

**To: Next Generation Technical Services Steering Committee
Martha Hruska, Chair**
From: NGTS Team 1: Commonly Held Content in Roman Scripts
Re: NGTS-1 Phase 1 Report

December 4, 2009
Reformatted January 25, 2010

EXECUTIVE SUMMARY

In September 2009, the Next Generation Technical Services Team 1 on Commonly Held Content in Roman Scripts (NGTS-1) authored and administered a survey to a number of University of California Library stakeholders.¹ With over 60 responses, NGTS-1 received a tremendous quantity of data² from which we extracted common themes. These common themes were developed into the following issues, which we believe should be explored further by UC:

- Issue 1: Develop a financial infrastructure that facilitates shared purchasing and intercampus business transactions (long-term)
- Issue 2: Identify and implement a consortial ILS (long-term)
- Issue 3: Identify and implement a consortial ERMS (long-term)
- Issue 4: Expand the infrastructure at the RLFs to include more technical service and document delivery operations (long-term)
- Issue 5: Expand technical services to support shared collections and collection management (long-term)
- Issue 6: Create a systemwide collaborative and comprehensive government documents collection (medium-term)
- Issue 7: Coordinate print serials management systemwide (medium-term)
- Issue 8: Review and improve the infrastructure for the Shared Cataloging Program (medium-term)
- Issue 9: Investigate and implement shelfready services systemwide (short-term)
- Issue 10: Implement systemwide cataloging policies (short-term)

Of these ten issues, numbers 1-5 are likely to be long-term projects, numbers 6-8 medium-term projects, and 9-10 could be considered short-term. Issues 9 and 10 are in “NGTS Charge” format, with number 9 having been submitted to the NGTS Steering Committee early in November 2009.

During the NGTS-1 Team conference call on November 12, 2009 the group discussed the nature of transformative change in light of the proposed NGTS-1 issues. With the exception of Issue 1, which the Team feels to be foundational to all transformative change across all Next Generation Technical Services Team projects, it was felt that the University of California Libraries have both history and experience in at least some aspects of all the other NGTS-1 issues. In some areas, UC Libraries have invested in research multiple times. What is not missing are the ideas or projects that will take UC Libraries into the future, for this Report and the Reports of NGTS Teams 2, 3, and 4 all include projects that will leverage

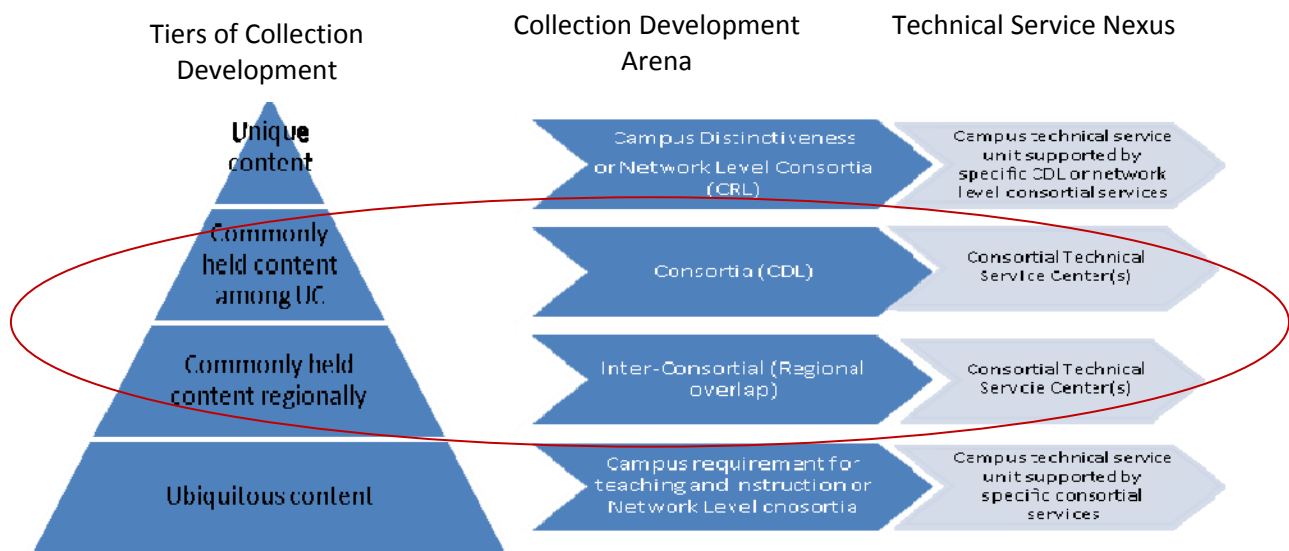
¹ Chairs of: HOTS; CAMCIG; ACIG; SCP; SCP Advisory Committee; CDL Collections; CDL Bibliographic Services; Shared Print Steering Task Force; GILS; SOPAG Task Group on UC Libraries Collections Space Planning; CDC; PAG; RLF Directors; LTAG; HOPS; NGM Implementation Team; and the chairs of 21 Bibliographer Groups.

² Survey results may be reviewed online by NGTS Executive and Steering Committees. Contact Linda Barnhart for URL and password.

scarce resources, eliminate redundant work, and move UC technical services toward an integrated and collaborative enterprise. The University of California Libraries have before them descriptions of the most likely paths that lead to transformative change. What is necessary at this moment is the leadership and commitment to step beyond historic comfort zones, to take the necessary risks, and make the required commitments to select and accomplish the visions expressed herein. To do so would be truly transformative.

INTRODUCTION

It is important to outline what commonly held resources are. They are resources that are acquired or held at some level of duplication across the UC system or across the network of research libraries. Recent studies by RLG suggest that the opportunity for cooperation resides not around materials that are unique or ubiquitously held, but around those materials that are duplicated to a moderate extent across a system. In this context, if UC Libraries consider a tiered approach to collection development and management based on the spectrum of collection holdings, from the most unique to the most broadly held, it is in the middle tier of commonly held resources where UC Libraries currently have some strengths as well as some large gaps in Technical Services. It is in this segment of the collections where most efficiencies can be gained by managing materials and providing services collaboratively, at the consortial or network level.



NGTS Team 1's focus is on this middle tier of commonly held content. Commonly held content, for the purposes of NGTS-1 includes not only licensed content but also shared print, audiovisual, and born digital resources. And the "technical services" that manage these resources are envisioned broadly.

ISSUES

Issue 1: Develop a financial infrastructure that facilitates shared purchasing and intercampus business transactions (long-term)

INTRODUCTION

Moving funds between campuses and through the UC system is difficult and this is a fundamental obstacle to cooperative efforts. The current system of allocating resources, with funds moving from

UCOP to the campuses and then to each individual library administration, reinforces the model of distinct collection-building, even when these resources are redirected toward shared collection initiatives.

The successful outcome of most NGTS-1 issues depends upon the smooth working of funding models and agreements. Each NGTS project that involves payments to vendors, whether for resources, systems, or services, will need to consider the mechanisms by which funds are managed, either from the campus level to an established central managing unit, such as CDL Acquisitions, or from several campuses to one campus if a "centers of excellence" model is adopted.

Because of the complexity of this issue's scope, intermediate steps may be possible to support NGTS projects while more comprehensive system-wide solutions are explored.

CURRENT SITUATION

The two best examples of the current limitations for shared purchases are the workflows for CDL Acquisitions and the assessment of the UC Anglophone Project in Canadian Literature. The CDL Acquisitions model entails management of a cost-share system for campuses that requires local management at each campus as well as central oversight. Many steps of this process are manual due to the variances in library and campus accounting systems. Reports listing CDL co-invest figures are sent from CDL Acquisitions to the CDL Liaison at each campus. The CDL Liaison records these amounts, which may come from different funding sources, in the local ILS. Recharges are issued by CDL Acquisitions to each library. The process is further complicated at the campus level whereby General Accounting staff at each campus have to execute the intra-campus financial transfers, which often don't appear in campus ledgers for two months, depending on timing. In addition, management of purchases made from shared funds requires a different reporting, accountability, authority, prioritization of work and governance model.

