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Maine Shared Collections Strategy's Interim Performance Report Year 1

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Maine Shared Collections Strategy's Interim Performance Report

Project Goals

1. To develop a strategy for a state-wide, multi type library program for managing, storing and preserving print collections among public and private institutions to achieve greater efficiencies and extend the power of every dollar invested in collections and library facilities.
2. To expand access to existing digital book collections by developing print-on-demand (POD) and e-book-on-demand (EOD) services to support long-term management of a shared print collection, and the integration of digital resources with print collections.
3. To formalize organizational agreements, establish a budget, and develop policies essential for the maintenance of shared print and digital collections, access to them, and responsibility for sharing them.

To realize these goals the following activities have been undertaken:

Collection and use analysis of print collection

OCCL reclamation

Although not part of the original project plan, it quickly became clear that in order to accurately compare holding and circulation data among the partners and to WorldCat that an OCLC reclamation project was needed. Seven of the eight partner libraries were required to send monograph and serial records at a minimum, for reclamation; some libraries elected to send records for additional formats not covered as part of the grant. Portland Public Library had completed a reclamation in 2009 and has continued to maintain its holdings, so it was exempt from this requirement.

OCLC was contacted in late September 2011 with preliminary reclamation inquiries, and a reclamation order for URSUS libraries (including four participating grant libraries as well as others not part of the grant) was submitted November 17, 2011. 2,080,299 monographic records and 20,000 serial records were sent November 25 – 28, 2011. The records were run by OCLC on December 24 – 28, 2011. The live scan/delete process for all URSUS schools was run between March 12 and 16, 2012.

Colby, Bates, and Bowdoin (CBB) completed the reclamation individually. By March 20, 2012, processes were completed for Bates and Colby. Bowdoin did not have their live scan/delete run until March 30th, which may have been after the start of the WorldCat Collection Analysis (WCA) scan. Combined, the three sent roughly 1,748,483 records.

As expected, the reclamation project exposed problems in the local catalogs; for example, records with no 001 fields, ISSN in the 001, etc. The process of identifying which records should be included was quite involved. Discussions included formats, record types, trying to identify ways to grab 'legitimate' records with no 001s vs. brief records, e-books, etc. System issues with the shared URSUS system required the export of checkin record information get the local library location. The solution required exporting serials records multiple times, once for each accounting unit.

The reclamation process involved evaluating records returned as 'unresolved', i.e. unmatched, by OCLC. Bowdoin had a high percentage of records that should have matched existing OCLC records that came back as unresolved. OCLC determined that it was an error on their end due to high volume traffic at the time their records were run. OCLC re-ran the records and corrected the problem.

Reloading matching records from the reclamation into the local systems brought to light what has now been labeled a bug in the ILS software. The MARC record leader is sometimes altered in unacceptable ways during the reload. Unfortunately, we have been unable to consistently reproduce the problem, so it has been difficult for Innovative Interfaces, Inc. (Illi), our ILS vendor, to address it. They provided a workaround involving loading and reloading records with separate load tables, which, while tedious, does work. OCLC was not always as responsive

and timely in processing records as we would have hoped. However, when they eventually addressed our issues they were very helpful.

Though a more involved process than originally thought, the reclamation work facilitated the use of a collection analysis system and cleaned up libraries' records.

WorldCat Knowledge Base

In February and March 2012 the Technical Services Subcommittee explored the WorldCat Knowledge Base as an alternative to loading records for owned or licensed e-resources. After much investigation and a question & answer session with OCLC project managers, it was decided that the Knowledge Base was not a viable tool for this project.

WorldCat Collection Analysis (WCA)

After researching existing collection analysis products, taking stock of the current environment, and contemplating the uncertainty of future development resources, the Project Team decided not to develop a local collection analysis system. In November 2011 a group subscription to OCLC's WorldCat Collection Analysis (WCA) was chosen as an initial solution. The Project Team also began discussions with OCLC regarding the development of a new analytics product. We have sent them detailed information regarding the data we would want to upload into the system, the data we would want to export, and examples of reports integral to a complete collection analysis for our purposes.

Because of limitations of the existing WCA product and the discovered need for partner libraries to undergo reclamations of their catalogs, access to accurate data for the group has been limited. Post-reclamation data for most partner libraries only became available in WCA in September 2012. Based on the Project Team's collections analysis criteria, the MSCS Systems Librarian has manipulated the data to facilitate the collections analysis work which underpins so much of this project. This work was completed at the beginning of November 2012. It is hoped that we will soon begin reviewing unique items (unique to the group; unique to WorldCat) and begin testing the application of retention-related metadata and determining a policy for the preservation of those items.

