

Shared Cataloging Program Advisory Committee

Special meeting conference call: Wednesday, February 27, 2013, 3:00-4:00pm

Present: Trina Pundurs (UCB, chair, recorder), Sarah Gardner (UCD), Wanda Jazayeri (UCI), Valerie Bross (UCLA), Sarah Sheets (UCM), Jim Clark (UCR), Becky Culbertson (UCSD/SCP), Adolfo Tarango (UCSD/SCP), Elaine McCracken (UCSB), Yi-Yen Hayford (for Marcia Barrett, UCSC)

Guests: Lisa Rowilson de Ortiz (UCB), Claudia Horning (UCLA), Andy Kohler (UCLA), Bie-Hwa Ma (UCSD/SCP), Bea Mallek (UCSF), Ana Fidler (UCSB), Tasha Bales (UCSC)

The purpose of this meeting is to discuss the technical services aspects of the Airiti Patron-Driven Acquisition proposal (appended).

General:

- This is still only in the proposal stage. At the March CDL meeting, bibliographers will discuss this proposal further with the vendor.
- This will be considered a Tier 2 license, with six participating campuses (UCB, UCLA, UCSD, UCSB, UCI, UCSC). The project may affect other campuses at a later time.
- Once a month, the vendor will provide records for materials available to be acquired.
 - The current plan is for the vendor to send their records directly to each campus for loading.
 - SCP performed a preliminary analysis of the records; results are in Appendix 2 of the proposal, and are discussed below.
- At the time a resource is purchased, the vendor will notify SCP of the purchase. At that point, SCP will perform full cataloging, set OCLC holdings, and distribute the full bib to participating campuses in the normal SCP files. A copy of the *vendor record* for that resource also will be distributed as a delete.
- Any updates to fully cataloged bibs would be included in the normal workflow.
- Clarification of what “purchased” means in this project: a full download of an e-book constitutes a purchase. Access to purchased titles is for 2 simultaneous users (this is what is meant by “2 copies” in the proposal). There is only one bib record per resource.
- The vendor will supply bibliographic data only, not order data. The cost of purchases will be deducted from a pooled deposit account.
- Each purchase will provide the same access to all participating campuses.
- Participating campuses will keep the vendor records for at least one year, but may need to keep the records until 2018 if the pilot is renewed. The only exception will be for titles that are purchased, in which case the vendor record will be replaced by a fully cataloged bib.
- Fully cataloged bibs will have the OCLC number in the 001 field.
- The vendor will supply only new records each month; there will be no updates or re-sends.
- How and to whom to report problems with vendor records? Send email to SCP-AC, copying Bie-Hwa <bcma@ucsd.edu>, to determine the scope of the problem.

- It is expected that all included resources will be single-volume monographs. There will be no set records.
- The vendor records are fuller than minimal, but are less than fully cataloged.

Specifics – Appendix 2:

1. SCP is encouraging the use of DOIs. If the vendor does not provide them, any fully cataloged bibs will include a PID instead.
2. 001s in vendor records will have an alphabetic prefix to ensure they do not conflict with OCLC numbers in campus catalogs.
3. 793s will include a hook that is unique per batch/month. This field was chosen in order to be consistent with existing SCP workflows. Campuses may elect to modify these on their own (e.g. in a batch process) if they anticipate problems.
4. Various additions/modifications/deletions of MARC fields are indicated, in order to make the records more useful (to users and systems).
 - Re. 538: The vendor is being asked to convert resources to a non-proprietary file format such as PDF. If they do not do this, 538 will be needed since in that case users will be required to use proprietary e-reader software in order to download the resource.
5. Unicode is required.
6. Romanization needs to be correct according to cataloging standards.
7. Parallel fields need to be in Pinyin, not translated into English.

Further discussion:

- Will participating campuses receive sample records? Yes, this is already part of the proposal (second page, first bullet point under the “Airiti” heading).
- If users can read, search, and browse resources without downloading, what is the incentive to download (and therefore purchase)? It appears that users may be restricted to reading no more than 10% of the resource without downloading; this needs to be confirmed.
- If approved, the pilot is scheduled to commence on May 1st.