The assessment report of the UC Anglophone Project in Canadian Literature (issued May 7, 2008) includes among its findings two items that highlight the need for a well-developed financial infrastructure to support the processing and payment of material. The report notes that: "The project lacked a process for annually depositing funds with the campus that processes the orders, monitoring the deposit account and communicating with the vendor, resulting in overruns. A single deposit was placed with the vendor to pay for one fiscal year, but as the project moved into the second year, there was not a clear mechanism for re-depositing" (p. 4).

A second item ties financial tracking to the ability to take advantage of vendor services, and the necessity of having a process by which cooperative purchases are managed across fiscal years, highlighting the need to establish allocations, define processes at the end of the fiscal year, and ensure that vendor services such as EDI invoicing, financial and collection management reports, and separation of charges in the ILS can all be assured.

EXPECTED EFFICIENCIES AND/OR ELIMINATED REDUNDANCIES

In both of the previous examples, a multitude of redundancies occur in fund management, as funds are distributed and consolidated. In addition, campuses each manage funds to pay for a multitude of similar services from vendors, including bibliographic records from OCLC, shelf-ready services, vendor tool subscriptions, etc. As these services are shifted to the network level, involving what one of the NGTS survey responses refers to as a "single point of negotiation," efficiencies may also be gained by adopting

a “single point of payment” that does not require the elaborate fund management involved in CDL cost shares model.

The outcomes of the Canadian literature project illustrated the desirability of having the accounting operations managed by the unit that receives or processes the material to facilitate vendor account management as well as to meet UC audit requirements that require verification of receipt prior to payment.

BARRIERS

There are two potential barriers to making progress with this issue: the interoperability of systems, and the extent to which local fund management is required for these shared collections, systems, and services.

As illustrated by the CDL Acquisitions workflow for recharges, the variety of our campus and library financial systems are not optimized for an increase in volume of activities that require pooled funds. Achieving the interoperability to support these activities would entail coordination at the level of campus administrations, and beyond the purview of the libraries.

Local accounting practices also need to be examined, and perhaps standardized, in order to maximize effectiveness of this issue. Variations in budget management across campuses, both at campus level and library level, need to be considered. Campus libraries have developed local methods of fund management, to some extent influenced by the integrated library system used at that campus, and the character limits for fund codes. In addition, fund management is dictated by the source of the campus funds (19900A General Funds versus endowment funds, etc.) as well as a campus library’s historical practice of how their collection funds are structured to facilitate reporting.

The need to track local funding sources emerged as a concern during an informal discussion of the CDL recharge process by ACIG in 2008, as campuses manage several different campus-level accounts and may be required to report expenditures to other campus units (e.g. health sciences). In the case of campus units’ contributions for system-wide centralized collections and services, it should be explored whether these funds would need to pass through the campus library.

POSSIBLE NEXT STEPS

The following actions could be pursued by multiple groups and at a variety of “organizational levels.” While there is not an all-campus group dedicated to accounting issues, frequently the Associate University Librarians who oversee human resources also have responsibilities for financial management and accounting (i.e., “Administrative Services”). All-campus groups related to acquisitions and collection development as well as NGTS task groups should be involved as appropriate.

- Consult with CDC and CDL about projected needs for pooled funds
- Re-examine the CDL Acquisitions cost-share model for enhanced efficiencies that would streamline the process.
- Examine the fund code structure at each campus for opportunities to better support cooperative collection development.
- Explore the feasibility of funding shared resources from a system-wide “superfund” that avoids or minimizes the mechanism of managing cost-shares to campuses.
- Develop a set of best practices between library accounting and campus accounting systems, with the goal to coordinate systems and practices both locally and system-wide.

Issue 2: Identify and implement a consortial ILS (long-term)

SUMMARY

A consortial ILS would make a number of NGTS goals feasible, including shared acquisitions, shared collections, increasing shared cataloging, shared serials management, and shared electronic resources management. It might also facilitate more efficiency in interlibrary loan and other circulation activities. It could substantially decrease duplication of time and effort in many areas, well beyond cataloging. It could centralize some functions, such as authority control, database maintenance, and systems support. At various times in UC history, the desirability of a consortial ILS has been recognized. Most recently, BSTF issue III.1b was "Implement a single data store for UC, be it a single file of cataloging records or the entire ILS." One of the architecture options presented in the BSTF was "Adopt a single ILS for the entire University of California system."

A consortial ILS would enhance the following NGTS values:

- Speed processing throughout all technical services functions.
- Eliminate redundant work.
- View technical services as a single system-wide enterprise
- Make the UC collections easy to find and use.
- Eliminate duplication of effort across the UC system and local variation in practice.
- Achieve system-wide cost savings

STATEMENT OF THE PROBLEM/SITUATION

Next Generation Melvyl creates a common discovery interface (as does Current Melvyl), but it does not eliminate the need for backend ILS functionality, particularly for ILS modules other than OPAC and cataloging (acquisitions, circulation, serials, etc.). In the current model, each campus maintains its own ILS. Next Generation Melvyl does not change this model; NGM provides OPAC functionality only. Even for commonly-held materials, each campus must download its own bibliographic record (even if the bibliographic record is not used for OPAC display, ILS software still relies on a bibliographic record to function) and attach its own orders, invoices, item records, serials check-in records, circulation activity, etc. Furthermore, each campus maintains its own software, which is significant in terms of IT staff time and expertise, as well as resources (servers, etc.). This results in a great deal of redundant work.

EXPECTED EFFICIENCIES AND/OR ELIMINATED REDUNDANCIES

A shared ILS would mean that many functions that are duplicated across campuses would only need to be done one time. For example:

- Each bibliographic record would only need to be imported once; each campus could attach orders, holdings, etc. to a single shared record. There would be no need for record distribution to campuses. Record loads from vendors such as Marcive would only need to be purchased and loaded once.
- Cataloging would only need to be done once. This would also facilitate the suggestion of cataloging centers (distributed shared cataloging), as well as processing centers.
- Authority control and other types of database maintenance would only need to be done once. Each campus would not need local expertise in this area.
- Software updates would only need to be performed once. Each campus may not have to have its own ILS support staff coordinator/expert(s).

- Local server hardware and software hosting could be eliminated through shared computing facilities and equipment.
- Payments and other financial data may only need to be entered once for shared resources.
- Intra-campus loan transactions might more easily be facilitated within a single ILS, eliminating the customization that must be done with REQUEST to work with 3 different circulation systems.
- A single ILS might also facilitate the REQUEST (Intra-campus Delivery) function. Currently, VDX has to work with three different ILS systems, often requiring special programming.
- A single ILS would also facilitate collection analysis as extensive reports on duplication could be run through a single system.

Furthermore, a shared ILS would facilitate the management of shared collections and shared purchasing. The selection process would benefit from being able to easily see what other campuses have on order, and it could make joint approval plans easier to manage.

BARRIERS

A cost-benefit analysis would need to be conducted. Substantial savings could be realized if each campus did not maintain its own ILS, but a shared ILS would take additional time and money to implement. All campuses would have to migrate data. Policies for working in a shared environment would need to be developed, as well as standardization of practices. There could be some reluctance on the part of campus libraries, who have invested significant profiling within their systems to work with external vendors (book vendors, subscription agents, bibliographic services) to abandon those systems because of the amount of work involved to recreate that.

Factors that could cause this project to fail include the potential inability or unwillingness of UC to develop a financial infrastructure that facilitates shared purchasing and intercampus business transactions (see Issue 1), as well as the inability or unwillingness on the part of individual campuses to give up some degree of autonomy, consolidate ILS support, and agree on common standards and procedures.

