accounts was very simple and straightforward. Easy to use and figure out. Moving things around the hierarchy was simple. It was easy to delete and edit. Everything was really intuitive. I didn't really have any issues. Just an observation I had while working in this, I didn't really find the copy feature all that useful when making all the accounts. I actually found it easier to just create a new account than to go through all the clicks to copy an existing one. I don't know if this is the kind of feedback Sirsi is looking for but I thought I'd mention it. I used it a few times and it just didn't make the process any faster.

I also created individual fund categories for each of our accounts because I'm still a little fuzzy on how those are going to work in the selection/ordering tasks. I thought making one for each would be better since that is how our grids are set up in B&T. I don't know if this is correct—some of those webinars were too long ago—but we can edit/delete/correct them later if it is a mistake. (Note: The copy feature in Fund Categories was so helpful in creating all of these. I pushed that little icon and then it opened up right away in the new copy. Very helpful and made that process so much easier. If the Fund Accounts copy feature was more like this one, I think it would be much more useful).

I kept all of our accounts in the Building stage for now because I wanted Amanda to take a look at things before we changed the status to Open. I remember him saying that it was easier to edit/moving things around in Building.

SWAN Headquarters Feedback

Samantha Dietel

We've created a fund hierarchy representing two "parent" funds - one with sub-fund and one without. All budget lines and fund categories have been assigned and monies allocated. We found that transferring fund amounts was intuitive even without the training, but the training video was helpful. As SWAN Headquarters (the SWAN "library), things are in good shape. As the SWAN Consortium, we have an interesting perspective and are exploring how best to set up policies. For the pilot, we have given library staff the ability to create and manage their own fund categories. We think this will provide us with an opportunity to gage perspective needs for fund categories and develop a plan for the live environment. Our goal is to ensure that all needs are met while maintaining a clean policy list. Recommendations on best practice for a large consortium with individual acquisitions per library (not centralized) are establishing guidelines and naming conventions would be very helpful. We are concerned with starting this in a production environment without thinking through these decisions and consortium-wide impact. Also, how can we use naming conventions that will be helpful for targeting analytics selections.

Managing Vendor Records

Feedback Date: August 12, 2019
Feedback Topic: Managing Vendor Records (5-9 August 2019)
Provided by: La Grange Public Library, St. Charles Public Library, SWAN Headquarter (testing within SWAN Consortium)

Outline of Tasks:

- Review recorded training sessions for Training Session 4: Managing Vendor Records

1. Set up vendor records as appropriate to your needs based on the recorded training sessions listed above.
2. Run through phase III pilot exercises for Managing Vendor Records
3. Report testing results relative to Vendor Management

Pre-qualifiers

- Review the following recorded training: Managing Vendor Records
- At least one fiscal cycle must be set up
- At least one Acquisitions profile must be completely set up

Exercises

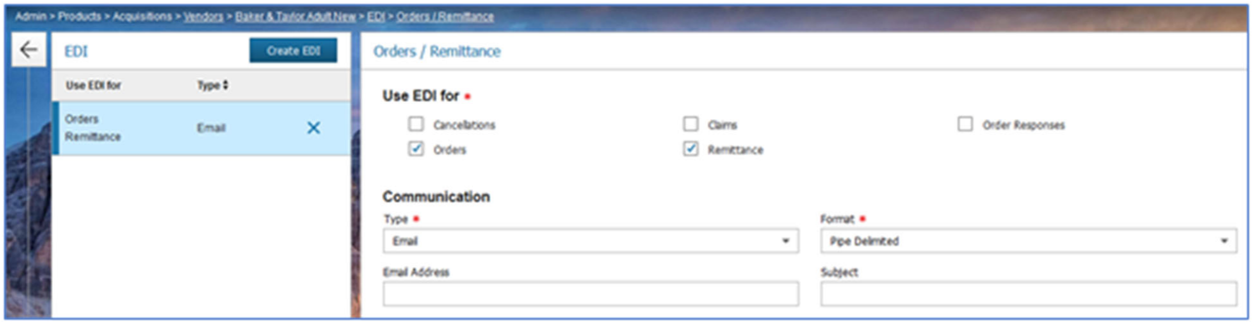
1. Create a vendor record for your main vendor, including the vendor portal URL if you plan to generate 9xx request files from a vendor's portal.
2. Create a vendor account to be used when processing orders.
3. Create an EDI tab for orders to be used when sending orders to your vendor.
4. Create additional vendor records following steps 2-3 above.

La Grange Public Library Feedback

Rebecca Bartlett

List the following:

- Vendors you will be using during pilot testing. –
  - Baker & Taylor Adult New account.
- Vendors you currently use in Symphony Acquisitions – We use many vendors in Acquisitions. Our EDI vendors are:
  - Baker & Taylor Adult New (print), Juvenile New (print) and
  - Midwest Tape (Juvenile A/V).



I set up our Baker & Taylor Adult New account in BC Acquisitions. I liked that we can record our customer service representatives' contact information in the Contacts tab in BC Acquisitions. At LGS, we only use the FTP transfer to send and receive EDI orders and invoices, so I don't have the Baker & Taylor email address or URL for EDI orders and invoices. (Rebecca Bartlett)

St. Charles Public Library Feedback

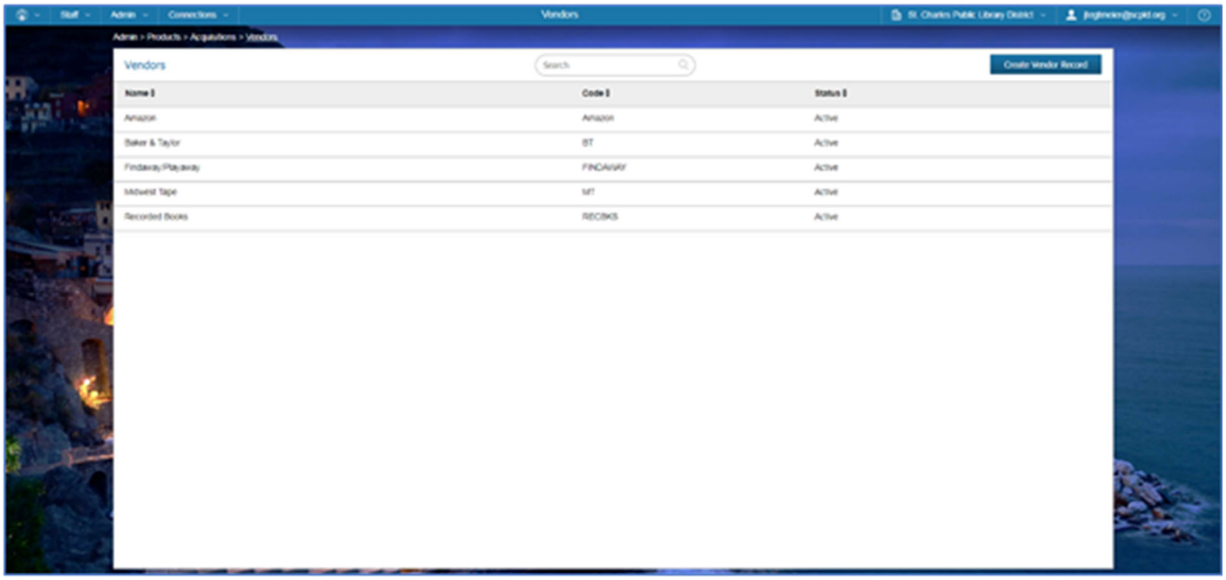
Julie Tegtmeier

List the following:

- Vendors you will be using during pilot testing: I'm not sure yet which vendors we will be using for the pilot but I set up vendor records for the vendors we order from most frequently:
    - Amazon,
    - Baker & Taylor,
    - Findaway/Playaway,
    - Midwest Tape, and
    - Recorded Books

  I thought it would be good to have options for the pilot.
- Vendors you currently use in Symphony Acquisitions: We have hundreds of vendors that we use in Symphony but the ones we use the most are the five listed above.

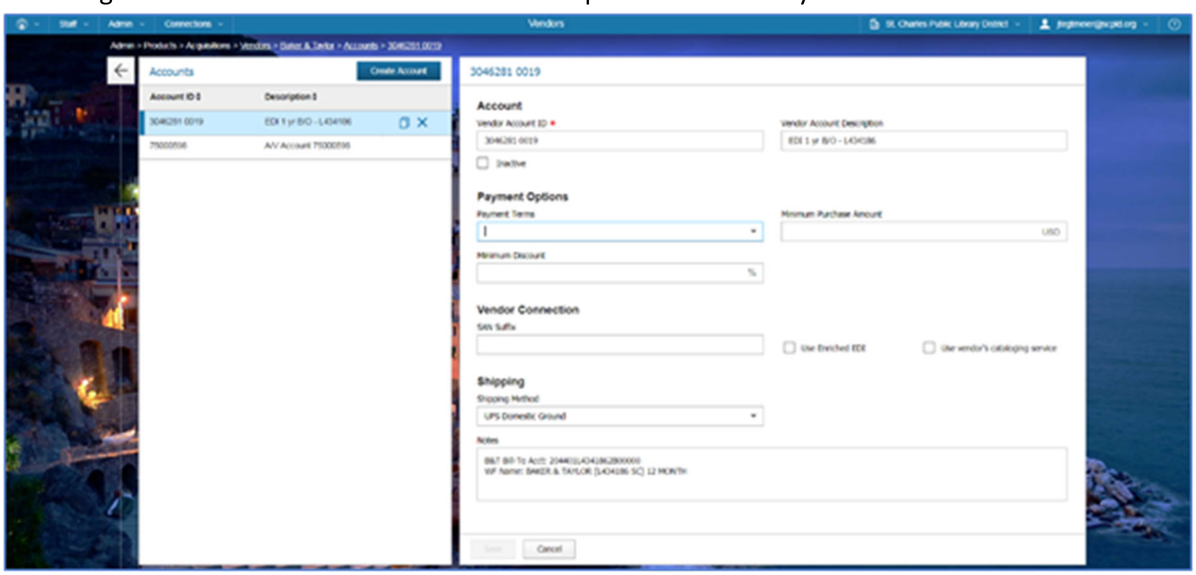
I set up vendor records for five
vendors:



Just like last week's exercises, I found this process very simple and straightforward. No issues, problems, etc.

I set up EDI for B&T, Findaway, Midwest, and Recorded Books because we use EDI for all these vendors in Symphony. Amazon is a direct vendor we use but we still track orders, funds, and receive items ordered through the Acq Module so I thought I'd just set that one up too. We make our own 9XX records for Amazon orders to add pre-cats to the system and add the orders to the Acq Module and we wanted to test that in the pilot if possible.

One thing I did notice was that I didn't have a drop down for the Payment Terms:



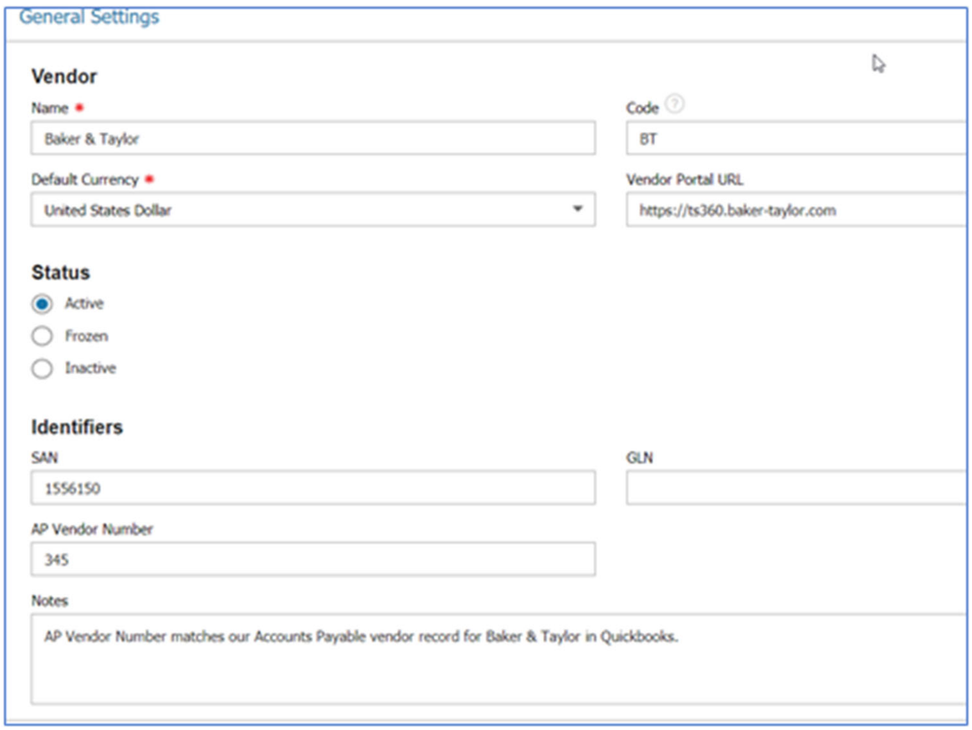
I know it doesn't work (so it doesn't really matter) but during the webinar Mike was able to select Net 30 Days for this field—it was the only option. Again, I know it doesn't matter because none of this really works but I thought I'd mention it just because it was different from the demo he gave.

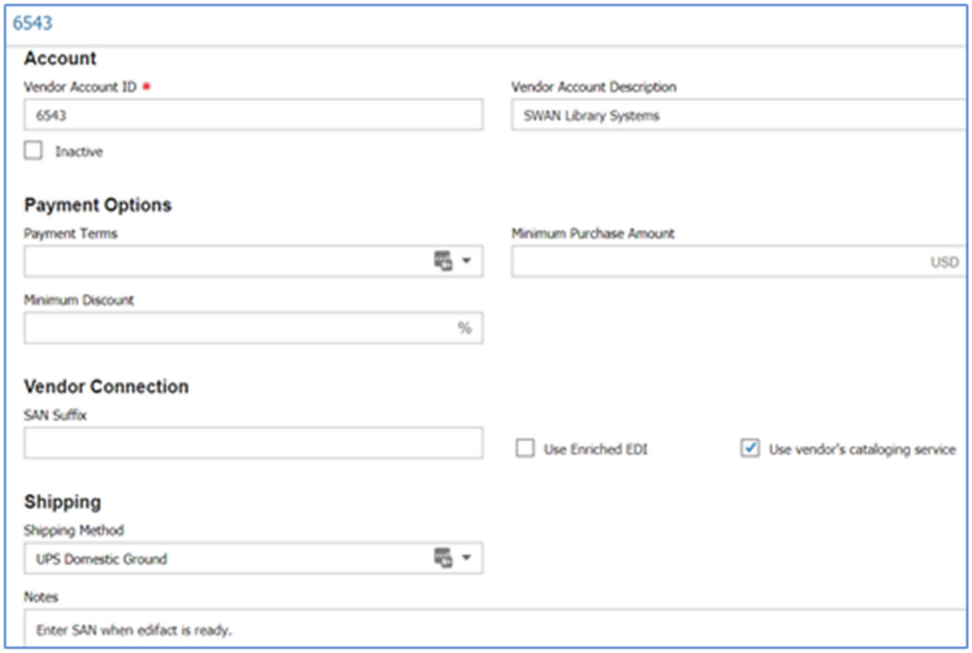
The contact and address sections were nice but I didn't set up that up for any of our vendors because I don't see the benefit of that. It's pretty but it doesn't function—we can't contact a vendor directly through this section so I don't see what the purpose is at the moment. We have other ways of storing this information that are more functional and serve our needs better. Also, if we have an issue with an order/vendor now, our first step is not to check the Acq Module for contact information. I don't really see that changing in a cloud based system.
-Julie Tegtmeier

SWAN Headquarters Feedback

Provide a recap of your experiences and observations

- We have created a Baker and Taylor vendor account for pilot testing. Screenshots of settings are below:




6543

Account

Vendor Account ID *

6543

Vendor Account Description

SWAN Library Systems

Inactive

Payment Options

Payment Terms

Minimum Purchase Amount

USD

Minimum Discount

%

Vendor Connection

SAN Suffix

Use Enriched EDI

Use vendor's cataloging service

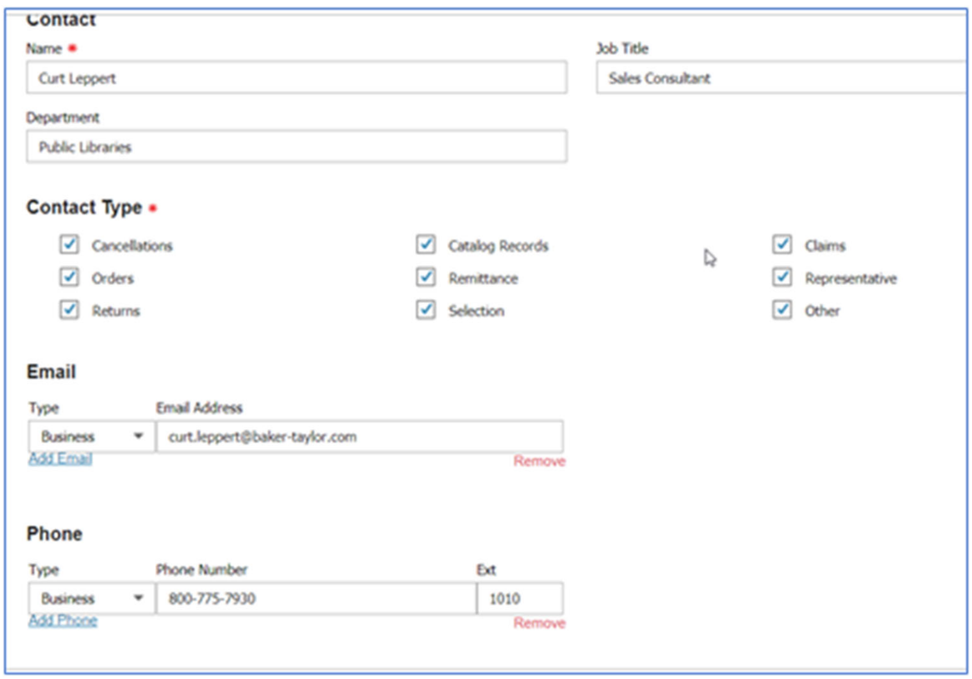
Shipping

Shipping Method

UPS Domestic Ground

Notes

Enter SAN when edifact is ready.


Contact

Name *

Curt Leppert

Job Title

Sales Consultant

Department

Public Libraries

Contact Type *

Cancellations

Catalog Records

Claims

Orders

Remittance

Representative

Returns

Selection

Other

Email

Type

Email Address

Business

curt.leppert@baker-taylor.com

Add Email

Remove

Phone

Type

Phone Number

Ext

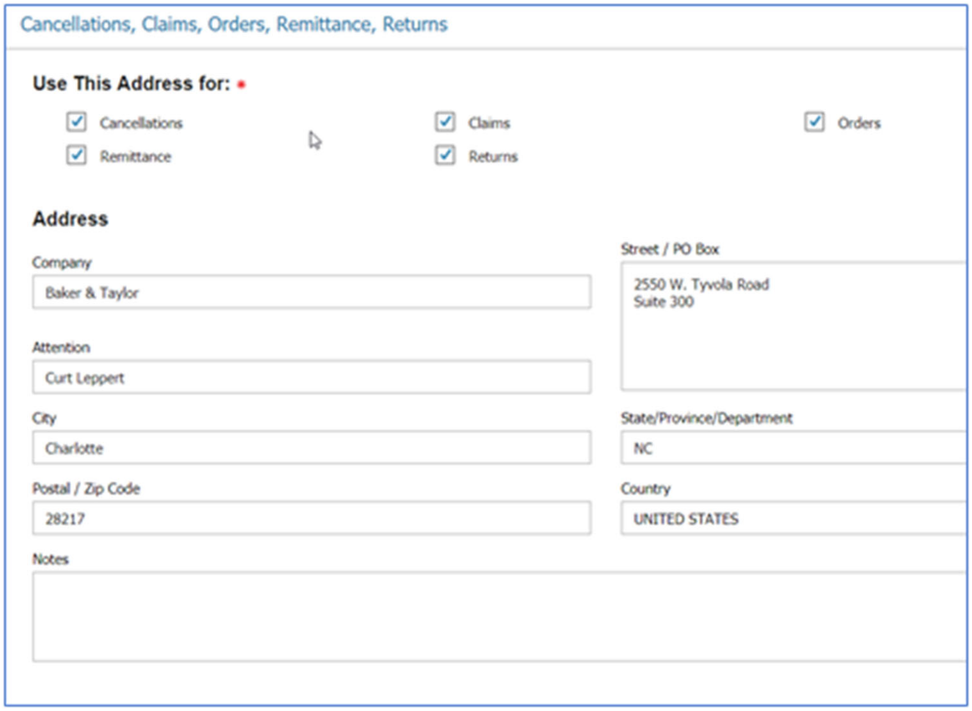
Business

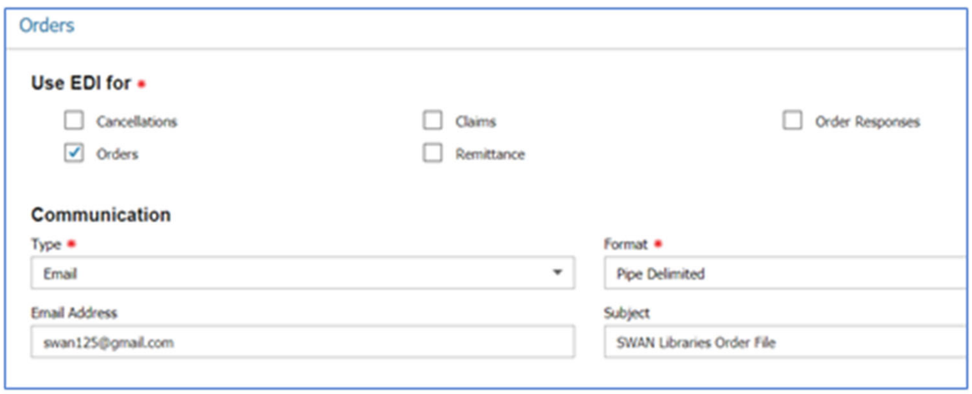
800-775-7930

1010

Add Phone

Remove





Provide step-by-step screen prints verifying SWAN pilot setup for documentation purposes, based on setup tasks.

- We like that there are notes for each screen representing the parts of the vendor setup. We have made notes to ourselves to add things like a SAN once EDI is functional. There is also a good deal of granularity with addresses, which we liked.

SWAN (Sam Dietel)

Managing Selection Lists

Feedback Date: August 19, 2019
Feedback Topic: Managing Selection Lists (12-16 August 2019)
Provided by: La Grange Public Library, St. Charles Public Library, SWAN Headquarter (testing within SWAN Consortium)

Outline of Tasks:

- Review recorded training sessions for Training Session 5: Managing Selection Lists

1. Set up selection lists as appropriate for your needs based on the recorded training sessions listed above.
2. Run through Phase III Pilot Exercises for Managing Selection Lists.
3. Report testing results relative to Selection List Management.

Pre-qualifiers

- Review the following recorded training: Managing Selection Lists
- Default fiscal cycle and the enriched content policy must be set up in the Acquisitions profile.
- At least a single active vendor record
- At lest one Selection List type policy must be set up
- At least one source file must be ready to import

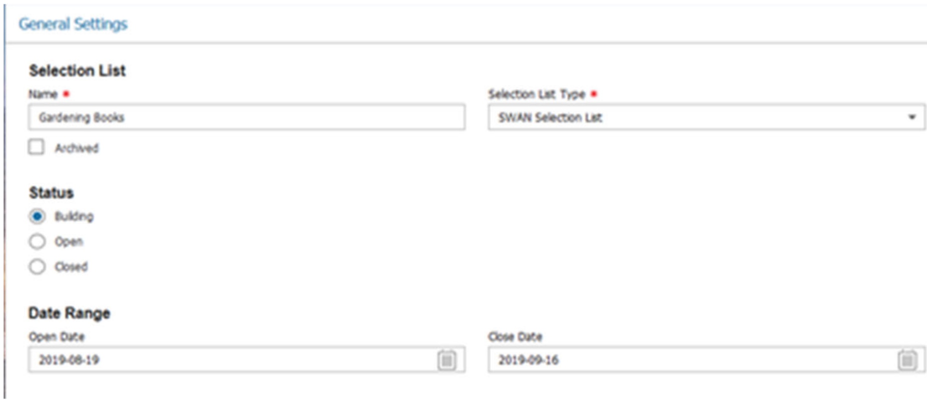
Exercises

1. Create a selection list, including the date range when the selection list will be open.
2. Add at least one source file to the selection list.
3. Review titles in the selection list to see if any record needs additional attention in preparation for opening the selection list.
4. Filter search results displaying in the selection list using the Advanced Search feature.
5. Update title metadata using the Marc editor in the title detail view.
6. When the selection list meets your expectations, change the selection list status from Building to Closed.

La Grange Public Library Feedback

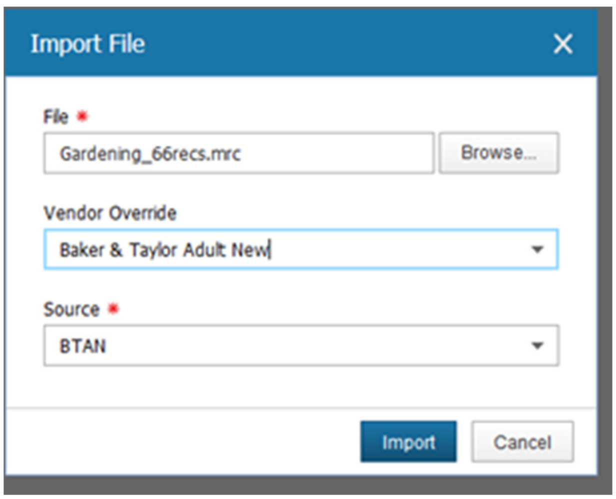
Rebecca Bartlett

Back in 2015-2017, LGS used Selection Lists in WorkFlows, and it didn't work out too well. We decided to transition to Grid Carts in Baker & Taylor, allowing selectors to create their own carts with each title attached to a Grid (fund code).

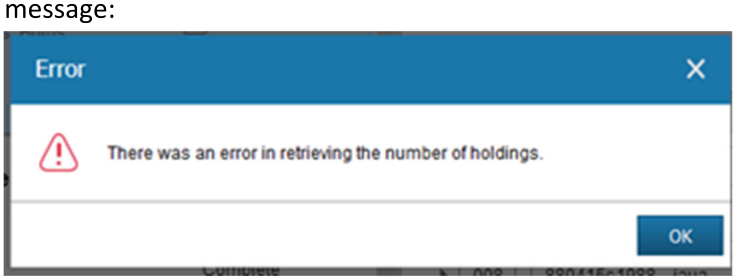


I set a date range of August 19, 2019 to September 16, 2019 to allow selectors a month to review the Selection List.

I imported Mike Hilmo's Gardening_66recs.mrc file:



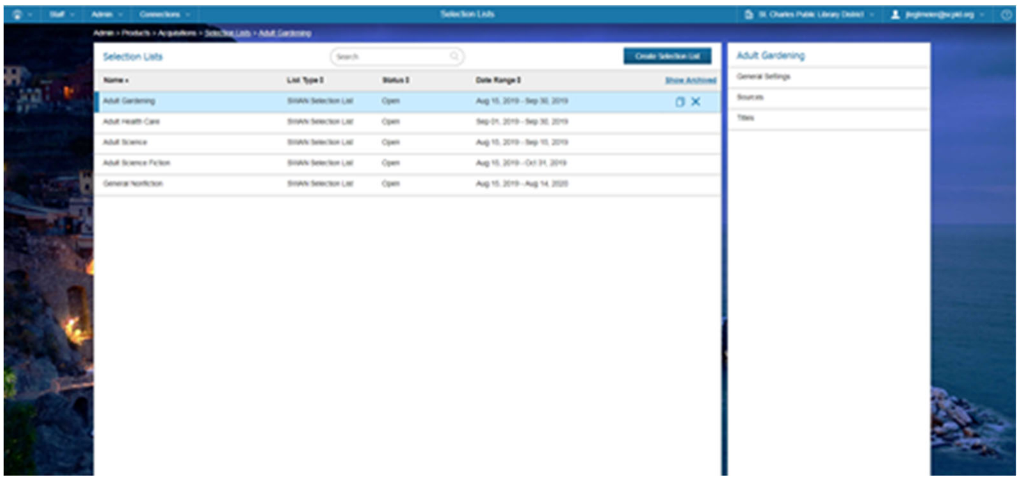
Just to practice, I used the Advanced Search with a subject of "Perennials," and this narrowed down the Selection List to 3 titles. None of the titles had holdings in the SWAN catalog, so we received this error message:



Building the Selection List in BC Acquisitions was easy, but at LGS, we empower our selectors to build their own Baker & Taylor carts, with little input from Collection Services staff (unless we see an obvious error or duplicate title). I feel like Selection Lists are better suited to large institutions with centralized ordering, and not as relevant for our library. (Rebecca Bartlett)

St. Charles Public Library Feedback

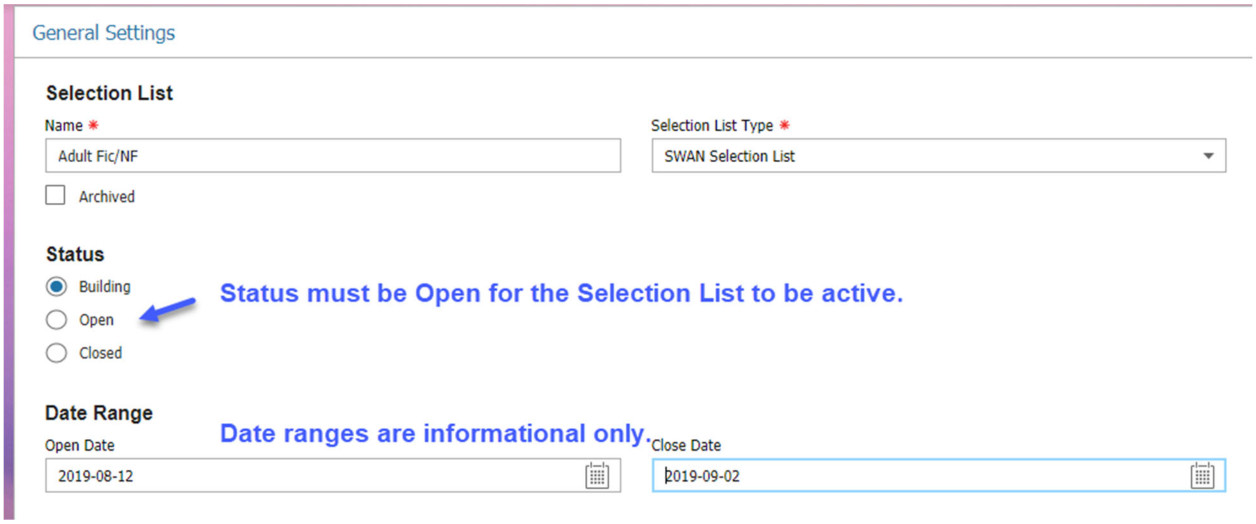
Similar to La Grange, we've never really used the Selection module in Symphony. Our selectors build carts directly with the vendors (Baker & Taylor, Midwest Tape, etc., etc.) and really like making their selections that way. It's a system they are very comfortable with and I'm not sure if we are interested in changing the way they work at this time. I'm sure this is a wonderful feature for libraries who are using the Selection module in Symphony but I don't know how much use we will get out of selection lists. That being said, like the previous weeks, I found setting up the selection list to be very simple and straight forward. I set up multiple lists using the .mrc files provided by Mike.



The Gardening, Health Care, Science, and Star Wars lists all use the individual .mrc files. The General Nonfiction lists uses the Nonfiction and Blockbuster files. The records all loaded well. One record in the Health Care file was not preferred because it lacked a price. I went into the MARC file and added a 365, saved it, and the record switched to preferred. It was really simple to make this small edit.
I played with the Advanced Searching and that worked well too. I didn't really get the holdings error message that La Grange and SWAN. It popped up a few times as I was navigating the records but it was only two or three times and I opened a lot of the records just to see if it would come up.

SWAN Headquarters Feedback

Samantha Dietel
Created a selection list with a date range of a couple weeks.



Uploaded two .mrc files, a local test file and BlockBusterTitles_18recs.mrc.

Source	Date Added	Status	Total Records	Incomplete Records	Non-Preferred Records	File Name
BT	2019-08-13	Complete	4	0	0	BCAcqtest.mrc
BT	2019-08-13	Complete	18	0	0	BlockbusterTitles_...

Like LGS, we also received the "There was an error in retrieving the number of holdings" message.
Modified a few MARC fields using the Marc editor in the detailed view, which was easy and intuitive.
Tried the Advanced Search feature, using subject and "preferred record" searches to see how lists can be easily narrowed down and sorted.
Changed the status from Building to Open.

Selecting Titles

Feedback Date: August 26, 2019
Feedback Topic: Selecting Titles (19-23 August 2019)
Provided by: La Grange Public Library, St. Charles Public Library, SWAN Headquarters (testing within SWAN Consortium)

Outline of Tasks:

- Review recorded training sessions for Training Session 6: Selecting Titles
- Run through Phase III Pilot Exercises for Selecting Titles.
- Report testing results relative to Title Selection.

Pre-qualifiers

- Review the following recorded training: Selecting Titles
- A fund account hierarchy must be set up
- Budgets must have a status of Open and be marked as Chargeable for the default fiscal cycle set in the Acquisitions profile
- Vendor records must be set up for vendors from whom to order material
- Selectors must be granted Selector Limits for the institutions assigned to the fund accounts to be used when selecting titles
- A selection list must have a status of Open

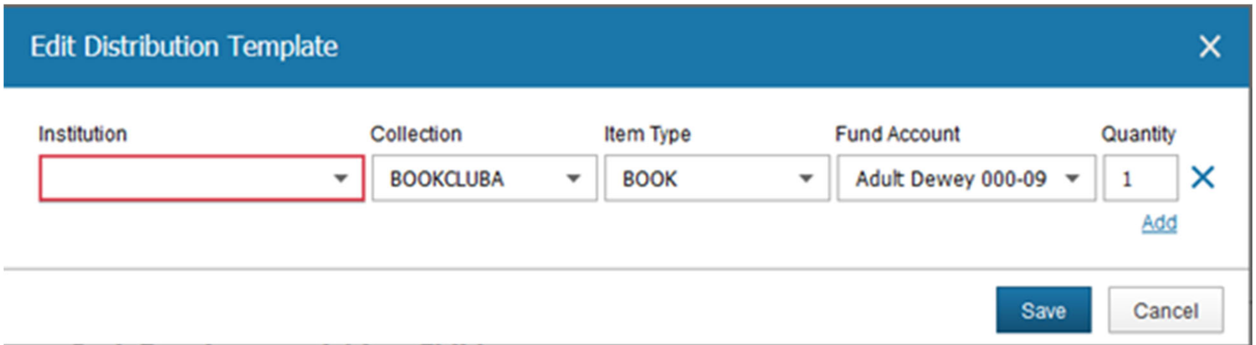
Exercises

1. Open a selection list.
2. Review the budget summary.
3. Set up your distribution template, including adding a specific fund account or allowing the fund category to specify the fund account.
4. Filter search results displaying in the selection list using Advanced Search.
5. Review title details.
6. Select titles.
7. Add in distribution notes for a few selected titles.
8. Update your distribution template as needed.

La Grange Public Library Feedback

Rebecca Bartlett
Well, this was the <u>most frustrating</u> of the exercises so far. For other staff who come after me, make sure that your Selection List has a status of OPEN. Otherwise it won't show up in Staff -> Acquisitions -> Selections.

After getting some help from Sam Dietel and Linda Ertler, I found the Edit Template button, but I could not select my institution, as it did not appear in the drop-down, so I could not apply the Distribution Template.   I also could not type in an Institution "La Grange Public Library."

