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*NASIG GATEWAY TO COLLABORATION 2011*

**2011 Conference Reports**



# NASIG Newsletter

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## Pre-Conferences

### Serials and RDA: An Ongoing Relationship

*Judith A. Kuhagen, Policy and Standards Division, Library of Congress*

Reported by Valerie Bross

Note that as of the workshop, we had not yet received notification from the national libraries of whether or not Resource Description & Access, or RDA, will be implemented by the national libraries.

How can one succinctly capture the essence of an eight-hour workshop on serials cataloging? Yes, this was chock-full of everything that characterizes the best cataloging training: well-organized, lively, thorough, and thoughtful. But having said that, what next?

Perhaps the easiest answer would be to point readers to the complete set of PowerPoint slides posted to the NASIG site and urge them to read. As those fortunate to hear Kuhagen in action know, the PowerPoint slides are great, but are no substitute for the person.

Another tack would be to paraphrase the workshop schedule. Here, too, the reporter is in luck: Ms. Kuhagen provided a clear schedule with a well-articulated abstract. According to the abstract, the workshop was intended to cover the "background and structure of RDA; access points for persons, families, and corporate bodies with new RDA elements for authority data; use of the RDA Toolkit; development of national, consortium, and local policies; and

consideration of possible changes in RDA affecting serials.” And yes, the workshop did exactly that.

But for those still not satisfied, what can I add that would give some idea of how privileged the audience felt to have this opportunity to learn from a master trainer?

First, here are a few words to allay possible fears. In general, we learned that we could successfully complete resource descriptions for serials and record-corresponding authority data. For those starting out, the “weblibliography” included in the workshop (document D3-4) and the table of LC RDA Core Elements for the US RDA Test (D5-9) introduce and lead a new RDA cataloger through the process. Much of the decision-making that guides our current serials cataloging will still be valid under RDA, including consideration of user tasks, modes of issuance, and major/minor changes.

Differences between RDA and current practices have been much publicized over the past year, both at ALA (e.g. Renette Davis) and through the ALCTS Webinars (e.g. Adam Schiff and Steve Shadle). Kuhagen reiterated some of these differences, but also highlighted additional ones.

She began by discussing the exclusion of “continuing resource” as a defined RDA term. The introduction of continuing resource in the 2002 revision of AACR2 provided a way to expand Chapter 12 to include a description of integrating resources. However, for RDA, the Joint Steering Committee decided to use the more specific terms “serial” and “integrating resource” to avoid a problem with finite integrating resources.

Catalogers encountering RDA bibliography records for serials in utilities such as OCLC will have noticed some obvious RDA characteristics, including:

- The addition to the 040 field of subfield \$e rda (with Leader/18 of "i" for ISBD-punctuated records).
- The spelling-out of standard cataloging abbreviations (such as "volumes").

- The replacement of the “general material designator” with new data elements of content (336), media (337), and carrier (338).

More subtle changes might also have been noticed. The RDA Test completed during fall 2010 revealed that RDA as written:

- Would not support provider-neutral or single-record approaches to e-serials.
- Would extend the appearance of personal-author serials beyond what serialists might consider reasonable.
- Could require, per RDA 17.8, for serial compilations (e.g., Best plays of ...), that the first item in the earliest volume receive an authorized access point.

Fortunately, these situations are being addressed through LC Policy Statements, Program for Cooperative Cataloging decisions, and requests for reconsideration by the Joint Steering Committee.

Perhaps of all the questions addressed, the most pertinent at this point is: Where are we now in RDA serials description and how should the conversation move forward? Here are some points to consider:

- The ALA Joint Steering Committee is beginning to address deferred issues, such as possible elimination of corporate authorship (see <http://www.rda-jsc.org/working2.html#sec-61>).
- The Program for Cooperative Cataloging is establishing three task groups to begin the process of developing best practices for cooperative creation, maintenance, and sharing of RDA records.
- Library of Congress will be addressing both general and specific issues related to serials. Examples include:
  - The use in RDA of the term notes where data elements might be more appropriate. (Serials catalogers will be reminded of the switch from 500 note fields to repeated 260 fields for changes in place of publication and publisher.)
  - Guidance on expression-level changes.
  - Instructions regarding copyright dates appearing on serial parts over time.

## Accounting Techniques for Acquisition Librarians

*Rachel Kirk, Walker Library, Middle Tennessee State*

Reported by Lynn R. Shay

This workshop was designed to provide an overview of a number of accounting responsibilities for librarians, such as the reconciling of library accounts with the university's (or other governing body's) financial system, supplying data for the creation of the annual materials budget, and monitoring fund expenditures.

In today's libraries, serials and electronic resources can account for more than 80 percent of the library materials budget. For many librarians, the knowledge needed for managing budgets has been acquired while on the job. Rachel Kirk, a former CPA, was able to bring that perspective to the workshop by helping explain some of basic accounting concepts necessary for good fiscal management of library funds.

The workshop began with a discussion of the differences between library serials purchasing and university purchasing. In contrast to the bulk supply buying of the university, libraries purchase many unique items and often pay before receiving. In addition to this, libraries place orders through their Integrated Library System (ILS) that are then processed through the institutional enterprise system like Banner or PeopleSoft. This discussion set the focus of the first part of the workshop—reconciliation of library funds with university payments.

Reconciliation is more than getting the library and university accounts to mirror each other. Kirk pointed to four questions that must be answered:

- On the library side who has responsibility for reconciliation of accounts?
- What access does that person need to both the ILS and the enterprise system?
- Who are the contacts in the university accounting departments that will help?
- What assumptions might the university accounting department be making about library costs?

During a live demonstration showing library expenditures in an enterprise system and the corresponding library fund spreadsheets, participants were able to compare how each library was performing this reconciliation and discuss strategies for working with the university accounting department. All agreed that most important was the development of a good relationship with someone in the university accounting department. Good communication about what the library purchases and how the university processes payments is the key.

The workshop also covered cost-benefit analysis and budgeting. Kirk presented the cost-benefit analysis of two databases and talked with the participants about quantifiable and non-quantifiable costs. She showed the group how she created her annual budget using data from the previous 3-4 years to estimate future costs.

The workshop included discussion and hands-on exercises that were valuable to the librarians and reaffirmed the need for continuing education to achieve good fiscal management of our collections.

## Who Ya Gonna Call? Troubleshooting Strategies for E-Resources Access Problems

*Susan Davis, University of Buffalo;  
Teresa Malinowski, California State University,  
Fullerton;  
Tina Currado, Taylor & Francis;  
Eve Davis, EBSCO;  
Dustin Maclver, EBSCO*

Reported by Valerie Bross

It's hard to imagine a better way to rev up for a NASIG conference than this colorful, sound-filled, highly-interactive, and thoroughly informative session. Upon entering Hilton Salon A, participants merged into a real life representation of the Information Superhighway—full of construction signs, caution tape, sudden stops, and unexpected route changes.

The guides through this world of surprises were suitably accoutered in hard hats and orange vests. They set the scene with a short skit before turning the stage over to...the participants! Through a series of four scenarios, we pooled our experiences in small groups, and then shared results as a group. After each session, the intrepid leaders shared technical information and their own perspectives.

The first scenario dealt with an e-journal that is still not available thirty days after the order was placed. The question posed was: Whose problem is it—the accounts payable office, the subscription agent, or the publisher? The participants' response: any of the above and still others.

The second scenario explored the challenges of troubleshooting off-campus access via a proxy server. End users expect to simply visit the library resource page, click on the resource link, enter their library id code, and voilà. Lovely when it works; but what about when access fails? If your library is fortunate enough to have a technical support guru like Dustin MacIver, no problem. With admirable clarity, he led us through some of the nuances of "max host errors" and resetting the "MaxVirtualHost" parameter.

The third scenario focused on OpenURLs and link resolvers. Libraries that have implemented access through link resolvers benefit from context-sensitive linking and enriched service menus. However, every advance in e-resource services has a cost. Some link-resolver problems (e.g. change of domain names) may be resolved locally; others (e.g. bad data in publisher data feeds) are more elusive.

The final scenario asked participants to consider three mini-problems related to e-journal access. These problems included changes in coverage (a.k.a. the case of the disappearing years), "404" errors, and acquisitions snafus (e.g. lapse in payment). After considering these common and frequently frustrating problems, Eve Davis offered excellent advice.

"Remember," she said, "Journals are many; problems are few. Don't lose perspective."

To outline everything learned would not do justice to the effect of collaborating on answers to these questions; it would reduce this highly-engaging workshop to a one-dimensional outline. Instead, I will include just a sampling of the tips shared both by participants and by the facilitators on topics related to e-resources access and problem-solving.

Tips for those new to e-resources management:

- Create, document, and maintain checklists, tickler systems, and workflows for trouble-shooting.
- Share the documentation up and down your institution's "food chain."
- Use shared mailboxes to receive publisher/provider notifications, so that when your chief troubleshooter goes on vacation or retires, others will be able to help.
- Make sure your institutional contacts (sent to providers/publishers/vendors) are up-to-date.

Tips for ongoing self-education related to e-resources management:

- Use OCLC's EZProxy documentation: <http://www.oclc.org/ezproxy/support/default.htm>.
- Follow publisher transfer notifications at: <http://www.uksg.org/transfer>.
- Monitor NISO groups such as IOATA (Improving OpenURLs Through Analytics): <http://openurlquality.niso.org/>) and KBART (Knowledge Base And Related Tools): <http://www.niso.org/workrooms/kbart>.

## Vision Sessions

### Science Re-Imagined

*Adam Bly, Seed Media Group*

Reported by Jennifer Baxmeyer

The speaker for the first vision session was Adam Bly, founder and CEO of [Seed Media Group](#), a "diversified science, media, and technology company with the

mission of raising global scientific literacy.” The topic of Bly’s presentation was “reimagining science”—his view of how science and the world are changing and what we as information professionals can do to help bring about those changes. Reimagining science, Bly explained, includes how the public interacts with science, how scientists do science, and the place of science within the world at large. The catalyst for reimagining science is rooted in a conviction that science has the unique potential to improve the state of the world.

According to Bly, we are living in a time of extraordinary potential to uncover and see things that we have never seen before (e.g., Hubble Telescope photos)—things that give us a deeper sense of humility about our place in the world and the preciousness of the Earth, new ways of visualizing information, and new ways of seeing connections in the world. Today, science is also giving us the potential to manipulate life and nature. Not only are we seeing new things, we now have sophisticated technologies and capabilities to manipulate and synthesize life (e.g., synthetic cells and synthetic genomes) and to bring about transformations that have far reaching implications for energy, healthcare, and areas we haven’t even imagined yet.

Bly suggests that as science is changing and the questions are giving birth to new disciplines and new moral and ethical frameworks, the world is also changing around science. Science is not a closed system anymore. It is permeable and influenced by the world around it. As we see the rise of science outside of the United States, Western societies, and the scientific “superpowers” that have dominated 20<sup>th</sup> century science, we see a culture of science that looks, on the surface, very similar to our own. This culture, however, is distinct from that which we have here in the United States or in Western societies. The approach of investigation, hypothesis generation, and to understanding the natural world differs in China or the Arab world, for example. According to Bly, these other cultures are now starting to reconnect with their scientific roots. As other cultures around the world start to recognize the potential science has to transform their

economic development and spearhead major changes in society, this, too, will have a consequence on the culture of science. Not only will new advances and new technologies increase from countries we previously didn’t associate with robust output, but the culture of science—the way we think scientifically—could be impacted as well by the rise of scientific thinking.