More than one campus has implemented a new ILS within the past three years. It may prove to be very difficult politically if they were asked to move to another ILS.

Many campuses have heavily invested in working with their materials vendors to work with their particular ILS. There may be resistance to reinvesting the effort to customize vendor interactions using a different ILS.

DISCOVERY AND ACCESS

More information about collections would be available to staff (e.g. viewing ordering information) as well as potentially to patrons (e.g. enabling de-duplicated records).

Next Generation Melvyl and a consortial ILS would be complementary. Again, NGM is only a discovery layer, while an ILS provides resource management functionality. Time and energy would not have been wasted in NGM, as the development of NGM has resulted in a superior user interface than what is currently available from our local OPACs. In fact, a consortial ILS may improve NGM functionality by simplifying NGM's interactions with our systems; in a consortial ILS scenario, NGM would only need to connect with one system rather than 10.

If campuses still wanted to maintain local OPACs in addition to Next Generation Melvyl, a scoped and branded OPAC display could still be generated for each campus through a shared ILS.

ALTERNATIVES

If a shared ILS is not chosen, other solutions will have to be found to reduce the redundancies inherent in each campus operating its own ILS.

Other options to consider include:

- Middleware or other services to enhance sharing of data between systems e.g. using APIs to share data in real time between separate ILSs
- Partially shared or multiple shared ILSs; for example, the 7 campuses currently using III could move toward a shared ILS

OCLC's new web-scale management services bear investigating; these services, once developed, could potentially provide a web-based platform for circulation and delivery, acquisitions, license management, and workflow management that may eliminate the need for local ILSs.

The open source Evergreen ILS, developed specifically for consortia, may be another project from which to draw inspiration.

MORE INFORMATION

For examples of how future workflows might work, as well as policies, governance structures, and best practices, we can look to other consortia who have implemented or investigated a shared ILS, including Orbis-Cascade, SUNY, Florida, OhioLINK, PASCAL, and the University System of Maryland. In particular, the University System of Maryland (<http://usmai.umd.edu/cld/>) and Florida Center for Library Automation (http://fclaweb.fcla.edu/tech_access_services) have a great deal of documentation available online.

Orbis-Cascade has recently published an analysis of the potential advantages to a shared ILS, as well as other possibilities such as multiple shared ILSs and a partially shared ILS:
http://www.orbiscascade.org/index/cms-filesystem-action/groups/shreddb/sbdtf_report.pdf

Issue 3: Identify and implement a consortial ERMS (long-term)

SUMMARY

The University of California Libraries should develop or purchase a shared apparatus for electronic resource data production, access, management, and assessment. The need for a flexible, automated electronic resource management system (ERMS), tool, or set of tools to create greater efficiencies in the acquisition and ongoing management of electronic resources is repeatedly expressed as UC libraries struggle with inadequate information regarding access to newly licensed content, challenges in identifying and displaying electronic formats, resentment over the effort to update and maintain data in multiple places, and frustration caused by redundant work. Since previous attempts to purchase a consortial ERMS have failed, most campuses have invested in local systems for acquisition of electronic resources and creation of their A-to-Z title list. The overwhelming need now is for a service that acts as the knowledgebase, is the worksite for shared files, and is able to push out records and updates to the multiplicity of related UC library systems. The apparatus would: serve as the database of record for licensed content as well as UC created digital content, organize workflow, and provide critical information to campus librarians, while minimizing redundancy of data entry and multiple system

management.

STATEMENT OF THE PROBLEM/SITUATION

Currently the CDL and University of California Libraries struggle to develop and maintain bibliographic, acquisitions, licensing and holdings data for e-collections in a host of incompatible systems. The effect of eroding investment in staff and resources has been under-populated campus ERMS, out-of-sync data, out-of-date links, and continued under-utilized resources. Electronic resource management is a major pressure point throughout UC's technical services units.

There is no real interoperability between our OPEN URL link resolver and any ERMS currently in use in a UC Library or at CDL. Holdings maintenance for CDL managed Tier 1 and Tier 2 resources is redundantly carried out in three separate places with no real ability to repurpose data: (1) SFX; (2) Serials Solutions (CDL); (3) SCP records. This is simply unsustainable for UC campuses as well as CDL Acquisitions and the Shared Cataloging Program.

As UC Libraries scramble to curtail expenditures to match reduced budgets, the capacity to match comparable cost, usage and other assessment data at the title-level is critical. The call to develop a system-wide view of collections which allows UC Libraries to develop richer services, leverage resources to increase collection diversity, and expose hidden resources depends on the ability to display and analyze existing investments.

EXPECTED EFFICIENCIES AND/OR ELIMINATED REDUNDANCIES

A cooperatively developed shared workspace for electronic resource management could start with existing basic metadata from all available resources, eliminate redundant work, speed processing throughout all technical services functions, free up resources in order to focus on unique resources, encourage elimination of duplication of effort across the UC system and local variation in practice, allow for continuous improvements to basic metadata, improve discoverability of UC collections, and reward interoperability of metadata across content, formats, and systems. Careful review of what should be purchased versus what should be developed in-house as well as UC-leveraged negotiations with library vendors could achieve system-wide cost-savings and rebalance expenditures as necessary to embrace format and service requirements.

The blueprint of the shared ERMS must embrace the organization of the CDL ERMS and SCP workflow. The system must be able to "talk to" related UC Library systems.

BARRIERS

Prior attempts have exposed the very large gap between design and implementation. The worst outcome would be yet another out-of-sync site to update.

POSSIBLE NEXT STEPS

- Explore vendor options.
- Explore home-grown options.
- Explore possible one-time purchase of data available for 'opening day' ERMS collections.
- Develop map of existing UC data.
- Develop funding model.
- Explore governance options.
- Investigate RFP.
- Move toward purchase and implementation of consortial ERMS.

Issue 4: Expand the infrastructure at the RLFs to include more technical service and document delivery operations (long-term)

Specific concerns that came in via the NGTS-1 Survey included:

- RLFs should be seen less as an "attic of less used materials" and more as a service and distribution Hub for quality information resources.
- Locate Acquisitions/Cataloging, Preservation, IT Programming, Validation, and Project Management services at the RLFs to permit them to play a fuller role in Shared Collections from acquisitions to access
- Materials initially destined for the RLFs should be received and paid for from the RLFs to eliminate multiple handling of materials across institutions and maintain integrity of receipt and payment processes.
- RLF staff should be able to provide print on demand for both monographs and journal articles
- RLF staff have ability to enhance campus contributed cataloging records and add table of contents services
- RLF holdings need to be much more visible in both MELVYL and campus ILSs
- Installation of full ILS system modules, including access services. In addition one participant identified the need for RLF authorizations for cataloging/modifying records for Shared Print as needed.

CURRENT SITUATION

The RLFs currently serve as storage for less used materials for the UC Libraries along with the UC Prospective Shared Print Collections (primarily journals and conference proceedings) for a number of publishers. The acquisitions and cataloging of these collections has traditionally been done within the context of campus libraries.

As the RLFs take on a much greater role in both a regional and national role in serving as print archives, it would benefit the RLFs and UC if the RLFs were able to do more work on site – eliminating multiple handling of materials and transfer across the system.

As more currently published monographic materials are stored at the RLFs, they will need the capacity to provide fast, efficient document delivery to campuses. In many cases, sections of monographs can be sent electronically to a campus library in lieu of lending a complete volume. This will require increased staff and equipment for document delivery.

BARRIERS

1) Capacity of the RLFs:

SRLF: Based on current deposit patterns from the southern campuses and Shared Print programs, the projected fill date for printed volumes is *November 2011*.

