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Leveraging the Library Series

LEVERAGING PARTNERSHIP OPPORTUNITIES IN THE LIBRARY

AND CROSS-INSTITUTIONAL
COLLABORATION



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INTRODUCTION

Collaboration and partnership enable us to achieve common goals by working together and sharing resources - libraries are no exception. This FreeBook thus provides library practitioners and students of Library and Information Science (LIS) with examples of how collaboration and partnership with other libraries can help achieve more by sharing resources and expertise, the burden of new projects and initiatives, and foster innovation and new ways of thinking in order to meet patron needs.

This FreeBook features contributions from experts in their field, including:

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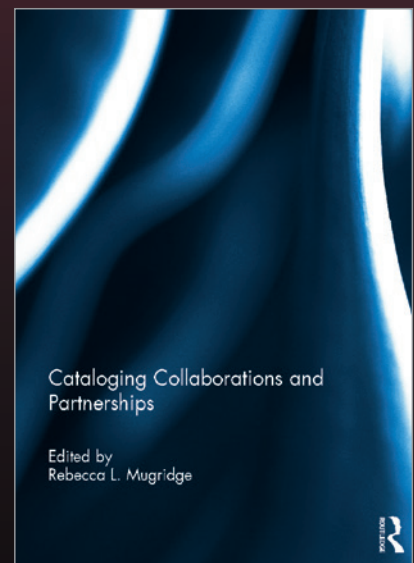
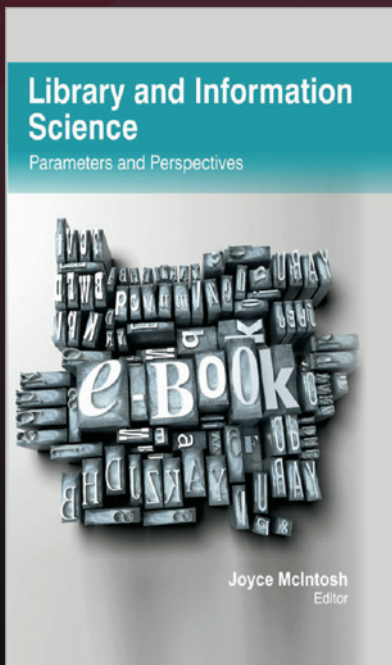
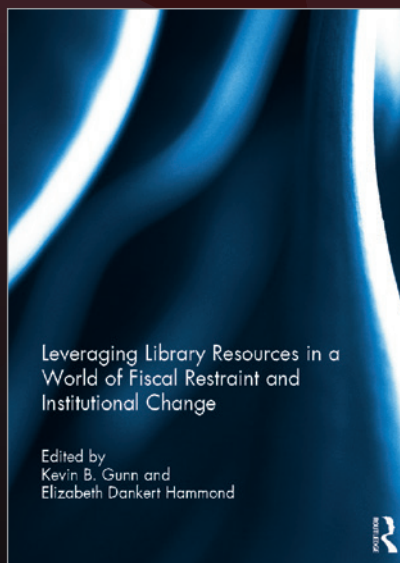
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CHAPTER

1

DELIVERING INFORMATION LITERACY INSTRUCTION FOR A JOINT INTERNATIONAL PROGRAM

Jiselle Maria Alleyne and Denyse Rodrigues



This chapter is excerpted from

Leveraging Library Resources in a World of Fiscal Restraint and Institutional Change

Edited by Kevin B. Gunn and Elizabeth Dankert Hammond

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DELIVERING INFORMATION LITERACY INSTRUCTION FOR A JOINT INTERNATIONAL PROGRAM

Jiselle Maria Alleyne and Denyse Rodrigues

Excerpted from *Leveraging Library Resources in a World of Fiscal Restraint and Institutional Change*

This article focuses on a collaborative project between Mount Saint Vincent University Library and Bermuda College Library to introduce students to services and resources at the libraries of the partner institutions. Using Web conferencing software that allowed for voice, instant messaging chat, and live Web demonstration, a series of workshops was developed to introduce students to the concepts of information and literacy and reinforce for the students that they were able to access librarians and library services at both institutions. Issues relating to both the students' home library at Bermuda College in Hamilton, Bermuda and their remote library at Mount Saint Vincent University in Nova Scotia, Canada are examined, including the obstacles that have been surmounted as well as recommendations for other libraries considering this type of partnership. Strategies, activities, and tools used to implement the initiative are discussed.

INTRODUCTION

International partnerships are becoming prevalent in tertiary education. Agreements and memorandums of understanding are often reached at the higher administrative levels, filling the gaps in program offerings, and increasing enrollment in both institutions (Marshall et al. 2008). Students in these joint programs are often eligible for library services at both institutions. However, the literature is surprisingly sparse on the relationships within the libraries of institutions involved in these agreements, or on the access of students enrolled in joint programs to the library of the remote institution (Pival and Johnson 2004). This article presents an example of cooperation between Bermuda College and Mount Saint Vincent University in providing library instruction for students enrolled in joint programs at their institutions. Bermuda College and Mount Saint Vincent University enjoy articulation agreements that allow students to begin programs in business administration, applied arts (child studies), and teacher certification at Bermuda College in Hamilton, Bermuda and complete their course of study at Mount Saint Vincent University (MSVU) in Halifax, Nova Scotia, Canada. While students for the past seven years have had access to the libraries at both institutions, students at the Bermuda College campus were less familiar with the resources available remotely to them at the MSVU library. Beginning in the 2008/2009 academic year, Web conferencing software was used to introduce library services available to students enrolled in these joint degree programs in Bermuda. These sessions focused on research skills and an orientation to online library resources.

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This project of international collaboration in student library instruction contained the key elements of a successful partnership. First was the shared goal of providing quality research instruction to students enrolled in both institutions. Two librarians, one from each institution, led the project and both were involved in the selection of topics covered in the series. There were clearly defined roles and responsibilities regarding the scheduling of sessions, preparation of session materials, and booking of equipment and software. The venture enjoyed strong administrative support from program directors as well as chief library administrators. The project fit well with current instruction practices, and it further advanced the missions of both libraries.

LIBRARY INSTRUCTION BACKGROUND

The impetus for this exploratory study was an observation that there were no specialized instructional services for this specific user group, that is, students enrolled in joint programs at the institutions of Mount Saint Vincent University and Bermuda College. A second reason was to ensure that students upon transfer from Bermuda College to MSVU were equipped with the necessary skills to be successful in their sophomore years at the new institution. In addition, participants in the joint program were able to choose from all MSVU course offerings to complete their elective course requirements. This sometimes resulted in students choosing electives that were far more research intensive than their core programs, which were more oriented toward professional studies. Third, the collaborative project also emerged at the time of the expansion of Bermuda College's Distance Education program. Thus, the Director of External Programs and the librarians at both institutions saw this as an opportune time to collaborate. Most importantly, working in isolation was not in the best interest of the students, and this was the tipping point that pushed us to start this collaborative venture. Robert Hayes describes this as "the ethical commitment of librarianship to the concept of collaboration, that no library can be all encompassing and that sharing is the only way to ensure provision of access" (2003, 454).

The Bermuda College Library follows the traditional model of library instruction where students are brought to the library and are instructed in the access and use of library print and electronic resources. The Mount Saint Vincent University library had been attempting to provide library instruction for their distance students via DVDs distributed by the Distance Learning department, PDF instruction sheets linked on the library's Website, and through online flash tutorials. Despite these efforts, the Bermuda College librarian had heard anecdotal reports that students were unfamiliar with the library resources at MSVU and were having difficulty meeting

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their academic needs for MSVU courses with the Bermuda College library resources. At the same time, the librarian at Mount Saint Vincent University had received feedback from MSVU instructors that students in the joint program were less likely than other students to use library resources to complete their research assignments.

It was clear that in order for the students to grasp the depth of resources available to them for their courses in the joint program, both libraries need to work together. It was felt that using Web conferencing technology would be the best choice, combining the advantages of Web-based instruction with the benefits of face to face sessions, and promoting a virtual sense of connection between the two libraries. Howe and Strauss (2000) support this view when they reported, “library educators must adapt, and they must use technology, include the opportunity for social and interactive learning, and be visual and kinaesthetic” (181). It would be the best means to help students acquire the necessary skills required for success in research-based course work. The sessions delivered through the joint initiative were based on the Five Session Library Instruction Model developed by Gandhi (2003), which showed that success is more likely if the information is packaged in short, focused segments.

LITERATURE REVIEW

Although there has been much written on the internationalization of tertiary education and the increase in memorandums of understanding among institutions (Altbach 2004), these accounts focus on the impact of these agreements at the wider organizational level rather than the experience of students or librarians studying and working within the context of joint programs. There has been a trend to partner institutions working together to enhance each other’s offerings where there is little overlap in program content (Marshall et al. 2008). It is also relevant to note that the growth in these international arrangements has gone hand in hand with technology assisted learning that allows for distance learning (McLean and Dew 2006).

The Standards for Distance Learning Library Services issued by the Association of College and Research Libraries and the Guidelines for Library Support of Distance and Distributed Learning in Canada by the Canadian Library Association both endorse the concept that “when more than one institution is involved in the provision of a distance learning program, each is responsible for the provision of library materials to the students enrolled in its courses” (Association of College and Research Libraries 2008, 568). In the international context this has direct implications for library services at participating institutions, as the students’ home library will

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likely not have the collections to fully support the joint programs, and students must access the partner institution's library remotely for their course research needs.

While much research has been carried out on the development and assessment of online library services to distance students, little research focuses specifically on programs offered through memorandums of understanding between institutions, and fewer still that speak to the issues involved in working with remote and home libraries. However, one such study that speaks to these issues was conducted by Pival and Johnson. They report that in a joint program through the University of Calgary, Athabasca University, and the University of Lethbridge, there were initially some difficulties in coordinating services among the institutions, but it was possible for three university libraries to support one program. They noted that "it can be challenging for students to learn how to interact with more than one library in terms of how to access different systems, resources, and support" (2004, 353). A common theme in many studies of services for distance students is that students accessing libraries remotely are often either unaware of, or do not make use of, the services available to them, often preferring to make use of geographically closer libraries (Buck, Islam, and Syrkin 2006; D'Angelo and Maid 2004; Slade 2004). In his overview of research done in the area of library services to distance students, Slade reports that the underutilization of library services points to a need for increased promotion and marketing, publicity, and library instruction, and that particularly when there is an international component, library instruction and information literacy training that is appropriate for the learning styles of students from other cultures should be provided (34-35). Buck, Islam, and Syrkin report that the technological emphasis in distance learning is particularly difficult for adult learners returning to higher education after years in the workforce, and that they are particularly vulnerable to library anxiety because many of them graduated in the early stages of the online era (2007, 1).

Additionally, in terms of collaboration within the area of information literacy instruction, much of the literature focuses on partnerships between librarians and instructors (Jacobson and Mackey 2007; Montiel-Overall 2007; Raspa and Ward 2000), or to a lesser extent on joint development of Web-based learning objects (Hansen 2001; Hansen and Lombardo 1997). While there is ample evidence that information literacy instruction is more effective when provided in the context of the course and linked with an assignment (Floyd, Colvin, and Bodur 2008; Jacobson and Mackey 2004), Owusu-Ansah (2003) makes the point that there are also inherent tensions in such relationships and not all faculty members are open to collaboration. While both

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librarians involved in this pilot project continue to work with faculty on other initiatives, it was felt that there was value in collaborating as librarians to provide information literacy training in their institutions' joint programs.

Regardless of the parties involved, there are lessons to be learned from the literature on partnerships and collaboration. Hooks et al. (2007) report that after a successful pilot project they needed to hire an additional librarian to maintain service levels generated by the collaborative projects with instructors. It was important to both libraries that sustainability and scalability be considered among the criteria for success of this project. Pival and Johnson note that clear lines of communication among collaborating partners are important if the needs of the students are to be fully met. They also state that "libraries considering similar collaborations need to avoid turf wars" (354). Crowther and Trott (2004) list the key elements to successful librarian collaborations as including the principles of shared goals and outcomes, defined responsibilities, strong administrative and technical support, and trust and respect (9).

METHODOLOGY

During the summer of 2008, the two librarians at both institutions communicated by e-mail to plan how they could work together to provide better services to the students enrolled in the Mount Saint Vincent University/Bermuda College joint programs. It was resolved that the sessions would be held in a computer lab at Bermuda College, with the MSVU librarian using Web conferencing software (which allowed for voice, instant messaging chat, and live Web demonstration) to provide remote instruction on the MSVU library- related research resources and services. As this software was used in many of the MSVU distance classes, many of the joint program students were already familiar with the platform. The Bermuda College librarian provided on-site expertise, ensured that everyone was able to accomplish the session tasks, and clarified questions asked when students appeared unsure of a particular point. Thus, it was reinforced that the students were able to access librarians and library services at both institutions for their courses. The students had access to a computer so that they were able to participate in practice sessions. While the Web conferencing software theoretically could have been used to reach students at their homes or workplaces, holding the sessions in a lab allowed for equal and supported access to the required technology.

As library research instruction is part of the regular duties of both librarians, these Web conference sessions were held as part of the regular work load and did not impose a

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cost on either organization. Heeding the advice of Pival and Johnson to reduce the barriers to communication between the collaborating partners, the Bermuda College librarian involved in the project was granted the status of “adjunct faculty” within the MSVU library. This allowed her to be provided with access to the MSVU library’s electronic research resources and to better assist students with their research queries. Both librarians were fortunate to be well-supported by their institutions in arranging for the necessary equipment, space, and access to electronic resources.

The Director of External Programmes at Bermuda College promoted the sessions with the joint program students. The scheduling of the sessions took into consideration both full- and part-time students’ schedules. In the 2008/2009 academic year, holding the sessions at lunch time allowed students engaged in full-time employment to attend. In the 2009/2010 academic year, the sessions were switched to evening. Students were asked to confirm their attendance and also to provide their program of study. This allowed the librarians to prepare examples and research scenarios that would be relevant to the students’ areas of study.

In the fall term of 2008 one session was held, and it was called Introduction to Library Resources, focusing primarily on ensuring that students knew how to login to the library resources and how to access the electronic collections. In the feedback for this session and in the planning for the following semester, both librarians felt that there was a need to move beyond simple library orientation and move toward information literacy instruction. It was immediately apparent from the responses of the students that once the students knew where and what resources were available to them, they wanted to know how to use them more effectively for the purposes of their courses. In the winter term of 2009, four sessions were held, a repeat of Introduction to Library Resources and in the following weeks, Using RefWorks for Bibliographies, Using Google Scholar and Finding Quality Resources from the Internet, and Three Steps to Effective Journal Article Searching.

The session Using RefWorks for Bibliographies focused on combining proper citation practices with the use of RefWorks to assist in citation management and bibliography creation. Using Google Scholar and Finding Quality Resources from the Internet emphasized the critical evaluation of Web sources as well as how to check the MSVU library for access when proprietary journal articles appeared in Web search results. Three Steps to Effective Journal Article Searching focused on the development of search strategies, including the identification of research topics, generating keyword search terms, and the use of Boolean search techniques.

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RESULTS OF THE COLLABORATION

In both years that the sessions were run, the attendance over the five sessions was about 10 percent of seventy eligible participants. While the overall attendance was low, most of the students who participated chose to attend all five workshops; their feedback was positive. All sessions were recorded and links to view them were sent to students who had not been able to attend the lab sessions. Both librarians were pleased with the outcome of the sessions because despite low attendance, we felt we had made a contribution to improving the services offered to students enrolled in distance programs. In a March 2009 e-mail memo to the authors, Peggy Watts, Director of Continuing Education and Distance Services at MSVU, stated that complaints previously received from faculty and students about access to library services for the Bermuda joint program cohort seem to have been resolved. In addition, as a direct result of this collaboration, we saw a fundamental shift in the way both libraries communicated with each other, resulting in benefit to the students. Although no formal post-tests have been conducted with the students, instructors at Mount Saint Vincent have reported an increase in the use of library resources in course work over the two years that the instructional series has been offered. As only about 10 percent of eligible students are attending the sessions, it is assumed that there is some level of informal sharing of information taking place among the joint program students. More formal testing and research needs to be conducted in this area.

One advantage of the physical presence of the Bermuda College librarian in the sessions was that she was able to notice students' body language and to check their progress with the practice exercises. Several times in each session a particular step needed to be clarified or a pause was needed for all students to catch up. Having a MSVU librarian run the demonstrations allowed the students to make the acquaintance of the remote librarian. In the weeks following the sessions, both libraries were contacted about the use of resources for students' assignments. It was clear that students were moving from simply finding and accessing resources to using the tools available to them to effectively meet their information needs. In the second year, the series sessions were also open to all Mount students who could attend the session virtually. As the focus of the sessions is for the joint program students, little promotion was done with other students beyond posting notices to the MSVU Library news feed on the Website.

Nevertheless between one and three students attended each session, and the interaction went well. While the focus of these sessions will always be on meeting the needs of the joint program students, this was an attempt to allow for more

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connection among the students of both campuses. It was part of the plan to move these sessions from the status of pilot project to the normal provision of information literacy session; thus, in the second year, more librarians from the MSVU library were involved in the instruction of the session, although coordination and communication with Bermuda College remained with the original project lead.

EVALUATION OF PILOT PROJECT

The success of this project was based on critical elements: first, the mutual respect and trust both librarians displayed toward each other. Allen and Hirshon argue that in order to achieve their goals collaborating libraries “must have a high degree of respect for, and deep-seated recognition of, the value of increased collaboration” (1998, 43). Before and throughout the duration of the pilot project, both librarians had never met, yet still they maximized the expertise of each other, freely communicating and sharing information as well as providing on the spot training in the use of the technology where it was required. This reciprocity was key in bringing about a successful relationship and a successful project. This respect was also magnified despite the differences in sizes of the institutions involved. MSVU is a larger institution with greater technological resources, which could have created an imbalance, with Bermuda College not having a say in the direction of the project. However, this never materialized, and despite the various capacities to deliver instruction on e-learning platforms, both institutions were able to enhance each other’s capabilities. As a result, both students and institutions benefited. An example of this spirit of cooperation was the awarding of MSVU adjunct faculty status to the Bermuda College librarian. This allowed the librarian full access to the resources used by the students in the joint program and allowed both institutions to be equal partners in the instructional sessions.

The second element that ensured the success of the project was the method of delivery chosen. Following the model developed by Gandhi by having the project span five compact sessions, it was possible to maintain the interest and enthusiasm of the students. Gandhi’s model also proposed that the “instruction session be kept simple to cater to students with various technical abilities” (15). Since the delivery of the sessions was kept simple, all students were able to fully participate in a nonthreatening environment.

The ultimate reason for the project’s success was that it filled a need and placed the students on a much more solid foundation. While it has been discussed that there are

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various kinds of library collaborations, it was felt that this type of collaboration filled a gap in the library literature and so fuelled the determination to continue the project.

In addition to the benefits experienced by both institutions, Bermuda College also felt that as a community college this was the direction they wanted to take to enhance their teaching. Bermuda College saw this pilot project to be the model to be used in similar arrangements for articulation agreements that allow their students to use remote libraries in addition to their home library.

Looking to the future, there are several recommendations to increase the effectiveness of the workshops:

- **More Effective Marketing Strategies:** We believe that by expanding marketing strategy, capitalizing on the technology, for example, using e-mails and texts, as well taking a closer look at the placement of the sessions, we will get a greater number of students attending.
- **More Stringent Quantification and Measurements—Pre- & Post Tests:** We believe that it is important to measure our success. As we go forward, we need to include measurements such as pre- and post-interviews, surveys, and learning style inventory tests.

CONCLUSION

The activity of libraries collaborating to enhance distance delivery services is one that should be encouraged, and especially in relation to international library collaboration this must be further explored. Both libraries are constrained by limited resources, but together they were able to achieve a higher level of support for their students than would have been possible alone. In the words of Finnerty, this collaboration has “proven that the belief in collaboration is a continuing force in libraries and the environment is ripe to foster this growth” (2004, 11).

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CHAPTER

2

BUILDING A SHARED DIGITAL COLLECTION

THE EXPERIENCE OF THE
COOPERATING LIBRARIES
IN CONSORTIUM

Dora Wagner and Kent Gerber



This chapter is excerpted from

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Recognizing the digital opportunities available, the libraries of eight educational institutions in Minnesota built on a previously existing consortial relationship in order to explore the possibility of sharing a Digital Asset Management System (DAMS). This article discusses the experience of these institutions as they chose CONTENTdm and the considerations made when settling on an option viable for a consortium. It elaborates on the shared cost considerations, hardware purchases, and the consortium's experience as it purchased and implemented the software, formalized avenues of communication, and established collection standards. We close by discussing the opportunities, challenges, and rewards experienced by those involved.

INTRODUCTION

The Association of College and Research Libraries' (ACRL) Research Planning and Review Committee's 2010 report (ACRL) includes the conflicting trends of increased opportunity for libraries to pursue new roles and services for their institutions at the same time that their budgets remain in stasis, at best, and dwindle, at worst. In the past ten years, digital libraries and digital collections have emerged as one of the main vehicles of opportunity. Due to the maturation of digital asset management software (DAMS) and increased interest in the concept of knowledge management, which is concerned with storing and providing access to local intellectual resources, many libraries have started to explore how these tools might augment and improve their services (Branin 2004). Until recently, smaller schools have lacked the resources needed to provide these services. As a result, larger institutions have led the way in digital collections (Markey et al. 2008). The resources necessary to support these kinds of services are large and require smaller intuitions to depend on shared efforts, demonstrated by other consortia such as Liberal Arts Scholarly Repository (LASR), HELIN, or state consortia like OhioLink and Consortium of Academic and Research Libraries in Illinois (CARLI), to implement and maintain them (Byrd 2010; Nolan and Costanza 2006; Xia and Opperman 2010). Thus, as the opportunities to reach beyond one's local library community multiply and the digital technologies available continue to improve, directors and their staffs are looking for creative ways to collaborate with other like-minded institutions in order to offer enhanced services while maximizing the impact of their limited budgets.