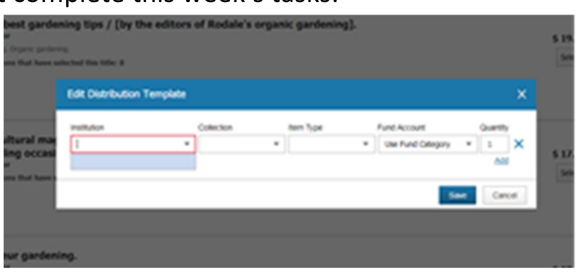


So that's as far as I got, sorry!

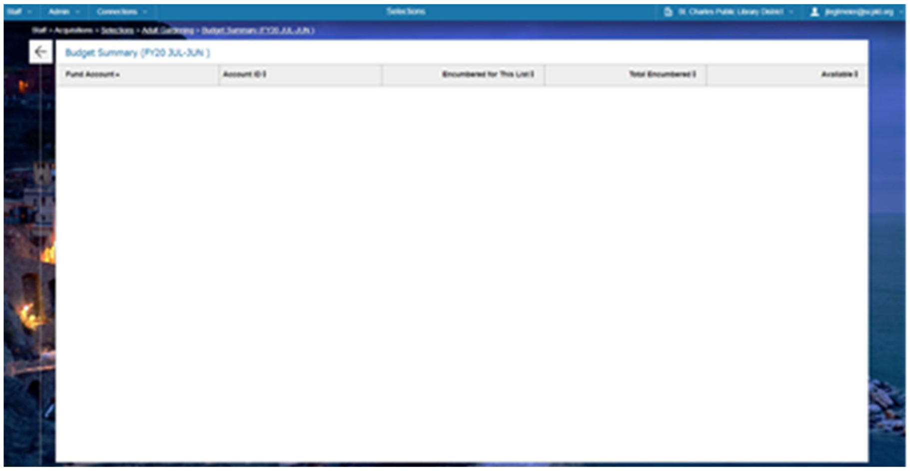
St. Charles Public Library Feedback

Julie Tegtmeier

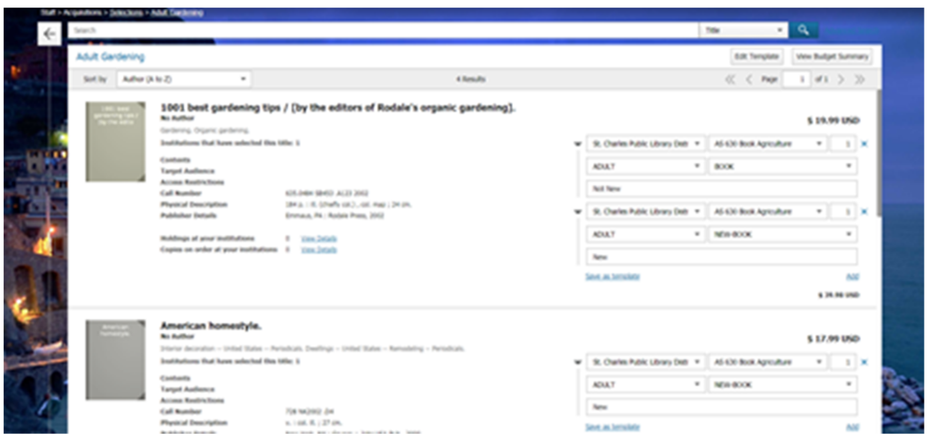
At St. Charles we ran into the exact same issues that La Grange did. I couldn't select my institution. It did let me type 'St. Charles Public Library' into the institution box but none of that information saved. None of the info I typed into any of the boxes saved. It all just went blank and didn't let me do anything so I couldn't complete this week's tasks:

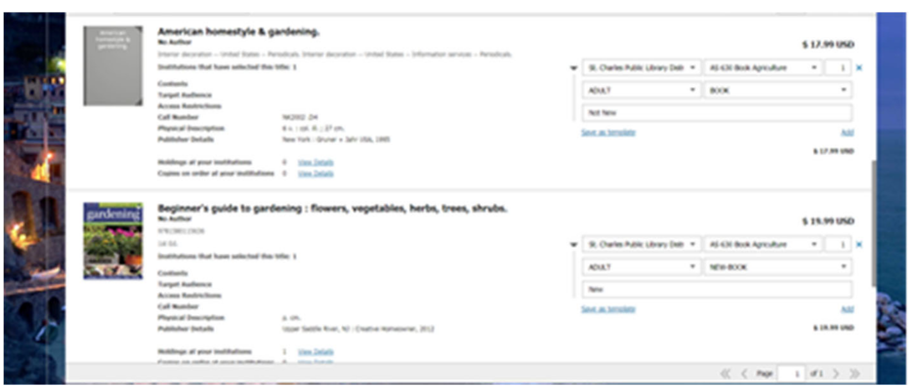


Also, none of our funds showed up in the budget summary tab. Everything was blank for all the open selection lists. I went through and looked at the fund accounts to make sure everything was open and chargeable. It all looked okay to me so I'm not sure why nothing was there. I even adjusted a few of the fund account settings to see if that would trigger some sort of change but I still got nothing:

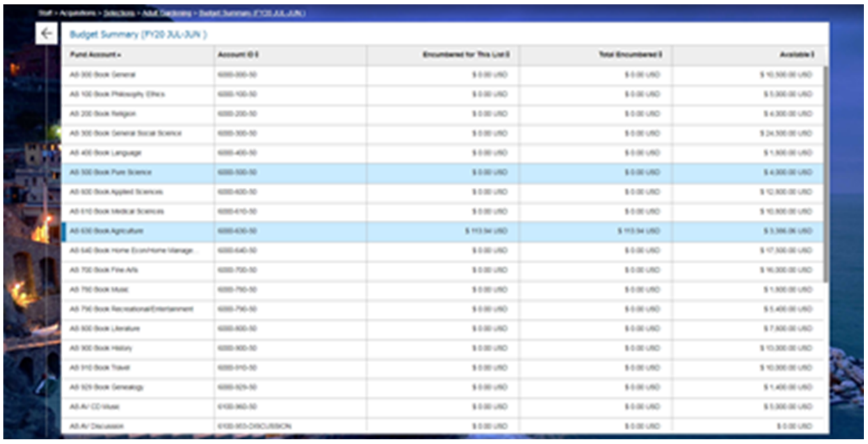


Sept. 9 Update:
I just went back in to check on this exercise after we heard back from Sirsi about our settings. I was able to edit the distribution template and select titles just fine:





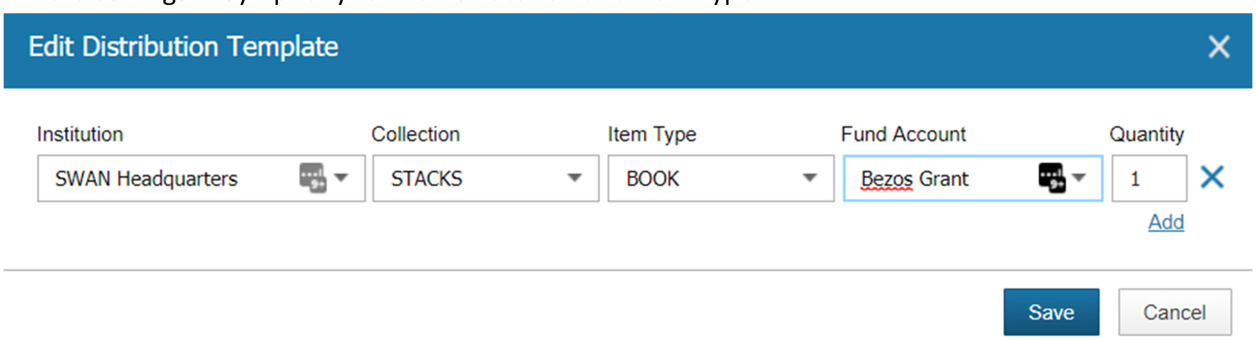
Our budget summary also came in and was no longer blank:



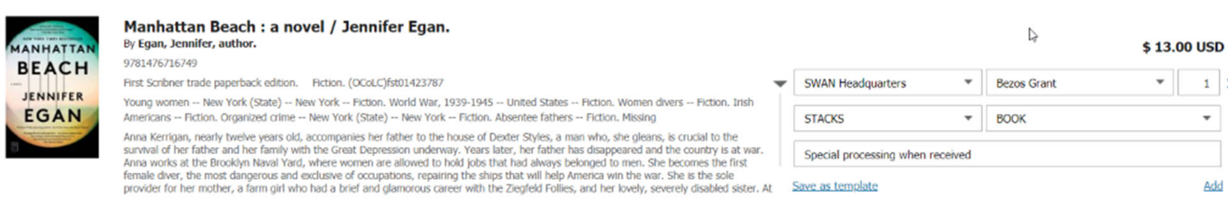
SWAN Headquarters Feedback

Samantha Dietel

I viewed a selection list, reviewed the Budget Summary, and created a Distribution Template.
The training video mentions that the Collection and Item Type dropdowns are refreshed when the Institution is selected. “Once you select and Institution...BCA performs a Web Services call to populate the Collection and Item Type dropdown menus based on actual policies associated with the ILS instance tied to the BLUEcloud Institution you selected.” Does this call reference the Customized Policy List Wizard settings in Symphony for Home Location and Item Type?



Used Advanced Search to limit results based on subject, which worked as expected.
Added notes in a few titles after selecting.



Confirmed that budgets were updated after titles selected.

Creating & Managing Orders

Feedback Date: September 9, 2019
Feedback Topic: Creating and Managing Orders (26 August-6 September 2019)
Provided by: La Grange Public Library, St. Charles Public Library, SWAN Headquarters (testing within SWAN Consortium)

Outline of Tasks:

- Review recorded training sessions for Training Session 7: Creating and Managing Orders – Sessions 1-4

1. Generating Orders from Selections
2. Generating Orders for 9xx Import Files
3. Generating Manual Orders
4. Searching and Processing Orders

- Run through phase III pilot exercises for Creating and Managing Orders
- Report testing results relative to Ordering

Pre-qualifiers

- Review the following recorded training: Creating and Managing Orders
- Default fiscal cycle, search policy, addresses, approval limits, email settings and Web Services Integrations must be set up in the Acquisitions profile.
- A fund account hierarchy must be set up
- Budgets must have a status of Open and be marked as Chargeable for the default fiscal cycle set in the Acquisitions profile
- At least a single active vendor record must be set up; this includes populating the vendor portal URL field and creating vendor accounts and EDI setup. EDI should be set up to include a personal email address used to received test orders, so your vendors don't get confused with real orders.
- For orders generated from selection lists: A selection list that has selected titles
- For orders generated from 9xx Request files: New fund grids may need to be set up within the vendor's portal to account for BC Acquisitions settings, including the 970 and 971 tags required when importing 9xx files to create orders.

- For orders generated from 9xx Request files: You must be assigned selector limits for the institutions assigned to the fund accounts you want to report on when running the Available Funds report.

Exercises: Generating Orders from Selection Lists

1. Close a selection list that has selected titles.
2. Generate orders from a closed selection list.

Exercises: Generating Orders from 9xx Request files

1. Run the Available Funds report to view the amount available for each fund account.
2. Access your vendor portal via BC Acquisitions.
3. Log into the vendor portal to select titles to place on order.
4. Export a file of records.
5. Import the file into BC Acquisitions.

Exercises: Generating Manual Orders

1. Create new orders starting at the Orders home page.
2. Set up Default Settings as an accelerator for generating manual orders.
3. Add in distribution notes for a few orders.

Exercises: Processing Orders

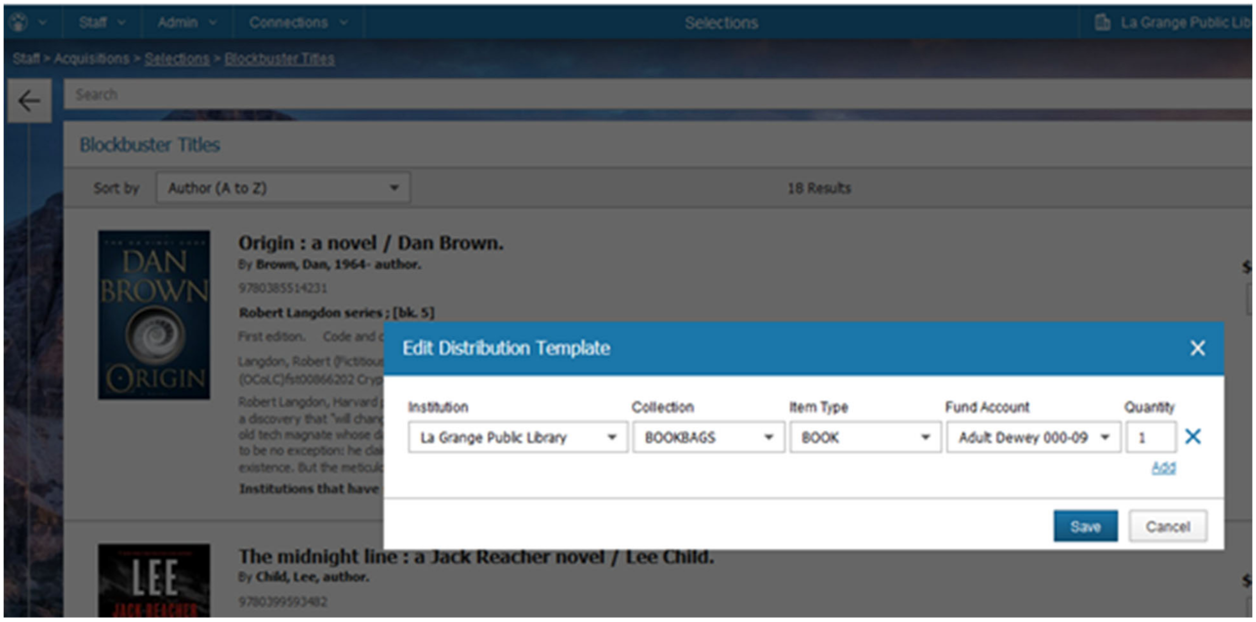
1. Search for orders to process using Quick Search or Advanced Search.
2. Change the order status for multiple orders from Building to Pending Approval or to Approve (depending on your library's workflow and processes and your given privileges and order limits).
3. Search for orders flagged with errors using Advanced Search.
4. Figure out what the issues are from processing the orders and fix the issues, and then change the order status from Building to Pending Approval or to Approve.
5. After approving orders, verify that the associated bib records and temporary item records were created properly in your Test ILS catalog.
6. Send Approved orders to your vendors.
7. Verify that the order file arrived to the "vendor's" email account.
8. Search for an order with a status of On Order using Advanced Search.
9. Review the order's Order History.

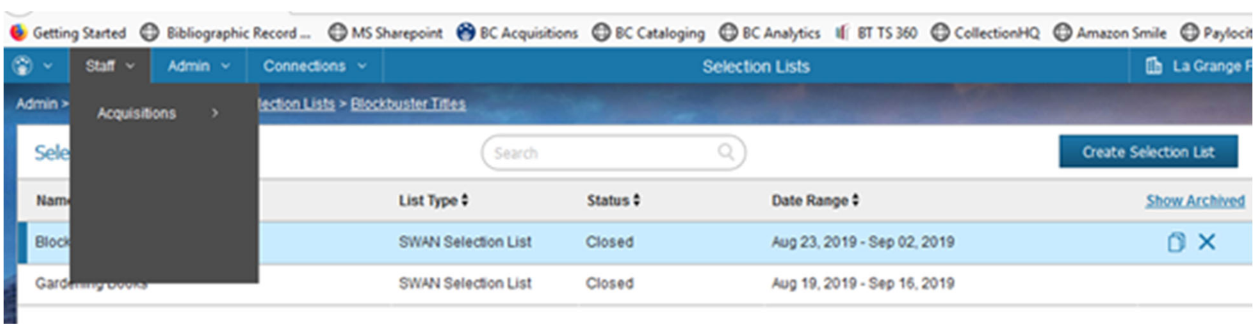
La Grange Public Library Feedback

Exercises: Generating Orders from Selection Lists

I went back into Admin -> Products -> Acquisitions -> Selector Limits, chose my name and selected La Grange Public Library as my Institution. Then I was able to go back into the Blockbuster Titles Selection List and modify my Distribution Template

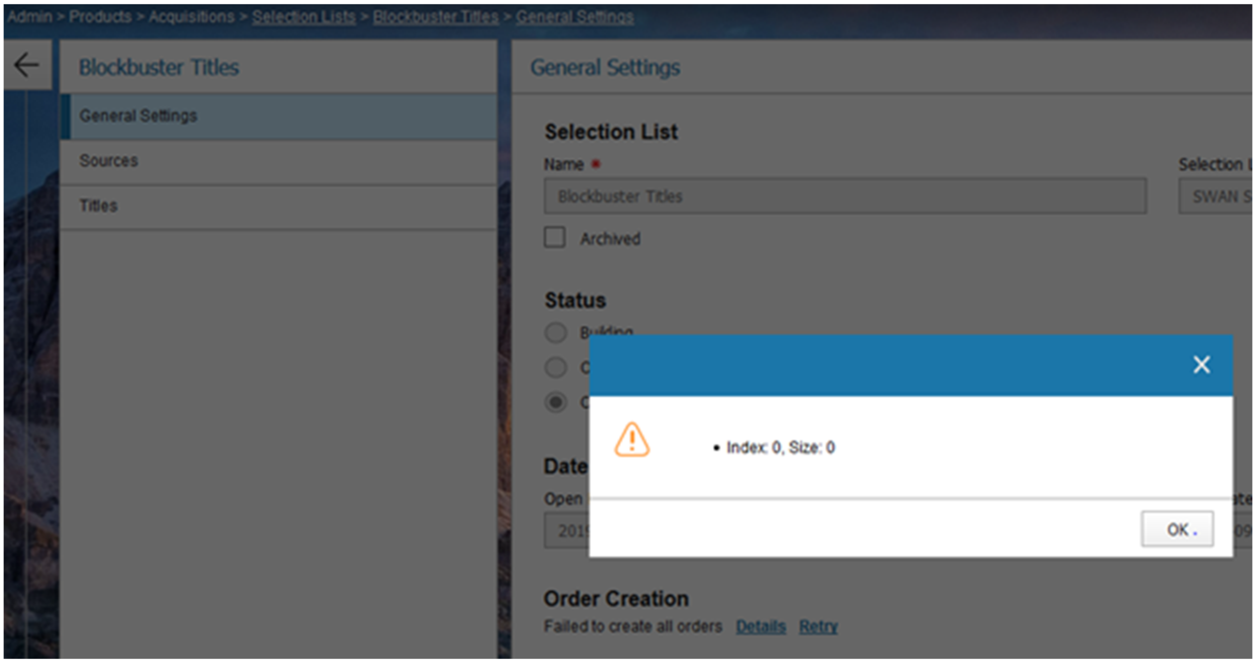
Close a selection list that has selected titles





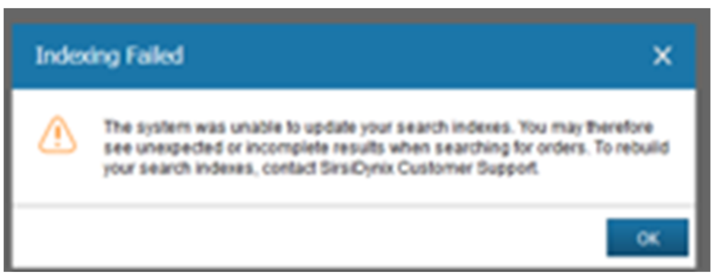
Generate orders from a closed selection list

I was unable to complete this step because I could not add a quantity to my orders in the Blockbuster Titles Selection List (probably because of problems with applying the Distribution Template). I received this error message when I clicked Create Orders.

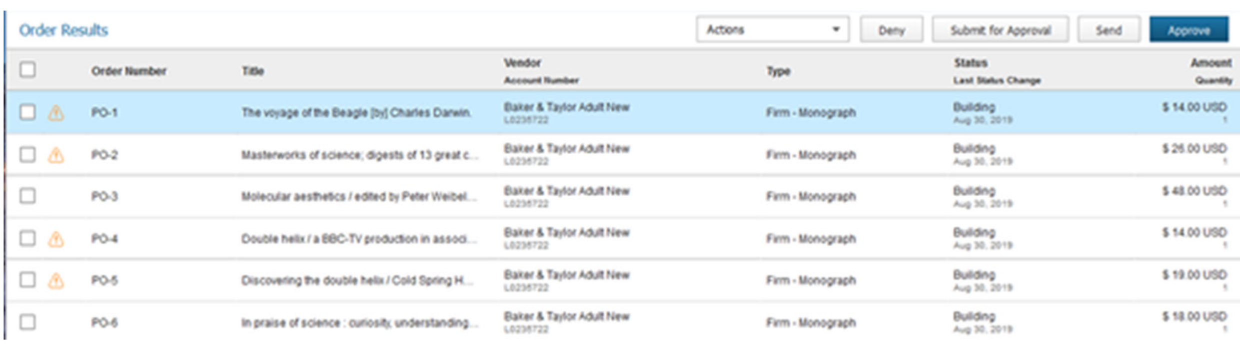


Exercises: Generating Orders from 9xx Request files

I used Sam's instructions to import the 9XX file. I initially received this error message:

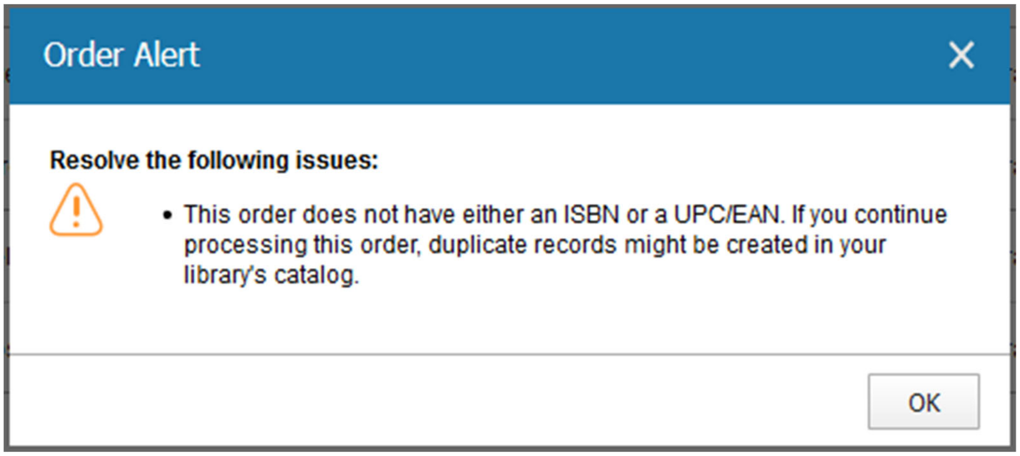


The order came in fine:

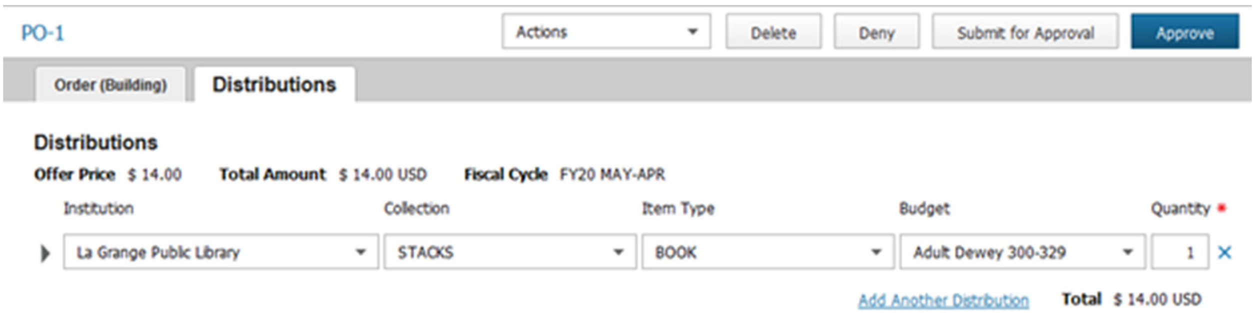

Order Results

Order Number	Title	Vendor / Account Number	Type	Status / Last Status Change	Amount / Quantity
PO-1	The voyage of the Beagle [by] Charles Darwin.	Baker & Taylor Adult New L0236722	Firm - Monograph	Building Aug 30, 2019	$ 14.00 USD 1
PO-2	Masterworks of science; digests of 13 great c...	Baker & Taylor Adult New L0236722	Firm - Monograph	Building Aug 30, 2019	$ 26.00 USD 1
PO-3	Molecular aesthetics / edited by Peter Weibel...	Baker & Taylor Adult New L0236722	Firm - Monograph	Building Aug 30, 2019	$ 48.00 USD 1
PO-4	Double helix / a BBC-TV production in associ...	Baker & Taylor Adult New L0236722	Firm - Monograph	Building Aug 30, 2019	$ 14.00 USD 1
PO-5	Discovering the double helix / Cold Spring H...	Baker & Taylor Adult New L0236722	Firm - Monograph	Building Aug 30, 2019	$ 19.00 USD 1
PO-6	In praise of science : curiosity, understanding...	Baker & Taylor Adult New L0236722	Firm - Monograph	Building Aug 30, 2019	$ 18.00 USD 1

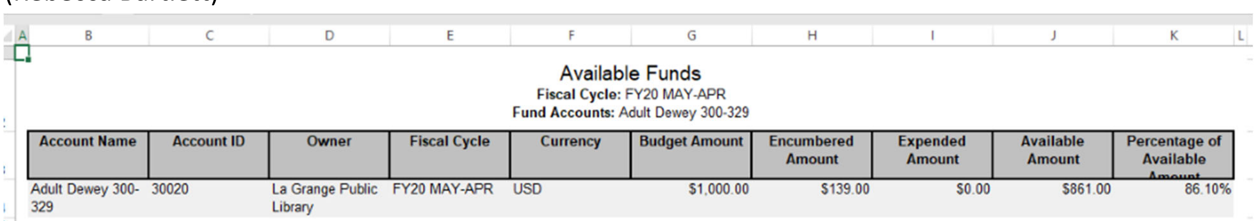
Some of the titles had an orange Alert. When clicking on the title, I got this error:



My default Distribution Template was already selected:



I ran the Funds Available Report for Dewey 300-329. The funds were encumbered from this order (Rebecca Bartlett)



Available Funds

Fiscal Cycle: FY20 MAY-APR

Fund Accounts: Adult Dewey 300-329

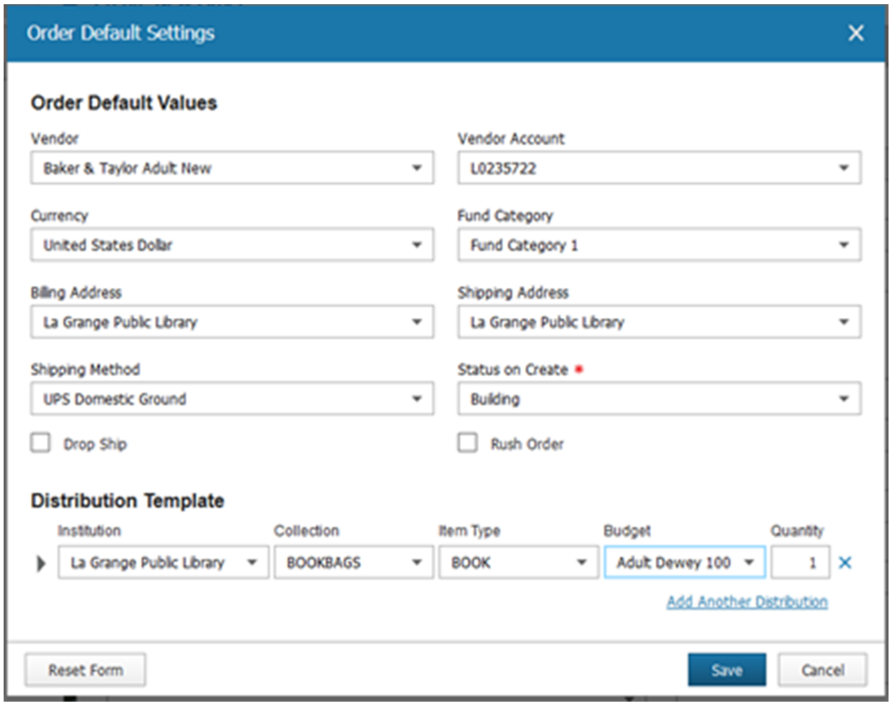
Account Name	Account ID	Owner	Fiscal Cycle	Currency	Budget Amount	Encumbered Amount	Expended Amount	Available Amount	Percentage of Available Amount
Adult Dewey 300-329	30020	La Grange Public Library	FY20 MAY-APR	USD	$1,000.00	$139.00	$0.00	$861.00	86.10%

Exercises: Generating Manual Orders

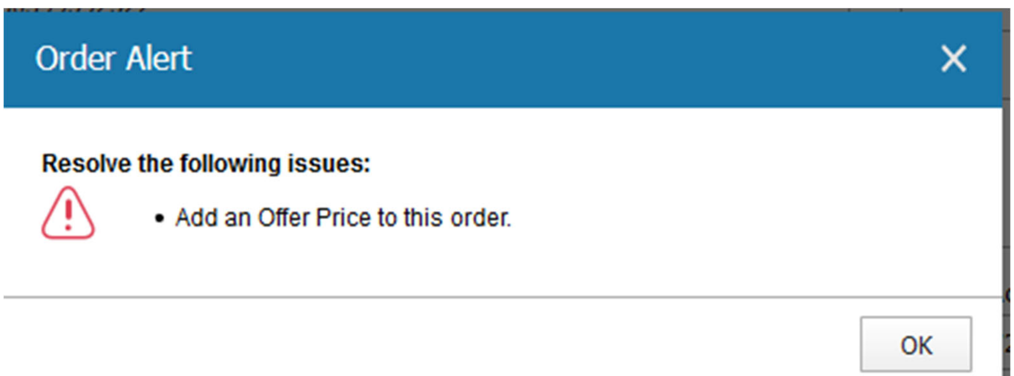
Create new orders starting at the Orders home page

Set up Default Settings as an accelerator for generating manual orders

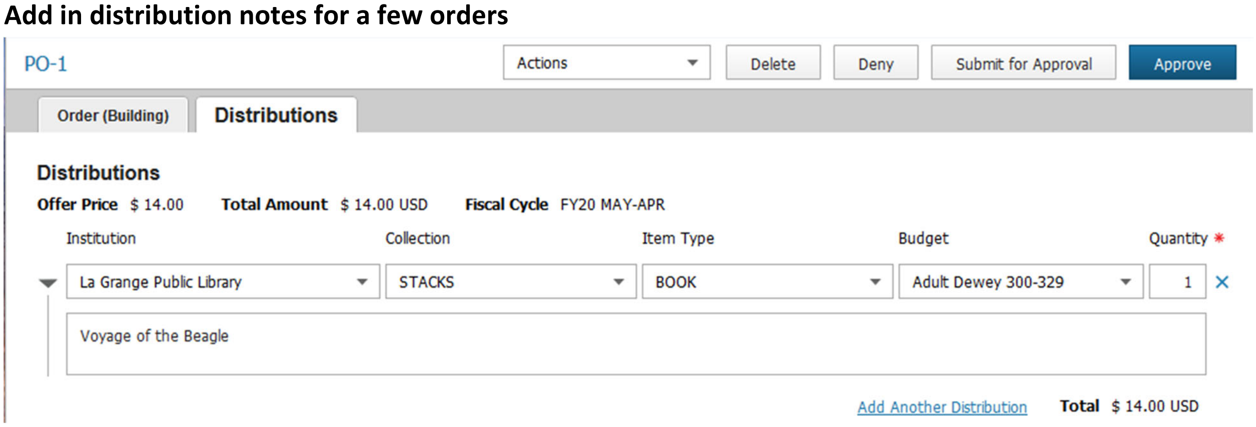
I set up the Default Settings, but for Fund Category, the only options were Fund Category 1 and Fund Category 2.



There are a few fields that are required, such as Price:



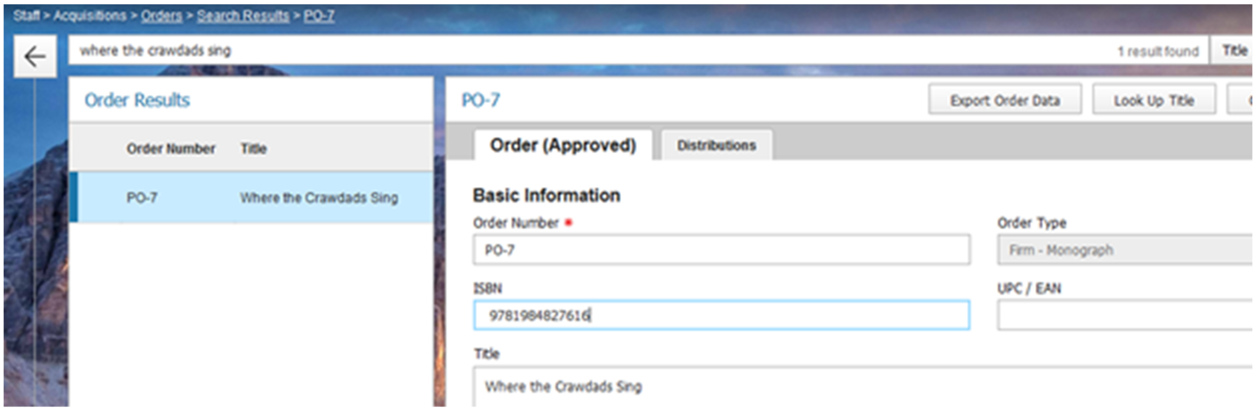
Add in distribution notes for a few orders



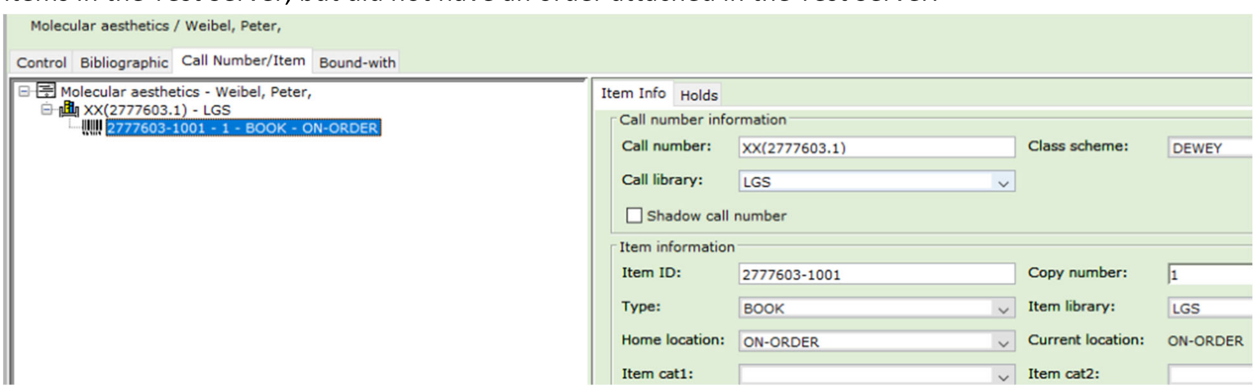
Exercises: Processing Orders

Search for orders to process using Quick Search or Advanced Search.