Bly suggests that we live in a world that is more interconnected than ever before. He believes that in order to understand any single issue on the global agenda today we need to zoom out and see it in the context of the system. For example, to understand disease in a particular environment, we need to understand climate. To understand climate we need to understand energy. To understand energy we need to think about economic growth and our demands on the economy. To think about economic growth we need to think about population dynamics. To think about population dynamics, we need to think about disease factors. Every single thing is linked and we are able to see these connections more than any other time in history because we are more networked than before.

We also have an abundance of data at our disposal now. We are now producing more data each year than the “combined sum of all prior human history.” The amount of data we are now producing (the data coming from our use of the Internet, from electronic records, and through scientific undertakings) is producing, what Bly calls, “a moment of incredible opportunity.” As an example, Bly showed his own genome that he was able to acquire, explaining that we now have an abundance of data and can, at a personal level, take ownership of the data, navigate it and make decisions.

Bly believes that the library community needs to understand that without science literacy, we won’t be able to manage information or reap it’s the benefits, and that it is our responsibility to educate society in new ways. The abundance of data available to us is also becoming the basis of a holistic, interdisciplinary science, allowing us to integrate a variety of data from different disciplines to create a new framework. We

have the opportunity now to create new visual languages and interfaces that are rooted in a common pursuit of understanding. Our mission, according to Bly, is to recognize the unique potential of science to improve the state of the world, but in order for this to happen, two major changes need to occur in the way that we think about and do science. We've traditionally thought of science literacy in terms of how many scientists we produce, but in order to navigate the new global science culture, we need to think of science literacy as the pursuit of seven billion scientifically literate people. In order to accomplish this we need to rethink what it means to be scientifically literate and how we educate people around the world to have scientific literacy.

Bly thinks we need a new philosophy of scientific literacy and new modes of engaging the world in science. Currently, science is recognized as a source of good in the world: it creates drugs and technologies, and has a positive economic impact on the world. The bigger idea, however, and the one that needs to drive this new philosophy of engagement and science literacy, is that science is not just about its output—it is a system of thought that can be applied to non-scientific problems. Although we have recently started to see science as a lens through which we can solve the world's problems, we need to create a strong culture of conversation about science. We need to create more tools to engage the world in this conversation, especially people who historically would have never engaged with science. One way to engage people is through culture and ideas, by exposing science to people around the world through projects that bring together scientists, artists, and humanists to talk about common problems. It is through associating science with ideas and art that we can introduce science in a more well-rounded fashion than the way we in which we are first exposed to science.

Another mode of engagement is art and design. Bly gave the example of Edwin Abbott's *Flatland* (1883) in which Abbott wrote about a two-dimensional universe that contemplated what it might be like to have a third

dimension. Abbott wasn't a scientist but through this work of literature, he introduced ideas that are the cornerstone of a branch of theoretical physics today. Bly suggests that when we hear physicists cite Edwin Abbott as having best understood the notion of higher dimensional universes, we are led consider the role art has played in advancing ideas that we claim are scientific. Bly believes we were once all scientists and that design is making us scientists again. We didn't grow up hating science but became haters of science later in life, as it became associated with exams or something to be memorized. Science became hard and inaccessible even though we once all employed the methodologies of science and had an innate curiosity about the world. We need to bring science and design together, and use design as a way to create prototypes, test things and be creative about problem solving (e.g., through game design).

The second change that needs to occur in order for us recognize the unique potential of science to improve the state of the world is open science. We need to re-architect science for the 21<sup>st</sup> century and move away from the closed structure of science being dominated by a few companies, structures, and cultures. According to Bly, knowledge about the world, produced and funded by the world, should belong to the world. Science needs to be open in order for it to progress. We need to make scientific knowledge available to anyone who wants to interact with it.

In addition, we need to understand that every problem in the world is a system. Although the disciplines (e.g., biology, physics, or chemistry) were classified by people in order to understand the world, nature doesn't recognize these systems. The challenge, therefore, is to start seeing links between the disciplines. This, says Bly, is where we need to mobilize scientific inquiry. He says that 65% of scientists cite literature as having an influence on their science. Furthermore, 62% of scientists are involved in at least one international collaboration. Scientists, as individuals, care about the world they live in and can be mobilized to change their modes of inquiry but the problem, says Bly, is that the

architecture used to organize information is no longer ideal. The entire community of publishers, librarians, scientists, and universities, is struggling with this problem. The research web today is disorganized, fragmented and inefficient. The good thing is that scientists aren't waiting for changes—they never have. The natural instinct of the scientist is to tweak “just one little thing,” because when confronted with truth and it's dogmatic pursuit, they innovate.

We need to agree on a common framework and common ideas in order to collectively mobilize all of the players in science toward some first principles to make open science scalable, sustainable, and simple. Bly gives five principles that he thinks can provide a scalable model of open science can exist. The first is what he calls the “digital core.” The problem is that the fundamental unit of science is analog. Everything is on paper: the information, the way it is published and cited, the funding, the collaboration that produces research, and so on. Everything that drives science and is an output of science needs to be re-imagined. We need a digital core that doesn't rely on paper as the sole fundamental unit of science. In addition, we need mandated free flow of information. Scientific information that's funded by the public must be available to the public immediately. Government must regulate information and we, as information providers, should not accept anything else. If we have funded science, we should be able to disseminate it immediately. Third, we need to reinvent models of peer review. The levels of peer review and the investment in peer review that substantiates the non-free flow of information should be subsidized. We should take peer review out of the hands of the publishers and put it in the hands of the public and regulate it with government and non-government bodies around the world. The fourth principle Bly suggests is open standards and interoperability. Finally, Bly says we need new ways of extracting knowledge from information and tracking impact and influence.

In closing, Bly summarized how we will know when the changes we are advocating and working hard to bring

about have occurred, and that we have begun to think scientifically. First, science will become the norm and there will be no such thing as open access, open data or open science. Second, we will start tagging things as being closed (e.g., a closed dataset or a publication) rather than open. Third, we will start to solve society's problems with science not only as a tool or source of output (e.g., drugs to make us live longer) but also as a lens. Finally, we will have nothing less than a 21<sup>st</sup> century “scientific renaissance.” Science has unique potential to improve the state of world, but only if we integrate it into society, share it and guarantee that its architecture is open.

### **Publishing in Chains**

*Paul Duguid, UC Berkeley School of Information*

Reported by Jennifer Baxmeyer

Paul Duguid, adjunct professor in the School of Information at University of California, Berkeley, and a research professor in the School of Business and Management at Queen Mary, University of London. He is also co-author, with John Seely Brown, of *The Social Life of Information* (2000), and has written articles on the history of trademarks and network supply chains.

We are used to seeing automobile brand wars—GM versus Chrysler, for example, and when we think of brand wars we also think of Coke versus Pepsi or Adidas versus Nike. In the 1990s, the digital companies began engaging in similar brand battles, but the interesting thing about these battles, according to Duguid, is that many times the brands are not just competing with each other—they are also working together. An Apple computer, for example, can run on an Intel processor, or Dell computers run Microsoft Windows. This means that, in essence, Apple and Intel aren't really competitors and neither are Dell and Microsoft, even though it may appear at first glance that they are. Although the individual brands are competing to label the entire supply chain, the reality is that they must also cooperate and work together. Duguid suggests that



there are missing links in the computer supply chain. A few companies have become very powerful and well-known while others have slipped down the chain in terms of name recognition, despite their importance. For instance, if Windows crashes, we know whom to contact, but if our hard disk crashes, most of us couldn't say who manufactured it (e.g., Western Digital, Seagate, or Toshiba). This shows how a well-known brand name can completely obliterate all other names, regardless of how important they are—without a hard disk, there is no computer. Another result is that, even though the hard disk manufacturers are vitally important, their profit margins are significantly lower than those of the well-known companies because those well-known companies control the entire chain, even though they don't manufacture all of the different components that make up a computer.

Duguid explained that he originally began examining supply chains in relation to the wine industry. Until the late 19<sup>th</sup> century, it was the chiefly the name of the English retailer or the vendor in England whose name was on the bottle of wine and this is what determined whether or not someone purchased it. A shift came in the 1860s when taxes on French wines were removed, and the French chateaus, vineyards, and regions (e.g., Burgundy or Bordeaux) started becoming more well-known in England and the retailers became less important. Next, the English, after realizing they couldn't compete with the French, decided to sell their wines by the varietal (e.g., Merlot, Pinot Noir, or Pinot Grigio) which obliterated all of the formerly important French brands. This demonstrates how power can move up and down the brand chain.

In terms of supply chains in publishing, Duguid gave an example from John Thompson's *Merchants of Culture* (2010) of the publishing supply chain, showing that it begins with the author at one end and includes many other stages and players (e.g., publisher, printer, distributor, library wholesaler, and library) before the book reaches the reader, and what the reader sees may not necessarily be the name of the author. Duguid suggests that historically, book publishing hasn't

changed much but at different times, different players in the chain have been the significant name in selling the books. Across history, we can see different attempts by publishers to assert their importance (e.g., Allen Lane of Penguin Books). Branding is not only important in book publishing, however. Many magazines have taken advantage of branding by registering trademarks to protect their brands. Authors, too, have tried to brand their names by registering trademarks (e.g., Rudyard Kipling and Mark Twain) as a way to assert that they would not let publishers and magazines have control of their names.

Duguid also gave an example of how the idea of competing and working together can even be seen within NASIG. He noted that on the NASIG website there are two statements expressing the nature of the organization: on one page, NASIG says it is for "all members of the serials community" while on another page it says that NASIG is for "all members of the serials information chain." To Duguid, the word "community" implies that "we are all in this together" and we all have shared interests, while "information chain" has a different meaning—on one hand, we have things in common, but there are also many differences and divergences.

Duguid suggests that underlying the idea of branding is certification. For example, if we need an attorney, doctor, or engineer, we can be assured of their competence by their certification, that is, the diplomas or degrees they hold. The idea of certification can also be seen in the world of academia and academic publishing—it is the degree and the institution (i.e., the academic supply chain) that in one way or another validates, and gives us confidence in, that person. It is the institution telling us to trust the person because the institution does. It is someone in the academic supply chain that validates the person. He explained that the concept of certification and certification marks (i.e., trademarks) arose from trade unions, who said "this was made by union labor." The idea of certification marks carried over to academic institutions as early as the 19<sup>th</sup> century when many schools, especially business

schools (e.g., Stockton Business College and Fresno Business College), took out trademarks. Duguid believes that academic supply chains endure but also create tension because the institution conferring the degree is also the one taking the fees. Moreover, the institution gets paid regardless of whether or not students attend classes and get degrees. There really is no link between fees and rewards, which creates a problem in terms of certification of knowledge.

Duguid addressed the question of how brands appear. In general, a supply chain appears when a fairly well-settled means of taking goods to market starts to break down. He gave the example of IBM which, until the 1970s, made all parts of the computer and was dominant. Unfortunately, IBM became too secure in its position and failed to notice when the PC entered the market and other companies such as DEC, Sun, and Apple became suppliers, making it possible to own a computer labeled IBM that had a processor made by some other company. Another example of this type of disruption can be seen in the publishing supply chain. In England in the early 18<sup>th</sup> century, the Stationers' Company ruled the entire industry because the government allowed the monopoly. When the monopoly broke up there was a battle between the booksellers and printers over who would control the chain. When the two groups realized the battle's outcome was unclear, the printers decided they didn't care who won as long as it wasn't the booksellers, and the booksellers stated they didn't care as long as it wasn't the printers. They settled by giving control of the chain to the author.