Recognizing the digital opportunities available, the libraries of eight private colleges and universities in Saint Paul and Minneapolis, Minnesota, Cooperating Libraries in

BUILDING A SHARED DIGITAL COLLECTION

THE EXPERIENCE OF THE COOPERATING LIBRARIES IN CONSORTIUM

Dora Wagner and Kent Gerber

Excerpted from Leveraging Library Resources in a World of Fiscal Restraint and Institutional Change

Consortium (CLIC), discussed the implications of jointly purchasing and supporting digital collection management software.

The appendix contains school characteristics using the Carnegie system for classifying institutions of higher education. This discussion included what this shared relationship might look like and what the benefits to their home institutions might be, together with each institution's respective responsibilities and costs. It was the belief of those involved in the initial stages of this process that, as Murray (2010) states in *Toward Collaboration*, "collaboration will increase the strength of the library community."

The consortium pursued this opportunity because it identified the following benefits:

1. The ability to share the costs involved with the components of the digital asset management system (DAMS) makes this opportunity viable.
2. The knowledge sharing relationship among the members of the consortium maximizes the implementation and use of the DAMS.
3. The implementation of the DAMS expanded the capacity of each institution to serve its faculty, staff, students, researchers, and communities through the enhanced preservation, organization, and access to their digital resources.
4. This new endeavor supports the libraries' collaborative and innovative reputation both within and beyond their campuses.

In addition to the strategic and economic benefits, this article discusses the experience of these institutions as they chose CONTENTdm as their DAMS and what invested institutions considered when settling on a consortially viable option. It elaborates on the shared cost considerations as well as how necessary hardware purchases are supported, and it discusses the consortium's experience as they purchased and implemented the software, formalized avenues of communication, and established collection standards. The article closes by discussing the opportunities, challenges, and rewards experienced from this venture.

DIGITAL ASSET MANAGEMENT SYSTEMS

Digital asset management systems are a subset of content management systems (CMS), which are a collection of "tools, methods and processes to develop, implement and evaluate the management of content intended mainly for human comprehension" (Khosrow-Pour 2005). Usually related to creating and maintaining a Website, CMSs are already highly utilized by the business community. DAMS are a special kind of content management system that stores and indexes digital assets to facilitate easy searching,

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retrieval, and reuse. It also manages rights associated with those assets. The enthusiasm the business sector feels for DAMS has trickled down to colleges and universities by way of the library. In particular, DAMS are growing in popularity among educational institutions as a means to use their existing resources in new ways to provide increased access and to improve intellectual control over their archives or scholarly publications. Their popularity is due to the fact that a DAMS is “a set of processes that facilitate the search, retrieval and storage of digital assets from an archive” (Khosrow-Pour 2005, 869). As a subset of CMS’s, DAMS excel in storing, organizing, and making digital content of a multimedia or visual nature accessible to users for repeated use without having to recreate that resource every time it is needed.

ASSESSING VALUE OF THE LIBRARY AND DAMS—LAYING THE FOUNDATION

Identifying items of value involves a knowledge of the institution’s strengths and a level of communication significant enough to produce collaborative efforts. Different institutions will have different academic departments or offices that are best prepared to partner with the library in the creation of valuable collections. For example, Bethel library has a close relationship with its Archives and the Alumni and Parent Relations office. The Alumni board funds the student newspaper collection, which the Archivist and Digital Library Manager maintain. This partnership improves access to archival newspapers while also taking a step to preserve the materials since the actual papers are no longer handled by researchers on a regular basis; this represents but one example of how one department’s funds and one’s expertise can capitalize on a DAMS. Additionally, several institutions make the most of a DAMS strength in displaying digital images by collaborating on collections with art department faculty and students. Another example of campus collaboration is Northwestern College’s theater program and poster collection, a comprehensive retrospective of the department’s performances over more than fifty years of its existence. A recent study of the content in repositories of smaller masters and bachelors granting institutions shows that the largest two types of material collected are student work, composing 43.8% of the collections, and the Archives/Special Collections Department, with 19.3% (Xia and Opperman 2010). CLIC’s collections consist mostly of Archival/Special Collections materials.

It is, however, worth noting that technology is not valuable in and of itself. Technology serves only as a tool by which organizations can enhance, extend, and amplify the existing quality of their own resources and services (Collins 2001). No institution should pursue a new initiative merely because a possibility presents itself, especially

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when each dollar of the annual budget is a vital piece in providing timely resources of high quality. In other words, a DAMS is not worth pursuing for the sake of chasing a trend. Rather, it is only as valuable as the resources it makes available and its subsequent utilization by invested institutions. It was, then, first and foremost in the process of purchasing and establishing a consortial collection utilizing a DAMS that the member institutions thoroughly explored their shared mission, the missions of each individual institution, and the institutional buy-in before pursuing the opportunity. Member institutions wanted to be certain that there was adequate staff to handle the responsibilities involved with creating and maintaining a digital collection as well as know that there was campus buy-in for these new projects.

When determining the value of a digital initiative, such as the one pursued by this consortium, it is imperative that the decision-making group outline a clear set of evaluative criteria by which to determine the need of a new program. The American Library Association points out that “it is important to pay attention to the trends around us to inform our thinking about where institutions of higher education and their libraries are headed,” as this awareness will guide the way to intelligent decision making by involved parties (2007, 1). Tight budgets and the subsequent pressure on internal resources represent two of several factors that make assessment and demonstration of value an essential part of any library’s service plan.

One such criterion is found in *Prioritizing Academic Programs and Services* by Dickeson (2010), which is written from the perspective of those who make budget and resource allocation decisions. Its premise is that higher education must make hard decisions that may involve taking resources from one area in order that another may grow. Many institutions adopted his suggestions, and this discussion of prioritization has become even more relevant with the current economic conditions and the release of an updated listing in 2010 (Lederman). Applying these criteria can help a program to thoughtfully advocate for the implementation of a DAMS or wisely refrain from pursuing the opportunity until a more appropriate time. The eight private colleges and universities in CLIC included the following of Dickeson’s criteria when representatives met to discuss a DAMS:

1. History, development, and expectations of the program
2. External demand for the program
3. Internal demand for the program
4. Costs and other expenses associated with the program
5. Impact, justification and overall essentiality of the program. (2010, 66)

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Understanding that administrators will be looking for these pieces of information, the Digitization Interest Group (DIG) focused its inquiry and assessment on demonstrating the program's relationship to these criteria.

HISTORY, DEVELOPMENT, AND EXPECTATIONS OF THE PROGRAM

CLIC online mission statements emphasize their long history of cooperation: "Cooperating Libraries in Consortium (CLIC) (<http://clic.edu/>) is a non-profit federation of the libraries of eight private colleges and universities in Saint Paul and Minneapolis, Minnesota. Incorporated by the college presidents in 1969, CLIC continuously works to improve library resources and services through cooperative efforts" (2009). Each of the eight participating schools is represented by their libraries' director on the CLIC Board, which also includes a CLIC executive director. While each of the individual institutions has a unique mission, the board functions under a shared list of goals. CLIC's goals served as a guide for the ensuing DAMS conversation:

- Provide improved and more comprehensive library resources and services to library users through the enhanced sharing of materials.
- Operate and manage an integrated, automated library system.
- Develop entrepreneurial initiatives in order to deliver new or expanding content and services.
- Provide opportunities for staff collegiality, leadership, and training.

In addition to relating to several key aspects of the consortium's mission, the (DIG) also cited several other key reasons why they believed that a digital program would benefit CLIC and its community.

First, "large amounts of data are created and stored- and must be found" (Khosrow-Pour 2005, 864). There is a demand, both by internal users and visiting researchers, for the information created, collected, and made accessible by the CLIC institutions. These institutions continue to amass historical and academic work for which the institution must create and maintain intellectual control. Historical documents, the papers of founders, the photos and periodicals capturing student life across the decades, and the academic work of the student body serve as valuable testaments to the school and its academic heritage.

While doing the best that they could with the means available, information professionals at each of these institutions felt that there was a more efficient and

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user-friendly means available. Information professionals take pride in their ability to collect, organize, and make accessible valuable information. These representatives felt, however, that they were not fully utilizing the tools available, and they intended to determine whether a DAMS was the means by which to offer “new pathways to help ensure the survival of the materials in these collections” (Lynch 2009, 2).

Many DIG representatives provided anecdotes concerning a challenging reference interview that would have been worlds easier had there been more thorough intellectual control of collections. Wistful smiles appeared on more than one face at the thought of being able to display a whole series of photos by subject, date, or artist without having to recreate the collection. Others were thrilled with the idea of sharing valuable information with researchers, giddy at the idea of being able to “extend library collections to include rich media data developed both on and off campus, and to make these collections readily available to faculty members, researchers, and students” (McCord 2002, 3). Since one of the core values of our libraries was to provide service, and our purpose is to collect and provide access of superior quality to our patrons, purchasing a DAMS was an opportunity to embody this “value and purpose” in a tangible way.

In other words, while library values are commendable, the institutions had to move forward in utilizing innovative technologies. Having these values while not acting on them is pointless. Information professionals are perfectly poised to provide their campus with the services a DAMS provides. Schools were interested in utilizing this opportunity and were further persuaded to move on the purchase of a DAMS when there was a consortium- wide interest. As an added benefit, moving together as a group of institutions provided a network of monetary and intellectual support that a single effort would not afford. The committee concluded that this digital platform would not only facilitate the organization of materials, but it would also transition directly into improved customer service and increased use.

The implementation of a DAMS would not only serve information seekers, it would also be a catalyst for cross-discipline or departmental collaboration. While in the planning stage this benefit was merely conceptual, after implementation the collaboration became a reality. Several of the schools can attest to the opportunity this platform provides. Marketing and communications departments are utilizing the system, as are art departments and history professors. There are numerous possibilities available to campus users, and although each campus may utilize the DAMS differently, each utilization has a shared result—the library enhances its image

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as an on-campus information resource by facilitating the access and intellectual control of valuable institutional resources. The benefits of this symbiotic relationship are numerous, but, most importantly, “a library uniquely suited to its community can be the beginning of a virtuous cycle; the library reflects its understanding of the community; the community gets what it wants from the library and supports it” (Dempsey 2010, 23). What follows is only one local example of the energized conversations happening on campuses due to the DAMS implementation.

Bethel University is now digitizing the school’s student newspaper and making it available through its Digital Library by using DAMS. One example of increased visibility and community participation connected with this project involves Martin Luther King, Jr. and whether or not he ever came to campus, as advertised in the school newspaper in 1960. Several interested parties consulted Bethel’s archives as well as several other collections of Martin Luther King, Jr.’s papers at Stanford University and Boston University. After this investigation, documentation was discovered confirming that Bethel’s president had invited Dr. King to speak and the invitation was accepted. It also revealed that Dr. King had to cancel his visit due to Atlanta’s escalating student sit-in movement in late November of that year. This finding and exercise in primary source research was ultimately disappointing in that Dr. King did not, in fact, visit the institution; however, the campus has been encouraged and energized around the issue of Bethel’s historical efforts to engage in racial justice, which has stimulated a renewed interest in this kind of internally focused research.

Choosing to implement a new program, especially in a time of financial challenge, is frightening. However, consortium representatives felt that the benefits of implementing a DAMS, especially as a shared responsibility and learning experience, outweighed the risks. This project would not only guard against stagnation but continue to propel the institutions forward, regardless of fears the current economy might breed. The goal of the DIG was to move forward thoughtfully as good stewards of its intellectual and monetary resources. Libraries have been experimenting in a variety of shared resource programs as a means of making quality more affordable, yet another application of the recurring theme that “tough times and rising costs have taught librarians at many colleges across the country that there is strength in numbers” (Carlson 2003, A30). Our consortial experience is just one of many that is taking place across the country.

Since the project fulfilled the consortium’s stated mission, the next step was to determine whether or not each of the individual schools felt the addition of digital delivery of archival information was a viable possibility.

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Though each of the libraries was willing to take a step in the digital direction, none were monetarily prepared to fully fund an individual effort. Purchasing the license as a group afforded the opportunity to “start small” and illustrates an important advantage of consortia. Not only are costs divided, but the learning process is facilitated. Had one individual from the smallest school actually found the money to move ahead, their learning process would have been in isolation, as most of the institutions are single person “shops.” With seven participating institutions, however, there are more people with whom to collaborate and learn. There are more experiences from which to cull DAMS wisdom. As a consortium, these libraries and their responsible staff were able to make efficient headway on this initiative. In fact, these libraries exhibited a characteristic of a “visionary company”; they willingly stepped into a challenging situation and learned “by experimentation, trial and error, opportunism, and—quite literally—accident” (Collins 2001, 9). While they acted together collaboratively, it still benefits each of their programs!

DOES EXTERNAL DEMAND TRULY PLAY A MAJOR ROLE?

The initial meetings of key representatives from each of the schools revolved around institutional buy-in and whether or not there were collections that, once digitized, would fill a user need. As a representative of interested parties, the DIG met to discuss the digital landscape and began exploring whether or not there was an internal need to pursue the purchase of a DAMS. As stated previously, CLIC highly values the customer, and it aims to provide “improved and more comprehensive library resources and services to library users through the enhanced sharing of materials.” Digital services are often cited as a way of improving customer satisfaction, and since each library serves a population that is increasingly digitally focused, a DAMS seemed a viable growth option that would fulfil this goal.

IMPROVING SERVICE

Not only would this digital endeavor better serve the external customer, thereby allowing researchers to access valuable historical documents without undue travel expenses, many schools believed that they could use the DAMS to facilitate intercampus use of archival photos by the alumni office or the marketing and communications department. It was agreed that expanding digital access was a logical extension of each of the library’s archives. Additionally, there was a perceived demand by both the campus community and visiting researchers for a seamless search and

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retrieval process. Therefore, in the initial exploration phase, the DAMS was seen as a means of facilitating access to these unique collections while pursuing the consortium-wide goals such as improved and comprehensive resources, expanded content, and staff collegiality and training. Many of these initial assumptions about use have proved correct. One campus has set up a high use collection of college images that their marketing department uses on a regular basis. Northwestern College is concentrating on the digitization of its special collection, consisting of the sermons and papers of the school's founder, a prominent evangelical fundamentalist of the early 1900's, which is now being used on a regular basis by visiting researchers and students because of its Web presence and easy access! All of these successes are celebrated by the individual institutions and the consortial participants. Once it was established that there were underused resources and that there was value in implementing a digital delivery of those items, the committee embarked on the task of choosing a system.

SHARING THE COST

The reality of the situation is that this new initiative required a reallocation of library funds and employee responsibilities. While shifting funds in a time of financial hardship can be difficult and appear fool-hardy, a brief look at literature concerning the funding of academic libraries in particular does note that there continues to be a shift of resources to digital content and programing. As summarized in 2010 Top Ten Trends in Academic Libraries, "digitization of unique library collections will increase and require a larger share of resources ... because of the staffing, equipment, and storage costs associated with digital projects, libraries often must reallocate fiscal resources to support these functions" (ACRL 2010, 286). Even in light of this reallocation, the consortial agreement has allowed the participating institutions to bear less of the burden and feel fewer pains in the purchase, implementation, and upkeep process.

The committee investigated four DAMS over the course of several months. Each product exploration included a demonstration attended by all interested parties as well as a discussion meant to process the information shared and to explore the viability of each unique software suite. Members of the initial interest group, the DIG, directors of each library, and a collection of catalogers and information technology specialists attended each presentation. Presentations were planned at least two weeks in advance to insure that individuals had the opportunity to plan for the events.

Prior to the start of the presentations, the DIG felt that it would be useful to have a set of criteria available by which the schools could gauge the usefulness of each of

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the DAMS. It was very important to establish these discussion points to facilitate the group's eventual decision. This framework made clear any assumptions the participating institutions had about the future DAMS system and prevented any one school from claiming their needs had not received due consideration. The group's priorities required that the DAMS be usable by a consortium, with each school possessing the ability to create a branded user interface while at the same time using the same software. In other words, it was of the utmost importance that the DAMS allow for the autonomy of each individual library.

- Open Archives Initiative compliant.
- easy to implement and use "out of the box" but customizable.
- easily integrated with the catalog and with course management software.
- able to distribute high resolution images.
- able to distribute audio and video.
- able to handle robust metadata.
- able to utilize Optical Character Recognition software.
- fully searchable.
- self-archiving.

It is also important to note that each school representative realized there was no "one-stop" solution to their asset management needs. Coming into the agreement with a reasonable expectation prevented any undue disappointment.

In addition to establishing a clear set of criteria, the DIG also appointed a chairperson for the committee who would be responsible for facilitating communication with the CLIC Board. The chairperson worked closely with the CLIC executive director, the individual with whom each of the DAMS providers communicated.

Once the DIG identified a preferred DAMS, they were able to discuss the monetary responsibilities of each institution. Since the purpose of the joint purchase was to extend the buying power of each institution, it should be noted that as the projects evolve and the needs change, the financial agreement has been revisited. The parameters of the current agreement are as follows:

- Yearly product charges are shared equally among participating schools since each institution has equal access to the DAMS software and customer service.
- Yearly hosting fees are assigned based on each school's storage space use.

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Discussion of costs included not only the hosting charges and the yearly fees associated with software but also the purchase of digitization equipment such as scanners and high-quality cameras. After this discussion, it was decided that each school would be responsible for purchasing its own equipment. The group did, however, spend time brainstorming ways in which each school could make a wise decision about its purchases. These shared suggestions included the following:

- Collaboration with the institution's IT department Consulting the DAMS
- listserv as well as archive's listservs
- Familiarizing oneself with professional digitization standards and suggestions
- Reading technology reviews
- Talking with one another about our choices.

No one felt overwhelmed or uninformed about their purchases because each of us had the opportunity to share with one another what we learned in this exploratory phase, another advantage of the consortial endeavor.

Once these and similar decisions were made, members drafted a proposal that was submitted to the board for its approval. Researching the DAMS created a well-supported argument for the purchase of the system, and outlining the purchase agreement and participating institutional contribution was only the beginning of the hard work that has made this a successful endeavor.

POSTPURCHASE: SHARING THE BENEFITS

Once the involved parties agreed that (1) a DAMS would greatly improve the collection, organization, and dissemination of information to both internal and external library users; and (2) that the pursuit of this goal was most cost-effective when shared by the group it came time to purchase and implement the system. After reviewing the past three years of DIG meeting minutes, it would only be honest to say that this project has required patience, intentionality from all interested parties, a bit of creativity, and hard work.

The first order of business was to change the committee from an ad hoc interest group into a Digitization Operational Committee (DOC). As an operational group, the digitization committee now has a permanent status within CLIC and requires representation from each participating institution. Next, the newly formed operational committee needed to create a statement of purpose to help guide future decisions.

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After much thought, the DOC decided that each of the eight CLIC institutions will independently develop collections by selecting materials and adding content according to their institutional needs and resources. The goal is to produce and provide access to collections that add value, support teaching, learning, and scholarly research, and highlight unique collections held by the school. There was also the intentional acknowledgement of a possibility for future joint CLIC collections if a need arises and a viable opportunity presents itself. Lastly, it is clearly understood by those involved that the goal of collection development is to provide unrestricted access to materials that are free of copyright and legal restrictions. Although some collections have since been created that are restricted due to copyright and/or license stipulations, this aim remains consistent.

After laying out this framework, the group created a shared home page for the collections that included information about the consortium and this digital endeavor, the goals of the Digitization Operational Committee, and the mission of the DOC, which is “to provide an opportunity for cross functional collaboration and cooperation within CLIC’s libraries, campuses, and perhaps outside the CLIC community. In doing so, the CLIC Digitization Operational Committee embraces the entrepreneurial spirit, institutional involvement, and awareness level of creating, maintaining, cataloging, and purchasing digital equipment and projects throughout CLIC institutions,” and a list of contacts for each school.

In order to prevent future difficulties and to assure that each of the institutions felt they were integral to the success of the endeavor, the DOC made sure that everyone involved was clear about the following:

- The freedom to create within the general framework of the chosen identity schema
- Institutional responsibility for the creation of collections and appropriate metadata
- Frequency and necessity of DOC meeting (once a month for 1.5 hours)
- Well-organized avenues of communication, including goals, policies, procedures, wiki and a shared Website, and the importance of utilizing them

CREATING THE USER EXPERIENCE

An important concern was the system’s customizability. Each of the institutions wanted to benefit from the shared costs while at the same time have the freedom to create a uniquely branded interface. In other words, it was of the utmost importance that the DAMS allow for the autonomy of each individual library. At the same time, all

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of the institutions agreed that to benefit users who may move between all of the collections, there should be a consistent feel among the collections and a similar navigational schema.

The first step in achieving this fine balance involved establishing a naming convention. Since all of the schools would be working in the same “back end” of the system, it was important that they have an agreed upon format for naming. The DOC defined their naming convention as follows: “[School Name] Name of the collection.” Other style regulations included

- Each school’s name should appear in the collection banner.
- Each school’s colors would provide the framework for the color schema of its page.

As an added advantage to the consortial purchasing schema, CLIC paid for part-time internal tech support that would be available for several hours each week to all participating institutions to help design and format individual collection pages. This has had the advantage of

- helping schools with small staff move ahead on their projects
- insuring for the uniform appearance of each of the school’s collection pages

We should point out, however, that the consortium carries the cost involved in this service.

INSTITUTIONAL RESPONSIBILITY

Each institution is responsible for the growth of its collections. However, there is an open and encouraging dialogue among institutions as they grow their collections. Not only are the types of items collected discussed, but the DOG also discusses acquisitions policies and procedures so that all representatives grow in their understanding of processes and refine their own practices—an example of staff collegiality and training that benefits everyone involved.

In addition to sharing acquisition work flows, the committee also created a project workflow to help guide, not dictate, the processes at each of the institutions. Combining the group’s knowledge pool, everyone was able to build on one another’s experience, training, and reading to efficiently and thoroughly outline helpful project management schemata. This is yet another example of how consortial collegiality can increase an individual institution’s efficiency and distribution of professional development funds.