UC e-book PDA Consortia with Airiti – a proposal

It has been a tradition for libraries to develop just-in-case collections for their users. However, statistics have constantly shown that only a very small portion of the collections (down to 20%) has ever been used by their users (Trueswell, 1969; Cornell Studies, 2010; OhioLink, 2011). It is time to explore a more efficient collection development approach to serve library users with increasingly shrinking collection budgets. Towards this line, many libraries have embarked on patron driven acquisition (PDA), a just-in-need collection development model, through which it is library users rather than librarians who initiate book acquisition. Some libraries have even formed PDA consortia with enhanced collaborative efforts. At UC, several campuses (UCLA, UCSD, UCR, UCSC, and UCI) have already put PDA in practice for western language materials. UCLA also has adopted the PDA approach for print books from mainland China.

This proposal outlines the logistics for the UC PDA consortium with Airiti, the largest e-book vendor in Taiwan, for publications from Taiwan, Hong Kong and Macau. Considering its novelty to both Airiti and the UC consortium, the PDA project will start with a one-year pilot. The consortium will decide after one year whether to continue the PDA or pursue librarian-based selections. Below are the outlines of the PDA model.

The UC Consortium

- Six participating campuses, including UCB, UCLA, UCSD, UCSB, UCI, UCSC, will join the PDA pilot with Airiti; The table below shows the responsible subject librarian and TS representative from each campus;

| Campus | Subject Librarian | TS Representative | Campus Shares |
|--------|----------------------|--------------------------|---------------|
| UCB | Susan Xue | Karen Yu | \$2,940 |
| UCLA | Hong Cheng | Hui Li | \$2,350 |
| UCSD | Victoria Chu | Shi Deng | \$1,760 |
| UCSB | Cathy Chiu | Ana Fidler | \$1,180 |
| UCSC | Yi-Yen Hayford | Yi-Yen Hayford | \$590 |
| UCI | Ying Zhang (liaison) | Lisa MacKinder (liaison) | \$1,180 |
| CDL | | Bie-Hwa Ma | |

- The consortium starts from May 1, 2013 and ends on April 31, 2014; It is subject to renewal or modification based upon the pilot outcome;
- A total amount of US\$10,000 deposit is due to Airiti by April 30, 2013. Each campus's share is outlined above. CDL will coordinate payment of the deposit directly to Airiti.
- All the subject librarians from the consortium develop a single PDA profile (see Appendix I). The profile determines the titles to be provided with PDA records for loading to participating campuses' online catalogs;
- The six campuses receive Airiti MARC records matching the PDA profile on a monthly basis, and load them to local online catalogs; All users within the campus IP ranges can read, search and browse Airiti e-books online at no cost; the consortium will be charged only when an e-book is successfully downloaded by an authenticated user; For each title purchased, the consortium agrees that Airiti deducts from our deposit for 2 copies and 2 concurrent uses with a 15% discount;

- The total PDA expenditure should not exceed the consortium's deposition (i.e., US\$10,000) plus a US\$500 overspend cushion; The PDA liaison librarian should carefully review monthly reports from Airiti, and notify other participating campus librarians as needed. The participating campuses will share up to US\$500 overspend cushion, if any, at the end of April 2014;
- For titles purchased, Bie-hwa Ma of CDL performs full cataloging and then distributes the cataloged records to all the participating campuses;
- The librarians from the six participating campuses will make additional e-book selections in late April 2014, from the unpurchased UC PDA title list provided by Airiti, if the consortium deposit is not fully spent;
- The participating campuses remove unpurchased title records from their online catalogs at the end of the pilot year (i.e., April 31, 2014) if the consortium decides to discontinue the project, or at the end of the fifth year (i.e. 2018), subject to change based upon the PDA outcome;