NRLF: As of October 1, 2009, NRLF had 1,378,500 volume equivalents of space remaining to be filled. If the northern campuses continue to deposit at their current allocation rates (221,500 volumes /year total) the remaining space at NRLF will be filled by *November 2015*. However, it's likely the standard shelving (for books, archival materials, etc.) will be filled several months earlier.

2) Funding for increased staffing/infrastructure at the RLFs

Depending on the level of technical services provided at the RLFs, staff would need to be identified to carry out those activities. New positions would need to be created to perform these duties or staff might be repurposed from campus libraries. Staff salaries will need to be funded from pooled funds from UC Libraries. Currently, RLF staff are employees of UCB and UCLA Libraries. In an environment where the services, positions, and collections are more broadly supported, those reporting arrangements may need to be re-thought to ensure system-wide accountability. It is unrealistic to think that either RLF would be able to acquire its own ILS, so these staff will need to work within the financial and bibliographic infrastructures of UCB and UCLA.

If staff are assigned to handle acquisitions and cataloging on-site at the RLFs, they will need work space along with the usual infrastructure (processing areas, workstations, ports, etc.) This may involve significant IT upgrades at those facilities. Given the capacity limitations at RLFs, this could mean a significant investment for what might only offer short term benefit.

POSSIBLE NEXT STEPS

Short Term Possibilities

If a UC Wide Monograph Approval Plan is designated to be housed at an RLF, staff would need to be in place to handle the acquisition and payment within the context of the UCB and UCLA integrated library systems. As these materials could be used quite heavily, it is possible more staff will be needed to provide ILL and document delivery. At this point, unless staff at UCB and UCLA were reassigned to take on this additional responsibility, new staff would need to be recruited. Pooled funds would need to be identified to help fund them. A needs assessment of both staff workspace and equipment would need to be undertaken to identify the immediate space and equipment needs to begin servicing this collection. In today's budget climate, it is unlikely new sources of funding could be identified, so campus libraries would need to divert existing funding from campus positions and collections to fund this.

Given the relatively short-lived capacity of the RLFs at existing fill rates, adding 43,000 volumes a year from this UC Wide Approval plan could have serious space and staff implications if it were all to one RLF. Split evenly between the two at 21,500 volumes each, it would be a little more manageable. However, at best, unless drastic de-duping is done at the RLFs, this scenario could only be played out for about five years.

Longer Term possibilities

As the RLFs play a larger role in the national context for storage, staff at the RLFs may be called upon to work closely with other facilities to coordinate collections and facilitate access to a larger community of users. Create a new vision for the RLFs that focus on the receipt and delivery of current shared collections (e.g. monographs acquired on a shared approval plan), retrospective shared collections (e.g. WEST journal backfiles), and robust delivery of shared resources. Incorporate print on demand. It is likely that the UC Shared Approval Plan with a primary monograph vendor will be managed at a campus or campuses, leveraging their ILSs in the near term. But long term, it may be more advantageous from many perspectives (from the user's perspective, collection development and collection management) to transition all technical services for the shared approval plan to the RLFs. NGTS-1 Recommends reprioritizing other deposits at the RLFs to secure space for the monograph collection and an assessment of workspace to accommodate a technical service unit.

Issue 5: Expand technical services to support shared collections and collection management (long-term)

The long term transformation of UC Libraries' technical services depends upon change in collection development/management programs. UC Libraries' Collection Development Committee recently issued a new vision for library collections "The University of California Library Collection: Content for the 21st Century and Beyond (August, 2009)". NGTS seeks to develop services that support new directions for collection development. One strong theme in CDC's collection strategy is the need to attend to additional format types, which requires a streamlining of services that attend to commonly held materials.

A new vision for commonly held resources ought to transform UC's Technical Service enterprise into service center(s) that deliver commonly held resources to any location, physical or virtual, in the system. The location of the service center(s) is less important than the speed of delivery to the user. And the consolidation and alignment of services must be substantial; the organization must create efficiencies that no single campus can achieve on its own, for example, through locally negotiated discounts or outsourcing.

UC Libraries have significant experience and history with managing commonly held licensed materials. However, UC's infrastructure for shared collections has not evolved beyond the limited purview of the CDL Acquisitions and Shared Cataloging Program, which attend to just one resource type (licensed content). Technical services for the remaining resource types have largely been offered on an opportunistic basis as a result of time-limited pilot projects, temporary grant funding or the benevolent, but unstructured assistance of a single campus. As a result, many of UC's shared collections and services have experienced fits and starts that prevent transformational change in the way we collect and manage resources cooperatively.

Part of NGTS-1 Phase 2 may include identification and assessment of the opportunities in shared collection development that have been missed or have been developed with minimal support for lack of technical services. Certainly, there are some well known gaps or areas that would benefit from additional support: Tier 2 licensing, shared print (government documents, consolidation of retrospective print journal holdings, many missed retrospective and prospective shared print collection opportunities), robust publishing services and open access initiatives, digital curation and audit services, digitization services at all levels, and print on demand. Critical lessons learned in these areas are that solutions need to be scaled to warrant cooperation, pooled funds and dedicated human resources are required to manage shared collections of all resource types.

Furthermore, the range of functions that are considered "technical services" has expanded. If technical services can be defined, as it traditionally has been, as a suite of services that organize, describe and provide access to content, the scope of those services is far greater than our current structures can support. Beyond the traditional Acquisitions and Cataloging/Metadata services, technical services now may include such things as digitization, digital curation, publishing services, partnership management, shared print services, user contributed metadata, print on demand and more. Many of these services operate independently and could benefit from reorganization to truly unleash their potential. To transform the lifecycle of collection management for different resource types, processing approaches and services must be streamlined and aligned with the lifecycle of each resource type. Processes must be made transparent so that any partner library knows what is being acquired, how it is being processed

and what enhanced services are being applied. A more nimble System-wide decision-making structure will be needed to receive proposals that incorporate a broader application of services (e.g., collection identification/selection/licensing, shared print acquisition, digitization, print on demand, digital curation, print consolidation) on a one-touch basis. In sum, UC Libraries' Technical Services that support commonly held resources must evolve and coalesce into a more expansive programmatic, nimble service structure that reduces silos, encompasses additional functions and provides for a more rational and dynamic planning and decision-making environment.

In this context, future technical service functions for commonly held materials (e.g. shared collections) include:

- Purchasing and payment for both print and digital resources
- Business services, licensing of content, licensing for tools and services, partnership management, grants management for collection development and technical services
- Acquisitions, asset management, accounts payable and potentially accounts receivable for regional level collection management collaboration
- Cataloging and metadata services, consulting services, user contributed content
- Physical and digital storage, preservation and curation
- Publishing services, open access and copyright management services
- Reformatting services, digitization, microfilming, print on demand
- IT support services, tool experimentation, development and deployment, development partnerships

Certain projects are underway to support this issue: the Western Regional Storage Trust, shared approval plans with a primary monograph vendor, the transition of some prospective Shared Print for Licensed Content to CRL (the network level), transition of UC Digital Preservation to UC Curation Services (preservation and access), transition of eScholarship to Publishing Services. Their success will ultimately depend upon more permanent support. Each of these initiatives is limited to a specific scope, some are grant funded and each is designed only to attend to some of the gaps in UC's technical service infrastructure, broadly considered.

UC Libraries Technical Services have also evolved beyond our current organizational structures. The location and organizational and decision-making structures for the Next Generation Technical Service unit (or units) that attends to commonly held content will require more study in the upcoming months. The location(s) and organizational structure(s) will depend largely on the future design of lifecycles for managing each commonly held resource type.

The analysis of organizational structures can be informed by user behavior: library users are increasingly less concerned with the location where content is processed or ultimately housed than with the discoverability and accessibility of content across the system. Furthermore, when influential library users are concerned with the contribution of resources toward a shared collection, it is imperative that the discovery layer or a robust collection management layer reveal shared resources as shared resources. Cooperative collection development depends upon transparency among partners and discoverability of shared resources.