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Another hot topic in the early stages of development was metadata conventions. As noted by McCord, “metadata flexibility is another requirement of the DAMS environment. Each discipline, school, project, or application type may require metadata structures—taxonomies are meaningful within the discipline or within the context of a work flow” (2002, 2). Realizing this, the DOC decided to allow each institution the opportunity to create its own metadata conventions. Members of the DOC have recently noted, however, that users may benefit from metadata collaboration. Common metadata added to individual collections may make it easier for users to search and discover across institutional collections, especially in instances of complimentary collections. Metadata is especially important because it is one of the primary features that add much more value to the institution and the information objects it creates.

COLLABORATION: ENHANCED REPUTATION

Once instituted, CONTENTdm allowed for collaboration between campus entities that was previously not possible. At several member institutions, the library became a major player in campus conversations about the use and management of digital assets. For example, Bethel has a Digital Library Advisory Committee that includes members from the offices of communications and marketing, parent and alumni services, Web services, libraries, and archives. This combination of relationships led to the funding and successful creation of the student newspaper collection and served as a launching pad for future projects. Since the newspaper collection’s roll-out, others on campus have approached Bethel’s digital librarian to express their excitement about participating in these digital initiatives as future collaborators. As these collections grow and find uses in and out of the classroom, other campus members begin to witness these services and realize how digital delivery of their department’s content could highlight strengths and/or facilitate work. What follows, then, is a growing understanding of how the library can utilize valuable tools for the betterment of the educational community.

COMMUNICATION

One of the most valuable structures in place is the DOC’s monthly meetings. In these meetings, all DAMS administrators, as well as additional interested parties, meet to discuss the current system, issues, advancements, current projects, and future project considerations. These monthly meetings, while not always groundbreaking,

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emphasize the shared nature of the product and foster a sense of collegiality and common purpose that facilitates cross- institutional communication.

It is also important that the involved institutions have a time and place to communicate concerning the collection distribution. The license purchased from OCLC limits the number of collections that can be created with the software. Since each school wanted to create collections uniquely geared toward its population's needs, it was necessary early on to determine the number of collections each institution had at its disposal. Much like the continued need to discuss cost distribution and responsibility, it is necessary to the success of the program that the institutions share information about collection size and development so that plans can be made to ensure that CONTENTdm continues to meet the consortium's needs. As in any case of program implementation in a consortial setting, some institutions will have greater monetary, staff, and time resources that will allow growth quicker than the programs that began the project as a way of pursuing a cost-effective, user-oriented program with the burgeoning digital service landscape in mind.

WHAT LIES AHEAD?

Collection management, or selecting the types of objects to collect, will play an important role in shaping the future direction of this project. While most schools started with unique and archival collections, there is a variety of new initiatives that could enhance and diversify the offerings of the current collection. For one, the current collections of participating institutions are distinctly research oriented, primary source, and or archival. This is not to say, however, that both students and faculty might not benefit from a records management arm of their digital initiative.

Another line of conversation worth pursuing would be the value and viability of beginning to collectively build a shared collection, pooling their time, resources, and funds to build additional collections. There are several collections, including the Minnesota Digital Library (MDL), that would model this type of collective collecting and inform future programs. Additionally, the availability and use of collections is another topic worth revisiting on a regular basis. Currently, collections are made available through the institution's catalog and Webpages as well as harvested in WorldCat. Google searches will often bring collections of interest to the attention of searchers at large.

Another topic for future discussion is whether or not DOC members may want to use MDL and its commerce-based services of photo reproduction, for example, as a

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revenue-making service. Research services for a fee may also naturally flow from greater exposure to an institution's special or unique collections.

Lastly, as the participating institutions cultivate new collaborations within their educational communities, it will be important to reassess goals and priorities. As the library institutions grow their collections and prove their usefulness within their communities, they will be able to re-evaluate their services and mine other sources of monetary and intellectual support within their institutions. They will be able to conscientiously maintain strong relationships with early investors while growing new relationships to the benefit of their users.

ASSESSMENT AND REASSESSMENT

If anything should be taken away from this discussion, it is the fact that, while consortial relationships facilitate cost-effective growth strategies through the sharing of the monetary burden and the distribution of professional development and learning among a larger group of capable, service minded professionals, utilizing a DAMS is an endeavor that demands good communication, trust, and consistent re-evaluation of costs and needs. Re-evaluation assures that the model of cost-sharing remains beneficial to those in the agreement and also allows those involved the opportunity to collaborate and improve upon acquisitions, development, workflow and public relations. It should, however, be made clear that the consortium has not yet developed a set of evaluative points by which to clearly communicate with their institution's upper administration the value of this project.

In addition to revisiting the cost of the project, the DOC must also assess the value of the service. While some participants have used Google Analytics to track usage and others are actively using CONTENTdm's imbedded statistics tools, there is much room for improvement in this aspect of the project. That said, this project and its success must be considered through a lens of the program's value to the school, the consortium, and its community of users. The ultimate question should be, does this digitization program enrich the user experience while imparting value? We did not embark on this venture for the sake of using a tool and advertising our competence in the digital realm. Rather, we undertook this venture to improve our users' experience and make available valuable information in a more easily managed format.

BUILDING A SHARED DIGITAL COLLECTION

THE EXPERIENCE OF THE COOPERATING LIBRARIES IN CONSORTIUM

Dora Wagner and Kent Gerber

Excerpted from *Leveraging Library Resources in a World of Fiscal Restraint and Institutional Change*

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APPENDIX

SCHOOL CHARACTERISTICS USING THE CARNEGIE SYSTEM FOR CLASSIFYING INSTITUTIONS OF HIGHER EDUCATION

Augsburg College—Enrollment (2003–2004) 3,375; (Fall 2009) 4,054

Undergraduate Instructional Program:	Bal/SGC: Balanced arts & sciences/professions, some graduate coexistence
Graduate Instructional Program:	Postbac-A&S/Other: Postbaccalaureate with arts & sciences (other dominant fields)
Enrollment Profile:	HU: High undergraduate
Undergraduate Profile:	FT4/S/HTI: Full-time four-year, selective, higher transfer-in
Size and Setting:	S4/R: Small four-year, primarily residential
Basic:	Master's S: Master's Colleges and Universities (smaller programs)

Bethel University—Enrollment (2003–2004) 3,605; (Fall 2009) 6,400 (includes seminary ~1000)

Undergraduate Instructional Program:	Prof+A&S/SGC: Professions plus arts & sciences, some graduate coexistence
Graduate Instructional Program:	Postbac-A&S/Ed: Postbaccalaureate with arts & sciences (education dominant)
Enrollment Profile:	HU: High undergraduate
Undergraduate Profile:	FT4/MS/LTI: Full-time four-year, more selective, lower transfer-in
Size and Setting:	M4/HR: Medium four-year, highly residential
Basic:	Master's M: Master's Colleges and Universities (medium programs)

Concordia University–St. Paul—Enrollment (2003–2004) 2,217; (Fall 2009) 2,816

Undergraduate Instructional Program:	Prof-F/SGC: Professions focus, some graduate coexistence
Graduate Instructional Program:	Postbac-A&S/Bus: Postbaccalaureate with arts & sciences (business dominant)
Enrollment Profile:	HU: High undergraduate
Undergraduate Profile:	FT4/S/HTI: Full-time four-year, selective, higher transfer-in
Size and Setting:	S4/NR: Small four-year, primarily nonresidential
Basic:	Master's M: Master's Colleges and Universities (medium programs)

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Hamline University—Enrollment (2003–2004) 4,022; (Fall 2009) 4,800

Undergraduate Instructional Program:	A&S+Prof/SGC: Arts & sciences plus professions, some graduate coexistence
Graduate Instructional Program:	S-Doc/Ed: Single doctoral (education)
Enrollment Profile:	MU: Majority undergraduate
Undergraduate Profile:	FT4/S/HTI: Full-time four-year, selective, higher transfer-in
Size and Setting:	M4/R: Medium four-year, primarily residential
Basic:	Master's L: Master's Colleges and Universities (larger programs)

NOTES:

- Graduate degree program classification is based on fewer than 50 degrees.
- Graduate program classification is based on fewer than 10 doctoral degrees, and this institution awarded 100 or more master's or professional degrees.

Macalester College—Enrollment (2003–2004) 1,900; (Fall 2009) 1996

Undergraduate Instructional Program:	A&S-F/NGC: Arts & sciences focus, no graduate coexistence
Graduate Instructional Program:	(not applicable)
Enrollment Profile:	ExU4: Exclusively undergraduate four-year
Undergraduate Profile:	FT4/MS/LTI: Full-time four-year, more selective, lower transfer-in
Size and Setting:	S4/HR: Small four-year, highly residential
Basic:	Bac/A&S: Baccalaureate Colleges—Arts & Sciences

Northwestern College—Enrollment (2003–2004) 2,734; (Fall 2009) 3,070

Undergraduate Instructional Program:	Prof+A&S/NGC: Professions plus arts & sciences, no graduate coexistence
Graduate Instructional Program:	(not applicable)
Enrollment Profile:	ExU4: Exclusively undergraduate four-year
Undergraduate Profile:	FT4/S/HTI: Full-time four-year, selective, higher transfer-in
Size and Setting:	S4/R: Small four-year, primarily residential
Basic:	Bac/Diverse: Baccalaureate Colleges—Diverse Fields

St. Catherine University—Enrollment (2003–2004) 4,809; (Fall 2009) 5,277

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Undergraduate Instructional Program:	Bal/SGC: Balanced arts & sciences/professions, some graduate coexistence
Graduate Instructional Program:	Postbac-A&S/Ed: Postbaccalaureate with arts & sciences (education dominant)
Enrollment Profile:	HU: High undergraduate
Undergraduate Profile:	MFT4/S/HTI: Medium full-time four-year, selective, higher transfer-in
Size and Setting:	M4/R: Medium four-year, primarily residential
Basic:	Master's L: Master's Colleges and Universities (larger programs)

University of Saint Thomas—Enrollment (2003–2004) 10,474; (Fall 2010) 10,839

Undergraduate Instructional Program:	Bal/SGC: Balanced arts & sciences/professions, some graduate coexistence
Graduate Instructional Program:	Doc/Prof: Doctoral, professions dominant
Enrollment Profile:	MU: Majority undergraduate
Undergraduate Profile:	FT4/MS/LTI: Full-time four-year, more selective, lower transfer-in
Size and Setting:	M4/R: Medium four-year, primarily residential
Basic:	DRU: Doctoral/Research Universities

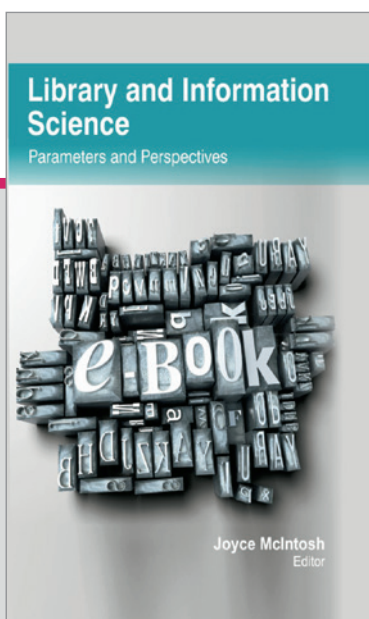
CHAPTER

3

LIBRARIANS AS KNOWLEDGE BUILDERS

STRATEGIC PARTNERING
FOR SERVICE AND ADVOCACY

Patricia A. Kreitz



This chapter is excerpted from
*Library and Information Science:
Parameters and Perspectives*

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In their article on the challenges facing the postmodern library authors Elteto and Frank warn that the “relevancy of academic libraries are at stake as a result of dramatic budget reductions and ongoing changes in the use of libraries.”¹ Recognizing the fiscal crisis facing libraries, many leaders in the profession are calling for libraries to strengthen their core roles in supporting campus research, teaching, and learning and to become more proactive and effective communicators of the critical role the library plays in supporting institutional goals.

Responding to this difficult period facing academia and interested in highlighting the creative ways academic libraries around the country are responding, ACRL President, Tyrone Cannon has chosen “Partnerships and Connections: The Learning Community as Knowledge Builders”² as the theme for his presidential year. His intention is to foster opportunities for libraries to “play a key role in developing, defining and enhancing learning communities central to campus life.” Focusing our efforts on supporting the core business of academia will ensure that academic libraries continue to be places of “opportunity, interaction, serendipity and strong collections and remain central to the knowledge building process.”

Savvy library administrators take every reasonable opportunity to communicate their library’s achievements and needs to faculty and to campus administrations. They nurture academic committees and friends’ groups and work strategically through campus initiatives to build support and to spread the message about the library’s centrality to the academic endeavour. However articulate and persuasive library directors may be, if they are selling this ‘goodness’³ by them selves, it falls flat before too long. To be successful, all such high-level efforts need to be grounded in the work of front line librarians who strategically build and consciously nurture partnerships and connections with faculty, teaching assistants, and students. Profoundly effective messages supply concrete examples of how librarians, faculty and students are actively partnering to make a difference in the work central to campus life-teaching, learning and research.

For example, many librarians are partnering with faculty and students to organize instructional materials and resources for learning communities, to integrate information literacy into coursework, or to co-create digital knowledge repositories. These librarians feel a real satisfaction from their accomplishments and often receive compliments for their efforts from the faculty and students with whom they work. Those same partnerships and connections can create a secondary effect-they potentially provide the raw materials for building a cadre of faculty and student

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advocates who can add their perspective, and often their own voices, to help communicate the library's value. For this to happen, both administrators and front-line librarians need to think about partnerships strategically and nurture them more intentionally.

One example of a knowledge building partnership that has built an enduring level of advocacy is the almost three decade collaboration begun by the Stanford Linear Accelerator Center (SLAC) and the Deutsches Elektronen-Synchrotron (DESY) libraries, and then joined by universities in Great Britain, Japan and the Former Soviet Republic, to collect, organize, and provide access to particle physics research information. The collaboration continues to grow, adding partners with new expertise or content. This partnership was initiated by the SLAC library, which is a research library serving the Stanford Linear Accelerator Center, a school of Stanford University and a national laboratory funded by the Department of Energy through Stanford University.

This knowledge building collaboration could not have lasted as long as it has, nor evolved into such a success without three key elements. First, it focuses on a core need for the faculty and researchers who use it—providing a service of continuing and evolving value. Second, from its inception, librarians worked actively to communicate upwards and outwards and to engage faculty to do the same about the value of the project. Third, librarians, faculty and institutions participating in the project continue to receive concrete benefits from their involvement in the partnership.

In 1969 and 1970, librarians at SLAC conducted extensive interviews to learn how particle physicists currently did their research, communicated with colleagues, and wrote and distributed their papers. SLAC interviewers also asked the physicists to speculate on what they wished they could do. From this data⁴ emerged an ideal scholarly workstation, narrower in subject content than Vannevar Bush's MEMEX⁵ but broader in access to tools for design, analysis, and authoring and broader in functional integration than V. Bush originally envisioned. Reaching that comprehensive, visionary goal has taken years of partnerships by librarians, physicists and their collaborating institutions.

The partnership's first goal was to quite traditional, to identify, organize and provide access to the pre-publication literature of the fields of particle and accelerator physics. Before this effort, authors shared advance paper copies of articles (called preprints) they'd submitted to journals with colleagues. Access to advance research information was often based on who knew whom. Authors at wealthier institutions were able to share their papers widely since their institutions could fund mail distribution. Physicists at SLAC and DESY worked with the librarians to publicize to

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their colleagues internationally SLAC's interest in receiving all preprints. SLAC then compiled the weekly acquisitions list in a print form, including author contact information so researchers could request a copy of a listed preprint, and distributed this list worldwide. This compilation was a major milestone in democratizing access to the field's literature, comparable to the technical innovations in the early 1990's of the World Wide Web's user-friendly Internet access and to the creation of the e-print archive where particle physicists could self-publish electronic full text preprints.

This list eventually became a full-fledged bibliographic database, the 'killer app' that popularized the newly-invented World Wide Web⁶ and the first index to list the arXiv.org e-print numbers, and then, of course to link to the full text at arXiv.org. The project continues now offering integrated access to more than a half do1.en databases including abstracted research data formatted for input into design and analysis software, compilations of secondary and tertiary review literature, directories of researchers, institutions, and experiments, conferences and conference papers, streaming media, and, most recently, astroparticle physics publications and a jobs database.

The partnership was successful and continued to be supported through cycles of budget challenges by each library's or group's participating institutions not just because of its 'goodness' for the worldwide community of researchers, but also because the partners received direct, concrete value in return for their contributions. Also, the front line librarians involved assiduously communicated those benefits to practicing physicists who communicated them to the supporting universities and laboratories. One example of SLAC's benefits was that the cost of adding extra staff to receive and catalog the advance literature worldwide was offset by the advantage SLAC physicists perceived of having all the world's preprints available weekly in their local library. Comparatively expensive faculty could spend time on research and teaching rather than individually soliciting preprint copies. Staff at the DESY library contributed extensive subject headings to the list and eventually to the database. They were already cataloging the published literature of particle physics producing an annual print bibliography, the High Energy Physics Index.⁷ In return for sharing this extensive subject indexing, they saved cataloging time by using SLAC's advanced cataloging of the preprint versions of the eventually published papers.

The librarians at each institution who work with the databases and with onsite and remote users collect unsolicited comments, most often via emails sent to the staff. They share these comments with library administrators who can use them to communicate to campus administration. For the most part these comments are

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positive, saying things like “you have saved me many hours” or “your service is invaluable to all researchers.” But front line librarians also collect and share the negative comments that are occasionally received since they not only provide opportunities for process improvements but can, in themselves, be powerful testimonials. An example was an email received last week from an angry editor who demanded “please correct your misspelling in my book title immediately everyone is copying your mistake, as a Google search on my name will show...” Even negative comments can sometimes reveal how central a service is to a community.

The institutional commitments of our partnerships are long-standing and extremely valuable to the organizations participating. However, within the overall project to build a comprehensive, integrated knowledge environment for particle physics, individual librarians enter into more focused partnerships with faculty members. One of the most innovative examples of this is the “Top Cited HEP Anicles⁸”. The literature database tracks citations and can calculate and display the number of times an article has been cited by subsequent articles. About ten years ago, one of the library staff started compiling a list of which articles proved the most popular, i.e. most cited, in any one year. Working with the advice of one of the SLAC faculty, he accompanied the list with a couple of paragraphs clustering the articles into broad topics and restating the subjects or titles of each one that had made the cut. When the original compiler left for another position, the library asked the faculty advisor to continue the commentary if the library continued to run the analyses that produced the lists. The annotations have now become a full-fledged review of the past year’s research findings and an overview of trends in the field. The annual top-cited list, and all-time top-cited compilation, along with the faculty member’s review are all published on the SLAC library’s website and advertised by the library on its web pages and on appropriate listservs.

The review and the accompanying compilations have become one of the most popular and eagerly awaited publications in the field. Tracking the number of hits that these articles get on the web has been a very effective metric in justifying the continued existence of even this small project. Positive email comments from researchers inquiring about the publication date of the next edition are also saved and add a human face to the web statistics.

These two examples, one of a large, multi-institutional collaboration stretching over decades, and one of a small, two-person partnership, have several lessons that can be applied to any partnership at any library. First, each of these partnerships

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achieves strategic goals that are of core importance to the communities and individuals they serve and to the administrations that fund them. They also matter to the librarians on the front lines who spend their time, imagination, and emotional and physical energy in the partnerships themselves—they return a high degree of satisfaction to all involved. And finally, the librarian partners make a sustained effort both to share credit and to collect stories or statistics—assessments both hard and ‘soft’—about the value of their partnerships. Front line librarians work with their library administrations to share those stories upwards and outwards. In return, the institutions and communities supported by these partnerships reciprocate the support, even through difficult economic times.

Library directors and front line librarians need to forge their own strategic partnership if libraries are to truly respond effectively to the challenge of becoming more relevant and making that relevancy better recognized outside of the library’s virtual or physical walls. Together, management and front line library staff need to identify and select those partnerships through which the library can make a real contribution to student and faculty knowledge building through concrete achievements. Our goal as librarians should be to nourish these partnerships, make certain that the outcomes are valuable to the community, and most importantly, ensure that this value is clearly and broadly communicated. In this way, academic libraries will be better positioned to meet the some of our most pressing challenges, such as declining budgets and charges of irrelevancy, because we will be active and essential partners in the core work of our academic communities—teaching, learning and research.

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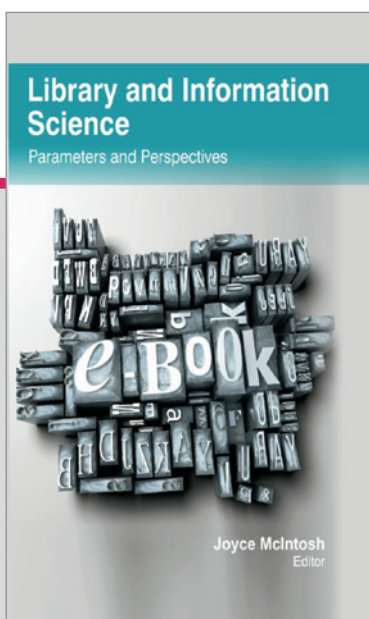
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CHAPTER

4

SUBJECT ACCESS THROUGH COMMUNITY PARTNERSHIPS A CASE STUDY

Patricia A. Kreitz and Travis C. Brookes



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Innovations in scholarly communication have resulted in changing roles for authors, publishers and libraries. Traditional roles are disappearing, and players are actively seeking or reluctantly assuming new roles. Library roles are changing as they become involved in building and indexing electronic (e-) repositories and supporting new modes of e-research. A library-run service, the SPIRES particle physics databases, has not only weathered, but also lead, many of the transitions that have shaped the landscape of e-publishing and e-research. This has been possible through an intense and in-depth partnership with its user community. The strategies used, and lessons learned can help other libraries craft cost-effective toles in this new environment.