Airiti

- Works with the TS representatives from the participating campuses to test Airiti MARC records for local ILS suitability (See Appendix 2 for the Consortium MARC Record Requirement);
- Distributes monthly PDA records to the TS representatives based upon the consortium profile;
- Updates the consortium on any new publishers of Airiti e-books;
- Provides IP controlled access to authenticated users from all the six participating campuses for both purchased and unpurchased e-books;
- Considers successful e-book downloads as the only purchase trigger, whereas allowing users from the consortium to conduct online reading, searching and browsing will be at no cost;
- Offers 2 copies, 2 concurrent uses, and 15% discount to every title purchased by the consortium;
- When the 2 concurrency is reached, notifies users of the limit and encourages them to check back in a later time;
- Sends monthly summary of title purchased along with corresponding costs, campus-level access/use counts, and general deposit summary to all the participating campuses in the consortium;
- In case of the deposit from the consortium (i.e., US\$10,000) being fully spent prior to the contract end date, allows a \$500 overspend cushion whereas sending the consortium a timely alert; Diverts further e-book use requests to corresponding campus subject librarians based upon their source IP range, if the \$500 cushion is also fully spent;
- In case of the deposit being not fully spent by late April 2014, sends a list of unpurchased titles to the consortium for librarian-based selection;
- For unpurchased titles, allows their PDA records to stay with active links in the online catalogs of the consortium for up to five years (till the end of 2018) for continued online access, unless the project terminates or the consortium decides to shorten the timeframe;
- Ensures all the participating campuses perpetual access to all e-books purchased; meanwhile, provides a backup copy set of the purchased e-books.

Appendix 1: UC Consortium Profile (preliminary subject to each participating librarian's revision)

Every Airiti e-book with MARC record loaded to the consortium online catalogs has to meet all the three succeeding criteria.

1. Publication year: new publications starting with 2012 as publication year. Reprints are excluded.

2. One of these publishers: Airiti Press Inc., University of Macau, 中央研究院近代史研究所, 中央研究院人文社會科學研究中心, 人類智庫, 五洲出版, 傳記文學出版社, 八方文化, 傾向出版社, 典藏閣出版, 前衛出版社, 千華數位文化, 南方學院, 博學出版社, 台灣學生書局, 台灣社會研究雜誌社, 唐山出版社, 國立中央大學, 國立中興大學, 國立交通大學出版社, 國立台灣藝術大學, 國立教育資料館, 國立歷史博物館, 國立清華大學出版社, 國立臺灣工藝研究所, 國立臺灣師範大學, 國防大學, 國防部, 貓頭鷹出版, 大地出版社, 大安出版社, 大旗出版社, 女書文化, 好讀出版, 嶺南大學人文學科研究中心, 巨流圖書, 幼獅文化, 御書房出版, 捷幼出版社, 懿津出版, 教育部, 揚智文化, 文史哲出版社, 文津出版社, 新加坡國立大學, 新文豐出版, 新自然主義, 新地文化藝術, 旺文社, 明鏡新聞出版, 昭明出版社, 時報文化出版, 書林出版, 松慧, 桂冠圖書, 正中書局, 水牛文化, 海峽學術出版, 漢宇國際文化, 渤海堂, 澳門社會科學學會, 爾雅出版社, 玉山社出版, 瑞成書局, 生智文化, 知書房, 秀威資訊, 稻田出版, 老戰友工作室, 聯經出版, 臺灣商務印書館, 草根出版, 華品文創出版, 華立文化, 萬卷樓圖書, 藝文印書館, 藝術圖書, 行政院新聞局, 行政院文化建設委員會, 詩藝文, 豐閣出版社, 財團法人兩岸交流遠景基金會, 財團法人中華經濟研究院, 財團法人施合鄭民俗文化基金會, 財團法人新台灣人文教基金會, 躍昇文化, 里仁書局, 雄獅圖書, 雲龍, 香港大學出版社, 駱駝出版社, 鵝湖月刊社, 黎明文化, 龍文出版社, 麥田出版社, 台灣大學出版社, 三民, 南天書局, 台灣文學館.

3. Subjects (a combination of the four classifications, including 中國圖書分類法第一層, 中國圖書分類法第二層, 華藝分類法第一層, and 華藝分類法第二層, with one from each):

| 中國圖書分類法第一層 | 中國圖書分類法第二層 | 華藝分類法 第一層 | 華藝分類法 第二層 |
|------------|------------|------------|-----------|
| 總類 | 00 特藏 | 1 學術研究 | 1.1 人文社科 |
| | 10 目錄學；文獻學 | 6 綜合文學 | 6.2 中國文學 |
| | 30 國學 | 7 藝術與設計 | 6.4 傳記 |
| 哲學類 | 120 中國哲學 | | 7.3 電影與戲劇 |
| | 130 東方哲學 | | |
| 宗教類 | 220 佛教 | | |
| | 230 道教 | | |
| | 280 神話 | | |
| 社會科學類 | 510 統計 | 550 經濟 | |
| | 520 教育 | 570 政治 | |
| | 530 禮俗 | 580 法律 | |
| | 540 社會學 | 590 軍事 | |
| 中國史地 | 610 中國通史 | 660 中國地理 | |
| | 620 中國斷代史 | 670 中國地方誌 | |
| | 630 中國文化史 | 680 中國地理類志 | |
| | 640 中國外交史 | 690 中國遊記 | |
| | 650 中國史料 | | |
| 語言文學類 | 820 中國文學 | 850 中國各種文學 | |
| | 830 中國文學總集 | 860 東方文學 | |

