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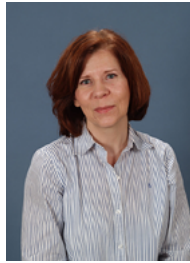
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Editorial



By the time this issue of *LRTS* is published, we will be well into 2017. I am writing this column in early February, shortly after ALA Midwinter in Atlanta. The United States has a new president and the inauguration took place during the conference, as did numerous protests and women's marches, including one in Atlanta. Many conference attendees marched despite heavy rain and strong winds.

Like our federal government, there will be changes within our profession. I subscribe to the BIBFRAME discussion list and a spirited conversation has taken place, following an initial posting by a librarian who is preparing to give a presentation on BIBFRAME that explores life after MARC. The discussion touched on topics such as Library of Congress no longer being the chief source of bibliographic metadata; the need for new tools to create, share, and maintain linked open data; current implementations of BIBFRAME; and the value of the Linked Data community to libraries. The discussion has raised several key points related to the future of resource description and discovery and enabling linked data.

Many libraries, for a variety of reasons, have not implemented RDA nor do they plan to do so. The reasons range from lack of staff or funds, or no desire to implement RDA. Will there be a similar reception to BIBFRAME within the profession?

Discovery is a current topic of concern to many libraries. Some individuals believe that library catalogs are not used by patrons, who instead consult A-to-Z lists and discovery tools. They believe that large records sets that are continually refreshed by vendors do not require mediation or editing, and do not belong in a library's collection since they are leased content. Others feel strongly that all resources to which a library provides access should be available through the library catalog and perhaps some other means, such as an A-to-Z list, to anticipate the various ways patrons will search for resources.

Our profession is generous both in sharing our opinions (as demonstrated by the recent conversation thread on the BIBFRAME discussion list) and our expertise. We are willing to be flexible to accommodate our users and make choices based on who we serve and not so much by the feeling that we need to emulate the majority.

The papers published in *LRTS* demonstrate how our profession shares information to benefit others. I provide the following summary of the papers in this issue:

- In her paper "Challenges, Opportunities and Best Practices in Overseas Buying Trips: An Interview Study Focusing on South Asia Specialists," Mara Thacker details the challenges, benefits and opportunities of overseas buying trips obtained through interviews with nine South Asian-area specialist librarians. Her qualitative study provides best practices that are applicable in other contexts to help librarians to plan effective overseas acquisitions trips.
- Paul Ojennus's paper "Open Access and the Humanities: The Case of Classics Journals" explores how predominant open access models are more applicable to fields in science and medicine. He discusses how humanities publishing models have been slower to embrace open access and examines

current practices in the humanities, particularly open access options offered by journals that serve classics.

- Carolyn McCallum, Kevin Gilbertson, Steve Kelley, and Lauren E. Corbett explore how their online public catalog's default facet mapping was inadequate for their researchers' needs, particularly for faceting of bibliographic formats, in their paper "Can RDA Content, Media, and Carrier Coding Improve Discovery Facet Mapping?" The authors detail how they worked extensively to revise this default mapping, creating complex decision trees that ultimately assign more precise format facets.
- "Strength in Numbers: Building a Consortial Cooperative Cataloging Partnership" by Christopher Cronin, Mary S. Laskowski, Ellen K. W. Mueller, and Beth

E. Snyder, discuss a one-year pilot project launched by eight of the Big Ten Academic Alliance (BTAA) libraries to track the costs, workflows, challenges, and opportunities associated with sharing cataloging expertise for languages and formats that were needed by the participating institutions. The project's major findings are outlined, and the subsequent implementation of a full-scale partnership that includes more of the BTAA libraries is discussed.

- In addition, this issue includes book reviews courtesy of *LRTS* Book Review Editor Elyssa Gould.

I hope you enjoy this issue of *LRTS*. As always, feel free to contact me if you have questions or concerns regarding *LRTS* or its content.

Challenges, Opportunities, and Best Practices in Overseas Buying Trips

An Interview Study Focusing on South Asia Specialists

Mara Thacker

Overseas buying trips are a way that area specialist librarians acquire unique international materials. They may also provide other opportunities and benefits to individuals and institutions. This qualitative study, based on interviews with nine South Asia-area specialist librarians, attempts to examine the challenges, benefits, and opportunities in overseas buying trips and establish a set of best practices guidelines. Although this study is grounded in the South Asia context, the best practices may be applicable in other contexts to help librarians plan effective overseas acquisitions trips.

Area studies specialists are tasked with building unique collections of materials in a diverse array of formats and languages from countries around the world. These materials are not always readily discoverable or available via typical acquisitions methods such as working with vendors and ordering from online bookstores. Buying trips are one effective tool to help area specialist librarians, and other librarians whose collection development responsibilities include an international component, build rich and unique collections. However, institutional support for overseas acquisitions trips varies between institutions as administrators consider whether the benefits of overseas buying trips outweigh the associated challenges and expenses. Peer-reviewed professional literature on the topic is scarce and this study was undertaken as a preliminary attempt to describe the opportunities and challenges associated with overseas buying trips.

For the purposes of this study, overseas buying trips are defined as trips to a country outside of the location of a librarian's home institution in which collection development and acquisitions activities take place. It is not necessary for collection development or acquisitions to be the primary purpose of the trip, nor do materials have to be purchased, but there should be evidence of deliberate activity that occurred during the trip relating to collection development and acquisitions. Examples of deliberate activity can include attending book fairs, visiting vendors or publishers, visiting libraries and cultural institutions with an eye towards identifying materials to acquire or make accessible by other means such as digitization, receiving free materials that will be added a library collection, etc.

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This paper is a case study of nine South Asia subject specialists, and in addition to describing opportunities and challenges in overseas buying trips, it also attempts to develop a framework of best practices for librarians preparing to embark on a buying trip. The development of the study's central questions and the framework for best practices was also informed by the researcher's own experience undertaking overseas buying trips. The questions covered topics such as logistical considerations in planning a trip, including funding, time, and location questions, plus direct questions about the challenges, opportunities, and perceived drawbacks to both the individual embarking on an acquisitions trip and the institution sponsoring it.

Like any skill, implementing a successful buying trip can be improved through practice, preparation, and through following best practice guidelines. While it is probable that some of the issues revealed in this study will be specific to South Asia, it is expected that many of them will also be applicable for buying trips to other geographic regions. It should also be noted that all the interviewees are employed by large, doctoral-granting institutions. These types of institutions are more likely to have libraries of a size and scope to dedicate resources to building area studies collections and services, and therefore are more likely to have area specialist librarians who would undertake overseas buying trips. Exact data on the frequency with which smaller institutions fund overseas buying trips is not available, however. This paper is intended to help area specialists who are planning a buying trip to maximize their experience, or as one interviewee put it, to help area specialists figure out "what is normal" for an overseas buying trip. This paper is also meant to help facilitate discussions about the benefits and drawbacks of funding such trips so that library leadership can make informed policy decisions.

Literature Review

A thorough search of the last several decades of peer-reviewed library science journals reveals a small handful of papers focused solely on overseas acquisitions trips. The paper with the largest scope and a focus on best practices is a paper written in 1982 by Samore. He writes of "Third World" countries where the will to publish and educate their citizenry is hindered by technological barriers, intense poverty, and the need to attend to basic survival needs. He uses this context to preview a range of major difficulties that fall into six categories: (1) bibliographic control; (2) publishing and book trade practice; (3) monetary and trade restrictions; (4) language barriers; (5) shipping and postal service procedures; and (6) political and social conditions.¹ While some of the issues stand the test of time, much has changed in the last thirty years. Even the preferred nomenclature

has changed from "Third World" countries to developing countries or, occasionally, the Global South. On a more practical level, in the age of the internet and email, librarians no longer have to wait months for responses to handwritten letters as Samore laments in his paper. Furthermore, while foreign currency exchange remains a challenge, online banking, credit cards geared towards international travelers, and the proliferation of ATM machines have mitigated some of those challenges.

More recent papers on buying trips are narrower in scope and present the experiences of individual librarians on overseas buying trips as case studies. In 2003, Kistler recounted his experiences on a five-week buying trip to Benin in West Africa. He reported many challenges, including language barriers, cultural barriers, payment issues, health and stress issues, and difficulty in shipping or carrying the materials back home. Despite the challenges, he lists many more advantages, including the ability to assess items in person, discovery of items from small publishers that are often excluded from approval plans, acquiring rare and ephemeral materials, circumventing the risk of shipping rare and valuable items by carrying them back in one's personal luggage, browsing libraries and governmental organizations to develop acquisitions wish lists, and gaining new insights into another culture.²

The challenges faced by the group of librarians who attended the Hong Kong Book Fair in 2001 were somewhat different. They were sponsored by the American Library Association (ALA) to attend the fair and were assigned assistants who facilitated introductions to publishers, helped them prepare order lists, and escorted them around the fair. Some of the librarians from smaller institutions found the lack of reliable internet to be a challenge as they were unable to check their online catalogs to make purchasing decisions. These librarians made fewer purchases but found developing their network of overseas vendors to be valuable. Like Kistler, they also found it advantageous to be able to assess items and publishers in person, and the book fair setting alleviated some of the language and cultural barriers, making it possible to meet with more vendors and publishers in a shorter time period with less local travel.³

In addition to the modest selection of peer-reviewed papers pertaining to overseas buying trips, a recent post on the *International and Area Studies Collections in the 21st Century (IASC21)* blog features interviews with two area specialist librarians who espouse the value of overseas acquisitions trips.⁴ One of the interviewees, Pushkar Sohoni, also published a widely circulated blog post on his experiences on an overseas buying trip in August 2013.⁵ A third blog post in 2016 posted on the *Seminar on Acquisition of Latin American Library Materials (SALALM)* page also discussed the value of overseas buying trips in the context of attending international book fairs.⁶ All three blog posts emphasize the

value of these trips not only in acquiring unique materials but also as a mechanism for identifying new vendors and staying informed about the state of publishing in a particular area.

Several recent articles on area studies collecting focus on acquisitions for individual areas. The methods used by area specialist collectors varies by the community of librarians associated with that geographic area. The author's 2015 study found that the most widely used acquisitions method by South Asian studies librarians was membership in the Library of Congress (LC) Cooperative Collection Development plans. She further found that about half of South Asia area specialists used buying trips.⁷ In comparison, a 2005 study of Slavic and East European selectors found that fewer than 15 percent of the selectors in this area attend book fairs or take buying trips.⁸

Method

During the 2013–14 academic year, semi-structured interviews were conducted with five South Asia subject specialists who had self-selected and volunteered in the course of completing an online survey administered by the author about their collecting practices. The interviews were classified as semi-structured because although a list of framing questions was submitted to the Institutional Review Board (IRB), the instrument allowed for flexibility in asking additional follow-up questions relating to the themes of the study as described in the IRB application. Both the online survey and the interviews that comprise this study were approved by the University of Illinois's IRB as an exempt research study involving human subjects. The online survey, which was the basis of a study on the collecting practices of South Asia area specialists, was distributed to the members of the Committee on South Asian Libraries and Documentation (CONSALD). CONSALD is the professional organization for South Asia bibliographers. According to the CONSALD membership directory, there are thirty-two South Asia bibliographers who were eligible to participate in the study, representing a total of twenty-eight North American institutions. In total, nine were completed and usable surveys were returned. While this may seem like a relatively small number, given the small pool of eligible participants, this actually indicates a nearly 33 percent response rate. Of these nine respondents, five reported taking an overseas buying trip within the last five years and volunteered to be contacted for a follow-up interview.

After completing the first five interviews, to have a more robust and credible study, the researcher amended the IRB protocol to allow recruitment of additional volunteers from the CONSALD membership. Four additional interviewees were successfully recruited via targeted emails to members of the CONSALD directory and all four interviews were

completed during the spring 2016 semester. All four volunteers were South Asia subject specialists at North American research universities who had taken an overseas buying trip to South Asia and who had, for various reasons, declined to volunteer in the course of the online study described above. The nine interviews, which were completed between October 2013 and February 2016, are the basis of the present study. The interviews were conducted via Skype and recorded using the SkypeRecorder software program. The researcher also took handwritten notes during the interviews.

Drawing on the participants' most recent buying trip experiences, the semistructured interviews focused on a few key thematic areas. While the researcher used a list of twelve framing questions to guide the discussion, the IRB protocol allowed flexibility in asking follow up questions or additional questions addressing the main thematic areas (see appendix for the full interview protocol). The main thematic areas were the following:

- planning for the trip
- time, location, and duration considerations
- travel and materials funding
- acquisitions, payment, and shipping
- collection development priorities
- logistical considerations for financing and transporting acquisitions
- challenges
- benefits
- drawbacks

Results

For convenience, the cases are briefly described here and a more nuanced look at the themes is provided in the subsequent analysis section. Each description provides the date when the interview took place, a brief description of the trips described by the interviewees, and the number of years of experience of the interviewee at the time of the interview. Additionally, the Carnegie Control type (public/private status) for the institution is also included.⁹ The Control type is the only category of Carnegie classification listed individually because all institutions included in this study are considered large, doctoral universities with highest research activity. All these institutions are also members of the Association of Research Libraries (ARL), which connotes a certain size and prominence of the libraries at these institutions.

Please note: To preserve the anonymity of the research subjects and to create a more pleasant reading experience, all interviewees have been assigned the gendered pronoun of "she" regardless of their actual gender in the results and discussion section. The actual gender ratio included six female interviewees and three males.

Case 1

The first interview took place in October 2013 with a South Asia subject specialist from a private university. She had held the position for roughly four years. In her interview, she described two buying trips to India that she had taken over the past year. Her trips were self-funded and combined with personal trips to India.

Case 2

The second interview also took place in October 2013 with a South Asia specialist from a public university. She had served in that role for more than nine years and had been on two buying trips in the past. In the interview, she focused on a 2011 buying trip to Kolkata and Delhi in India.

Case 3

The third interview took place in October 2013 with a South Asia specialist from a private university. She had served in that role for roughly four years. She described two recent trips to South Asia—one was a personal trip to Karachi, Pakistan, in June 2013 in which she acquired some free materials for her institution, and the other as a buying trip to India in March 2013.

Case 4

The fourth interview in October 2013 was with a South Asia specialist from a private institution. She has served in that role for nearly ten years, and had a total of nearly twenty years of experience as a South Asia specialist. She described a 2013 trip to India and the Kathmandu Valley in Nepal.

Case 5

The fifth interview took place in November 2013 and was also duplicated in May 2014 due to an issue with the audio recording. The interviewee was from a private institution where she had served as the South Asia specialist for roughly four years. Her interview focused on a 2013 buying trip to New Delhi, India.

Case 6

The sixth interview took place in January 2016. The interviewee was from a public university where she had served as an area specialist for more than twenty-six years. Her primary specialty is the Middle East but she also did collection development for South Asia. She described two buying trips—a trip in November 2015 to Turkey and a December 2013 trip to Delhi and Agra, India. The trips to the Middle

East are included in the discussion because the issues raised by those trips are not dissimilar from the South Asia trips reported on in this study.