SPECIFIC ISSUES

- 1. Create comprehensive technical service units to manage shared resources in all format types and their lifecycles. Envision technical services in the broadest context of services, as described above.**

- Design lifecycles for collection management for all commonly held resource types. Lifecycles should emphasize either a one-touch approach at the point of acquisition a building block approach to bundle services and/or an application of services at the point of use. Lifecycles should paint a path to digital discovery and when possible, to full “text” access. Lifecycles should align services such as Shared Acquisitions, Shared Print services, Digitization, Shared Cataloging, Digital Curation micro-services and Publishing Services.
- Design business models for UC Libraries as a service provider to the system, other libraries, authors and publishers. The business models ought to consider licensed resources, print, born digital resources, digital surrogates, images/multimedia, and open access resources as well as a decision-making path to transition formats (e.g. print to electronic, electronic to print). Incorporate “batch mode” processing of resources at each step in a lifecycle. And include fees for services to other libraries, authors, publishers when appropriate and on a cost recovery basis and with a customer-based relationship.
- Design the organizational structure of the comprehensive technical service units to meet the needs of the new lifecycles and business models. The business model and organizational structure should take into account and/or propose capital infrastructure (funds, systems/tools, human resources) to support “service center(s)” or “centers of excellence” responsible for provisioning physical, digital and born digital content to the system and regional partners.

2. Continuously improve browsing capabilities to compete for market share of UC Library users

For shared collection agreements to endure over time, it is critical that both users and librarians be able to find resources that are acquired or managed cooperatively in the context of locally held resources.

As shared resources are increasingly acquired and managed at locations different from the user’s location, it is critical that the virtual browsing and discovery layer be continuously enhanced and metadata exposed in places like Google such that the user is made aware of library holdings. While aspects of this are not the purview of NGTS, there are some services that technical services can bring to the table to facilitate better browsing and discovery , such as the acquisition or creation of rich metadata (TOCs, front/back matter, rights management information, condition/completeness information) throughout the lifecycle of collection management.

- Identify a robust suite of browsing capabilities. Identify metadata content and/or services that UC Libraries ought to acquire (through purchase or partnership) or combine to enhance the browsing experience. Near terms solutions might be to acquire rich metadata such as implementation of TOCs, incorporation of cover matter and browsing by call number. Longer term solutions might include visual browsing, ways of enabling user contributed metadata, reviews and "more like this" features and alignment of currently siloed data.
- Design model for continuous experimentation with and improvement of browsing capabilities.
- Assess the systems architecture and processes to support new browsing capabilities. Assess whether to enhance browsing capabilities in Next Gen Melvyl or in a discovery layer superstructure.
- Design models for unmediated delivery of physical and digital resources to users
- Design research methodologies to assess the effectiveness of new browsing capabilities.
- Design research methodologies to assess the libraries’ ability to attract users from major search engines like Google to the library.

NGTS-1 recommends CMI-like initiative and a white paper on the above.

3. Enable the discovery of shared resources as shared resources in the context of local, consortial and network level holdings. Enable system-wide visibility of commonly desired, selected, ordered and acquired resources to facilitate access throughout the acquisition lifecycle to the end user. Create decision-support architecture for system-wide reporting about collection uniqueness, overlap and usage over time for multiple format types.

For shared collection agreements to endure over time, it is critical that both users and librarians be able to find resources that are acquired or managed cooperatively in the context of locally held resources.

Currently, many shared resources in which the libraries have invested significant financial and human resources are identified as shared resources outside the union catalog. Catalog records and other descriptive data may be exported incorporated into external databases, enhanced with other rich metadata (e.g. condition, completeness, retention commitments, rights management information, electronic/print match points, etc) but that rich metadata is not reunited in some kind of discovery layer to facilitate discovery, resulting in siloed collection management information. Examples include registries of digital masters, the DPR, Portico, LOCKSS, OCLC holdings information, CRL holdings, shared print databases/spreadsheets for journals (JSTOR, WEST?), ERM data, and vended data from Ulrichs, JCR, and more. These data sources of rich information need a query and discovery layer to facilitate collection analysis and decision support for collection management. The collection analysis tools available today, notably the WorldCat Collection Analysis Tools, were built for specific decision-support questions which in many ways are obsolete today (the WCA was built for local libraries to do peer comparisons primarily for funding proposals for new programs, under the premise that the local library would strive to duplicate larger peer library collections. This paradigm has shifted significantly.) The tools needed ought to be malleable; they should be designed to accommodate changing collection analysis needs.

Analysis is needed to determine whether the discovery/query layer should be NGM or a parallel layer for which NGM might be one data source and what it would take to modify or create a more dynamic discovery layer for shared resources, local resources and rich metadata. This analysis and issue ought to be conducted with library partners.

- Assess whether to use NGM as the discovery layer for shared resources or whether to create a discovery superstructure, for which the OCLC database is but one data source that interoperates with other data sources.
- Assess whether to create OCLC holdings symbols for shared resources of all format types, impact on Request and solutions.
- Design and/or acquire decision-support architecture to
 - facilitate selection (voting, selection visibility, order/delivery visibility in NGM or other discovery layer),
 - identify collections/ resources to transition from print to electronic (and electronic to print via print on demand),
 - analyze shared and local holdings in the context of network level holdings and commitments.

Some common themes or questions that emerged from the NGTS-1 surveys on this topic included: what can OCLC do for us in terms of outputting reports based on LHRs or other data? Can we collaborate more around print serials and initiate a system wide serials retention, consolidation and cancellation project? Can facilitate cataloging, discovery and searching in non-Roman scripts? Can we query the OCLC database for collection management decision support? Instead of creating

systems to respond to each of these needs separately, NGTS recommends a more malleable querying architecture that allows librarians to query and pull reports from multiple sources for collection management purposes. The architecture should be responsive over time to changing collection management questions.

BARRIERS

Anticipated barriers to adoption to the following issues include: human resources, pooled funding for technical and vendor services, campus-centric technical service organizations, locating physical materials at a distance from users, possibly moving staff, collective bargaining agreements. One way to address the need for human resources and skills to support shared collections may be to initiate a phased system-wide approach to filling positions vacated due to attrition, retirements, and/or new positions. Another NGTS issue for pooled funds will address that aspect. The "next steps" for each proposal ought to include barriers to adoption and proposals to mitigate them.

POSSIBLE NEXT STEPS

- Interview collection development stakeholders for collection management and decision-support capabilities needed to support cooperative collection development. (CDC, CDL most programs and services, Bibliographer groups.) Identify of gaps in tool functionality, human resources and processes or policy. Compile a report of NGTS findings, in partnership with CDC, based on its future vision for collection development.
- Conduct a thorough assessment of OCLC's collection management capabilities, including discovery of shared resources in NGM and decision support capabilities. Identify whether and under what circumstances to 1) work with OCLC to develop collection management solutions for UC's current and future needs or 2) to develop a far more robust discovery superstructure for which the OCLC database is but one data source that interoperates with other data sources, on top of which robust decision support querying capabilities can be built.
- Recommend solutions for systems architecture to support and continuously improve shared acquisitions and discoverability. Include System-wide costs and an implementation timeline.
- Recommend solutions for metadata infrastructure to support consortially and regionally managed resources
- Recommend organization of "technical services" broadly defined to support consortial, regional and network level collection management for commonly held resources.
- Identify internal and external barriers to adoption (e.g. pooled funding mechanisms, technical service personnel for shared resources, book agent's relationships with OCLC Selection, access to the OCLC/NGM API for collection management purposes) and ways to mitigate them.