Duguid says we can see the chain breaking down and new players coming to the front when we consider the Internet and the idea of open source and no longer needing the certification mark of the institution. The question becomes one of locating the brand—the authority—within the chain. The answer is complex and depends on the particular type of chain. The brand is rarely constant—it moves at different times, up or down the chain. For example, with books we generally treat the author as the mark, but sometimes we may

choose a book based on the publisher or even how it is packaged (e.g., a Barnes & Noble Classic or a New York Review of Books Classic), even though we may not have heard of the author of that book. When we think of other genres, such as film and television, or newspapers and magazines, we find it more difficult to identify who is actually responsible for the intellectual content, even though these genres are not that much different than books. With movies, in particular, the brand wars are very obvious: Sony Pictures versus Columbia versus the production company versus the director versus the lead actor, and so on. Duguid noted that it is also interesting to see the “invisible authors” in the academy—the researchers and other people who contribute to a work but get no credit unless a book does poorly. In addition to the breaking down of chains, we must also consider structural changes in chains. For example, when looking at some serial publications, we can see a shift from the serial being known solely by its name with no mention of who authored its articles to being judged based on the article authors and their credentials.

Duguid went on to discuss what happens in the world of shifting chains and marks when we move into the digital world. He suggests that there are two views: the idealist's and the pragmatist's. The idealist says that information wants to be free, while the pragmatist says it needs to be constrained. There are issues with both views, according to Duguid. When we have free information, we lose the idea of filtration, context, and certification, all of which are hard to reinstate. By the same token, many constraints can also be resources. For example, we can judge an article's importance based on where and how it appears in a newspaper. The constraint imposed by the size of its headline, length, and placement are indicators of its importance. Duguid concluded by applying Oscar Wilde's sentiment about the truth to the future, declaring the future “rarely pure and never simple.” Although the supply chain endures and continues to be worth attacking, the links within it are constantly changing and it is by understanding the nature of changes that we can prepare ourselves to move into the future.

### Leaving the Big Deal: Consequences and Next Steps

*Jonathan Nabe, Southern Illinois University Carbondale;  
David Fowler, University of Oregon*

Reported by Heather Klusendorf

Big deals are commonly criticized among librarians. Typically, only twenty percent of content within a big deal receives high usage; yet many librarians remain reluctant to leave big deals fearing negative consequences from publishers. Jonathan Nabe, Southern Illinois University Carbondale, and David Fowler, University of Oregon, shared their experience with canceling big deals and assured librarians in the audience that they won't be "run out of town" after cutting big deals in favor of smaller title lists. In both libraries, budget cuts made it essential that the serials librarians pinpoint content to cancel. In both libraries, they targeted big deals in an effort to cut spending. In both instances, there were little to no negative consequences.

Nabe's library at the University of Illinois Carbondale cancelled three big deals: Springer, Wiley and Elsevier. For each big deal, Nabe reviewed downloads to find that much of the content received one download per month or less. He suspected that the access need could be adequately filled by interlibrary loan (ILL) requests. In all cases, the library retained archival access, so only current year access was lost.

The library saved more than \$300,000 by cutting the big deals and moving to individual titles. While publishers did make leaving as painful as possible, the savings were worth it. Negotiations alleviated much of the pain, and Nabe's library settled for a multi-year deal. He said, "Publishers make us offers we may not love, but cannot refuse."

In the end, Nabe's library was able to fulfill loss-of-access needs with ILL requests. Three faculty members complained about missing access to journals they relied on, but after reviewing usage with the librarians, all came to an understanding. The library was able to increase monograph spending as a result of the tactics taken to cut big deals.

Fowler's library at the University of Oregon canceled one and a half big deals: Elsevier and Wiley. The library started with Elsevier and reviewed cost-per-use data to identify high-cost/low-use titles. They were in a consortium, so leaving that consortium did cause problems. In order to avoid problems, the library tried creating a smaller buying group among some consortium members.

The smaller group of libraries tried to determine 90 percent of Elsevier use among the three schools. After approaching Elsevier with a new, smaller deal option, the publisher tried to deter collaboration by going to each school individually. The three schools held tight, seeking a combined cancellation of 18 percent across the board. Similar to Nabe's library, Fowler's library was able to settle with Elsevier by agreeing on a multi-year deal. By 2015, the library's spend will be at the same level as during the big deal.

Fowler says that ILL demand has increased dramatically, but Elsevier requests are only modest. There has been a moderate amount of concern among faculty in chemistry and physics, which remains to be resolved.

After the Elsevier battle, the collection managers were not ready to start again with Wiley. They were able to cut low use titles without much fight, retaining access to 90 percent of high use titles. They cancelled the big deal and reordered on a title-by-title basis. The library received no complaints from faculty after cutting the Wiley big deal. Fowler closed his presentation by saying that another cancellation project is inevitable within his library in the next five years.

## Collaborating for Sustainable Scholarship: Models That Serve Librarians, Publishers, and Scholars

*Carol MacAdam, JSTOR;  
Kate Duff, University of Chicago Press*

Reported by Diana Reid

JSTOR's Current Scholarship Program (CSP) is a new program for publishing current content launched in January 2011 with 174 journals from nineteen publishing partners. The University of Chicago Press (UCP) has a long-standing partnership with JSTOR as one of the original contributors to the JSTOR Archive in 1996, and UCP's participation in CSP (all titles were to be transferred) was seen by both parties as a natural evolution of this partnership. In this session Carol MacAdam from JSTOR and Kate Duff from the University of Chicago Press shared their experiences with this transition.

MacAdam describes CSP as a "sea change" in the scholarly publishing industry. She states that university presses and other scholarly publishers not only need to have content online, but to deliver it in such a way that actively engages end users, or they risk losing that content to larger publishing houses capable of doing so.

Duff described the pressures UCP faced in contributing to the scholarly publishing community by delivering state-of-the-art publishing. Such innovation requires a continual investment in time, new technology, and training, all of which have costs attached. UCP receives no funding from their parent institution, so they must generate the income themselves. Especially in a recession, venturing into new markets or enticing new journals is not possible without the advancements in place that make such a transition worth a new customer's effort. UCP's commercial counterparts have deep pockets and they needed to scale up through partnerships in order to compete.

Enter JSTOR and the CSP. UCP can take advantage of the benefits of scale and have the new opportunity to

focus on building up their portfolios. The partnership allows each to bring their expertise and create a mutually beneficial, hopefully sustainable publishing model.

The timeline was ambitious (about a year) and 2010 was a year of constant communication between often dispersed teams handling different aspects of this transition for UCP. The main hurdles along the way were identified as pricing, design, technical integration (the most challenging of all), and user support integration.

### Pricing

Pricing changes are always difficult – you will always make someone pay more. This change was also happening during a recession. UCP agreed to adopt the community-based pricing model they had previously implemented, instead of FTE. Single-seat licenses were done away with for the time being, as they are not industry standard or sustainable. JSTOR spent a lot of time modeling their existing customer base to achieve revenue neutrality. Twenty four percent of customer fees went down in cost, and thirty percent increased less than five percent. The most heavily impacted customers were contacted individually. To help to compensate for cost increases, the discount on the complete package was increased from twenty to forty percent. This turned out to be a good option for some customers who had lost content due to cancellations.

### Design

Multiple layers of existing branding needed to be represented – JSTOR, UCP, societies, and journals. JSTOR aimed to retain the look and feel of publisher's content as it transferred to JSTOR, but they are unapologetically user-focused and needed to attenuate publisher demands to make sure content usability was of utmost importance. Also, room for peripheral content, such as news, announcements, advertising, and resources for different user groups was desired. The design needed to be scalable and flexible.

Representatives of all parties participated in the design, which continues to be an ongoing process of compromise.

### **Biggest Hurdle: Technical Integration**

UCP and JSTOR used a common platform (Atypon), but JSTOR ran a unique instance. This meant 50,000 articles and book reviews had to be migrated to the JSTOR platform. Issues to be resolved included overlapping content, identical DOIs, etc. JSTOR had to develop an entirely new model, accommodating real-time workflow from publishers, instead of post-publishing (JSTOR Archive) workflow. They now needed xml-based full-text to include multimedia, rapid release, ahead of print, and author proofing. All of these changes required heavy quality control – everyone became a quality control editor to identify as many bugs as possible.

### **User Support Integration**

Integrating customer records was a huge challenge. JSTOR, CSP, and UCP had customer definition differences (e.g. are a customer's multiple sites considered satellite campuses, or are they one integrated site?). They needed to agree on who their customers are and how they are defined. They dealt repeatedly with the problem of multiple order numbers from UCP, JSTOR, and subscription agencies.

Next we heard some of what was learned over the busy past year. One of the challenges was maintaining some level of consistency in the service that customers were accustomed to from publishers (especially new customer bases for JSTOR, such as hospitals). For example, what the publisher might consider five sites or five subscriptions, JSTOR considered one (or this scenario might be reversed). UCP and JSTOR needed to negotiate in order to maintain economic viability for all involved parties, and in some cases JSTOR grandfathered in relationships that previously existed between publisher and customer, so as not to radically change subscriber models in ways that affected access.

JSTOR knows well that post-cancellation access is of utmost importance to libraries. Their publisher partners had many different policies about post-cancellation access and in some instances no policy. Participation in CSP allowed publishers to step into an important role that they may have been avoiding. JSTOR continues to work with partners to standardize license terms, with the goal of full transparency.

Relationships with subscription agents were completely new to JSTOR and required new processes and adaptations.

While it doesn't seem the most likely scenario, the biggest challenge ahead is that publishers could withdraw their content after the five-year license agreement expires. MacAdam pointed out to an audience member expressing concerns about this, that in the event a publisher left CSP, they would have to make their content available somewhere, so it isn't likely to disappear. This reporter would like to reiterate CSP's attentiveness to the importance of license terms that address perpetual access, thereby eliminating the biggest concern (if not the smaller concern of the inconvenience of a potential change).

Many libraries said that they had "chosen not to participate;" however, this showed a common misunderstanding about what CSP is. JSTOR is very well known as the one place libraries trust for permanent, archival access. This expansion will bring about a required change in mentality for libraries as to the JSTOR brand.

### **Polishing the Crystal Ball: Using Historical Data to Project Serials Trends and Pricing**

*Stephen Bosch, University of Arizona;  
Heather Klusendorf, EBSCO Information Services*

Reported by Rob Van Rennes

Stephen Bosch from University of Arizona and Heather Klusendorf from EBSCO Information Services discussed the intricacies of the serials pricing studies utilized by librarians. Price indices for journals are used for the periodic measurement of price changes to show fluctuations of the market and aid in the projecting of future costs. Bosch explained that journal pricing information is based upon the ANSI/NISO Z39.20 standard- Criteria for Price Indexes for Print Library Materials.

Although the current studies are primarily based upon print serial prices, the presenters acknowledged that electronic publications are fast becoming the norm and will need to be addressed in the near future. Electronic journals pose additional complications, as standardized online pricing information is hard to determine, ultimately making it more difficult to predict future costs.

One of the two most common price studies for serials is "Prices of U.S. and Foreign Published Materials." The data originates from the Library Materials Price Index (LMPI) gathered by the Association for Library Collections and Technical Services (ALCTS), a subdivision of the American Library Association (ALA). This publication was formerly known as the *Bowker Annual*, but is now published by Information Today in the *Library and Book Trade Almanac*. The second major pricing study is the popular, "Periodical Price Survey" produced annually in *Library Journal*.

When comparing the two most common studies, it is important to recognize that there are major differences in the methodologies used for gathering data, although the final conclusions are often in harmony. The *Library Journal* results are based on periodical price surveys, which encompass a broad set of sources. Some examples include the Institute for Scientific Information's Science Citation Index and EBSCO's Academic Search Premier Database. On the other hand, ALA ALCTS has typically used a periodicals price index that uses controlled information based on limited, but stable and consistent data. In this case, the figures are

derived from a sample set of approximately 3,800 domestic print serial titles.