INTRODUCTION

The rise of the Web combined with a growing ease of writing and publishing electronically have begun a revolution in scholarly publishing and communication. Profoundly transformative innovations such as arXiv.org plus internet indexing and retrieval software such as Google™ are changing the academic information landscape. One area with the greatest potential for change is in the traditional processes and the players involved in providing access to the scholarly literature. In an e-research world, how will scholars be able to have persistent, useful, accurate, and timely access to that subset of the scholarly literature which is relevant to them? How will the roles of the players in the scholarly communication process evolve in the emerging e-publishing and e-researching world? Will authors become publishers and catalogers as well? Will journal publishers completely replace libraries or abstracting and indexing services? Will libraries, in turn, extend their roles both 'backwards' into the publication process and 'forwards' into more comprehensive subject access?

Brian Hawkins, past-president of Educause, observed that "There is no clear and defined role for libraries with regard to the digital resources accessible through the Net".¹ He challenges libraries to find a way to provide free and open searchability to the 'deep Web' of scholarly disciplines using a combination of software and humanware and judicious collaboration and partnering. How can libraries take such a leadership role? In this paper we look at some of the ways this might be achieved, particularly by involving authors and libraries in new partnerships as traditional roles change. We examine an active model of this new partnership, looking at how one library-managed

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system has worked with users to cost effectively provide useful, persistent, accurate, and relevant access to the subset of particle physics scholarly literature.

CHANGING ROLES

Researchers, now known as 'content producers,' whose past role was to write articles and books that they handed off to other players in the publishing structure, have many more options today. They are often bypassing traditional publishers and are now self-publishing or publishing to an institutional archive or a subject based archive. Reflecting the beginning stages of this revolution, many authors are choosing to combine new publication methods with traditional ones. The publication process for authors will continue to evolve in new ways as traditional copyright control is redefined and as institutional or subject-based repositories become part of the mainstream.

This trend of scholars retaining more control over their documents is being extended into the arena of subject access through a variety of experiments.² Some projects currently underway are testing the expectation that researchers should self-catalog their own works at the point of self-publishing them.³ Creating the access points and indexing terms for their own works would replace the need for what had been in the past the 'down-stream' cataloging or metadata creation functions that have traditionally been performed by libraries or abstract/indexing services.

Having authors index their own works is appealing both intellectually, because researchers know their own writings best, and practically, because this would avoid the inevitable delays caused by relying on third party indexing. But are authors willing and able to assume this new role? Academic authors typically want to focus on research and teaching and may be extremely reluctant to become 'lifetime catalogers' of their written materials.⁴ Will authors create sufficient metadata so that nothing will be needed but a 'Google™ on steroids'? We are too early in this revolution to know what new paths will be taken, but it is certain that the wealth of experimentation that is taking place will alter radically the traditional roles authors have played in the past.

Publishers as well are finding and taking advantage of new opportunities created by the upheaval in research communication. Both commercial and scholarly publishers have traditionally provided reviewing, editing, copyright control over, and persistent access to, scholarly works. They are now analyzing what roles they may play in a world where the act of publishing is no longer a single event, frozen in time, but distributed and dynamic, and the power of exclusive copyright control is weakening.⁵ They are also pondering the effect that some of the changes already well underway

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may have on their enterprise. In particular, electronic repositories, inspired by the first e-print archive, arXiv.org, have now grown into adolescence. Not only have other subject-based e-print servers been started, but universities such as CalTech and MIT and collaborations of scholars such as the Public Library of Science are building an electronic-based role in publishing by creating successful digital repositories of scholarly works. These structured electronic repositories are now enabling the dissemination of a scholarly work, a traditional role of a publisher, to be separated from all other parts of the scholarly communication process, including 'publication'.⁶

Publishers may focus solely on their refereeing and certification role.⁷ But if they do, how can they generate sufficient revenue? Will institutions, universities, or authors be willing to pay publishers sufficient income for the cachet of inclusion of a particular article in a journal? Not willing to trust their existence and revenue stream to a somewhat beleaguered publication function, journal publishers are experimenting with value-added services that extend their roles in new directions. Many are assuming that they will continue to provide electronically based peer reviewed scholarly publications, but also are contemplating a variety of other content, tools, and access systems that could be pay-per-use.⁸ Will they try to build the kinds of products and services that have, in the past, been the responsibility of other parts of the scholarly communication process? Recent developments such as IOP's BEC Matters! portal⁹ and Flscvier's SocSciNet.com¹⁰ are expanding traditional journal publisher activities into subject searchable databases built, at present, on their own suite of products but attempting to reach beyond them to broader subject access through subfield Web portals. Will such experiments grow to a point where journal publishers control the access to and mining of their electronic full text resources so fully that they completely replace libraries or abstracting/indexing services?¹¹ If libraries allow this trend to continue, might subject access through publishers soon present the same pitfalls and monopolies that have plagued libraries in the current journal system?

LIBRARY CHALLENGES

While new roles for authors and publishers are dearly of interest to libraries, foremost in the minds of libraries and librarians are the new roles that they themselves will be asked to assume. How will the changing publication and communication landscape impact the library's functions? And how in turn, will libraries respond? Erosions of responsibility in some areas are often compensated by opportunities in other areas. Let us examine some traditional library roles such as creating col

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Excerpted from Library and Information Science: Parameters and Perspectives

lections and access to those collections, and how those roles may evolve in the coming years.

One of the most basic functions of a library is collection development, acquiring materials from publishers and other sources to meet the academic research and teaching needs of their campuses. However, libraries are now moving 'backwards' into a publishing role through experiments in building and supporting institutional repositories of faculty publications. While e-repositories are not ubiquitous, they are well along the way to institutionalization. In fact, MIT's development of D-Space and the University of Southampton's EPrints.org¹² are predicated on the assumption that universities and other organizations need a suite of technical implementation tools and best practices to help them as they collect, organize, and make available the scholarly output of their faculty. Consensus is growing that the university - and often the university library - should play a leadership role in providing 'publishing space' for scholars.¹³ Providing this publishing space can be defined as an extension of that traditional collection development role. By managing institutional repositories, libraries are collecting the intellectual products of their faculty. This is electronic collection development at a finer level of granularity than libraries have ever done, intentionally, in the past.

But there is as yet no consensus about who should take the lead in ensuring persistent, efficient, and useful access to these scholarly materials. Universities and their libraries are recognizing that institutional repositories require some form of structured information about the documents that is made publicly accessible in a standardized way.¹⁴ As libraries assume a greater role in publishing with e-repositories, they must define the purpose and extent of their involvement in these repositories. Should they simply provide a warehouse, or should they build sophisticated subject access to the publications within their repositories—in essence, performing a value-added aggregator role?¹⁵ Or, conversely, might this subject access role of aggregators—or at least that part that libraries play—become unnecessary? Perhaps software could become sufficiently sophisticated that it is able to perform that aggregation function for a field autonomously. Perhaps software could even provide services similar to what a library does in crafting collections to support an academic department's research needs or what the American Psychological Association does with Psychological Abstracts to 'collect' and provide access by an academic subject?¹⁶

Not only might software replace these sons of aggregation functions, but the author could replace many of the cataloging and indexing functions at the point of inception. These burdens may be falling more heavily on the information creator through ideas

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such as author-supplied metadata. Could authors evolve into self-publishers and self-catalogers thus rendering commercial publishers and libraries obsolete? Would authors be willing to play an active or a passive role in metadata creation and indexing? Is it likely that authors would take the time to supply enough information? If there were sufficient data in each publication or information object to harvest, would there be any need for additional human mediation beyond what the author creates initially? How could the inevitable corrections or changes be effected? How would standardization of search elements and terms across distributed repositories be controlled? Building on their past collaboration with faculty, their experience in 'metadata creation (aka, cataloging), and their new e-repository role, libraries could be leaders in helping authors who found themselves in their new roles of document meta-data creators.

Self-publishing and indexing of scholarly e-publications will take, in the most optimistic view, a multiplicity of solutions. Some technical developments, such as XML, seem on the brink of providing a partial solution. However, software aggregation and structured authoring are only two ways of approaching the problem. It is likely that solutions will need to be tailored, especially in this inchoate period, to the authors' readiness, the technology, and the end result. Because libraries have subject specialists who have solid experience working with the scholarly authoring, researching, and educational communities, they can be extremely successful in partnering with content producers and users to create the access to this new breed of publications housed in e-repositories.

Providing information access and helping information seekers are again basic library functions. What role should libraries play in providing subject access to what has been characterised as the 'deep Web' of scholarly electronic literature?¹⁷ Some libraries are beginning to explore this with the institutional repositories that they are creating. An example is the University of California's eScholarship initiative. Its repository "provides persistent access and makes the content easily discoverable."¹⁸ The author agreement commits the Repository to creating a full bibliographic entry for each item deposited, and one of the benefits described on their Website is sophisticated searching.¹⁹ A variety of other experiments with subject indexing are starting, such as those registered with the Open Archives Initiative as 'service providers'.²⁰ Through institutional and subject-based repositories, there is an increasingly available body of electronically published scholarly materials which can provide the raw material for experiments in subject access.

But, libraries are already involved in simply building these electronic repositories. Could they also assume the additional burden of leadership and cost to develop

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sophisticated search systems for these repositories? There are rarely simple or completely cost-free solutions to such complex and broad problems. John Ewing, Executive Director of the American Mathematical Society is rightly wary of “miraculous solutions to previously intractable problems... at no cost to anyone.”²¹ How expensive might search systems be? In an era of severely declining budgets, the need to take on yet another (potentially costly) leadership role is not what academic library managers wish to hear. Neither is it what library specialists in collection development, metadata cataloging and retrieval, or reference services wish to have added to their already overflowing job descriptions. However, libraries, which are masters at both understanding information needs and mediating between researchers and third-party information producers, are in an excellent position to help define the context and outcomes of experiments in this infant area of subject access to the scholarly e-literature.

Libraries also have extensive experience with setting standards, collaborating to create shared cataloging, and listening keenly to the information needs of their user communities. If any group is uniquely positioned to provide subject specialization organization and access to the scholarly deep Web, academic libraries are. The cost of taking on this function may not be as prohibitive as it could appear at first. Not only are many new experiments trying to develop cost-effective alternatives to labour-intensive cataloging, indexing and abstracting, there are some substantially successful current models already functioning.²² Studying such ongoing efforts will provide useful data and experience that can be applied to further experimentation.

SPIRES COLLABORATION AS A MODEL

In this paper we describe such an effort, which has been working for approximately thirty years. It has helped lead the transition from a totally print-based system to an almost totally electronic-based system. In the process, it has expanded to provide worldwide subject-specialized access not only to the field's journal literature, (as do database vendors), but to a wider set of information objects comprising a significant amount of the intellectual 'ecology' of the field.²³ This is not an effort that is particularly well-funded. In fact, it operates only through a careful use of every (automated, cost-lowering) software program it can implement, a judicious use of hands-on intellectual oversight and cataloging, an aggressive commitment to collaborative and consortial information sharing, and - most radically and uniquely - the volunteer efforts of many of our users.

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The SPIRES High-Energy Physics databases provide access to the literature, people, institutions, research, and experiments in the fields of particle and astroparticle physics. First invented and developed by the Stanford Linear Accelerator Center (SLAC) Library in 1974 to acquire, catalog and provide access to high energy physics pre-prints (advance copies of papers submitted to journals), it is now managed and developed by an international collaboration of laboratories and universities, with substantial volunteer assistance from publishers and researchers. In 1975 an average of 70 papers per week were added to the Research Literature database by the SLAC Library staff. In the first six months of 2003 an average of 700 papers per week were added. The core work of content identification, data entry, subject/access point indexing, authority control, and URL linking, are performed through a blend of software and humanware. We have estimated that, worldwide, there are currently approximately 12 'people' (full time equivalents) dedicated to the work of building these databases. This number contrasts with an estimate of approximately 5 total 'peopl'r' who worked on the databases in 1975.

Combined, the six core databases (research literature, experiments, confer ences, institutions, people, and jobs) contain about 700,000 records. However, this type of statistic is not a full reflection of the complexity and depth of the information available in and through the databases. In the Research Literature database, for example, one bibliographic record may contain, for example, 150 unique searchable clements, as well as links to a variety of other distributed in formation such as full text published and unpublished versions, abstracted data, reviews, conference websites, and experimental information. A typical record for a theory paper (which tend to have relatively few authors) is shown in **Figure 1**.

In the Experiments database, each record for an experiment contains the equivalent of a multi-page 'encyclopaedic' entry which describes the scientific proposal, lists all the experiment members and their institutional affiliations (many experiments have hundreds of scientists), includes some of the pasthistory of that experiment, and provides a comprehensive, up-to-date bibliography of its publications.

Recently a Nobel Laureate in physics, writing about the SLAC Library and the research databases it manages, said, "Over the years its cutting-edge systems and services have helped transform the way we do research in our field."²⁴ How can a library have such a profound effect? With our secret weapon—our users! There are several broad ways in which users have collaborated with us over time: quality control of the information in the databases; collection development and collection creation; software development, and pure creative genius.

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ROUTLEDGE

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In addition to authors pointing out errors in the bibliographic information about their own works, we also fairly regularly receive emails from users who point out typographical errors in the bibliographic entries for works which they did not author. Most frequently, we receive emails pointing out the omission of a particular citation from the list of references for a paper in the research database. While some errors are ones our automated system or human review didn't catch, other errors are made by the original author, for example, while citing someone else's work.²⁵ After receiving such an email, we check the cited reference against other instances of it in our database and correct, if needed, the author's mistake. Our ability to catch citation errors means that we can correct trails of errors that have developed over time. Errors may accumulate because an author re-uses older reference lists, and so an error once made is inadvertently repeated. They also may develop because another author cuts and pastes from a colleagues' paper and adds to the reference list s/he is developing. Even if authors have read the original papers, they are very unlikely to compare the citations with the reference list, and thus can easily propagate an incorrect reference through many papers.

Our reference lists, then, can be more accurate than those of the original papers. To make use of this we have developed a way for authors to build their reference lists directly out of our research database in a format that can be simply and efficiently added to their paper. Commercial products, such as EndNote and ProCite, permit this kind of downloading and formatting also. This saves the author from the tedious business of reformatting citations to meet a particular journal's editorial requirements and primarily functions as a service to our users. However, in the markup language, we have buried data that makes the processing of that list now far more automatic than reference lists that are not pre-searched. This enables us to save tremendous amounts of staff time reviewing error lists of non-matched references.

A related service we provide to our users is automated reference checking for a list of references an author sends to us via email. An author submits a paper's bibliography to be matched against our database. Then, if the bibliographic information matches, the author knows there are no typographical errors in the new paper's reference list. Non-matching entries are highlighted and the author is alerted to check them for errors. In this way, we help the authors' quality control of their papers and ensure that the reference lists which are eventually added to our database from those papers are correct.

With these volunteer opportunities, building references lists from our database and checking reference lists against the database, users are taking actions that they

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would do, perhaps with a slight extension or variation, as part of the normal authoring process. Authors have to list and format the works they reference in their papers. They also (we hope!) have to check those lists for typographical errors. By giving them a way to perform both of these functions via systems that help us, there is mutual benefit. We trade their ease of getting or checking references for reference lists that we can process quickly and accurately into our database. When building systems that plan to rely on effort from authors beyond the traditional boundaries of writing a paper, there has to be some direct incentive for them to change or take on additional tasks. The benefit of the community in general is often not a strong motivator, while direct personal benefit in terms of saving time and effort, will alter behavior quickly.

Another area of quality control our users participate in heavily is in catching citations that were added after the c-print was posted and before the paper is published in a journal. One informal study estimates that about thirty percent of c-prints have some substantial revision (not simply typographical changes) but a change in wording, data, or papers added to the reference list before they are published in their final version in a journal.²⁶ Our cataloging begins with the e-printed paper and so the bibliographic data that we process comes from that version. We have automated systems that compare core data, such as the title and author lists between the unpublished and published versions. However, comparing reference lists for additional citations added between posting to arXiv.org and publication in a journal is not sufficiently automated that we can afford to repeat this procedure on all papers.

Again, we rely heavily on users to help us with this—either the authors themselves or, often, the people whose own works were added to that reference list after the c-print was posted to arXiv.org. Without help, we could replace the draft reference list with the completed one in proportionately few papers. For many papers we have no automated process to replace the e-print reference list with the published version, and so, at present, the additional labor to identify and replace these reference lists would be prohibitive. Some journals send us the reference lists of papers they have published and, again, we are able to replace the draft lists in those circumstances without additional labor. In some cases, the author sends us a new reference list to replace the draft list using a Web form that automatically formats the bibliographic information to fit our database. To help users with this, we have developed a Web page which they can use to send us references that were omitted from a paper. When using this form, the data can be put into the database with no additional keystrokes from our staff. Typically, users employ this form to send us an omitted citation when

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it is their work that was added after the e-print version was posted at arXiv.org. They have an additional motive for doing this since an updated reference list that includes their work leads to a higher citation count (and greater glory) for the user. Over thousands of users provide a much-needed additional set of eyes and typing fingers!

Occasionally users will send a full reference list via our Web form for a paper that is in the database but lacking references. A reference list may be left of, for example, because the paper was neither e-printed nor published in a core journal in the field. For such non-central publications, we do not have the manpower to create reference lists manually. In the majority of the cases, there is a measure of self-interest involved in sending a full reference list to us. The paper without a list is usually one either they've authored or that cites a paper they've written. But we do have other volunteers who send lists for papers which do not include them in any way and which they simply wish to have more fully represented in the data base. The most active example of this activity is a user who sends reference lists from hundreds of papers where he is neither an author nor cited by the author. In this volunteer's case, there is no self-interest involved, simply a lot of work he performs gratis to help improve the database content. In another helpful user's case, he has said he feels obligated to balance requests involving his own works with more altruistic error corrections. In typical physics tradition he quantified his effort at a 10% personal to 90% communal ratio. We need to research user motivation further to see if or how we could encourage such volunteerism more broadly.

There is another area of complex information in the research database that is improved in quality from user cooperation. Papers written by an experimental group can have a large number of authors. Anywhere from 50 to 800 authors, along with each author's institutional affiliations, can be listed on a single paper. For the particle physics community it is important to track all the author names and to link those names with each author's institutional affiliations. Generally, authors have one or two institutional affiliations, the university at which they work, for example, and the laboratory at which they have experimental privileges. This can make for a complex and error prone 'author field'. With some large experimental groups, we have co-developed a system where the experimental group scientific publication coordinator sends an electronic file of each paper's author/affiliation list formatted for automatic input. Since the hundreds of names on these lists may change from one paper to the next, such user-generated input ensures a high level of quality control without our time editing or comparing records. Again, this system works well if the experimental group is well motivated (i.e., sees SPIRES as an important information resource) and conversely tends to fail if this motivation is absent.

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Another way that users participate with us to improve the quality of database content we offer is to let us know when we have missed a paper, a conference, an institution or an experiment they believe should be included. Many libraries encourage their local faculty to recommend books or journals for their collections. We receive around thirty of these emailed recommendations per week alerting us to a new experiment that's been formed or to articles that are often on the edges of the fields we traditionally cover. Many of these come via a simple email but we do have a Web page that prompts the user for the bibliographic data elements of an omitted article in a structured way and formats that information so it can be added with little human effort. Some of our users are using this form to prepare, in essence, cataloging records, for papers that we've missed.

Besides correcting errors and omissions, our user community helps us in many other ways. They create content or software that adds value to what we offer. Our user community is incredibly inventive, extremely computer literate and unabashedly assumes they can 'do anything'. Particle physicists have a long tradition of building computer 'hacks' to make their lives easier. SPIRES is, in some sense, a repository and a beneficiary of that habit of hacking. Often they invent something that turns out to be an extremely useful tool, product, or service that integrates well with our services and mission. At times they have invented something directly for us, but at other times, they have been middlemen for us with other innovators, helping us to take advantage of inventions as they are being developed. The result of this support from our users has been that, at times even during the initial development phase, those inventions have been optimized for our needs.

One example of a user building content was the creation of a directory of people involved in particle physics research. A physicist approached the SLAC library with the idea for this reference tool. The librarian built the database structure and the physicist worked to populate it with content. One of his strategies was to persuade colleagues at other physics departments, schools and institutions to send him regular feeds of electronic records of their scientists and staff. He then wrote programs to help bring that data into the SPIRES database. While the SLAC Library has coordinated the management of this database, called HEP Names (High-Energy Physics), there has been, over time, a series of physicists who have taken the lead role in building its content.

Sometimes our users create a system or develop content that provides an additional level of analysis about the information residing in a database. Two examples of this of

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this are the software programs that analyze citations or consolidate citation rates for an individual author. We count how often an e-print and its subsequent appearance as a published paper are cited by other authors. A Japanese physicist wrote a program that analyzed citations for all of an author's papers and produced a citation summary displayed graphically. Originally he did this as part of a broader analysis he was doing for the Japanese government on the impact of Japanese science. He and the SLAC library both recognised that it could be a very popular addition to our suite of services and it was installed at SLAC but maintained by him remotely for many years. Recently another user of the databases has sent us software he wrote for us to update the original analysis program.

We also have 'power users' who participate in advising us on and helping us with the databases on many levels. Just one example of this level of user is a particle physics theorist. Using an analysis we produce yearly which ranks the top-cited papers for the past year and the all-time top-cited papers in the entire research literature database, he writes an annual review article that discusses the papers and explores the trends in particle physics based on these citation counts. The 'all-time' highest cited papers average roughly 100 articles that have received more than 1,000 citations recorded since 1974 when we began to track citations in the database. This annual review of 'top cites' is the most popular and eagerly awaited content in the database. He also edits "A SPIRES Guide to the Review Literature in High-Energy Physics" which organizes thousands of review articles into subjects and into further subfields. This bibliography is a particularly valuable teaching tool since it provides quick access not only to the review literature, but full text access to the review itself as well as to all the research publications which the review examines.

A profoundly important example of SPIRES users acting as middlemen between SPIRES and other services grew out of the feedback a theoretical physicist, Paul Ginsparg received when he invented the e-print archives, originally called xxx.lanl.gov, now arXiv.org. When he created this automated repository of electronic versions of preprints, he thought it would be a good way to eliminate the cost and waste of the previous tradition of physicists sending out advance copies of their papers (pre-prints) to their colleagues for discussion. He wanted to eliminate the enormous amount of paper and postage involved, and to create a system that was easy to use to 'post' a paper and would provide broad and convenient access to these advance copies. Since, at the time, a paper submitted for publication to a physics journal took an average of a year to appear in print, having an almost instantaneously available electronic copy was an incredible innovation.

