



**Policy:** 235

**Subject:** ORDERING - APPROVAL PLANS

**Approved by:** LMaC

**Contact:** Coordinator, Collections Management, **Approved:** March 25, 2010

**Prepared by:** J. Horner, V. Ward

---

## Policy

The University of Manitoba Libraries are committed to using approval plans in order to assist librarians with monograph collection development and to acquire a significant portion of the monograph collection in an efficient and timely manner.

In developing an approval plan, libraries work with vendors to set up profiles defining subject areas the library wishes to acquire. In addition to subject areas, price, format, publishers and other non-subject parameters are taken into consideration to develop an approval plan profile. The vendor automatically ships books on a regular basis. Generally the material shipped is under regular review by subject librarians and the profiles can be modified at any time if the collection development strategies are not being fulfilled by the plan.

The benefits of using approval plans include saving staff time spent on selection and processing, providing more consistent expenditure of funds and ensuring a steady delivery of materials to the library during staff absences or temporary position vacancies.

## Procedures

The UM Libraries has two categories of approval plans: unit specific plans and a General, cross-unit plan. Normally books received on the Libraries' general plan and most of the unit specific plans are not returnable unless damaged or defective (e.g. missing pages). Most approval books are first sent directly of OCLC Canada for cataloguing and some shelf-ready treatment before arriving in the Libraries.

### Unit Specific Approval Plan

To set up a unit specific approval plan, the unit head or liaison librarian must:

1. identify the portion of the monograph budget to be allocated to the approval plan.

2. correspond with the approval plan vendor to establish subject and non-subject parameters for the plan profile. The vendor must be made aware of the budget allocation for the plan so that books will be shipped to fulfill not only the subject profile of the plan but also the budget restrictions. Electronic slip notification if desired, for titles not shipped on the plan, may also be set up during this discussion with the vendor.
3. contact the Financial Officer, Technical Services in order to determine if a new fund ID should be set up for the plan. If needed, the Financial Officer will set up the fund ID in Workflows.
4. contact the Supervisor, Acquisitions who will coordinate shipping information, OCLC requirements, file downloads, and invoicing options with the vendor. The Supervisor will facilitate and coordinate userid and password access for additional staff members in the unit who require access to the vendor database. Once unit heads have determined allocations at the beginning of each fiscal year, the Supervisor will contact the vendors to advise them of the annual budget for the plan.
5. review, on a regular basis, the titles arriving on the plan to determine if the content of the material shipped is suitable. Correspond with the vendor to modify the subject or non-subject parameters of the plan if the books shipped are unsuitable.
6. review, on a regular basis, the fund expenditures and/or the declining cash balance on the fund ID for the plan to determine if too many or too few books are being shipped during the fiscal year. Correspond with the vendor to modify the plan if expenditures on the plan are unsuitable.

### **General Cross-Unit Approval Plan**

The UM Libraries' general approval plan is set up with YBP Library Services and is managed within the Libraries by Collections Management. The general approval plan is a collection of profiles covering a range of subject areas within the broad collection development strategies of UM Libraries.

#### **Profiles:**

- New profiles may be added to the general plan at the discretion of the Associate Director, Collections, and on the basis of a projected estimate supplied by the vendor.
- Profiles may be dropped from the general plan at the discretion of the Associate Director, Collections or the Collections Management Coordinator, however funds associated with the profile remain as central funds to be re-allocated by the Associate Director, Collections in the best interests of the of the Libraries overall.
- It is the responsibility of the unit head or liaison librarian assigned to a subject discipline to review material arriving on the profile within the general plan. Profiles

may be modified or adjusted if unsuitable content or quantity of material is arriving. To request an adjustment to the plan, the unit head or liaison librarian should contact the Coordinator, Collection Management who will correspond with the vendor concerning the adjustments.

**Fund IDs:**

- Fund IDs for the plan are determined by the Associate Director, Collections and they fall within the GE category of Workflows.
- The Associate Director, Collections determines, at the beginning of each fiscal year, the budget allocation to be assigned to the plan. If the profiles of the plan have not been significantly modified, budget increases from year to year represent inflationary increases.
- The fund IDs provide expenditure reporting by broad location categories at UML. In addition, the vendor website, GOBI, provides more detailed reports including expenditures by profiled subject disciplines within the plan.

**GOBI:**

- Many details concerning the plan profiles, approval title costs / shipments, book reviews, peer activity and approval plan reports are available on the YBP online database called GOBI.
- Any UML library staff member with approval plan or order-related responsibilities is eligible to have access to the database.
- Access to the database is userid / password protected.

**Userid / password access to GOBI:**

- Unit heads, liaison librarians or any library staff member with approval plan or order-related responsibilities should contact the Supervisor, Acquisitions, Technical Services to receive a userid and password for access to GOBI.

**E-slip notification:**

- Unit heads and liaison librarians who are interested in receiving e-slip notification for titles related to an approval profile, but not coming on approval, may set up a notification program and schedule by using the information provided in the GOBI database.

**Shipping, OCLC, file downloads, invoicing:**

- Various technical details concerning the plan such as shipping information, OCLC requirements, file downloads and invoicing options will be coordinated by the Supervisor, Acquisitions, Technical Services.

**Temporary suspension of shipments:**

- Any decision to suspend shipments on the plan will be made by the Associate Director, Collections and such decisions are typically based on unpredictable budget constraints.
- If shipments on the plan are suspended early in a fiscal year, in consultation with the Associate Director, Collections, the Supervisor, Acquisitions, Technical Services will correspond with YBP to provide information on cessation dates and subsequent start-up dates.