Issue 6: Create a systemwide collaborative and comprehensive government documents collection (medium-term)

SUMMARY

The University of California Libraries spend significant resources on collecting and providing access to federal, state, and international government documents. In the past 10 years the University of California / Stanford University Government Information Librarians (GILS) group, the UC Task Force on Government Information, and the California Digital Library have done a tremendous amount of research into analysis of UC-wide government document collections, which has included topics such as: collection overlap, shared collection development, improved discovery, archiving, re-formatting, and shared

cataloging. The issues within the reports³ emanating from this research have not experienced significant adoption nor implementation within UC. This is unfortunate since what were excellent ideas between 2003 and 2006 are *in part* what shall be recommended now in 2009. The basic view remains the same: *the University of California Libraries need to create and manage a collaborative and comprehensive government documents collection*. This does not mean a single collection residing in a single location, but rather that *the overall collection as viewed from a System-wide perspective is itself a comprehensive, robust research collection able to support government information needs across all campuses*. The Next Generation Technical Services issue on creating a collaborative and comprehensive government document collection for UC focuses entirely on the future of the government document lifecycle, and not at all upon managing existing collections.

CURRENT SITUATION

According to the Documents Data Miner⁴ as accessed in November 2009, there are 13 United States Federal Depository libraries within the University of California system: four law libraries with selections of 11-20%, eight university libraries with large selections of 58%-85%; and one library with an entirely electronic, selective collection.

According to the California State Documents Collection and Depository Library Program Information website⁵ as accessed in November 2009, there are twelve California State Document Depository Libraries within the University of California system: four law libraries, five complete selection depository libraries, and three selective depository libraries.

As for international documents, nine of the University libraries within the UC System acquire material from governmental and non-governmental agencies through a variety of means: via international depository arrangements; gift and exchange arrangements; through the Library of Congress Acquisitions Programs; and through direct purchase.

³ Task Force on Government Information. University of California Shared Collection of Government Information Final Report. Submitted to the UC System-wide Operations and Planning Advisory Group (SOPAG) May, 2003 http://libraries.universityofcalifornia.edu/sopag/govinfo/govinfo_finrept.pdf

The New Government Information Landscape: UC Opportunities for Shared Collections and Collaboration. October 28, 2004 <http://libraries.universityofcalifornia.edu/sopag/SharedCollReport.html>

Web-based Government Information Project, a Mellon Funded Initiative. 2003. <http://www.cdlib.org/inside/projects/preservation/govinfo/>

Planning For Changes In Government Information Report of the GILs Task Force. April 18, 2006 <http://www.library.ucsb.edu/hosted/gils/GILSReportPlanningForChanges.pdf>

⁴ Designed to support management of federal depository library collections, Documents Data Miner[®] is a search engine combining files from the latest version of the List of Classes of United States Government Publications available for Selection by Depository Libraries, the Item Lister's Current Item Number Selection Profiles for Depository Libraries, and the Federal Depositories Library Directory. <http://reports.wichita.edu/ddm2/gdocframes.asp>

⁵ State Document Depositories (alpha order by city) http://www.library.ca.gov/gps/gps_cal3.html

It should be noted that literature on the future of depository collections has recently been published. Within the national context, now is a very good time for UC to transform its perception and management of government document collections.⁶

EXPECTED EFFICIENCIES AND/OR ELIMINATED REDUNDANCIES

Available data⁷ on the number of persons who spend at least part of their time working within the government document lifecycle shows there are between 40-50 librarians and library staff across UC with government document responsibilities, ranging from heads of government information services to technical processing assistants. *As a first step, the redundancy within the government document lifecycle across the University of California needs to be identified and where possible, eliminated or reduced.*

It is estimated that each depository library spends \$10.00 for every \$1.00 worth of material received via the US Federal Depository Library Program.⁸ This \$10.00 is likely spent on staff who perform functions such as selection, ordering, receipt, check-in, cataloging, and marking of these materials. Given that these functions are fairly universal for most materials acquired in a physical format, it is not unreasonable to extend the \$10 to \$1 ratio to materials acquired through the California Depository program and perhaps some of the international depository and exchange programs as well.

At first glance, reduction or elimination of redundancy and increasing efficiencies may be done by sharing the tasks of collection analysis, acquisition, serials check-in, physical processing, and cataloging of either a portion of the documents collection (e.g. focus on US Federal Documents only) or the entire documents collection itself (US Federal, California State, and international). The cost savings would be realized in terms of staff time, reduced space requirements for shelving and storage, and possibly reduced expenditures for purchased resources.

SYSTEM-WIDE ENTERPRISE

Creating a system-wide collaborative and comprehensive government documents collection is a system-wide enterprise. What is required is a clear commitment to the successful creation and implementation of a system-wide documents collection. The primary need here is overt and broad support across UC Library administration to accomplish the small and large tasks required to succeed in such an endeavor. The new vision for government documents includes some aspects of shared collections and shared cataloging. In this respect many UC-wide groups, such as ACIG, CAMCIG, CDC, GILS, HOTS, and SCP AC, will need to be charged to gather information or accomplish tasks. It is also likely that an independent NGTS-1 sub-taskforce on government documents should be created to usher the necessary sub-processes through to completion.

BARRIERS

⁶ Among others, see: [Documents for a Digital Democracy: A Model for the Federal Depository Library Program in the 21st Century Interim Summary](http://www.arl.org/bm~doc/summary-fdlp-10-15-09.pdf). Prepared [for the Association of Research Libraries] by Ithaka S+R, October 2009. <http://www.arl.org/bm~doc/summary-fdlp-10-15-09.pdf>

⁷ UC/S GILS Directory <http://sunsite3.berkeley.edu/wikis/ucgils/index.php?n=Directory.UCStanford>

⁸ Herson, P. and L. Saunders. "The Federal Depository Library Program in 2023: One Perspective on the Transition to the Future." [College & Research Libraries](#) v. 70 no. 4 (July 2009) p. 351-370.

The costs associated with a commitment to archiving and re-formatting existing government document collections have caused many past projects to be rejected. The NGTS-1 government documents issue leaves this enormous expense behind by focusing on the future: beginning in 2011, what role will each campus have in contributing to the UC government documents lifecycle? The re-visioning of the government documents endeavor to focus on a holistic answer to this question is at the center of this issue.

However, this does not mean complete abandonment of past print and archival document collections. To the contrary, ongoing accessioning of documents into the RLFs, in conjunction with the Memorandum of Understanding: University of California Government Information Librarians Agreement on Last Copy Retention of Government Publications (June 2006) and the RLF Persistence Policy,⁹ forces ongoing review of existing document collections. Furthermore, there are many ongoing projects to re-format older documents and to make the digital surrogates available to all.¹⁰

In addition to the costs associated with focusing on past collections, other significant barriers might be:

1. failure to commit to success in the creation of a System-wide collaborative and comprehensive government documents collection
2. difficulties created by the existing UC financial infrastructure (see NGTS-1 Issue 1)

DISCOVERY AND ACCESS

Reference service is one area where UC government information has seen great success in the past several years. Major use of Web 2.0 technologies, such as providing real time government information chat reference, online reference forms, and specialized guides accessed via wiki and web pages, are among the many ways the UC Government Information Librarians have worked to increase access to government information across all UC Libraries as well as for users at individual campuses.

In the area of discovery and access, the goals of a collaborative and comprehensive government documents collection would be to focus additional attention toward developing tutorials and other government information discovery tools; increase the number of government information resources accessible by Next Generation Melvyl (NGM); increase metadata quality and consistency in records for these resources; and of course, to reduce duplication of effort in all these same areas.