To make predictions for the *Library Journal's* price survey, the authors review related articles and trends throughout the year. The investigation includes monitoring a wide variety of economic indicators such as oil markets and exchange rates, but also involves discussions with publishers and other industry leaders. By design, the projections for future journal prices are generally conservative and err on the higher end of the cost scale, as it is far better for those managing serial budgets to have excess funds rather than shortages at the end of the fiscal year.

Regardless of the study, recent results indicate that library budgets are not currently in a recovery mode as some would believe, but are in fact are experiencing some of the most historically adverse times. Although inflation rates have diminished somewhat in recent years, they are once again beginning to trend upward. This situation, coupled with decreases in library funding, points to an inevitable serials crisis that will be detrimental to both publishers, who will see less revenue, and libraries, who will experience the loss of content for their users.

### **NISO's IOTA Initiative: Measuring the Quality of OpenURL Links**

*Rafal Kasprowski, Rice University*

Reported by Barbara M. Pope

OpenURL linking multiplies a database's power by increasing visibility of the library's resources and making it easier for patrons to link to them. Libraries worldwide use OpenURL link resolvers to link to full text and print holdings records. They do sometimes fail to link to the appropriate copy, leaving library patrons frustrated. Rafal Kasprowski presented the efforts of the National Information Standards Organization (NISO) initiative, Improving OpenURL Through Analytics (IOTA), the major purpose of which is to improve linking quality

by measuring the quality of links provided by content providers and making the data freely available. Using the data, vendors can compare their OpenURLs to other providers, spot problems, and improve linking.

IOTA is comprised of a group of librarians involved in electronic resources management and metadata as well as representatives from OpenURL and database vendors. The IOTA group was created in January 2010 in response to problems with OpenURL linking. The basic assumptions of the group were that:

- Results are achieved through an analytical investigation of how OpenURL works
- The OpenURL standard is not at issue, it is the links that are generated that need to be addressed
- Selective changes to OpenURLs will lead to significant improvements in linking.

The desired outcomes of IOTA were to produce quantitative reports that will help OpenURL providers compare OpenURLs and make improvements. In addition, libraries can compare OpenURL providers and adjust their OpenURL setup.

Before the advent of OpenURL, linking to full text content required proprietary linking from abstracting and indexing databases. This approach was limited, as libraries had to manually activate linking and few abstract and full text databases participated in linking. Even with these disadvantages, the main advantage was the accuracy of the static links. Problems with proprietary URLs were also easy to trace and fix. The objective of OpenURL linking was to link to dynamically link to the full text in a way that is unrestrained by proprietary links. Because the full text of a journal may be available from several providers, the URL to access it may not be the same for all libraries. The information in a library's A to Z list indicates the "appropriate copy" for the library.

Kasprowski used an illustration of the OpenURL which indicates how complicated and problematic the linking process can be. The illustration shows the linking process beginning with the citation source, such as an

abstract and indexing database; through the source OpenURL; then through the OpenURL resolver, which indicates the library's holdings, gives a target OpenURL, and sends the patron to the full text target. In essence, there are multiple places where problems could occur instead of a single place as with the proprietary URLs. While the linking process does have problems, an advantage is that OpenURL resolver vendors have taken over most of the linking setup and determined where to link to the full text. In addition, participation by abstracting & indexing and full text database providers has exceeded that of proprietary linking.

Kasprowski added that while OpenURL does work, there has been no improvement to it in the last ten years. Dynamic linking is less predictable, as the syntax links may change without notice. In addition, OpenURL links are often incomplete and inaccurate due to metadata problems from the vendor databases which cause linking to fail. The IOTA project intends to help improve OpenURL linking quality by spotting these problems. The methodology used for solving the problem is called quality metrics, in which IOTA "makes use of log files from various institutions and vendors to analyze element frequency and patterns contained within OpenURL strings." The quality metrics system developed by IOTA scores resources on these areas that affect linking and produces reports that give the users of the system information to improve their OpenURL strings so that patrons can link to full text.

The scoring system came about after Adam Chandler conducted a 2008 study and the concept of a scoring system was discussed. The idea was to create a baseline for comparing OpenURLs from different content providers and develop a best practice. The problem analysis in Chandler's study was limited to the source link and does not take into account the target database URLs. A high score in the tool does not indicate successful linking, as linking can also be influenced by the knowledgebase, the OpenURL resolver, and the full text provider. Kasprowski added, however, that if there were also improvements made in target database URLs, we could see improvement in

linking because the target databases would be configured to support incoming OpenURL compliant links.

There was a good question and answer session after the presentation. Among the issues discussed was whether libraries could use the reporting system to compare OpenURL linking in two databases, or perhaps the same database from different vendors.

Kaprowski's slides are available at <http://www.slideshare.net/rkaspro/iota-nasig-2011-measuring-the-quality-of-openurl-links>. The scoring tool and other information are at <http://www.openurlquality.org/>.

### **Shaping, Streamlining and Solidifying the Information Chain in Turbulent Times**

*Jose Luis Andrade, Swets;  
Meg Walker, Taylor & Francis;  
Anne McKee, Greater Western Library Alliance*

Reported by Janet Arcand

Anne McKee discussed how the Greater Western Library Alliance (GWLA) is responding to leaner, meaner times. GWLA now uses Google Apps for its website and Basecamp as a project management tool. It has invoked SERU (Shared Electronic Resource Understanding), saving on the time and cost of negotiating licenses. It is working on collection development initiatives such as GIST (Getting It Systems Toolkit) and a pilot project to allow members to view the orders of other members. GWLA's member ILL departments have used purchase on demand, or user-driven purchase, for years. E-journal package purchasing can be streamlined by ceasing reconciliation list work and just having new starts and transfers accepted into the package for no added cost during the license period; one library saved 40 hours of staff time in this way. Another trend is to renew existing agreements instead of negotiating new ones. GWLA is providing new services such as invoicing for packages and discounts on conference calling and

hardware equipment. It also provides each member with an annual report on the cost avoidance that they achieved through GWLA.

Meg Walker of Taylor and Francis related that, although they usually use a John Cox license, negotiating changes is time-consuming and the company needs to better publicize their willingness to invoke SERU. They support using the Transfer Code of Practice to provide consistent guidelines that ensure accessible journal content to subscribers when journals transfer to new publishers. They also support OpenIdentify as a standardized method to identify institutions and streamline the renewal process. The Taylor and Francis website provides updates, subscription information, pricing, a librarian newsletter, and links for subscription activation, usage statistics, and customer service. They are migrating subscriber account information to their new platform which will have automatic redirects from Informaworld. The audience was encouraged to keep in touch with everyone in the subscription chain and to ask for extensions or license amendments when needed.

Jose Luis Andrade explained how Swets "shapes" their services, by providing tools and improving the delivery of information based on customer feedback. They have a forum for conversations with a mindset to listen, interact, react, and implement. They help libraries decrease workload, increase staff support, and maximize budget use. Swets services are designed to appeal to patrons, enhance speed and searching, and to help the library market its services. Andrade sees Swets "streamlining" in its shifting from being an agent to being a full service information solutions provider, and leading the industry in standardization, integration, and innovation. It is currently working with publishers to launch the ICEDIS XML claiming standard, and supports standards such as ONIX-SPS and ONIX-SRN to improve communication accuracy. Swets is "solidifying" by retaining existing customers through its services and support, and by marketing to new customers who could gain the most from Swets services.



## **Gateway to Improving ERM System Deliverables: NISO's ERM Data Standards and Best Practices Review**

*Bob McQuillan, Innovative Interfaces Inc.;  
Deborah England, Wright State University (unable to  
present);*

Reported by Laura Secord

In response to ongoing challenges with electronic resources management (ERM) systems, NISO established the ERM Data Standards and Best Practices Review Working Group in 2009. Bob McQuillan, a member of the group, reported on the history leading up to the project, the process used to identify and analyze key elements, and results thus far. The project built on the work of the Digital Library Federation's Electronic Resource Management Initiative (ERMI), which in 2004 published a report that included a "data dictionary," considered key to the functionality and interoperability of ERM systems. The charge for the NISO project was to conduct a "gap analysis" of ERM-related data, standards, and best practices; review the ERMI Data Dictionary and map its elements to other relevant standards projects; and to consult with vendors and libraries using ERM systems and other stakeholders for additional feedback on data requirements, implementation, and standards.

The session identified some of the problem areas in ERM system development and implementation, including system implementation, workflow and internal communication issues, problems with licensing and license tracking, issues for consortia services, cost-per-use data and resource evaluation, and the management of e-books. In an effort to analyze existing standards and best practices and map them to the ERMI Data Dictionary elements, the working group established four categories of standards and best practices: link resolvers and knowledge bases; the work, manifestations and access points; integration of usage and cost-related data; coding license terms and defining consensus; and data exchange using

institutional identifiers. McQuillan presented an informative snapshot of twenty-three relevant standards and best practices (e.g. IOTA, CORE, SUSHI, COUNTER, ONIX, SERU), outlining the findings for each in terms of correspondence and overlap; comparing meanings and uses; and determination of whether the ERMI Data Dictionary should address the standard, or if the relevant standard (with revisions) is sufficient to address ERM needs.

For further information on the ERM Data Standards and Best Practices Review Working Group, go to <http://www.niso.org/workrooms/ermreview>.

### **Continuing Resources and the RDA Test**

*Regina Romano Reynolds, Library of Congress;  
Diane Boehr, National Library of Medicine;  
Tina Shrader, National Agricultural Library*

Reported by Pattie Luokkanen

Regina Romano Reynolds from the Library of Congress, Diane Boehr from the National Library of Medicine, and Tina Shrader from the National Agricultural Library are all members of the U.S. RDA Test Coordinating Committee. Their presentation gave a thorough account of the careful test preparation and data collection done to perform the RDA Test on continuing resources. However, they began the presentation by letting us know that the decision regarding RDA will be announced just before ALA. We will have to be in suspense just a little bit longer.

To prepare for the test, a website was set up for communication with testers using the project management software, Basecamp. Testing materials were posted at the website. Testers were given free access to the RDA Toolkit during the test period. The range of materials had testers cataloging formats that they had never handled before. Eight surveys were developed using SurveyMonkey. Each time a cataloger created a record they had to fill out a survey. Surveys were also conducted to gather the opinion of library

administrators. The findings of the test came from all of the surveys, as well as all of the test records. The mountain of data collected was a challenging amount of information to analyze. Much more was received than was expected -- 23,366 bibliographic and authority records and 8,509 surveys!

A divide-and-conquer strategy was used to deal with the amount of data collected. Their strategy was to create a benchmark RDA record. They created a core version and a core plus version. Charts were used to put together the information collected. Issues related to formats and modes of issuance were explored. They also looked at the time it took to create the records. They were able to consider the learning curve by comparing the difference in the amount of time it took to create a record from the first instance to the last per institution. A rich amount of data was received and the comment boxes on the survey were well-used.

The basic concept of a serial has not changed with RDA. The scope of what serials catalogers do is the same. Successive entry is here to stay. There are, however, some things that are new in RDA that were not done in AACR2. The group found that there are still questions to be answered; some community decisions are needed. There are areas that will generate confusion if we move to RDA, especially converting from AACR2 for continuing resources.

A question was raised at the end of the presentation regarding the amount of extra characters needed to type into the RDA records and the timing of this change coming when budget cuts are causing workloads to increase. The answer was that this was why a test was conducted -- for evidenced-based decision making. A cost benefit analysis has been done and the take home message was, "Stay tuned!"