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Ginsparg built the archive system and then asked his colleagues to test it out for him. Enthused by the innovation, scientists at SLAC told SLAC librarians about it immediately and encouraged them to develop a connection between the electronic full text papers in the archive and the SPIRES bibliographic database. This led to a collaboration in which the SLAC librarians advised him about what minimum bibliographic information to require from authors (perhaps this was the first electronically author-supplied metadata?). In turn, the SPIRES research database began putting e-print archive identifying numbers into the bibliographic records. Perhaps even more significant for individual authors who posted e-prints, SPIRES began to include citations to the e-print version of a paper in that paper's total citation count.

From this collaboration, the SPIRES system gained the ability to download nightly both the bibliographic data authors supplied and the electronic versions of the reference lists. This enabled a record for a paper to appear in the database literally within hours of the paper first appearing "in e-print." We also shared key elements of the data we added into the literature database with the e-print archive so that their records could display the list of cited references (linking back to our database) and could have information about where an e-print was eventually published. The e-print archive of electronically accessible papers created a repository of data that we could bring into the literature database far more quickly and with less human intervention than previously.²⁷

Another innovation that saved SPIRES labor costs was a software program written by a Brown University physicist that converted documents written in the TeX text formatting system, the ubiquitous authoring tool in particle physics, into postscript so that they could be easily printed or displayed on a computer screen. In order to catalog fully the e-print papers downloaded from arXiv.org, the SLAC Library was ftp-ing from the archives TeX papers and converting them to postscript. Scientists who heard about this software recognized that an automated approach could bring the SLAC library significant labor savings and helped persuade the physicist to install his software at SLAC where he continued to maintain remotely for several years. Eventually, the staff at arXiv.org took over the software processing producing postscript for viewing or printing directly from the TeX files on the archive server. Both the original software and the assumption of the TeX to post scripting function by arXiv.org saved the SLAC library a great deal of time spent obtaining eye-legible copies of the e-prints.

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One of the most profoundly important examples of an innovation created by a physicist which was then used to improve the services we offer was the World Wide Web. Tim Berners-Lee, the inventor of the Web, had invited a SLAC computational physicist, to see a very early demonstration on his NcXt computer which was at CERN, the European high-energy physics laboratory in Geneva, Switzerland. The SLAC physicist almost did not make the time to go to Berners-Lee's office, but did and recognized immediately that this program could become a useful interface to the SPIRES particle physics databases.²⁸ He brought a copy of the program back with him on a floppy and enthusiastically showed it to the SLAC librarian, insisting that it could be the Internet search interface for which the SPIRES databases had been waiting. With the help of other physicists and programmers who volunteered their time, they had the first website in the U.S. up and running within a couple of months and were writing html out of the database on-the-fly. When Berners-Lee learned that his software was the new search interface to the SPIRES research database, he was delighted, saying that this would be the 'killer app' for his invention.²⁹ And, in fact, it was by using SPIRES through the Web interface that the first Web user community, particle physicists, was born.

The history of the SPIRES databases and their continued successful existence is intimately connected with the contributions-both large and small-that users make to the databases' quality, content, and continued innovation. But, is this simply the story of an isolated set of behaviors by a unique and unreplicable community? What lessons, if any, can be learned that might be of use to the future development of the scholarly publishing and communication process?

CONCLUSIONS

Lesson One: Users need and value in-depth subject access. This fact is shown by the willingness of users to help us at all, as well as by our use statistics.³⁰ Some emailed comments from users around the world express how central they feel the literature database is to their research.

"Thank you so much for what you are doing. You are building the greatest science library in the history of mankind..."

"Thank you for the eminently useful service you provide for the HEP community."

"The virtual library [the SLAC Library] provides to the worldwide particle physics community levels the scientific playing field."

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Their willingness to spend time helping in so many ways is based on their need for and appreciation of the databases. In particular the kinds of software development, content development and mediating between other innovators and SPIRES are motivated by this broader loyalty to the SPIRES system.

Lesson Two: With volunteer efforts, particularly continued automation improvements, and a distributed approach to building the resources, in-depth subject specialized databases are not prohibitively expensive. Because SPIRES is seen as important to the field, users are motivated to help us. What might start as a relatively small and expensive project, particularly until use grows, can turn into a very helpful, appreciated service, by this 'bootstrap' effect. Of course, the timescale needed to build 'brand loyalty' is not always short plus there may be significant front-end costs during the start-up period. However, one motivation that does certainly contribute to success is the feeling of ownership among the user community. By encouraging and using volunteer efforts we have made the users feel as though SPIRES is not a third-party service, but instead an extension of panicle physics, as indeed it truly is. This encourages the type of loyalty and helpful spirit that permeates our user community today.

Lesson Three: There are successful ways to motivate authors to take an expanded role in the scholarly publication and communication process beyond their core efforts of research and writing. It is clear from our experiences that enlightened self-interest is a strong motivator for author participation. Giving authors some carrot or reward works effectively. Additionally, getting them to make minor changes in a part of their writing or publication process also seems to work. While some users are motivated by the long-term benefit to the field in general, this is the exception not the rule. Most authors do not want to take the time to format their documents, or add metadata to a database, unless there is some clear benefit to them. For this reason third-party services may always be useful, and services that do rely solely on author-supplied information, need to think carefully about the motivations of the authors doing the work. There needs to be a 'fair trade' of benefits between the author and the information service.

While many parts of the scholarly publishing and communication structure may emerge, change, or grow moribund in the next decade, researchers and students will continue to need persistent and consistent access to scholarly literature. While its exact future may not be clear, there is a clear continuing need for collection selection and access, in essence, that aggregator function. While libraries may not become the

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exclusive providers of this service they should take a leadership role in ensuring that the best possible systems for scholarly access are developed through partnerships with other players in the publication and communication system. The SPIRES consortium's system of identifying relevant research, data, and other information objects, and enabling in depth subject access to that body of information via a sophisticated suite of databases and services provides a model of in-depth support of scholarship at a cost-effective level. The SPIRES system is a prime example of the utility that libraries can continue to provide in an increasingly electronic environment. Perhaps more importantly, the SPIRES experience shows that collaboration with authors, users, and others in the academic community is not only possible but essential if one is to build collection and access systems that continue to evolve to meet researchers' information needs in an increasingly e-Research world.

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SUBJECT ACCESS THROUGH COMMUNITY PARTNERSHIPS

A CASE STUDY

Patricia A. Kreitz and Travis C. Brookes

Excerpted from *Library and Information Science: Parameters and Perspectives*

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gcnomc/guidc/build.html] and Human Genome Project LocusLink Collaborators [<http://www.ncbi.nlm.nih.gov/LocusLink/collaborators.html>]; Stanford Public Information Retrieval System (SPIRES) Collaboration High Energy Physics Databases [<http://www.slac.stanford.edu/spircs/>].

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27. However, sometimes, such collaboration can slightly backfire. When preprints were added into the database before the arXiv.org was invented, SPIRES data base users quickly became accustomed to not having access to the latest week of papers until each Friday, when the new records became available and were sent out first in paper and then as electronic lists to eager physicists all over the world. Once they started self-publishing to the e-print archive, authors posted papers any time of the day or night. After midnight each night, archive software produced a list of the latest 24-hours of posted papers which was then sent out to listscr subscribers. Physicists receiving the listing of the prior day's papers assumed they were fully accessible. In fact, the "References" list for each paper was not allowed to be an active link until it was reviewed by a SLAC cataloger. Both the e-print archives and the SLAC library received many complaints from irate physicists who wanted active links to all the referenced papers first thing in the morning. Irritated by the complaints, Ginsparg began returning a message driven by a piece of code that said: "This record is 0.002 days old, the SLAC Library has not had time to process it." His software would, in the high-precision tradition of particle physics, calculate the exact time since 'birth' of each paper and return accurate data to the complaining user!
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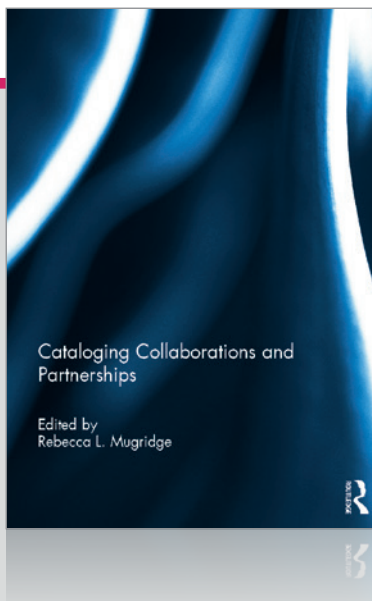
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CHAPTER

5

DEVELOPING BEST PRACTICES FOR TECHNICAL SERVICES CROSS-INSTITUTIONAL COLLABORATION

Margaret Beecher Maurer, Julia A. Gammon
and Bonita M. Pollock



This chapter is excerpted from
Cataloging Collaborations and Partnerships
Edited by Rebecca L. Mugridge

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The OhioLINK CollaboraTeS Project was initiated to support cross-institutional collaborations by building a skills inventory and by defining collaborative best practices. This article discusses what was learned and defines best practices for collaboration. The authors recommend the creation of regional technical services skills inventories, and the application of management and financial best practices to collaborations. Librarians should be confident they possess these skills because many of them have been learned in other environments. Collaboration represents a bright future for libraries struggling to meet tight budgets. Providing the tools and best practices for collaboration makes it easier for libraries to participate.

INTRODUCTION

The Ohio Library and Information Network (OhioLINK) is a consortium of eighty-eight Ohio college and university libraries that was founded in 1987 to provide research information for students, faculty, and researchers throughout Ohio. By 2006 OhioLINK technical services librarians had extensive experience cooperating with each other, and collaborated well at the consortium level. But they did not have a history of cross-institutional collaborations. Therefore, no infrastructure had been developed for cross-institutional project management. No one knew how to best create or manage collaborative cross-institutional workflows. Given OhioLINK's cooperative climate, and a tougher economy, it was natural for the consortium to investigate environmental factors and best practices for cross-institutional collaborations. The original intent was to foster collaborations by creating the tools needed, such as an OhioLINK technical services skills inventory and by defining best practices for collaboration. Over time this work resulted in the creation of the CollaboraTeS Toolbox, <http://platinum.OhioLINK.edu/dms/collaborate/>. This article presents the results of research undertaken as a background to the creation of the OhioLINK CollaboraTeS Toolbox. What was discovered is presented in the hope that other consortia or institutions will consider collaborating cross-institutionally, once they too learn about the management of collaborative projects.

Project and workflow management, change management, outsourcing best practices, and financial management can all be applied to cross-institutional collaborations. Technical services librarians know how to manage people and projects and they can apply these skills to collaborations.

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A brief discussion of a sample of North American collaborative library projects is first provided, followed by the OhioLINK context. The environmental factors that foster collaborations are then highlighted. Practical methods for project implementations and best practices are offered, as well as conclusions and next steps.

SELECTIVE SURVEY OF COLLABORATIVE PROJECTS

This section details several of the more successful technical services collaborative projects currently being conducted in academic libraries across the United States. It is included here to provide background for the work done within CollaboraTeS to define environmental conditions and best practices for collaborative work. While there have been many attempts by libraries to collaborate in the past, the most common type of collaboration involved having a shared Online Public Access Catalog (OPAC) or union catalog. The projects listed here attempt to expand the meaning of technical services collaboration in libraries by collaborating in more innovative ways than a simple union catalog. These projects are examples of what can be done collaboratively.

The 2CUL project, initiated in 2009, is a cooperative partnership between Columbia University Libraries and Cornell University Libraries. This broad integration project includes collaboration in cataloging, e-resource management, collection development and digital preservation. This is a special collaboration between two specific libraries in close proximity to each other who are sharing library staff and resources.¹

The Next Generation Technical Services project was undertaken by the University of California Libraries, which is comprised of multiple libraries on 10 separate campuses. The main focus of Next Generation is on providing a statewide OPAC and centralized cataloging for all libraries that crosses institutional boundaries. This collaborative project includes a wide range of libraries sharing a common technical services system.²

The Orbis Cascade Alliance is similar to OhioLINK, and services 37 university and college libraries in Oregon, Washington, and Idaho. Since the 1990s this consortium's work has grown and expanded to include collaborations in collection development, e-book purchasing and cataloging; cataloging of foreign languages; and specialized cataloging. The Alliance's current focus is on standardizing workflows and sharing funding models between all libraries in the alliance.³ Most recently Orbis Cascade has issued a request for proposal (RFP) for a Shared Library Management Service, which will include a single shared technical services solution,⁴ thereby facilitating workflows that cross institutional boundaries.

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Denison University and Kenyon College, two small liberal arts schools located in south-eastern Ohio, are both members of the Five Colleges of Ohio Consortium. These two libraries have combined their technical services departments to provide greater efficiency and flexibility. Work flows across institutional lines with one institution handling approval materials and the other handling smaller, direct orders.⁵

The New York Public Library, Columbia University Libraries, and the New York University Libraries' Manhattan Research Library Initiative (MaRLI), allows research material to circulate between the three institutions and coordinates research collection purchases.⁶ This a first step that Damon Jaggars, Associate University Librarian for Collections & Services, Columbia University, predicts will lead to cross-institutional projects, with digitization predicted to be their first.⁷

Each of these projects has been successful in its own right, and all of them grew out of administrative or consortial projects. Their methods reflect that orientation. In contrast the CollaboraTeS Toolbox focuses on providing the information and tools needed to foster smaller grassroots projects that could be initiated between individual libraries, rather than by administrations or consortiums.

OHIOLINK CONTEXT

Information on the roots of the CollaboraTeS project is provided here to further contextualize the work described in this article. In 2006 the OhioLINK consortium determined a need to reassess its service model. Early in this process it was recommended that OhioLINK libraries look across institutional boundaries to seek group actions and partnerships to increase effectiveness and efficiencies.⁸ By 2007, then Executive Director Tom Sanville had outlined a vision for the University System of Ohio that called for increasing cost-effectiveness by collaboratively and collectively managing the growing physical and electronic collections.⁹ To partially articulate this vision, the Group Technical Services Task Force was charged with exploring ways to aggregate or centralize technical services activities. Expected benefits included: cost savings through staffing efficiencies and discounts, greater standardization among member activities, reduced duplication, and improved expertise for libraries that have few staff resources.¹⁰

The OhioLINK Database Management and Standards Committee (DMSC) is the standing OhioLINK committee charged with maintaining standards for the central catalog, and creating policies and procedures for consortial metadata. This committee is most concerned with technical services issues and collaborative activities.

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To realize OhioLINK's vision, DMSC asked Margaret Maurer, Julie Gedeon, and Barbara Strauss to create an inventory of technical services expertise within OhioLINK libraries. The inventory, and the best practices documentation that was later created to accompany it, comprise the CollaboraTeS Project Toolbox. The CollaboraTeS mission is to foster collaboration between technical services departments.¹¹ The vision was, and is, that institutions would be more likely to participate in collaborative ventures if they were aware of the resources that other institutions had or needed, and if they had information about collaborating.

As a first step, OhioLINK institutions were surveyed to gauge institutional willingness to share, barter or contract expertise with other libraries. Institutional needs were also inventoried. Expertise was revealed in foreign languages, formats, cataloging schema, metadata standards, technologies, OCLC products and services and participation in Program for Cooperative Cataloging (PCC) programs. The survey proved that OhioLINK libraries' technical services units had the capacity to engage in collaborative technical services projects.¹² The survey resulted in the creation of the CollaboraTeS Database (the inventory) which is available to OhioLINK libraries at the CollaboraTeS Toolbox on the OhioLINK Web site (<http://platinum.ohiolink.edu/dms/collaborate/>).

The survey revealed some interesting findings about OhioLINK libraries, several of which are relevant to this discussion. Libraries large and small were willing to barter, share, or do work on contract for each other, and smaller libraries, in particular, indicated a willingness to share across all the survey categories. More libraries indicated having expertise than needing it, and OhioLINK libraries were more likely to identify expertise than they were to identify needs.¹³ This all seemed very promising in terms of fostering collaborative librarianship.

Margaret Maurer and Julia Gammon then began work on the creation of tools to foster cross-institutional collaborations. Information on workflows, costing models, agreements and projects are now available for use at the CollaboraTeS Web site. Margaret Maurer also undertook research into the environmental conditions that foster collaborative librarianship, which is also available at the site.

The next several sections of this article will focus on what was learned. A discussion on what was discovered about the environmental conditions for collaboration is followed by what was learned about best practices for implementing collaborative projects.

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ENVIRONMENTAL CONDITIONS THAT FOSTER COLLABORATION

Collaborative projects do not take place in a vacuum. They are impacted by their management practices, work cultures, and their consortial environments. There are, however, some characteristics that are more prevalent in successful collaborative projects.

Writing in 2007, Mitchell identified change management best practices as pivotal to cross-institution collaborations.¹⁴ Mitchell lists the following factors that impact organizational change to build cross-institutional collaborations: how well the organization manages change and risk; the importance of strong leadership leading the change; broad buy-in by staff and constituents; the contributions of outside assistance, perhaps through consultants or other professional colleagues; careful, comprehensive planning; excellent communications; group decision making; original thinking; and time and timing—managing the group's time, and initiating at the best time. Organizational work-culture has also been identified as having an impact on successful collaborations. Prather-Rodgers observed that workflow re-design disrupts current processes, many of which may have protective constituents.¹⁵ Therefore Wicks' and Wolven's assertion makes sense that activities that are new to both parties are often easier to re-engineer into more collaborative workflows.¹⁶ David, Davis, and Darnell also reported that when established systems exist there is greater potential for pushback from the stakeholders.¹⁷ This is one of the reasons Hayes and Sullivan recommended using an independent consultant when re-designing workflow.¹⁸ Lugg, as interviewed by Tucker and Sugnet, reported that the more problematic part is human nature itself; the mental and political hurdles, needed to deal with change.¹⁹ Lugg went on to say that "Sharing can be difficult and uncomfortable. It involves a loss of control—and to some degree a dilution of one's institutional identity."²⁰ Lugg also recommended exploring shared work in areas that do not require collocation, where there is a volume of work, and where resources are licensed rather than owned, because there is less resistance to sharing.²¹

The complexities of the consortial environments pose a challenge. For example, libraries that want to share cataloging skills within their consortium must consider the implications of any OCLC commitments.²² Winjum and Wu articulated that belonging to a consortium compromises local interests and diverts staff time.²³ Jin and Maurer wrote that, "the overlapping layers of consortial agreements that connect libraries form almost a web that can be constricting."²⁴ Again, according to Lugg, decision making becomes more complicated and travel to more meetings is required. "Sharing well is hard work."²⁵

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Given all this, what features do successful collaborative projects have in common? Maurer selectively surveyed North American collaborative projects and found that some commonalities were present in more successful projects. These included:

- They have strong support from the top or from strong local advocates. They have pressing economic reasons to collaborate.
- They are geographically proximate, or they at least have good delivery systems.
- They have experience creating memoranda of understanding and other workflow agreements.
- They exhibit similar work cultures and collections. They have experience cooperating with each other.
- They hire a consultant and utilize good project planning and management practices.
- They utilize grant money to provide structure, accountability, and cash.
- They manage communications and staff buy-in well.
- They have a shared back end on their library automation system.
- They plan a collaboration that is manageable in size.
- They neutralize territoriality, particularly for already-existing workflows.
- They trust each other.²⁶

The conditions identified as fostering collaboration did not all appear to be present in each successful project, but some mix of them did, and successful projects exhibited a synergistic balance.²⁷

The discussion so far forms the basis for a more practical discussion on best practices for implementing a collaborative project.

BEST PRACTICES FOR PROJECT IMPLEMENTATION

PLANNING

Any collaborative project includes a planning phase, an implementation phase, and an evaluation and assessment phase. Details on best practices for each of these three phases will be provided. Throughout this discussion the initiating library is differentiated from the providing library. One institution always starts the conversation, and that library is referred to here as the initiating library. The initiating library may be articulating a need it has, or it may be offering a service.

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Careful project planning is important both for the library initiating the service and for the library providing the service. Planning helps avoid problems that can occur down the road. The initiating library first must define the scope of the project. For example, it could be a project to acquire expertise that the library lacks, or to support a staffing shortage. Many technical services tasks lend themselves to collaboration such as cataloging, ordering, serial check-in, binding, electronic resource management, sharing best practices, digitization projects, and so on. The project may have multiple parts, or not. It is recommended that first-time collaborators start simply and small, expanding only when they have attained more experience collaborating with each other.

Next, ensure that administration supports the collaborative project. This will be needed as the project moves forward. Check to be sure there are no personnel issues that might affect the project, such as a staff union contract with restrictions on what can, or cannot, be done. Once you have confirmed it will work, ascertain if you have the staff needed to coordinate or direct the project.

The library initiating the project may also want to determine if it is more economical to do the project commercially or with a collaborating library. Do not assume that collaboration with another library will always cost less than paying a vendor. Price quotes can be requested concurrently. Of course, if the other library is willing to barter or trade for the work, then those payments will not be a factor. Also be aware that there may be other reasons for going with a collaborative partner, such as building relationships and experience for future projects.

The next step is to locate a library that might be willing to share their expertise. This can be problematic, because directories of technical services skills do not exist. For OhioLINK libraries, locating another institution is easier because of the existence of the CollaboraTeS Database of Expertise. The development of similar regional directories is recommended, and can be done following the CollaboraTeS model.

Locating a library in the absence of such a directory can require some creative searching. Current partners are of course a first source. Do not make assumptions about other libraries' capacity to provide expertise. Research by Maurer, Gedeon, and Strauss has shown that participants in the PCC libraries tend to have more resources, and more resources to share with other libraries. This might be a good place to start. Maurer, Gedeon, and Strauss also discovered that small as well as large institutions have specialized expertise, and that some smaller libraries will have the capacity to offer that expertise to the right partners.²⁸ Locating a partner library that is proximate will facilitate sharing.