| | | |
|-----|------------|-----------|
| | 840 中國文學別集 | |
| 藝術類 | 910 音樂 | 930 雕塑 |
| | 920 建築藝術 | 940 繪畫；書法 |

Appendix 2 UC Consortium MARC Requirements for Airiti PDA records

1. Convert the native urls in 856 to DOI links. Sample DOI link: <http://dx.doi.org/10.1007/978-0-387-48116-6>. For more information, see http://help.crossref.org/#how_do_dois_work.
2. Add prefix with alphabet(s) to 001 \$a followed by a UNIQUE number, for example, 001 __ AIRITI2013_00001. The unique number should not duplicate with any other PDA records in Airiti databases. This number will serve as a matching or access point to retrieve, delete, update, and/or overlay the PDA records precisely loaded to a local system.
3. Add one unique title hook in 793 for all the records loaded in the same batch/month for easier maintenance at a later time. In this way, one can easily delete the expired PDA records by the month or by the year they were distributed from Airiti. For examples:

793__Airiti PDA 2013 Feb.
793__Airiti PDA 2013 Mar.
793__Airiti PDA 2013 Jan.

4. Tags and fields should be constructed according to MARC 21 and AACR2 (ideally MARC21 and RDA). This MARC requirement is to be revised when Airiti decides to move to the new rule, RDA.

Please see also the following reminders or requests:

- Code 006 and 007 as follow:

006__m o d
007__c #b r

- Field 245: \$h in Chinese script field should be also [electronic resource], not in Chinese, [電子資源] as shown in the example below.

=245 10\$6880-02\$aShu hua zhuang huang xue\$h[electronic resource] /\$cDu Zi Xiong, Li Wei he zhu.
=880 10\$6245-02/\$1\$a 書畫裝潢學\$h[電子資源] /\$c 杜子熊, 李瑋合著

- Both indicators for filed 260 should be blank. In the Airiti sample records below, the second indicator, 3 should be replaced with a blank.

=260 3\$6880-04\$aZhonghe Dist., New Taipei City :\$bWu zhou,\$c2010

- Delete the following fields:

=500 \\\$aRetrieval pattern: EBOOK platform of service.
=516 \\\$aText (Electronic book).
=533 \\\$aElectronic reproduction.\$bTaipei :\$cAiriti.

- Revise field 538 to the following:

=538 \\\$aSystem requirements: iRead eBook for full-text downloading and offline reading.

5. All characters should be in Unicode and the coding in 880s should be compatible with the one for Unicode. For example: “/\$1” in the 880s of the Airiti sample records refers to MARC 8, thus needs to be removed.

=880 1\\\$6100-01/~~/\$1~~\$a 杜子熊
=880 1\\\$6100-01\$a 杜子熊.

6. Follow the ALA-LC Chinese Romanization guidelines (<http://www.loc.gov/catdir/cpso/romanization/chinese.pdf> and <http://www.loc.gov/catdir/pinyin/romx113.pdf>) to construct Chinese Romanization and word division. For examples: **Zixiong** instead of **Zi Xiong**. See the examples from Airiti Sample records below:

=100 1\\\$6880-01\$aDu, **Zi Xiong**.
=245 10\$6880-02\$aShu hua zhuang huang xue\$h[electronic resource] /\$cDu **Zi Xiong**, Li Wei he zhu.

7. All non-subject Roman fields parallel to the Chinese script fields need to be in Pinyin, NOT English translations. For example, 260 \$b should be **Taipei Xian Zhonghe Shi** instead of **Zhonghe Dist., New Taipei City** as shown below.

=260 \\\$6880-04\$aZhonghe **Dist., New Taipei City** :\$bWu zhou,\$c2010
=880 \\\$6260-04/\$1\$a 臺北縣中和市 :\$b 五洲 ,\$c2010