Case 7

The seventh interview took place in February 2016 with an area specialist librarian from a public university. She had been at her current institution for two years, though she had accumulated a total of eighteen years of professional experience as a South Asian studies librarian. She described a January 2016 buying trip to Delhi and Chennai, India.

Case 8

The eighth interview took place in February 2016 with a Tibetan studies specialist from a private university. She had served in that role for nine years. In her interview, she described a trip to Dharamsala and Delhi, India, and Kalumpang, Malaysia, in December 2015 through January 2016.

Case 9

The final interview took place in February 2016 with a South Asian studies specialist from a public university. She had more than ten years' experience in that role. Although her most recent buying trip took place in 2006, the data from her interview was retained as, given the subjective nature of many of the questions, many of her answers were still sufficiently relevant to the study.

Analysis

Planning for the Trip

Questions on the pre-departure planning process were intended to identify variations in institutional requirements in terms of submitting an application for a buying trip and how librarians might consult with their faculty and plan their itinerary. The pre-departure planning process varied widely between the interviewees depending on the primary purpose of the trip (which was not always acquisitions), the funding sources for the trip, and the regulations of the employing institution. Some institutions require a proposal to be submitted to get approval or funding for the buying trip. The paperwork may be submitted to library administration or, occasionally, another academic unit or center that may be providing funding for the trip. One interviewee mentioned that her institution requires all librarians going on an overseas buying trip to request funding support from their associated academic unit or center, though they are not required to receive outside funding to receive library

funding. Typically, this paperwork requires a proposed itinerary and a budget request and justification for either the travel or the acquisitions, or both.

Other institutions may only require reports upon completion of the trip. For two interviewees, there was no application process because funding for buying trips had been negotiated as a condition of an employment or retention contract. In one case, the interviewee reported that there was no formal paperwork to be submitted because her trips had a different primary purpose other than acquisitions. In all cases, the trips were usually planned around a specific strategic date or location.

All of the interviewees mentioned some level of outreach to their faculty prior to departure on the trip. In some cases, this was to gather requests for specific materials or topic areas in which to collect materials. In other cases, it was to obtain assistance in identifying contacts and institutions to visit during the trip. One other method to identify contacts and institutions to visit is to take advantage of visiting scholars and publishers who might be presenting or in residence at a local institution. One interviewee recounted an instance where she met a visiting activist from Syria who gave a presentation on a women's magazine she edits and facilitated introductions to some of her contacts in the region that ultimately resulted in the collection of many uniquely held Syrian materials.

Two interviewees also made very practical pre-departure suggestions during their interviews. One unique suggestion was to use the smart-phone application WhatsApp to facilitate contact with individuals prior to departure, saying that it is used by many people in the developing world and often garners more responses than email, phone, or Facebook contact. The other useful suggestion was to run a report of holdings in languages or on topics that will be targeted for purchase and store those reports on the hard drive of a computer that will be brought on the buying trip. This allows for checking for duplicate holdings even in the absence of a reliable internet connection.

Timing, Location, and Duration Considerations

Without exception, all interviewees mentioned climate and convenience as primary factors for choosing the timing of a buying trip. South Asia is notoriously hot during the summer, and monsoon season can make travel more difficult, so there is a strong preference for planning a trip during the cooler, drier winter months. In contrast, for specialists who are planning a trip to the Himalayas, they must take into account that the Himalayan region is less accessible during parts of the winter. Other important factors included timing a trip to minimize being absent during the busiest parts of the semester or scheduling a trip around familial obligations. Many interviewees also mentioned timing their

trips to coincide with conferences, book fairs, or interesting cultural events.

Some of the same factors that impact the timing of the trip also impact the selection of the location. For example, some interviewees choose a location to visit based on a conference, an interesting cultural event, or opportunity to develop professionally. In some cases this can mean avoiding a particular location that might be overly congested or shut down due to a special holiday or regional event. One interviewee said, "I like to leave some time to go to a place that I've never been before or do something that I've never done before as kind of ongoing explorations, my continuing education." Another interviewee went a step further, saying that the contacts she cultivates in the region are equally important as acquiring physical materials, because she relies on those contacts to assist students and faculty who are going on research trips.

The experience level or the personal preference of the person undertaking the acquisitions trip may also impact the choice of the location. One specialist who had completed two buying trips to India expressed an interest in going to Pakistan, Bangladesh, and Nepal, but was concerned about bureaucratic challenges in visiting Pakistan and a lack of an established network in Bangladesh and Nepal. A second specialist also mentioned sticking to major metropolitan areas due to a lack of contacts in other smaller cities. A third person mentioned that she had been interested in going to Chennai but was daunted by the possibility of needing to speak Tamil to communicate effectively.

There were differing perspectives on whether to visit major cities or smaller towns. Eight of the nine interviewees went to Delhi for reasons varying from attending the Delhi World Book Fair or an academic event, to feeling more comfortable or familiar with the city as opposed to other locations, to the presence of many major publishers and vendors within Delhi. Major cities are also more easily accessible by air travel. One subject, however, makes it a point to visit smaller cities and towns that are sites of literary and cultural production but whose materials may not be as readily available through mainstream vendors and therefore will be more rarely held.

One other important consideration when choosing location is the type or genre of materials being targeted for acquisition. While all interviewees mentioned that a buying trip is typically specifically for rarely held or unique materials, sometimes a buying trip is also an opportunity to get a large quantity of materials to serve as the foundation for a new collecting subject or new language.

In terms of the duration of a buying trip, the shortest trip reported was only a week long, while the longest trip was over a month. The average trip lasts two weeks. Three of the participants reported taking a buying trip every two years, another three reported going one or more times per

year. Of the remaining three, one person averages a trip every three years, and the other two go irregularly.

Travel and Materials Funding

Funding models varied widely between the participants' institutions. One interviewee reported getting no travel funding but said she undertook acquisitions activities voluntarily because "we are in a profession where it is impossible to turn off your collecting instincts." Another interviewee also reported going on trips to South Asia for personal reasons during which she took advantage of a convenient opportunity to acquire materials for her library, though she also went on institutionally funded trips.

For the interviewees who received funding from their institutions, three reported regular recurring funding—one came from an institution where all subject specialists were awarded funding every two years, another had negotiated an annual buying trip to be written into her contract when she was offered the position, and a third had also negotiated recurring travel funding as a condition of employment. The other five interviewees who took institutionally funded trips either received funding to attend a conference or as part of grant-funded project work, or applied or coordinated with their library director on an ad hoc basis. In some of these cases, the project-based goals or the conference were the primary purpose, but some time was devoted to acquisitions activities. For most institutionally funded trips, the costs of the trip are theoretically fully covered, but several interviewees mentioned that they habitually incurred out-of-pocket expenses. One interviewee mentioned that often around 10 percent of the cost of the trip ends up being paid out of pocket.

Acquisitions were typically funded via the interviewees' regular acquisitions budget. Two interviewees mentioned obtaining additional acquisitions funding from a Title VI National Resource Center grant for South Asia. Several interviewees mentioned that the cost of shipping can exceed the cost of the materials themselves and needs to be factored into creating a budget for the trip.

Acquisitions, Payment, and Shipping

Broadly speaking, there are four models used to pay for materials: (1) paying out of pocket for reimbursement later; (2) receiving a cash advance; (3) working with approved vendors who can bill the institution directly; and (4) using a university issued credit card. For the subjects who paid out of pocket for later reimbursement, cash was a frequent payment method though credit cards and wire transfers were also used. Credit cards are mostly only an option in larger cities, and one interviewee mentioned that in cities where cash payment is the norm, it may also be difficult

to find working ATMs. This interviewee said she avoided using ATMs and instead used Western Union to wire herself money prior to leaving the United States, which she would pick up upon arrival in India. Another interviewee offered an opposing viewpoint, stating that ATMs were readily available in most cities she has visited on buying trips. A third interviewee mentioned an instance where she had no option other than to use PayPal to make a payment.

Two interviewees reported receiving a cash advance from their institutions, and another had access to an institutional credit card. Like the subjects who had to submit receipts for reimbursement, the interviewees who received the cash advance had to submit itemized receipts to reconcile their expenditures. In fact, the interviewee who had access to an institutional credit card mentioned that the itemized receipt submission process for the institutional card was far more complex than using her personal card, so she often chose to use her own credit card and apply for reimbursement. Two people mentioned that it can be useful to bring a blank receipt book for instances where the vendor is not otherwise prepared to offer an itemized receipt.

Working with approved vendors who could bill the institution directly was a popular payment method. In fact, one interviewee who would have otherwise had to pay out of pocket and wait for reimbursement would get an approved vendor to purchase materials back from her for which she had paid cash, and then sell the materials directly to her institution at a modest mark up. She felt that this was an ethical gray area but also that there was no viable alternative.

These same approved vendors, as well as the LC field offices, were also often called upon to assist with shipping. All but one of the interviewees who shipped materials home had at one time used the assistance of the LC field offices in Delhi. One interviewee noted that a drawback to using LC for shipping is that due to their policies regarding consolidating shipments to have a full load, it can take up to six months to receive materials despite being only marginally less expensive than using a private vendor. Many also mentioned working with private vendors such as D.K. Agencies to help with shipping. Interviewees rarely attempted to handle the shipping themselves given the complications of packing materials and negotiating customs for international shipping. Instead, the next most popular option after taking assistance from a vendor was to carry items home in one's own suitcase.

Collection Development Priorities

All nine interviewees mentioned using overseas buying trips to acquire materials that are not easily available through mainstream channels. Examples include out-of-print and antiquarian materials, ephemera, minor publications, popular and "middle-brow" literature, first editions, and publications from small literary societies and religious institutions.

This can also mean materials that are likely to be missed by LC's field office in New Delhi, which includes popular cultural materials and, sometimes, controversial materials such as publications from extreme political movements. It should be noted that there is some controversy over acquiring antiquarian materials, especially manuscripts. One interviewee in particular mentioned a shift that she has observed over the course of her career as librarians embrace a postcustodial archiving model. The Society of American Archivists defines this model as "the idea that archivists will no longer physically acquire and maintain records, but that they will provide management oversight for records that will remain in the custody of the record creators."¹⁰

Another interviewee noted that

in theory one is looking for old and antiquarian things but actually with the prevalence of digital reproductions on places like Google Books and then also other sort of electronic projects, investing heavily in older and rare materials doesn't seem to be a really good use of resources. I mean first editions, who really needs them these days? What I'm really mostly looking for are small things, either actually ephemeral or publications that are so minor and unpriced that nobody else is likely to get them to me.

She recommended that librarians on overseas buying trips should go to places other than major cities and then focus their collecting as locally as possible.

A second interviewee cautioned against focusing solely on older and archival materials, noting that items in brittle or poor condition would overburden her institution's preservation department. Her institution had gone so far as to impose a two- to three-year ban on librarians bringing back archival materials from overseas buying trips. She also mentioned that acquiring materials in vernacular languages could pose problems for her technical services department.

Beyond acquiring rare materials, one interviewee cited buying trips as an opportunity to build up a new collection from scratch. Her example was building a brand new art history collection to support a new faculty hire. Another interviewee sought out periodicals to fill in gaps in a serials collection. Finally, one interviewee takes the opportunity to acquire anything she happens upon that looks interesting.

Challenges

Avoiding the purchase of duplicate materials was a concern for many of the interviewees. A very limited number of vendors have computers available that can be used to check for local and national holdings of a given item. An interviewee mentioned that one strategy she uses is to collect catalogs

and check them from her hotel room and then return the following day to make purchases. Other times, though this method is not preferred by most vendors, she may just purchase the books on the spot with the understanding that if there are multiple duplicates she may return them by mail for a refund after her return. Another interviewee mentioned the value of running a holdings report prior to leaving on a buying trip so that she has a locally stored copy on her laptop that she can check offline for duplication.

Another major challenge theme noted by several interviewees was related to cultural differences and planning. More than half of the interviewees mentioned the difficulty in scheduling meetings in advance due to challenges in getting people to respond to email and phone calls, or just having contacts not show up or cancel at the last minute. One solution was to use social media such as Facebook or WhatsApp to schedule meetings, and another is to be flexible and show up unannounced. One specialist said, "Planning can be disastrous. You know you can plan all you like and it's just not going to work because the other person doesn't commit to appointments the same way." For this reason, the subject does not call ahead to institutions or publishers with whom she does not already have a personal contact, rather she shows up with an open mind.

For one interviewee, being a female presented challenges both in terms of safety issue and as an issue of assertiveness in business meetings. She also mentioned that she felt that she received special treatment as a foreigner, both in positive and negative ways. A second interviewee mentioned that while she does not feel particularly unsafe as a solo female traveler, she occasionally takes precautions by deliberately choosing to travel with a group or identifying a friendly male to walk with if she feels uncertain in a given situation. A third interviewee mentioned that as she has gotten older and past the age of fifty, gender-based harassment has become less of a problem.

One additional challenge that was discussed by multiple interviewees was dealing with the perception of buying trips as a "free vacation." One interviewee mentioned that, in contrast to this idea, she often gets very little personal time because after a full day of meetings, book fairs, and vendor visits, she is often responding to email, checking for duplicates, and doing other work tasks when she returns to her hotel room. Another interviewee specified that it took more than three weeks after she returned from her most recent buying trip to finish all reports and tasks related to the buying trip and return to a normal workday. A third person added that all the tasks related to the buying trip feel like they are in addition to her normal responsibilities, and that if she is not there to perform her daily responsibilities, she has to find someone else to fill in.

Benefits

Despite the challenges, one interviewee noted that librarians have an easier time gaining access to materials and cultural institutions than other scholars because of the simpler and clearer nature of the transaction of exchanging money for a specific good. One interviewee said,

A lot of people have issues with the notion that we are foreigners who come and take their materials, take their information, including ethnographic information and go back to our countries and become rich and famous professors. And what do they get out of it? There is a suspicion that their cultural patrimony is vanishing whereas merchants are a bit less concerned by and large.

Therefore, buying trips may allow US scholars to access materials that they would not otherwise be able to access even if they planned a research trip to South Asia.

More generally, buying trips provide an opportunity to get more unique and rarely held materials. This is important not just for an individual's local institution but also when considering the notion of a national collection. One interviewee said,

As opposed to everybody buying the same six flavors of ice cream there is a bit more variety in our collections and I think it's important to have that because for a long time everybody was buying from the Library of Congress. The pool of books that were acquired were all the same in North America. To have diversity in the kinds of materials is very important.