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Once the potential partner library is identified, the next step is to establish a relationship between the two institutions. Taking the time to build this relationship will build trust, grow buy-in, and improve communications.

This is especially true if the two libraries have never worked together. If the libraries are geographically proximate, then a visit might be in order.

The library providing the service will also need to plan. Making sure the administration supports the collaboration is especially important. Take some time to determine what the impact could be on the local workload. Does the capacity really exist to do the work? No one wants to so over-burden staff that morale is impacted. However, in a barter situation in particular, increasing workload in one area may lessen it in another.

PROJECT IMPLEMENTATION

Project specifications and workflow must be defined for each project at an appropriate level of detail. This ensures that all participants understand how the project impacts their work. Good project communications also depend on agreed-on expectations.

For example, cross-institutional cataloging projects represent unique challenges for libraries because the resource, or its surrogate, must be transmitted to the cataloging institution. The cataloging records must also be transmitted.

OCLC libraries can utilize a Connexion save file to transmit records. This can be done in several different ways. The cataloging institution can use one of the receiving institution's OCLC authorizations to place records in a save file. The receiving institution then accesses this same file to update the record, bring it into the catalog and post holdings. In this model the cataloging credits are earned by the receiving institution. A second model has the cataloging institution using its own authorization to create and update the bibliographic records, but not to post holdings. The OCLC number is transmitted to the receiving institution, where the record is downloaded, and holdings are posted. In this model the cataloging credits are earned by the cataloging institution. Holdings can also be batch loaded, with the cataloging institution communicating the OCLC numbers via spreadsheet or text. The third model involves the cataloging library receiving an OCLC agent authorization for the receiving library. This model is the most efficient, as the holdings can be posted at the point of update by the cataloging institution. The cataloging credits are also earned by the cataloging institution. This model requires some setup, and is therefore more useful for ongoing projects.

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Both the library receiving the service and the library offering the service will need to appoint a project coordinator or leader. Both leaders will need to understand what the service agreement will be and have the authority to get the job done. Regular communication through this centralized conduit will limit errors and confusion. As discussed above, more successful collaborative projects have been shown to have buy-in from staff participating in the project. Trust development between project participants will come with time, but must be jump-started initially by the project leaders.

Having a beta test, or trial run, and evaluating how well it went, will provide the project coordinators with a method to evaluate the planned project workflow. This trial run will allow both sides (the providing and receiving libraries) the opportunity to modify the plan. It also allows everyone to ensure that the specifications on the work to be done are met. Timelines are important and should be discussed in the planning process. The library receiving the service may have an expectation that the library offering the service cannot meet. Understanding the start date and the completion date (unless it is expected to be ongoing) is vital to the success of the project.

METHODS OF COMPENSATION

OhioLINK libraries do not have extensive experience determining how to compensate other libraries for doing work. There are a variety of models for arranging for compensation for inter-institutional collaborations, regardless of whether the collaboration is long term or short term. The first is to do the work at no charge. Many libraries have informal relationships with other libraries on an as-needed basis. Alternative compensation may include credits or deliverables from other partners or vendors, such as receiving OCLC cataloging credits.

Another attractive option for collaborations is the barter system. Here institutions agree to exchange services or skills. For example, one library may have language skills and another has systems expertise. This sort of arrangement is most useful when institutional skill-sets complement each other.

Some consortia have experimented with barter systems that use non-cash tokens or inter-institutional credits to track contributions. For example, the Appalachian College Association created the Tony Tokens voucher system for this purpose.²⁹ Although cashless, these systems require tracking and maintenance to process credits, so they are not entirely free.

Finally, libraries can charge other libraries a fee, either for cost recovery, or to make a profit. Tasks and jobs may be tracked by the project, by the item or by the hour.

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There is an array of pricing models available to estimate how much it costs to do the work. Be certain that the estimated costs account for the expertise needed to do the work. Remember that payment procedures will need to be defined, including any needed financial accounting.

OhioLINK libraries also have to determine how much to charge partner libraries. This can be a complex process, and was therefore one that more information is provided for on the CollaboraTeS Toolbox. Before two institutions can determine the price of performing a collaborative service, they must estimate the cost of doing the technical services tasks involved. Knowing specifically what it costs for a library to perform a task can be useful for planning purposes and for deciding what to charge the institution needing the work.

Costs can often be very specific to individual institutions and care must be taken to find the appropriate methods of cost analysis for the libraries and for the specific tasks. The devil, of course, lies in determining what will be measured and how it will be measured. In a final report submitted to the ALCTS Heads of Technical Services in Large Research Libraries Interest Group by the Task Force on Cost/Value Assessment of Bibliographic Control, a set of elements was defined as contributing to costs for cataloging alone: staff salaries, benefits, time spent for all bibliographic control activities, cataloging tools, database maintenance costs, and overhead.³⁰ While this list concerns only cataloging costs, it is a good place to start when determining what to measure in technical services.

According to Dougherty, there are many ways that technical services costs can be calculated. It is therefore important to let the purpose of the analysis guide the type of measurement used.³¹ This sounds obvious, but the costs chosen to be included will impact the results. Therefore, when the library is calculating costs, it should measure the cost of only the functions that are part of the workflow. If the collaboration does not include shipping costs, do not include them in the analysis. If the goal is to charge cost recovery only, then a less detailed pricing model may be the choice.

At the most basic cost accounting level, libraries can calculate the unit cost (the cost per unit supplied) by using the following:

$$\text{Unit cost} = \text{cost of producing } N \text{ units of work} / N$$

The cost of producing work can include the cost of ordering an item, the license fees, cataloging costs, physical processing costs, and so on.³²

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Staff costs represent a significant cost within the library budget. When it is possible to know how long it takes staff to perform a task, divide the staff costs by the time to do the task to arrive at the unit cost for the task. This formula can be used to measure the cost of doing a task, or a group of tasks. Unit costs can consist of work done by several types of staff just by adding them together. The institution providing the service would more easily provide this cost analysis.

Note, however, that this calculation does not include the cost of staff benefits. These costs can be considerable. It is recommended that the cost of benefits be included in cost analyses in order to obtain more accurate data. The U.S. Bureau of Labor Statistics reported that in September 2011 employee benefits represented between 29.1% and 31% of employer compensation costs.³³ The institution may make actual cost information available, or standard percentages may be defined for this purpose. Simply add these costs to the staff costs in the equations above.

The cost of supplies used in task performance can be included in the calculation. These costs can be derived for a workflow by dividing the cost for the supplies by the number of items in the supplies. These figures can then be added to any of the equations above to reflect more accurate costs.

Overhead costs may or may not be taken into consideration. Direct costs can be attributed to a specific activity or cost center. Indirect or overhead costs cannot be assigned to any one activity, but rather support an array of activities. This category can include activities such as clerical support and administration, building furnishings, postage, telephones, and rent.³⁴ Traditionally these costs are allocated based on the percentage of labor costs. If, for example, 60% of the unit's salaries are connected to the activity under study, then 60% of the unit's indirect costs would be assigned to the total cost.³⁵ Generating these figures is a complex process that requires effort and expertise, but some cost estimations require them.

Finally, if it is not always possible to start by knowing exactly what it costs to perform a function, there are other ways of estimating costs. For example, find out what a vendor charges for the task and consider if that is appropriate. This may not be the most accurate method, but in some circumstances it will suffice. Another source is data reported in the literature. According to Robert M. Hayes and Virginia A. Walter, analogies can also be made from comparable tasks.³⁶

WRITING A MEMORANDUM OF UNDERSTANDING

It is highly recommended that a memorandum of understanding (MOU) be created

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between two collaborating institutions. However, there is little information available in library literature on what to include in a memorandum of understanding for cross-institutional collaborative projects, and therefore information on crafting an MOU for outsourcing technical services has been examined. According to James Kopp, the MOU provides a method of establishing and documenting partnerships.³⁷ Expectations are clearly defined when the project partners take the time to create an MOU. The MOU can be a very simple document or a highly detailed one, and the necessary level of complexity for the MOU should be defined by the nature of the project, and by the relationship between the two institutions.³⁸ Even projects that do not involve monetary payments could be guided by an MOU. According to Shelia Pantry and Peter Griffiths, the specifications should be flexible enough to allow for changes and unforeseen roadblocks, but specific enough to allow monitoring.³⁹ Also, many MOUs suffer from excess focus on the quantitative aspects of the agreement while, “what is more useful is a focus on the quality of the service.”⁴⁰ Shelia Pantry and Peter Griffiths recommend that outsourcing agreements state what is needed in a service statement, define the mechanics and process of fulfilling those needs and describe the quantities of work to be handled and the ways of measuring them.⁴¹ All of this applies to collaborative projects.

David Ball recommends that an MOU include information about: the duration of the agreement, concretely defined deliverables and methods, manager and contract names for both parties, quality assurance measures, costs and resources.⁴² Defining a schedule and timeframe for completion, including turn-around times will help both institutions manage the project. If the library is charging for the work, define how payment will be made, and which accounts the money will be paid to. Pantry and Griffiths suggest that a glossary might be included for more complex agreements to prevent term confusion.⁴³ Turnaround times need to be defined.⁴⁴ Hirshon and Winters point out that there may be boilerplate language that the library requires be included in any agreements. Check with the library administration to see if this is the case.⁴⁵

PROJECT EVALUATION AND ASSESSMENT

Once the project is implemented, periodic maintenance is required. Communication is the key to a successful implementation. Regularly scheduled meetings, targeted e-mails, and phone calls enable discussions of project status, progress, and problems. Both parties must remain flexible and open-minded as unexpected situations could occur. Full production may not be the same as a beta test. The original timeline or workflow may require changes. Evaluative measures such as

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benchmarks and timetables should be agreed on in advance. Provisions also need to be made that enable needed changes, or the cancellation of the project.

Periodic and ongoing evaluation and assessment is important. This gives project participants the opportunity to assess how things are going and to make modifications as needed. Changes in procedures may be required by something outside the purview of the libraries. For example, there might be a rule or standards change, a vendor problem, or other outside influence. Or an internal change at one of the libraries could occur, such as a staff change or an open position. Institutions can avoid frustration and problems by having scheduled times for communication and assessment.

CONCLUSIONS

Collaboration represents a bright future for libraries struggling to meet tight budgets. Cross-institutional collaborative projects are happening throughout North America, and technical services librarians are becoming involved. The CollaboraTeS Toolbox is an attractive alternative because it focuses on providing the information and tools needed to foster smaller grassroots projects that could be initiated between individual libraries. Using the tools outlined in this model other consortia or institutions could consider collaborating cross-institutionally.

Creating an inventory of technical services expertise would be useful for identifying new collaborative partners. Facilitating the discovery of collaborative partners is a key factor in facilitating collaborations. Simply seeing where expertise exists can stimulate activity. The authors recommend the development of regional inventories for this purpose.

Environmental conditions such as management styles, work cultures and consortial environments have been found to impact collaborative projects. Some of these factors are givens, or even barriers, but environmental conditions can be improved. It is recommended that technical services librarians look to the literature on change management as a resource.

Many of the best practices used to manage internal workflows, consortial relations and outsourcing projects can be applied to cross-institutional projects. By applying knowledge from one arena of librarianship to another, librarians will better manage collaborative projects. Technical services librarians know how to manage people and projects and they can apply these skills to collaborations.

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Increasing skills in costing models, financial management and the creation of MOUs are recommended for those new to cross-institutional collaborations. Additional information is available in business financial management literature and in library technical services outsourcing literature.

The next chapter for CollaboraTeS involves making OhioLINK institutions more aware of the resources that are available for collaborative technical services. Selling collaboration takes ongoing work. Without constant reminders, it is too easy to forget that partnerships need to be developed, nurtured and expanded. Work will include finding ways to make information available and reminding potential users of the successes that have been achieved so far.

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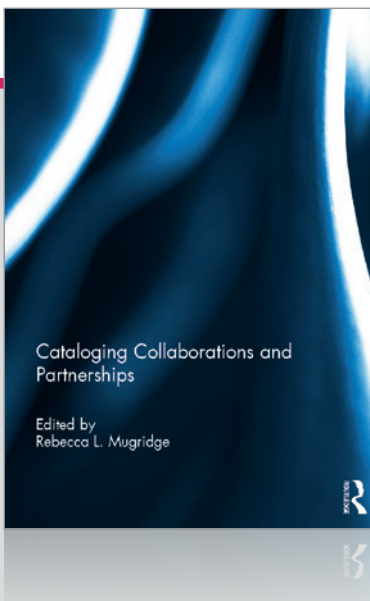
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CHAPTER

6

THE VALUE OF COLLABORATION AND PARTNERSHIPS IN CATALOGING

Rebecca L. Mugridge



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Cataloging Collaborations and Partnerships
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THE VALUE OF COLLABORATION AND PARTNERSHIPS IN CATALOGING

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Public and academic libraries are facing ever greater challenges to their budgets, directly impacting the work that they do. The American Library Association reported in the 2012 State of America's Libraries that "[a]cademic librarians and their colleagues in higher education in the United States also continued to navigate a 'new normal,' characterized by stagnating budgets, unsustainable costs, increased student enrollments, and reduced staff."¹ Similarly, the 2010–2011 Public Library Funding & Technology Access Study revealed that "[a] majority (59.8 percent) of public libraries reported flat or decreased operating budgets in FY2011, up from 56.4 percent in FY2010 and 40 percent in FY 2009."² The study also found that "[a]lmost two-thirds (65 percent) of libraries anticipate flat or decreased operating budgets in FY2012."³ In this environment, collaboration among libraries and other organizations can be a strategy to address our changing needs. Collaboration allows libraries to achieve more by sharing staff resources and sharing the burdens of cataloging projects and new initiatives.

There are additional benefits to collaboration. Libraries with small staffs can learn from each other and achieve more by combining resources. Such efforts bring more ideas to the table, enhance creativity, and increase librarians' ability to solve problems. As Leonard Cohen stated in a recent New York Times Magazine interview: "You have to find an engine for change. And that's what collaborative work does. Whatever we do together will make us different."⁴ While Cohen was speaking of musical collaborations, the sentiments hold true in our environment. Through collaboration, our work processes are different than they would be if we worked alone, our thought processes are different because ideas that we might not have thought of are shared, and our solutions are different than they might have been otherwise. Some collaborative efforts are not in response to budgetary challenges; rather, they are initiated because the projects are so large that they require expertise, input, and participation from a variety of organizations or individuals. Some of the articles in *Collaborations in Cooperative Cataloging and Authority Initiatives*, the first section of this issue, illustrate the need for contributions by national and international participants.

The topic of this special issue of *Cataloging & Classification Quarterly*, "Cataloging Collaborations and Partnerships," is an extension of the special issue that I guest-edited in 2010, "Cooperative Cataloging: Shared Effort for the Benefit of All." After that issue was completed, I began to think about how cataloging units collaborate beyond the cooperative cataloging programs that we are all familiar with, such as the Cooperative Online Serials Program (CONSER), the Monographic Bibliographic Record

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Program (BIBCO), the Name Authority Cooperative Program (NACO), and the Subject Authority Cooperative Program (SACO), to name some of the more well-known programs. Attendance at professional conferences reveals that there are many collaborative efforts underway across the country and internationally. However, an initial search in the Library Literature & Information Science Index of the keywords “cataloging” and “collaboration” brought up only twelve articles, only some of which addressed the types of collaborations that I was interested in exploring. For this special issue, I hoped to explore collaborations with vendors or utilities, collaborations with other libraries or consortia, collaborations between public and academic library cataloging units, collaborative development of new systems, collaborative development of standards, and international collaborative efforts, to name a few. I was also interested in the assessment of collaborative efforts, the advantages and disadvantages of collaboration, and the costs and benefits of collaboration.

I am very pleased with the quality and caliber of articles in this issue, which is the result of eighteen months’ effort that began with a call for proposals in the summer of 2011 and ended with the twenty articles in this special issue. These papers cover the broad spectrum of topics in the previous paragraph, and also include a number of additional topics. They are organized into five broad sections: Collaborations in Cooperative Cataloging and Authority Initiatives, Collaborative Cataloging Initiatives, Collaborations in Merging and Migrating Online Catalogs, Collaborative Development of Training and Documentation, and Collaborative Approaches to Special Projects.

In the first section, Collaborations in Cooperative Cataloging and Authority Initiatives, four articles address national or international efforts to create or improve authority files or bibliographic databases. The first is Janis L. Young and Yael Mandelstam’s “It Takes a Village: Developing Library of Congress Genre/Form Terms,” which describes the Library of Congress’ efforts to involve the library community in the creation and development of the genre/form thesaurus. Following is “The Electronic Cataloging in Publication Cataloging Partnership Program: A Model for Cooperative Cataloging for the Twenty-First Century” by Karl E. Debus-Lopez, Diane Barber, Caroline Saccucci, and Camilla Williams, which documents the development of the Cataloging in Publication (CIP) program and its evolution to include and process electronic applications. In the third article in this section, “The International Standard Name Identifier (ISNI): The Evolving Future of Name Authority Control,” authors Andrew MacEwan, Anila Angjeli, and Janifer Gatenby detail the effort to create the ISNI database and identify future development needs. The final article in this section describes a collaborative effort between public and academic libraries. In “Public and

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Academic Library Cataloging Collaboration in Ohio's NACO Funnel Project," Melanie McGurr, Catherine Mason, and Michael Monaco describe the steps they took to rejuvenate the Ohio NACO funnel project, providing insight into the different needs and workflows of public and academic libraries.

The second section, Collaborative Cataloging Initiatives, includes four articles that explore creative solutions to sharing cataloging expertise within a single institution or among multiple institutions. The first article in this section, James Soe Nyun, Karen A. Peters, and Anna DeVore's "'Insourcing' of Cataloging in a Consortial Environment: The UC Santa Barbara–UC San Diego Music Copy Cataloging Project" describes how the staff with music cataloging expertise at one University of California (UC) campus were matched with a need for expertise at another UC campus, resulting in a workflow that allowed for more efficient cataloging of sound recordings. In "Collaborative Batch Creation for Open Access E-Books: A Case Study," Philip Young, Rebecca Culbertson, and Kelley McGrath write about an issue that is challenging many libraries: how to acquire good quality cataloging records for a collection of e-books. The third article in this section outlines a project between an academic library and the U.S. Government Printing Office. "Partners in Collaborative Cataloging: The U.S. Government Printing Office and the University of Montana," by Teresa M. Keenan, Jennie M. Burroughs, and Suzanne Ebanues, describes how they worked together to catalog pre-1976 United States Forest Service publications, thereby increasing access and providing the file of records as a resource for other libraries to acquire and load into their online catalogs. In the final article in this section, "Cataloging on Receipt for Monographs: Merging Cataloging and Acquisitions Functions at UCLA," authors Peter Fletcher and Roxanne M. Peck discuss a collaboration between two library departments that resulted in increased cataloging efficiency.

In the third section, Collaborations in Merging and Migrating Online Catalogs, three articles provide insight into the complications and challenges inherent in managing online catalogs, especially when there are multiple institutions involved, as is the case in two of the articles. Susan Jane Heron, Betsy Simpson, Amy K. Weiss, and Jean Phillips describe the process of merging the online catalogs of eleven state universities in Florida into one catalog in "Merging Catalogs: Creating a Shared Bibliographic Environment for the State University Libraries of Florida." Rosemarie Runcie describes a similar project, but with a uniquely international perspective, in "Collaborative Cataloging within a Centralized Network: The Case of the University of the West Indies, Mona Campus." The final article in this section, "Cataloging in a Remote Location: A Case Study of International Collaboration in the Galapagos

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Islands,” by Sally Taylor, Kristin Jacobi, Elizabeth Knight, and Dale Foster, describes the efforts of the Corley Smith Library at the Charles Darwin Research Station to migrate from the OpenBiblio integrated library system (ILS) to Koha, an open-source ILS. While many readers will be interested in the increasingly-popular Koha ILS, I suspect that many others will find the collaborative management of the Corley Smith Library to be equally fascinating, as it is managed by a rotation of international volunteer librarians who work in collaboration with local staff and volunteers.

The fourth section, Collaborative Development of Training and Documentation, includes four articles that describe efforts to provide training and documentation to librarians and staff in a variety of environments. Margaret Beecher Maurer, Julia A. Gammon, and Bonita M. Pollock describe the efforts to encourage inter-institutional collaboration through the development of an online “toolbox” in “Developing Best Practices for Technical Services Cross-Institutional Collaboration.” I am very pleased to have the opportunity to share the second article in this section, “Building Cataloging Capacity for Libraries in South Sudan: A North–South–South Collaboration,” by Eliz Nassali State and Anne Bjørkum Åsmul. Through their description of the collaboration among academic libraries in Norway, Uganda, and South Sudan, they reveal the true power of collaboration; it is all the more exciting as this collaboration took place in the world’s newest country, South Sudan. In the third article in this section, “Collaboration at the Troy University Libraries,” Erin E. Boyd, Olga Casey, Ruth Elder, and Jana Slay describe their efforts to develop a wiki to share cataloging and other policies and procedures, effectively addressing the challenges inherent in training new staff, ensuring consistent practices, and merging libraries. Finally, Patricia K. Falk, Elizabeth Hertenstein, and Stefanie Dennis Hunker share their experiences collaborating to create and update documentation in a distributed cataloging environment at Bowling Green State University in “Catalogers Unite! Creating Documentation through Collaboration.”

The final section, Collaborative Approaches to Special Projects, includes five articles that cover topics from digital projects to campus outreach efforts. The first article in this section, “Collaborating Over the Centuries: Creating the What Middletown Read Database,” by Katharine Leigh, describes a collaboration between the Muncie Public Library and Ball State University to turn century-old library records into a valuable historical database. In “Integrating Image-Based Research Datasets into an Existing Digital Repository Infrastructure,” authors Hannah Tarver and Mark Phillips explore the challenges of collaborating with researchers to provide access to datasets in the University of North Texas Digital Library. A collaboration between an academic library

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and a campus information technology unit is the focus of the third article in this section, "Collaborating with Information Technology: Implementing Web Search at the University of New Mexico," by S. Y. Zoe Chao and Rebecca Lubas. In "Collaborative Initiatives in Error Handling and Bibliographic Maintenance: Use of Electronic Distribution Lists and Related Resources," Ian Fairclough demonstrates how individual initiative can lead to collaborative efforts that benefit many. Finally, Anne C. Elguindi and Alayne Mundt Sandler write about how a campus-wide collaboration resulted in the use of the ILS to provide access to resources and equipment housed in departments across the American University campus in "The ILS as Outreach: Cataloging Campus Partner Collections."