Change the order status for multiple orders from Building to Pending Approval or to Approve (depending on your library's workflow and processes and your given privileges and order limits)
I

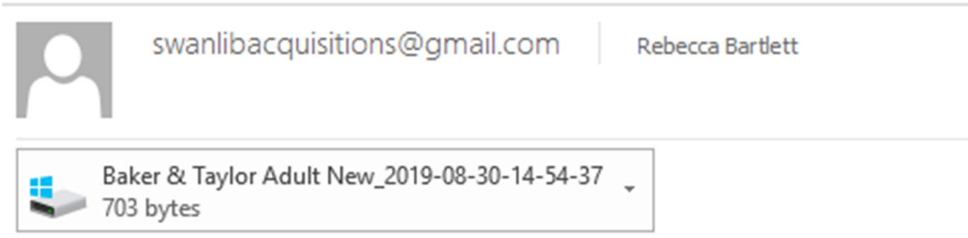


Search for orders flagged with errors using Advanced Search
I didn't see where to search for orders with errors in the Advanced Search.
After approving orders, verify that the associated bib records and temporary item records were created properly in your Test ILS catalog
I approved PO-3 (Molecular Aesthetics) and PO-6 (In praise of Science) and they showed up as On-Order items in the Test Server, but did not have an order attached in the Test Server.

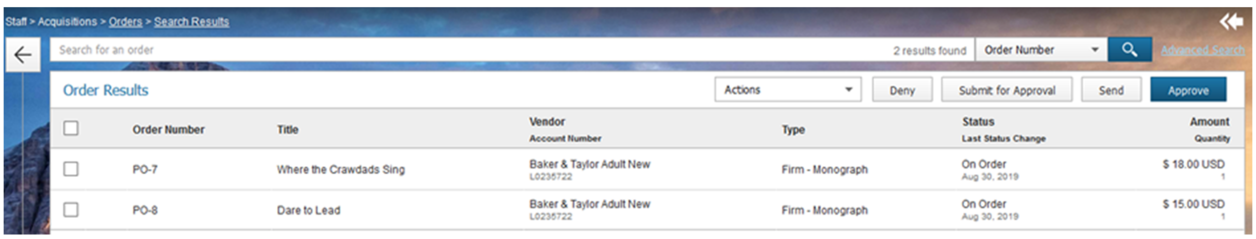


Send Approved orders to your vendors
Verify that the order file arrived to the "vendor's" email account

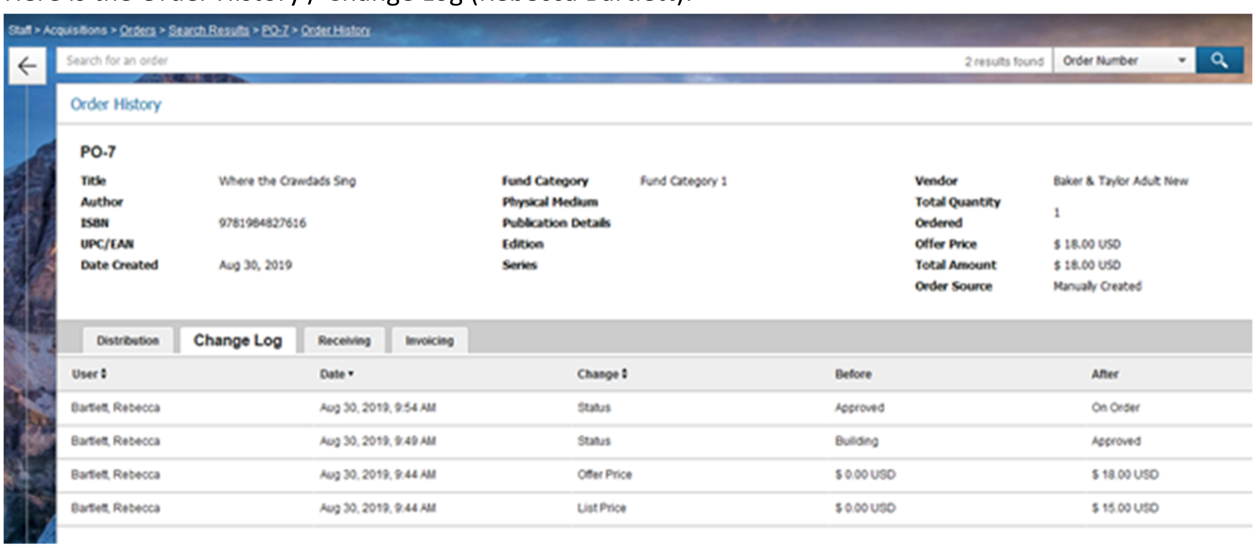
I sent the orders to the “vendor” and received an email notification:



Search for an order with a status of On Order using Advanced Search
I used the Advanced Search and filtered by On Order status. The two titles appeared:



Review the order's Order History
Here is the Order History / Change Log (Rebecca Bartlett):

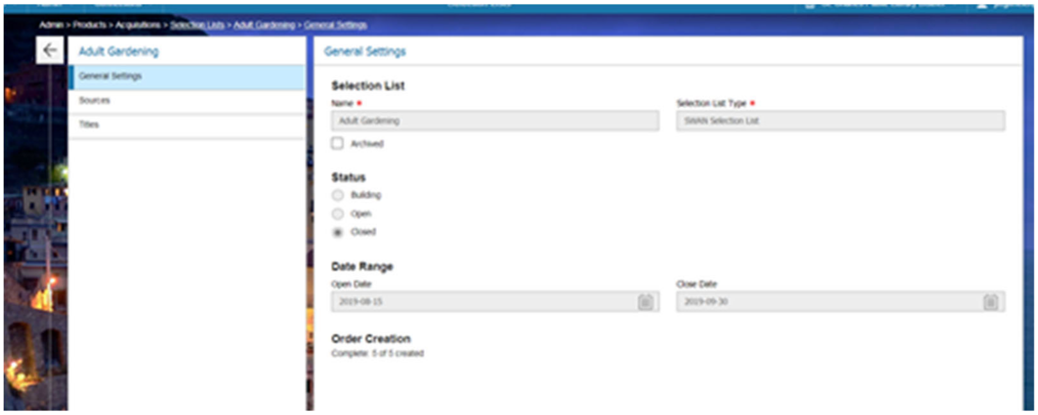


St. Charles Public Library Feedback

Julie Tegtmeier

Exercises: Generating Orders from Selection Lists

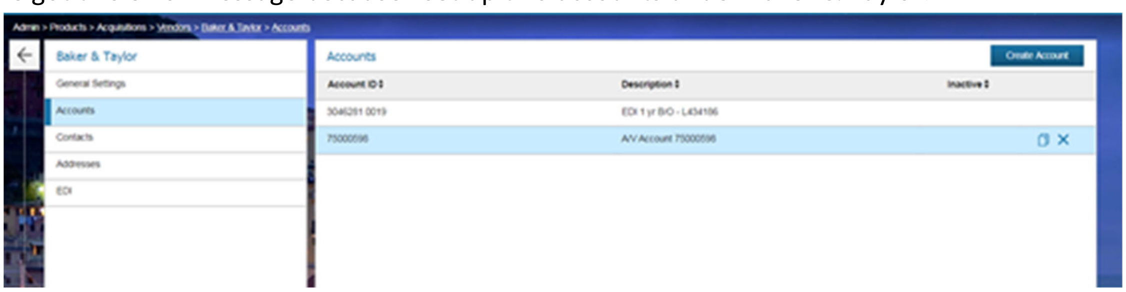
For this exercise, I followed the instructions Mike laid out in his webinar and generated orders for the 5 titles I selected from my list. I came across no issues creating the orders:



However, when I went in to look at the orders, all of my 5 orders had an error for the Vendor Account:

(The Yellow Error message about ISBN was present for 3 of my 5 titles but I ignored it because it really didn't matter and that sort of thing happens with B&T orders already).

I think we got this error message because I set up two accounts under Baker & Taylor:

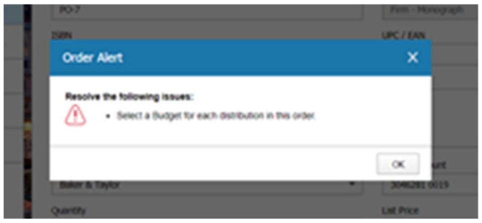


One account is our print account and the other is our AV account.
I didn't see an option when I was selecting titles to select the correct vendor account for the order. Did I miss it? We added these selection lists from the .mrc files provided by Mike. Did these files need to have the vendor and specific account listed?

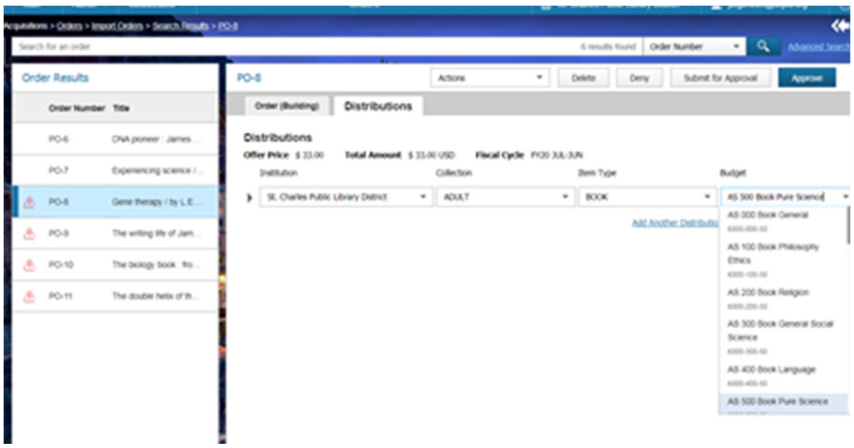
I went through and manually added the account information for each title to make the error message go away. This was a small order so it wasn't a huge deal but we rarely place orders this small. It would be very helpful if there was an option to select the correct vendor account when selecting title or creating orders. Or maybe it needs to be more clear that we should to create multiple vendors if we have multiple accounts with the vendor? I'm not sure of the solution but I could see this being an issue if we can't set the vendor account prior to creating the order.

Exercises: Generating Orders from 9xx Request files

I ran the Available Fund report and had no issues. Ran well. Looked good. The only fund with any encumbered amount was AS 630, which was the fund I used for the first part of this exercise.
I was able to import the SCD 9XX Test File and all 6 orders came in okay. They all had the red alert:



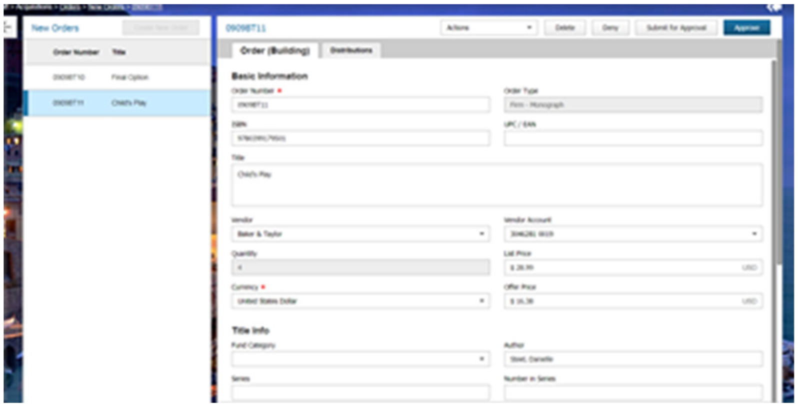
I was able to easily correct this by adding the Account information in the distribution tab:

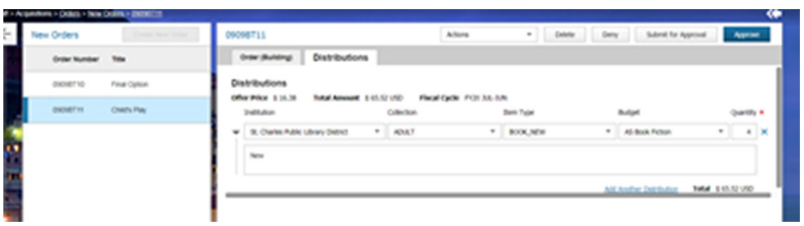


I ran the Available Fund report again and everything looked good. The funds for this 9xx order were encumbered from the AS 500 account as expected. Everything looks great!

Exercises: Generating Manual Orders

I followed Mike's instructions for generating manual orders. I set up the default settings to accelerate ordering with no issues. Just like Rebecca, I only had Fund Category 1 and 2. Created orders, added notes in the distributions tab, everything seemed to work well.

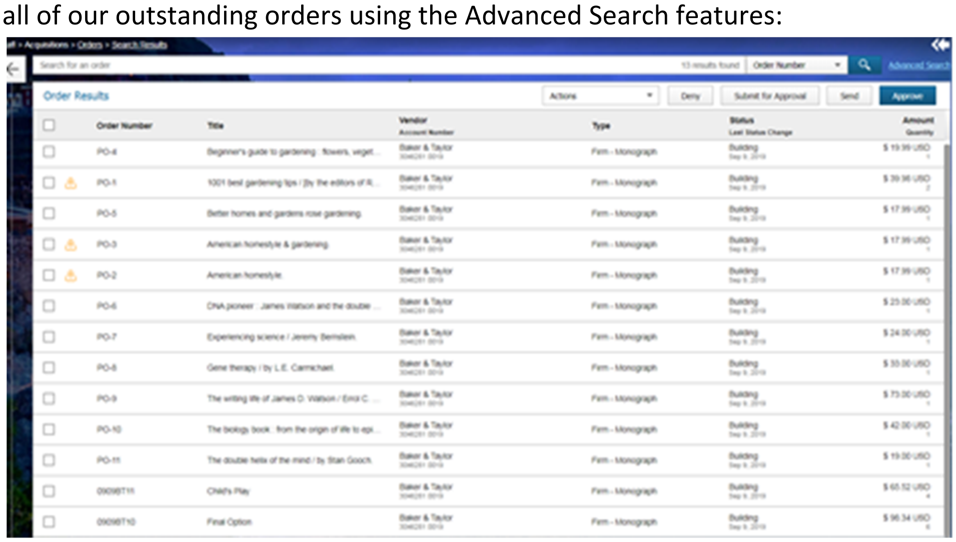




I did try the Look Up Title feature for both of the orders I created. Both of them are pre-release titles that have on-order records already in the system but neither of them were found when I tried to look them up. I tried removing the title/author so it was just searching on ISBN but I didn't get anything. The title and author searching returned a lot of results but none of them were the records I was looking for.

Exercises: Processing Orders

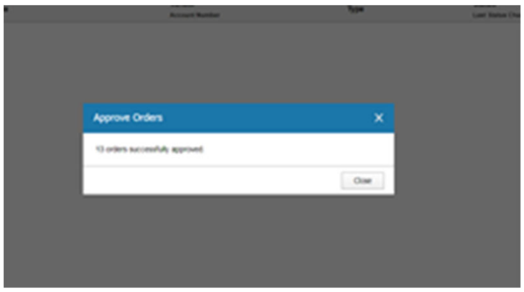
I found all of our outstanding orders using the Advanced Search features:



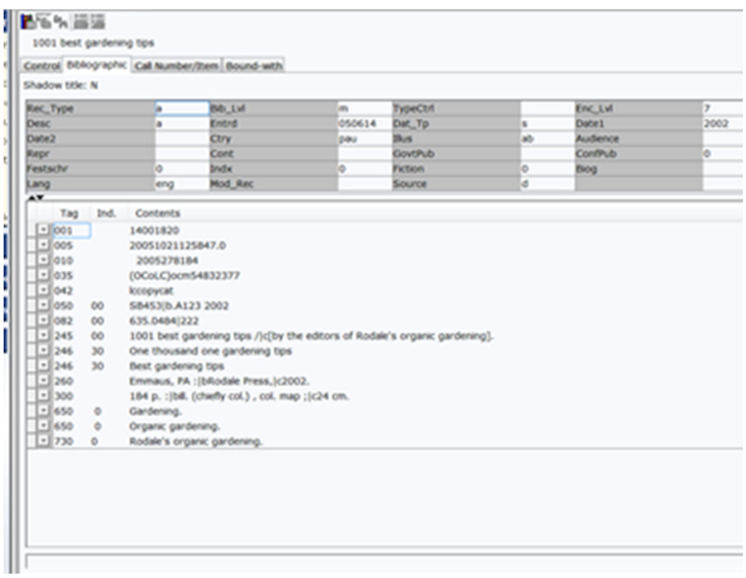
All the orders that I had sent in today as part of this worksheet were there—5 from the selection list, 6 from the 9xx file, and the 2 manual orders.

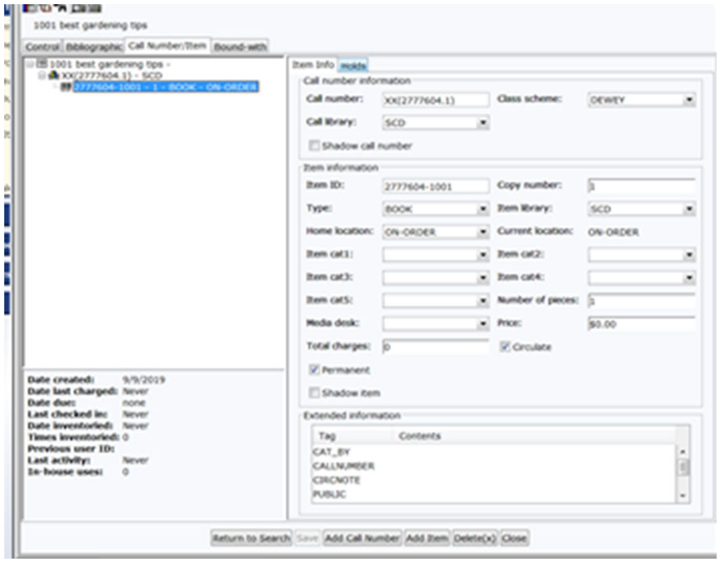
I had gone in for each step in the process to check the error messages for the orders so I didn't have any red alerts—just the yellow ones that for records that didn't have ISBN numbers. I wasn't able to find any records with alerts through the Advanced Search features. I didn't see that option in Advanced Search.

I selected all of the orders and approved them:

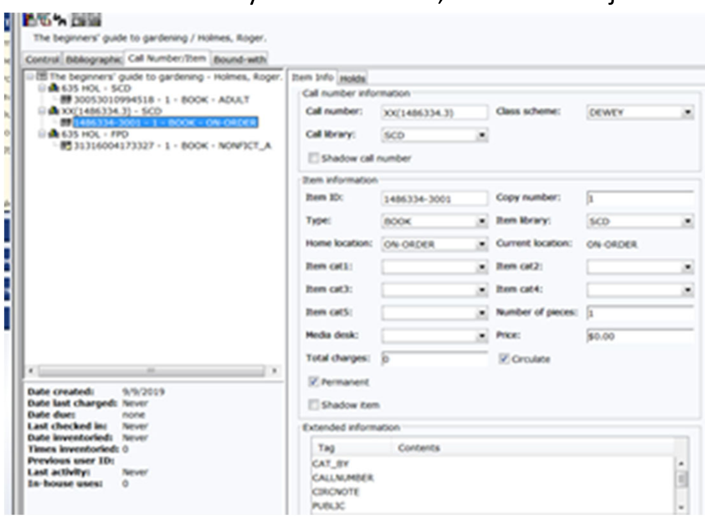


I then went into the test server to see if they had been added correctly. Just like Rebecca, all of our items had records in the test server but no order was attached to them in the Acq. Module:

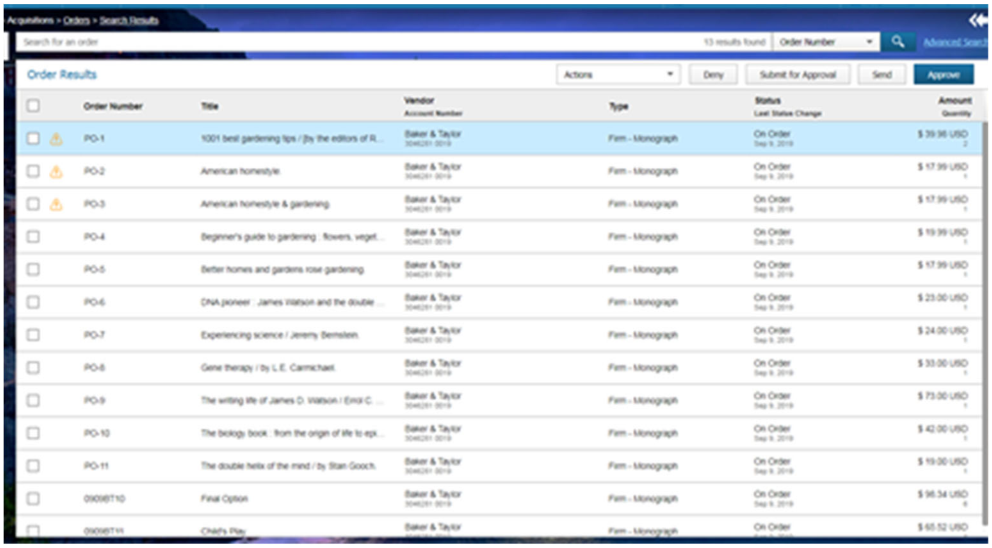




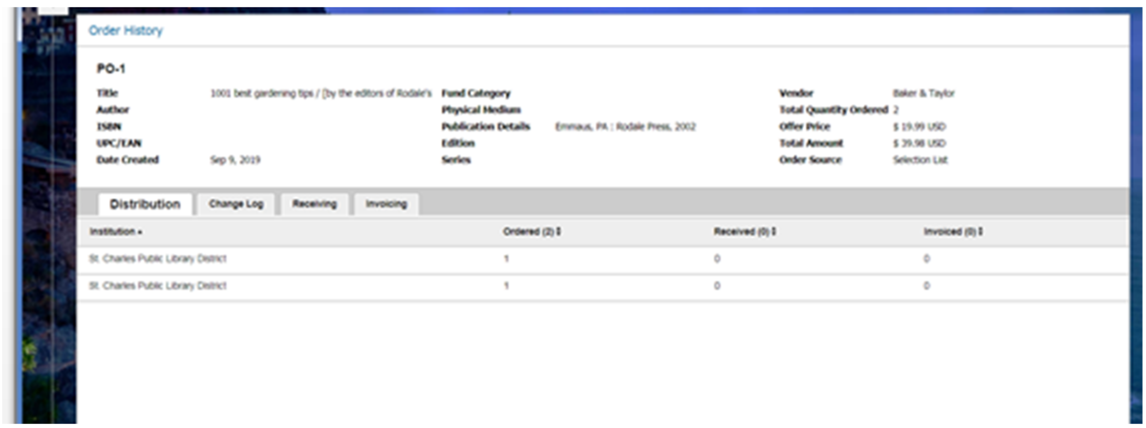
Some items I ordered already had SCD items, those orders just added an on-order item:



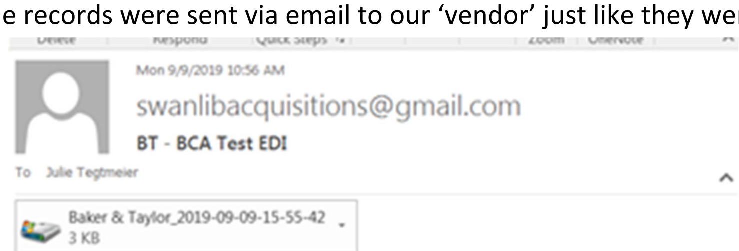
I was able to find all the orders I placed today by doing an advanced search for all on-order items:



The order history for all the orders looked correct:



Also, the records were sent via email to our ‘vendor’ just like they were supposed to:

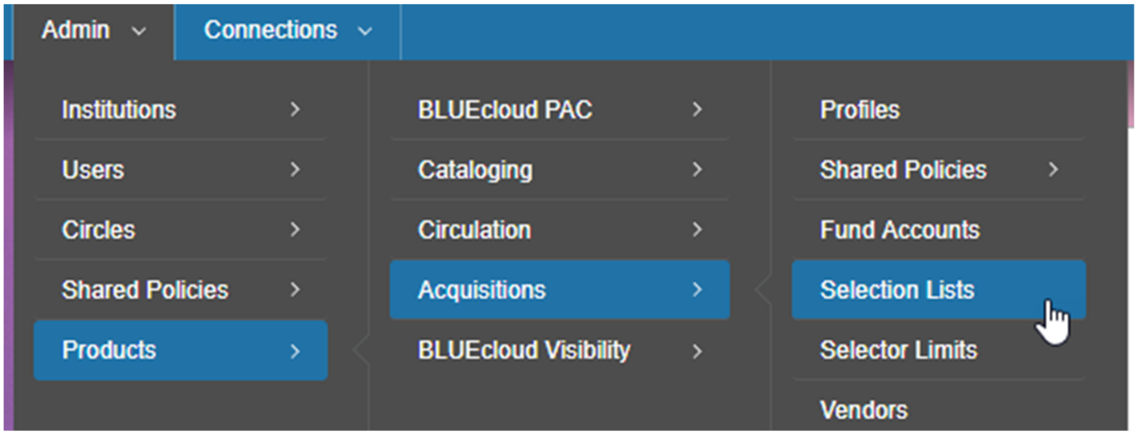


SWAN Headquarters Feedback

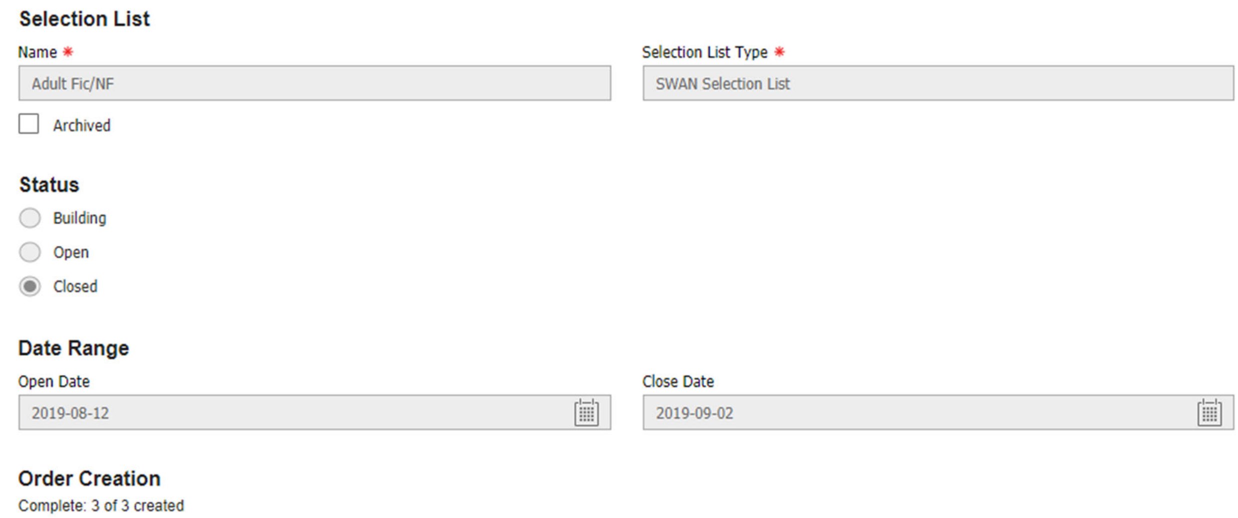
Samantha Dietel

Exercises: Generating Orders from Selection Lists

Closed a selection list in Admin>Products>Acquisitions>Selection Lists.

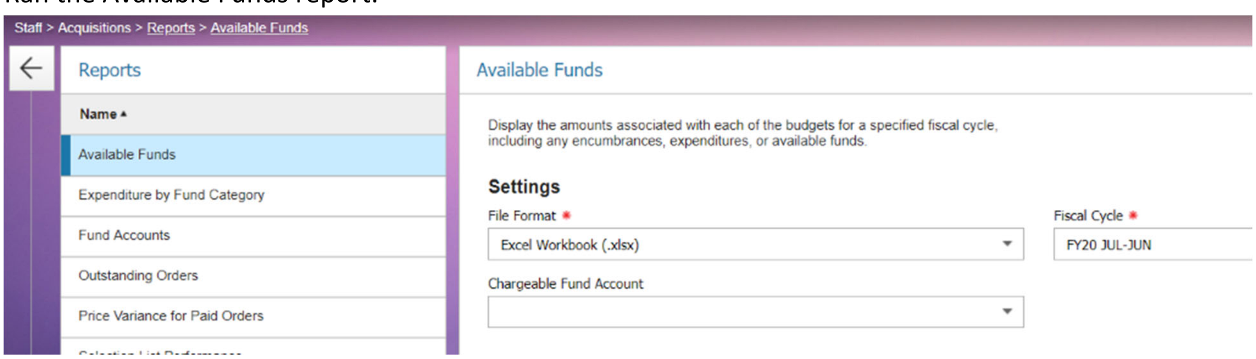


After closing, the Create Orders link became active, and I created orders successfully.

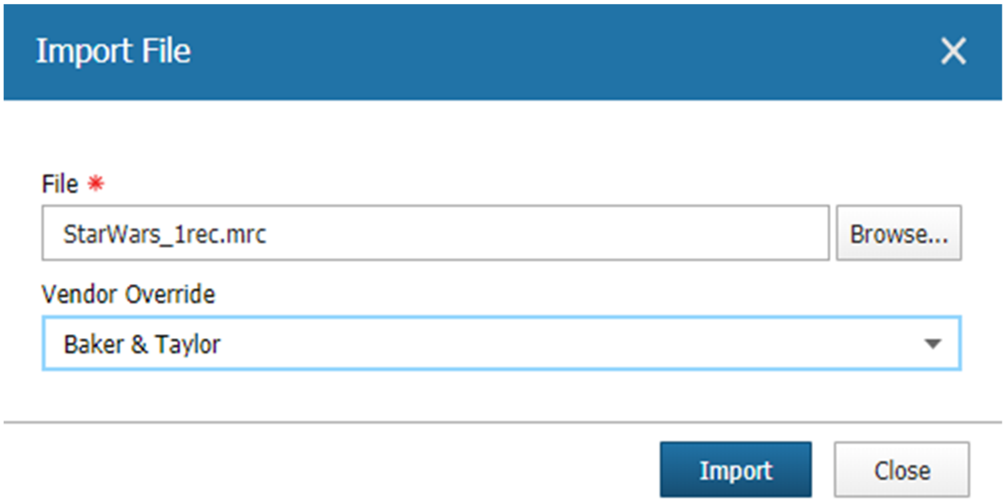


Exercises: Generating Orders from 9xx Request files

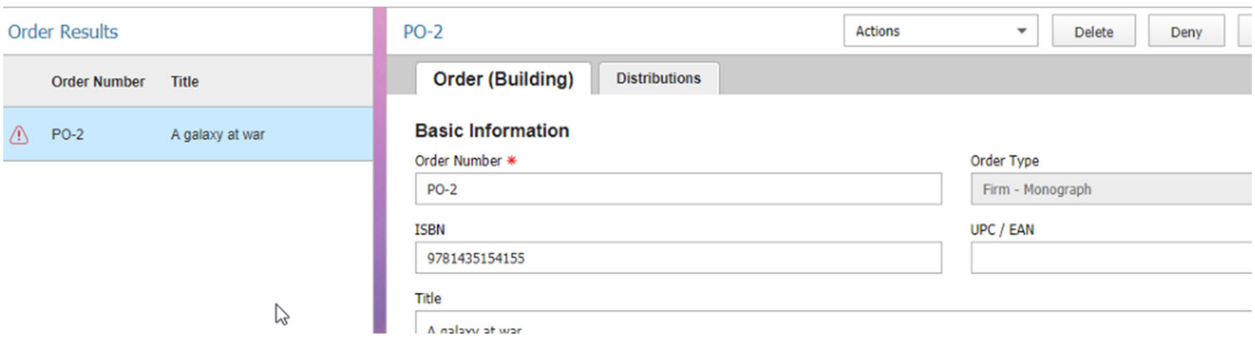
Ran the Available Funds report.



Imported a 9xx file

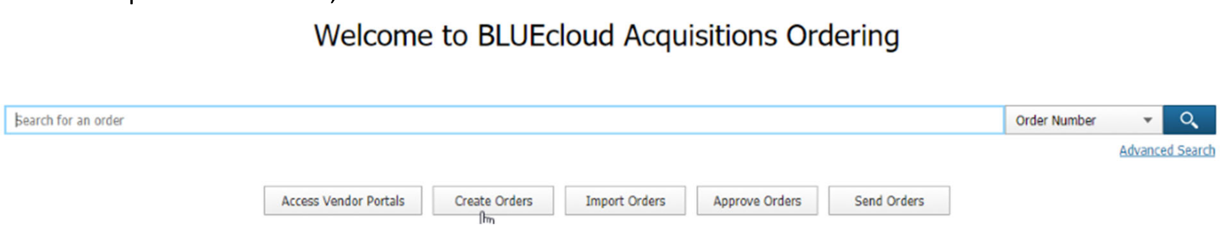


Was able to review the order.

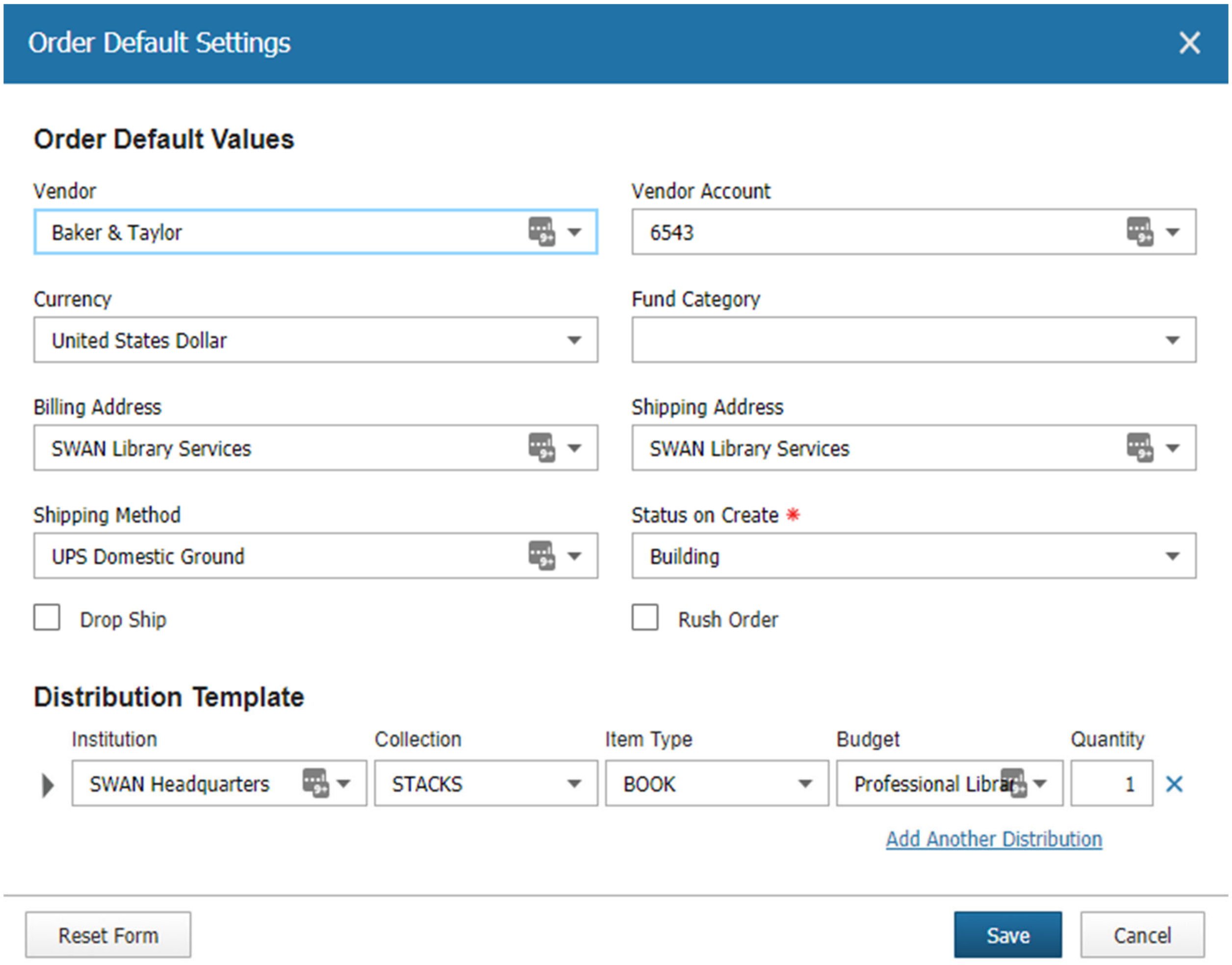


Exercises: Generating Manual Orders

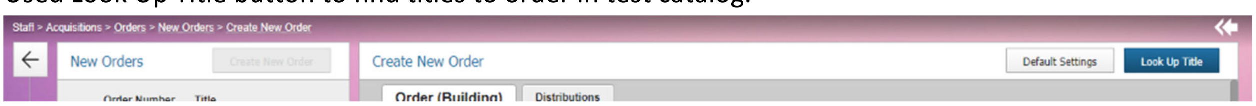
In Staff>Acquisitions>Orders, clicked on the Create Orders button.