In addition, she said that contrary to what one might expect, many vendors are willing to give good discounts and prices (a few interviewees even reporting receiving occasional free donations of materials) because they are proud to have their materials held in overseas institutions. Where possible, they are often willing to check your institution's catalog to avoid duplication. Overseas buying trips provide an opportunity to meet with vendors with whom one usually only corresponds from a distance. "It's almost like an inspection for them—they need to match up certain expectations you have for your vendors," one interviewee stated.

The institutional benefits extend far beyond access to materials. While several interviewees mentioned the value of building their professional network, one interviewee specified that the contacts she establishes on these trips are perhaps as important as the physical acquisitions. She uses her network of overseas contacts to assist scholars who want to undertake research in the region. Several others

noted that buying trips are valuable because they allow the individual to remain in touch with the academic output in institutions in the country, and the homegrown concerns about certain publishing houses and vendors. In addition to benefiting one's local institution, there are also professional benefits to the individual. These include building more meaningful relationships with library directors, vendors, and organizations, doing something one has not done before, and gaining opportunities to present at local institutions where one can exchange ideas with colleagues in South Asia. Two interviewees mentioned that these overseas trips also lend valuable credibility to the librarian taking the trip when she is dealing with her area studies faculty. One subject noted that the benefits to the individual and the institution outweigh any challenges and drawbacks to such a degree that she believed area specialists should take at least one buying trip per year.

Drawbacks

None of the interviewees felt that any of the drawbacks associated with overseas buying trips were significant enough to outweigh the benefits. The two drawbacks that were mentioned by several interviewees were the out-of-pocket costs incurred, and the sheer amount of work needed to plan, implement, and then report out on these trips (this second point regarding the amount of work was identified by some interviewees as a challenge and by some as a drawback, therefore it is being mentioned in both places). All but two interviewees explicitly mentioned that these trips incur out-of-pocket costs. The reasons these costs were incurred included (but were not limited to) an inadequate per diem for all of the ground transit and food costs, inability to include foreign exchange fees when requesting reimbursement for costs incurred on a personal credit card, accruing interest fees on a personal credit card due to the length of time it takes to receive reimbursement, additional unexpected or non-reimbursable costs such as taking people out for meals in gratitude for their assistance, or the cost of doing laundry (because the traveler packed light to leave room in the luggage to carry materials back in their personal suitcases).

One additional drawback noted was potential liability issues for the institution, especially in the event of an overseas medical or security crisis. To that end, one interviewee mentioned that her institution had purchased an institutional subscription to a service called International SOS and implemented an International Travel Planning Policy, both of which provide assistance to students and employees in the event of an overseas emergency. She used the International SOS service when she experienced a health emergency in India, and highly recommends that other institutions that send students and faculty overseas for research, buying trips, or study abroad invest in such a product.

Despite the drawbacks mentioned, all interviewees felt that institutions should be funding area specialists to take annual buying trips, or at minimum, a trip every two years. This is related to one additional drawback named by an interviewee—if regular funding is provided for buying trips for one group of specialists, the institution may be called upon to fund buying trips for everyone.

Discussion

One issue that came up in a pronounced way, particularly during the second round of interviews, is how to define an overseas buying trip or to distinguish it from other types of overseas fieldwork. As is reflected in the analysis above, there are often multiple, sometimes competing but often complementary, goals and activities for a given trip. Should it be considered a buying trip if the primary activity is presenting at a conference or taking a personal trip and book buying happens to occur? What if the librarian is meeting with vendors and attending a book fair and does not make a purchase? Anecdotally, the author had a tenth prospective interviewee who did not feel she had taken an overseas buying trip despite having been on work-funded trips to South Asia in which she undertook many of the same previously described activities. This question is an important one insofar as it can impact which funding sources are available, the amount of financial support available, and expectations of particular outcomes on the part of the funding institutions.

Definitions of buying trips aside, distilling these conversations into a set of best practices is made easier by the general consensus around planning practices and individual and institutional benefits. The preplanning process is to a certain extent dictated by local institutional requirements so that anyone planning an overseas buying trip should first check with their library administrators about relevant policies. Some institutions fund buying trips on an annual or bi-annual basis as a matter of course, and others on an ad hoc basis, but in any case, good communication with administrators and local faculty is useful, if not required. Best practices in which there was general consensus include the following:

- Ideally, area specialists should take buying trips annually to facilitate both unique acquisitions and important individual professional development.
- Planning a buying trip to coincide with relevant events such as conferences, book fairs, or important festivals may facilitate additional professional development and networking opportunities.
- Buying trips to South Asia and other distant locales should last two to six weeks to maximize the return on the investment of the cost of airfare.

- Visiting major metropolitan areas can be more convenient for travel purposes and often gives access to a more concentrated volume of publishers, vendors, and cultural institutions.
- While more logistically challenging, it is worth visiting smaller towns involved in literary or cultural production to acquire particularly rarely held materials.
- When email and phone will not work to set up appointments, use alternative means such as WhatsApp, Facebook, or other social media, and make cold calls to vendors, publishers, and institutions.
- To avoid purchasing duplicates, take photos of book covers and check against OCLC, or collect catalogs and check your local catalog prior to making purchases, or run a report of holdings in languages or on topics that will be targeted for purchase and store those reports on the local hard drive of a computer that will be brought on the buying trip to allow for duplication checks even in the absence of an internet connection.
- Work with established vendors to benefit from their value added services and to check on their operations, but be aware that many of the materials they are selling may already be readily available from overseas.
- Factor the cost of shipping into your buying trip budget—shipping often costs more than the materials.
- Focus your purchases on institutional priorities, rare materials, ephemera, and items that otherwise would not come through normal collection channels.
- Consult with technical services and preservation staff to verify their capacity to handle fragile, brittle, and damaged materials, plus vernacular language materials requiring original cataloging.
- Report on buying trip outcomes to your home institution and other professional networks.

There was more variation in the challenges reported, which in some cases can be attributed to the different nationalities, ages, and gender of the interviewees. Though it is a sensitive subject and some interviewees did not want to speak in depth on the topic, traveling to South Asia as a solo female traveler can pose safety issues, although some of those issues can be mitigated based on the age and experience level of the traveler. These issues, both specifically pertaining to India and more generally about international fieldwork, are well documented in literature from other disciplines including anthropology and tourism.¹¹

Nationality is an issue only insofar as in being a foreigner in some locations in South Asia can make one conspicuous. Aside from the usual concerns about getting good prices, being a conspicuous foreigner can lead to mild irritations such as well-meaning individuals wishing to take photos with you or attracting stares while on public transportation. Typically, these types of incidents are harmless

and foreigners do also occasionally benefit from preferential treatment.

Related to nationality, language barriers can be a challenge though it was not discussed in detail with any of the interviewees. One reason may be that many interviewees specifically target cities and countries where they are comfortable communicating in the vernacular language. In areas where they do not speak the vernacular language, they will face some limitations and need to use an interpreter or work with vendors that are fluent in a common language. In terms of assessing and purchasing materials in an unfamiliar language, specialists will need to rely on their knowledge of the quality of the publisher or author, or depend on the advice of a reliable vendor.

Generally speaking, it is important to understand safety concerns for any foreign country and to plan accordingly. If one is going to a country for the first time, try to make a connection with a colleague or local counterpart there to have an established contact in the event of an emergency. It is also important to check the US Department of State's website for current travel warnings. In addition, librarians may ask if their institutions subscribe to a service like International SOS to assist in the event of an emergency.¹²

While a different cultural context may provide different challenges than the South Asia context, many of the best practices should be generalizable across regions. For example, it is true that in many countries it is both more convenient to travel to major metropolitan areas that will likely have a higher concentration of vendors and publishers than smaller towns, which may have more rarely held materials. It also true that including a conference, festival, or book fair as part of the itinerary may allow for additional professional development opportunities. Finally, consulting with technical services and cataloging staff and local faculty to shape collection priorities, and reporting on trip outcomes is necessary for anyone planning and implementing an overseas buying trip.

There are a few items, however, which may not be applicable outside of South Asia. For example, for travel to areas that are geographically closer to the United States (such as Latin America and Europe), more frequent, shorter trips may be preferable. Shipping may also be less expensive and less challenging in other cultural contexts. Finally, in areas with more reliable wireless internet, it may not be as much of a challenge to check for duplication on the spot.

It is worth noting that all of the interviewees in this study are area specialists with language abilities and previous experience traveling to and studying in South Asia. All of these specialists are also from large research institutions, all of which are ARL members, which signifies a certain level of commitment to building large, comprehensive collections. Buying trips may present different challenges for subject specialists who are not also area specialists or who are from

smaller institutions. At this time there is no data available about the extent to which smaller institutions support buying trips, but given that they are less likely to employ dedicated area specialists and may have more limited resources and funding, it is likely that support for overseas buying trips at those institutions is limited. For smaller institutions that lack an area specialist with language and cultural expertise but want to build unique international collections, it may be worth exploring cooperative or shared buying trips. A future study on cooperative buying trips and buying trips in the context of smaller institutions would be useful in addressing this question.

Conclusion

Overseas buying trips are an invaluable tool for building distinctive international collections whose benefits to the individual and the institution generally far exceed the associated costs and challenges. Benefits include not only building unique collections that can make institutions a destination for scholars, but also in providing access to materials that researchers may not be able to access even from the original source. In some cases, materials may also be more affordable when procured directly from the source as on an overseas buying trip. For example, a full set of Amar Chitra Katha comics that retails for \$399 plus shipping on the international version of the publisher's website was procured for approximately \$147 at the Delhi World Book Fair. A future research study could look for feedback from researchers who have benefitted from materials procured on overseas buying trips, and also incorporate experiences from librarians specializing in areas other than South Asia.

Beyond cost savings and collection building, the value of buying trips as a mechanism for area specialists to maintain subject expertise and develop effective professional networks cannot be overestimated. Many area specialists are expected to provide research support and liaison services for faculty and students at their institutions. To do so effectively, it is important that they cultivate a strong ongoing connection with their geographic area of specialty. This allows them to be seen as authoritative and current by their faculty, and on a practical level enables them to connect their local scholars with the right institutions and experts overseas to further their research.

While institutions with large research libraries should make funding these trips a priority, it may also be time to expand the notion of a buying trip into "overseas fieldwork" to more accurately depict the range of professional activities undertaken on these trips. In any case, to fully reap benefits, librarians should plan carefully and take into account best practice guidelines.

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Appendix. Questions for Semi-Structured Interview

1. When was your last overseas buying trip and which places did you visit?
2. How do you plan a buying trip? Describe your process.
3. On average, how often do you go on overseas buying trips?
4. What factors influence which places you visit?
5. What factors influence your decision about the timing of an overseas buying trip?
6. How are these trips funded (including travel and cost of materials)?
7. What kinds of materials do you typically try to acquire on overseas buying trips?
8. How do you get materials acquired overseas back to your home institution?
9. How do you handle payment for materials on an overseas buying trip?
10. What are some common challenges you've faced when on an overseas buying trip?
11. What are the benefits to yourself and your institution by going on an overseas buying trip?
12. What are the drawbacks to yourself and/or your institution by going on an overseas buying trip?

Open Access and the Humanities

The Case of Classics Journals

Paul Ojennus

Since the earliest pressures to develop open access (OA) options for journal literature were in the fields of science and medicine, the predominant models reflect those origins and fit those disciplines. These models are less applicable to humanities publishing models, which have been slower to embrace open access. Current literature on OA in the humanities focuses on theoretical frameworks and end-user perceptions. This study complements those perspectives by examining current practices in the humanities, specifically, the OA options offered by journals serving the discipline of the classics.

The open access (OA) movement originated in response to developments in scholarly communications in the sciences, where cost-increases for journals published by for-profit publishers had clearly become unsustainable. The solutions proposed by current OA models, conventionally labeled “green” and “gold” reflect that early context. The green model has a version (usually the “revised,” “stage-2,” or “accepted” version) of the paper placed in a freely open repository, to be made openly available following an agreed-upon embargo period (e.g., six months). This reflects a compromise between the imperative to make the scholarship freely available and the publisher’s economic exigencies, which retains the rights to the published version of the paper, and is justified in charging a premium for providing the most current research. The gold model allows the author to make the published version of the paper freely available, usually for a fee. This model responds to legal necessities where public funding of research is contingent on the free dissemination of its results. The cost of the processing fee is incorporated into the funding of the research more broadly and thus is not an onus for the individual researcher, and the upfront payment by the author offsets a notional diminution of income to the publisher from those who can now access the research without a subscription. It is becoming generally recognized that these models are not well suited for humanities and social science (HSS) publishing for a number of reasons. First, the models do not address the greater importance of monographs, especially in the humanities. Second, HSS researchers tend to be more conservative about placing their research in repositories and accessing others’ research, when available, in repositories. Third, since HSS researchers are less likely to have grant money available, they are less likely to be able to pay the fees associated with gold OA. Current research has examined this issue from the perspective of faculty attitudes and ideologically, particularly pointing the ill fit between publishers’ capitalist models and the gift culture of researchers. The author proposes exploring an additional perspective, examining what OA solutions are in fact being employed in one particular subfield of the humanities to determine what progress has been made, what obstacles remain,

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and what creative solutions have been found that might be applied elsewhere.

Literature Review

Two approaches dominate the current research on OA in the humanities. The first approach has been to survey the attitudes of various humanities user-groups, particularly university faculty. The second has been to postulate models of OA that would solve current problems, often from an ideological viewpoint. Other researchers have explored OA in the humanities in relation to similar issues, such as the role of digital scholarship in the humanities more broadly, the so-called monographs crisis, and the details of licensing scholarly production in the humanities. Duranceau points to the gap in the literature for a primarily pragmatic approach such as I am proposing here: “Politics and philosophy will not be the main drivers toward a commons-based system for sharing research and scholarship. Economics, technology, and the social and practical realities of human behavior will be.”¹

On the selection of the field of classics for this study, in his study of electronic journals in classics, Romanello observes that OA in classics journals is a topic that needs to be explored, but is outside the scope of his research.²

User Attitudes to OA in the Humanities

The analysis of user attitudes to OA in the humanities is a well-established line of research. Rodriguez finds that HSS faculty are often not well-informed about the issues surrounding OA, and that while factors such as discipline and experience have some influence on attitudes toward OA, none is strongly predicative of a decision to publish in an OA venue.³ Stanton and Liew similarly surveyed graduate students’ attitudes toward placing their research in institutional repositories for OA, and found that awareness and understanding were the strongest influences in that group.⁴ Kingsley examined disciplinary differences in attitudes and behaviors regarding institutional repositories as an OA venue, finding chemistry and computer science researchers were more likely than sociologists to use the repositories.⁵ Duranceau’s localization of the issue of user attitudes being determined by awareness, “when faculty become aware of the issues related to access to their work, they do care, and that our campuses do need IRs to support open access to faculty research,” seems to represent a broad consensus on this topic.⁶

In contrast, there is also a general consensus that humanities researchers continue to resist the changes in publishing more than their colleagues in the sciences. Harley et al. found that English faculty often equated gold OA with vanity presses.⁷ Jöttkandt and Hall discovered that humanities faculty feared that publishing in OA journals

would harm their career more than science faculty.⁸ While attitudes have likely continued to evolve since these studies, more recently Stanton and Liew found that HSS graduate students continued to lag behind their peers in the sciences, business, and education in awareness and use of OA repositories.⁹ Edwards notes that, most particularly in the humanities, OA journals continue to lack the prestige of long-standing print journals, and that there is the ongoing perception that they are disadvantaged in assessment tools such as the UK’s Research Excellence Framework or Australia’s Research Quality Framework.¹⁰ More broadly, Rodriguez calls for future investigations to explore discipline-specific concerns in OA publishing, and mentions the humanities in particular as a growth area.¹¹ We can see, then, that while the research has established that faculty awareness is the most important factor influencing use of OA, and that researchers in the humanities tend to be more reluctant to use OA than their peers in the sciences, work remains to be done to identify issues specific to the intersection of the humanities and OA publishing, and to identify appropriate solutions.

