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NGTS Pilot Project 5 Expanded UC Shared Cataloging of Electronic Resources:

Final Report

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Introduction

The NGTS Pilot Project 5 was one of several proposed by the NGTS Power of Three (POT) 6. POT6 was charged to identify and implement pilot projects which could provide the foundation for a UC shared collections services organization and to develop models for collaborative technical services operations for the UC system.

The purpose of the NGTS Pilot Project 5 was to test the effectiveness of extending the workflows employed by the Shared Cataloging Program at UC San Diego to other UC campuses for selected Tier 1 or Tier 2 resources. A secondary objective was to investigate the application of the SCP workflows and processes for Tier 3 resources held by multiple campuses.

The Shared Cataloging Program (SCP) provides catalog records for the University of California campus libraries. Established in February 2000, the program is based at UC San Diego. The main goals of the SCP are to ensure the representation of CDL-licensed materials in UC campus integrated library systems and (through the campus ILSs) to Melvyl® in a timely fashion, to maintain the currency of subscriber and coverage data, to eliminate the redundancy of cataloging efforts among the UC campuses, and to keep links current through the use of persistent identifiers.

The Shared Cataloging Program (SCP) is responsible for creating the "official" CDL record that is distributed to the campuses. The SCP adheres to national standards for cataloging California Digital Library (CDL) resources, with additional fields and suggested wording to aid in consistent presentation and clustering in the UC Union Catalog.

The standards and guidelines used by the SCP are available at:
http://www.cdlib.org/services/collections/scp/cdlcatalogguidelines.html

Summary

The Project ran from April 2013 through May 2014. All planning, management and ongoing work was conducted via conference calls and email. In-person meetings and training was not required. After the initial training of UCI staff and the review of the cataloging by SCP staff, the project participants held conference calls and used email to address any questions and resolve any problems.

UCSD provided procedures for the UC Irvine cataloging staff to use. UCI reviewed and modified these procedures for local use. During April and May 2013, the group created a project plan, selected the first package of e-books to catalog, and prepared procedures and a workflow for the Wiley Online monographs. The first batch of cataloged records were sent to UCSD on June 6, 2013.

Batches of records were completed and sent to UCSD twice a month. The batches varied in size depending on the new title lists provided by the vendor.

- 1019 titles were cataloged and distributed to campuses
- 18 titles required original cataloging
- All but three OCLC records required extensive upgrading

UCI Local workflow summary:

1. Download the list of new titles from the publisher web-site site twice a month, at beginning of month and middle of month.
2. Batch search OCLC for titles already cataloged by SCP
3. Distribute new titles to catalogers
4. Catalogers add local fields needed for SCP (793 and 951) using a macro/text string, and update holdings for UC campuses
5. When cataloging is done, gather the records into a create lists file using cat date range and 793 text
6. Add 856|z using global update
7. Supervisor review for record quality
8. Send the records to SCP for distribution with the weekly files
9. Report any unavailable titles or access problems to SCP/CDL Acquisitions

The project met all of the success criteria identified during the planning phase:

- UCI was able to process the new Wiley Online Books titles as they became available and sent records for distribution to campuses twice a month
- UCI provided cataloging records that met the same quality standards used by the SCP staff
- There was very minimal work required by the SCP staff beyond distribution of the records to the campuses

- The processing of the package at UCI did not negatively impact the normal cataloging processes at UCI or SCP
- UCI catalogers are able to maintain cataloging productivity that is comparable to that of the SCP catalogers

Challenges:

Staffing:

Due to the resignation of the cataloging supervisor at UCI, we were unable to expand the project to work on an additional package. Preliminary plans were made to catalog a more complex package, the ACM conference proceedings. It would have been desirable to test a more complicated e-book package such as the ACM Proceedings in order to examine if there are additional issues that may arise.

The UCI Libraries committed staff time for the duration of the project without reimbursement. UCI Library Administration made funds available to the Cataloging Department to hire a temporary cataloger to help offset some of the time used for the project.

Unreliability of updated publisher lists:

 UCI staff encountered the not uncommon problem with publisher titles list being an unreliable source for identifying the content that needs cataloging. Since SCP staff would have encountered the same problem had SCP been doing the cataloging, this problem does not negatively impact the results of the pilot; however, it does reinforce the need for pressure to be placed on publishers/vendors to provide reliable sources identifying available content in a timely fashion.

As with publisher's title list, UCI experience issues with access. These were identified and routed through CDL Acquisitions for resolution. Again, this does not negatively impact the results of the pilot as SCP staff would have work with CDL Acquisitions in the same manner to resolve the access problems.

Use of the SCP authorization in OCLC:

 For the pilot, UCI staff used SCP authorizations to perform their work. If the pilot becomes operationalized, it would need to be determined whether new authorizations should be created or whether staff should continue use of SCP authorizations.

 Recommendations

The year-long pilot project demonstrated that it is possible to extend the workflows employed by the Shared Cataloging Program at UC San Diego to other UC campuses for selected Tier 1

resources. Based on the experience of UC Irvine and the SCP staff, the technical and workflow issues were minimal. The workflows developed could be expanded to other electronic resources and other UC campus libraries.

Moving from a pilot to a shared service would require consideration of a number of issues. In order to ensure reliable and stable support for distributed shared cataloging and in order to make the extension of the SCP cataloging model a long-term shared service the following questions need to be addressed.

1. Is the participation by UCI or other campuses in the SCP workflow the best way to increase cataloging capacity for shared electronic resources?

> Is it more cost-efficient to increase staffing at UCSD instead

> If so, what criteria is to be used to support staff increases and who should have responsibility for making staffing decisions regarding SCP

> Is there a hybrid model in which campuses assist with the straight-forward packages and SCP deals with the more complex ones

2. How should the contributing campuses be compensated ?

> Need to understand and evaluate the funding model for SCP

> Could the SCP funding model be extended ?

> Are there other ways to compensate campuses

3. How to formalize shared cataloging agreement on part of contributing campus(s)

> MOUs

> Shared positions