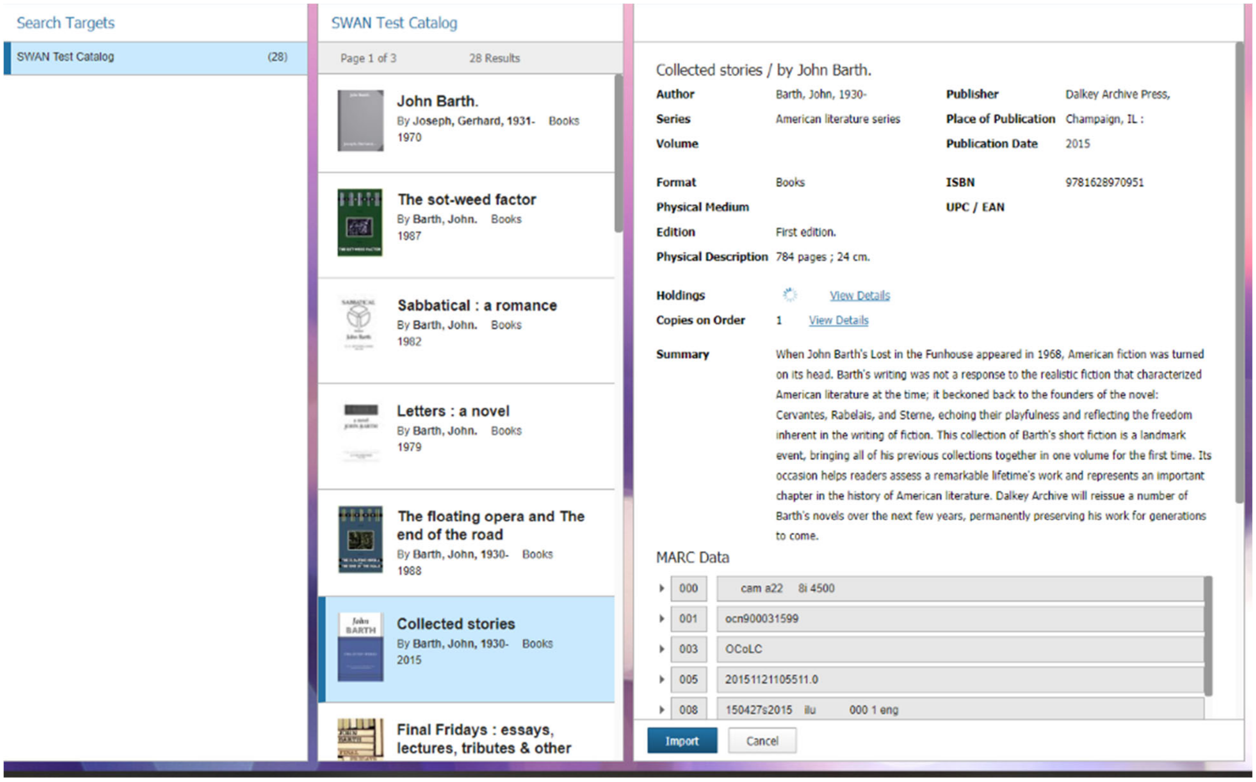
Set up my default settings.



Used Look Up Title button to find titles to order in test catalog.

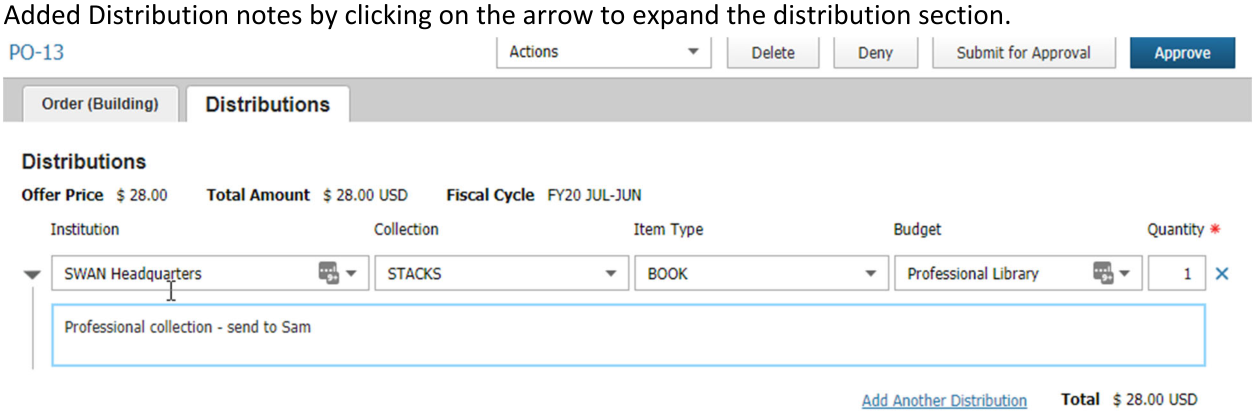


Clicked Import Title Metadata button or Import button to select title in order.



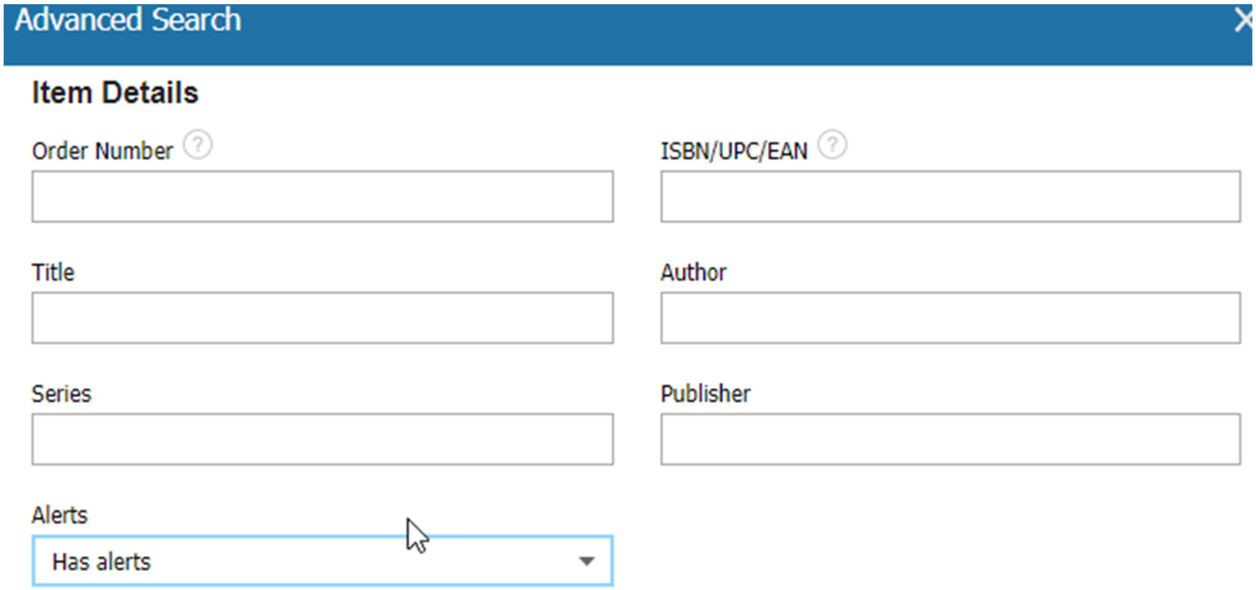
Created numerous orders in this way. I like the "Create and add another" option. When just clicking "Create", it took me a moment to realize the "Create New Order" button was on the left of the screen as opposed to the right.

Added Distribution notes by clicking on the arrow to expand the distribution section.

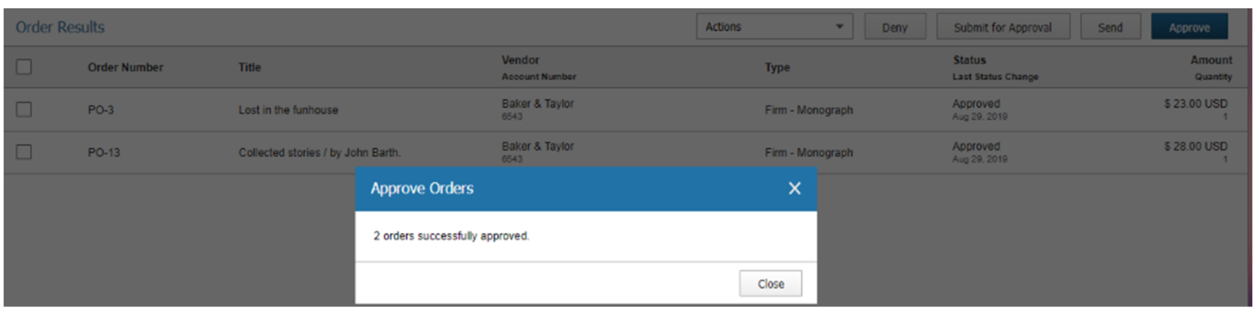


Exercises: Processing Orders

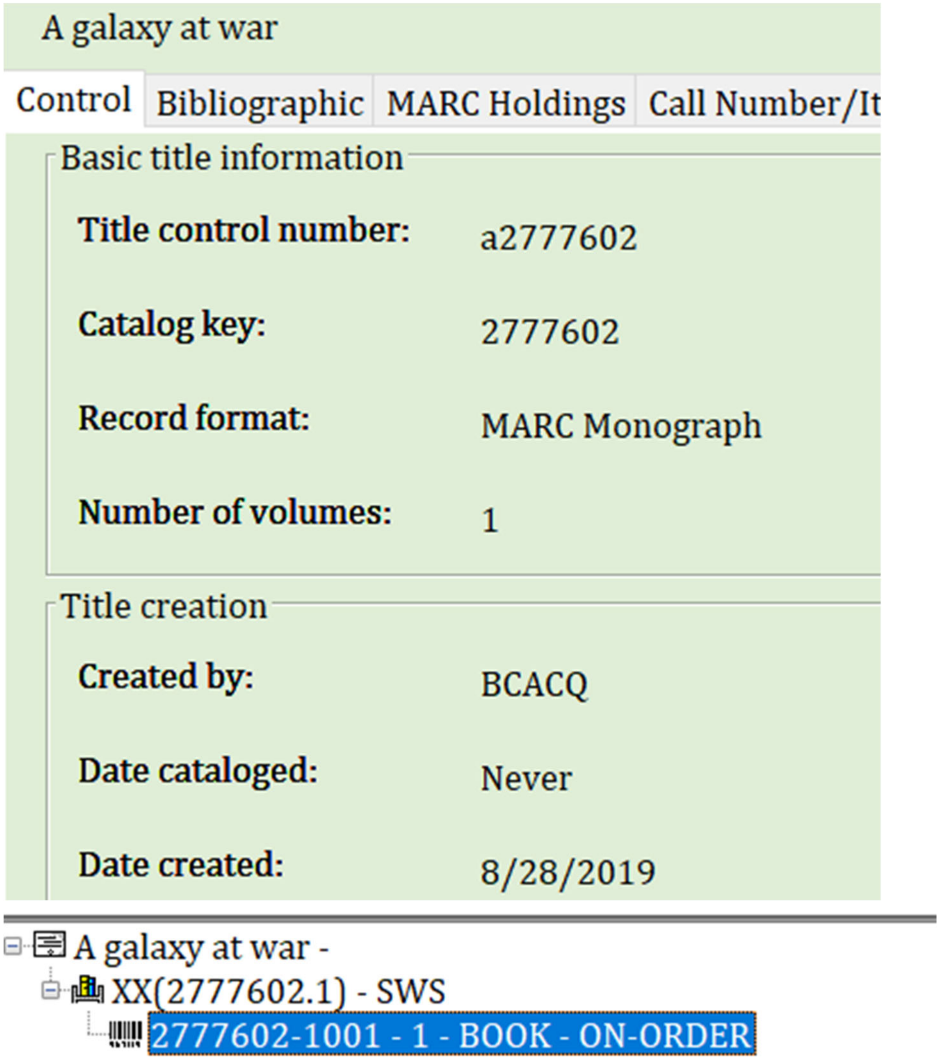
Searched for orders using both Quick Search and Advanced Search. It may be nice to have an Author index added to the Quick Search options. Otherwise, searching was quick and easy. I like the ability to search by order status. Otherwise, I could see orders getting "lost" in the system. Searching for orders flagged with errors was straightforward and a nice feature.



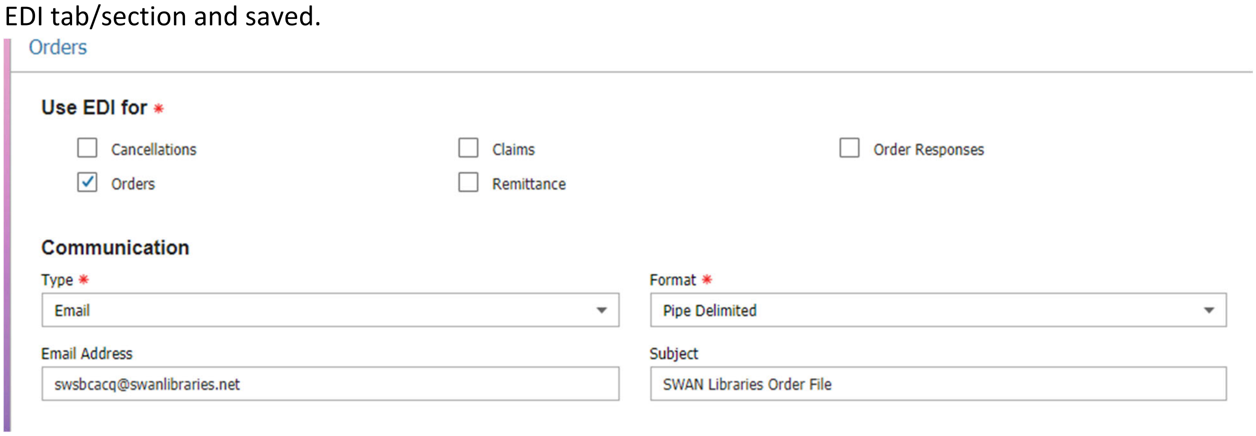
Approved multiple orders. While this was easy, it would be nice to bypass this option. Many selectors that create orders are the ones to approve them, so it is an extra step.



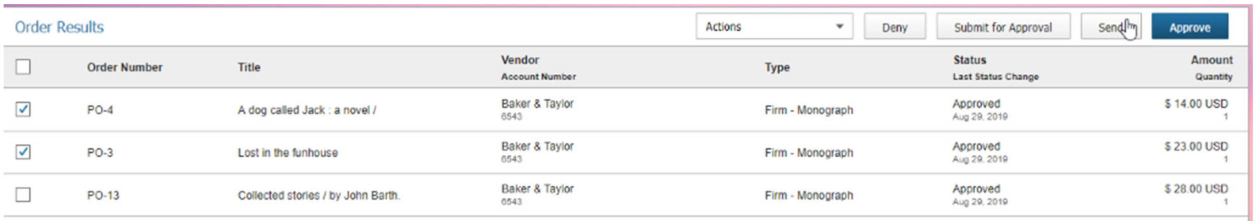
Verified that titles (from 9xx), call numbers, and ON-ORDER items were created in test system based on distribution settings. This process in particular was so quick and easy.



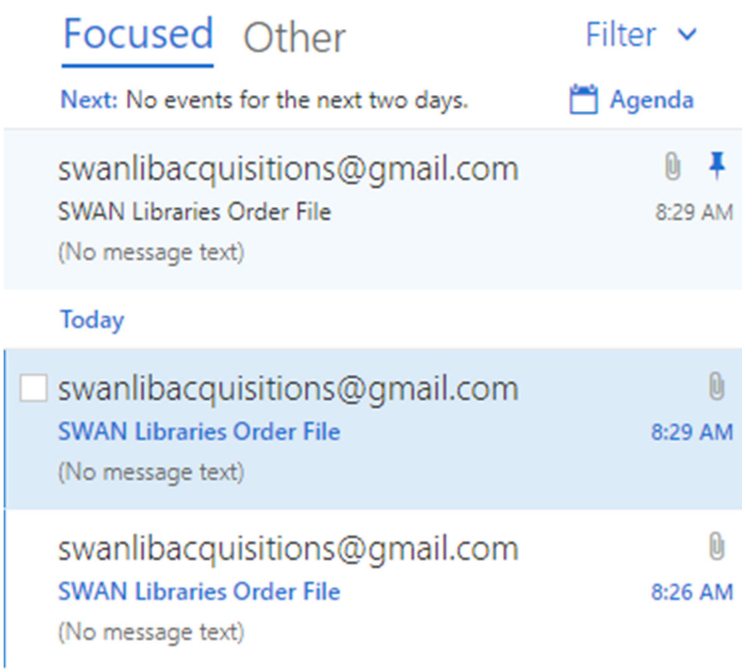
Before sending orders, went to Admin>Products>Acquisitions>Vendors.
Modified vendor record(s) for the vendors that will receive the orders. Changed email address in the EDI tab/section and saved.



Used Advanced Search and Status of Approved to find approved orders. Checked boxes next to orders and clicked Send to send the orders to the vendor.

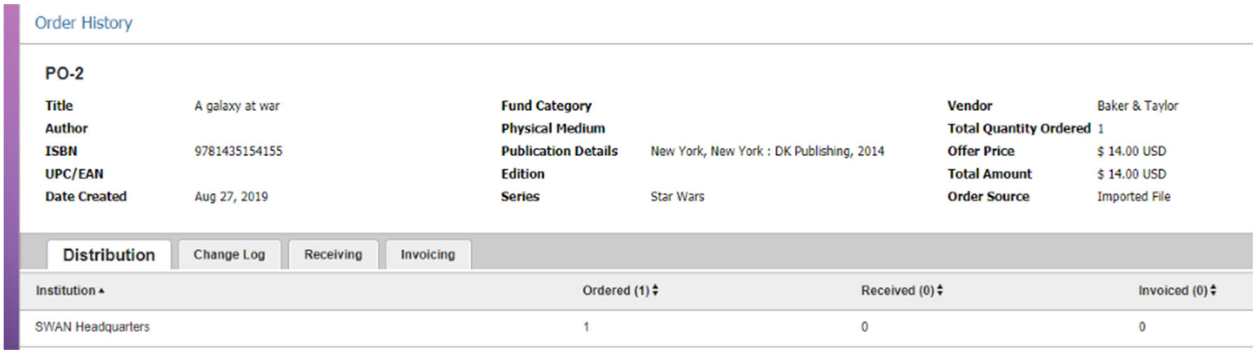


Verified that the files were transmitted to the email account in the vendor record EDI tab/section.



Searched for orders with a status of On Order using Advanced Search. Finding that searching by status is increasingly helpful.

Displayed order history for a PO.



Receiving Ordered Material

Feedback Date: September 16, 2019
Feedback Topic: Receiving Ordered Material (9-13 September 2019)
Provided by: La Grange Public Library, St. Charles Public Library, SWAN Headquarters (testing within SWAN Consortium)

Outline of Tasks:

- Review recorded training sessions for Training Session 8: Receiving Ordered Material
- Run through phase III pilot exercises for Receiving Ordered Material
- Report testing results relative to Receiving ordered material

Pre-qualifiers

- Review the following recorded training: Receiving Ordered Material
- Orders must be processed to a point that the order status is either Approved or On Order
- Take note of the order numbers, ISBNs, UPC/EANs, or titles for orders with a status of Approved or On Order for which you'll be "receiving" material

Exercises

1. Search for orders to receive from the Receiving home page.
2. Add in barcodes for items to be received.
3. Modify distribution information from the Receiving detail view for items to be received.
4. Un-receive items that have already been received.
5. Verify that the associated item records were properly created in or removed from your Test ILS catalog.
6. Verify that the Order History for the received items have been updated properly relative to items being received.

La Grange Public Library Feedback

Search for orders to receive from the Receiving home page.

I searched for PO-3 and PO-6, since those orders were approved in Feedback #6.

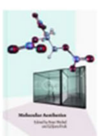
Welcome to BLUEcloud Acquisitions Receiving

po-3 | Order Number

Add in barcodes for items to be received.

After much trial and error, Linda Ertler determined that in the Received (0) field, you must either SCAN the barcode in, or type the barcode, then hit the ENTER key. You cannot type the barcode number in, then tab to the next field, because that data will be lost, and you will not be able to receive the item. We experienced this same behavior on the Firefox and Chrome browsers.

PO-3



Molecular aesthetics / edited by Peter Weibel and Ljiljana Fruk.
By Weibel, Peter, editor of compilation. Fruk, Ljiljana, editor of conpilation. Zentrum für Kunst und Medientechnologie Karlsruhe, host i

ISBN 9780262018784
UPC/EAN
Publication Date 2013
Edition
Series
Volume
Physical Medium

Receiving Information — Edit

Vendor: Baker & Taylor Adult New
Material Arrival Date: 2019-09-10
Receiving Notes

Distributions

Institution	Collection	Item Type	Call Number	Ordered (1)	Received (1)	Invoiced (0)	Distribution Notes
La Grange Public Library	STACKS	BOOK	600.12	1	31320004946286	0	Test note

Modify distribution information from the Receiving detail view for items to be received.

I changed the Collection to 2NDFLOOR and the Item Type to BOOK_NEW.

Distributions

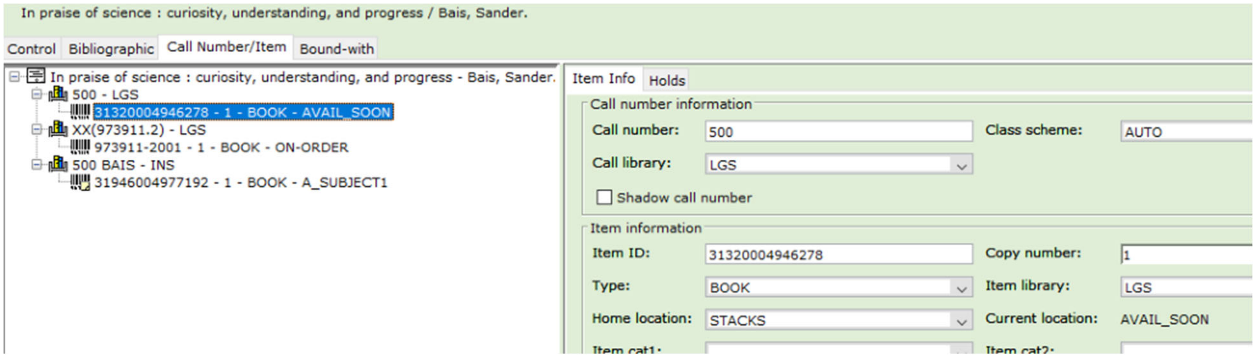
Institution	Collection	Item Type	Call Number	Ordered (1)	Received (1)	Invoiced (0)	Distribution Notes
La Grange Public Library	2NDFLOOR	BOOK_NEW	600.12	1	31320004946286	0	Test note

Un-receive items that have already been received.

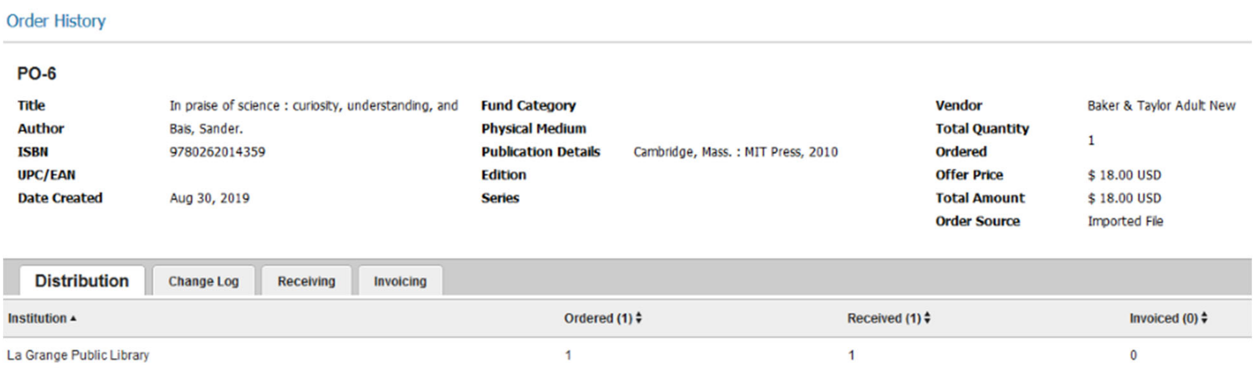
Distributions

Institution	Collection	Item Type	Call Number	Ordered (1)	Received (0)	Invoiced (0)	Distribution Notes
La Grange Public Library	2NDFLOOR	BOOK_NEW	600.12	1		0	Test note

Verify that the associated item records were properly created in or removed from your Test ILS catalog.



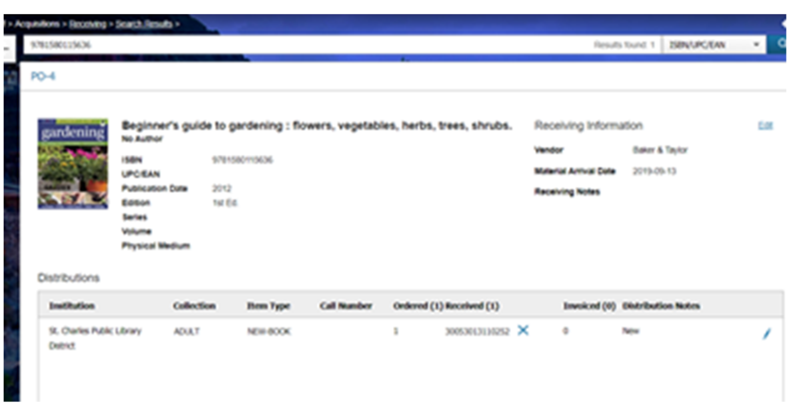
Verify that the Order History for the received items have been updated properly relative to items being received.



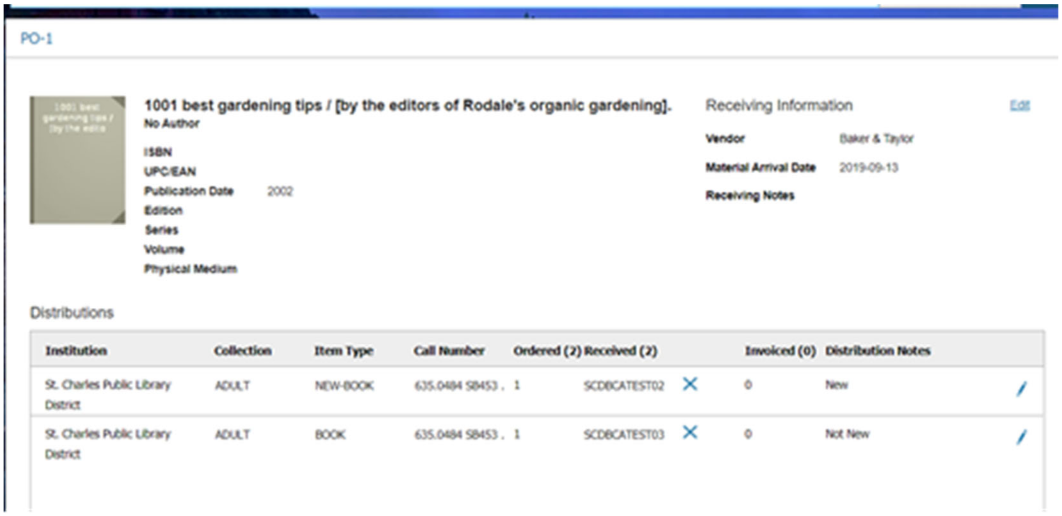
St. Charles Public Library Feedback

Julie Tegtmeier

I searched for an order by ISBN and the item was returned very quickly. I scanned in a barcode with my barcode scanner and it saved my changes right away. Very quick and seamless process—especially compared to the Add Ordered Items wizard in Symphony.

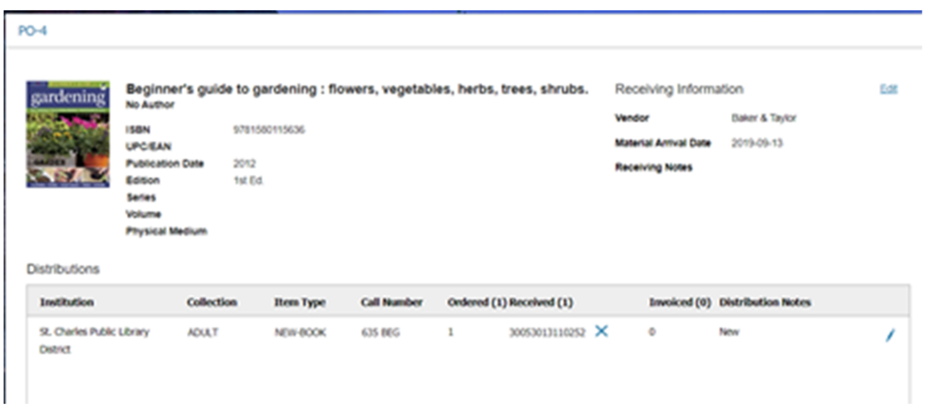


I also tried this with an order of two quantities:

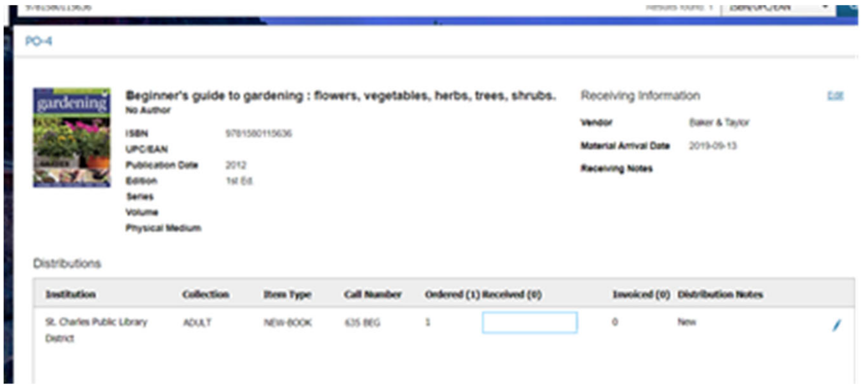


I typed in the barcodes this time, just to see, and had no issues. I liked that as soon as I hit “Enter” my changes were saved and I was popped right down to the next barcode field. Very easy.

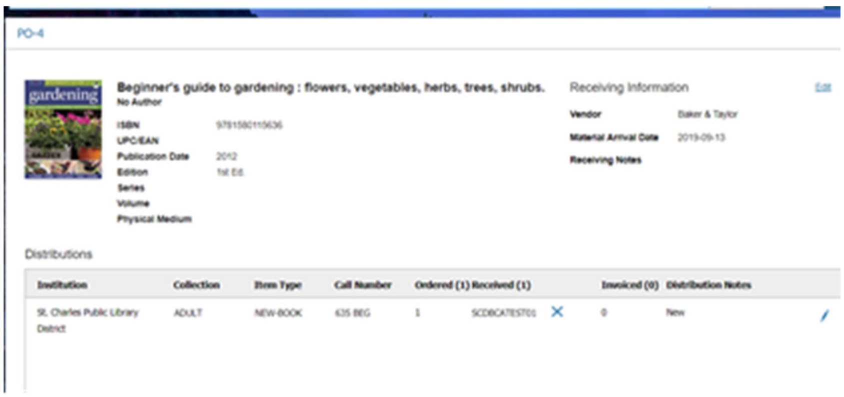
I clicked on the little pencil to change the distribution information. The order was already set with the correct collection and item type so I just changed the call number. Again, very easy and quick.



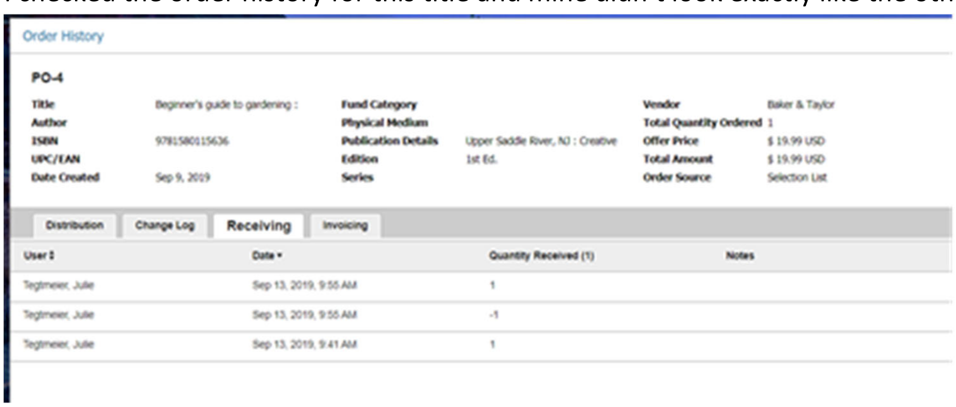
Unreceiving was just as easy as receiving.



I then re-received the item with a different barcode. I typed this barcode in instead of scanning one and had no issues with it:

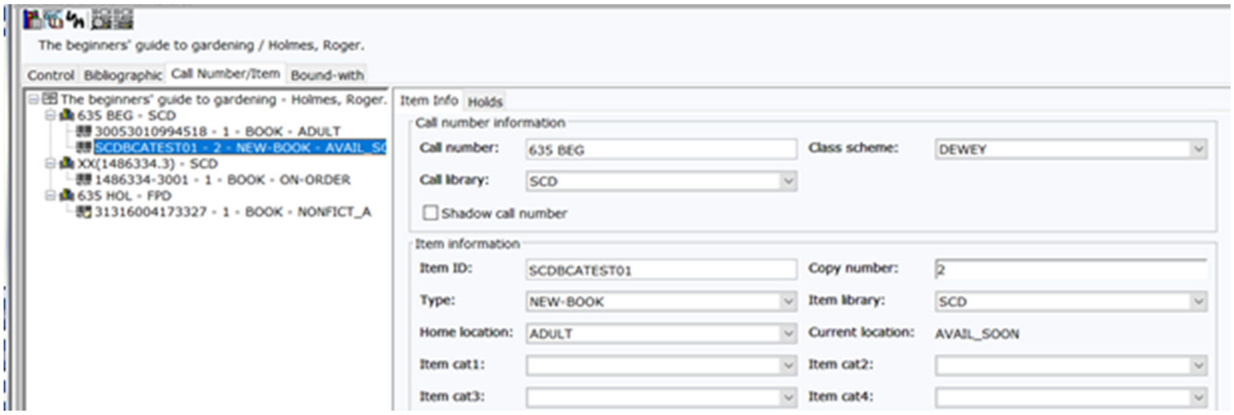


I checked the order history for this title and mine didn't look exactly like the others:



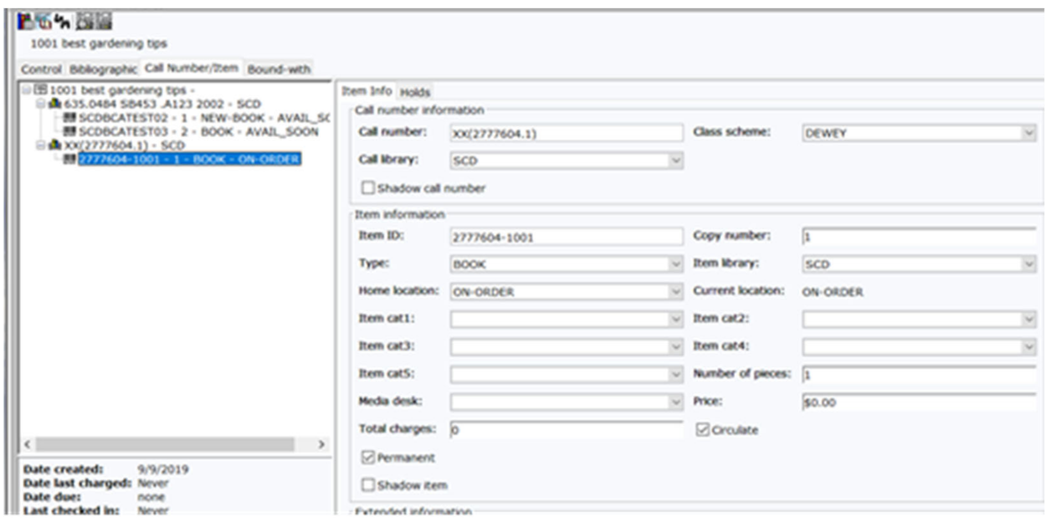
It has a –1 instead of a 0, which is what everyone else had. I received the item, then unreceived it, and then received it again. I'm not sure what I did differently than the others...