General Issues

Some of the issues facing OA in the humanities are common to the whole of the scholarly communication landscape, but have particular ramifications for humanities researchers. Article processing charges (APCs) are regularly cited as a major obstacle to publishing in OA journals for humanities researchers, who typically do not conduct research funded by grants and therefore lack the resources to pay APCs.¹² There is a concern that if APCs are paid by the researcher’s institution it may lead to a form of censorship where the institution could promote or discourage certain lines of inquiry by paying the APCs.¹³ In addition to misunderstandings about the nature of OA noted above, there is a real issue of prestige attached to well-established journals. New OA journals may find it difficult to compete for both high-quality content and readership since they lack the prestige of older, more established journals; conversely, established journals have little incentive to provide OA options, since they already attract the best content and widest readership.¹⁴ Since prestige does not necessarily correlate with quality, use of prestige as a selection criterion tends to unfairly disadvantage newer journals, which are more likely to be OA.¹⁵ This issue seems to be especially acute in the humanities where researchers tend to be skeptical of metrics and rely more on experience and intuition in choosing where to publish or in evaluating their peers’ work.¹⁶ The appropriate length of embargoes for green OA for humanities journals is another contentious issue. Mandler cites the United Kingdom Research Council policy, which institutionalizes a two-tier policy of limiting embargoes to six months for

gold and twelve months for green in the sciences but twelve months for gold and twenty-four months for green for others, and the Arts and Humanities User Group proposal of a three-year embargo as standard for green OA in humanities journals.¹⁷ Claims that short embargoes are harmful to humanities journals and a general prejudice that timeliness is less important to humanities scholars are often repeated but generally not substantiated.¹⁸

Top-Down Postulates

A number of scholars have proposed wide-ranging solutions to the issue of OA for humanities journals. Martin Paul Eve, founder of the Open Library of Humanities project, suggests a cooperative venture among academic libraries that would “underwrite the labor of publishing on a not-for-profit basis, offering societies an opportunity to do gold OA without author-facing charges.”¹⁹ Jackson cites the Open Library of Humanities as a model that provides traditional editorial and gate-keeping services without the APCs that are usually prohibitive for humanities researchers, by being subsidized by library partners.²⁰ Others propose similar projects that adopt the gold model prevalent in the sciences, but look for ways to shift APCs away from the authors. Willinsky proposes that libraries could shift funds from subscriptions to cover APCs, and that libraries can partner with journals to provide expertise in hosting and preservation.²¹ Kennison and Norberg suggest a similar shift of funds to a central administrative unit that would distribute them to scholarly societies and related organizations to fund their journals to eliminate the need to collect article processing fees.²² The success of these proposals remains *sub judice*, but could be slow in coming as they require sustained funding from partners (primarily academic libraries) who must be convinced that at some point in the future the ventures will attain the critical mass that will make OA in the humanities less expensive than traditional publishing models. Of particular interest is the OA movement in the United Kingdom, where research tends to be more centrally funded; in this case, the legal requirement that such publicly funded research be made openly available serves as a more direct incentive for publishers to provide OA options, and UK legislation has been relatively aggressive in using that leverage, compared (especially) to the United States, where the research landscape is more diverse and OA initiatives tend to be less centrally organized.²³ Given that humanities research is less typically publicly funded, it is worth investigating what effects these different contexts have on OA in the humanities.

Related Issues

Eve notes that some humanities journals have proceeded to OA outside of such larger frameworks that would help

offset their costs of production, but it is also evident that this approach entails issues of its own.²⁴ Rodriguez notes that faculty sometimes commented on the challenges of accessibility and discovery of content in OA journals, presumably reflecting that they often lacked the sophisticated interfaces of commercial databases.²⁵ Anecdotally, in the author’s library, titles in the Directory of Open Access Journals (DOAJ) are more likely to present issues with link-resolver software, in terms of having inaccurate coverage ranges, inaccurate URLs, and not being able to accept OpenURL requests for specific articles. Jöttkandt and Hall, in describing the Open Humanities Press, indicate that one of the project’s goals is to provide a research gateway that would allow them to compete with commercial consortia like Project MUSE and JSTOR, indicating that this continues to be an area of concern for OA publishing.²⁶ Parallel to the “serials crisis,” humanities researchers face a “monographs crisis.” While publishing monographs continues to be important for humanities faculty in terms of promotion, library budgets have tended to reduce monographs budgets to accommodate increases in serials costs, reducing the available market for monographs in the humanities and endangering the monographs publishing ecosystem, as it were.²⁷ Yet the current dominant models of OA do not address the issue of monographs.²⁸ In a parallel track, Cheverie, Boettcher, and Buschman note that nontraditional forms of scholarship (websites, blogs, software, etc.) present a similar challenge or alternative to traditional academic publishing; for certain forms of scholarship, the traditional tools of peer-review and publication in a prestigious journal or university press are less obviously appropriate, but the needs for evaluation, dissemination, and preservation remain.²⁹ A global view of OA in the humanities should also address these scholarly products.

Research Questions

The goal was to examine a specific subdiscipline in the humanities, namely classics, to see how OA was in fact being implemented, specifically by the journals, with the broader intentions of grounding the often highly theoretical discourse on OA in the humanities and identifying less publicized approaches. Drawing on the trends that emerge in the literature review, the following research questions were identified:

- Do classics journals provide OA options, either green or gold, and to what extent do local culture and the age of the journal influence those provisions?
- Do classics journals that provide gold OA avail themselves of broader cooperative ventures to offset APCs?

- How do classics journals that provide gold OA outside of such broader frameworks address issues of access, preservation, indexing, etc.?
- Do classics journals that provide OA use models or approaches that are not identified in the literature?

Method

A list of classics journals was compiled from a variety of sources including TOCS-IN, SCImago Journal and Country Rank, and the DOAJ.³⁰ The website The Ancient World Online was not used to compile the list of journals; although very thorough, its range is far wider than Greek and Roman antiquity, which was the understanding of classics used here, and its exclusion follows the practice of Romanello.³¹ The author also did not use the list of classics journals from *L'Année Philologique*, since this is a comprehensive historical list, and interest was in currently active journals.³² Each journal's OA policy was examined on the journal's website; where the policy was not clearly stated, information was supplemented from SHERPA/RoMEO.³³ The following data were collected and recorded in a Microsoft Excel spreadsheet:

- Journal title
- Location
- Earliest publication date
- Peer-review policy
- Is Green OA/self-archiving allowed?
- If so, which version?
- If so, is the length of the embargo?
- Is Gold OA available?
- If so, what is the APC?
- If so, do/could cooperative ventures defray the APC, their identity?
- Access/preservation/indexing issues observed
- Other notes

In the process of collection, it became clear that the following data were also needed:

- Is the policy on the journal's site largely complete?
- How was the data augmented (e.g., from SHERPA/RoMEO)?

Data were collected November 10, 2015m through February 18, 2016. Initially, 229 titles were identified; after data collection, 16 were omitted because they were not peer-reviewed journals (6), they had ceased publication (8), or no information could be retrieved (2), leaving 213 titles in the study. An unanticipated number of journals were published in print only (49); these journals almost exclusively did not provide OA or self-archiving options. To clarify the state of the field, these journals were further tagged as

print-only, and the data were processed both including and excluding these titles. Journals currently published in print only but with back issues available through a subscription service (like JSTOR) were considered print-only. Journals currently published in print only with issues in the public domain digitized by a third party (e.g., Google) were considered print-only. Journals currently published in print only with in-copyright back issues available through a public service (like Persée) were not considered print-only, but as providing a kind of OA. Locations were coded as North America, United Kingdom, Europe, and elsewhere; the United Kingdom has a unique set of regulations regarding OA (see above), and was therefore coded separately from the rest of Europe. Green OA was understood as available whether the publisher used the language “green open access,” “self-archiving,” “author retains copyright,” etc.; if only an abstract or a link to the publisher site was allowed, this was not considered to provide green OA. If no policy was found, the title was not considered as green OA; however, if the title was a fully OA journal that did not express a separate policy for green OA or self-archiving, this was understood as allowed, following the model of SHERPA/RoMEO. For titles identified as providing green OA, the version allowed was coded as “submitted” (i.e., the original manuscript before revisions or copy editing), “accepted” (i.e., the revised manuscript approved for publication, but before copy editing, also called “revised”), “final” (i.e., the version of record as it appears in the journal), or “unknown” (when the allowed version could not be determined). If a journal's policy indicated that several versions were allowed, the most liberal code was applied (e.g., if the policy stated “submitted or accepted version may be posted in institutional repository,” this was coded as “accepted”). When an embargo was indicated, this was coded as a number of months, or as “unknown.” Cases where the policy stated “submitted version may be posted immediately, accepted version after 12 months” were coded as “accepted” and “12.” If the policy stated that the author retained copyright with no further provisions, this was understood to allow posting of the final version with no embargo. Gold OA was understood as available whether the journal policy used that term, the journal was itself fully OA, or otherwise stated that the content would be freely available from the publisher. APCs were converted to US dollars at the following rates: €1.00 = \$1.10, UK £1.00 = \$1.40, Canada \$1.00 = \$0.75, which were all typical rates during the period of data collection; no other currencies were encountered. If the policy did not provide the APC, it was coded as “unknown.” As above, if back issues were made freely available through a cooperative venture (e.g., Persée), the title was considered to offer gold OA with no APC, and a note of the lag or embargo was made; if only issues in the public domain were digitized it was not considered to offer gold OA.

Table 1. Version Approved for Green OA

Version approved	Number	Percent
Submitted only	0	0
Accepted	36	36
Final	43	43
Unknown	21	21
Total	100	100

Table 2. Length of Embargos for Green OA

Length of embargo	Number	Percent
No embargo	43	43
12 months	15	15
18 months	6	6
24 months	13	13
36 months	3	3
48 months	1	1
Unknown	19	19
Total	100	100

Results

Availability of OA Options

A slim majority of the journals surveyed offered some type of OA. Approximately 47 percent (100/213) offered green OA options, and approximately 49 percent (105/213) offered gold OA options; more than 60 percent (129/213) offered green, gold, or both. If print-only journals are excluded from the results, the majority is more substantial with 78 percent (129/164) of journals offering at least one option.

Green OA Options

Of the hundred titles that offered green OA options, none allowed deposit of the submitted version only, though some indicated that the submitted version could be deposited immediately, to be replaced with the accepted or final version at the time of publication or the expiration of the embargo. Those allowing deposit of the accepted version were 36 percent (36/100), and 43 percent (43/100) allowed deposit of the final version or version of record. The policies of 21 percent (21/100) did not indicate which version could be posted (see table 1). Nearly half (43 percent, 43/100) of the titles offering green OA did not impose an embargo. When embargos existed, they ranged from twelve months to forty-eight months, with the preponderance of embargos being twelve or twenty-four months. For nineteen titles, the policy did not indicate whether there was an embargo, or, if

Table 3. APC Requirement

APC required	Number	Percent
Yes	32	30
No	59	56
Unknown	14	13
Total	105	100

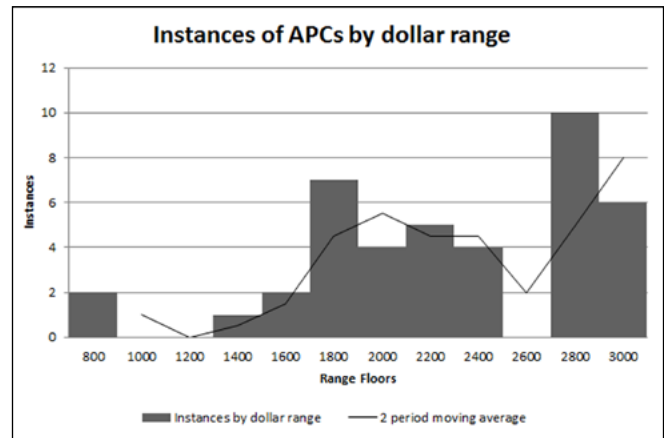


Figure 1. Instances of APCs by Dollar Range

there was, how long (see table 2).

Gold OA Options

Of the 105 titles offering gold OA options, 56 percent (59/105) did not collect an APC, 30 percent (32/105) did require an APC, and for 13 percent (14/105) the policy did not state whether an APC was required (see table 3). APCs ranged from \$800 to \$3,000, but most instances were at the higher end of the range, with the mean being \$2,347, the median \$2,435, and the mode \$3,000. In figure 1, the bars indicate the number of instances by range floor, and there were two instances of APCs of at least \$800, but less than \$1,000. The trend line shows the two-period moving average to give a clearer picture of the pattern.

Geographical Distribution of OA Options

The availability of green OA options varied by geography. In North America, 63 percent (33/52) of journals offered some green OA options, in the United Kingdom it was 41 percent (12/29), in Europe 39 percent (46/119), and elsewhere it was 69 percent (9/13) (see table 4). Statistical significance is not a relevant measure in this study; since virtually the entire population of classics journals is included in the data sampling error is not at issue. For analysis of this data as a sample of the larger population of humanities journals, see

Table 4. Green OA Availability by Region

Region	Offer Green OA in Region	Total in Region	Percent Offering Green OA in Region
North America	33	52	63
United Kingdom	12	29	41
Europe	46	119	39
Elsewhere	9	13	69

Table 5. Gold OA Availability by Region

Region	Offer Gold OA in Region	Total in Region	Percent Offering Gold OA in Region
North America	23	52	44
United Kingdom	11	29	38
Europe	63	119	53
Elsewhere	8	13	62

Table 6. Gold or Green OA Availability by Region

Region	Offer OA in Region	Total in Region	Percent Offering OA in Region
North America	37	52	7
United Kingdom	14	29	48
Europe	69	119	58
Elsewhere	9	13	69

the discussion below.