POSSIBLE NEXT STEPS

- Consult with GILS and other UC stakeholders on project parameters
- Identify the most profitable starting point for this project (e.g. US government documents, California State documents, international documents, all document collections at once, etc.)
- Interview non-UC librarians with experience in consortial approaches to government documents
- Create NGTS-1 sub-group on government documents
- Determine project metrics

⁹ MOU: <http://www.library.ucsb.edu/hosted/gils/GILSMOU-LastCopy.pdf>

RLF Persistence Policy:

http://libraries.universityofcalifornia.edu/planning/RLF_Persistence_Policy_rev_final.pdf

¹⁰ For example, see: Registry of U.S. Government Publication Digitization Projects at <http://registry.fdlp.gov/> or California Digital Preservation Projects at http://wikis.ala.org/godort/index.php/California_digital_preservation_projects

- Map documents lifecycle at each UC library
- Identify both un-necessary and necessary redundancies throughout the government documents lifecycle across UC Libraries
- Re-vision documents lifecycle for system-wide use
- Define collection selection areas, determine best collection formats for these areas
- Identify archiving methods for newly acquired online materials (e.g. WAS, etc.)
- Develop a print storage plan (when and what to send to the RLFs) for newly acquired print and/or microfiche materials
- Develop best-practices for creating and maintaining document metadata and catalog access
- Determine campus document collection responsibilities
- Implement revised documents lifecycle across UC Libraries
- Evaluate program success
- Make issues for next area of implementation

Issue 7: Coordinate print serials management systemwide (medium-term)

SUMMARY

The UC Libraries serial holdings are vast, and to some extent, duplicative. While much of what was once obtained in print is now available and acquired electronically, print subscriptions remain a necessary part of our collections. At this time a System-wide approach to managing print serials would bring significant savings in human and fiscal resources across the System. Core serials management functions such as check-in, claiming, binding, and preservation need to be reconceived and coordinated to create a UC-wide print serials collection.

Consortial serials management would support the following NGTS values:

- Speed processing throughout all technical services functions
- Elimination of redundant work
- Free resources in order to focus on unique resources
- View technical services as a single system-wide enterprise
- Eliminate duplication of effort across the UC system and local variation in practice

Furthermore, this issue could potentially increase available space in many campus libraries.

STATEMENT OF THE PROBLEM/SITUATION

Despite years of serials cancellations, titles retained by campus libraries are often duplicative. Many of these titles are not available in electronic format or have traditionally been maintained for browsing purposes or because the electronic format is inadequate for illustrative or other significant intellectual matter. As a result, the same Technical Services tasks are performed redundantly on each title by each campus. This situation is unnecessary. One viable solution would be to establish a “campus of record and retention” for serials titles. The campus of record and retention would be responsible for cataloging and maintaining bibliographic data, check-in, claiming, binding, and preservation. In such cases where duplicate subscriptions are deemed necessary at other campuses, these campuses would not need to perform check-in/claiming/binding or be responsible for permanent retention of the title. This would reduce the overall cost of maintaining this title locally. Furthermore, the campus of record and retention would also be responsible for RLF accessioning if long term storage is required.

EXPECTED EFFICIENCIES AND/OR ELIMINATED REDUNDANCIES

- Savings from duplicate subscriptions and costs of binding
- Free up staff time in serials acquisitions, serials cataloging, serials binding
- Perform key functions only once for entire system

BARRIERS

- For certain titles, campuses would have to be willing to rely on another campus for access
- There is a fiduciary responsibility that campuses have with regard to verifying receipt of material prior to payment. It is possible that this responsibility could be satisfied by a simple “shelf check” before renewing a subscription?

IMPACTS ON DISCOVERY AND ACCESS

If check-in is eliminated or decreased, users will be less able to tell if a local campus has recent issues of current periodicals. However, it is assumed that these are titles that are either duplicated electronically or that the value to the campus library is primarily that of browsing and current awareness.

POSSIBLE NEXT STEPS

- Charge CDL Shared Print to analyze print duplication and work with CDC and bibliographer groups to outline a campus of record and retention program
- Analysis distributed to Bib Groups to decide on record/retention requirements
- Final issues shared with CDC
- Campus renewals decided

Issue 8: Review and improve the infrastructure for the Shared Cataloging Program (medium-term)

INTRODUCTION

Both the widely distributed BSTF report and the responses to the NGTS1/2 survey have held up the Shared Cataloging Program (SCP) as the poster child for a successful UC-wide enterprise. As laudable as the Program is, there is still room for improvement and expansion. Some ideas were put forward in 2008 by a HOTS subgroup, which drafted an SCP scope statement that proposed a broader role for the Program as well as a vision statement (“What’s New about the New SCP?”) That effort to transform SCP was put on hold by the creation and launch of NGTS. We believe that it is now time to take up and extend this work.

Issue 8 is closely aligned with Issue 5 (Expand technical services to support shared collections and collection management). Had the group had more time in preparing this report, we might have combined and re-cast those two issues. Please advise if the NGTS Steering Committee would like us to do so.

STATEMENT OF THE PROBLEM/SITUATION

Shared cataloging should support shared collections, in whatever formats and languages. At present, SCP only catalogs textual electronic resources, and primarily in English. The expansion of SCP’s role to take on additional formats and languages is only one of many questions/challenges that have arisen, which must be explored further and resolved:

Big picture:

- What should the scope be for the Shared Cataloging Program?
- We need to do sufficient analysis to achieve a full understanding of the lifecycle for the shared collection materials to be handled by the Program. Greater efficiencies in and with CDL Acquisitions and other organizations involved with the workflow could be achieved. Interoperability between the many technologies (ERMS, link resolver(s), databases, spreadsheets) could be improved.
- Is a higher-level “umbrella” structure needed—something under which CDL Acquisitions, SCP, and any other needed subunits falls? Does it need to be real or virtual? What is CDL’s role, and what role should the campuses play? How does the work on shared collections fit in with existing groups, such as JSC, CDC, ACIG, CAMCIG, SCP AC?
- How can we improve the current funding model so that it is more sustainable? At present, SCP is funded through a static resource sharing line from UCOP administered by CDL. A static line has not worked well recently as the Program has needed to grow, as salaries have increased (until recently), and as expectations have risen; can we find a model that has more flexibility? Note also that CDL Acquisitions is funded differently, by CDL, and has also struggled with workload increases and cost containment.
- What are the immediate workloads (and anticipated long-term workloads) for shared collections? How will the Program staff for formats in which they don’t currently have expertise (e.g., music, maps) or languages (e.g., Chinese, Japanese)?
- Can the Program be re-invented with more distributed responsibility? Does the Program need to be centralized at one campus? Might it be possible for campuses to contribute format or language expertise?

Immediate need:

- There is a compelling need for a clear data model for holdings and for identification of one database of record. Serial holding data is being redundantly recorded in three (potentially four) places: the SFX KnowledgeBase, SCP bibliographic records, the Serials Solutions ERMS, and (looming) in OCLC Local Holdings Records. This is egregious redundancy that is staff intensive, and solutions are urgently needed.

Specific SCP issues: These ideas have arisen in the past few years and continue to arise. Work in this area would provide an opportunity to change course or re-confirm current policies and practices.

- Some UC staff have suggested that SCP investigate taking greater advantage of vendor-supplied records and maintenance so that SCP staff could take on other resources that might not have data provided by vendors. This model should be re-investigated in light of the WorldCat Local environment. Is there a way that CONSER records can continue to be maintained under this model? Costs, workflow, and a transitional strategy also should be explored.
- Some UC staff have asked that the current single record policy for serials be reassessed. Would UC serial titles and holdings be clearer for users with separate serial records? Could workflows and holdings maintenance be streamlined and/or simplified? This policy should be reconsidered in light of UC’s move toward Local Holdings Records in OCLC. (Also a part of Issue #10.)
- Some UC staff have looked at the many types of URLs and link resolution techniques and wondered if some efficiencies could be gained there. Is it possible to use one type of URL or one technique? Does UC need to continue to maintain PIDs and the PID server?