I also checked on the test server. It turns out this wasn't the best item to test the first time around because we actually already own a copy of this title.

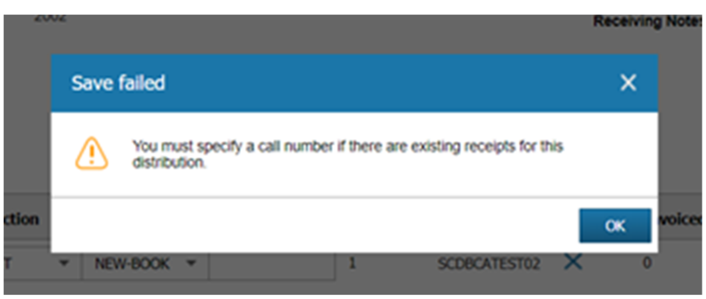


The call number I gave the item turned out to be correct so I think that's why the system attached this newly received item to our existing call number instead of attaching to the autogenerated on-order item.

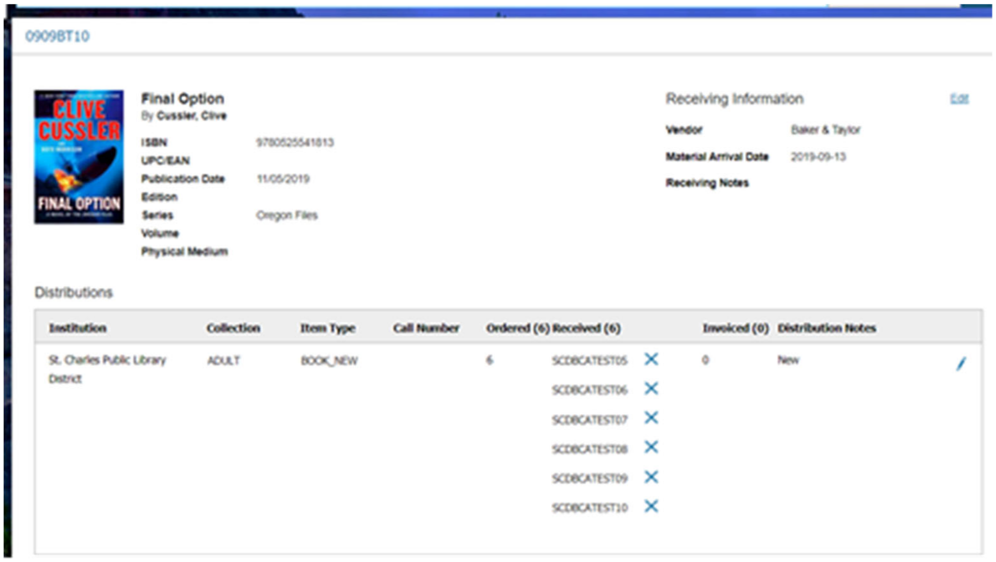
I tried this again with my two quantity order and had a different issue. For this order, I did nothing to the distribution notes—I didn't change the call number information at all but it must have pulled that number from the order record:



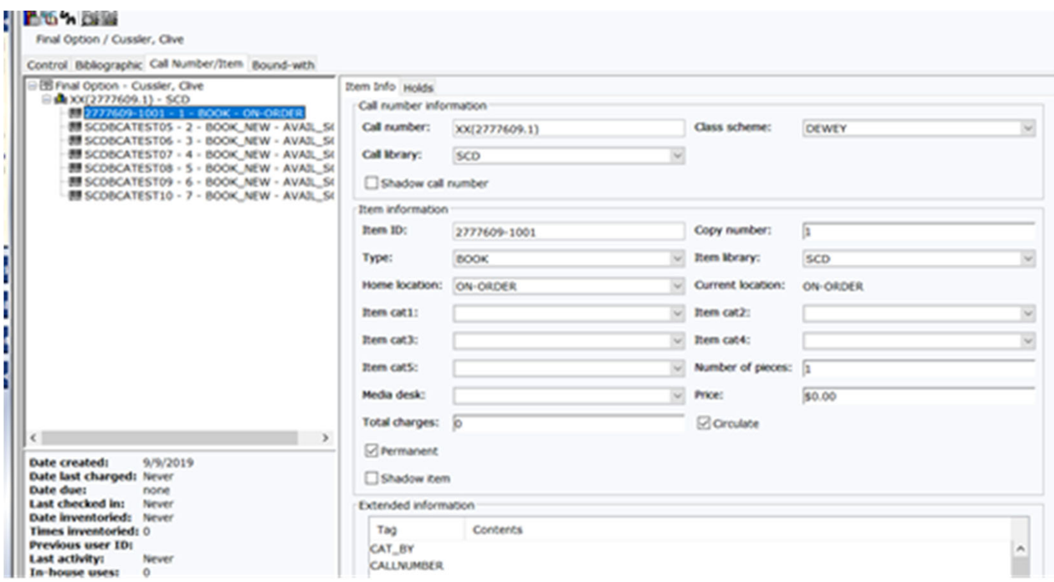
To try and test things out, I went back into BC Acq to try and delete the call number (to see if that would make it so the auto gen call number came back) and I got this error message:



I then dug through the orders I had made to find one that didn't have call number information and received those copies:



In the test server, those newly added copies finally attached correctly to the auto generated on-order record:



This whole thing—pulling the call number and not attaching to the autogenerated on-order—is a major problem.

First, as you know, in Symphony there is a setting that prevents the autogenerated on-order item from being created if your library already owns a copy of the title. It's a really great system because it prevents things like the first issue from happening—an on-order item being created when you really don't need one. Even if the item you already own was checked out to discard, the discard process prevents the item from being deleted because there is an order line attached. It's not necessarily perfect (I know it can cause issues in a consortia setting) but it's a really great feature for ordering replacement or added copies.

For that first item, if I didn't add/edit the call number during the receiving process, which is not something we normally do during receiving I just did it today as part of the pilot testing—for us receiving is just receiving any item record edits/call number edits are done as part of the cataloging process. Regardless, if I didn't add the call number, the newly received item would have attached to the autogenerated call number, right? This would mean that, for this instance, now I have to do two steps – transferring the newly received item to our existing call number and deleting the autogenerated on-order item. However, when we receive the item in Symphony I don't have to do either of these things. The item we received would just attach to the existing call number, our discarded item could be deleted as part of the discard process, and everything's great.

That BC Acquisitions doesn't have this is a big issue. The receiving process in Symphony might not be as slick but we don't have to do as much item manipulation for added and replacement copies. I'd rather have a slightly more complex receiving process if it means I don't have to delete and transfer every time our selectors order a replacement copy.

Also, the second instance is another big issue. Is there a setting in the distribution set up to prevent received items from pulling a call number from the MARC on-order record. I don't want these items to have call numbers at the time of receiving—they aren't cataloged. In our workflow, items do not get call numbers until they are cataloged (unless they are added copies or replacements, of course). Also, the call numbers given in the 082/050 of MARC on-orders often don't follow the call number standards of our library. Plus it's pulling from BOTH the 082 and the 050 to make a really weird DDC LCC hybrid number that no library would use.

Having these call numbers automatically generated at receiving would cause a lot of confusion in our library because 1) it may look like an item has been cataloged when it hasn't and 2) the call number might not look like how we normally make call numbers so we'd get questions from front end staff of "Did you change something?" for a lot of newly received items. I don't want to have to edit the call number as part of the receiving process. Plus, since these received items have call numbers and the on-order items don't, they aren't attaching to the same item in Symphony. This would cause a ton of confusion for staff and would be really confusing for patrons looking for on-order items in Enterprise—because one item is on-order and has an XX call number and the other item is available soon and has a totally different call number.

The third instance (where there was no call number as part of the on-order item so no call number showed up during the receiving process), is exactly what I want to happen for all newly ordered items. The received copies are added to the catalog under the autogenerated call number, after the on-order item.

Another question, is there a way to add item record fields into the distribution? Or is there a plan to add more field options as the software is further developed? There are only spaces right now for the item collection/location and item type. When we receive items in Symphony more areas of the item record are automatically populated—item cat 1, 2 and 4. These are very helpful fields for us and it would be nice if these could be generated during receiving, like the location and item type are.

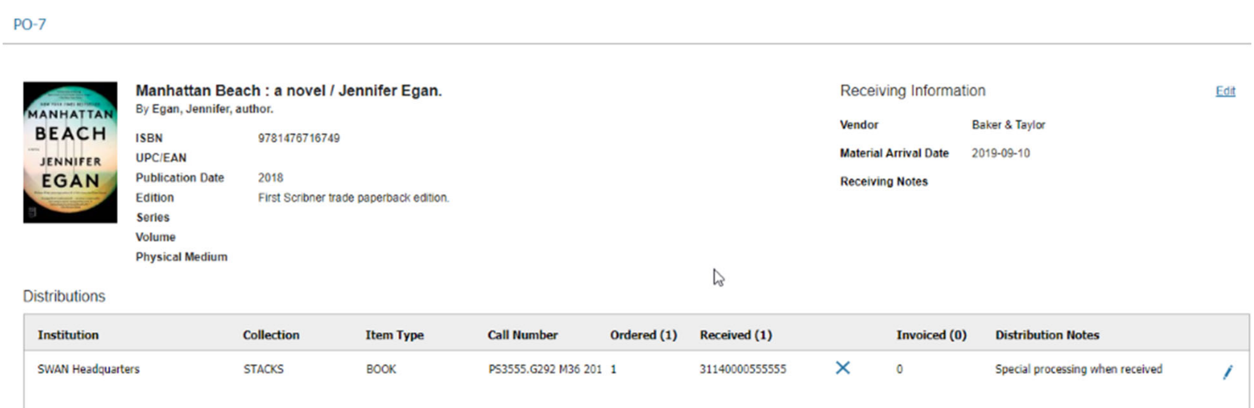
One more question, why is home location called “Collection” in BC Acquisitions? It’s been something that has bugged me since the beginning of the pilot. It just seems unnecessarily confusing that BC Acquisitions is not using the same terminology as Symphony.

Lastly, I did not have the same issue with typing/scanning in the barcode that others in the did. For orders with multiple items, I typed in the barcode, hit “Tab’ or “Enter,” the barcode was saved, and my cursor was automatically moved down to the next field to enter in my next barcode. For the final barcode, I had to hit Enter to save the changes but I honestly didn’t even think about it—I just hit Enter and it saved without issue. I didn’t have an issue at all with scanning in the barcodes either—for single or multiple orders. Our scanners are set up with automatic triggers (so they ‘Enter’ after every scan). For single orders, it scanned and saved without issue. For multiple orders, it scanned and then moved my cursor on to the next open barcode field. No issues at all.

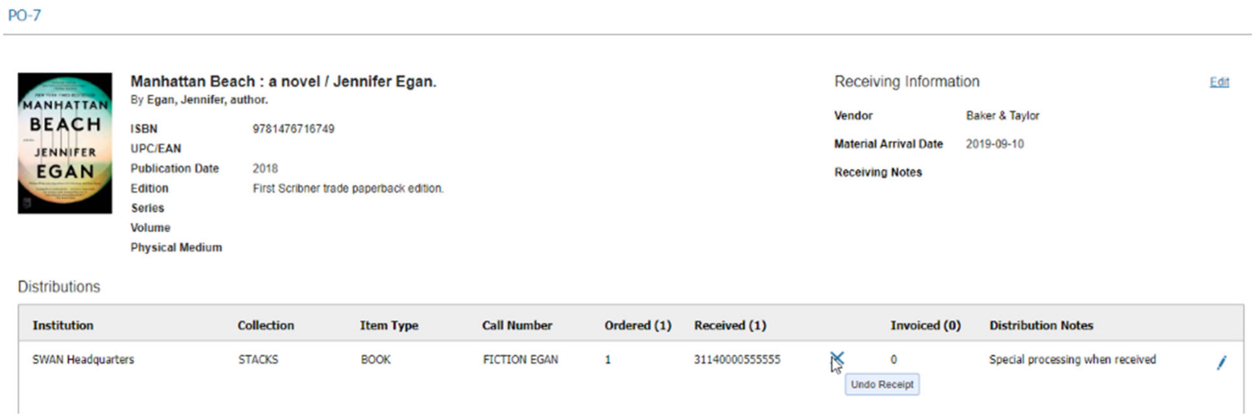
Note: I went through and received all 22 items for all 13 orders that I had generated. The call number issue was the only major thing I had a problem with.

SWAN Headquarters Feedback

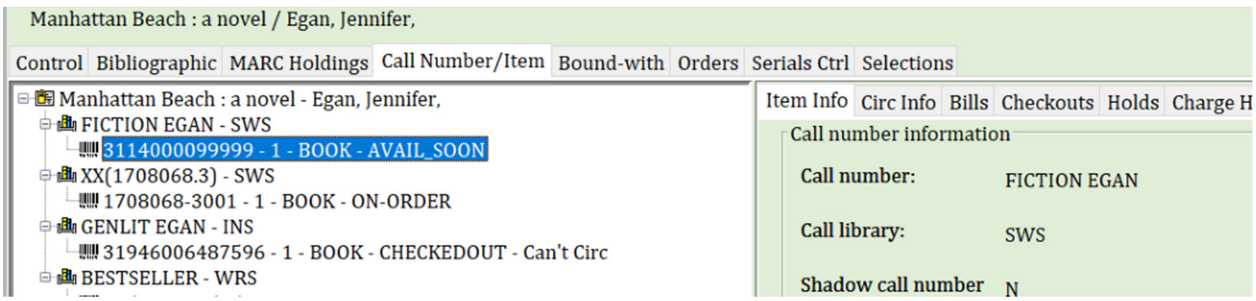
While adding in barcodes, I found that I was able to type the barcodes in and did not need to scan them, unlike what La Grange PL experienced. I did, however, have to use the Enter key to fully submit them.



Modifying the distribution information was easy and intuitive with the “pencil” icon.
Unreceived an item using the “X” in the Received column.

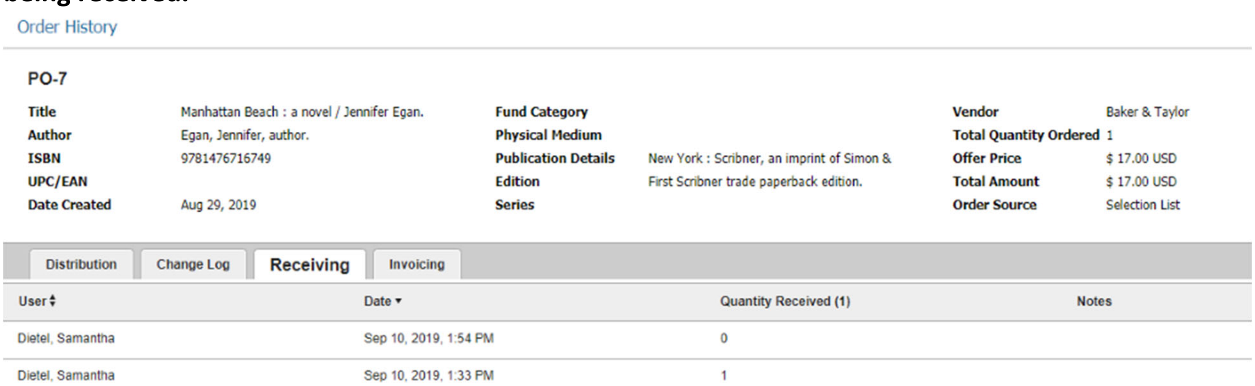


Verify that the associated item records were properly created in or removed from your Test ILS catalog.



The received item and call number creation is seamless and fast. Once concern I have is the temporary item and call number that were created upon approval. Is there any automated way of removing those, or is this something that staff would need to do manually?noam

Verify that the Order History for the received items have been updated properly relative to items being received.



Invoicing Ordered Material

Feedback Date: September 23, 2019
Feedback Topic: Invoicing Ordered Material (16-20 September 2019)
Provided by: La Grange Public Library, St. Charles Public Library, SWAN Headquarters (testing within SWAN Consortium)

Outline of Tasks:

- Review recorded training sessions for Training Session 9: Invoicing Ordered Material
- Run through phase III pilot exercises for Invoicing Ordered Material
- Report testing results relative to Invoicing ordered material

Pre-qualifiers

- Review the following recorded training: Invoicing Ordered Material
- Orders must be processed to a point that the order status is either Approved or On Order
- An invoice file has been created and ready to import

Exercises

1. Generate an invoice file from an order file using the InvoiceTestFileUtil app
2. Import the invoice file into BC Acquisitions on the Invoicing home page
3. Review the invoice and invoice lines in BC Acquisitions
4. Change the invoice status from Building to Pending Approval or to Approved (depending on your library's workflow and processes and your given privileges and invoice limits).
5. Modify an invoice file using the Invoice File Format document in the following ways:

    a. Adjust the unit cost for a single order to be more than the offer price
    b. Adjust the unit cost for another order to be less than the offer price
    c. Adjust the number of items to be invoiced to be less than the number ordered (under-invoicing)
    d. Adjust the number of items to be invoiced to be more than the number ordered (over-invoicing).

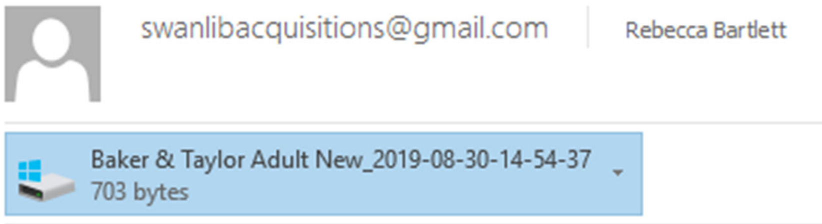
6. Verify that the associated budgets were un-encumbered and expended the proper amounts.
7. Verify that the Order History for the invoiced items have been updated properly relative to items being invoiced.
8. Verify that order status for orders that have been completely received and invoiced have a status of Complete.

La Grange Public Library Feedback

Rebecca Bartlett

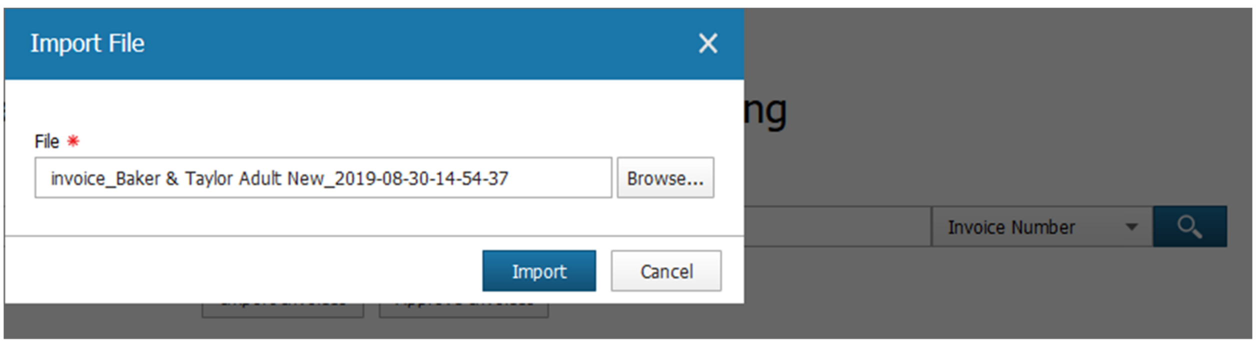
Generate an invoice file from an order file using the InvoiceTestFileUtil app

Sam Dietel suggested using the file that was automatically emailed to me in Session #6.



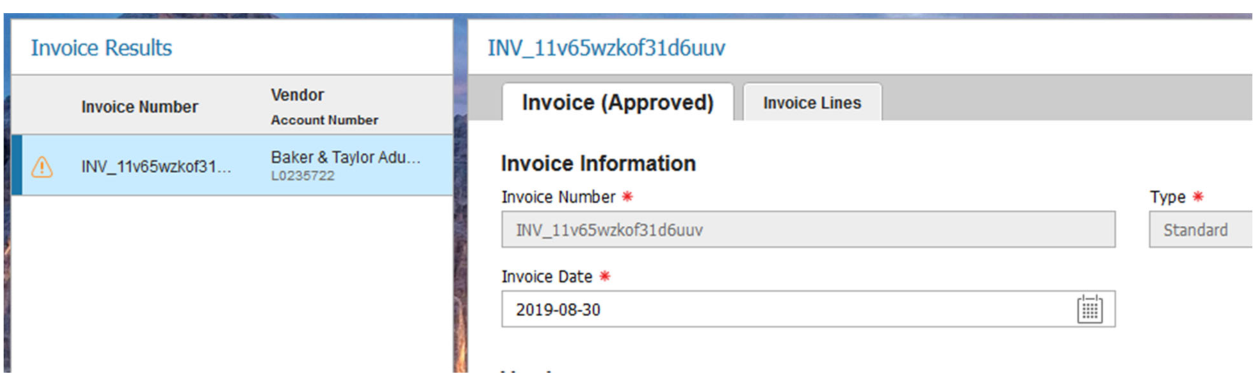
I saved the Baker & Taylor Adult New file to my Desktop, then used Select Order Files in the Invoice File Utility to generate the invoice file.

Import the invoice file into BC Acquisitions on the Invoicing home page



Review the invoice and invoice lines in BC Acquisitions

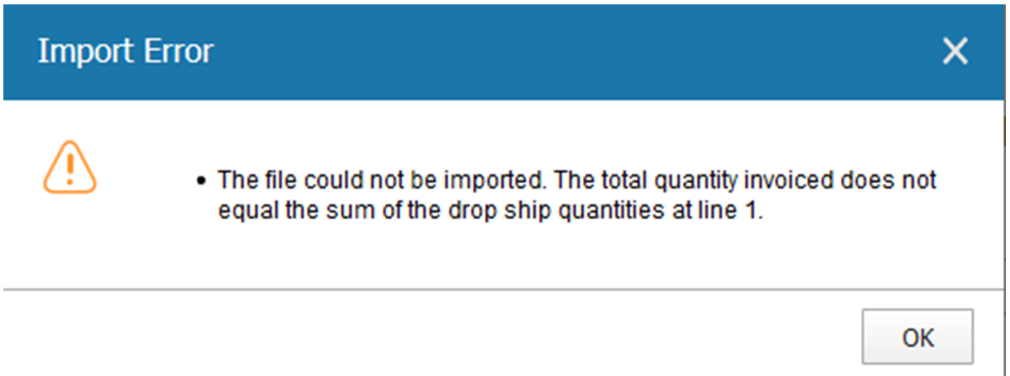
Change the invoice status from Building to Pending Approval or to Approved (depending on your library's workflow and processes and your given privileges and invoice limits).



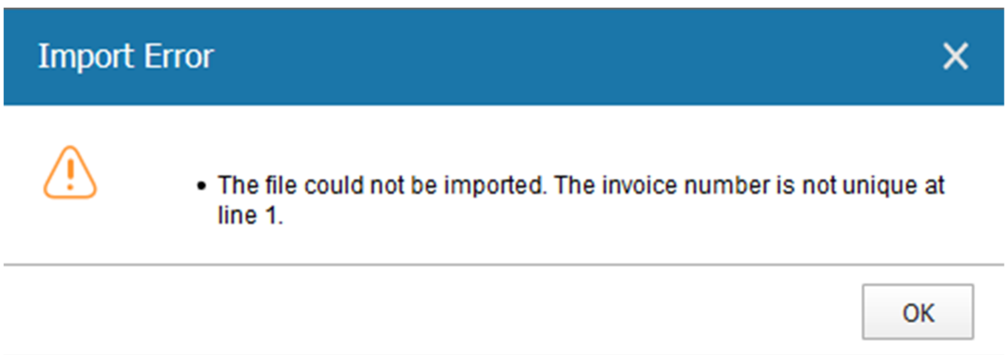
Modify an invoice file using the Invoice File Format document in the following ways:

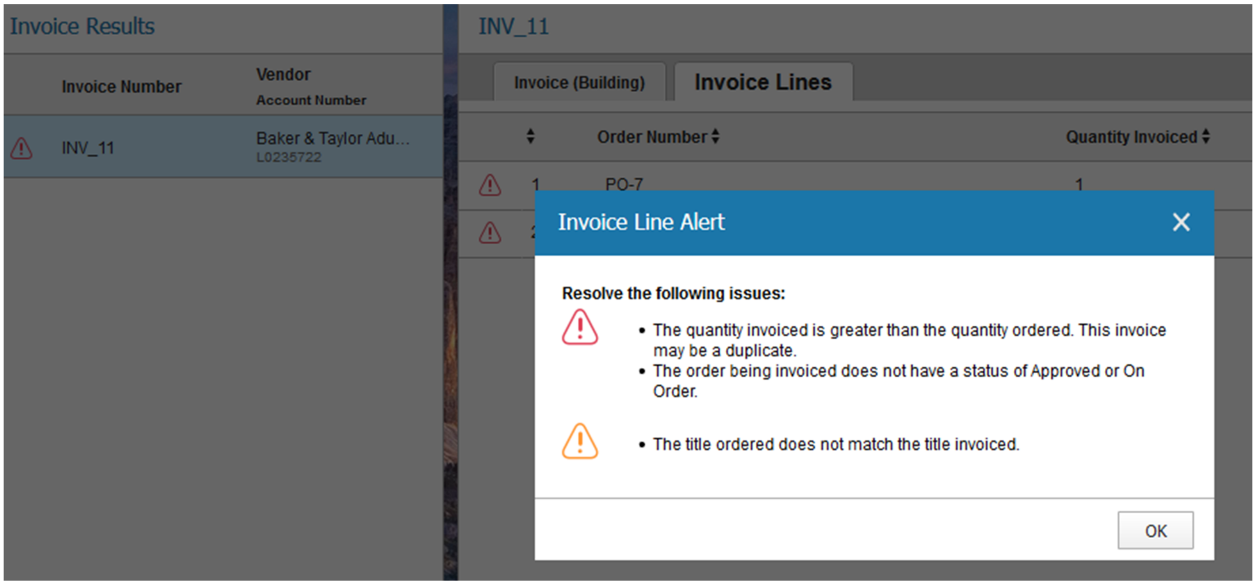
I would suggest doing this part of the worksheet last. You get a series of annoying error messages. I don't understand why we would need to modify a vendor invoice before importing, unless there was a discrepancy on the paper invoice. If you import a duplicate invoice, you have to change the invoice number.

Adjust the unit cost for a single order to be more than the offer price
Adjust the unit cost for another order to be less than the offer price

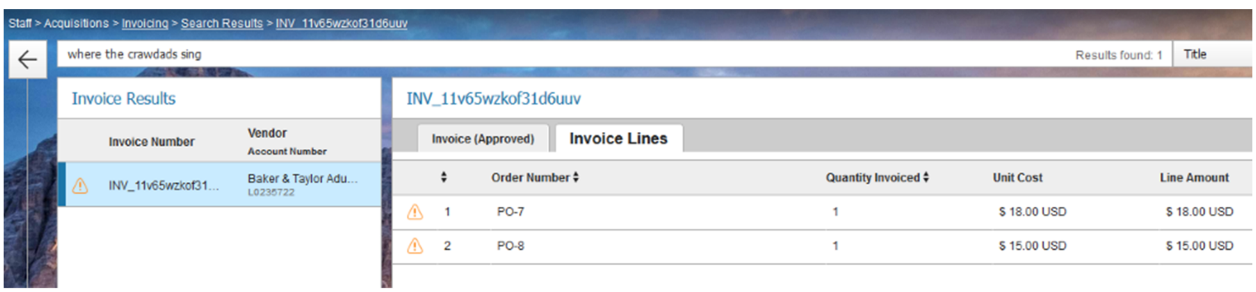


Adjust the number of items to be invoiced to be less than the number ordered (under-invoicing)
Adjust the number of items to be invoiced to be more than the number ordered (over-invoicing).

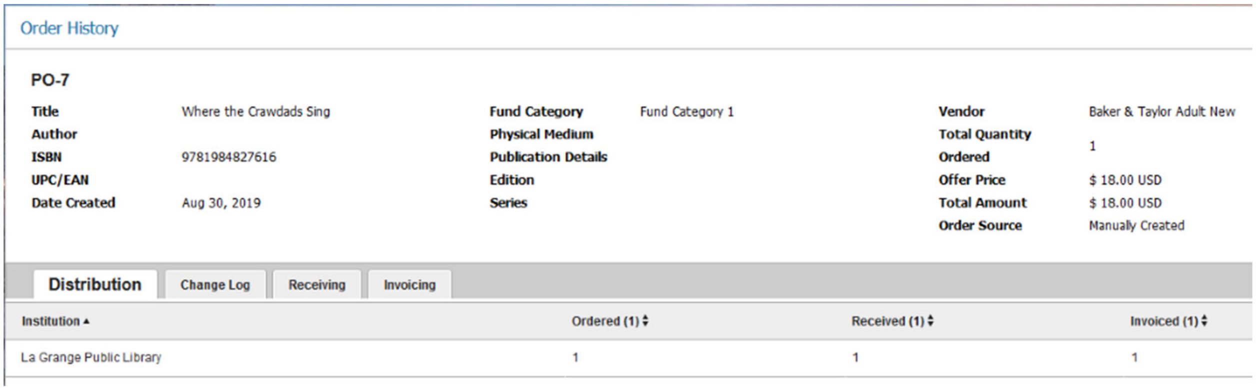




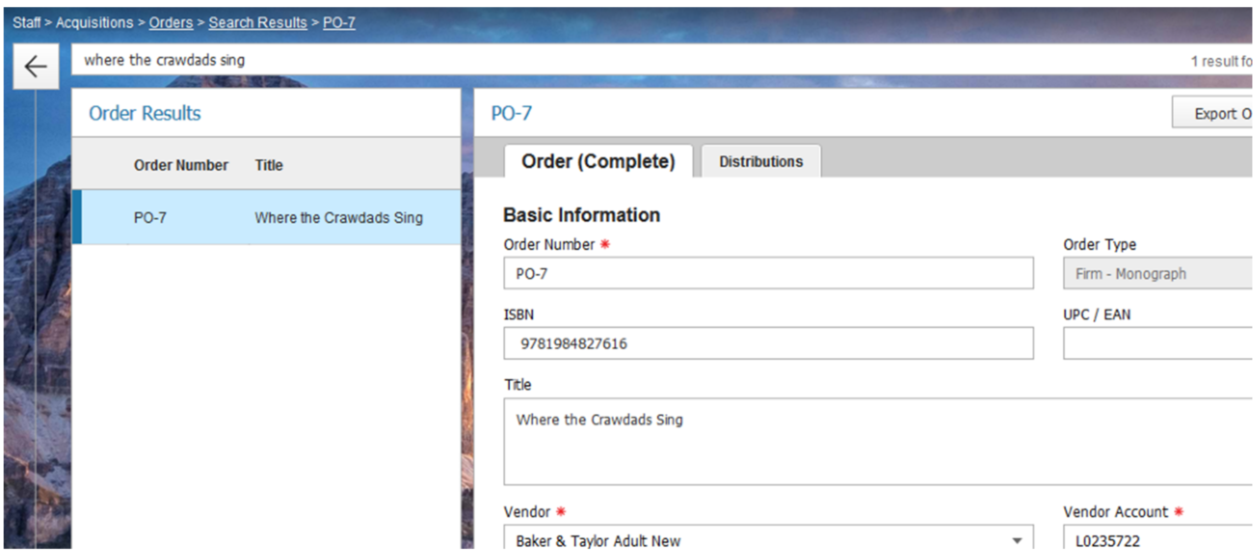
Verify that the associated budgets were un-encumbered and expended the proper amounts.
Two titles were funded to Adult Dewey 100-199, and the total encumbered is $33.00.



Verify that the Order History for the invoiced items have been updated properly relative to items being invoiced.



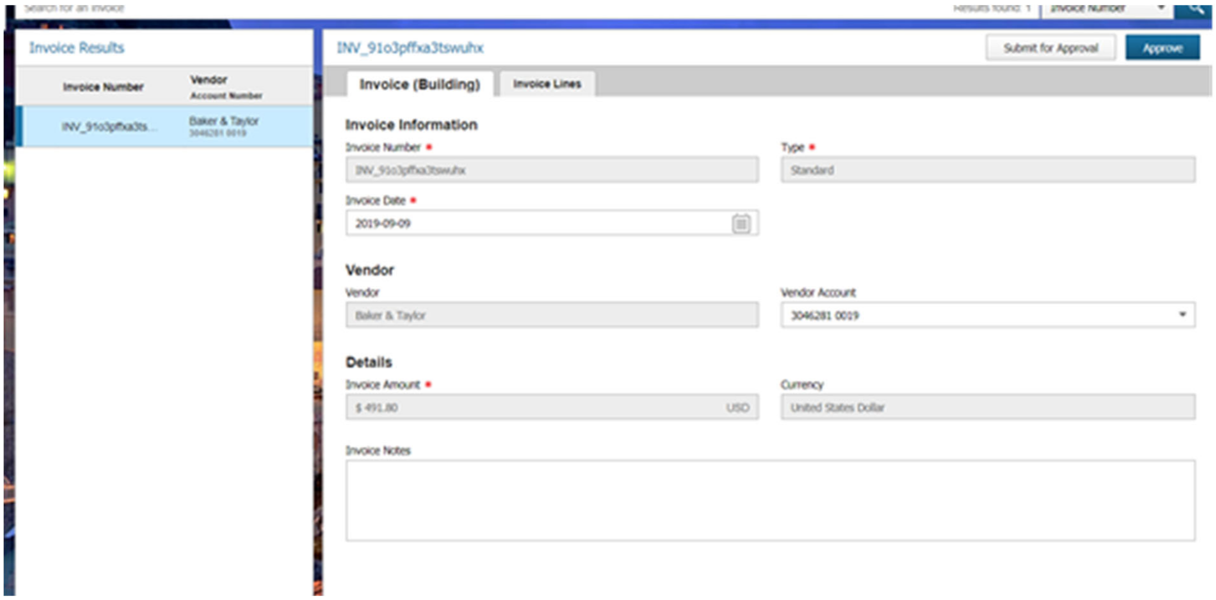
Verify that order status for orders that have been completely received and invoiced have a status of Complete.