For gold OA options, these were offered by 44 percent (23/52) of North American journals, 38 percent (11/29) of UK journals, 53 percent (63/119) of European journals, and 62 percent (8/13) of journals from elsewhere (see table 5). When considering journals that offered green OA options, gold OA options, or both, this occurred in 71 percent (37/52) of cases in North America, 48 percent (14/29) in the United Kingdom, 58 percent (69/119) in Europe, and 69 percent (9/13) elsewhere (see table 6).

OA Options by Age of Journal

The availability of green OA options also varied with the age of the journal. Age brackets were constructed as 1991 to present (26), 1966–90 (65), 1916–65 (76), and older than 1916 (46); the first division was set at 1991 to group together journals established since the advent of the internet and with the possibility of offering OA from their inception. Of journals established 1991 to the present, 85 percent (22/26) offered green OA; of those established 1966–90, 48 percent (31/65) did; of those established 1916–65, 36 percent (27/76) did; and of those established before 1916, 43 percent (20/46) did (see table 7). The incidence of offering gold OA options

was 81 percent (21/26) for journals established 1991 to the present, 52 percent (34/65) for those established 1966–90, 43 percent (33/76) for those established 1916–65, and 37 percent (17/46) for those established before 1916 (see table 8). Of journals founded from 1991 to the present, 88 percent (23/26) offered either green or gold options; of those founded 1966–90, 63 percent (41/65) did; of those founded 1916–65, 51 percent (39/76) did; and of those founded before 1916, 57 percent (26/46) did (see table 9).

Qualitative Data

Additional issues emerged from the survey that helped describe the humanities OA landscape. OA policies were often difficult to locate on the journals' websites and were frequently incomplete; 57 percent (122/213) were identified as being incomplete and in need of being supplemented by the RoMEO/SHERPA report; this information was also not available in the report for some titles. Language was often inconsistent, with green OA sometimes referred to as "self-archiving," and gold OA referred to simply as "open access," or the ability to post a citation and link to the published paper in an institutional repository was presented as a kind of green OA. Further, the description of the different

Table 7. Green OA Availability by Age

Age	Offer Green OA in Bracket	Total in Bracket	Percent Offering Green OA in Bracket
25 years or younger	22	26	85
50 to 26 years	31	65	48
100 to 51 years	27	76	36
100 years or older	20	46	43

Table 8. Gold OA by Age

Age	Offer Gold OA in Bracket	Total in Bracket	Percent Offering Gold OA in Bracket
25 years or younger	21	26	81
50 to 26 years	34	65	52
100 to 51 years	33	76	43
100 years or older	17	46	37

Table 9. Gold or green OA by Age

Age	Offer OA in Bracket	Total in Bracket	Percent Offering OA in Bracket
25 years or younger	23	26	88
50 to 26 years	41	65	63
100 to 51 years	39	76	51
100 years or older	26	46	57

versions of the article varied. For journals published by large publishers, a single OA policy was often set for all journals from that publisher. Very few cooperative ventures were seen; one journal provided OA for a “freemium,” and an HTML version of the content was freely available, but to access a downloadable, printable (i.e., PDF) version, the reader’s institution needed a subscription to the sponsoring body. A number of French journals made their content available through the cooperative venture Persée (see below), and a few other journals enjoyed similar relationships with other digitization projects. Where longstanding journals had converted to gold OA and were making all content available, the availability of back issues varied widely, both in terms of an embargo, which ranged from six months to twelve years, with most in the range of three to five years, and in terms of not yet having completed the digitization of older issues. In a few cases, a stated policy had not yet been implemented. For many journals published directly by university departments or scholarly societies, the online publishing platforms were very simple and lacked discovery tools such as indexing and OpenURL linking, though search functions by author or keyword in title were sometimes available.

Discussion

Implementation of OA in Classics Journals

The implementation of OA in the academic discipline of classics is promising, given that 60 percent of the journals surveyed offered at least one OA option, but there is substantial diversity within the field, and a number of serious issues continue to hinder further implementation. First, nearly a quarter of the journals surveyed continue to be published in print format only, and this number would be higher without cooperative digitization projects such as Persée. Romanello found this to be the case for Italian classics journals, and the preponderance (80 percent = 39/49) of print-only journals discovered in this survey were also from Europe.³⁴ Romanello noted that one of the major obstacles for older journals in converting to online format was the digitization of earlier issues, which is partially supported here in that the mean date of print-only journals was somewhat earlier than the mean date of all journals surveyed (1939 compared to 1947). However, geography was a much greater determinant for remaining print-only, since there are many long-standing journals in North America and, especially, in the United Kingdom, that have made the transition to the

Table 10. Green OA by Location, Excluding Print-Only Journals

Region	Offer Green OA in Region	Total in Region Excluding Print-only	Percent Offering Green OA in Region Excluding Print-only
North America	33	46	72
United Kingdom	12	22	55
Europe	46	80	58
Elsewhere	9	9	100

print-and-electronic format. This suggests that the resistance to this conversion in Europe may be more a matter of culture than of practicality. This is consonant with the general trend noted in the literature review that humanities scholars tend to be resistant to changes in publishing models. In France the Persée project has been effective at meeting this need, digitizing and hosting back issues of journals that would otherwise be available only in print; not all French print journals are yet available on Persée, but the utility of the online versions may help change the culture so that online access will become the norm.³⁵ The Swiss journal *Museum Helveticum* similarly makes its back issues available through the Swiss Electronic Academic Library Service, and the German journal *Rheinisches Museum für Philologie* makes its back issues available through a digitization project supported by the Deutsche Forschungsgemeinschaft.³⁶ Similar projects addressing Italian and Greek print-only journals in particular would help overcome this preliminary obstacle to OA.

Next, there were marked differences in the availability of OA options depending on geography, with green options being more widely available in North America and elsewhere (63 percent and 69 percent respectively) than in the United Kingdom or Europe (41 percent and 39 percent). Part of that discrepancy may be accounted for because of the preponderance of print-only journals in Europe, but the difference is still marked when print-only titles are removed from the data (see table 10). This was especially surprising in the case of the United Kingdom, since it in particular has developed legislation tying public funding to OA and underscores how humanities researchers tend not to rely on public funding and that efforts to broaden OA in the humanities that rely on applying pressure through that route may not be successful. In offering gold options, these were more widely available in Europe and elsewhere (53 percent and 62 percent) than in North America and the United Kingdom (44 percent and 38 percent); this difference is partly due to Persée and similar projects making otherwise print-only journals freely available, and partly through the preference of several major European publishers (e.g., Brill, DeGruyter) to offer gold options for all their journals. Altogether, the geographical distribution of options suggests there are substantial differences in the humanities publishing cultures between the different regions: larger European publishers tend to prefer

offering gold options for all their products, which poses difficulties for humanities scholars who typically lack the public funding to pay the APCs, while smaller journals still published by university departments or learned societies tend not to offer electronic versions. In North America, journals tend to prefer offering green options, which lay the burden of navigating the variety of policies and terminology on the scholar. UK journals seemed generally most resistant to offering any kind of OA options. These trends are demonstrated here for classics journals only, but analyzing the classics journals as a sample of the larger population of humanities journals sometimes indicated statistically significant results. A chi-square test of independence was performed to examine the relation between geographical area of the journal (all categories) and offering green OA. The relation between these variables was significant: $X^2(3, N = 213) = 11.931, p < 0.008$. The same test was performed to examine the relationship between geographical area (comparing North America and the United Kingdom) and offering any type of OA. The relation between these variables was also significant: $X^2(1, N = 81) = 4.179, p < 0.05$. In other cases, such an analysis was less conclusive. A chi-square test of independence was performed to examine the relations between geographical area (all categories) and offering any OA, and between geographical area (all categories) and offering gold OA. The relations between these sets of variables were not highly significant: $X^2(3, N = 213) = 5.016, p < 0.18$ and $X^2(3, N = 213) = 3.936, p < 0.27$, respectively. Thus the results, while describing the trends in classics journals, are not immediately applicable to humanities journal more generally. While further study is needed to clarify the role of local publishing cultures in the humanities more broadly, efforts to increase OA options in classics journals specifically would seem best directed at local obstacles.

The age of the journal consistently corresponded inversely with its likelihood of offering OA options across all geographic regions, whether looking at green, gold, or either option. This finding, while not surprising, corroborates anecdotal evidence and theoretical models found elsewhere in the literature. Considering classics journals as a sample of humanities journals more broadly, these results tend to be significant. A chi-square test of independence was performed to examine the relations between the age of the journal (all categories) and those offering green OA, offering

gold OA, and offering any OA. The relations between each of these sets of variables was significant: $X^2(3, N = 213) = 15.523, p < 0.002$, $X^2(3, N = 213) = 14.391, p < 0.003$, and $X^2(3, N = 213) = 11.68, p < 0.009$, respectively. While we should wish to repeat this test with a more representative sample for the humanities more generally, progress in expanding OA in the humanities requires understanding the obstacles specific to long-standing journals and how these can be addressed.

Gold OA and APCs

APCs did not appear to be the central issue for OA in classics journals that the literature suggested. The majority of journals that provided gold OA did not have APCs, but provided free access to all content, often after an embargo period. Where APCs did exist, the data supported the general trends seen in the literature: most APCs were in the range of \$2,000 to \$3,000, which scholars cannot reasonably afford without outside funding, which is generally not present for humanities researchers. Most APCs were charged in accordance with publisher-wide policies that do not account for the different financial landscapes of humanities scholars as compared to researchers in science, technology, engineering, and math (STEM) disciplines. Only one publisher offered a sliding scale with reduced APCs for scholars from developing countries. This is perhaps not surprising, given that the field of classics deals primarily with the cultural heritage of Europe and the preponderance of scholars are located in the developed countries of Europe, the United Kingdom, and North America. Nevertheless, it is something of a missed opportunity to encourage the distribution of scholarship from outside that historical core. Few journals offering gold OA indicated that APCs were offset or could be offset by cooperative ventures. The journal *Aitia: Regards sur la Culture Hellénistique au XXI^e Siècle* indicated that it was supported “by the UMR 5189 HISoMA, the UMR 5037 CERPHI and the WISH,” but this sort of explicit statement was rare even among journals that made all content freely available.³⁷ Especially for journals closely associated with university departments or learned societies, the assumption seems to be taken as given that the associated body provided the resources to make the content available. In either of these cases, it was not a matter of a cooperative venture providing funds to cover APCs, but of individual university departments or societies; professional organizations in the field of classics do not yet seem to have pursued this option for promoting their scholarship. The greatest issue with APCs was communication; policies on APCs were generally not available in the same part of the journal’s website where policies on submissions, peer-review, etc., were found, and often required an extensive search to locate, which would tend to discourage researchers from pursuing the gold OA

option. A substantial portion (13 percent = 14/105) of journals where gold OA was available did not indicate whether there was an APC or what it was.

“Just Doing” OA

As Eve noted, humanities journals have sometimes “just done” OA, but that this often entails further issues.³⁸ This study supports Eve’s observation. Although quantitative data were not collected, many of the journals that made their content freely available did so by simply posting electronic copies of the articles on their sites, others provided some rudimentary tools, such as author and title indexes, others provided more sophisticated tools such as keyword search, and some had professional-level sites. Altogether diversity was the rule here, and age and geography do not seem to be strong determinants, though, again quantitative data was not collected on this question, since the relevant variables were not yet understood, given the paucity of research on the topic. For example, *Bryn Mawr Classical Review* claims “to be the second oldest online scholarly journal in the humanities,” first publishing in 1990 and providing OA from its inception; it offers keyword searching and indexes of authors of reviews and authors of works reviewed, but no subject indexing or article-level linking.³⁹ With a completely different history, *Greek, Roman, and Byzantine Studies* was founded in 1958 and ceased paper publication in 2010 and became a fully OA journal, charging no APCs but funded by Duke University Libraries and Duke University, Department of Classical Studies.⁴⁰ The site is sophisticated, offering author, title, subject term, and Greek word indexes, though the last two indexes have not been completed for earlier volumes at the time of writing, and article-level linking is not available. This is a good example of an established journal converting to OA without waiting for larger frameworks to be established; the journal depends on the Duke University Libraries to host the content and on the professional service of its editors and reviewers, which seem to be readily available. Whether such a model is exceptional to this journal, would be more broadly usable in the field of classics, or even extensible to the humanities generally needs further exploration. In comparison, *Graeco-Latina Brunensia* provides content only, with a minimum of discovery tools (i.e., keyword searching).⁴¹ Similarly, the *New England Classical Journal* provides free access to issues prior to 2004, tables of contents for recent issues, and selected recent articles, but no discovery tools or article-level linking, though a master list of tables of contents is available.⁴² Most journals published independently by their sponsoring university departments or scholarly societies lay somewhere within this spectrum, from providing HTML versions or scanned images of select content to comprehensive coverage with sophisticated discovery tools. None seemed able to compete with commercial

publications in terms of article-level linking through technologies such as OpenURL. This diversity suggests that development in this area has depended on the awareness, interest, expertise, and initiative of the individuals involved, and that efforts in promoting OA to individual editors may produce substantial results as much as trying to implement the broad frameworks that appear in the literature.

Innovative Approaches

Disappointingly, the journals examined did not evince a great deal of innovation, and no new approaches were identified by the survey. As noted, *Bryn Mawr Classical Review* was highly innovative at its inception and continues to keep pace with developments, but does not offer any insights over the currently familiar landscape. Again, innovations noted in the literature were not broadly implemented in this set of journals, with only one employing the “freemium” model, and a single publisher offering a sliding scale of APCs for authors from developing countries. In France, the digitization and delivery services provided by Persée represent an important innovation that is not widely discussed in the literature and one that has been successful in partnering with a many journals. As previously noted, this is an important local approach for Europe, where there remain a relatively large number of journals in print only, and, the literature suggests, the digitization of earlier issues is one of the roadblocks to moving online and ultimately considering offering OA options.

Strengths and Limitations of this Study

This study was primarily exploratory since much of the literature has dealt with the question of OA on a theoretical level or examines scholars’ attitudes, not the practices of journals. The study’s primary strength is its comprehensive coverage of its subject population; since classics is a rather narrow field, a very high proportion of all current, peer-reviewed journals in the field could be examined, so that the results represent that field with high accuracy. Because data were gathered on all the journals, and failure to post a policy was collected as a kind of data, there is a minimal self-selection bias (see above for the few journals that were excluded). The primary caveat in this respect is that journals did not always communicate their OA policies clearly, and some results were based on third-party data (e.g., RoMEO/SHERPA) or interpretation of potentially ambiguous language in the policies.

The survey results are limited in that they are directly applicable only to the target population. The field of classics has something of a unique culture within the humanities so that the study results are not immediately generalizable to the broader field, though they may help define the trends

and relevant questions for further research. In particular, age of journals was found to be a good predictor of OA policy, but since classics has comparatively many long-running journals and few recently established journals, that correlation may be different in other disciplines. Comparative data between different disciplines within the humanities will help refine our knowledge of the issues around OA there. Again, the study is descriptive, surveying journal policies, and does not provide access to the rationale behind those policies; further research, for example, surveying or interviewing journal editors, is needed to provide this kind of insight. Further limitations of the study include that it represents the state of the field at a single time; since OA practices are changing rapidly, adding longitudinal data to identify trends is a further desideratum.

