

# OFFICE OF THE CITY AUDITOR

## Audit Report

Stockton City Council

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**Performance Audit:**

**Stockton San Joaquin County  
Public Library – Materials Cataloging**



**City Auditor**

F. Michael Taylor

November 2008

## Background - Cataloging

- Library system includes 5 Stockton branches
- Branches in 8 other locations, plus bookmobile
- Cataloging process includes receiving, classifying, and processing of library materials before public circulation
- Records are maintained in the SIRSI computer system
- Library management asked City Auditor to include Library in audit plan, with the cataloging process identified as an area of interest

## Audit Objectives - Cataloging

- Are there adequate controls in place to assure all library materials purchased by or donated to the Library are cataloged, processed, and reach Library branch shelves?
- Is the Library able to adequately monitor the performance of the cataloging process and know the status of library materials at any point in time?
- Are there sufficient resources available and utilized to ensure all library materials are being cataloged within a four month time frame?
- Are library materials in the cataloging process accessible to library patrons through the Library's computer system?

## Audit Scope - Cataloging

- Procedures designed and operating as of July 10, 2007
- Transactions and other activities from July 1, 2006 to March 31, 2008

## Audit Methodology - Cataloging

### Auditing:

- Reviewed Stockton Municipal Code, City policy documents, and SIRSI Contract to understand process and identify criteria
- Interviewed Library staff and management to document process, identify concerns, and develop objectives
- Observed cataloging process
- Tested controls and processes for adequacy
- Surveyed Austin, Texas' Library - uses SIRSI to track cataloging performance

## Methodology - Government Auditing Standards

We conducted our audit in accordance with Generally Accepted Government Auditing Standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions.

Note: This statement is required by Government Auditing Standards, section 8.30.

## Overall Results - Cataloging

Based on the results of our audit, we conclude:

- Controls are inadequate to assure all newly acquired materials are processed and delivered to branch shelves.
- Library does not adequately monitor the process to obtain the status of materials in process at any point in time.
- Sufficient resources are not available and utilized to ensure all library materials are being cataloged within a four month time frame.
- Library materials in the cataloging process are accessible to library patrons through the Library's computer system.

## Finding – Performance Measurement System Needed

### Condition:

Library Services does not have a system in place to produce accurate, useful, and timely information needed to measure performance against management's goal of cataloging library materials within four months of receipt.

### Management Action Plan:

- Document processing required for each type of material including time-frame.
- Research similar size libraries for best practices to establish standard processing time.
- Determine which types of materials can't be obtained shelf ready.
- Implement best processing practices.
- Work and contract with existing Library materials vendors for quality shelf-ready, drop-shipped material.
- Set-up receiving record system for drop-shipped material and other material.

**Target date: June 30, 2009**

## Finding – Better controls needed over materials throughout cataloging process

### Condition:

- The Library's use of the computerized system (SIRSI) for library materials does not provide information needed to determine if all ordered and paid items have been received, processed, and distributed to the designated library branch.
- Record usage is inflated due to uncollectible fines associated with materials no longer in circulation. These records can not be purged as long as a fine remains in the system.

### Management Action Plan:

- Set up appointment with SIRSI to analyze training needs.
- Train staff in SIRSI Acquisitions and Reports.
- Investigate how other SIRSI libraries track and process received items.
- Upgrade to later version of SIRSI (Symphony) to take full advantage of system capabilities.
- See Finding #314-06 Management Action Plan for write-offs.

**Target Date: June 30, 2009**

## Finding – Efficiency and accuracy of statistical reports can be improved

### Condition:

- Manual reports are prepared on items received and items processed, rather than generated from the SIRSI system.
- The total number of items waiting to be cataloged at any point in time is unknown.

### Management Action Plan:

- Train staff in SIRSI Reports.
- Explore reporting capabilities of SIRSI system.
- Determine which manual reports can be automated.

**Target Date: June 30, 2009**

## Other Comments

- Auditing will include findings in quarterly and annual follow-up process.
- Additional observations and suggestions were provided to Library management in a separate memorandum.

**We appreciate the interest and cooperation of  
Library staff throughout our audit.**

Audit Team:

Nancy Xiong, Deputy City Auditor  
Frank DeMattos, Senior Deputy City Auditor  
F. Michael Taylor, City Auditor