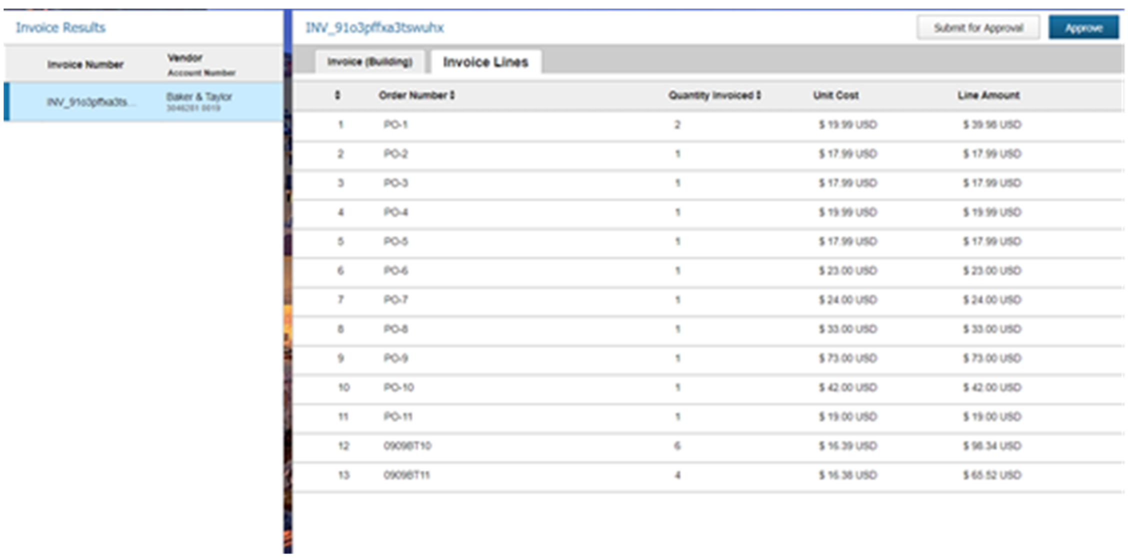


St. Charles Public Library Feedback

Generate an invoice file from an order file using the InvoiceTestFileUtil app:
I tried to download the Invoice Utility but our IT department couldn't get it to work. Thankfully, Sam at SWAN was able to convert our order file for me.

-Import the invoice file into BC Acquisitions on the Invoicing home page & Review the invoice and invoice lines in BC Acquisitions:
I was able to import the order file just fine and everything looked good.





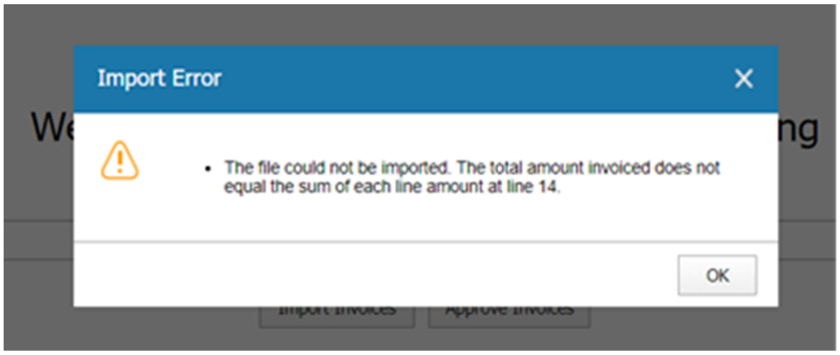
#	Order Number	Quantity Invoiced	Unit Cost	Line Amount
1	PO-1	2	$ 19.99 USD	$ 39.98 USD
2	PO-2	1	$ 17.99 USD	$ 17.99 USD
3	PO-3	1	$ 17.99 USD	$ 17.99 USD
4	PO-4	1	$ 19.99 USD	$ 19.99 USD
5	PO-5	1	$ 17.99 USD	$ 17.99 USD
6	PO-6	1	$ 23.00 USD	$ 23.00 USD
7	PO-7	1	$ 24.00 USD	$ 24.00 USD
8	PO-8	1	$ 33.00 USD	$ 33.00 USD
9	PO-9	1	$ 73.00 USD	$ 73.00 USD
10	PO-10	1	$ 42.00 USD	$ 42.00 USD
11	PO-11	1	$ 19.00 USD	$ 19.00 USD
12	09098T10	6	$ 16.39 USD	$ 98.34 USD
13	09098T11	4	$ 16.38 USD	$ 65.52 USD

(Then I deleted this invoice since I'd have to modify things for the next step)

-Modify an invoice file using the Invoice File Format document in the following ways:

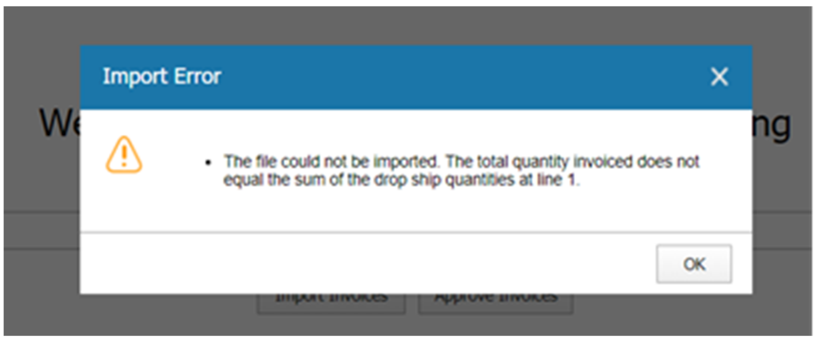
-Adjust the unit cost for a single order to be more than the offer price:

I did this, tried to import the new invoice, and got this error:



-Adjust the unit cost for another order to be less than the offer price:
I did this, tried to import the new invoice, and got the same error message.

-Adjust the number of items to be invoiced to be less than the number ordered (under-invoicing):
I did this, tried to import the new invoice, and got this error:

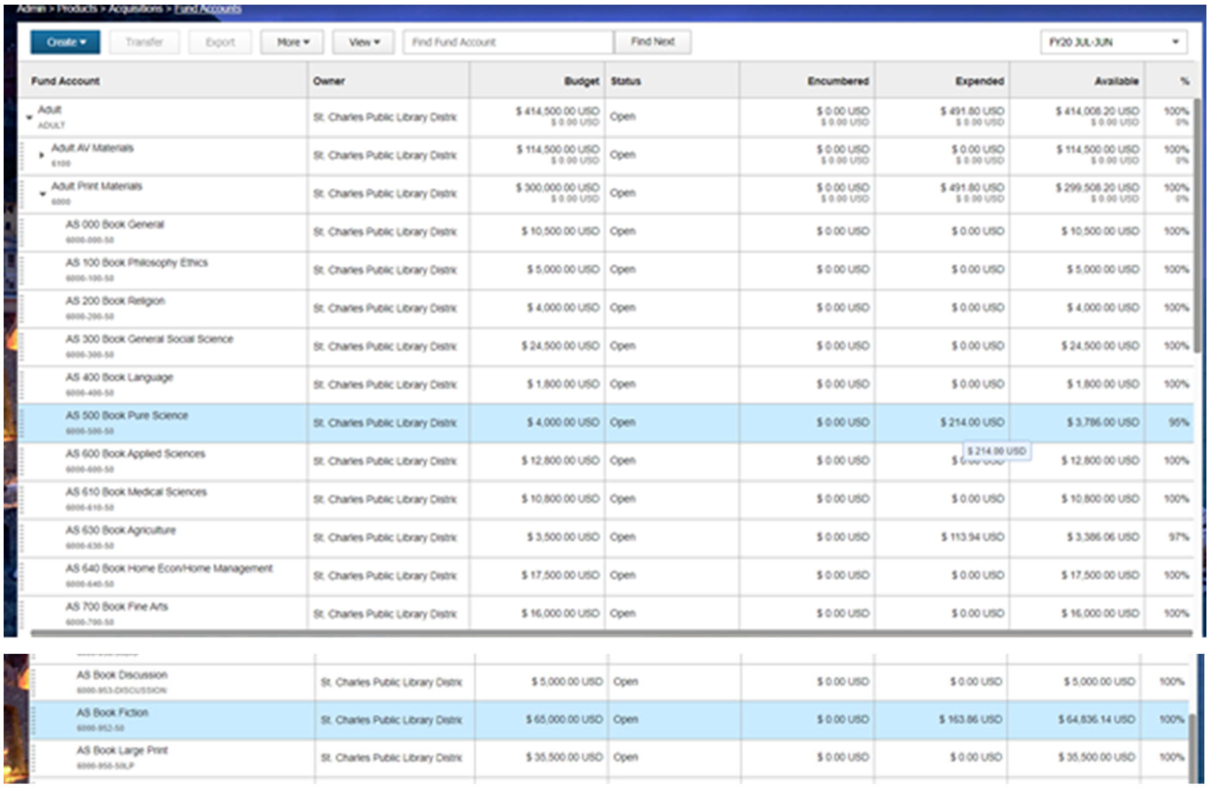


-Adjust the number of items to be invoiced to be more than the number ordered (over-invoicing):
I did this, tried to import the new invoice, and got the same error message.

Just to echo Rebecca, I didn't really see why we would need to modify a vendor invoice before importing it. It was helpful to see what the error messages looked like if you tried to import an invoice with errors and it was a good test to see if I could figure out how to fix the file. However, if my vendor invoice has an error, I would like to be able to import it and then work on correcting the error within BCAcq. This workflow wouldn't really work well for us.

-Change the invoice status from Building to Pending Approval or to Approved (depending on your library's workflow and processes and your given privileges and invoice limits):
I re-imported my original invoice (without the adjustments) and approved it. Everything looked good.

-Verify that the associated budgets were un-encumbered and expended the proper amounts.
I checked our budgets and the proper funds were all charged correctly:



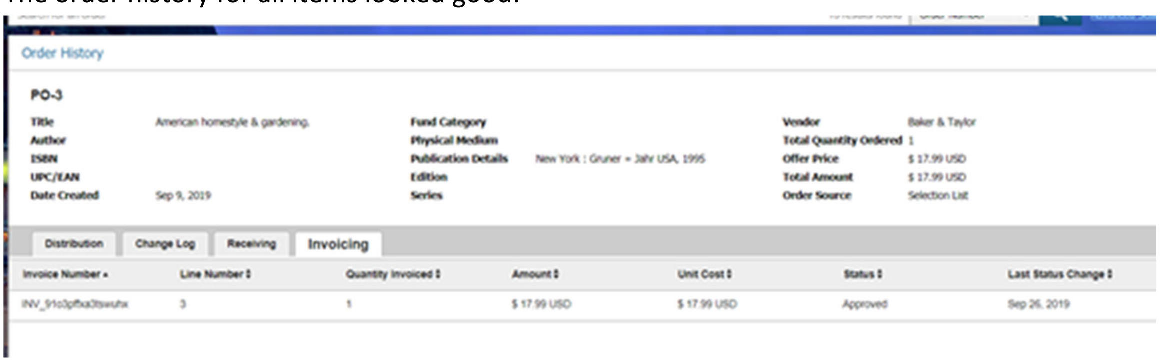
Admin > Products > Acquisitions > Fund Accounts

Create | Transfer | Export | More | View | Find Fund Account | Find Next | FY20 JUL-JUN

Fund Account	Owner	Budget	Status	Encumbered	Expended	Available	%
Adult ADULT	St. Charles Public Library Distric	$ 414,500.00 USD $ 0.00 USD	Open	$ 0.00 USD $ 0.00 USD	$ 491.80 USD $ 0.00 USD	$ 414,008.20 USD $ 0.00 USD	100% 0%
Adult AV Materials 6100	St. Charles Public Library Distric	$ 114,500.00 USD $ 0.00 USD	Open	$ 0.00 USD $ 0.00 USD	$ 0.00 USD $ 0.00 USD	$ 114,500.00 USD $ 0.00 USD	100% 0%
Adult Print Materials 6000	St. Charles Public Library Distric	$ 300,000.00 USD $ 0.00 USD	Open	$ 0.00 USD $ 0.00 USD	$ 491.80 USD $ 0.00 USD	$ 299,508.20 USD $ 0.00 USD	100% 0%
AS 000 Book General 6000-000-50	St. Charles Public Library Distric	$ 10,500.00 USD	Open	$ 0.00 USD	$ 0.00 USD	$ 10,500.00 USD	100%
AS 100 Book Philosophy Ethics 6000-100-50	St. Charles Public Library Distric	$ 5,000.00 USD	Open	$ 0.00 USD	$ 0.00 USD	$ 5,000.00 USD	100%
AS 200 Book Religion 6000-200-50	St. Charles Public Library Distric	$ 4,000.00 USD	Open	$ 0.00 USD	$ 0.00 USD	$ 4,000.00 USD	100%
AS 300 Book General Social Science 6000-300-50	St. Charles Public Library Distric	$ 24,500.00 USD	Open	$ 0.00 USD	$ 0.00 USD	$ 24,500.00 USD	100%
AS 400 Book Language 6000-400-50	St. Charles Public Library Distric	$ 1,800.00 USD	Open	$ 0.00 USD	$ 0.00 USD	$ 1,800.00 USD	100%
AS 500 Book Pure Science 6000-500-50	St. Charles Public Library Distric	$ 4,000.00 USD	Open	$ 0.00 USD	$ 214.00 USD	$ 3,786.00 USD	95%
AS 600 Book Applied Sciences 6000-600-50	St. Charles Public Library Distric	$ 12,800.00 USD	Open	$ 0.00 USD	$ 0.00 USD	$ 12,800.00 USD	100%
AS 610 Book Medical Sciences 6000-610-50	St. Charles Public Library Distric	$ 10,800.00 USD	Open	$ 0.00 USD	$ 0.00 USD	$ 10,800.00 USD	100%
AS 630 Book Agriculture 6000-630-50	St. Charles Public Library Distric	$ 3,500.00 USD	Open	$ 0.00 USD	$ 113.94 USD	$ 3,386.06 USD	97%
AS 640 Book Home Econ/Home Management 6000-640-50	St. Charles Public Library Distric	$ 17,500.00 USD	Open	$ 0.00 USD	$ 0.00 USD	$ 17,500.00 USD	100%
AS 700 Book Fine Arts 6000-700-50	St. Charles Public Library Distric	$ 16,000.00 USD	Open	$ 0.00 USD	$ 0.00 USD	$ 16,000.00 USD	100%
AS Book Discussion 6000-953-DISCUSSION	St. Charles Public Library Distric	$ 5,000.00 USD	Open	$ 0.00 USD	$ 0.00 USD	$ 5,000.00 USD	100%
AS Book Fiction 6000-952-50	St. Charles Public Library Distric	$ 65,000.00 USD	Open	$ 0.00 USD	$ 163.86 USD	$ 64,836.14 USD	100%
AS Book Large Print 6000-950-50LP	St. Charles Public Library Distric	$ 35,500.00 USD	Open	$ 0.00 USD	$ 0.00 USD	$ 35,500.00 USD	100%

-Verify that the Order History for the invoiced items have been updated properly relative to items being invoiced.

The order history for all items looked good:



Order History

PO-3

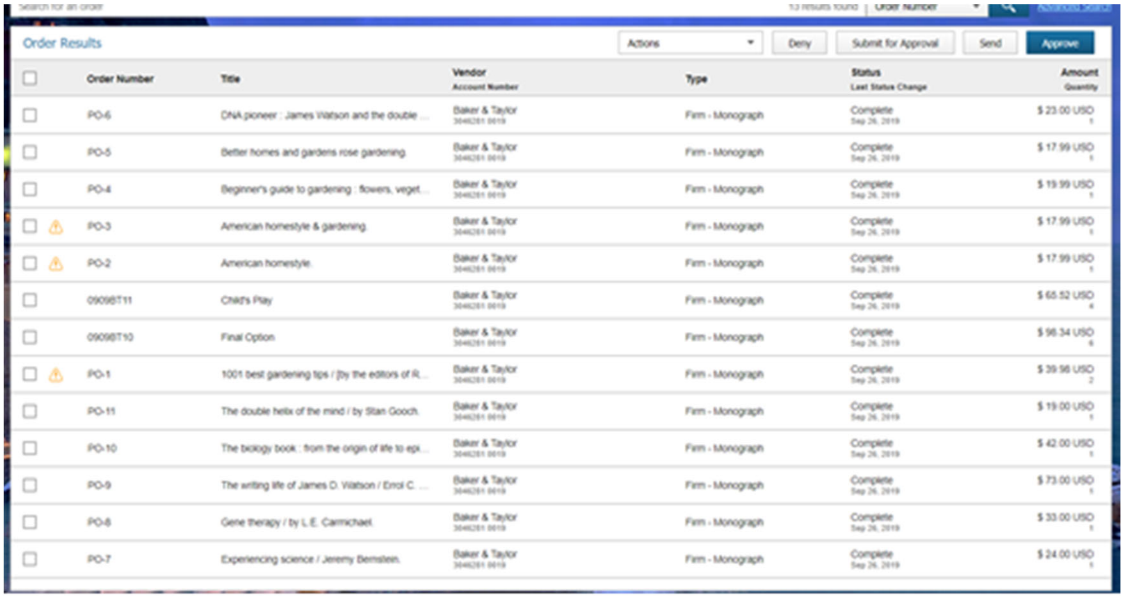
Title	American homestyle & gardening.	Fund Category		Vendor	Baker & Taylor
Author		Physical Medium		Total Quantity Ordered	1
ISBN		Publication Details	New York : Gruner + Jahr USA, 1995	Offer Price	$ 17.99 USD
UPC/EAN		Edition		Total Amount	$ 17.99 USD
Date Created	Sep 9, 2019	Series		Order Source	Selection List

Distribution | Change Log | Receiving | Invoicing

Invoice Number	Line Number	Quantity Invoiced	Amount	Unit Cost	Status	Last Status Change
INV_91o3pffxa3tswuhx	3	1	$ 17.99 USD	$ 17.99 USD	Approved	Sep 26, 2019

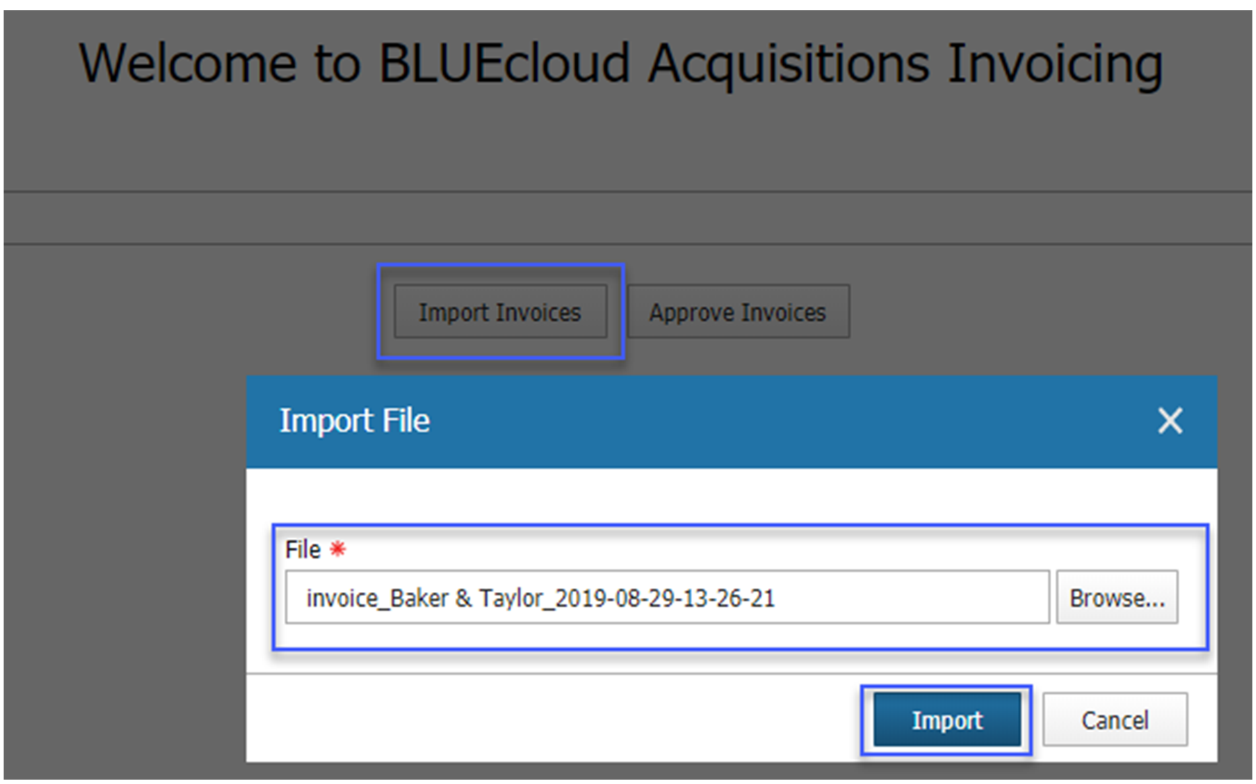
-Verify that order status for orders that have been completely received and invoiced have a status of Complete.

All the orders were complete:

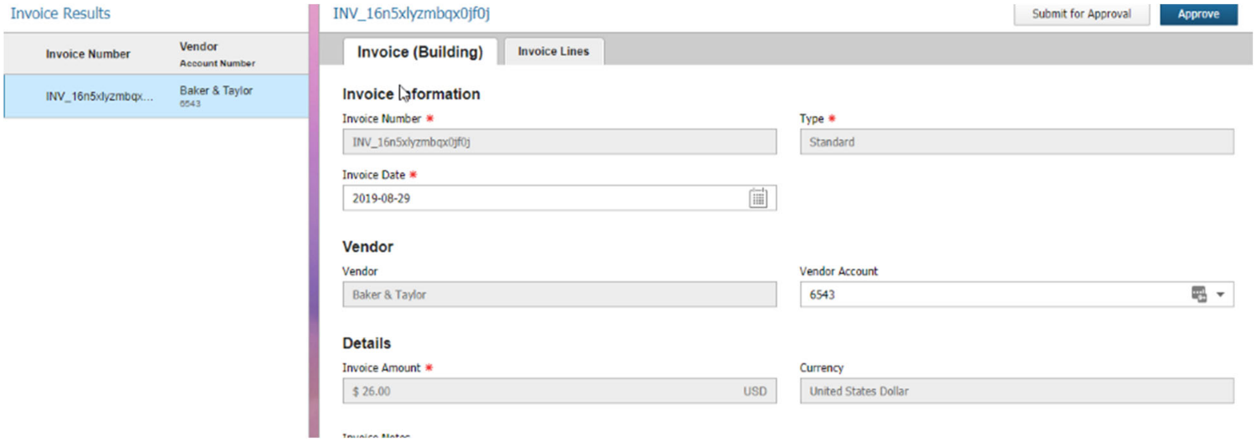


SWAN Headquarters Feedback

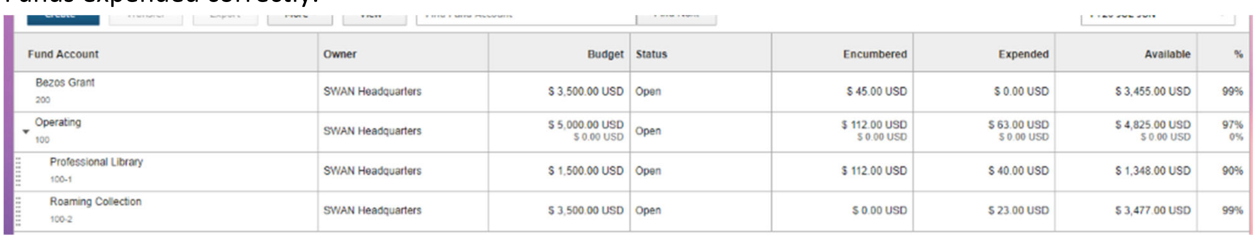
Downloaded and used the utility to convert an order file (I used two order files sent to my "vendor" email in week 6).



Invoices imported successfully.

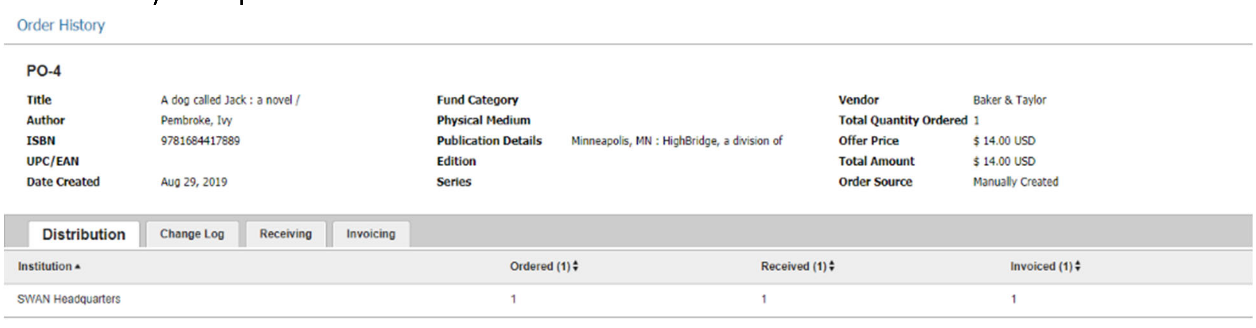


Approving the invoices was an easy step.
I modified the invoice file as laid out in the steps and editing the text file was simple. Counting the fields correctly was the only relatively minor snag.
Funds expended correctly.

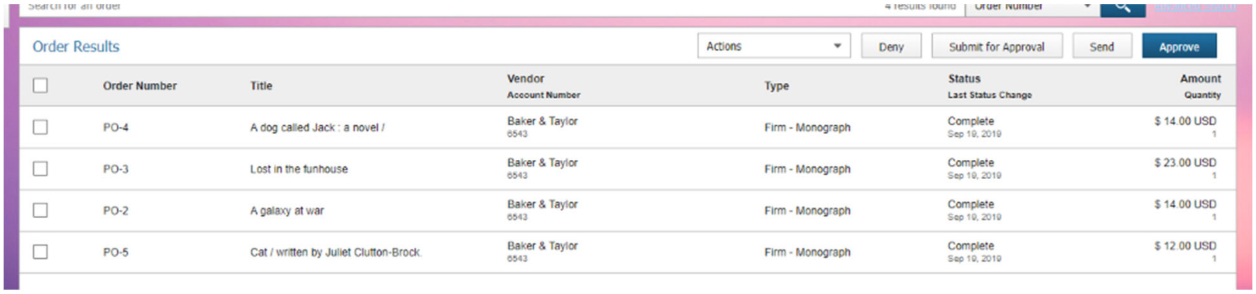


Fund Account	Owner	Budget	Status	Encumbered	Expended	Available	%
Bezos Grant 200	SWAN Headquarters	$ 3,500.00 USD	Open	$ 45.00 USD	$ 0.00 USD	$ 3,455.00 USD	99%
Operating 100	SWAN Headquarters	$ 5,000.00 USD $ 0.00 USD	Open	$ 112.00 USD $ 0.00 USD	$ 63.00 USD $ 0.00 USD	$ 4,825.00 USD $ 0.00 USD	97% 0%
Professional Library 100-1	SWAN Headquarters	$ 1,500.00 USD	Open	$ 112.00 USD	$ 40.00 USD	$ 1,348.00 USD	90%
Roaming Collection 100-2	SWAN Headquarters	$ 3,500.00 USD	Open	$ 0.00 USD	$ 23.00 USD	$ 3,477.00 USD	99%

Order history was updated.



Searched for orders with the “complete” box checked in Advanced Search. My received, invoiced orders are there.



Running Acquisitions Reports

Feedback Date: September 30, 2019
Feedback Topic: Running Acquisitions Reports (23-27 September 2019)
Provided by: La Grange Public Library, St. Charles Public Library, SWAN Headquarters (testing within SWAN Consortium)

Outline of Tasks:

- Review recorded training sessions for Training Session 10: Running Acquisitions Reports
- Run through phase III pilot exercises for Running Acquisitions Reports
- Report testing results relative to Reporting

Pre-qualifiers

- Review the following recorded training: Running Reports
- You must be assigned selector limits for the institutions assigned to the fund accounts you want to report on when running the Available Funds report.
- Several orders must be generated and approved (or sent to the vendor)
- A subset of the approved orders must be received and/or invoiced

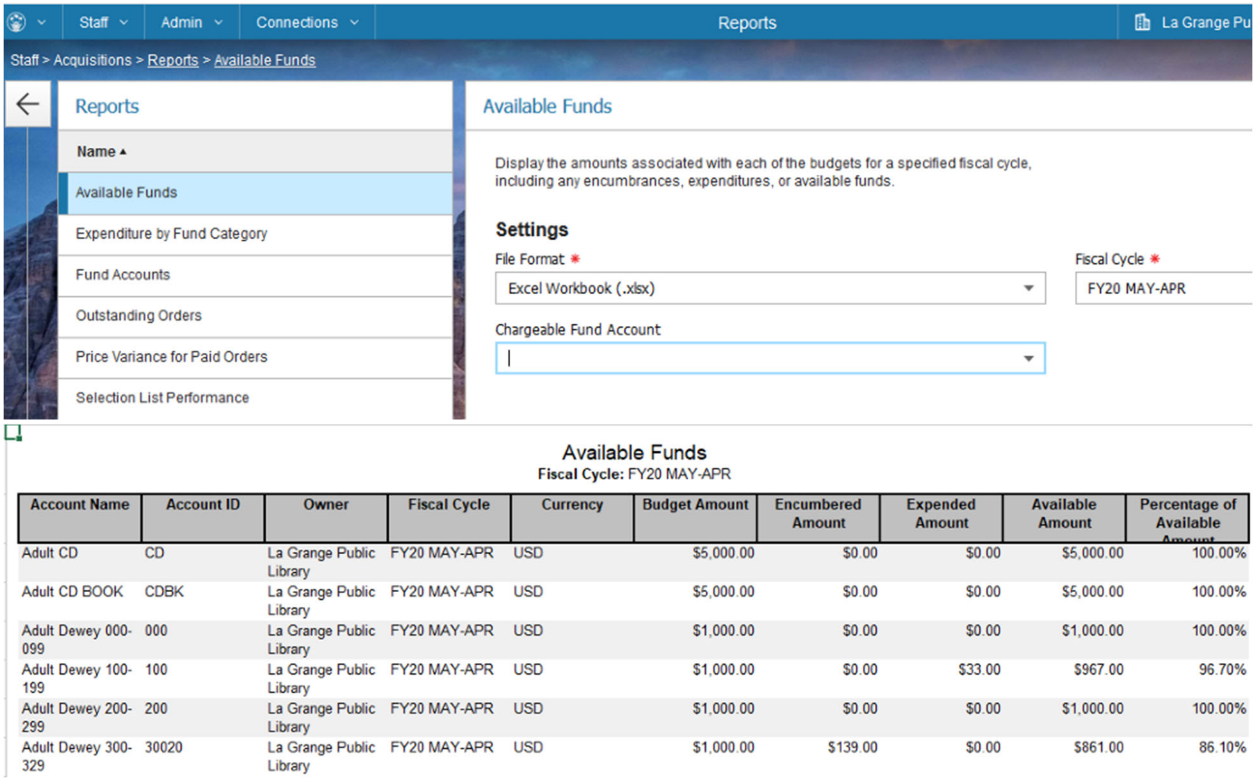
Exercises

1. Run the Available Funds report and verify that the report results match reality.
2. Run the Expenditure by Fund Category report and verify that the report results match reality.
3. Run the Outstanding Orders report and verify that the report results match reality.
4. Run the Price Variance for Paid Orders report and verify that the report results match reality.

La Grange Public Library Feedback

Rebecca Bartlett

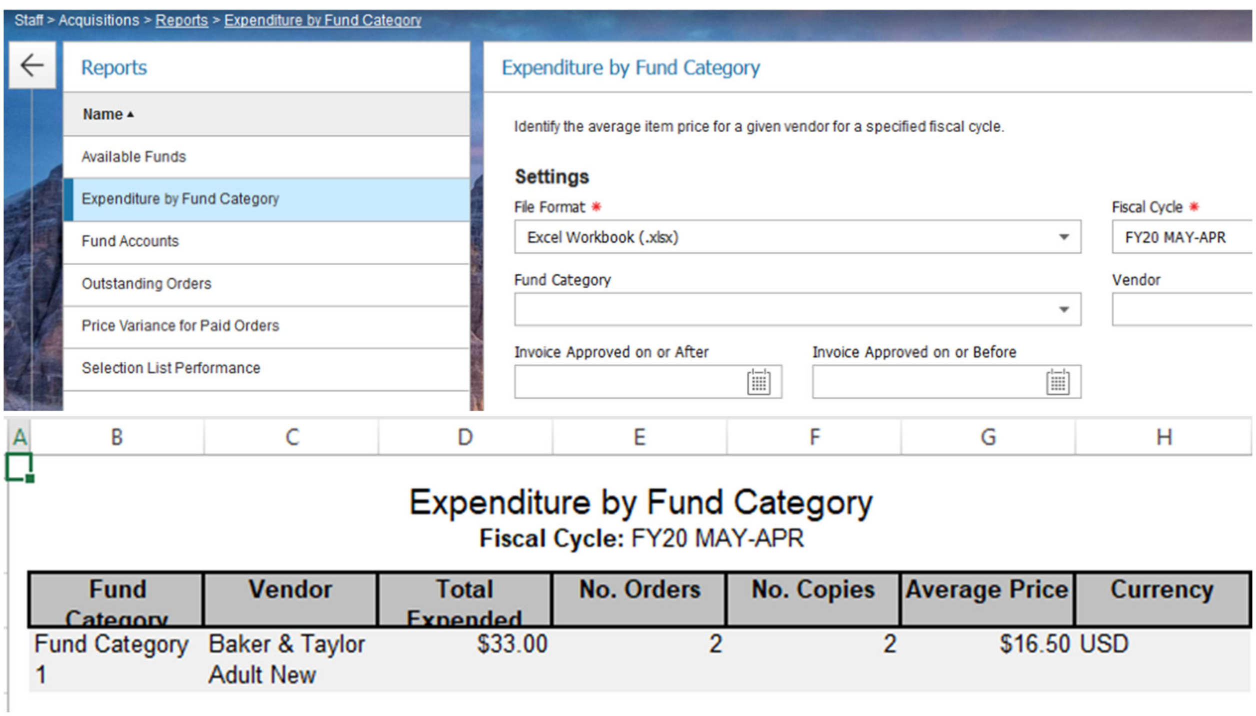
Run the Available Funds report and verify that the report results match reality.



Available Funds
Fiscal Cycle: FY20 MAY-APR

Account Name	Account ID	Owner	Fiscal Cycle	Currency	Budget Amount	Encumbered Amount	Expended Amount	Available Amount	Percentage of Available Amount
Adult CD	CD	La Grange Public Library	FY20 MAY-APR	USD	$5,000.00	$0.00	$0.00	$5,000.00	100.00%
Adult CD BOOK	CDBK	La Grange Public Library	FY20 MAY-APR	USD	$5,000.00	$0.00	$0.00	$5,000.00	100.00%
Adult Dewey 000-099	000	La Grange Public Library	FY20 MAY-APR	USD	$1,000.00	$0.00	$0.00	$1,000.00	100.00%
Adult Dewey 100-199	100	La Grange Public Library	FY20 MAY-APR	USD	$1,000.00	$0.00	$33.00	$967.00	96.70%
Adult Dewey 200-299	200	La Grange Public Library	FY20 MAY-APR	USD	$1,000.00	$0.00	$0.00	$1,000.00	100.00%
Adult Dewey 300-329	30020	La Grange Public Library	FY20 MAY-APR	USD	$1,000.00	$139.00	$0.00	$861.00	86.10%

Run the Expenditure by Fund Category report and verify that the report results match reality.