Conclusion

This study confirms in quantitative terms some of the conventional wisdom about OA in the humanities found in the literature, and in other cases challenges those views. Further, it identifies some trends not discussed in the literature, and can help establish a research agenda to further map the policies, potentials, and issues of OA in the humanities. First, as suggested in the literature, access to OA journals in classics often suffers in comparison to commercial offerings such as JSTOR or Project MUSE, most particularly in article-level linking, but in many cases also with subject and author indexing. The intuition that older, prestigious journals tend to have little motivation to offer OA, and that newer journals are more likely to offer OA, is substantiated in that newer journals were far more likely to offer OA options, though it was less clear that this had to do with prestige rather than the logistical challenges of converting a long-standing print journal to an OA model. In contrast, the idea that APCs are a major obstacle for humanities scholars did not receive unambiguous support; where APCs were required, they tended to be outside the reach of scholars without external funding, as is typically the case for humanities researchers, but the majority of journals offering gold OA did not charge APCs, and often also offered green OA options. The conventional view that embargoes tend to be longer in the humanities than for STEM journals needs refinement; for self-archiving, the greatest number of journals did not impose an embargo, and for those that did, only a few were greater than twenty-four months; in comparison, when journals offering gold OA options imposed embargoes, they generally were thirty-six months or longer, which tends to be seen as excessively long. The tendency in the literature to look to larger cooperative ventures to support OA journals or reduce or eliminate APCs seems to have made little impact on this group of journals; where journals

noted partners or sources of support, these were often local, individual partnerships with a university library or department, or a scholarly society. Persée's success may suggest that such projects could best focus on overcoming specific obstacles rather than trying to address the whole complex of issues surrounding OA.

The study also identified several issues that were not previously widely discussed in the literature on OA. First, a significant number of classics journals continued to be published in print only; further study is necessary to determine if this a common issue across the humanities or is primarily a function of the age and conservatism of this particular field. It is certainly an important obstacle to OA that needs to be addressed. Second, differences in trends in OA based on the geographical distinction between North America on versus and Europe and the United Kingdom appear as a significant finding of this study. As discussed earlier, part of this geographical difference is a matter of practicalities, with Europe and the United Kingdom producing more long-running journals for which the digitization of back issues and changing of workflows and business models present obstacles to offering OA options. We should not rule out a cultural component contributing to this difference as well, especially as the United Kingdom (and to a lesser extent, Europe) has been more aggressive in establishing centralized mandates for OA, and this seems to have produced results different in extent and kind from the *laissez-faire* approach taken in North America. Altogether, the geographical distinctions seem to be the result of complex issues that require further research. Much of the literature on OA in the humanities tends to approach the problem systematically, looking for global solutions, though, as Eve notes, some journals proceed with offering OA on their own terms as they are able; this study suggests that this path to OA may be closer to the rule than the exception for humanities, and that solutions that address local problems are more likely to be effective.⁴³ Finally, perhaps predictably, the larger publishers, such as Oxford University Press, Cambridge Journals, Brill, DeGruyter, and Wiley, tended to have the fullest and most nuanced OA policies; naturally such publishers have the resources to adapt their technologies and business models more quickly than an independent journal supported primarily by a university department or a scholarly society, yet it is often the latter that stands to benefit both itself and the discipline most from the move to OA in terms of providing broader access to specialized content and increasing the diversity of viewpoints in the field. Since goals such as these may be seen as closer to the center of OA in the humanities, where unscrupulous pricing tends to be less of an issue than in STEM journals, this research may encourage stakeholders looking to expand OA in the humanities to explore ways to support such independent journals in their transition to offering OA options.

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Notes on Operations

Can RDA Content, Media, and Carrier Coding Improve Discovery Facet Mapping?

Carolyn McCallum, Kevin Gilbertson, Steve Kelley, and Lauren E. Corbett

Online public catalogs have provided users with the option to conduct faceted searches for more than a decade. Although faceting is undoubtedly useful to the discovery process, the authors found that their system's default facet mapping was inadequate for their researchers' needs, particularly for the faceting of bibliographic formats, and librarians at their institution have worked extensively to revise this mapping. These revisions have relied on creating complex decision trees, which require the system to consult multiple fields and subfields in bibliographic records to assign more precise format facets. When their authority control vendor offered to add Resource Description and Access (RDA) coding to their bibliographic records, including the new Content, Media, and Carrier fields that describe formats with greater granularity than the General Material Designation, they questioned whether the new RDA coding might improve their public catalog's format faceting. They found that the limitations of the MARC format as a data encoding standard meant that the RDA coding was not appreciably more useful to the format faceting process.

The online public catalog interface of the Z. Smith Reynolds Library at Wake Forest University (WFU) has provided users with the option of faceted searching since 2009. Although faceting is undoubtedly useful to the discovery process, we found that our system's default facet mapping was inadequate for our researchers' needs, particularly regarding the faceting of bibliographic formats, and our librarians have worked extensively to revise this mapping. These revisions have relied on creating complex decision trees, which require the system to consult multiple fields and subfields in bibliographic records, to assign more precise format facets. When our authority control vendor, Backstage Library Works, offered to add Resource Description and Access (RDA) coding to our bibliographic records, including the new Content, Media, and Carrier Type (CMC) fields that describe formats with greater granularity than the General Material Designation (GMD), we questioned whether the new coding could be used to improve the format faceting in our public catalog. With this research question in mind, we sent our bibliographic records to Backstage for RDA enrichment.

Setting

Located in Winston-Salem, North Carolina, WFU is a private institution with approximately 4,800 undergraduate and 2,800 graduate students. Three libraries—a medical library, a law and professional library, and the Z. Smith Reynolds Library (ZSR)—support the university's academic activities. ZSR, the largest of the three libraries, serves both undergraduate and graduate students in WFU's

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ZSR currently holds approximately 1.9 million print volumes and provides access to more than fifty thousand electronic journals (e-journals) and almost eight hundred thousand electronic books (e-books). Nonprint collections (film, microform, music, digital, etc.) and the university's archival and special collections (rare books and manuscripts) are also housed in ZSR. Additionally, ZSR has been a selective depository for US government documents since 1902. The library is organized into seven departments—Administration, Access Services, Digital Scholarship, Research and Instruction, Resource Services, Special Collections and Archives, and Technology—that regularly collaborate on library projects and initiatives, including the focus of this case study and analysis.

ZSR's integrated library system is Ex Libris' Voyager, and ZSR has used VuFind, an open source discovery system developed by Villanova University, since 2009 as its primary online catalog interface. With sophisticated indexing and versatile searching capabilities, VuFind enables ZSR librarians to customize the catalog experience via a number of algorithmic parameters, including variables in the SolrMarc software used to index MARC metadata. Moreover, VuFind provides progressive search refinements within sets of search results via multiple flexible query facets.

RDA for original cataloging was adopted at ZSR in December 2013, after accepting RDA for copy cataloging at an earlier date. These relatively small additions of RDA and RDA-hybrid records to our catalog meant that the large majority of our bibliographic records were fully Anglo-American Cataloguing Rules, 2nd ed. (AACR2)—compliant prior to the Backstage enrichment project in December 2014.

Literature Review

Only a few papers proved relevant to our specific goal, but others provided related ideas or problems, and were included in the literature review. We were interested in addressing feedback from librarians and the technical feasibility to quickly make any changes that we perceived as improvements in the granularity of facets, in particular to separate VHS from DVDs and music CDs from vinyl record albums (LPs). Our goal was not to conduct a usability study since we had recognized problems during our own searches in VuFind, nor was it to compare integrated library systems or to look ahead to linked data, but solely to examine whether it was possible to make practical and immediate changes with RDA-enhanced MARC records in VuFind to improve faceting.

Nelson and Turney explored the incorporation, use, and value of faceted navigation in the design of commercial

websites. They observed three prominent characteristics in the sites' search interfaces: "(1) the importance of facets as a key component in the search design; (2) the personalization of the text that instructs the user; and (3) intelligibility of facet labels."¹ Applying their knowledge of e-commerce design and comparing it to the design of today's library discovery interfaces, the authors recommended three areas that both libraries and vendors must address and work together to improve: clarity of purpose and personalized instruction for the search box; selection and display of clear, meaningful, and jargon-free facet terms; and attracting users to the facets column to assist in narrowing or refining their search results.²

Hider approached the use of CMC fields in survey-based research that was designed "to map out catalog users' conceptualization of library resources, testing the content-carrier categorization proposed by RDA."³ He concluded that content and carrier data combined does not come close to meeting searcher needs and that adding "additional facets, such as purpose and audience, would greatly enhance OPAC searching. Given their preponderance in this user group's ontology, they may in fact be as critical and as 'core' as the content and carrier facets."⁴ Hider explained that "purpose" might be information versus entertainment and an example of "audience" was the visually impaired. He also stated that cataloging "rules do not prescribe the use of specific, standard taxonomies to express these facets, which is critical if the information is to be used in faceted navigation."⁵

Bernstein looked more generally at the limited utility of the CMC fields for meeting the researcher needs of finding, identifying, selecting, and obtaining materials, and argued for the increased use of the RDA carrier characteristics. He suggested that the MARC fields for the RDA carrier characteristics (340 – Physical Medium, 344 – Sound Characteristics, 345 – Projection Characteristics of Moving Image, 346 – Video Characteristics, and 347 – Digital File Characteristics) are not discussed much in the literature and barely used because, although the fields were "approved in July 2011 for inclusion in the [MARC] standard . . . they did not appear in OCLC's Bibliographic Formats and Standards (one of the primary references to which catalogers look when performing their work) until late July of 2013," and because of this "they have remained in the eyes of catalogers merely theoretical concepts."⁶ Bernstein argued that the carrier characteristics supply needed detail for mediated materials to fully differentiate them and make them findable, over and above the more general level of detail in the CMCs, by providing "a necessary additional hierarchy level of description of, and access to, a resource's unique properties."⁷

Rice Sanders, working in Innovative Interfaces' (III) Encore discovery tool, briefly described one of the problems we were addressing (albeit as part of a larger improvement plan): having one umbrella label derived from MARC material types ("Web resource") instead of more granular terms

“such as e-book, e-map and e-journal. Now, with streaming video and other types of electronic content, the group [consortium] needs to agree upon labels for other kinds of electronic content.”⁸ Rice Sanders recognized that it would be necessary to make edits in III’s Millennium to add new material types to introduce more granularity.

Belford offered a methodology to aid library professionals in the selection of a discovery tool. She discussed MARC Leader (LDR) and RDA elements, explaining that vendors may use different combinations of coding in their default facet mapping, and she offered samples for testing displays and results in systems. Belford noted that for music, medium of performance (in an optional MARC 048 field, or RDA MARC 382 field) and “MARC 344–347 fields (sound, moving image, video, and digital file characteristics)” could be useful in identifying formats if more of this data were present in records.⁹

Majors and Mantz looked specifically at discovery tools in searching for music, “where a keyword search will usually result in a multi-format set of results if not something richer and therefore more complicated. Empowering the user with effective tools to manipulate a large and varied search result set is key to user success with music searching.”¹⁰ Henry, also looking at music searching, but more specifically with regard to the effects of RDA, observed that the loss of GMDs from AACR2 removed the shortcut of adding “sound” to a search, which was counterbalanced by the ability to find the more specific format using facets. He explicitly stated that the CMCs were “not necessarily meant to be displayed in a public catalogue but instead could be used to generate more user-friendly descriptions such as ‘compact disc.’”¹¹

Ou and Saxon surveyed 1,300 III customers to learn how many chose to display CMCs in the public catalog. They called their survey results a snapshot. Out of fifty-three responses, thirty-three libraries (62 percent) reported that “they do not display the 336, 337, and 338 fields in their public interface at all.”¹² Ou and Saxon noted that when a mixture of records—some with only GMDs, some with only CMCs, and others with hybridization (including both GMD and CMC)—exists in the catalog, it impacts public display. In survey comments, they received complaints about the workload related to coping with this mixture and of seeing “no appreciable benefit” from the changes.¹³ They suggested that the “sustainable” option would be to add CMCs, noting that OCLC “anticipates removing GMDs from WorldCat records” sometime after March 31, 2016.¹⁴ Additionally, they suggested that it might be possible to populate the CMCs in a systematic, automated fashion using a combination of fixed fields and other fields in the MARC record. They remarked that the CMC terminology, especially “unmediated,” could be confusing to researchers. Format or material-type “icons” were generated from a single fixed field, that is, the “same way for both AACR2 and RDA records,” and only one icon

could be generated per record.¹⁵ Ou and Saxon offered that the CMCs might be an improvement in precision over the GMD, which provides either content or carrier, but not both, in a single display space, and suggested that “generating icons that are based, at least in part, on the Content, Media, and Carrier Types is a popular idea.”¹⁶ One survey response suggested that the “recently introduced field, the Form of Work stored in the MARC 380, as perhaps more useful than the Content, Media, and Carrier Types” because it “can include terms such as ‘Play,’ ‘Television program’ or ‘Motion picture.’”¹⁷ Ou and Saxon concluded that “this remains a time of transition” and that the “promise of the Content, Media, and Carrier Types and the FRBR entities they describe has not yet been fulfilled.”¹⁸

Caudle and Schmitz discussed a shift to utilize the CMCs as the basis for format facets by writing new code to replace VuFind’s indexing process, thereby simplifying the creation of the facets.¹⁹ They worked to add the CMCs to AACR2 records via global edits that took more than a year to complete. They concluded that RDA improved format display but thought that they should do more to meet researchers’ needs by improving the granularity of facets. Achieving this required the presence of CMCs in all bibliographic records and the development of additional complex coding. In pursuing these improvements, they found that a library’s MARC record import script “will be just a little simpler,” and a library “must decide if it is worth the amount of time and human resources necessary for implementation.”²⁰

Overall, the papers cited in the literature review matched much of our understanding of the problems to address, yet some voiced caution about the utility of CMCs in faceting. When Ou and Saxon suggested that it might be possible to populate the CMCs in a systematic, automated fashion using a combination of fixed fields and other fields in the MARC record, the authors were beginning an enrichment project with Backstage to do just that. Caudle and Schmitz delved deeply enough into facet mapping decisions based on CMCs to suggest practical and immediate changes that might improve the quality of faceting. However, their conclusions admitted that granularity remained problematic when using the CMCs exclusively to map facets.

Before RDA: Understanding Facet Mapping Options for Formats

After migrating to VuFind in 2009, the authors soon discovered that their initial facet mapping for books and films was not adequately granular to meet their researchers’ needs and expectations. They created separate custom book search and film search boxes on the library website where researchers were funneled into selected channels, with pre-search facets

determined by the library. The range of materials included in such searches was not apparent to our librarians and researchers. For example, were monographic government documents included in or excluded from a book search? Were streaming videos included in a film search or excluded because they were online resources?