I am pleased that these important and, in some cases, historic, collaborations are now documented for all of us. I believe that they are both instructive and inspiring, and will help current and future librarians explore creative means to solving problems and sharing those solutions.

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LIBRARIES BEYOND THEIR INSTITUTIONS

- Cooperation Outside of Institutions
- Building Bridges: A Research Library Model for Technology-Based Partnerships
- Library Consortia: Do the Models Always Work?

The following is excerpted from
Libraries Beyond Their Institutions

By Rita Pellen and William Miller

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Introduction: Cooperation Outside of Institutions

For this volume, we were interested in exploring external cooperation beyond participation in OCLC or other bibliographic utilities. We wanted to discover the variety of ways in which libraries cooperate with non-library entities outside of their own institutions, such as community organizations, governmental agencies, vendors, or city governments. It is the rare library that exists in a vacuum; most are part of a system, such as a university or a municipality, and all libraries exist in a broader societal context which requires interaction and cooperative activity. In order to best serve those who need them, libraries must cooperate widely with entities other than themselves.

These articles on cooperative activities between libraries and entities beyond the institutions of which they are a part span a very wide spectrum indeed. Janet Nichols, Lothar Spang, and Kristy Padron discuss collaborative activities between their library and K-12 educators to promote information literacy. Carolyn Snyder, Howard Carter, and Mickey Soltys discuss a variety of partnerships between their academic library, regional education consortia, and OCLC, as well as within their own institution. For instance, they have developed 14 courses for the Online Lyceum, a project of the Association of Research Libraries which creates online learning opportunities and helps institutions save money on travel costs for professional education. Elizabeth Curry, a professional consultant, discusses her work on a state-wide project to train librarians to lead collaborative community projects.

David Wright discusses problems and successes in creating a consortium of private institutions in Mississippi, for the purpose of acquiring licensed elec-

[Haworth co-indexing entry note]: "Introduction: Cooperation Outside of Institutions." Miller, William. Co-published simultaneously in *Resource Sharing & Information Networks* (The Haworth Information Press, an imprint of The Haworth Press, Inc.) Vol. 18, No. 1/2, 2005/2006, pp. 1-3; and: *Libraries Beyond Their Institutions: Partnerships That Work* (ed: William Miller, and Rita M. Pellen) The Haworth Information Press, an imprint of The Haworth Press, Inc., 2005/2006, pp. 1-3. Single or multiple copies of this article are available for a fee from The Haworth Document Delivery Service [1-800-HAWORTH, 9:00 a.m. - 5:00 p.m. (EST). E-mail address: docdelivery@haworthpress.com].

tronic information at favorable prices. Also focusing on consortia, Maris Hayashi considers the relationship of individual librarians to library cooperatives, and how a mutually beneficial relationship can exist to enhance service at member libraries, especially as consortia provide opportunities for training.

Just as Flynn, Gilchrist, and Olson discussed assessment as an internal institutional process in our earlier volume on cooperation within institutions, *Libraries Within Their Institutions: Creative Collaborations*, Martha Kyrillidou discusses it as an external collaboration as she describes ARL's Statistics and Measurement Program, which is an "active collaboration at the national and international level," involving partnerships with the National Center for Education Statistics, NISO, ALA/ACRL, ASERL, IFLA, SCONUL, and other entities.

Nancy Kranich considers the role of libraries in promoting civic engagement, educating citizens, and bringing them together to strengthen participation in democratic processes. Kenning Arlitsch, Nancy Lombardo, and Joan Gregory discuss sharing their institution's resources with overseas partners, with a particular focus on interlibrary loan and health science resources. Romelia Salinas and Richard Chabrán describe their very innovative efforts, as librarians with university support, to work with Hispanic community groups and prepare them for the integration of digital information into their work. Julie Todaro provides a "who, what, when, where, and why" of community collaborations for libraries.

Julia Kelly and Louise Letnes describe the development of AgEcon Search, an "alternative method of delivering research results to many potential users." This web resource, the result of cooperation between academic institutions, academic libraries, professional associations, and government agencies, disseminates the grey literature of agricultural and resource economics. Charles Humphrey describes a collaboration between Canadian academic libraries and Statistics Canada on a data literacy program designed to foster more informed use of available data.

Claudine Jenda describes the extensive network of U.S. Patent and Trademark Depository Libraries, and the collaborative partnership between the Patent and Trademark Office and these libraries. Finally, Ken Marks details a process of collaboration between his library and a commercial vendor, to test and implement a new inventory control product.

Taken together, the articles in this volume illustrate the remarkable range of cooperative activities in which libraries are engaged, locally, nationally, and even internationally. Increasingly, we see librarians realizing that their institutions are part of the total fabric of society, and need to be linked in a variety of ways to the world around them, and not only by participation in bibliographic

utilities. There is a growing understanding of the key role libraries have in the development of civil society, and a realization that we have an obligation to enhance the integration of digital information, not only for students in academic settings, but also much more broadly throughout all levels of society. We applaud this activist stance as librarians reach out to cooperate, both within their local context and beyond.

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Building Bridges: A Research Library Model for Technology-Based Partnerships

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SUMMARY. The nature of technology-based collaboration is affected by the changing goals and priorities, budgetary considerations, staff expertise, and leadership of each of the organizations involved in the partnership. In the context of a national research library, this article will describe Southern Illinois University Carbondale Library Affairs' partnerships with campus organizations such as Information Technology, with Illinois regional education consortia, and with national organizations including the Association of Research Libraries and OCLC, Inc. *[Article copies available for a fee from The Haworth Document Delivery Service: 1-800-HAWORTH. E-mail address: <docdelivery@haworthpress.com> Website: <<http://www.HaworthPress.com>> © 2005/2006 by The Haworth Press, Inc. All rights reserved.]*

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INTRODUCTION

Library Affairs (the Library College) at Southern Illinois University Carbondale has extensive experience with technology-based partnerships on campus and outside the University and is illustrative of the service opportunities and challenges of such collaborative efforts. These partnerships have been impacted by important factors in each participating organization including changing goals and priorities, budgetary considerations, staff expertise, and leadership. Within the mission of the university, the Library Affairs' focus has been on service to library users and significant contributions to regional and national cooperation. The Library has embarked on several major partnerships and on a number of more focused collaborative activities. Some continue today with minor modifications, while others have changed significantly, and others no longer exist.

CAMPUS PARTNERSHIPS

Library Affairs began engaging in technology-based partnerships in the early 1990s. The partnerships and collaborative endeavors have been possible because of a series of strategic decisions by the Library to update the staff and equipment of the outdated Learning Resources Center. The unit was renamed the Instructional Support Services (ISS) Department and was refocused to include the expertise and resources to lead in the development of technology-based services to support teaching faculty, teaching assistants, and other instructional staff. At the same time, expertise and equipment within the Library Systems Services Department were significantly upgraded and expanded to enable Systems to develop state-of-the-art technology-based services. These changes required the support of the Vice President for Academic Affairs and other campus administrators. Library resources were reallocated, and new funding was secured from the campus and from outside the university. While this has been an evolving process, these significant organizational and staffing changes were made by the end of 1992.

The restructuring of its instructional support services positioned the SIUC Library for technology leadership on campus and for the first of a number of creative partnerships in the technology area. The initial focus was on collaboration with organizations and individuals on campus with the goal of enhanc-

ing technology-based services for Library users. In 1992, Library Affairs entered into a significant partnership with Computing Affairs (now Information Technology). Although these two units report to two different campus vice-chancellors, they have developed successful collaborations while maintaining their separate organizations. Since these two organizations each have their own culture, priorities, and budget conditions, this creates challenges that have affected the overall continuity of the partnership.

A recent literature search yielded little information about collaboration between separate library and IT units. The Coalition for Networked Information (CNI) has taken a leadership role in supporting and publicizing collaboration between libraries and information technology units with various campus organizational structures. Some examples were described at the CNI Fall 2000 Task Force Meeting project briefings where presenters included representatives from Dartmouth College and Mount Holyoke College. At Dartmouth, a joint library/IT planning process resulted in the development of the concept and design for a new library wing, housing both library and computing services, such as the reference desk and academic computing consulting services. Mount Holyoke participated as part of CNI's initiatives to provide a structured environment for institutional teams to develop collaborative projects related to networking and networked information resources (CNI, 2000).

Other successful collaborative projects include the Information Arcade at the University of Iowa, the development of campus information policies at the University of North Carolina, Chapel Hill, and new courses in the CNI's New Learning Communities program (Lippincott, 1998). Northwestern University renovated an entire floor of its main library in 2001 and located the primary departments for direct support of faculty in one cooperative space. This joint effort brought together the library's collection management function with academic technologies and digital media services (Snyder, Carter, and Soltys, 2002). The University of Washington Libraries were recognized as the 2004 university winner of the Association of College & Research Libraries Excellence in Academic Libraries Award for their *Uwired* effort that "highlights the effectiveness of the libraries in working collaboratively with other campus offices to promote and support effective uses of technology in teaching and learning" (*College & Research Libraries News*, March 2004).

At SIUC, the first collaborative Library and Computing Affairs technology project was the joint development of the campus-wide information system (CWIS) and the subsequent development of the Library's own information network, LINKS. "CWIS and LINKS gave SIUC students, staff, and faculty the improved ability to retrieve information about campus activities, and provided unprecedented access to library materials at this institution and at other research libraries" (Snyder, Carter, and Soltys, 2002).

Library Affairs and Computing Affairs formed a team named CIRCA/2001 for the development of CWIS and other collaborative endeavors. Six Computing Affairs staff led by an assistant director moved to the Library where they shared space with library members of the team led by an assistant director/associate dean. Team members from both organizations shared space in the newly renovated area that had previously housed the card catalog. The renovation was funded by the campus administration, and the partnership had support from the highest administrative levels. CIRCA/2001 continued at full strength into the mid-1990s with a focus on network access to information resources. Because of changing Information Technology (IT) priorities, the team operated at a reduced level in the late 1990s. During this period, most joint services were eliminated, reduced in scope, or provided solely by the Library.

In January 2001, IT and Library Affairs again agreed to strengthen their collaborative activities to enhance services for campus faculty, students, and staff. Members of the IT staff moved to the Library in 2001 with the goal of forming a cohesive team with Library staff. The newly named Academic Technology Center (ATC), located in the Library, brought together the services of the IT Customer Service Center (CSC), Library Affairs Instructional Support Services (ISS), and Library Affairs Systems Services. CSC is the IT central point of contact for campus computer users. The CSC staff troubleshoots computer and connectivity problems for faculty, students, and staff. The ISS mission is to assist instructors in employing technology to meet their teaching objectives. ISS provides such services as custom web programming, web course development, digital imaging and graphics, distance learning, instructional development, instructional evaluation, instructional technology support, technology tools and resources, video production, and interactive video support (Carter and Rundblad, 2003). Library Systems Services is responsible for the Library's computer workstations, networks, and servers. It also provides technical support and training to Library staff and others.

The ATC focus reflected the changes in campus technology that had occurred during the previous decade and the changing needs of the campus community. The first project the ATC team addressed was the urgent need for training in the routine use of popular desktop software, such as word processing, spreadsheet, and database programs. Training in these widely used products was not available anywhere on campus. Using the Library Affairs seminar series (for bibliographic and computer instruction) as a model, two-hour workshops were offered with no charge to faculty, students, staff, or other patrons. Teams comprised of one IT person and one library staff member designed and taught each ATC seminar. The effectiveness of ATC during its first year was documented in the evaluations of the seminars (Snyder, Carter, and Soltys, 2002), changing priorities, reduced staff budgets, and personnel

turnover resulted in the withdrawal by June 2003 of most IT participation in the seminar series.

However, the ATC found other partnership opportunities to exploit. In one case, an instructional designer assigned to the CSC was relocated to work full time in ISS to use her instructional development expertise. She assisted instructors in designing and developing web-based components for their courses. This arrangement continued for about a year until the person left the University. Another example is the cooperation between the WebCT administrator in ISS and the Help Desk in CSC to assist students and instructors with WebCT-related problems, such as resetting passwords and providing access to course materials. Members of the IT staff also worked with members of ISS to write a document to provide campus guidelines for the development of accessible web pages. It explained the applicable standards and provided tips to web developers for achieving those standards. The document was made available on the ATC web site.

In 2003, IT and the Library expanded their cooperation across the campus in support of a Chancellor's initiative allocating \$1 million a year to improve the University's teaching and learning environment and to enhance the quality and increase the quantity of instructional technology equipment in auditoriums and classrooms. Some of the money was designated to improve the physical characteristics of the classrooms including seats, flooring, lighting, and ADA compliance issues. IT and Library staff members worked with representatives of Plant and Service Operations, faculty members, consultants, and vendors to design the instructional technology system configuration and implement the installation of the new equipment.

Library Affairs has had considerable responsibility for classroom support for half a century. Its ISS Department manages the operations in Lawson Hall, a facility with 4 large auditoriums each seating approximately 280 persons and 6 smaller auditoriums each seating about 75. ISS also delivers audiovisual equipment to classrooms and auditoriums across campus. The Chancellor's initiative included placing new podiums, computers, projectors, video equipment, and smart technology in 21 large auditoriums including Lawson Hall and in 22 smaller classrooms. Academic departments were given the responsibility for managing and maintaining 11 of the classrooms used primarily by their students. ISS supports and maintains equipment in the large auditoriums and remaining general use classrooms.

While collaboration between library and technology organizations has been important for the last decade, it is essential in the current economic environment of public institutions of higher education such as SIUC. Duplication of services and expertise is not fiscally responsible and often not possible financially. The foundation for successful collaboration has been built between

Library Affairs and IT. Other opportunities exist for partnerships with other facilities on campus that provide technology support to students and faculty. One promising area for further cooperation involves ISS and the New Media Centers (NMC) in the Colleges of Liberal Arts and of Mass Communications and Media Arts. In the early 1990s, Library Affairs collaborated with the two New Media Centers to support and assist faculty in the incorporation of technology into courses. The NMCs have continued to work closely with IT, but the early collaboration with the Library did not continue.

The NMCs are physically located in each college's building. They provide students and faculty of the two colleges the functionality that is focused on needs related to the curriculum and specialties of the particular college and its departments. Since the New Media Centers are primarily self-help facilities, the Centers' staff members primarily insure that the equipment functions properly and that the facilities are secure. Although substantial initial funding for the NMCs came from the New Media Consortium, a not-for-profit organization established in 1993, funding is now the responsibility of each college. As part of a campus planning and budget task force study, leaders from ISS and the NMCs have discussed ways to realize efficiencies and eliminate duplication of services. Preliminary findings are that the services not driven by functionality should be directed to ISS, since ISS has the resources and provides services to all of the campus. NMCs have the functionality but are too under-funded and under-staffed to provide many services, such as web page creation and web hosting. At some future time it may be possible and desirable to combine the IT labs, NMCs, and ISS as a campus-wide resource center providing services and functionality to students, faculty, and staff.

Library technology collaboration with faculty and students was extended in 1993 by the implementation of the Geographic Information Systems service unit. The Library had convened a group of SIUC GIS users who, at their first meeting, expressed the need for a coordinator of GIS activities on campus. They noted that the Library seemed a likely choice because of its centrality and status as a repository of data available to all. The Library then hired an expert in geography with responsibilities that included the convening of regular GIS user meetings to keep members abreast of developments on current projects and thereby assist them in avoiding unwanted duplication of effort and expense (*Zetetikos*, 1994). The GIS services continue to be effective because they meet the users' current research and curricular needs. The Library's GIS expert provides training to a number of departments ranging from Administration of Justice to Zoology and assists faculty and students with data displays for their research and presentations. He also works with area high school teachers to conduct GIS orientation sessions for their classes.

REGIONAL COOPERATION

On the regional level, collaboration with community colleges in the southern third of Illinois and the SIU Edwardsville campus has been a significant activity for the last decade. Starratt and Hostetler (1997) wrote

The Library has taken an often unique, integrative role in affording distance learning opportunities within SICCM (Southern Illinois Collegiate Common Market) and SIHEC (Southwest Illinois Higher Education Consortium) as it provides much more than traditional library services to the university and to the distance learning program. Library Affairs is solely responsible for the technical, instructional development, and administrative aspects of delivering SIUC's distance learning efforts within the two consortia, as well as for working with its partners to deliver library services to its remote users. Many of the Library's services which directly support the distance learning program have been centered in the SIUC Library since the late 1940's; others, however, have a more recent origin and reflect the Library's efforts to reallocate resources to new technology in recognition of shifts in the teaching, learning, and research environments. (pp. 21-22)

Library Affairs at SIUC was designated as the "hub" for an interactive video network for SICCM, one of the ten Illinois higher education consortia. Library Affairs faculty and staff led in providing distance learning training through the Regional Center for Distance Learning and Multimedia Development established in the SIUC Library in 1994 and active through 2003 when funds from the Illinois Board of Higher Education were no longer available. Faculty and staff from 12 southern Illinois community colleges and nearly 40 high schools received training through the Regional Center. The SIUC Library faculty and staff continue to supply the expertise for development of the interactive video network and for technical support for SICCM-member institutions. More recently, the distance learning technical staff in Library Affairs provided the expertise for development of an Internet-based (H.323) configuration for the SICCM distance learning initiative. The interactive video network continues to provide the technology for a significant amount of the distance learning activity in the SICCM service region; the Internet-based network provides a viable and inexpensive gateway to other Illinois instructional and state agencies. This regional cooperation is also an illustration of changing priorities and funding patterns. While the technology support from SIUC continues, the instructional development support is now the responsibility of

the individual community college campuses (Snyder, Carter, and Hostetler, 2004).

Another way to build partnerships is to find new ways to use existing capabilities. The currently under-used interactive video network is a case in point. A cooperative effort has recently begun that involves the University's Disability Support Services (DSS), Division of Continuing Education, IT, and the interactive video staff in ISS, to provide remote sign language interpreting using its video network capability. DSS identified the need to provide American Sign Language interpreting services around the region but is fiscally restrained from sending interpreters to remote locations. The video network allows for the transmission of synchronous interpretation to remote sites by SIUC-based interpreters. Using ISDN-based (telephone) and IP-based (Internet) technologies, qualified sign language interpreters can support deaf and hard-of-hearing people in classrooms, meetings, and events across the state or virtually anywhere in the country without leaving the SIUC campus. The receiving location can view the interpretation on a video or computer monitor or video projection system. Demonstration tests conducted with an Illinois community college and another with a Missouri university received unanimous praise for the service.

NATIONAL COLLABORATION

Partnerships have been established with institutions beyond the campus or the region. In 1999, Library Affairs began an innovative project to create web-based professional development opportunities for the national and international library community. The Online Lyceum is a collaborative partnership between Library Affairs and the Association of Research Libraries' Office of Leadership and Management Services (ARL OLMS). This initiative provides a learning environment that integrates the innovative use of technology at SIUC with time-tested content from ARL and OLMS. This collaboration is the outcome of ARL's exploration of distance education options and a strong commitment by the Library Affairs Dean and the ARL Executive Director to support the new initiative. The Online Lyceum was designed to help institutions save money on travel costs for professional education, provide opportunities for librarians to enhance technology skills, and provide an anywhere, anytime learning environment (*Zetetikos*, 2000).

To date, fourteen courses have been developed for the Online Lyceum. The first course, Training Skills Online, was developed over a period of three months during the spring of 1999 and successfully delivered in May. Content developers from ARL worked closely with web developers, instructional de-

signers, and librarians in ISS. Discussions centered around the methods that had been used to deliver the in-person course, web-based instructional tools currently available, and methods for continued communication and collaboration among the team members. A significant amount of time was devoted to working with content developers on the effective use of technology, including bulletin boards, chat rooms, e-mail, and electronic journal entries. Since 1999, OLMS has delivered a continuous schedule of Online Lyceum courses. As content has changed or technology has advanced, the ARL-ISS team has updated the courses and their functionality for completeness and currency. Revenue received for development of the ARL courses has allowed Library Affairs to fund personnel positions, upgrades to equipment and software, and other priority needs that could not be funded from the Library's regular budget. The outcome of this joint effort was not only the delivery of a successful series of online courses for ARL but also the development of a new model for collaboration in the online environment.

Other SIUC national collaborations have included the development of a copyright course with the American Library Association (ALA) and the development of a cataloging course for the Online Computer Library Center, Inc. (OCLC). The ALA project followed the model of the ARL Online Lyceum process with the ALA Copyright Office providing the content and ISS providing the instructional design and technical development. The completed course was delivered in 2001.

The collaboration with OCLC followed a different process. The director of the OCLC Institute wanted to provide an introductory course in the basics of the MARC bibliographic format by online delivery or in a stand-alone CD-ROM mode. Discussions were begun with ISS to create such a course in 2002 with the support of the Library Dean. Following a company re-organization, OCLC's vice president for member services was assigned responsibility for the OCLC Institute. The Institute has responsibility for seminars, workshops and other professional development learning events. A partnership was established in 2003 between OCLC, Library Affairs, and the Missouri Library Network Corporation (MLNC), an OCLC-affiliated network in St. Louis. OCLC designated Toolbook as the development software to be used. ISS created the content and the instructional design, and did the technical programming. MLNC provided content expertise. A prototype lesson module was developed by ISS and critiqued by representatives of OCLC, the MLNC, and ISS for content, tone, graphic style, and functionality in a meeting in St. Louis. Incorporating the feedback, ISS developed a six-lesson course with a course introduction, overview, and a glossary. At significant points of development, telephone conference calls were held for all partners to review, critique, and amend the course materials. The completed course was delivered in January

2004. OCLC then began conducting usability studies on the course. The revenue received from developing this course helped Library Affairs fund one programmer and one instructional design position in ISS for the duration of the project. OCLC hopes to market the course to its member institutions worldwide, and the contract specifies that Library Affairs will receive royalties for each sale of the course.