As a result of repeated delays in the development of the next-generation WCA as of October 2012, the Project Team is beginning to investigate other collections analysis tools and services not considered initially.

Collections analysis criteria

The Collection Management Subcommittee began meeting in November 2011 and has been wrestling with several collection analysis issues. Some test reports have been run from individual systems, based on various criteria (e.g., call number ranges "QH" and "57*"). This has allowed us to review sample data for evaluation purposes, and also to identify some coding inconsistencies across the group. Broader issues being discussed with regard to retention decisions include circulation statistics (e.g. what constitutes poor vs. good usage); minimum number of retention copies per title for the state; impact of library subject area strengths; existing and planned library storage facilities within the state; HathiTrust in-copyright and public domain titles' overlap with our holdings; uniqueness (in OCLC; in-state); differing collection types and thus expectations of the project for public and academic institutions.

OCLC circulation data report

OCLC were contracted to export data elements (both local item information and bibliographic data) for analysis. This included exporting the symbol of the holding library if in the Maine Shared Collections Strategy (MSCS) project and the number of holding libraries in OCLC overall, for each title. The following item-level data elements were requested to be pulled:

- Item Record Number
- Total checkouts
- Last checkin date

- Location
- Status
- Internal Use
- Renewals

The data was provided to MSCS in August 2012.

Print/digital management model

There has been some discussion about the integration of public domain titles into systems, the majority of which has surrounded HathiTrust. Membership has been explored by Colby College and the University of Maine; however neither library has joined due to lack of Shibboleth implementation. The University of Maine (Orono) implementation of Summon has been configured to provide access to public domain items available in HathiTrust; it has been expressed that no one wants to load these nearly 3 million records into MaineCat, the INNREACH catalog shared by the grant participants. At this time it is unclear how the MSCS POD solution would interact with HathiTrust POD availability (via UC and UMich). The MSCS System Librarian has used the HathiTrust API to compare our holdings (including item-level data) to HathiTrust availability.

Service delivery model including POD and EOD

Based on a higher than expected price quote, as well as feedback from two academic libraries with installations, the Project Team decided in spring 2011 NOT to purchase an Espresso Book Machine (EBM) and accompanying service contract. Other avenues that have been explored include:

- University of Maine's Printing Services Unit
- Booksurge / CreateSpace (Amazon)
- TextStream (Baker and Taylor)
- Lightning Source (Ingram)
- Two EBM hosts were contacted: Harvard Bookstore and Darien Library (CT)
- Other university print-on-demand initiatives were researched (including: UC reprints; Cornell; UMich reprints; Western Ontario Libraries)
- Widespread availability of inexpensive, commercially printed public domain titles

A book was successfully produced using the University of Maine's Printing Services. The Project Team intends to test the demand for POD using the University of Maine's Printing Services.

Methods to make patrons aware of the availability of POD and EOD options are ongoing. Innovative's INNREACH system, the shared discovery catalog that includes the holdings of the eight partners from five local catalogs, unfortunately appears not to be useable for display of EOD and POD options due to the way in which the bibliographic records and holdings statements are entered and displayed. Some of the partners have already implemented links in their local catalogs to EOD services such as HathiTrust. Bowdoin provides links to full-text public domain in HathiTrust with print titles in their catalog. Bates provides links to Google Books and Project Gutenberg. However, a centralized, shared solution to providing EOD and POD links for Maine has not yet been found or built. GIST, a toolkit that works within ILLiad to provide EOD, POD, and purchase options in addition to interlibrary loan, was investigated, but is not a solution that provides point of service in a discovery catalog.

Collection management, stewardship, and preservation model

The MSCS Collections Development Committee has extensively discussed the selection criteria for print titles that should be retained, managed and preserved, as well as titles that could be de-acquisitioned due to availability and/or preservation in a large-scale digital collection. However, due to the longer-than-expected reclamation process, and the inability to get the type of data reports needed from WCA, no data has yet been compiled in such a way that final decisions can be made on retention, preservation, and digital substitutions.

The MSCS Project Team has analyzed different shared print models including the role of a last copy center (or "shared print facility"). The consensus so far has been to use a "print-in-place," distributed (rather than centralized) model where the holding library would still be the "owner" of the retained items. Although, no business model to support this work has been agreed upon the MOU (see below for more detail) has begun to address this in management level terms.