In fall 2011, prior to having RDA CMCs included in our catalog records, we reviewed VuFind's decision tree for MARC mapping. Specifically, we determined how to include streaming media in a film search and to separate e-books from other electronic resources (e-resources) (for example, journals, government documents, media). After reviewing VuFind's MARC mapping methods and MARC coding values, we added several refinements to better determine item format, using local cataloging practices and our desired outputs as guides. The determination largely relied on specific 007 code values (Category of material [subfield a] and Specific material designation [subfield b]) with a final inspection of the type of record (Type) and bibliographic level (BLvl) in the record leader.²¹ These precise and accurate identifications in the back-end application established increased flexibility for managing granularity in displaying relevant and usable format facets in the user interface. Overall, the goal was to facilitate precision in searching and browsing ZSR's catalog. In 2012, we created a spreadsheet that highlighted the number of formats and the count of items associated with each format in the library collection and provided a basis for discussion of whether more granular format terms were needed to assist researchers in locating appropriate materials (see table 1).

The Question of "Format"

Our work in distinguishing bibliographic formats complemented the experience of many of the authors cited in our literature review. Customizing our catalog's faceting to create higher levels of granularity was a strong focus. While working on improving facet mapping, other questions became apparent: how do we define what is meant by "format"?; should we accommodate researchers' mental models, the "conceptualization" described by Hider, which might include factors such as audience; and how do we apply more than one format facet for a single record when desired?

Regarding format, depending upon an agency's or individual's use of the term, the meaning and definition can vary greatly. For example, AACR2's glossary defines "format" as "a particular physical presentation of an item."²² OCLC's glossary defines it as "a standard for the representation and exchange of data in machine readable form."²³ In this paper, we primarily define format as the physical medium by which information is stored and presented, such as book, journal, microform, video recording, sound recording, map,

electronic resource, etc. These broad format terms can be further specified, for example: e-book, e-journal, streaming video or audio, microfilm, DVD, CD, atlas, and CD-ROM. As our work proceeded, we encountered cases where several factors, including researchers' conceptual models, determined how we presented an item's format in VuFind's facets, including sometimes assigning multiple format facets to a single record. We also recognized, as did Nelson and Turney, Hider, and Saxon and Ou, that the language used in facet labels should not be jargon heavy and difficult for researchers to understand. Furthermore, we knew that for certain resources, multiple facets would be applied, putting them in seemingly overlapping categories, such as being both a sound recording and an electronic resource for streaming audio.

Audiovisual Formats

As ZSR acquired a greater quantity of streaming videos, it became desirable to have those titles included in a film search. In VuFind's default mapping, all e-resource types—e-book, CD-ROM, database, and streaming video—were mapped to the electronic format facet. To identify streaming videos, we used coding from the 007 fields (subfields a and b) for video recording and e-resource, relying on the Specific Material Designation (SMD) to determine the class of video object. This clarity in format mapping was critical to our success in distinguishing various video recording formats, such as DVD, VHS, streaming video, and the generic video facet. Similarly, for audio formats, we used the 007 subfield d (for speed) to separate vinyl record albums (LPs) from audio CDs. Both LPs and CDs are mapped to the audio facet in addition to their separate facets for LPs and CDs. The ability to apply more than one facet to any single catalog record also aids the researcher in discovering a multiformat kit or a book with a supplemental CD-ROM.

Book with CD-ROM Supplement

In response to a problem reported by a research and instruction librarian, we reviewed the MARC mapping script and observed that a record for a book with a supplemental CD-ROM defaulted to the single facet "software" because it matched on the 007 coding values for "electronic resource." Further processing to determine additional facets was precluded because a facet value already existed. To account for individual catalog records that contain coding for more than one format, the MARC mapping logic was modified to allow for multiple facet assignments. In the case of a book with a CD-ROM, the modified methodology added a conditional check that pulled values from the 007 subfield a, along with the record's Leader values contained in the fixed fields Type and BLvl. This conditional allowed for and ensured more accurate identification of the mapping for a record's multiple

formats. Following these changes, a combination book and CD-ROM record mapped to both the facets software and book.

Government Documents

ZSR is a selective member of the Federal Depository Library Program and, like most libraries, uses the term “government documents” to describe publications of the US Government Publishing Office or by specific departments of the US government (for example, the Department of Labor), plus documents produced by any of the fifty state governments. As a special category or class of material, whose physical features vary depending on the format in which it is published, government documents themselves naturally are not addressed by the CMC fields. Using our definition of format as the physical medium, the term “government documents” would not have a separate VuFind facet. In the default mapping, government documents would be faceted by their physical formats such as e-resource, CD-ROM, microform, etc., according to the Leader or coding information in the 007, not according to who published these materials or their intellectual content. To support the research and instruction librarians’ desire to separate government documents as an exclusive facet, the MARC fixed field GPub (008/28 Government Publication), was added into the MARC mapping to render government documents as an exclusive facet. For researchers using the VuFind interface to the library catalog, this meant that government documents would not appear in search queries refined with any other facet, such as book. This can be helpful when the quantity of government document bibliographic records is overwhelming in the search results.

We took an additional step to seek an even more precise way to map both print and electronic monographic government documents for the purposes of exclusion from the book facet. In addition to including the 008 GPub and 007 values for electronic resource in the MARC mapping decision tree, we added the 086 MARC field for Government Document Classification Number. This precision allowed us to exclude works created by the presses of state universities from our government documents facet to better fit ZSR’s conceptual model of government documents. We discovered during the mapping process that some state university press publications were coded with an “s” in the 008 GPub denoting a state government document per OCLC’s MARC Bibliographic Formats and Standards.²⁴ While not incorrectly coded as a state government document, the general perception among ZSR’s librarians was that researchers would not recognize or regard state university press publications as state government documents. It may be argued that this situation arose because of our librarians’ insistence on having a separate government documents facet, but the problem of potentially confusing our researchers remains without

Table 1. Abridged Formats and Item Counts Across Facet Mapping Revisions (as of 2012)

Mapping: Original	Mapping: Revision 1	Mapping: Revision 2
Book (861840)	Book (800321)	Book (800061)
Electronic (615320)	Electronic (2276)	Electronic (2519)
E-book (23267)	E-book (525635)	E-book (487633)
	Streaming video (2271)	Streaming video (2008)
		Government document (148880)
		E-journal (32591)

this accommodation. Overall, as seen in table 1, we felt we had improved the facets offered in VuFind, which would help save the researcher time, but we were not completely satisfied and wanted to explore the promise of RDA and the CMCs for further refining of our facets.

Introducing RDA Content, Media, and Carrier Type Fields into the Catalog

In early 2014, Backstage Library Works offered to perform a retrospective RDA enrichment of an entire catalog at no cost for current authority control customers. The enrichment would consist of adding RDA data elements to bibliographic records created according to AACR2 rules, thus making them RDA-hybrid records. Because the project would entail sending virtually all of the bibliographic records from our catalog to Backstage for processing, we decided to conduct the retrospective conversion in December 2014 after the end of WFU’s fall semester to minimize any potential disruption in library services to our students and faculty. Before we sent our records, we first established a profile with Backstage detailing what changes we wanted to make to our records.

Completing our profile involved making dozens of decisions regarding the treatment of our records. One of the major decisions was to retain existing GMDs in the 245 sub-field h. Although we could strip the GMD from records to make them RDA-compliant, we retained them because current catalogs present information in a manner to researchers that might cause confusion with the lack of the GMD. The other key elements of the enrichment processing specified in the profile included having Backstage convert 260 imprint fields to 264 imprint fields, spell out abbreviations and Latin phrases (“Dept.” to “Department,” “et al.” to “and others,” etc.), and add CMC fields.

It was the addition of CMC fields that led us to consider whether the inclusion of these RDA elements in our

bibliographic records would improve how VuFind performs faceting on our records. Our initial plan, developed before the RDA enrichment process was implemented, was to see how VuFind handled faceted searching in three scenarios: pre-RDA, post-RDA, and a combination. Pre-RDA would handle faceting the way we historically did; post-RDA would perform the faceting based solely on the CMC fields; and the combination would use both the pre-RDA and post-RDA methods.

However, we found value in adding CMC fields to our bibliographic records and wanted to sustain this practice. We were therefore pleased to realize that our ongoing quarterly authority control processing with Backstage included RDA enrichment of our bibliographic records at no additional cost.

Analysis of Vendor-Supplied Reports

In January 2015, Backstage returned more than two million processed bibliographic records and numerous reports to us. The 1,935 reports, with twenty-one different types, ranged from statistical analyses of the changes to a listing of all publisher imprint fields that were revised to a listing of all the physical description abbreviations that were spelled out (for example, “ill.” to “illustrations”). For the purposes of this analysis, we considered the reports that indicated that a problem had occurred with assigning CMC fields to the bibliographic records.

The largest batch of relevant reports were those that indicated that CMC fields had not been added to a bibliographic record. A total of 356 records were listed on these reports. Of these records, 353 were for materials held in our Rare and Special Collections. These materials included papers, photographs, certificates, notebooks, and letters. We expected that these types of materials would be difficult for Backstage to parse and identify using their algorithms, particularly as the MARC 300 field physical description in the bibliographic records was either “folder” or “box(es),” not the more common physical descriptions such as “v.” for volume or “disc.” The remaining three items included two books and one DVD from the main collections. Of these, one book was partially cataloged, while the other book was part of a kit and inaccurately cataloged. The DVD was inaccurately cataloged, lacking both a GMD or 007 field, which made it difficult to identify as a DVD using an algorithm.

The next category of report was unrecognized GMD, meaning that the automated process failed to recognize the GMD included in the 245 field. Only thirteen records were included in this report, and none had CMC fields assigned. All thirteen records were from Rare and Special Collections and consisted of nine records with the GMD “Graphic,” three records with “Microform Manuscript,” and one with

“Manuscript.” These outdated or fabricated GMDs were added to records for locally held materials, with the belief that they would be limited to internal use within the WFU community. These codes were not intended to be processed by external computers and were not recognized by Backstage.

The final category of report for records that did not receive full processing was called “CMC Optional.” Of the thirty-three records listed in this report, thirty-two were assigned a 338 field of “unspecified” and one record was assigned a 336 field that read “unspecified.” We found that twenty-three of these records were for books and had a misapplied 007 field that should be applied only to media, three DVD records with the GMD in a foreign language, three records were for notated music and had incomplete 007 fields, three records were for pieces of equipment (the catalog is also used to track electronic equipment), and one record was for a US government document, which inexplicably had a German language GMD in the 245 field.

It became apparent that only bibliographic records that were already difficult or flawed had prevented Backstage from providing a thorough conversion to CMC fields. Problems such as an unusual physical description, an inaccurate or absent GMD, and/or an inaccurate or absent 007 field prevented the assignment of some or all of the CMC fields. What is remarkable is the low number of records involved. Only 402 of more than two million bibliographic records were not assigned some or all of the CMC fields, or less than two-tenths of 1 percent of the records processed by Backstage.

Analysis of RDA-Enriched Bibliographic Records

In addition to analyzing the reports, we analyzed the changes made to our bibliographic records, focusing in particular on how the CMC fields were added. The bibliographic records were examined to determine if the correct CMC fields were added, corresponding to the format of the material described.

Based on random sampling, the majority of our records appear to have been processed with the correct CMC fields added. No mistakes were discovered in the assignment of CMC fields for books (print and electronic) and serials (print and electronic), the formats that constitute the vast majority of our collections. Sound recordings were processed correctly, as were video formats, including DVD, VHS, laser-disc, and streaming video. The only difficulty with the DVD format involved Blu-Ray discs, which must be coded by a cataloger as Blu-Ray in the 347 field. We discovered that the majority of our bibliographic records, and many OCLC WorldCat records, lack the 344-347 fields, confirming Bernstein’s and Belford’s observations.

Although most of the formats were accurately processed, two formats were problematic: kits and microfilm.

Because only twenty-two titles in our catalog have the GMD “kit,” we examined all these titles. Each was uniformly assigned the same CMC fields, three-dimensional form (336), unmediated (337), object (338), regardless of the kit’s actual content. Proper cataloging practice requires adding CMC fields for each type of item contained in the kit (booklet, DVD, CD, flash cards, etc.). None of these kits were simply three-dimensional objects. However, as we confirmed with Backstage, their system was only capable of adding one set of CMC fields per bibliographic record. Human intervention will be required to assign additional CMC fields for these kits. Any other multifformat materials (books with supplemental CD-ROMs or DVDs with extensive booklets included), even if they are not coded as kits, will also require human intervention to ensure proper assignment of CMC fields.

The microfilm format presented far greater problems. Prior to Backstage’s processing, all of our approximately eighty thousand microfilm bibliographic records included the GMD “microform” in the 245 field. Each of the records was also coded “a” in the 008/23 Form of Item to indicate “Microfilm.” Some, but not all, of the records had an 007 field, with the code “d” for “Specific Material Designation” to indicate “Microfilm reel.” After Backstage’s processing, we found that numerous records with an 007 field indicating “Microfilm reel” were assigned the Carrier Type “unspecified.” We also discovered cases where the record lacked an 007, yet the record was assigned the correct Carrier Type “microfilm.” We cannot understand why the inclusion of the 007 field (which should solidify the case for identifying an item as a microfilm) would generate the Carrier Type “unspecified.” In the long run, this problem may not be terribly important at ZSR, because, at the time of this writing, a large-scale project is underway to weed and reduce our microform collections, both fiche and film.

Discussion

When we began to review our analysis of the RDA enrichment reports and the enriched records, we were struck by the fact that the CMC assignment proceeded so smoothly. The vast majority of bibliographic records had CMCs added to them, and of those, a tiny fraction were assigned an incorrect term. Interestingly, the records for formats and types of material that we initially found problematic when using the 007, 008, and other fields to determine faceting, were for the most part, not problematic when it came to the assignment of CMCs. For example, streaming video materials, for which the faceting had to be adjusted so that they would be included in the films facet, rather than the electronic facet, were all assigned the correct CMC values: two-dimensional moving image (336), computer (337), online resource (338).

After the success of assigning CMCs in our bibliographic records, we began to carefully think through the application of the CMCs to facets and questioned the value of running the three experimental catalog faceting scenarios discussed earlier. We noted that if Backstage was able to add the CMCs with relative ease and accuracy based on the metadata in our bibliographic records, the CMCs did not provide new information. Rather, the CMCs repackaged data that was already accounted for in our facet mapping. While this new packaging may prove easier to manipulate in future catalog systems and may simplify the transition of data from MARC to BIBFRAME (which does not have the complicated coding of the MARC Leader, 007, and 008), at present it does not add much, if any, value.