PARTNERSHIP CHALLENGES

The factors affecting the success and duration of local, regional, and national collaborations and partnerships include the changing goals and priorities, budgetary considerations, staff expertise, and leadership of each of the organizations. The CNI Working Together professional development program participants in a review of collaboration identified factors motivating collaboration and mitigating against successful partnerships in institutions. The group described the following motivating factors:

executive mandate in both merged units and in separate units, scarcity of financial resources, the desire to consolidate overlapping functions and activities, the need to incorporate the other professional group's perspectives into project design, the interdependence of librarians and information technologists, the need to develop new services in the networked environment, and overall institutional survival. (Lippincott, 1998, p. 84)

The CNI group also listed factors that mitigate against successful partnerships in their institutions. These factors include:

the significant amount of time needed to invest in successful partnerships, lack of financial resources for projects, "territory," campus geography (making face-to-face meetings or development of joint facilities difficult), personality conflicts, differences in organizational culture, lack of respect for the other profession, and failing to see the benefits of partnerships. (Lippincott, 1998, p. 84)

Whether collaboration is on the same campus or with regional or national partners, it requires considerable effort. Successful collaborations are the result of sustained commitment from all parties. While SIUC's technology-related collaborations have been extensive and multi-faceted in the pursuit of service excellence, they no doubt illustrate the factors affecting such collabo-

rations and partnerships in academic libraries. The changing goals and priorities of the Library and the other organizations involved have influenced the nature and continuation of each partnership and collaborative activity. The IT and Library partnership has ranged from strong and intense to reduced activity to a renewed sharing of expertise and physical proximity and is a good example. Changing leadership and staff, changing institutional environments, and changing organizational priorities have all had an impact on each Library partnership and collaborative activity.

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Library Consortia: Do the Models Always Work?

David A. Wright

SUMMARY. Successful models of statewide library consortia are evident in many locations. Academic libraries in independent institutions of higher education in Mississippi must seek alternate affiliations since they do not participate in the MAGNOLIA consortium for public institutions. What does the future hold, especially for database licensing for libraries that are not able to participate in a statewide project? Profiles of some existing and emerging consortia in other states are provided as potential models for the state of Mississippi. [Article copies available for a fee from The Haworth Document Delivery Service: 1-800-HAWORTH. E-mail address: <docdelivery@haworthpress.com> Website: <<http://www.HaworthPress.com>> © 2005/2006 by The Haworth Press, Inc. All rights reserved.]

KEYWORDS. Cooperation, Mississippi, consortia, college and university libraries, MAGNOLIA (Mississippi Alliance for Gaining New Opportunities through Library Information Access), PALMS (Private Academic Libraries of Mississippi)

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There are many successful models of statewide library consortia, some of which have been in existence for nearly three decades. But what happens when a state does not have a history of cooperation between institutions? What alternative strategies should libraries employ to gain the benefits of consortia when there is not a strong commitment to resource-sharing among various types of libraries? Libraries in independent institutions of higher education in the state of Mississippi face the future with these questions and the accompanying uncertainties in an attempt to provide quality information and resources to students and faculty.

In library consortia, there is strength in numbers. Numbers of libraries working together increase negotiating abilities with vendors. When the MAGNOLIA (Mississippi Alliance for Gaining New Opportunities through Library Information Access) project was formed in 1997 and funded by the state legislature, it was billed as linking more than 1,100 public, school, and academic libraries to EBSCOhost databases.¹ The Mississippi legislature funded MAGNOLIA under the Council for Educational Technology (CET), an entity established by the legislature in 1994 to advise on matters of technology related to several state educational partner agencies. All types of publicly supported libraries are represented by the agencies within the jurisdiction of CET. However, when the plans for MAGNOLIA were being formed, libraries in independent institutions of higher education and private elementary and secondary schools were not invited to participate.

In Mississippi, there are currently eight accredited independent colleges. Four of these institutions offer degrees beyond the baccalaureate level. Most independent academic institutions in the state are part of the Mississippi Association of Independent Colleges (MAIC). However, no forum exists at the state level for libraries in these institutions. When the MAGNOLIA project started, librarians from the independent colleges began to investigate the possibility of including the independent college libraries as a group within the MAGNOLIA project. Early in 1998, questionnaires were sent to each of the independent academic libraries to determine interest in participation in the statewide project. The surveys also collected information about the level of technology implementation present in each of the libraries as well as current database subscriptions. Librarians were asked in the survey if they were willing to seek technology funding for the independent academic libraries in the state in order to join the MAGNOLIA project.

The progress toward a joint venture between MAGNOLIA and the independent academic libraries came to an end in late 1998 when the independent academic institutions were informed that the CET and the MAGNOLIA Steering Committee had decided against including them in the MAGNOLIA project because the language in the legislation funding MAGNOLIA only in-

cluded publicly-supported libraries. At the same time, there was an indication the vendors for the MAGNOLIA project would be contacted to find out what it would cost to add the independent academic libraries. Starting to think of themselves as a group, the independent academic libraries began to use the acronym PALMS (Private Academic Libraries of MS) to indicate the informal consortium formed to become part of the MAGNOLIA project.

The following year, up-to-date information was gathered from the PALMS group, particularly full-time equivalent (FTE) enrollment figures from Fall, 1998. At the annual American Library Association conference in June 1999 all MAGNOLIA vendors were contacted and given the FTE information to request a quote for the PALMS group, based on central invoicing for the group through the MAIC office. Later that summer, the library directors of PALMS met to discuss the costs of licensing the equivalent databases in MAGNOLIA as a separate consortium. They also considered the option of working toward amending the legislation to include the independent academic libraries in MAGNOLIA. Unlike cooperative projects in other states, the small number of independent academic institutions made the process of attempting inclusion difficult and ineffective. PALMS librarians were encouraged to make their presidents aware of the need for access to the databases in MAGNOLIA and a PALMS presentation was made to representatives from independent institutions at a leadership meeting of the MAIC.

The amount required to replicate the MAGNOLIA databases for the PALMS group was daunting, especially for some of the libraries of the smaller institutions. Without grant funding, it would be impossible to license all the databases as a separate consortium without creating an excessive burden on both small and large libraries. A few of the larger PALMS libraries were already subscribing to some of the MAGNOLIA databases as individual libraries. Some of the libraries in the PALMS group were already participating in licensing certain databases through another informal consortium of libraries in state institutions of higher education coordinated through Mississippi State University.

One positive result for the PALMS group in the process of trying to become part of the MAGNOLIA project was increased communication between library directors in the independent colleges. Based on previous interactions with one of the MAGNOLIA vendors, the PALMS group secured a quote on a number of databases. Several of the libraries made a decision to go with the vendor for the databases because of the attractive price given to the group. For the last four years, the PALMS consortium has licensed databases as a group. While not all libraries in PALMS choose to participate, the licensing of databases is always open to every library in the group.

The small number of libraries active in the PALMS group is an obstacle for future projects and negotiations with database vendors. Several of the institutions have graduate level programs which require specialized and expanded resources beyond the scope of the databases that are currently licensed. While some databases are licensed through a statewide college and university library consortium coordinated by Mississippi State University, there are other database vendors which do not offer consortial pricing for such small groups.

According to Brooks and Dorst (2002), "a good academic library must accumulate and deliver information resources within a vastly expanded information universe that is available to every student and faculty member. And only libraries that employ consortial affiliations wisely and well will prosper."² Academic libraries in all types of institutions, public and independent, must work collaboratively to assure that students and faculty have access to needed information. For smaller independent colleges and universities, the need to collaborate is greater than ever before. The array of electronic resources available for licensing is growing at a rapid pace. In most cases, maintaining current levels of electronic information offerings is a challenge for library budgets. Libraries today cannot have a "go-it-alone" attitude and expect to offer more electronic resources. As Alexander (1999) points out, the cost of scholarly information will continue to rise and the quantity of information produced will continue to increase in the years ahead. Cooperative collection development has never been more important.³

There are a number of barriers to forming successful library alliances, either inside or outside a formal organized consortium. For the very small independent college or university, the major barrier seems to be financial. Even if a product can be licensed by a group, the individual institutional price may still be well beyond the affordability point for the library. In some states, there is a considerable difference between the size of the smallest and the largest independent academic institutions. Some institutions may offer graduate programs which require more specialized information resources. Depending on the pricing models used, larger libraries in the independent institutions may not benefit from a consortial pricing model since the pricing depends on the level of participation and some of the smaller institutions may not need the specialized resources.

Another potential barrier is that of political and organizational realities. Unless there is a platform for representation in library or other organizational issues for the independent colleges and universities at the state level, it is difficult to effect changes which can result in better representation. Librarians must see political realities as they are and work through existing structures to inform those in politically influential positions of the importance of including all libraries in state or regional consortia.

A crucial barrier to forming successful alliances is that of a lack of vision for the impact of a shared project on all citizens of a state or region. A provincial attitude is anathema to most librarians, who usually seek to reach out for the good of all of those who will benefit by increased access to information resources. "Consortia, which involve groups of libraries cooperating for mutual benefit," Alberico (2002) points out, "are a natural outgrowth of a spirit of sharing that lies at the foundation of all libraries."⁴ Lack of vision hampers planning wisely for the future. In a time of rapid change, libraries and consortia must have a vision of what is truly important and essential in the provision of services to faculty and students. Fortunately for independent academic libraries in most states and regions, library consortia have made some kind of provisions to incorporate the independent academic libraries into the planning processes.

The organizational jurisdiction, political alignment, and involvement of the state library agency are potential barriers to multi-type library consortia. The state library agency in most states is the agency that channels federal money to the public library jurisdictions in the state. Since the state agency has legal parameters for serving public libraries (and by default, libraries in public institutions of higher education), there may be a potential for "illegal" aid to libraries in independent (non-tax-supported) institutions of higher education. This legal status conundrum is sometimes a larger issue than it needs to be. Independent institutions participating in resource-sharing subsidize public libraries and public institutions of higher education by lending materials from their collections. In Mississippi, a significant portion of the enrollment in most of the independent colleges and universities are in-state residents with public library privileges (see [Appendix](#) for enrollment figures). Independent institutions contribute significantly to the economic life of the community and the state.

Licensing issues are also potential challenges for smaller independent college or research libraries. Most of these libraries do not have a staff librarian who is well-versed in the finer points of negotiating with vendors of electronic products. Vendor licenses may be filled with fine print often ignored by librarians or others responsible for signing the licenses. It is not necessarily negligence on the part of the librarian or other responsible party, but they simply do not realize all the implications of not understanding the complete terms of the license. The "strength in numbers" principle upon which consortia are founded provides librarians with the added ability to discuss the license negotiation process with others and the assurance that they can rely on those persons in the consortium who are knowledgeable about licensing procedures.

Some vendors of electronic databases have used pricing models based on FTE (full time equivalent) student enrollment counts. These models seem to work well in consortial arrangements where large and small institutions are

part of the mix. There are many databases which are priced as a package regardless of an institution's FTE count. These databases are seldom made available through a consortium license. Libraries in smaller colleges and universities may be faced with the dilemma of the high cost of databases when the usage is low. For one institution, a database may be the premier source in a given subject field, but due to a small number of undergraduate or graduate students in the subject field, the low use cannot justify the expense of the electronic resource. Libraries in similar situations must collaborate to bring pressure on vendors to offer consortium pricing based on FTE counts.

In the early days of library consortia a reason to join was the potential cost savings. While some research has documented overall cost savings as a result of consortial affiliations, a more significant reason to join consortia is that libraries are able to offer more databases and electronic information than they could as an individual library. According to Peters (2003), "alternatives to consortial collaboration include: unilateral activity by a library, bilateral agreements between libraries and publishers, aggregators, vendors, and service suppliers, unnecessary redundancy, and missed opportunities."⁵ The alternatives to collaboration are invariably negative. Since most libraries seek to affiliate with a consortium or consortia that will best meet the information needs of students and faculty, what are some existing models of cooperation?

There are several factors that seem to contribute to the success of library consortia. First of all, in states where a multi-type consortium has developed, there was already a strong history of cooperation. In Alabama, where the most recent development is the Alabama Virtual Library (AVL), the beginnings of cooperation, particularly between institutions of higher education, started with the Network of Alabama Academic Libraries (NAAL). At NAAL's inception, public and independent colleges and university libraries with graduate programs came together for cooperative projects. Later, independent academic institutions without graduate programs were added to the group. As Morgan (2001) documents, the foundation of the AVL was laid through the successful prior projects of NAAL and the coalition of state agencies brought together to lobby for the AVL.⁶

Another factor in the development of statewide multi-type consortia is special groups formed for libraries in independent higher education institutions. These groups either existed prior to the formation of the multi-type consortium or banded together to participate as a group in the multi-type consortium. There are examples from many states, including the Georgia Private Academic Libraries (GPALS), the Private Academic Library Network of Indiana (PALNI), and Ohio Private Academic Libraries (OPAL). In the cases of PALNI and OPAL, academic libraries also share a common vendor platform

for library systems. In Georgia, GPALS secured private foundation funding initially to join the statewide GALILEO project.

The incorporation of independent academic libraries into the LOUIS (Louisiana Online University Information System) project is recorded by Wittkopf (2002).⁷ In 1992 a task force of the Board of Regents was reorganized as the Louisiana Academic Library Information Network Consortium (LALINC). All academic libraries, both public and independent, constitute the membership of the consortium. Through initial grant funding, several of the libraries were automated using the software on the Louisiana State University Library mainframe computer. In 1999 LOUIS became the Louisiana Library Network, officially incorporating all public university, community, and technical college libraries as well as the independent colleges and university libraries.

The PASCAL (Partnership Among South Carolina Academic Libraries) project of the South Carolina Virtual Academic Library (SCVAL) is a recent example of the incorporation of public and independent academic libraries into a consortium. The PASCAL/SCVAL project is presently evolving, but information on the website indicates that there is significant progress toward the goals of PASCAL/SCVAL. State funding is being sought for various projects of the consortium. The PASCAL project goes beyond just licensing of databases. A union catalog, delivery service, and patron borrowing privileges from any participating library are also components of the project.

The academic libraries in South Carolina were organized into two groups for several years. The Library Directors Forum (LDF), established by the Commission on Higher Education, represented the public institutions. The Library Directors Council (LDC) represented the libraries of the South Carolina Independent Colleges and Universities. These two groups began to meet together to explore possibilities for cooperation. A Strategic Plan for South Carolina Academic Libraries is a result of the collaboration of these two groups.⁸

The Kentucky Virtual Library (KYVL), launched in 1999, was originated by the State-Assisted Academic Library Council of Kentucky (SAALCK). SAALCK's proposal for a virtual library became part of the planning for a statewide virtual university. The project evolved into a multi-type library consortium which also includes Kentucky's nineteen independent colleges and universities. The libraries of the institutions represented by the Association of Independent Kentucky Colleges and Universities (AIKCU) had participated in other projects with the state institution libraries before KYVL. When KYVL was in the planning process, the executive director of AIKCU and library directors of the AIKCU institutions were invited to participate in the meetings and organization of KYVL. While the AIKCU institutions pay to participate in KYVL, they pay a reduced rate compared to what they would

pay to the database vendors as individual institutions because they are a group within the overall project. AIKCU library directors meet twice yearly to work on joint projects and share information.

In Tennessee, the TENNSHARE project started as a resource-sharing group in the early 1990s. One of the early concepts was the idea of electronic databases available to all libraries throughout the state. This concept evolved into the Tennessee Electronic Library (TEL), a project of the Tennessee State Library and Archives, which provides all libraries (public, academic, and school) with access to a number of databases from one vendor. The TENNSHARE project has plans for the joint acquisition of databases for all libraries with a sliding scale so that all libraries, particularly in smaller academic institutions, would be able to participate in the project. The library directors of the Tennessee Independent Colleges and Universities Association, a group of thirty-six institutions, have recently begun to investigate ways to facilitate other cooperative ventures, especially database licensing, in addition to the TEL.

TexShare, the multitype library consortium in Texas, provides an example where the value of the role of independent college and university libraries in the statewide information network is recognized in the legislative language which formed the consortium. Promotion of the public good through efficient and effective information resource sharing is a bedrock value in the formation of TexShare.

The legislature finds that it is necessary to assist academic libraries at public and private or independent institutions of higher education to promote the public good by achieving the following public purposes through the following methods:

1. to promote the future well-being of the citizenry, enhance quality teaching and research excellence at institutions of higher education through the efficient exchange of information and the sharing of library resources, improve educational resources in all communities, and expand the availability of information about clinical medical research and the history of medicine;
2. to maximize the effectiveness of library expenditures by enabling libraries at institutions of higher education to share staff expertise and to share library resources in print and in an electronic form, including books, journals, technical reports, and databases;
3. to increase the intellectual productivity of students and faculty at the participating institutions of higher education by emphasizing access

- to information rather than ownership of documents and other information sources; and
4. to facilitate joint purchasing agreements for purchasing information services and encourage cooperative research and development of information technologies.⁹

TexShare is an excellent model of a multi-type library consortium that is organized around core principles, is actively involved in strategic planning, and is vision-oriented.

From the examples above, it is clear that each state has unique situations that have contributed to the formation of consortia. Where there is a history of joint projects and resource-sharing efforts between libraries, there seems to be a willingness to continue to explore options for more effective and efficient ways to gain access to a wider variety of resources as a group than individual libraries could possibly attain on their own. Libraries in state and independent institutions are increasingly forced to make tough decisions about allocation of resources to electronic databases and printed materials. Libraries in state institutions are feeling the effects of cutbacks in funding from state budgets because of economic downturns and growing demands for state funds in the social services areas of government. Economic lean times also cause libraries in many independent institutions to struggle with static or declining budgets.

What are alternatives for independent or private academic libraries when consortial affiliation at the state or regional level is not possible? Operating within the political and organizational realities helps libraries to redefine priorities. In addition to working within the existing system for the larger goal of being a part of a larger and more powerful group to deal with vendors, each library must explore ways to make vendors aware of their predicament. A library could inquire if the vendor will provide a creative option such as joining a group outside a library's geographic area. This may not be an optimal solution, but it could be a way to open new avenues of resource sharing with other libraries. Fact-gathering is another important task for libraries without consortial affiliations. Some questions of immediate relevance must be posed. What is the history of library cooperation in the state or region? Are there other libraries in the state or region in a similar situation without valuable consortial affiliation? How have they approached vendors to license databases or other electronic products?

Political and institutional realities will not change rapidly. Librarians must make their needs known, especially to their presidents and academic officers who may be able to bring the situation to the state organization representing the independent colleges and universities. In many states that have implemented multi-type consortia, the state organization representing independent

higher education institutions has been involved to some extent. Libraries without consortial affiliations should continue to explore new avenues of cooperation, even outside their geographic boundaries.

Future developments in library consortia will certainly build on existing consortial arrangements. However, as Kaufman (2001)¹⁰ and Peters (2003)¹¹ indicate, future library consortia will probably depend less on geography and more on type of library. Many libraries are already involved in multiple consortia. One may be a loosely organized group of small college libraries with one librarian representing the group negotiating with a vendor for the best pricing package. The same libraries may belong to another consortium formed with the sole purpose of dealing with a particular vendor. The libraries may also participate in a formal, statewide union catalog project. As Carlson (2003) points out, in some cases, libraries have a "consortium conundrum."¹² With so many choices for participating in consortia, it becomes a challenge for libraries to sort out all the possibilities.

Library affiliations within consortia will become more crucial in the future. If a library in an independent institution of higher education does not participate in a statewide consortium, it should be represented by a group of libraries from similar institutions, either statewide or in a multi-state arrangement. There will be more consolidation among vendors in the future and libraries must work as groups to assure fair and accurate representation of the interests and needs of individual libraries. Peters (2003) indicates that "a radically new type of organizational structure and vision for consortia will be need to foster, facilitate, manage, and exploit a shifting matrix of interlibrary alliances."¹³

CONCLUSION

Participation in library consortia is valuable and necessary for all libraries and will become more crucial in the future. Development of statewide multi-type consortia is a mosaic of different structures and levels of involvement of various types of libraries. One state may have strong leadership from a central administrative agency. Another state may have groups of libraries active in the planning and development of consortia. The history of library cooperation varies significantly from state to state. State consortia have usually developed based on existing groups created for resource-sharing or other joint projects. Do the models always work? The answer is probably yes and no. Yes, the models work well for the individual states since they are based on existing structures for cooperative projects. Yes, the existing models can be a target of aspiration as one state seeks to learn from the formation and operation of a consortium in another state. A successful model in one state may not be easily

transferable to another, however, simply because of the existing climate of co-operation, the political realities of state library agency jurisdiction, and the lack of political clout of groups of libraries, particularly those in independent institutions of higher education.

It is clear that a vision must be created in order for libraries to be able to thrive in the challenging economic landscape of information procurement. Political realities must be faced and strategies must be formed to provide an alternative model of a consortium that will better meet the needs of all participating libraries. Peters believes that libraries must do a better job of calculating the costs and benefits of consortial involvement.¹⁴ While costs and benefits should be calculated within the library organization, librarians, particularly in independent academic institutions, should actively provide information to policy makers showing the economic benefits of students in their institutions to the community and state. Political involvement in existing representative organizations presents an additional avenue for advocacy of a new model of cooperation. In the future, geographical limitations may not hinder the formation of consortia. Librarians must be creative in seeking solutions to the need to provide access to information for students and faculty. It takes work, but it is possible to change existing structures to improve access to information.

NOTES

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APPENDIX

Enrollment Figures

Colleges and Universities in
PALMS (Private Academic Libraries in Mississippi) Consortium
2003

Name of Institution	Fall, 2003 FTE Students	Percentage of In-State Students
Belhaven College	2,354	68
Blue Mountain College	389	90
Millsaps College	1,163	58
Mississippi College	2,705	86
Tougaloo College	914	82
William Carey College	2,344	92
Total FTE students	9,869	