## **The Razor's Edge: Louisiana's State Budget and the Serials Crisis of 2010-2012**

*Sara Zimmerman, LOUIS: the Louisiana Library Network;  
Michael Matthews, Northwestern State University;  
Karen Niemla, University of Louisiana at Monroe*

Reported by: Amy Carlson

Sara Zimmerman, the executive director of the Louisiana Library Network (LOUIS), began the presentation by describing the collaborative infrastructure of LOUIS. Established in 1992, LOUIS levels the playing field and allows the forty-seven partnering libraries to "do more with less," through sharing vital services such as library automation, authentication of resources, link resolver, metadata searching and interlibrary loan. The staff of LOUIS provides systems support, electronic resources negotiation, licensing, statistics, and billing for statewide purchases. LOUIS is a member-driven organization, but is tightly connected to the Louisiana Board of Regents. In June 2010, with significant turnover in the Board of Regents, the board eliminated LOUIS from the budget. Although a fraction of the funding was later reinstated, the seventy percent cut in funding two days prior to the 2010-2011 fiscal year meant the staff had to become creative to continue providing the basic infrastructure upon which the member libraries depended.

Michael Matthews of Northwestern State University continued the presentation by relating the troubled fiscal situation facing the state. With a return of between six and seven dollars for every seven dollars invested, LOUIS saved the state millions of dollars in cost avoidance, and yet the decision to cut LOUIS came from the Board of Regents simply because their budget was cut. The Regents were unaware of the workings of the collaborative infrastructure. Fiscal year 2011-2012 is a "cliff year." With federal stimulus monies drying up, an increase in the state's contribution to Medicaid, various tax repeals, and the economic nightmare of the BP oil disaster, Louisiana faces a \$1.6 billion shortfall.

Matthews delved deeper into the economic situation facing Louisiana, and the nation as a whole, showing the widening gap between what states pay out and what they take in as revenues. In this climate, higher education institutions, and in particular four-year schools, are under fire to fund their own enterprises. Not only does this treat education as a commodity, but many institutions are adopting business models, such as productivity measures and other assessments of faculty and curricula, for decision-making. Acquisitions of new materials, and paying for serials price increases in particular, forced many members' libraries to not renew subscriptions over the last few years, relying instead on shared purchases through LOUIS. Where LOUIS could once help alleviate some of the financial burden of inflationary increases facing member institutions through cooperative purchasing of electronic resources, now, the future is unknown. Matthews asked the group, at what point do you do less with less?

Karen Niemia concentrated on the process used to generate and utilize public support of LOUIS. She described the outreach marketing which they began to try to reverse their situation. They branded LOUIS on the login page, including a warning to patrons about budget cuts. This warning also instructed users that they could help by going to a website. This brought immediate visibility to LOUIS and to their services. Niemia made a cartoon about the crisis and posted it on YouTube, with contact information for Louisiana state legislators in the comment notes. Because the LOUIS website was meant for business and not for updating patrons on the ongoing crisis, Niemia acquired a domain name (savelouis.org) and hosting with her own funds, and built a website. She gave tips on this process, including developing a clean and useful design, providing links for patrons to connect with legislators and members of the Board of Regents, and collecting statistics from the hosting company regarding RSS feeds, views and emails sent. She strongly recommended taking social networking sites seriously in this process as a form of control over message and intent. For example, not allowing comments on the social media page allows them to protect the

organization from harmful comments. In the process of getting the message out about the budget cuts facing LOUIS, Niemia used a variety of social media avenues with a consistent message, easy instructions for "friends" to help, and frequent updates to keep people engaged in the process.

## *Tactics Sessions*

### **A 10 Year Collaboration—Still Going Strong: Ulrich's and ISSN**

*Laurie Kaplan, Serials Solutions;  
Kara Killough, Serials Solutions*

Reported by: Amy Carlson

Kara Killough of Serials Solutions opened the presentation by introducing the partners, their roles, and their evolution over ten years of collaboration. The U.S. ISSN Center, formerly the NSDP, assigns ISSNs, creates metadata for OCLC and the Library of Congress Catalog, answers questions and requests, and works with metadata standards. R.R. Bowker was the original partner with the Library of Congress on the project. Laurie Kaplan described the relationship between the Ulrich's team, part of the original Bowker contract, and the current affiliation with Serials Solutions under the Cambridge Information Group. The Ulrich's team creates the metadata for the Ulrich's Periodical Database, which feeds both the print and online Ulrich's products, as well as provides metadata for sister companies such as ProQuest and Serials Solutions. A shared employee located at the U.S. ISSN Center provides a vital data collection relationship between the two partners, and over the course of four years, the position evolved with its four employees.

The shared employee's responsibilities reflect both the commonalities and dissimilarities between his two employers. On the Library of Congress side, Eric, who is currently in the position, assigns ISSN, creates serials records using CONSER rules, looks for titles of interest such as niche or unusual subscriptions for the Ulrich's

team, follows up on prepublication assignments, and solves problems. On the Ulrich's side, he creates records for the Ulrich's database, adds data fields unique to Ulrich's, such as peer review status and subscription information, and fills in data gaps. He also provides MARC/AACR2 expertise, creates authority records, normalizes records, and helps solve problems. Kaplan and Killough highlighted the metadata commonalities between the two partners, as both the U.S. ISSN Center and Ulrich's have a history of standardization and normalization of serials titles through the ISSN.

A contractual agreement between the two partners details the intricacies of bringing together a governmental agency and a for-profit enterprise. Library of Congress provides a workspace, tools, training for ISSN work, and library standards. Serials Solutions trains the employee in Ulrich's and Serials Solutions processes, supplies access to their databases, and manages the position.

Many parties benefit from this partnership. For U.S. publishers, it's a one-time application to obtain an ISSN and create an entry in the Ulrich's database. At the same time, the metadata is recorded in OCLC WorldCat and the Library of Congress catalog. For the U.S. ISSN Center, they have a dedicated person who frees up their staff to work on other projects, as well as a liaison between the publishing industry and the U.S. ISSN Center. Serials Solutions benefits from the partnership by having a rich source of metadata, pre-publication information, and the added ability to track down niche or rare serials. In addition, the partnership increases the authoritative ISSNs for Serials Solutions' database and exposes Serials Solutions to Library of Congress metadata standards, including subject headings. The benefits to the library community include ISSNs for worldwide use, greater follow-up with publishers for pre-publication ISSN assignments, completion of pre-publication records and more problems resolved between libraries, publishers, aggregators and digitizers.

Some of the challenges facing the shared employee reflect the difference between the two partners. The project requires re-keying data into two different computers due to security issues. The two partners strive for converging rather than parallel data paths and Eric, the current employee, transfers more information electronically between the two systems than previous people. There is a slight difference in cataloging practice, especially regarding subjects and publications in multiple formats. Two supervisors, one remote and one on-site, manage the position, increasing the potential for differences in ideas and management styles. Also, there are different work policies between a governmental agency and a company. Ultimately, the U.S. ISSN Center, Ulrich's database, and Serials Solutions use many of the same data elements, and both partners strive to enhance the metadata in records used by researchers.

The successful collaboration shows that a public-private partnership can succeed. Some of the reasons for this success include metadata and library standards, which facilitate communication, interoperability and partnerships. The collaboration itself will assist the two partners through the RDA/Bibliographic Framework Transition Initiative. Because serials are high-maintenance in general, this partnership creates a way to share the common data elements between the two partners, allowing them to concentrate on adding data to their unique fields. Future directions for collaboration reflect the immediate and long term changes and opportunities with each partner, such as exploring linked data with Library of Congress, transferring data between the two systems electronically, preparing for RDA, contextualizing metadata, and moving beyond serials.

The audience members asked about where publishers can go to report changes in titles or title ownership, how the two agencies handle serials title changes, and how to report incorrect coverage data on the Serials Solutions record.

## Using Drupal to Track Licenses and Organize Database Information

*Amanda Yesilbas, Florida Center for Library Automation*

Reported by Esta M Day

As libraries focus more of their budgets on electronic resources, properly managing these resources becomes increasingly important. A number of proprietary and free ERM systems have been developed specifically to manage the lack of holdings, vendor, and licensing information that comes with each electronic resource. Although these products offer one solution to the problem of managing large amounts of inter-related and sensitive data, they are not the only answer. In this session, Amanda Yesilbas of the Florida Center for Library Automation (FCLA) described how she used Drupal, a content management system, to track and store vendor, licensing, and usage information for FCLA's electronic resources.

Yesilbas first discovered Drupal when she used it to design the FCLA website. She noted that Drupal was easy to use and accessible even to someone who had never designed a website. Additionally, the system offers varying levels of user permissions, which is ideal for the FCLA because it handles e-resource licensing for eleven state universities. Drupal's robust searching and organizational capabilities are ideal for the types of relational data that is typical with e-resources. Also, because Drupal is open source, it is completely customizable.

After discussing some of the benefits of Drupal, Yesilbas gave a demo of her Drupal database. The demo explored some of the functionalities and capabilities of her ERM. Because Drupal's interface is web-based, the database appears as a webpage. Licensing information is organized by vendor, publisher, or resource. Licensing terms are entered by using a drop-down menu, and permission levels are set so that only certain users see certain types of information. Additionally, a

calendar visually displays important events, such as license renewals.

Data is organized into records that only require one-time population. For example, if a journal is published by Oxford and purchased from EBSCO, the process might be as follows: a specific journal record would be created, a vendor record for EBSCO and a publisher record for Oxford would be created, and these records would be linked to the journal record. If the EBSCO or Oxford records already existed, they would simply need to be linked to the journal record; once created, the data in these records does not need to be re-entered with each new record.

The FCLA Drupal-based ERM system offers one more way for information professionals to manage their electronic resources. Although the system is not pre-loaded and pre-packaged like proprietary ERM systems, it is fully customizable and its capabilities are worth investigating for some organizations.

## Using Assessment to Make Difficult Choices in Cutting Periodicals

*Mary Ann Trail, Richard Stockton College of New Jersey;  
Kerry Chang FitzGibbon; Richard Stockton College of  
New Jersey*

Reported by Anne F. Rasmussen

This talk was co-presented by the Coordinator of Library Education and the Serials Librarian at Richard Stockton College of New Jersey. Their focus centered around two aspects of this project; Trail addressed history, culture, and communication at their institution, while Chang FitzGibbon outlined their project's objectives, procedures, and outcomes.

Trail began her presentation by discussing significant changes in their library. Comparing holdings from 1990 to 2011, Trail detailed the vast increase in electronic resources at their library. Escalating journal costs, a decrease in the library budget, and new college

programs increased the complexity and amount of budgetary constraints. In addition to this, the faculty's relationship with librarians was tenuous prior to the periodical cut project. The support of the faculty was important to the library, but how was the library to increase positive relations while cutting \$29,000 from the budget? With a new library director focused on data-driven decisions, librarians and staff worked to make the necessary cuts while overcoming an uneasy relationship with faculty through communication, clear objectives and procedures.

Chang FitzGibbon outlined the objectives of the periodicals assessment project, the process to achieve the objectives, and the outcomes. The objectives included: addressing a \$29,000 budget deficit; verifying overlap in the electronic accessibility of print titles in databases already purchased by their library; proactively communicating with the faculty by demonstrating no loss of access with print cancellations; and ensuring stability and access of electronic resources.