The Project Team has closely followed the activities of the OCLC Print Archives Disclosure Pilot. The OCLC Pilot and other similar projects have seen the emergence of the MARC Subfield 583 as the standard for documenting preservation, retention, completeness, and condition.

The MSCS Technical Services Committee and the 583 Subcommittee have begun testing the use of the 583 and 852 metadata fields in our local system's holdings records. Issues encountered so far are with display and transfer to the central union catalog. The Committees are currently exploring various options with OCLC and III for exporting this data to WorldCat Local Holdings Records, working with a small set of test records. It hopes to have clear procedures in place by the time the collection analysis decisions are ready for implementation.

OCLC recommended that a separate Shared Print Symbol is necessary for WorldCat display for the foreseeable future. We are currently in the process of requesting Shared Print Symbols from OCLC and have started to test the Interlibrary Loan implications of the Shared Print Symbol.

Website creation

Rainstorm Consulting, a firm specializing in the design of public information websites, was hired to design a website that communicates MSCS to the library community as well as providing a robust workspace for project participants. The website went live in December 2011 and includes searchable meeting summaries, an embedded project calendar, and an associated Gmail account. The website has been linked to on the Maine InfoNet website and sent to various discussion lists. Google Analytics is used to monitor visits.

MSCS has a presence on Twitter where project updates are tweeted. The website SlideShare is used to post MSCS presentations, with links to them on the MSCS website.

- Website: <http://www.maineinfonet.net/mscs/>
- Twitter: @MSharedcolls
- Gmail: mainesharedcollections@gmail.com
- Slideshare: http://www.slideshare.net/Maine_SharedCollections

Presentations/Outreach

In addition to attending 2012 American Library Association Conference in Dallas and Anaheim, MSCS Project Team members:

- Presented an overview of the project at the Maine Library Association conference in Portland; October 29, 2011.
- Presented at the Shared Print Pre-Conference Session, Charleston Conference, November 2, 2011.
- Presented at the Maine Library Association Conference, October 29, 2011.
- Presented an overview of the project at the University of Maine Staff Development Day, January 3, 2012.
- Presented an overview of large-scale digital initiatives for employees of partner institutions; Colby College, February 24, 2012.
- Presented an overview of the project at University of Southern Maine staff meeting, March 15, 2012.
- Presented an overview/update on the project at the Maine Larger Libraries Spring 2012 Staff Development Day, Bowdoin College, May 8, 2012.
- Presented at New England Library Association, October 15, 2012.
- Presented at Shared Print Pre-Conference Session, Charleston Conference, November 14, 2012.

MSCS Project Team members also intend to submit papers for presentation at future conferences including the ALA 2013 Conference in Chicago.

Business model

The grant timeline indicated that governance would be discussed during project year 3. However, the Project Team at the recommendation of our Board decided to move it into year two as they began investigating business and financial models for print-on-demand and shared storage. These discussions resulted in the drafting of a Memorandum of Understanding (MOU).

The MOU provides a mechanism by which the materials designated under the agreement will be retained and made available to participating institutions and the residents of Maine as long as the need for them exists, thereby allowing participating libraries to consider withdrawing duplicates of these items from their respective collections and to rely with confidence on access to the retained copies.

A final draft of the Memorandum of Understanding has been produced and will be presented for approval at the December 2012 Directors Council. Once approved, the MOU will be forwarded to be signed by an institutional representative (rather than the library's director), for example a Board of Trustees or Provost.

Budget

The decision to not purchase an Espresso Book Machine (EBM) required MSCS to produce a budget change justification document which will be submitted to IMLS in December 2012. The original goal was to have the revised budget completed by September 2012, but the departure of the Program Manager (see below) delayed this work.

Project Timeline

The grant completion date was extended until May 2014 because the Project Team was unable to find and hire an acceptable candidate for program manager in time for the original start date.

Personnel changes

In August 2012 the MSCS Program Manager departed after 14 months resulting in an increased workload for Project PI's. The University of Maine's Fogler Library Dean and the Human Resources Department worked together to help the MSCS Project Team fill the position, effecting an efficient transition to a new Program Manager in September 2012.

Advisory Board Committee Visit

In addition to completing 6 months reviews, the MSCS Advisory Board (who are three individuals with nationally recognized expertise in shared collection development and print storage and preservation) visited on May 21, 2012. As well as attending MSCS meetings, they also presented at the 2012 Maine Libraries Association Conference, University of Maine.