EXPECTED EFFICIENCIES AND/OR ELIMINATED REDUNDANCIES

- Additional workflow efficiencies are possible
- Eliminating record distribution from SCP to the ten campuses might be possible, should data not be needed in local OPACs, if UC moves to a consortial ILS, or if it is possible to do distribution through OCLC
- Re-purposing SCP staff from serials maintenance to other work might be possible
- Consolidated link maintenance might be possible
- Elimination of redundant holdings maintenance would be possible

BARRIERS

UC is a complex organization, and aspects of this issue could require significant organizational change. In addition, SCP operates in a very complex environment, with detailed metadata and interconnected systems. There is also a large body of legacy data. Planning for change will take time and will necessitate very thoughtful, detailed planning.

POSSIBLE NEXT STEPS

1. For the immediate need item: We recommend that a HOTS subgroup be formed immediately to identify the many facets of the problem and recommend solutions, with a deadline of February 28.
2. For the specific SCP issues: We recommend that the SCP Advisory Committee be charged to investigate and make issues to HOTS in these three areas by the end of May.
3. For the big picture issues: These questions and challenges will clearly need a significant amount of work and are tightly bound up with other issues in this report (particularly Issue 5). As the Steering Committee untangles overlapping issues from multiple teams and ponders a strategy for discussion of the UC library's larger funding and governance issues, the impact on and role of SCP should not be forgotten. In the meantime, a specific subgroup to study and make issues on SCP funding and governance could be convened.

Issue 9: Investigate and implement shelfready services systemwide (short-term)

NGTS Charge to HOTS

Title of initiative: Shelf Ready Services
NGTS Reviewers: Team 1
Date: November 3, 2009

NGTS charges HOTS to proceed as indicated below. NGTS expects to implement this initiative within the timeframe indicated below. We expect the initiative will form a component part of a broader Technical Service model that NGTS will promote. As such, we ask that certain metrics be kept and periodically submitted to NGTS to support the design of the future model (s).

Charge

- Building on the existing survey of shelf ready services, prepare a proposal for shelf ready services for UC Libraries. The proposal should address service standards, prices, workflows and HR requirements. Define a uniform service level(s) to be applied systemwide and identify

whether the level(s) should be applied on a per vendor basis, for a category of vendors, or other approach. Identify benefits, barriers to adoption and ways to mitigate those barriers.

- Coordinate the Shelf Ready Service proposal with the CDL Shared Print Steering Task Force and Shared Print Manager. HOTS may wish to focus its proposal on the material not typically supplied by a primary monograph vendor and to coordinate with the SPSTF as it develops shelf ready service standards for shared print material supplied by a primary monograph vendor. (The SPSTF is currently working on a proposal for a shared approval plan with a primary monograph vendor. Part of the SPSTF's charge is to define Bibliographic Service Standards and Acquisitions Service Standards for Shared Print Monographs. These will include shelf ready services for monographs acquired on the shared approval plan but will not include services for local campus approvals with the same vendor. HOTS may consider whether to include in its proposal shelf ready services for local campus approval plans with a primary monograph vendor and/or whether to align those services with Shared Print.)
- Estimate/project System-wide costs, number of books, and human resource efficiencies gained annually for the next five years.
- Identify a small group to serve as an implementation team. This group will oversee implementation.
- Prepare an implementation plan for each campus that incorporates the timeline below and indicates specific barriers to adoption, if any.

Goals

- Achieve economies of scale
- Foster standard practices across the system
- Position to competitively negotiate pricing for services with book vendors

Implementation Timeline

- Additional research due February 1, 2010
- Approvals secured by March 15, 2010
- Implementation: June 30, 2010 to December 31, 2010.
- Provide quarterly metrics to NGTS beginning : December, 2010

Metrics to keep, post implementation

Please design a template for all campuses to use to capture these metrics such that all campuses are collecting the same data. Please compile the statistics quarterly and submit them to NGTS.

- Number of books supplied shelf ready
- Average cost/book shelf ready services
- Human resources dedicated to processing books (classification levels and FTE prior to and post implementation for the next 3 years)
- Human resources deployed, workflows augmented or developed as a result of this initiative (classification levels, FTE and description; does not assume a direct transfer of staff from one activity to another)
- Ratio of Technical Service Costs (HR and Shelf Ready Service) to Collection Cost

Assessment plan and report_(to be submitted to NGTS)

Prepare an annual assessment of shelf ready services

Approval Path

- Steering forwards to Executive Team. by November 6, 2009

- NGTS Steering and Executive send charge to HOTS : by November 13, 2009
- HOTS develops proposal and forwards to NGTS 1: by February 1, 2010
- NGTS1 forwards to Steering: by February 12, 2010
- NGTS Steering forwards to Executive team: by February 26, 2010
- NGTS Steering charges implementation group by March 15, 2010

Issue 10: Implement systemwide cataloging policies (short-term)

NGTS Charge to CAMCIG

Title of initiative: System-wide cataloging policies

NGTS Reviewers: Team 1

Date:

NGTS charges CAMCIG to proceed as indicated below. NGTS expects to implement this initiative within the timeframe indicated below. We expect the initiative will form a component part of a broader Technical Service model that NGTS will promote.

Charge

1. Define what it means for UC to catalog at the network level. What impacts might this have on local campus workflows? What benefits might it bring to System-wide cataloging? Determine whether cataloging at the network level is recommended for UC.
2. Define a UC core/minimal-level bibliographic record. Consider relationship to PCC and CONSER standard records. Define "what's good enough" for cataloging most items across UC. Which, if any, materials should regularly receive minimal level records? Which, if any, materials should rarely receive minimal level records (i.e. with copy cataloging unavailable or only poor copy cataloging available, are there materials which should regularly receive full-level cataloging)? Have other consortia taken this approach? How may we learn from their experience?
3. How might campus cataloging workflows be adjusted to ensure that all campuses always use the same OCLC record for the same item? What service(s) might OCLC offer to aid in this effort?
4. Prepare System-wide training plan and implementation plan based on issues for items 1, 2, and 3.
5. Estimate campus and System-wide costs for implementing issues and training for items 1-3.
6. Evaluate the pros and cons of using single versus separate records for print + electronic holdings for continuing resources. Consider NGM display issues and impacts on use/creation of LHRs. Determine whether going forward with separate records would necessitate going back and separating existing combined records for each campus and for SCP. Obtain input from the Shared Cataloging Program Advisory Committee (SCP-AC) and Heads of Public Services (HOPS). Recommend action.
7. Estimate campus and System-wide costs for implementing issues for item 6.

Goals

- Establish and foster standard cataloging practices across the System.
- Facilitate streamlined cataloging by defining and implementing minimal level record standards and practices.
- Improve discovery and access to electronic continuing resources where print or other formats are also held by the campus libraries.

Implementation Timeline

- Issues for items 1 and 2
- Issue for item 3 and estimates and plans for 4-5
- Issues for item 6 and estimates for no. 7
- Upon positive review by NGTS-1 and approval by NGTS Steering, implement issues and training for items 1-5

Approval Path

- NGTS1 forwards Charge to Steering
- Steering forwards Charge to Executive Team
- NGTS Steering and Executive send charge to CAMCIG
- CAMCIG delivers issues for items 1-2 to NGTS
- CAMCIG delivers issue for item 3 and estimates and plans for 4-5 to NGTS-1
- NGTS-1 forwards (1-5) to Steering
- NGTS Steering forwards (1-5) to Executive team
- CAMCIG delivers issue and estimates for 6-7 to NGTS-1
- NGTS Steering charges CAMCIG to implement (1-5)
- NGTS-1 forwards (6-7) to Steering
- NGTS Steering forwards (6-7) to Executive team
- NGTS Steering appoints and charges implementation group for (6-7)