Chang FitzGibbon's focus was to identify low-use current print subscriptions to which the library also had current electronic access, and then target these titles for cancellation. All electronic access was considered in this project, including titles accessible through aggregators. Using their link resolver and a spreadsheet, Chang FitzGibbon generated an overlap analysis report, then exported and merged multiple files to create one large file containing titles of all journal holdings (in all formats) in their library. Any database limitation, such as an embargo, was noted in these files. With this spreadsheet, it was clear to see which current print titles were accessible electronically through subscribed databases, e-journal collections and aggregators. Usage statistics were collected, and online stability was examined for these current print titles. Current print titles with low usage and with stable electronic counterparts were submitted to the library director to be considered for cancellation. The director then submitted recommendations to a campus-wide committee for consideration. Faculty had the

opportunity to question choices before final decisions were made.

The result of this project was a successful target cut in the budget with no loss of access to current titles. Because the faculty was involved in this process, the faculty not only accepted these cuts, but also became the library's strongest ally, expressing interest in asking university administration for additional library funding. Showing transparency in the process and communicating throughout the project, the library demonstrated to faculty they were working for the best possible outcome for the entire campus.

### **Exploring Patron Driven Access Models for E-Journals and E-Books**

*Erin Silva Fisher, University of Nevada, Reno;  
Lisa Kurt, University of Nevada, Reno*

Reported by Rob Van Rennes

Erin Silva Fisher, Document Delivery and E-Resources Librarian, began the presentation by highlighting the benefits and challenges for libraries in relationship to some of the new pay-per-view services being offered by publishers. According to Fisher the attractiveness of the pay-per-view models stems primarily from the financial savings of eliminating the acquisition of unneeded and low use materials while seamlessly fulfilling the informational needs of users.

When embarking on a new pay-per-view model, there are a variety of considerations for librarians to keep in mind when tailoring the program to their specific library. Among the attributes to scrutinize are customization and viability, level of mediation, stability of the model, security to prevent abuse of the system, and scalability to fit the requirements of the individual institution. All of these elements play a part in determining whether the services will be successful.

At the University of Nevada, Reno (UNR), a pilot project was initiated for pay-per-view and ultimately

abandoned after it was deemed to be too labor-intensive. Despite the discontinuation of the project, Fisher explained that it was a worthwhile learning experience. The models will evolve over time; when UNR is ready to test pay-per-view again, the staff will be more prepared to evaluate the services. Although these budding models have strayed from traditional library services, Fisher stated that they keep libraries relevant and viable. Her advice to other librarians was to get involved in the process and work with publishers on innovative models, as it's the only way to improve future services.

Lisa Kurt, Head of E-Resources and Acquisitions Services, continued the presentation by discussing the new models of patron-driven acquisitions (PDA) of e-books. As with pay-per-view, the variety of options and vendors create a myriad of choices for librarians considering PDA services. It's important to know whether short-term loans or outright purchases are desirable, the library's preference for mediated or unmediated purchases, and the strengths and weaknesses of the providers in terms of content, interfaces, and services.

Benefits of a PDA program include purchasing only the content that is being used, providing an enhanced user experience with superior access, and saving physical space by acquiring electronic sources as opposed to print materials. However, there are challenges for libraries, one of the most troubling of which is bibliographic record management. The quality of some records is less than ideal, and the appearance of duplicate records in library catalogs may occur if proper precautions are not taken. Without restrictive parameters, it's also possible to spend funds at a faster rate than anticipated and purchase materials that the library wouldn't otherwise consider.

Kurt concluded that there are many lessons to be learned, and encouraged the audience to work with new PDA models. It's important to collaborate with colleagues and publishers, ask questions, start small if there are concerns, and remember that nothing is

permanent, so libraries shouldn't be afraid to experiment.

## **One Academic Library – One Year of Web Scale Discovery**

*Tonia Graves, Old Dominion University*

Reported by Virginia A. Rumph

Tonia Graves presented Old Dominion University (ODU) Libraries' experiences during the first year of implementing a web discovery product. Her talk focused on four efforts: reconsidering the role of the ILS; website redesign; planning for mobile services; and implementing WorldCat Local. ODU has used Innovative's ILS since 1995, and in 2010 the librarians requested an audit to ensure that the library was using the Millennium ILS to its full potential. The audit recommendations included making better use of fixed field codes, consolidation of vendors and vendor records, using electronic materials selection, and editing and redesigning the fund code structure. Re-indexing was also recommended to add needed fields and subfields, as well as statistical category tables. As the result of a reorganization that was occurring at the same time, an Innovative Steering Team was created to make recommendations on policies, new products, and fundamental changes to the use of the ILS. It proved very important to get the ILS in good shape before WorldCat Local was implemented.

In 2008 a Web Electronic Services Team was formed to redesign the ODU Libraries' website. As a result, WorldCat Local was added as the main single search box, as well as a link to the ODU catalog, a site index, a feedback link, separate links to resources for faculty, graduate students, and distance students, plus tabbed navigation. Since the launch, there have been the following changes: "ownership" of pages has been assigned for ongoing revisions; templates have been updated; functional titles were added to the staff directory; Google Analytics was implemented; and

usability testing has begun. Streamlining the site's updating process still needs to be completed.

Creating the mobile website is a work in progress. However, the mobile site includes links to the library's hours, a floor map, catalog, mobile article databases, a "Contact us" link, library news, as well as an iPhone/iPod/iPad app to download.

In January 2010, WorldCat Local (WCL) was implemented as ODU's web scale discovery tool, with Friends of the Library providing funding for the first two years. Offering WCL fulfills the library's goal of simplifying access to library resources through a single search box. Since the launch, the usage reports creation process has been refined, the contract was renewed, and mobile access has been implemented. Staff training still needs to be done, as well as the addition of more databases to the advanced search, and establishing "ownership" of specific areas of WCL. Unfortunately, there was a lack of communication, and no staff input in choosing WCL. The Reference staff resisted using it, or incorporating it in teaching. On the positive side, patrons use it, with usage reports showing that the lowest point on the graph for 2011 is higher than the highest point for 2010. The satisfaction of users seems to be causing reluctant library staff to come around, so the overall picture is definitely positive.

### **Through the Gateway: Reporting on Collections**

*Sandy Hurd, Innovative Interfaces, Inc.;*

*Tina Feick, Harrassowitz;*

*John Smith, American University Washington College of Law*

Reported by Amy Carlson

Tina Feick asked the audience to pretend: that a new provost arrives on your campus and asks for as much data as possible; that your institution offers early retirement incentives, and five of your ten senior staff members opt for the early buyout; that your director

decides to leave with no succession planning, and you must plan for a fifteen percent budget cut over the next two years with an unknown percentage each year. You have thirty days to plan, and you need data. While the scenario may seem over the top, similar events happen regularly throughout the library world. Having a plan in place and a known methodology for acquiring your data will give you an advantage, both for everyday decisions and in times of change.

The presentation provided insight into the data organizing process from three different perspectives: the ILS vendor, the subscription agent, and the library. Development begins with a few steps: start with internal discussions and brainstorming. Create a business case that ranges from one sentence to several pages, answering the question, "I wish I had this because..." Sketch out a first version, or 1.0 feature list, and begin to code it. Development progresses through a series of iterative processes, including market research, brainstorming, talking to customers or stakeholders, and working with beta testers to receive feedback in order to start the process again.

Subscription agents come up with new ways to report, either through specific requests or from brainstorming. They need to address if this is a one-time or ongoing report, whether or not they already have an existing report, or if this is a new kind of data collection. Also, they need to identify another partner who can help with collecting this data. By looking at the business case, or what you need, and when and why, some of these questions can be easily answered.

In the past, communication and data exchange flowed between the library, intermediaries (agents, jobbers, consortia), and content providers (publishers, aggregators) in a triangle. Now, with many more partners and combinations possible, the triangle changes shape and the relationships between these various entities look more like a Venn diagram. The overlapping spaces between the partners emerge as the cooperation needed to produce the necessary information. Making it work between all of the



partners means custom development every time, even with standards in place. One thing to remember is that reporting exposes data and may require clean up. You must determine how much cleanup you will do and if your vendor can help. Decision making, as part of this process, includes the problems you must solve, the problems you want to solve, the statistics you need, and the time you have to complete the work. When requesting reports, clearly define what you “need” in a business case and give the scenario to the sales or customer services representative, who may know of a better solution than the report you are requesting. Providing feedback helps the entire development process—not just for the library, but for the vendor as well.

Agents offer a variety of standard reports with many data elements. Renewal lists, price comparisons, price increase reports, and subscription management information all provide vital data. They can also provide other kinds of data to help make collection development decisions, such as budget information, subject analysis, publisher package and licensing information, and usage statistics. Trends in reporting include: tools for reporting statistics; separate, robust data stores; and trends analysis or transactional data. Tools that provide this data should be easy to use and web-based with unlimited access. No one wants to rekey this information between systems in order to achieve this kind of statistical and trends reporting, so the data must flow in an integrated system, or between servers, in order to achieve this. Currently, many of the systems act as separate silos of data, and the presenters encouraged us to ask vendors for more standardized data exchange.

John Smith provided a specific case study at the Pence Law Library. Through use of the “Reporter” module as part of their ILS, they were able to very quickly determine trends in circulation over a period of time. By having this information so readily available, they can be more confident in making decisions regarding collection development, such as the shift from print to electronic resources. When they looked at their data,

they found that six of the top ten circulating items were not books, but service items, such as laptops and headphones. He recommended that the audience check data often. He also suggested that libraries should lobby their vendors and other partners to assist in periodically collected data, such as ARL statistics, in order to work together to solve common problems. The timeliness of data and the ability to easily manipulate it enables the library to move forward logically, predictably, and transparently. Smith reminded the group that students and faculty want to know how the library spends their money, not just the institutional administration.

In conclusion, they suggested that libraries have data located in systems. By working together with the information from their vendors or partners, this information need could be realized through a utility to easily exchange data and to create reports. One of the most important parts of the process is determining your business case, or what you need, and when and why.

Questions from the session included access to reporting data at Pence Law Library, and Pence Law Library’s “Reporter” module. Many audience members commented on the need for more help with presenting information or visualizing statistics for their administrations, or for a standardized list of terms between partners to facilitate communicating to administrators.

## **New Life to Old Serials: Digitizing Back Volumes**

*Wendy Robertson, University of Iowa*

Reported by Virginia A. Rumph

As more and more of our patrons access materials online, it is in the library’s interest to make as much of our content accessible to as wide an audience as possible. Wendy Robertson, Digital Resources Librarian, gave a primer on the many considerations that should be addressed when starting a digitization project. For instance, is the material under copyright, or in the case

of a serial, are some of the issues in the public domain? There are many websites that can be used to help answer that question. Has the title already been digitized? Check the DFL/OCLC Registry of Digital Masters to find out. Does the digitized serial have gaps that your collection could fill? Before beginning, assess your priorities, as well as any financial or other constraints. Whenever possible, enlist partners to digitize the entire run of a serial. Using an item's condition as the main criteria for scanning will result in an online collection with gaps. The primary motive for digitization could be preservation, or improved access. Standards and best practices for the presentation of digital materials are widely available online. As an example of a well-planned naming standard, University of Iowa uses a unique number for each serial with an added number for each volume/year/issue to keep all the issues together for effective searching and retrieval.