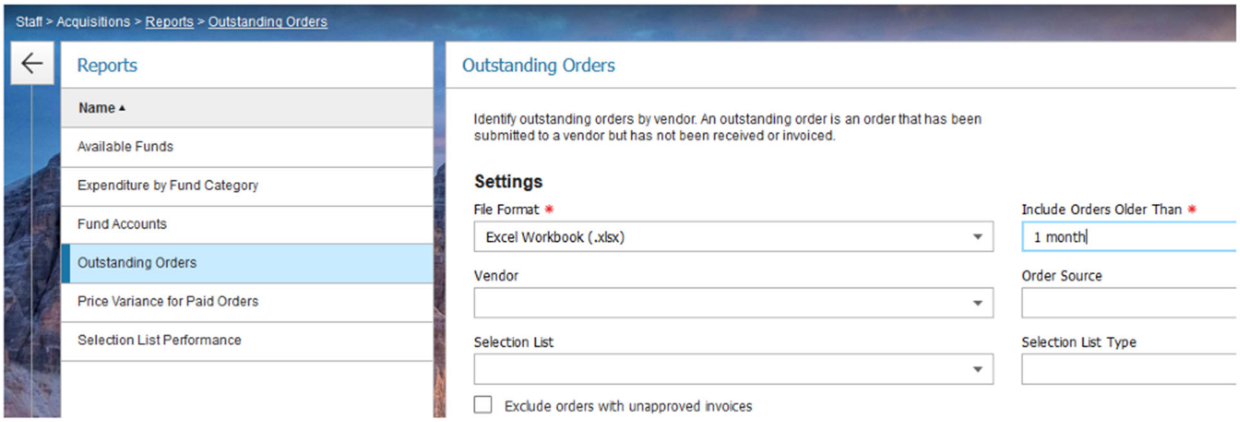


Expenditure by Fund Category
Fiscal Cycle: FY20 MAY-APR

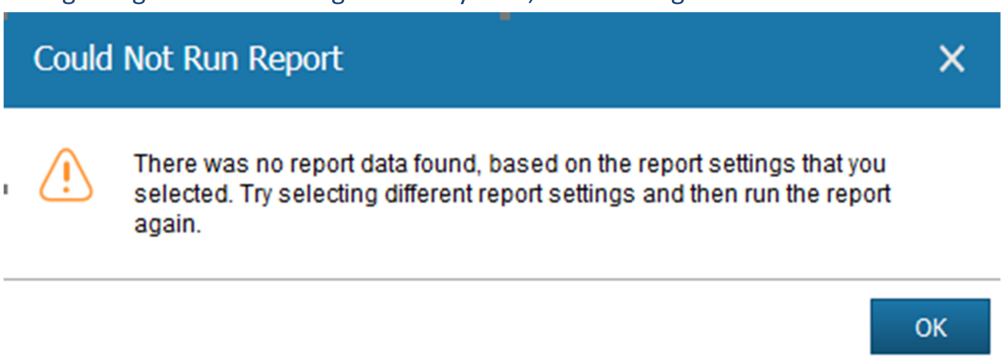
Fund Category	Vendor	Total Expended	No. Orders	No. Copies	Average Price	Currency
Fund Category 1	Baker & Taylor Adult New	$33.00	2	2	$16.50	USD

Run the Outstanding Orders report and verify that the report results match reality.

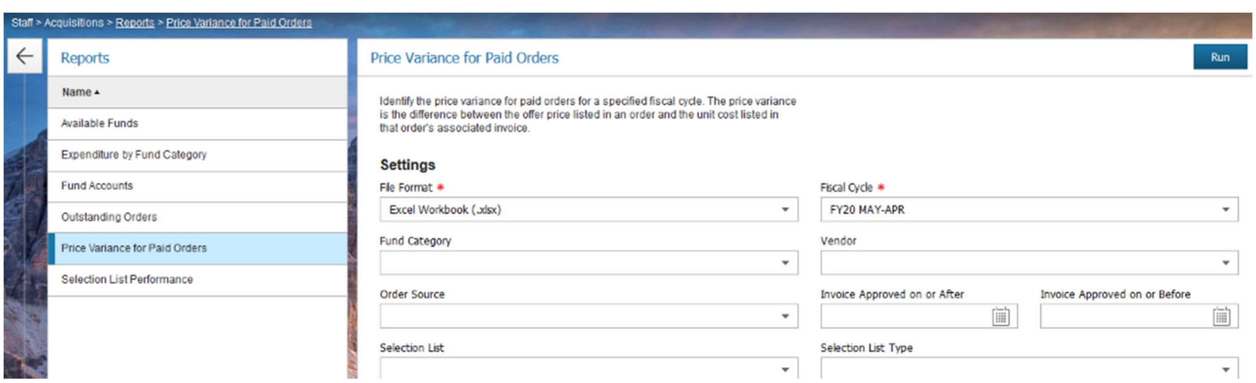
Right now, it only allows you to Include Orders Older Than: 1 month. We haven't been working on creating orders for that long, and there isn't a more recent time period on the drop-down list.



I am getting an error message since my new, outstanding orders are less than 1 month old.



Run the Price Variance for Paid Orders report and verify that the report results match reality.



Price Variance for Palid Orders

Fiscal Cycle:	FY20 MAY-APR		
Total Quantity Invoiced	2	**Average Variance**	$0.00
Total Variance	$0.00		

Vendor	Fund Category	Order Source	Selection List Type	Order Date	Order Number	Invoice Approval Date	Invoice Number	Title	ISBN-UPC-EAN	Quantity Invoiced	Currency	Offer Price	Unit Cost	Variance	Variance %	Total Variance
Baker & Taylor Adult New	Fund Category 1	Manually Created		08/30/2019	PO-7	09/16/2019	INV_11v65wzkof31d6uuv	Where the Crawdads Sing	9781984827616	1	USD	$18.00	$18.00	$0.00	0.00%	$0.00
Baker & Taylor Adult New	Fund Category 1	Manually Created		08/30/2019	PO-8	09/16/2019	INV_11v65wzkof31d6uuv	Dare to Lead	9780399592522	1	USD	$15.00	$15.00	$0.00	0.00%	$0.00

St. Charles Public Library Feedback

Like the others, I ran the Available Funds, Expenditure by Fund Category, Outstanding Orders, and Price Variance for Paid Orders reports. All the reports ran well (very speedy!) and the results matched our reality.

I thought that running the reports was very easy and quick. No issues to report.

SWAN Headquarters Feedback

Provide a recap of your experiences and observations.
Except for the Outstanding Orders report, running reports was easy and intuitive. The results were generated very quickly.

Run the Available Funds report and verify that the report results match reality.

Fund Account	Owner	Budget	Status	Encumbered	Expended	Available	%
Bezos Grant 200	SWAN Headquarters	$ 3,500.00 USD	Open	$ 45.00 USD	$ 0.00 USD	$ 3,455.00 USD	99%
Operating 100	SWAN Headquarters	$ 5,000.00 USD $ 0.00 USD	Open	$ 112.00 USD $ 0.00 USD	$ 63.00 USD $ 0.00 USD	$ 4,825.00 USD $ 0.00 USD	97% 0%
Professional Library 100-1	SWAN Headquarters	$ 1,500.00 USD	Open	$ 112.00 USD	$ 40.00 USD	$ 1,348.00 USD	90%
Roaming Collection 100-2	SWAN Headquarters	$ 3,500.00 USD	Open	$ 0.00 USD	$ 23.00 USD	$ 3,477.00 USD	99%

Available Funds

Fiscal Cycle: FY20 JUL-JUN

Account Name	Account ID	Owner	Fiscal Cycle	Currency	Budget Amount	Encumbered Amount	Expended Amount	Available Amount	Percentage of Available Amount
Bezos Grant	200	SWAN Headquarters	FY20 JUL-JUN	USD	$3,500.00	$45.00	$0.00	$3,455.00	98.71%
Professional Library	100-1	SWAN Headquarters	FY20 JUL-JUN	USD	$1,500.00	$112.00	$40.00	$1,348.00	89.87%
Roaming Collection	100-2	SWAN Headquarters	FY20 JUL-JUN	USD	$3,500.00	$0.00	$23.00	$3,477.00	99.34%

Run the Expenditure by Fund Category report and verify that the report results match reality.

Expenditure by Fund Category

Fiscal Cycle: FY20 JUL-JUN

Fund Category	Vendor	Total Expended	No. Orders	No. Copies	Average Price	Currency
No Fund Category	Baker & Taylor	$63.00	4	4	$15.75	USD

Run the Outstanding Orders report and verify that the report results match reality.

Could not run this report, because we do not have any orders older than 1 month. It would be much more helpful to qualify on a date range rather than selecting a hard-coded list from a dropdown.

Could Not Run Report

There was no report data found, based on the report settings that you selected. Try selecting different report settings and then run the report again.

OK

Run the Price Variance for Paid Orders report and verify that the report results match reality.

Price Variance for Paid Orders

Fiscal Cycle: FY20 JUL-JUN

Total Quantity Invoiced 4 **Average Variance** $0.00

Total Variance $0.00

Vendor	Fund Category	Order Source	Selection List Type	Order Date	Order Number	Invoice Approval Date	Invoice Number	Title	ISBN-UPC-EAN	Quantity Invoiced	Currency	Offer Price	Unit Cost	Variance	Variance %	Total Variance
Baker & Taylor	No Fund Category	Imported File		08/29/2019	PO-2	09/12/2019	INV_1	A galaxy at war	9781435154155	1	USD	$14.00	$14.00	$0.00	0.00%	$0.00
Baker & Taylor	No Fund Category	Manually Created		08/29/2019	PO-3	09/19/2019	INV_2	Lost in the funhouse	9781628970951	1	USD	$23.00	$23.00	$0.00	0.00%	$0.00
Baker & Taylor	No Fund Category	Manually Created		08/29/2019	PO-4	09/19/2019	INV_2	A dog called Jack : a	9781684417889	1	USD	$14.00	$14.00	$0.00	0.00%	$0.00
Baker & Taylor	No Fund Category	Manually Created		08/29/2019	PO-5	09/12/2019	INV_1	Cat / written by Juliet Clutton-Brock.	9781465420503	1	USD	$12.00	$12.00	$0.00	0.00%	$0.00

Processing Year-End

Feedback Date: October 7, 2019
Feedback Topic: Processing Year-end (30 September-4 October 2019)
Provided by: La Grange Public Library, St. Charles Public Library, SWAN Headquarters (testing within SWAN Consortium)

Outline of Tasks:

- Review recorded training sessions for Training Session 11: Processing Year-end
- Run through phase III pilot exercises for Processing Year-end
- Report testing results relative to Year-end processing

Pre-qualifiers

- Review the following recorded training: Year-end Processing
- An additional fiscal cycle must be created
- Settings in your Acquisitions profile must be set appropriately; meaning that the year-end processing setting represent your library's workflow.
- Several orders must be generated and approved (or sent to the vendor)
- A subset of the approved orders must be received and/or invoiced.

Exercises

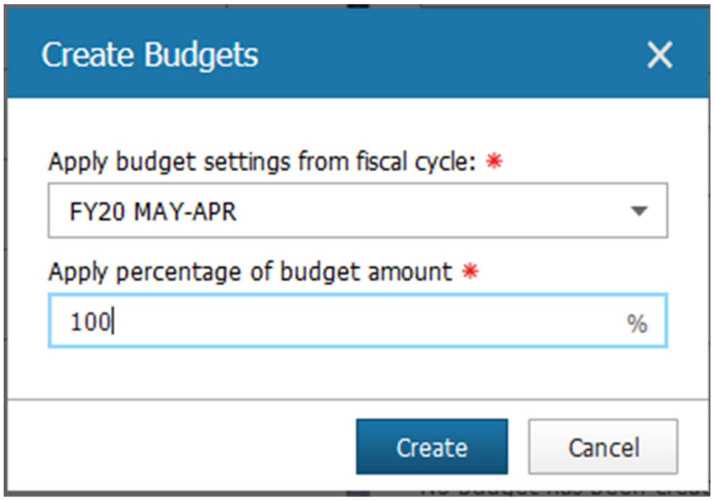
1. Use the Year-end Processing document as a guide to process year-end.
2. Verify that the correct amount gets rolled over to the next fiscal cycle after you complete the roll over step(s).
3. Verify that the Order History for orders that were affected were updated properly
   Note: The Order History for orders that have a status of Complete or On Order if there are no more items to be invoiced will not be updated.

La Grange Public Library Feedback

Rebecca Bartlett

Use the Year-end Processing document as a guide to process year-end.

1. **Create a new fiscal cycle** – I created the new fiscal cycle, but it did not show up in the drop-down lists. Samantha Dietel at SWAN was able to update this for me.
2. **Create new budgets for new fiscal cycle at the Primary Fund Account** - For each of my six funds, I used Create Budgets to bring over the same amount from the previous year. This will be a helpful tool when we increase the overall budget by a certain percentage, for example 1.5%.



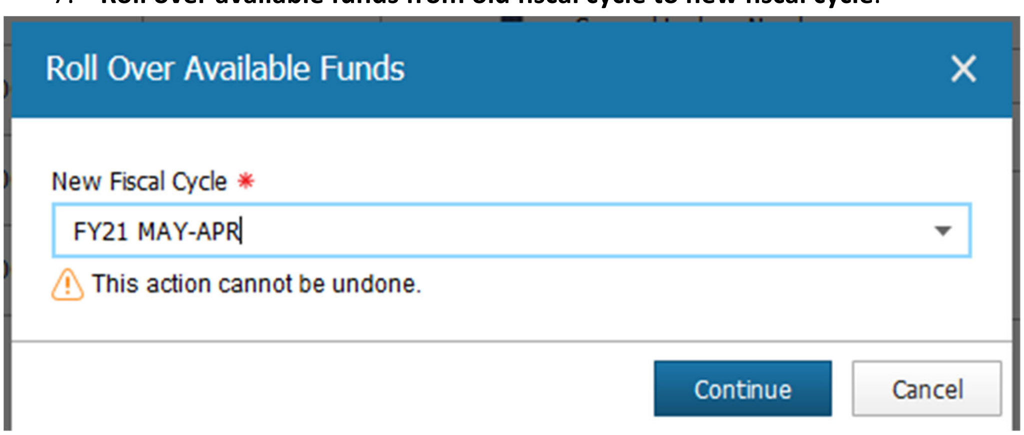
3. **Add enough money to budgets to cover encumbrances** (Not Applicable at LGS)
4. **Change the default fiscal cycle in the profile to be the new fiscal cycle.**
   I'm not sure if this is possible. I don't see the same menu options as on the worksheet.
   My menu options are Admin → Products → Acquisitions → Shared Policies → Fiscal Cycles
   The worksheet indicates Admin → Products → Acquisitions → Profiles
5. **Open the Primary Fund Account budget for the new fiscal cycle**.

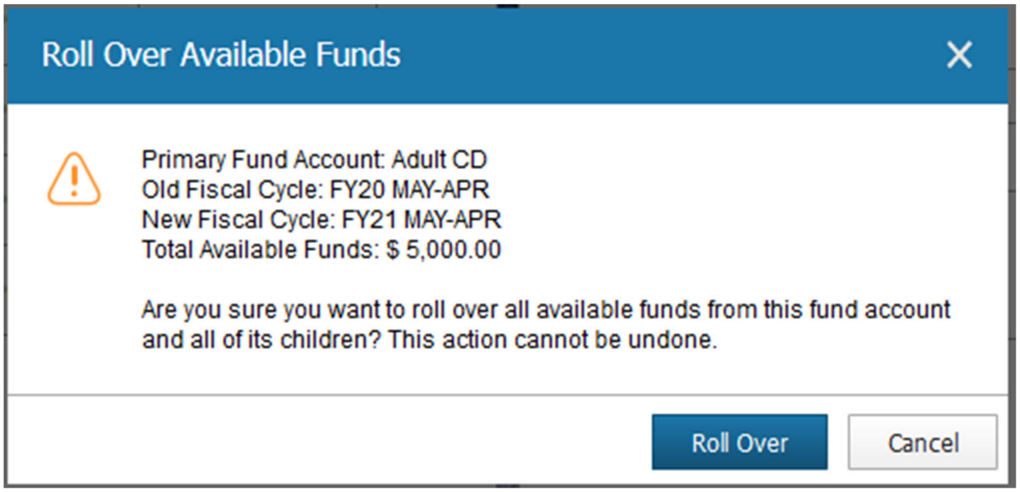
Admin > Products > Acquisitions > Fund Accounts

Create ▾ | Transfer | Export | More ▾ | View ▾ | Find Fund Account | Find Next | FY21 MAY-APR

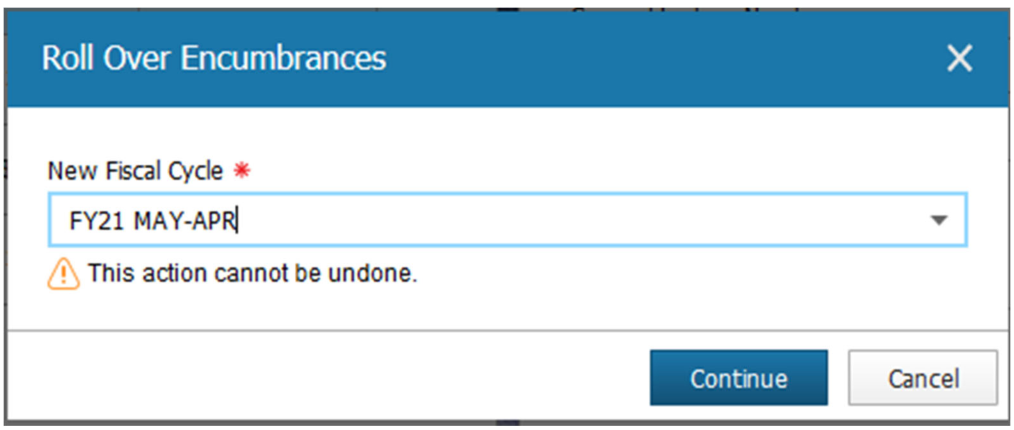
Fund Account	Owner	Budget	Status	Encumbered	Expended	Available	%
Adult CD CD	La Grange Public Library	$ 5,000.00 USD	Building	$ 0.00 USD	$ 0.00 USD	$ 5,000.00 USD	100%
Adult CD BOOK CDBK	La Grange Public Library	$ 5,000.00 USD	Building	$ 0.00 USD	$ 0.00 USD	$ 5,000.00 USD	100%
Adult Dewey 000-099 000	La Grange Public Library	$ 1,000.00 USD	Building	$ 0.00 USD	$ 0.00 USD	$ 1,000.00 USD	100%
Adult Dewey 100-199 100	La Grange Public Library	$ 1,000.00 USD	Building	$ 0.00 USD	$ 0.00 USD	$ 1,000.00 USD	100%
Adult Dewey 200-299 200	La Grange Public Library	$ 1,000.00 USD	Building	$ 0.00 USD	$ 0.00 USD	$ 1,000.00 USD	100%
Adult Dewey 300-329 30020	La Grange Public Library	$ 1,000.00 USD	Building	$ 0.00 USD	$ 0.00 USD	$ 1,000.00 USD	100%

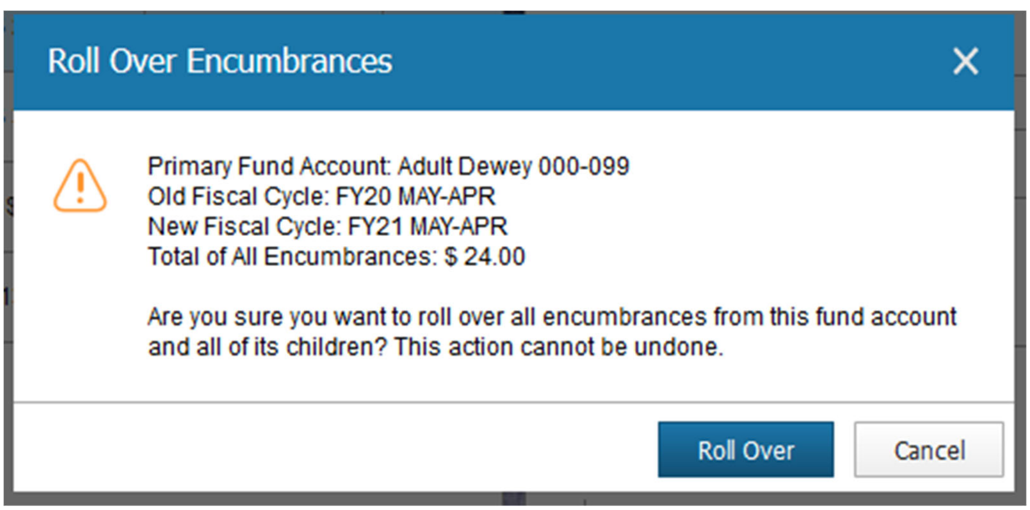
6. **Freeze the Primary Fund Account budget for the old fiscal cycle** (Not Applicable at LGS)
7. **Roll over available funds from old fiscal cycle to new fiscal cycle**.

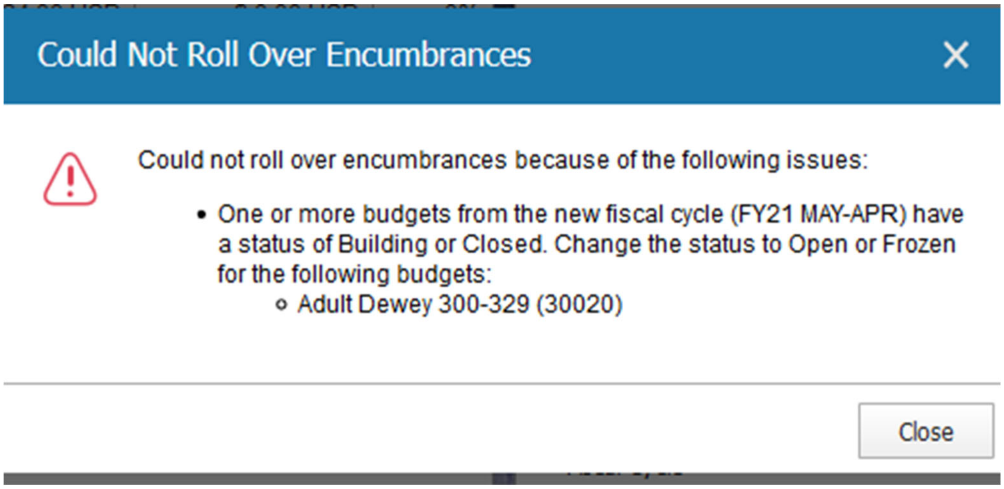




8. **Roll over encumbrances from old fiscal cycle to new fiscal cycle.**



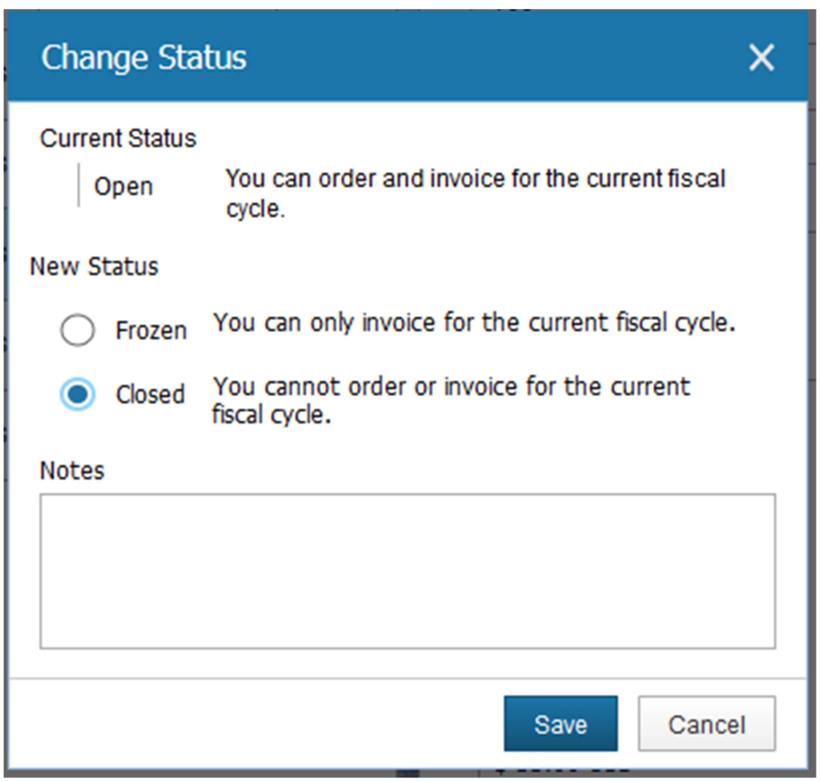




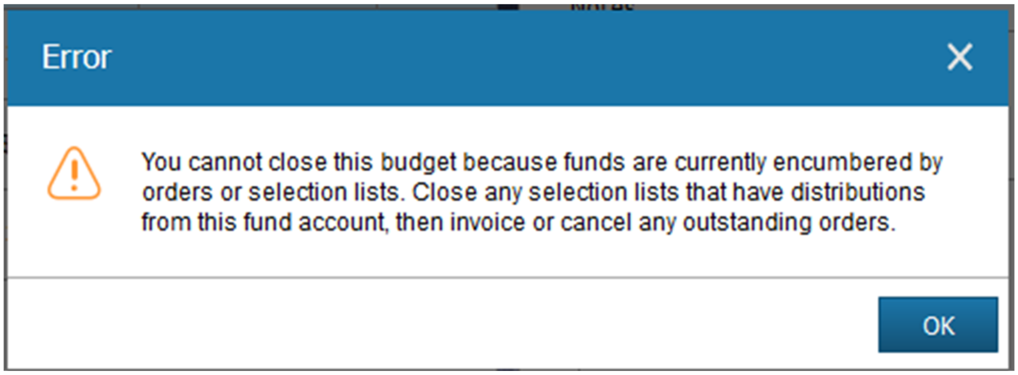
It was easy to Roll Over the encumbrances and funds, but it would be helpful if you could select more than one fund at a time – our library has 51 funds!

9. **Cancel Orders** (Not Applicable for LGS).
10. **Close Primary Fund Account Budget for old fiscal cycle**.

I closed each fund from FY 20 APR-MAY.



I received the following error message for two funds: Adult Dewey 000-999 and Adult Dewey 300-329, probably because I had orders that were still open and/or in Selection Lists.



Verify that the correct amount gets rolled over to the next fiscal cycle after you complete the roll over step(s).

Fund Account	Owner	Budget	Status	Encumbered	Expended	Available	%
Adult CD CD	La Grange Public Library	$ 10,000.00 USD	Building	$ 0.00 USD	$ 0.00 USD	$ 10,000.00 USD	100%
Adult CD BOOK CDBK	La Grange Public Library	$ 10,000.00 USD	Building	$ 0.00 USD	$ 0.00 USD	$ 10,000.00 USD	100%
Adult Dewey 000-099 000	La Grange Public Library	$ 1,976.00 USD	Building	$ 0.00 USD	$ 0.00 USD	$ 1,976.00 USD	100%
Adult Dewey 100-199 100	La Grange Public Library	$ 1,967.00 USD	Building	$ 0.00 USD	$ 0.00 USD	$ 1,967.00 USD	100%
Adult Dewey 200-299 200	La Grange Public Library	$ 2,000.00 USD	Building	$ 0.00 USD	$ 0.00 USD	$ 2,000.00 USD	100%
Adult Dewey 300-329 30020	La Grange Public Library	$ 1,861.00 USD	Building	$ 0.00 USD	$ 0.00 USD	$ 1,861.00 USD	100%

Verify that the Order History for orders that were affected were updated properly
***Note*: The Order History for orders that have a status of Complete or On Order if there are no more items to be invoiced will not be updated.**
I don't think I had any on-order items at this time.

St. Charles Public Library Feedback

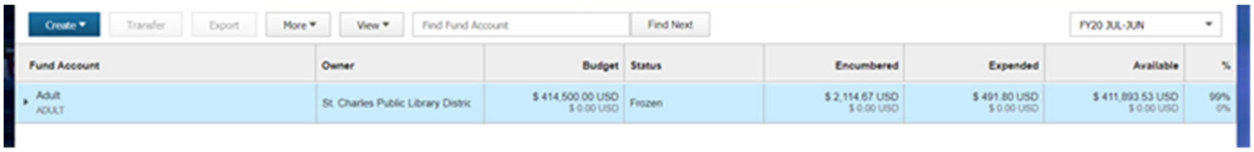
Provide a recap of your experiences and observations.

Just a note, before I started with this week's test I realized that I had received and invoiced everything that I had ordered as part of the pilot so I wouldn't have any outstanding orders during rollover. I didn't think this would be a very good test of the product because that never happens—there are always outstanding orders during rollover. So, I went in and added in a B&T order that we just placed last week. The order loaded in fine, I approved and 'sent' it to the vendor so the items would show on-order. Once this was done, I started in on the worksheet.

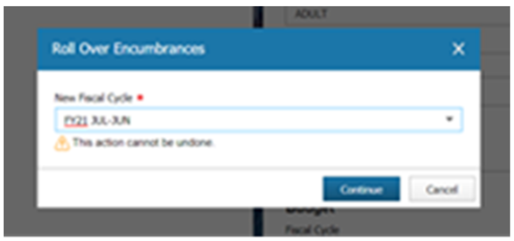
Exercise 1. Use the Year-end Processing document as a guide to process year-end.

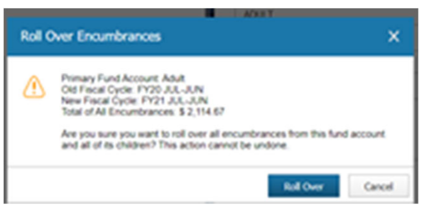
1. A July-June fiscal cycle had already been created for FY 21 so I was able to use that.
2. I created new budgets for the FY 21 fiscal cycle and made them 100% of the budgets from FY 20. Very easy and straightforward.
3. Since the funds all already had budgets, I didn't do this step.

4. Like La Grange, I didn't have access to change the default fiscal cycle of my profile so I couldn't do this part.
5. I did this as part of step 2 & 3. Again, very easy.
6. I froze the FY 20 primary buget with no issues and it froze all the child accounts.
7. We can't rollover funds like this from one year to another, so I did not do this step.
8. From the orders I added, St. Charles has a little over $2,000 in encumbrances:

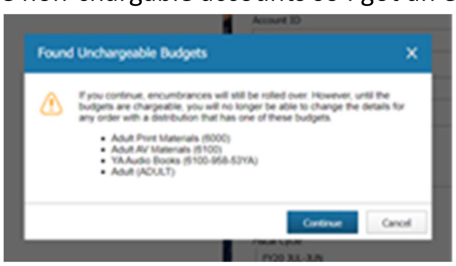


I went through and rolled over our encumbrances:

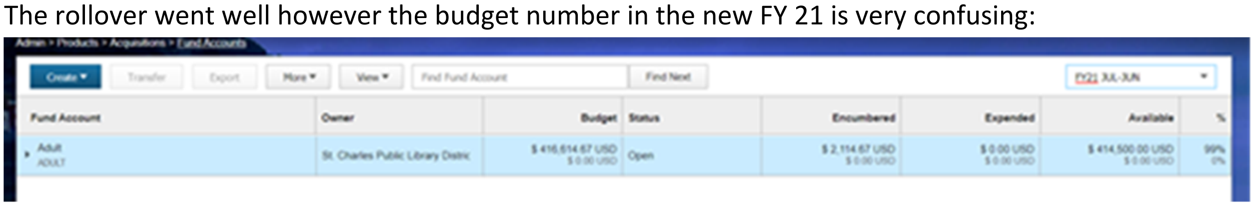




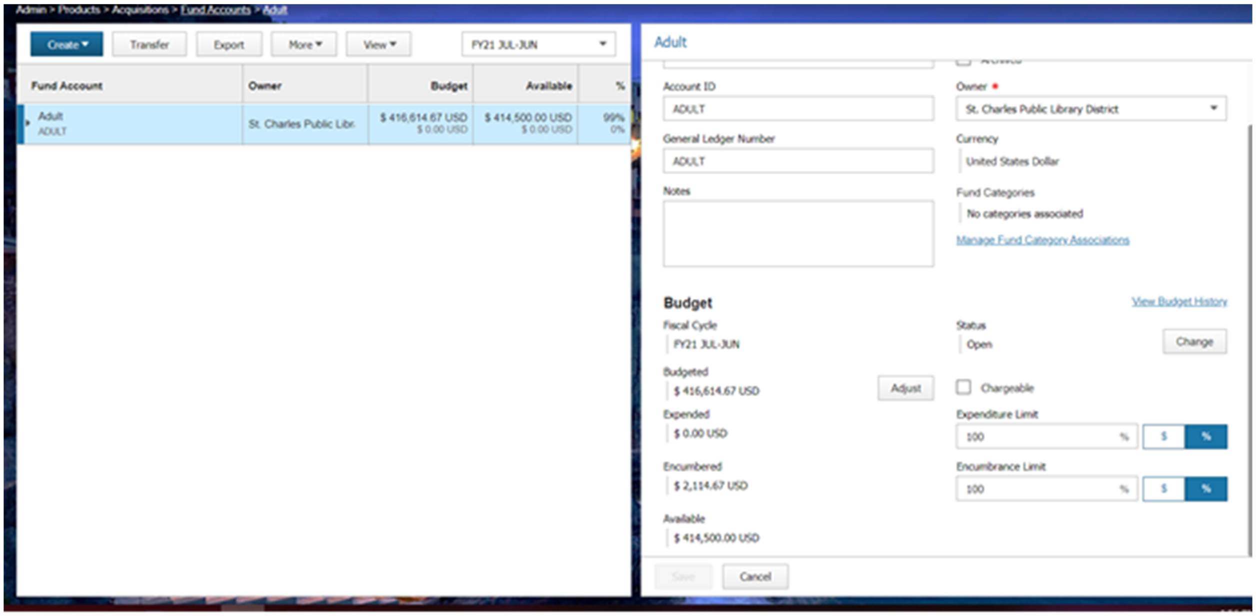
I did set up some non-chargable accounts so I got an error message, which I just ignored:



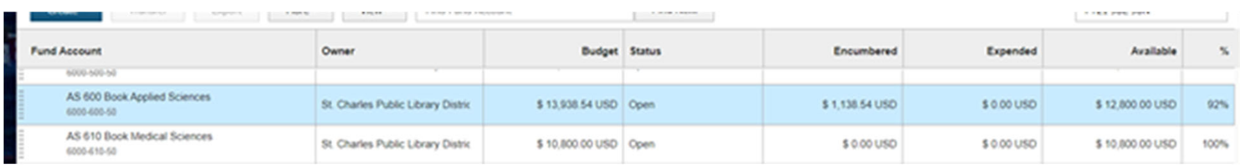
The rollover went well however the budget number in the new FY 21 is very confusing:

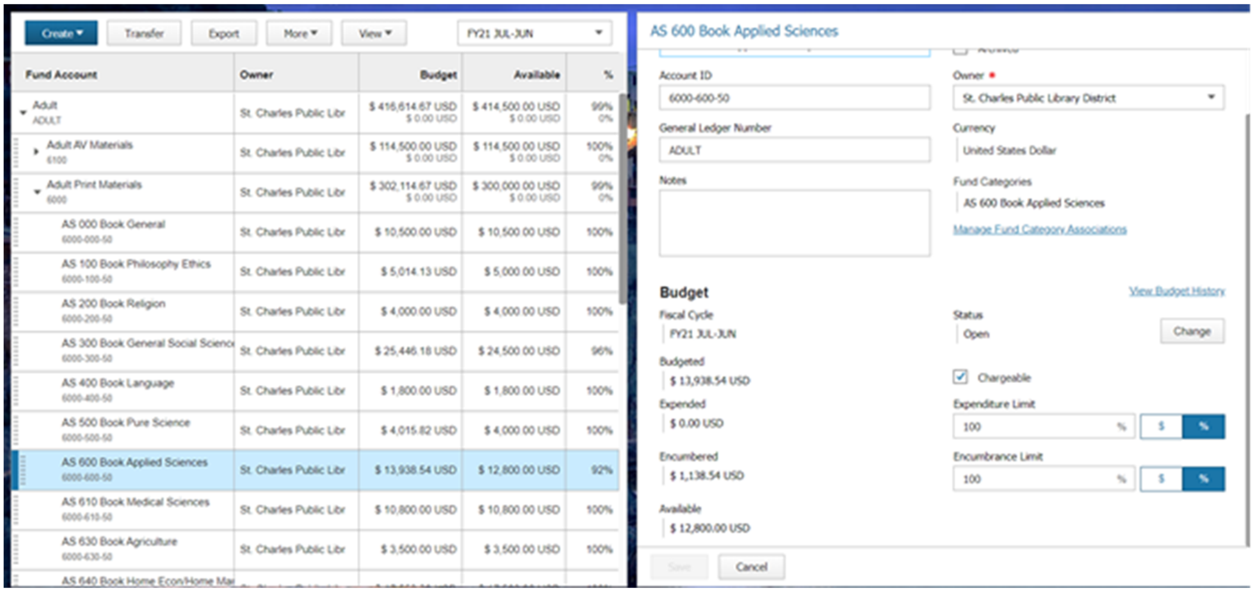


The budget is showing as our beginning budget for the FY ($414,500) with the total for the encumbrances added in which wasn't what I thought was going to happen:



I may have misunderstood the instructions in step 2 & 3 (and it's been a while since I reviewed the webinars) but I thought that we could add budget/monies to the new FY accounts if we knew what the fund amounts would be for the new fiscal. Maybe I was incorrect and I should only have added enough money to cover the encumbrances because the way this rollover happened makes it look like we started the year with a budget that's $2,114.67 over what we were actually given.
It seems even more confusing when you look at one of the accounts individually:





It looks like this account began the year with a budget of $13,938.54, already spent $1,137.54 of that and now have $12,800 left for the year. When this account really started out with $12,800, carried over $1,137.54, and now should only has $11,662.46 for the rest of the year.