It is crucial to think about how the material will be used. Retrieval is impeded when serial content is presented as a bound unit instead of as individual pieces related to other pieces. Various considerations must be taken into account in creating PDFs. Use the best Optical Character Recognition (OCR) you can afford to achieve the highest quality results. Also, consider accessibility, including mobile users. The default OCR option gives unsatisfactory results, whereas Clearscan is easily readable. Tags and soft hyphens make a difference, too. The way serial issues display varies widely from platform to platform. Robertson showed examples of the good, bad, and ugly ways serials are presented in digital collections. Google Books and Project Gutenberg are examples in which display can be problematic. However, HathiTrust seems to do a much better job of presenting content. Illustrations are especially error prone online. Robertson reemphasized the importance of breaking the material down to its smallest logical reading unit, such as the article or chapter level. Also, ensure that the PDF can be cited in isolation. She recommended requesting an ISSN if the serial doesn't already have one. Do not forget to make provision for title changes. Will all the title changes be easily findable, or will previous titles be hidden behind the

latest title entry? If at all possible, become involved in your organization's digitization effort to bring a much-needed serials perspective to the endeavor. See [http://ir.uiowa.edu/lib\\_pubs/78/](http://ir.uiowa.edu/lib_pubs/78/) for links to many examples from the presentation.

### **Gateway to Good Negotiation: From Computer Mediated Communication to Playing Hardball**

*Beth Ashmore, Samford University Library;  
Jill Grogg, University of Alabama;  
Sara E. Morris, University of Kansas*

Reported by Laura Secord

Negotiation is a skill needed by every librarian, whether you're negotiating a new license agreement, working on collection development, or hammering out the details for a new initiative with a faculty member or community organization. This engaging session highlighted the basics of negotiation from its roots in communication theory, as well as some of the specifics of negotiation preparation and technique. The first section of the presentation focused on communication theory and its role in negotiation. It was noted that in any situation involving negotiation, you must determine what kind of communication you're dealing with, analyze and interpret the "noise" that may affect your message getting across, and apply a feedback loop to mitigate or eliminate the noise.

The second part of the session emphasized the importance of preparation prior to negotiation. The presenter noted that one key to good negotiation is listening to the experts. Preparation is essential. Do your homework and know who you're talking to—find out as much as you can about both the vendor and the individual you'll be negotiating with. Session participants were also encouraged to take the time prior to negotiation to "know thyself," learning as much as you can about your own organization and its resources, policies, past license practices, limitations, needs, and so forth. Be willing to walk away and know what your bottom line is. The presenters advised

listeners to let go of the idea of winning vs. losing and instead to look for options for mutual gain.

The final section of the presentation explored the advantages and disadvantages of several factors that may affect the ability to negotiate, including consortia, economic downturn, publisher consolidation and the Big Deal, open access, and technology.

The presenters have written a three-article series, "The Art of Negotiation," that appeared in the 2009 volume of *Searcher: The Magazine for Database Professionals*.

### **On Beyond E-Journals: Integrating E-books, Streaming Video, and Digital Collections at the HELIN Library Consortium**

*Martha Rice Sanders, HELIN Consortium;  
Bob McQuillan, Innovative Interfaces, Inc.*

Reported by Diana Reid

The HELIN Library Consortium is comprised of twenty-four libraries, including ten academic and fourteen special libraries. Most of these libraries are in Rhode Island, with one consortium member in Washington, D.C. and one in Massachusetts. The libraries have a shared Innovative Interfaces ILS, although there are two instances since Brown University maintains its own.

Sanders began with a brief overview of the decision-making process at HELIN. There is a board of directors, consisting of the directors of each academic library. The executive director leads the board and sets out the strategic agenda, which the board accomplishes through the work of committees, task forces and the like.

For 2011, the strategic agenda directed the board to pursue cooperative purchase and licensing of e-content, investigate centralization of technical services, pursue "single search box" or discovery options, evaluate the current ILS, and identify professional development opportunities.

The 2011 strategic agenda was driven in large part by changes in collection development trends, from individual acquisitions to purchasing and providing access to bundled collections of e-materials; first e-journals, then e-books, and now heading into streaming content. Collecting bundled e-content, especially in newer formats, means libraries are acquiring items they would not necessarily have chosen with a more traditional collection development model. E-books now are where e-journals were about 8 years ago. More recently, the addition of streaming content (e.g. image and sound, from Alexander Street Press) is stretching boundaries and the limits of traditional processes even further.

Next we learned more about HELIN's approach to managing bibliographic records with the aim of truly integrating diverse e-content types and print materials using the Encore discovery tool. HELIN follows the Program for Cooperative Cataloging (PCC) provider-neutral record guidelines. For e-journals, HELIN subscribes to Serials Solutions MARC records. In the past, HELIN used a dual-record approach for cataloging e-journals, creating separate records for print and electronic versions of the same item; in large part this was done because not every library in the consortium had access to the same titles. Since they had been using separate records for print and e-journals, all they had to do was to create a list of their e-journal records and then delete them after the initial upload of Serials Solutions MARC records, which now require one monthly de-duplicated batch file to maintain. The ERM generates separate holdings displays that are customized for each library, and libraries can further customize the presentation of other ERM data they may want to display.

For e-books, HELIN anticipates that they will use bibliographic records from Serials Solutions, which has not started yet because they have decided that all their e-book records should come from one provider. They have many vendor-supplied bibliographic records, and they do not outsource cataloging of collections with fewer than 100 titles; these are cataloged in-house

using OCLC or SkyRiver. All records come through one central office to be sure that they meet minimum bibliographic standards set by the consortium. If a provider won't make changes, Sanders uses MarcEdit to make them herself.

The next part of the presentation focused on Encore, the discovery tool central to HELIN's approach to integrating electronic and print materials. Encore is designed to expose digital content across all formats. Data harvesting that uses the Open Archives Initiative Protocol for Metadata Harvesting (OAI-PMH) is done in advance of a search, and data from external sources is indexed locally, which allows for a faster search. Harvesting promotes use of all collections whether they are in MARC or XML-based metadata schemes. The user does not need to know what kind of resources they want, what the library owns, or how the library organizes. They can easily manipulate search results with facets, with Sanders commenting that HELIN's experience has been that patrons don't realize that they are searching "everything," and more robust tools are needed to narrow search results. Bob McQuillan talked about community tagging as an untapped methodology for organizations. Tagging can expose partially described content, which can then be found and used.

HELIN bought Encore in a package with their ERM (Millennium). They saw an advantage to having a familiar platform, as they had been using Innovative's OPAC. Encore also offers facets for enhanced selection, such as a search refining tool, harvested content, and context-sensitive linking. As of May 2011, journal articles are included in search results; Synergy, which harvests article content, was added to Encore, but this is difficult to manage because not all libraries have access to all titles. Since articles are frequently desired by users, search results have a separate tab for Top Results in Articles, rather than being returned individually ranked with all other search results. Users can mouse over the article title to see article metadata before deciding whether to click through to the database.

At this point Sanders posed a question to the audience as food for thought: When you are able to incorporate journal articles for most of your licensed content into search results in the catalog, how important do the journals themselves remain?

In search results, the tag cloud replaces traditional subject headings; the first part of the cloud gives the most popular tags/subjects, but one can access a long list of every subject heading in the retrieved records, which can be beneficial for drilling down to a more granular search. HELIN has most recently incorporated material icons with specific designations—sound, text, video, maps, web resources, and print—where the catalog formerly used print, e-govdoc, and web resource for all other electronic formats. This summer, they will split electronic material types further into e-books, e-journals, e-maps, e-videos, and streaming music websites. With Encore, HELIN's digital repository content, which consists of eight bepress Digital Commons repositories, is now exposed through one common platform. The collections include digitized historical papers, unusual collections such as the collection of restaurant menus at Johnson & Wales University, and electronic theses and dissertations. Again, all types of content types are unified in the search results.

Lastly, McQuillan shared an example of Encore and Content Pro, another Innovative product, in use at a public library. The West Bloomfield Township Public Library uses Content Pro to organize their digital collections, and Encore to harvest and expose the metadata. It is a work in progress, currently consisting of eighteen collections, with a different one highlighted each month for patrons. Part of what motivated the creation of this repository was the Greater West Bloomfield Historical Society, who had a tremendous amount of materials they wanted to make available for public use. They also created a centralized collection with information about their sister library, also using Content Pro. All of this cuts down on use of web pages, which are simply not accessible unless browsed. Also included are librarian book reviews, both audio and

video, and lots of encouragement to have patrons contribute their own content. For example, staff members were given Flip video cameras in order to sit with patrons and do impromptu book reviews as part of the summer reading club.

### **Using ESPReSSO to Streamline SSO Access**

*Andy Ingham, University of North Carolina, Chapel Hill;  
Dustin Maclver, EBSCO Information Services*

Reported by Esta M Day

This two-part session addressed single sign-on (SSO) technology from the viewpoints of NISO's SSO Working Group, which aims to develop recommended practices for SSO, and EBSCO, a vendor of electronic resources and related products.

Andy Ingham, of the UNC-Chapel Hill University Libraries and a member of the SSO Working Group, began the session with an overview of the current state of SSO authentication. Ingham noted that content providers and libraries currently face a number of authentication challenges, such as accurately connecting a user with the appropriate institutional license, connecting users that find the resource via the open web and allowing unauthenticated users (such as walk-ins) to access resources. The SSO Working Group was created to address these and other SSO issues.

For those of us who do not have an understanding of the inner workings of authentication technology, Ingham gave a detailed overview of the differences between a proxy-based authentication environment and a SAML (Security Assertion Markup Language) Shibboleth-based system. As a proponent of SSO, he focused on the advantages of SSO over proxy, such as the elimination of IP range management for both libraries and content providers and the use of SSO for other institutional resources.

The SSO Working Group's goals include standardizing terminology for SSO products, describing "use cases" that demonstrate the various ways in which users find

sources and authenticate, developing recommendations for best practices for the relationships between members of the SSO community, standardizing elements and practices in the use and implementation of SSO and ultimately developing a course of action to implement these practices in the online community.

On the vendor end of SSO, Dustin Maclver, of EBSCO, discussed the implementation of SSO in EBSCOhost, EBSCO A-to-Z, and EBSCO A-to-Z with LinkSource. His presentation focused on the capabilities of SSO in EBSCO products, noting that various levels (group, profile and database) and mixed authentication are available. Organizations also have the ability to set up Shibboleth authentication through EBSCOadmin.

Additionally, Maclver noted a few important considerations for potential SSO users. Currently, not all full-text resources accommodate SSO, which means that some other form of authentication will be necessary for these resources. Additionally, because certain SSO technologies are still in the early stages of development, there are some limitations on their stability, operability and security.

### **Managing E-Book Acquisitions: The Coordination of "P" and "E" Publication Dates**

*Sarah Forzetting, Coutts;  
Gabrielle Wiersma, University of Colorado at Boulder*

Reported by Pattie Luokkanen

The University of Colorado at Boulder (CU-Boulder) Libraries has developed an integrated approval plan for e-books and print books using the vendor, Coutts. Gabrielle Wiersma reported that e-books are becoming the preferred format for many reasons. As the University of Colorado at Boulder faces a decreasing budget and stacks space, e-books have a certain appeal. E-books are available 24/7 for multiple simultaneous users. They also can't be lost or stolen, and are great for distance learners and off-campus faculty to use.

CU-Boulder has been building e-book collections for over ten years. They were one of the first libraries to participate in patron-driven acquisitions with NetLibrary. More recently, they have begun using Coutts, which uses the MyiLibrary platform to supply e-books. They just completed a patron-driven acquisitions pilot with Coutts and MyiLibrary in select subject areas. In working with Coutts, they planned to streamline the selection and acquisition process for print and electronic books to ultimately save time and money. This includes selection and acquisition of front list materials and meeting the needs of thirty bibliographers, as well as preventing duplicate orders and sharing access to e-books in a multi-library system. Coutts can send e-books to the library through an approval plan or through Patron Select.

CU-Boulder uses the approval plan and Patron Select. They decided that adding e-books to their existing print approval plan offered many solutions and a high level of customization. Their approval plan allows selectors to review the lists of titles that match their profile. Approval profiles are rule sets, based on instructions from the library that are generally based on bibliographic data, but can also be set on pricing, book type, readership, and so on. After a thirty day review period, Coutts will send any books that haven't been rejected through the online ordering system. The library makes the final decision on whether to acquire the book or not. With Patron Select, the library patron selects a book; Coutts still matches it to an approval profile, but doesn't wait for the library to approve. They send MARC records to be loaded into the library's OPAC but the content is not invoiced until the patrons have actually used it. Patron Select access appears seamless to the patron for e-books.

The biggest challenge faced in setting up their ordering profile with Coutts was the uncertainty of e-book availability and whether the print or electronic copy would come first. Embargo periods imposed by publishers on aggregator platforms also cause problems for e-book availability. Print editions are often available before the e-book equivalent, so they end up

purchasing a print copy despite preferring the electronic version. However, the average delay between print and electronic has decreased over time. Since 2008, they have seen it change from a 185-day delay to a 21-day delay on average. Coutts has helped CU-Boulder come up with some innovative solutions to acquire e-books as the preferred format.

Sarah Forzetting from Coutts explained that Coutts has created a process where print book profile matches are funneled to an "On Hold for Alternate Edition" shelf. If the e-book format becomes available within a certain time frame, they send the e-book and cancel the print order. This process maximizes the possibility of receiving the electronic format. The library still has the option to stop waiting for the e-book and accept the print immediately, if they wish.

Wiersma reports that integrating e-books into their approval plan has really helped streamline workflow for selectors, acquisitions, and cataloging staff. Catalogers have been happy with the content and quality of the MARC records received from Coutts. They add a 956 field to the record with a "MyiLibrary" note to keep track of their MyiLibrary e-books in the ILS. The workflow for their Patron Select e-books is different because they can access them almost immediately, but don't have to pay for them until they have been used two or more times. Cataloging receives a weekly email regarding new Patron Select titles and adds a 956 "MyiLibrary PDA." Invoices are sent monthly to acquisitions for the Patron Select titles that have triggered a purchase. Cataloging updates the 956 field to "MyiLibrary PDA Purchased."

CU-Boulder will continue to evaluate their collections and improve profiles to ensure that they are building a well-rounded collection. The purchased Patron Select titles are monitored for usage and fit with collection development criteria. ILL requests are checked for patterns of book requests that are on hold for alternate editions through Coutts. They also wish to collect more formal feedback from users about their book format preferences, and they will keep making adjustments as needed.

## **Humble PIE-J and What is ISO 8?**

*Bob Boisey, Springer Publishing;  
Regina Reynolds, ISSN Center*

Reported by Mary E. Bailey

The PIE-J Working Group is charged with coming up with a set of recommended practices for the presentation and identification of e-journals. The goal of the working group is to review the problem of e-journals not using previous titles or ISSNs to identify the information found online, and to develop a recommended practice that will provide guidance, particularly in title presentation, accurate use of the ISSN, and citation practices, to publishers and platform providers, as well as to solve some long-standing concerns of serials librarians. These function as guidelines, not standards, allowing for further development. Bob Boisey pointed out that what is really wanted is simple: clarity and consistency for online journals and articles, the journal name on every page, consistency across formats that would require the use of the same title on all versions, and use of the original title and ISSN for previous titles. Citations are the primary way of finding an article, and it would be really helpful if the publisher or platform did not compound the problem by leaving off the necessary information.

Citations are of primary concern when the online site does not indicate that there was a previous title. If there is no previous title given, users construct new citations with wrong information, and older citations will not get users to the correct articles. Articles are hidden because users don't realize that older titles are available on these websites. Link resolvers and catalog records can't be accurate if the website is not accurate. PIE-J supports using all titles with links between to show title history and relationships. JSTOR is a great example of a site that does this well.

So what is ISO 8 and why is it included in this discussion? Regina Reynolds explains that the ISO

(International Organization for Standardization) documented the rules intended to enable editors and publishers to present periodicals in a form which will facilitate their use. These rules help editors and publishers bring order and clarity to their own work. Some may go against certain artistic, technical, or advertising considerations, but the ISO believes clarity is important. The problem with ISO 8 is that it was written in 1977, and does not provide any guidelines for electronic serials. By combining the task of the PIE-J working group and the review of the ISO 8, the elements of PIE-J could be incorporated in the revised ISO 8. It would also be possible to get the word out to more publishers and editors. Every new journal and every new journal format require a new ISSN, so it would be possible to target all of these editors and publishers with the new PIE-J information at the same time as updating them on the ISO 8 standards. Reynolds would like to see a symbol developed that would indicate whether an online journal is PIE-J compliant or ask publishers to sign on with PIE-J. By working together, she feels that both groups would benefit as would all serial users.

## **Preparing for New Degree Plans: Finding the Essential Journal Titles in an Interdisciplinary World**

*Ellen Safley, University of Texas at Dallas*

Reported by Pattie Luokkanen

Dr. Ellen Safley is the Director of Libraries at the University of Texas at Dallas, and is also responsible for collection development. The library is doing rather well budget wise; however, the university has been going through a series of changes. They have a new university president with a focus on the reworking of the curriculum using an interdisciplinary approach. There have been many schools and programs renamed, with some programs combined and others split into separate areas. They have experienced an eighty-three percent growth in degree programs in the past ten years.

## Trialling Mobile and Article Rental Access Options for E-Journal Content

*Grace Baynes, Nature Publishing Group*

Reported by Heather Klusendorf

Grace Baynes, corporate public relations, Nature Publishing Group, explained that Nature is experimenting with new ways to provide affordable, quick options for access to online research. These experiments include trialling article rental options and taking the first steps toward offering mobile options to customers.

### Why Experiment?

Most libraries—more than 4,000—that subscribe to *Nature* have site license access, so the publisher first looked to making pieces of content more discoverable to those who do not have site access. As a first step, Nature worked with DeepDyve to offer online article rentals. Users could purchase access to an article for twenty-four hours for \$3.99. Users cannot save, download or print the article; they must read the content online.

The publisher put five journals with an archive back to 2008 on DeepDyve in mid-December 2010. The thought was that increasing access options to article content would be positive; however, Nature found “the take up to be low.” There were fewer than fifty rentals per month, with the high research month of March seeing forty-five rentals. This was surprising, given that the typical download rate of Nature content exceeds 2.2 million downloads per month.

### Why Was Rental Traffic So Low?

Nature examined the reasons why rental numbers were so low, including the fact that many of the users who want access to *Nature* simply already have it through a site license. Additionally, users may be unfamiliar with the DeepDyve platform. Linking from an article page to

Safley described the process for getting a new degree approved for a public university in Texas. This process includes a library component, which requires a statement from the library director with an evaluation of the collection and costs of acquisitions for the first several years of the new degree. This library component is a quite detailed evaluation of the monographic and serial collections, and others as appropriate. They want to know if the library subscribes to the core journals in the discipline, how they compare to other universities who already offer the degree, and the number of titles in the specific subject versus the number of journals in a particular field.

There are many resources to consider, such as WorldCat Collection Analysis, reference works, periodical index lists, internet journal resources, Ulrich’s, and *Serials Directory*; a list of journal articles produced by current faculty members is also reviewed, and ILL requests are useful as well. ILLiad has a statistical component to determine requests by journal title, date, and requestor. Statistics from SFX, journal citation reports, and impact factor are considered. Ellen admitted that she also uses Google. By searching Google, you can find the top titles in a specific subject and links to blogs, though information may be outdated.

The work continues during the first three years of the new degree, where fine-tuning occurs based on usage data, ILL requests, faculty suggestions, and link resolver data. This fine-tuning involves the elimination of titles due to lack of use.

This presentation was detailed and informative, and concluded with some helpful advice. The tactics used to select new titles in this process can also be reverse-engineered to cut titles. It is important to include assessment in everything that you do, and statistics can be useful when communicating with your administrators. Interdisciplinary is interesting, but not easy!



the rental options on DeepDyve could have been more prominent. Considering that there is a two-week lag between content being published online at *Nature's* site, versus when it is available on the DeepDyve platform, users may be obtaining the article for purchase from the *Nature* site before it is available for rental on DeepDyve.

Audience members suggested that the rental fee of \$3.99 may be too high for a simple rental. Librarians in the audience also suggested that the inability to save and download the article when rented may deter customers, but it is still very early in the trial to make complete conclusions. Nature is continuing to work with DeepDyve to trial their article rental process.

### **Why Go Mobile?**

It's no surprise that mobile use is trending up. Baynes showed the audience slides that indicate the hours per day users spend on their smartphones, including 4.5 hours per day on average for iPhone users. Smartphone use has grown forty percent in 2011, and will continue to trend upwards. Tablet use and sales continue to grow, with tablet sales estimated to surpass PC sales by 2015. Nature surveyed students at Texas A&M to find that there is still a large cohort of people not using smartphones, indicating future growth potential. Nature launched their free iPhone app in February 2010; they made *Nature News* available, which is also freely available on the *Nature* website. In September 2010, the publisher introduced mobile subscriptions. In January 2011, they introduced their iPad app. While revenue has been slow for subscription sales, it is growing, with the largest growth in the iPad market.

### **What Are the Challenges to Offering Mobile?**

There are so many different mobile platforms needed for various smartphones that keeping up with development can be challenging. Changes can occur much faster in the mobile environment, which makes it difficult to support mobile access. Authentication for

site license is difficult to manage, and lack of usage for libraries is a problem, since COUNTER is not available.

For 2011, Nature is moving away from the app offering in order to offer mobile website options. Hopefully, this will solve the mobile support problem. Nature will continue to experiment with new ways to deliver content, including a Flipboard app, licensed pay-per-view, and deposit accounts. Stay tuned.

## **Inventing the Can Opener: Getting the Most Out of Discovery**

*Rice Majors, University of Colorado at Boulder;  
John McCullough, Innovative Interfaces, Inc.*

Reported by Mary E. Bailey

Rice Majors began his presentation with reasons why his university chose to purchase and implement both the federated search ResearchPro and the discovery tool Encore at the same time: their databases were only available on a topics-based list, there was no article integration, and they had a strong desire to improve their services. Some of their initial challenges included how slow the federated search was and the limited number of databases it could search (thirty). Yet the usage statistics indicated that students were using this option. By implementing Encore they overcame the speed problem, provided faceted data and relevance ranking. Majors also pointed out that in most discovery systems, the article and book results are mixed together, but Encore keeps them separate and he feels this is good.

Chinook Library will be beta testing the next version of Encore and doing usability studies. Majors indicated that from past usability studies both undergraduate and graduate students are already very comfortable with Encore and ResearchPro, but he is not as sure about the faculty.

The challenges that remain include acceptance of the product by the reference staff, some of whom will not

teach Encore to the students. The library will also be doing more promotions, and plans to use two search boxes, one for the new search and one that will take users to the classic search.

John McCullough, of Innovative Interfaces (III), shared his perspective on decisions that libraries need to make. His first point was that they are pitching their product to users who want different features than librarians want. Discovery tools are meant to be a single search, where the product is clean and Google-like in appearance, without the tag clouds. Users have learned that the right side of the screen (in other web products) has advertising, so III removed important items from the right side. What were tags in previous designs are

now facets on the left side. Facets are helpful when users type in the same starting term, but their research needs are different. Facets allow them to easily go in different directions.

McCullough also spoke about how the containers are disappearing, that we see the articles, without the context of the journal. He did not suggest a way to change this or provide the missing context.

So what does all this mean for the future? According to McCullough, the future is in finding the users, not bringing them to the library, but being where they are on mobile devices and social networks, or using feeds to push out what we have through Twitter and Facebook.