At the beginning of the year this could be okay because I can see the available funds and therefore determine what the original starting point for the account was but as the year goes on and things are invoiced against these accounts everything is going to be horribly confusing. I know I can always go in and see the budget history too but that's a little buried within in account. I know at our library, our selectors (if they have the ability to see their own budgets) are just going to look at the quick views first and the quick view is confusing.

Is there a better way I could have set up the new FY accounts so we can prevent this? Should I not have copied the amounts from previous years? I thought that would be the most straightforward way to do things but the way the budget amounts all turned out is not what I wanted at all.

When we roll over encumbrances they are deducted from the new FY budget, not added to the budget. Some of our accounts have thousands of dollars outstanding at the end of each FY—usually accounts for more popular materials, like fiction, large print, and entertainment DVDs, where orders are placed months in advance so we get the materials from vendors before street and patrons can place holds—rolling over everything like this and making it seem like these budgets were drastically increased while still having a lot of money in available funds just won't work. However, I'm not really sure if the problem is with something I could have done differently in setting up the new FY accounts or with the product. If I should have done something different, please let me know.

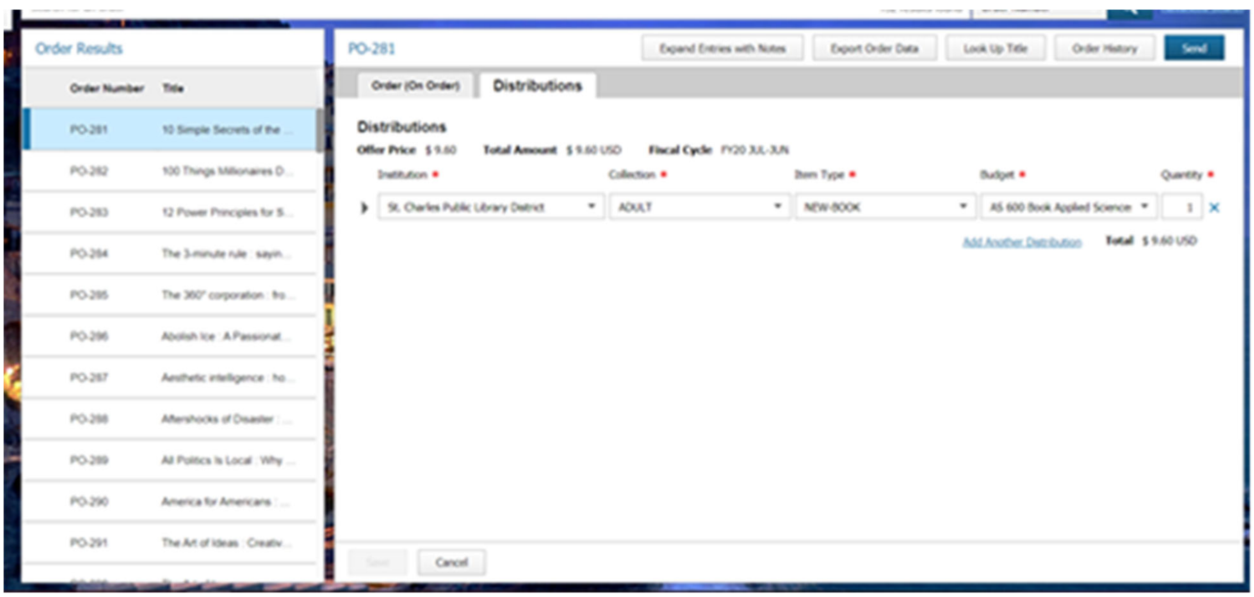
Back to the worksheet...

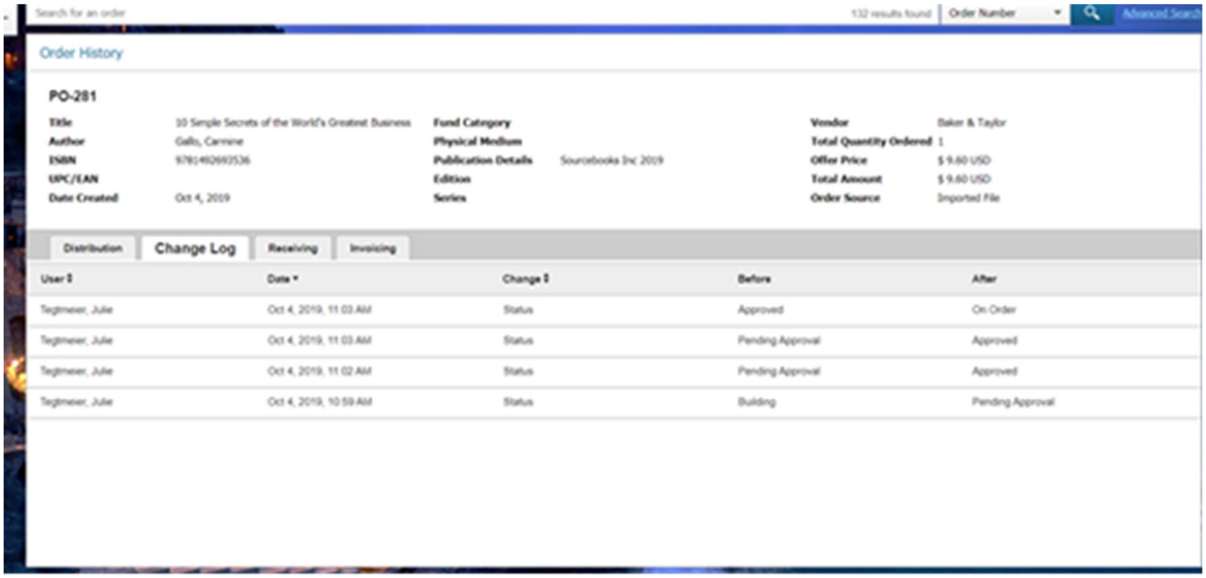
9. We don't cancel orders at the end of the FY so I didn't do this step.
10. I closed the primary account for the FY 20 and all child accounts closed as well.

Exercise 2. Verify that the correct amount gets rolled over to the next fiscal cycle after you complete the roll over step(s): The correct amounts for the encumbrances were rolled over for each account (but, I tried to explain above why they still don't really seem correct)

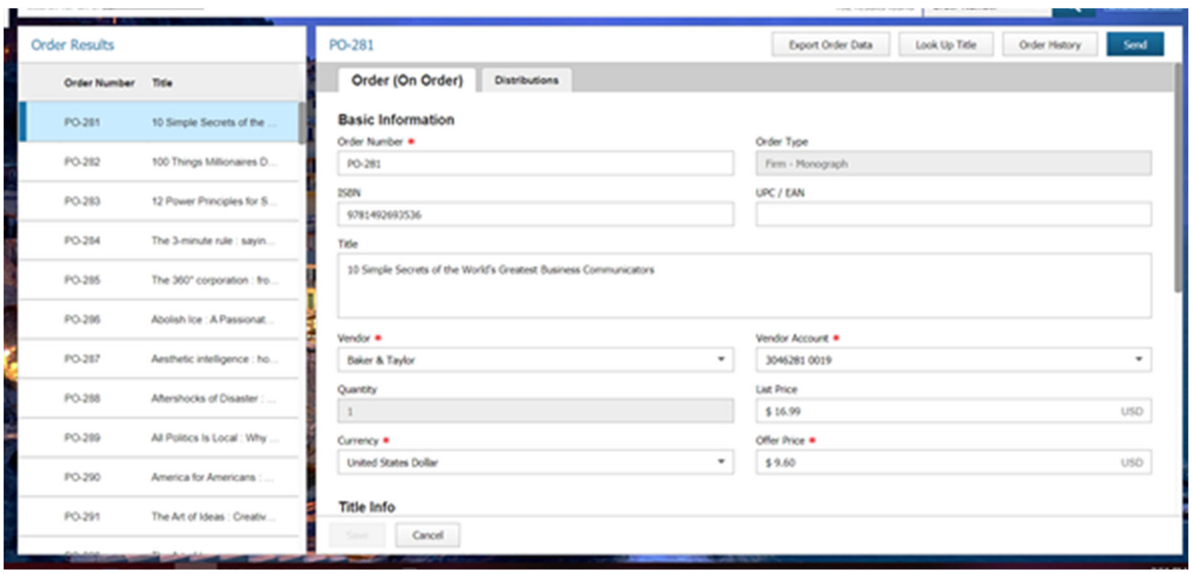
Exercise 3: Verify that the Order History for orders that were affected were updated properly (***Note***: The Order History for orders that have a status of Complete or On Order if there are no more items to be invoiced will not be updated.)

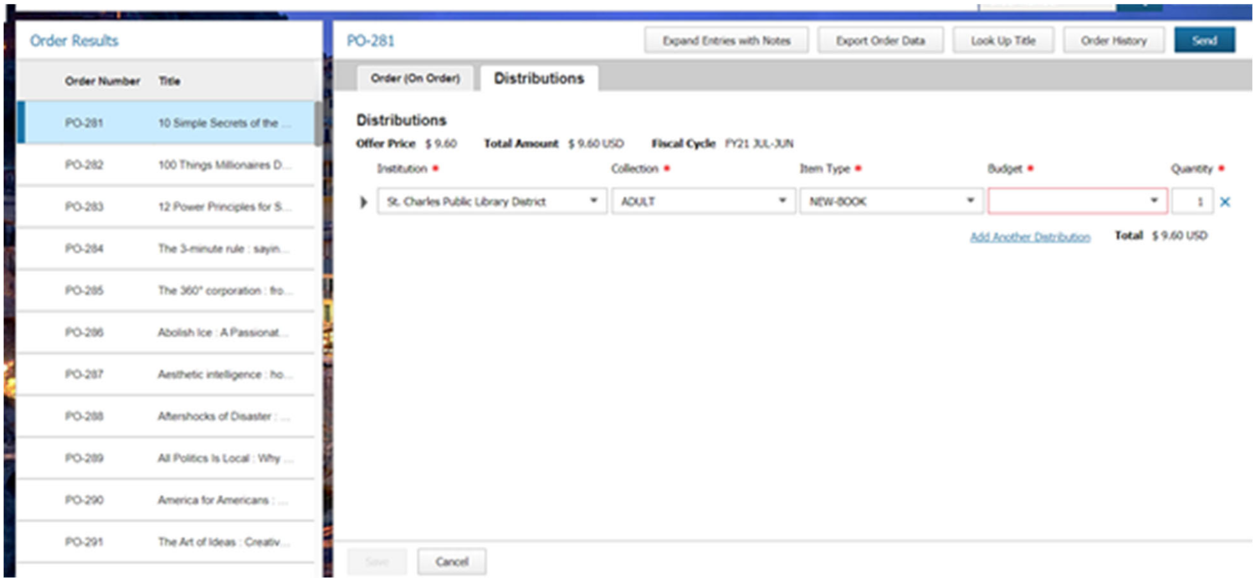
Here was one of our open orders prior to rollover:



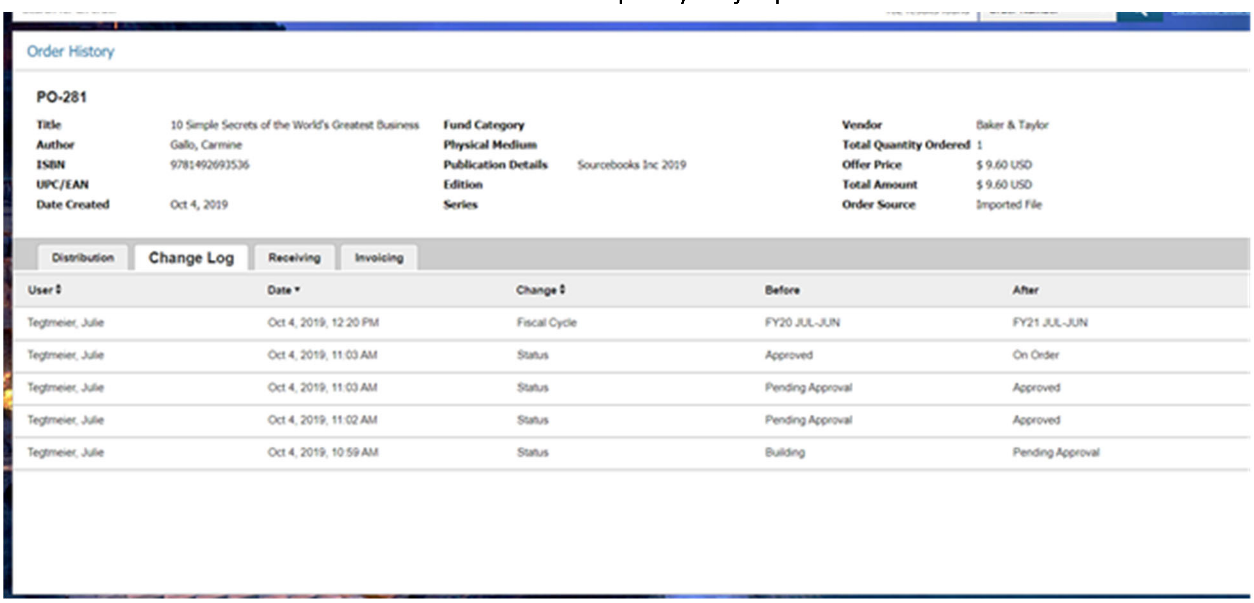


And here's the order after rollover:





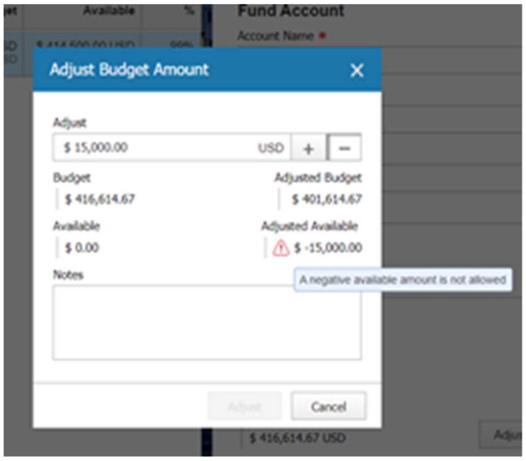
The Fiscal Cycle was updated to FY 21 but the budget disappeared and I don't know why. I checked about 10 of the 100+ orders I loaded prior to rollover none of them had budgets. All of them looked exactly like the example above. Also, none of them had the red error symbol by the PO either (like the error messages displayed during previous exercises) so I had no idea they rolled over without budgets until I clicked the distribution tab. This seems like a pretty major problem.



The Order History looked correct.

Last questions.

After you've set up your new FY budgets, is there a way to reduce money from a budget primary budget without transferring it from each of the individual child accounts? I click the Adjust button by the primary budget and I can't remove money. I get an error message:



The message makes sense, you can't have negative funds when there are no unallocated funds in the account. I only ask because, at my library, we often don't know our exact budget for the new year at the time of rollover. Our final budget numbers need to be approved by our board and sometimes that can take a little while. So we may rollover and put the past year's amount in everyone's accounts so selectors can still be ordering but after the August meeting, we go in and update everyone's numbers to the correct, approved amounts.

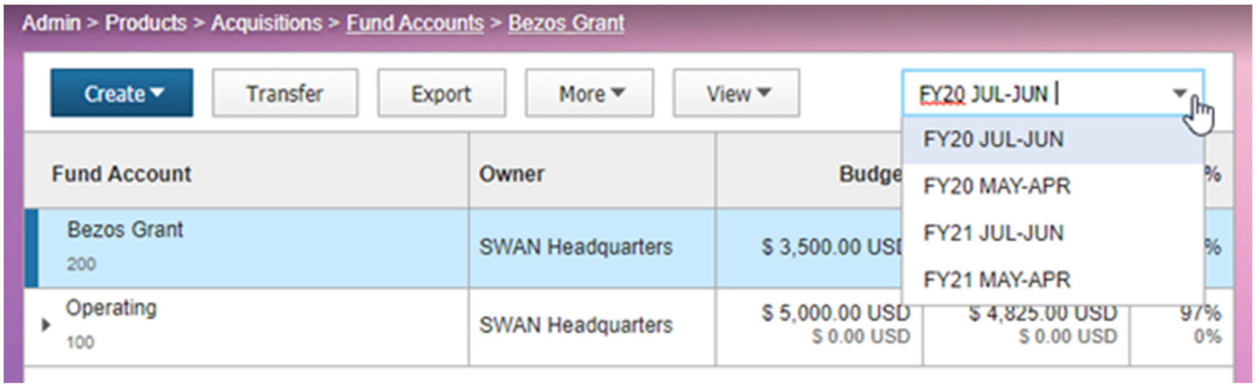
I know I can transfer money away from individual accounts and back to our primary account and then, once I've got some unallocated money in that primary budget, I can use Adjust and delete the funds. I just wondered if it would be possible to just take money out of the account (primary or child) without having to transfer and then adjust. It would be nice to just be able to delete money from a budget without transferring. It just seems like a lot of clicking but maybe there's nothing to be done about that.

One last thought, I was looking at La Grange's feedback for the week and Rebecca mentioned that she wished she could select more than one account at a time to rollover since she has many accounts. I set up 33 of our Adult accounts as part of the pilot and all of mine rolled over at the same time with just a few clicks. Of course, I can't see how Rebecca set hers up but I think rolling over may have been a little easier for me because I set up a primary, non-chargable, Adult account and made all of our individual accounts child accounts of the Adult account and I think Rebecca may have set all of her accounts up as primary accounts. I thought it might be helpful in the training documentation to give the ease of rolling over as a pro for creating primary and child accounts vs. just having primary accounts. When the primary and child accounts were explained and we're setting everything up, it seemed like a lot more work to set up primary and child accounts instead of just making every account a primary one. However, I found that there were a lot of benefits to setting up and managing our accounts this way once I started working with the product. I think if some of these potentially 'hidden' pros of primary vs. child accounts were explained at the beginning it might save libraries some headaches down the road. Just a thought.

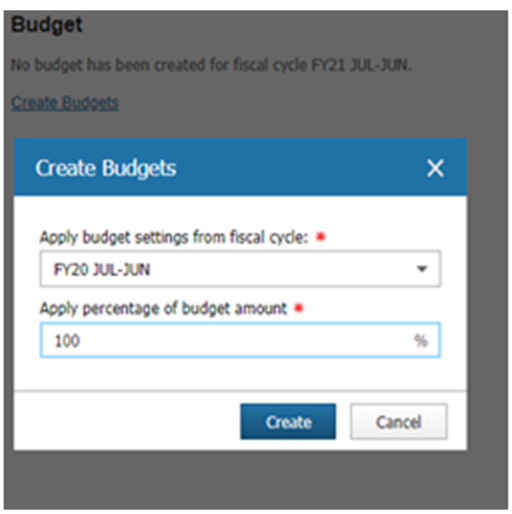
SWAN Headquarters Feedback

Provide a recap of your experiences and observations.

I was able to create a new fiscal cycle without issues. During this pilot, we are constantly evaluating permissions and how BLUEcloud Acquisitions should function in a live environment. For the purposes of the pilot, we have allowed the participating libraries to create their own fiscal cycles and modify their own Acquisitions profiles, but it may make sense for this to change in a consortium setting. Most of our libraries are on the same three fiscal cycles, so it makes sense to have three fiscal cycle policies rather than multiple for each library. Just a note for the consortium admin staff and for SWAN moving forward.



Creating budgets for the new fiscal cycle was simple, though I erroneously selected the wrong fiscal cycle at first, thinking I was selecting the new fiscal cycle rather than the one I was copying budget settings *from*. This was clear once I read the error message, and I corrected my mistake.



Rolling over funds and encumbrances was simple and very fast. Although, I agree that it would be nice to select more than one fund at a time. We might want to look at establishing a different fund structure with libraries so that there is only one primary fund.

Changing the status of the primary fund to closed was also simple.
All in all, I feel that that rollover is even simpler than in Symphony.

Security & Consortia Support

Feedback Date: October 14, 2019
Feedback Topic: Security & Consortia Support (7-11 October 2019)
Provided by: La Grange Public Library, St. Charles Public Library, SWAN Headquarters (testing within SWAN Consortium)

Outline of Tasks:

- Report testing results relative to security and consortia support

Pre-qualifiers

- All pilot exercises should be complete

Questions

1. What features are critical for you to use this in a live environment?
2. If you were helping another library that is new to acquisitions use BLUEcloud Acquisitions, what do you see as the pluses and minuses to this product?
3. Can you see using this in conjunction with Symphony WorkFlows for one vendor or fund? If so, what missing features are critical in order to get this started?

La Grange Public Library Feedback

Rebecca Bartlett

What features are critical for you to use this in a live environment?
The most critical features for LGS are the manual invoicing and the X12/EDI invoicing, and BC Acquisitions doesn't offer those yet. BC Acquisitions seems like it was designed for larger academic libraries, and it would be a change to make our selectors use Selection Lists.

If you were helping another library that is new to acquisitions use BLUEcloud Acquisitions, what do you see as the pluses and minuses to this product?
It would be helpful to have a written manual for BC Acquisitions. I think that BC Acquisitions would be easier to teach to a new staffer than WorkFlows Acquisitions. I would like to have a conversation with Mike Hilmo about the difference between WorkFlows Holding Codes and BC Acquisitions Fund Accounts and Fund IDs, because this will affect our Grid Codes with Baker & Taylor and Funds with Midwest Tape.
Pluses:

- BC Acquisitions is on the cloud and you can access it anywhere, which is helpful for training.
- You can run reports from the website, you don't have to log in to BC Analytics separately.
- Keyword searching is better than in WorkFlows.

- The grouping of Fund Accounts into Fund Categories. At LGS, each selector is assigned a Fund Level number in WorkFlows. I prefer BC Acquisitions, where each Fund Account can be assigned multiple Fund Categories (such as Adult Print, or the selector's name). I also like adding the library's fund ID to the General Ledger number for statistics.
- The Order History is a great way to track if a title has been invoiced and paid. In WorkFlows, we often have confusion when bibliographic records are merged, where the order has gone!
- Minuses:
- Purchase orders (POs) should be grouped by shipment or order as they are in WorkFlows. Currently, each title is on its own PO.
- Orders and Selection Lists should not be locked out once you select a Closed status – you should be able to bring these back if you make a mistake.
- The Outstanding Orders report should allow you to select a date range, instead of a drop-down starting with one month prior.
- This may have just been related to permissions, but I experienced error messages when trying to delete or change the status of Selection Lists.
- Title searches are problematic, and I usually reverted to Purchase Order (PO) number searches. I can't imagine in a live environment that I would remember the PO numbers of individual titles.
- The focus on Selection Lists. The Selection Lists module functions so poorly in WorkFlows that library staff may be hesitant to give it a try in BC Acquisitions.
- Using the Invoice Test File Utility is a clunky process.

Can you see using this in conjunction with Symphony WorkFlows for one vendor or fund?
I would only use BC Acquisitions in its current state for our two EDI vendors – Baker & Taylor and Midwest Tape. I create manual invoices for all other vendors. In 2016, when BC Acquisitions was first in development, I was interested in the "promise" that we would have seamless integration with our vendors on the cloud – ordering, receiving, invoicing, claiming. There is so much complexity in WorkFlows with FTP transfer of orders and invoices back and forth with vendors, I was hoping BC Acquisitions would streamline that process.

If so, what missing features are critical in order to get this started?

- Create manual invoices.
- Import EDI invoices from Baker & Taylor and Midwest Tape (and any other EDI vendors).
- Roll over ALL encumbrances, orders, vendors funds at the same time. Currently in BC Acq you have to roll over each fund separately – this would take time for our 51 funds.

St. Charles Public Library Feedback

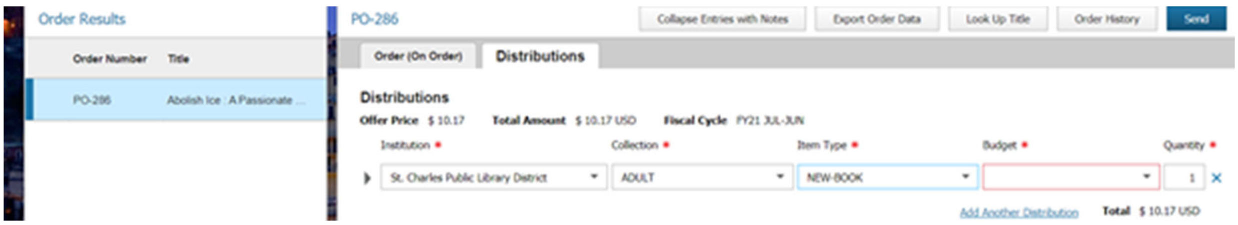
<u>What features are critical for you to use this in a live environment?</u>

- Invoicing. Just like La Grange, EDI invoicing is a must for us to seriously consider using this product for our major vendors. However, at the beginning of this pilot we were very interested in using BC Acquisitions for our direct orders, but we can't do that without the ability to manually create invoices. Without the ability to invoice anything, we really don't see the point in even trying to use this product at all.

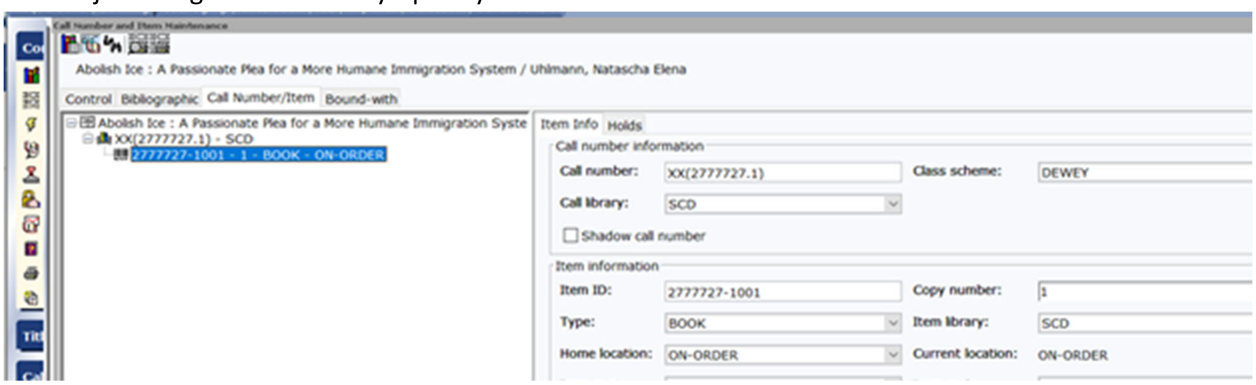
However, if invoicing in any capacity were available, I would still be hesitant to use this product in a live environment because of the following:

- On-Order Items: The on-order items created in Symphony when we approve orders need to use the item types assigned in BC Acquisitions. All the items created in Symphony for our orders had the item type BOOK instead of NEW-BOOK or BOOK_NEW that BC Acq. had. This will cause holds issues if we were to use this in a live environment.

This book is supposed to have a new item type per BC Acq:



But it's just a regular BOOK in Symphony:



In addition to hold issues, this will cause patron/staff confusion if we were to order AV materials, but they got BOOK as their item type.

Also, these on-order items were created for all orders, including replacements and added copies. This alone wasn't the best and isn't something that happens in Symphony Acquisitions, but it could be something that we get used to if the on-order items properly attached to our established call numbers. For the orders placed during the pilot that were replacements/added copies, we had a correct St. Charles call number with copies attached and then an auto-generated call number with the on-order item attached. This will cause staff/patron confusion when they see this in Enterprise. Also, this will create more work for Technical Services staff during cataloging and processing because received items will need to be transferred to the correct call number and the unnecessary on-order item will need to be deleted/discarded depending on if holds got attached to it. This creates more work for everyone when ordering replacements and added copies are normally the easiest thing to work on because everything is already done—they're already cataloged and have been assigned a call number, we just need to double check things and send them out.

- Rollover. The fact that all open orders lost their budgets when we rolled over is a major issue. As I said in my rollover feedback, I don't know if this was something that I did incorrectly because Rebecca didn't mention having this issue, but this was a big concern of ours.

- Receiving. The call number issues that came up during the receiving process would be an issue. I mentioned above the issues with replacements and added copies, but I also had issues with new items to our collection. The on-order item was created using an auto-generated call number—this process was fine and is already something we do in Symphony Acquisitions so this wouldn't be a huge change for staff/patrons looking at on-order materials in Enterprise. However, when items were received, I had a few items that attached to the auto-gen call number just fine but most of the orders I had pulled call number information from the bib record. So when I looked in Symphony (and what patrons would see in Enterprise) was an auto-generated call number for the on-order item and then a second call number that was sometimes the 082, sometimes the 050, and sometimes a mix of the two with our received item attached to it. For the added copies, I had an instance with three call numbers: the correct St. Charles call number, the auto-generated call number for the on-order, and a third call number with the 082 from the record without the cutter. This kind of thing is confusing for desk staff and patrons but would also create more work for Technical Services staff with having to transfer items we aren't used to having to transfer, making sure that on-order items are being correctly deleted/discarded, and (potentially) editing call numbers during the receiving process to make sure things get attached correctly or prevent weird call numbers from getting into the system. Using the Acquisitions module is supposed to be a way to save staff time and this just adds a level of unnecessary level item maintenance to our work.

- Profiles & Configuration. I don't know if this is really an issue of the product or how we are configured but I do think it's an issue what neither Rebecca or I were able to change our Fiscal Cycle in our profiles. It also seemed odd to me that we both created Fund Categories for our libraries but could only see the ones that SWAN created when we actually got into creating and placing orders. It's moments like that that really make it clear this product seemed to be developed for consortia and other environments with centralized ordering. I'm a little concerned about the level of autonomy individual SWAN libraries would have in this environment. It seemed at times like we were set up as branches of SWAN instead of independent libraries in the SWAN consortia.

<u>If you were helping another library that is new to acquisitions use BLUEcloud Acquisitions, what do you see as the pluses and minuses to this product?</u>

- Pluses:
    - The whole product is very intuitive and easy to get the hang of. Even having watched the webinars weeks prior to working on the activities, it was easy to figure things out. I could see this being a really easy product to train someone new on.
    - The reports offered were very interesting and helpful.
    - Like Rebecca said, I thought the order history is a really nice feature.
    - I really like the way we can set up fund hierarchies—it's a really clean way to keep things organized. It was really easy to rollover. I really really loved that feature.

    - We didn't really get a chance to test this, but will users set up as selectors be able to see the funds? I know I wasn't able to see the fund accounts at first because of how I was configured by SWAN. Some of our selectors use Symphony Acquisitions to help monitor their accounts and I just wasn't sure if they would be able to use BC Acquisitions in the same way.

- Minuses:
  - Aside from what I already mentioned, I never really got the hang of how segmented the product was. I understand it can't be as sophisticated as Symphony's tab system, but it really felt like a lot of clicking at times to move from one feature to another.
  - The distribution information in BC Acq. is not nearly as deep as the holding codes that Symphony has. Only being able to add the location and item type would be a real issue. Our holding codes have all of our item information loaded into them and having to scale that back to only including two fields would be a big adjustment.
  - The single POs for every order are ridiculous. Also, searching for orders was a pain—I want to do an advanced search every time I wanted to see all of my open orders.
  - The Selection Lists seem nice and if your library already uses Selection in Symphony it might be helpful, but I really didn't see the point in it. It seems like a lot of work for not that much payoff (I mean, the pennies you might save choosing one vendor over another will still be 'lost' because of the staff time a library will spend on having someone maintain these lists).
  - The Invoice Utility never ended up working for me. Our IT department worked on it for two days and they never got it to work so Sam at SWAN had to create my 'invoice' for me to complete the invoicing exercise. I don't understand why we have to use an outside utility to create an invoice.

<u>Can you see using this in conjunction with Symphony WorkFlows for one vendor or fund? If so, what missing features are critical in order to get this started?</u>

No. As I mentioned, we were very interested in using BC Acquisitions for our direct orders at the beginning of this pilot (because we knew EDI invoicing wasn't ready). Without the option to create invoices of any kind, we can't really use this product for anything, and I really don't see the point in it. It's a very nice product with a great interface that doesn't work for us yet.

In thinking about other libraries, I don't really see the point in encouraging any of them to use this product in its current state either. At one point, someone mentioned having other SWAN libraries maybe use this product to easily load in on-order items, but I wonder if that could more easily be done using a Bib Load Report in Symphony. It seems like it would be a lot of work for libraries to go through the whole process of creating and approving orders just to get on-order items created. I supposed they could also receive them in this product but, once they've done all that, they would just have a bunch of un-invoiced orders that would live on forever. I just don't see the benefit of introducing a new product to their workflow that doesn't allow you to fully complete the ordering process.

SWAN Headquarters Feedback

Samantha Dietel

Throughout this pilot, one of my main focuses from the SWAN perspective has been to ensure that all library staff access needs are met while maintaining the cleanest database as possible. For the purposes of the pilot, we gave the two participating libraries permissions to modify their own Acquisitions Profiles, fiscal cycles, and fund categories. We discovered that some of these permissions are integral for BLUEcloud Acquisitions to function properly. For example, we discovered through trial and error that Selector Limits must be set while logged in using the Acquisitions Profile that will be selecting. Simply setting them at the SWAN consortium level did not suffice. For this reason, it seems that BLUEcloud logins for Acquisitions must be given more permissions than their Symphony login counterparts.

Some of these permissions, though, may require more thought. There are four fiscal cycles used by SWAN acquisitions libraries, so we'd like to keep fiscal cycle policies maintained by SWAN staff. Another area that will need more testing and evaluation is fund categories. One library loved the ability to create and modify their own fund categories, naming them by selector. We like accommodating this functionality but need to determine how policies can be removed/renamed in the future, e.g., when a selector leaves the library.

Echoing what the participating libraries have said, there are some key features missing that would be needed in order for SWAN libraries to move to BLUEcloud Acquisitions. The standouts for me are the ability to cancel orders, create manual invoices, and EDI. If these features were developed, there would be largescale interest from our libraries. The appeal of an interface where acquisitions date exists outside of the Symphony ILS is great, so we are excited for the future and encouraged by the work reflected thus far. The seamless integration with MARC order loading is particularly exciting. Overall, this is a great product and with some added features could be an asset to our consortium.