Although we had hoped at the outset that running the three experimental scenarios would reveal useful differences, as the project advanced, we realized that this was not the case. We recognized that the inadequacies of the CMC-only approach to faceting were related to using just the data regarding the physical characteristics of a bibliographic entity. As an example of an inadequacy, government documents would not be faceted according to local preferences by using just the CMC. Although the CMC fields were correctly added to government documents, these fields described only the materials’ physical format. However, the very nature of government documents as a category of library materials is based on the fact that these materials are published by governments (federal or state). The CMC fields offer no information as to the provenance of a title. Clearly, the pre-RDA enrichment approach to faceting would be necessary to properly assign the government documents facet. Caudle and Schmitz noted that each library needs to decide for itself regarding the expense of developing new coding for facet mapping based on CMCs, and we decided to work within our existing structure.

Another difficulty with testing a CMC-only approach is that there is no distinction between serials and monographs when relying solely upon CMC coding. Both serials and monographs are coded with CMCs text (336), unmediated (337), and volume (338) for print materials and text (336), computer (337), and online resource (338) for electronic resources. The Leader field is required to distinguish a serial from a monograph. This substantiates the inability to rely upon CMCs alone in providing facets based on publication format.

From these considerations, we realized it was unnecessary to run a test of how faceting would work using the post-RDA approach because we knew that it would be inadequate in several key areas. Additionally, with our realization that there was no essential difference between the data contained in the CMC fields and the various fields consulted in our facet mapping (007, 008, GMD, etc.), and that the finer granularity of faceting in the pre-RDA approach

was provided by consulting more fields in the bibliographic record, we decided that it was unnecessary to run a test comparing how faceting works in the combination approach versus the pre-RDA approach. That is, both the pre-RDA and post-RDA approaches rely on translating data from the MARC record to create the facet: by consulting a table of 007, 008, and Leader values in the pre-RDA method, and by marrying the three CMC fields in the post-RDA method. Any approach to faceting that would be useful to researchers would require consulting multiple fields and subfields within the bibliographic record.

Conclusion

In the end, we found that CMCs alone do not provide for sufficiently robust faceting of public catalog searches. Although CMCs are more granular and specific than GMDs, our pre-RDA faceting has long relied on consulting the 007, 008, 086, and Leader fields during indexing to determine the proper format facet to display. These fields would have to be used even if the CMCs provided the initial basis for our mapping decisions. Rather than use the CMCs, it is easier to continue using our pre-RDA facet mapping because it is adequate to meet our needs, albeit cumbersome. We successfully improved our faceting in many ways, such as separating music CDs from LPs and moving streaming video from e-resources to the film facet, but it required hours of labor by a cataloger and a programmer to revise the mapping.

Even though we currently are not utilizing the CMCs for faceting, we believe the addition of the CMCs will ultimately prove to be beneficial. Because the CMCs unpack the dense metadata about physical format encoded in a number of fixed and variable fields, they make data eye-readable, easier for programmers to utilize, are generally more forward-facing, and potentially more useful in next generation library systems. During this transitional period in the bibliographic world, the more rigorous structure provided by the CMCs readies our data for the approaching linked data environment.

Another way to enhance the structure of bibliographic data is to follow Bernstein's advice for catalogers to increase the use of the 340, 344, 345, 346, and 347 (or 34X) fields to record carrier characteristics. Similar to the CMCs, the 34X fields parse data that was relatively hidden throughout the bibliographic record. Following Bernstein's recommendation, we have begun using the 347 field to record Blu-Ray carrier characteristics. This improves the structure and consistency of our data because prior to the creation of the 347, Blu-Ray data was recorded in the 007 fixed field and/or the 538 note, neither of which is easily searchable or indexed. Although the 34X fields and CMCs improve the structure

of the data for physical characteristics that determine facets, they are not designed to describe the intellectual content of bibliographic entities.

The increased use of the relatively new 38X MARC fields could address this deficiency. They include field 380 (Form of Work), 381 (Other Distinguishing Characteristics of Work or Expression), 382 (Medium of Performance), 383 (Numeric Designation of Musical Work), 384 (Key), 385 (Audience Characteristics), 386 (Creator/Contributor Characteristics), and 388 (Time Period of Creation).²⁵ Like the CMCs and the 34X fields, the 38X fields repackage data previously scattered throughout the MARC record. Unlike the CMCs and 34X fields that structure data about the physical characteristics of resources, the 38X fields structure data about the intellectual content of resources, which may prove useful in faceting.

The 380 field for Form of Work, for example, can be used to record whether a resource is a play, a television program, a choreographic work, etc. It could be enormously useful to researchers to have a facet displayed in the catalog to quickly distinguish records for the novel versions from the film versions for a given title, or the play versions from the opera versions. Also, the 382 field for Medium of Performance records the instrumental or vocal performance medium for a resource. This information, if displayed in a facet, could be quite useful for researchers looking for solo piano performance recordings of a particular piece of music or full orchestral scores with vocal parts. The 385 field for Audience Characteristics could be used to generate facets that would allow researchers to quickly identify resources that are geared toward certain ages (children, adolescents, adults), occupations (painters, cinematographers, librarians), or other demographic groups. The 388 field for Time Period of Creation provides information that could be displayed in a facet that would allow researchers to narrow their search results to contemporary primary sources about World War II or to present-day resources about seventeenth-century history. The other 38X fields also offer intriguing possibilities for assigning facets dealing with the intellectual content of bibliographic entities. We recommend exploration of the advantages offered by the 38X fields as a useful direction for additional research.

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Notes on Operations

Strength in Numbers

Building a Consortial Cooperative Cataloging Partnership

Christopher Cronin, Mary S. Laskowski, Ellen K. W. Mueller, and Beth E. Snyder

In April 2014, eight institutions from the Big Ten Academic Alliance began a one-year pilot study to track costs, workflows, challenges, and opportunities associated with sharing cataloging expertise for languages and resource formats needed across the participating libraries. Data was collected on the levels of staff performing the work (student, staff assistant, librarian), shipping costs, scanning costs, and cataloging costs. In many cases, the overall cataloging costs incurred by participating institutions were less than costs currently associated with options for vended outsourcing. The cost findings were particularly encouraging for textual materials (monographs and serials), which continue to form the bulk of collections. This paper outlines the pilot's major findings and describes the subsequent implementation of a robust multi-institutional partnership program for sharing cataloging expertise across the consortium.

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The initial pilot study would not have been possible without contributions from all the representatives from each participating institution (Paige Andrew, John Attig, Michael Cohen, Christopher Cronin, Christine DeZelar-Tiedman, Magda El-Sherbini, Mary Laskowski, Ellen Mueller, Randy Roeder, Beth Snyder, Patricia Williams, Jamie Woods), plus the many catalogers and support staff across the Big Ten libraries who provided metadata for resources included in the study. The authors would also like to thank the representatives from all the institutions that subsequently joined the initial phase of the long-term cooperative cataloging partnership that emerged from that pilot study.

The Heads of Cataloging Committee within the Big Ten Academic Alliance (BTAA), known as the Committee on Institutional Cooperation (CIC) until July 2016, was established in 2012 by the Big Ten Directors of Technical Services Committee. The group holds regular conference calls throughout the year, and meets in person at the American Library Association (ALA) Midwinter Meeting and the ALA Annual Conference. Agendas and discussion topics focus on general trends in managing cataloging and metadata operations, the impact of BTAA initiatives on technical services, and the provision of metadata support for BTAA collection development programs. The group also provides a venue for colleagues to share management experiences and to solicit advice from colleagues. Staffing levels and related issues, such as succession planning, shifting institutional priorities, library and departmental reorganizations, and general attrition in the ranks of professional catalogers with deep language expertise, have been frequent discussion themes for the group.

At the BTAA Heads of Cataloging Committee meeting during the 2013 ALA Annual Conference in Chicago, the realization that many individual libraries can no longer hire professional staff in all the languages and areas in which they collect led the group to explore what might be required to share original cataloging expertise for languages and formats that, for a variety of reasons, cannot be done in-house. The group was motivated to study the feasibility of shared cataloging for a number of additional compelling reasons. The BTAA has traditionally engaged in and increasingly emphasizes cooperative collection development activities. Similarly, the consortium has devoted considerable efforts and resources to creating a shared print repository, and to its partnership in the HathiTrust Digital Library.¹

The move away from exclusively owned local collections to shared, borrowable, cross-institutional collections provides a new and expanded opportunity for

technical and metadata services. Incorporating cooperative cataloging is a natural extension of this cooperative “collective collection” movement. Accurate and reliable metadata enables discoverability and access to resources throughout the resource sharing ecosystem. A shared cataloging project had the potential to position the BTAA libraries’ cataloging and technical services operations as active and integral partners in these evolving collection development, management, discovery, and access activities.

Following the Chicago meeting, eight BTAA libraries initiated a process to inventory language needs and original cataloging language expertise. This analysis led to a pilot study to identify the challenges and potential opportunities associated with sharing cataloging expertise and providing a data-driven evidence-base to assess whether and how cooperative cataloging among the consortium’s institutions could be realistic and attainable. The following institutions participated in the pilot:

- University of Chicago
- University of Illinois at Urbana-Champaign
- University of Iowa
- University of Michigan
- University of Minnesota
- Ohio State University
- Penn State University
- University of Wisconsin-Madison

The planning phase for the pilot occurred between October 2013 and March 2014. While the initial inventory process provided a broad landscape of the language needs and expertise across institutions, there were no one-to-one matches wherein two institutions could simply swap cataloging for each other in an equal fashion. To ensure an equitable distribution of labor, plus the collection of enough data to fully represent all eight institutions, the group devised a quota system. Most institutions were comfortable cataloging in the range of approximately 100–120 titles for other institutions during the pilot; an assessment librarian at a participating institution was consulted and confirmed that this volume of production would provide sufficient data on costs to assess opportunities for establishing ongoing partnerships.

The pilot went into production in April 2014 and ran for twelve months. To better understand the overall costs of sharing this work across the institutions, the pilot group tracked shipping expenditures for each title cataloged, the levels of staff performing specific aspects of the work, and the staff time attributed to shipping, scanning, searching for copy, and performing the cataloging. Staff time and levels were then converted to overall compensation costs (inclusive of both salary/wage and benefits, where applicable).

During the pilot, a total of 768 titles were cataloged at an average cost of \$25.81 per title (not including shipping

or scanning) across all languages and formats included in the study. These cost findings supported the feasibility of a cross-institutional cooperative program. In May 2016, the BTAA Library Directors accepted the participants’ unanimous recommendation to form the BTAA Cooperative Cataloging Partnership, resulting in the development and implementation of a robust program wherein the twelve participating institutions formally agreed to an initial contribution of approximately ten hours of cataloging time per month, per institution.

Literature Review

Cataloging backlogs and increasing workloads in the face of reduced resources and limited expertise in various areas have troubled the technical services community in academic libraries for many years. The potential solution of cooperative cataloging has also been proposed for many years, and in differing forms. A 1967 research paper submitted to the Catalogue Working Party of the Libraries and Computers Group by Burnett discussed the problems and prospects of “centralized” cataloging, positing that the problem “is determined by one of the assumptions which have been made about it, namely that as one malady—however widespread—is individual it can only be resolved by the individual institutions affected. For so long as we each consider our own crisis alone and do not look to that of the library community for so long will the problem remain insoluble.”²

While the idea of working collaboratively across groups and institutions to share the expertise and cost of performing cataloging functions is not new, the current environment in academic libraries, and technical services in particular, is ripe for an increased focus on collaborative services. As Kaufman, former dean at the University of Illinois at Urbana-Champaign writes:

Although cooperation and collaboration are far from new concepts in academic librarianship, never before has the imperative to cooperate and collaborate been so clear or so urgent. With the insufficiency that derives from declining resources, plunging buying power, and the enormous pressure to do more and more and more—more content, more services, more technology, more new ways of doing more new things—comes the imperative to create new types of collaborations.³

There is no shortage of literature on the topic of cooperative and collaborative projects, though it is difficult to point to examples of long-standing success, or to cost analyses of cataloging cooperation specifically. As Schuitema noted in an overview of the history of cooperative cataloging,

Cooperative cataloging activities have been in existence for more than one hundred years. During that time, cooperative cataloging practices and structure have evolved in accordance with changing values, technologies, and institutional needs. However, the road has not always been smooth and the future of cooperative cataloging has often been questioned.⁴

In “Cooperative Cataloging: A Vision for the Future,” Thomas and Younger emphasized that “there is no doubt in the library community that this situation can and must be reversed nor is there any debate concerning the importance of cooperative cataloging in addressing the problem. The challenge that lies before us is to find and eliminate obstacles that impede cooperation in cataloging.”⁵

The “Study of the North American MARC Records Marketplace,” contracted by the Library of Congress (LC) in 2009, draws a number of significant conclusions that are pertinent to this pilot: cataloging backlogs are growing in many areas, including English-language materials; even with retirements and other market factors there is enough capacity in North America to meet cataloging needs; and that cooperative cataloging is effective but not yet fully realized.⁶ The study concluded the following about overall capacity:

There is adequate cataloging capacity in North America to meet the collective need: This finding surprised us, especially given the aging of the profession and imminent retirements. However, a conservative interpretation of survey data strongly suggests that there are more than enough catalogers to handle everything. In the academic market alone, for instance, the survey indicates that more than eight thousand original catalogers are employed. If each original cataloger produced on average one record per work day (or two hundred per year) that would indicate capacity for 1.6 million original records annually. Unfortunately, that capacity is not well distributed, disciplined, or coordinated, despite decades of experience with cooperative cataloging.⁷

As Neal noted, “Cooperation is part of the professional DNA of research libraries. From the conditions of knowledge scarcity over the centuries to the oppression of information and data overabundance in today’s and tomorrow’s library context, cooperation has been and will be a constant for services, success, and survival.”⁸ Neal continued: “By working together, we can generate effective and broadly embraced measures of user satisfaction, market penetration, success, impact, and cost effectiveness.”⁹ One of the goals of the BTAA pilot was to test new models of collaboration that will hopefully lead to sustainable services. El-Sherbini, one of the

pilot participants, authored a paper titled “Sharing Cataloging Expertise: Options for Libraries to Share Their Skilled Catalogers with Other Libraries,” outlining a model similar to that tested by the BTAA group, wherein each institution identifies the specific strengths of its collection, and possibly corresponding strength in staffing, and uses those strengths to avoid duplication of effort and leverage existing expertise.¹⁰

There was a great deal of interest in the last few years in a cooperative effort between Columbia University Libraries and Cornell University Library known as the 2CUL project. Originally conceived as an integration between both libraries’ technical services units, 2CUL has now redefined itself as an initiative, not an integration. The 2CUL project, viewed at this stage, is similar in many ways to the BTAA Cooperative Cataloging Pilot. One of the key points in 2CUL’s action plan is to “focus on more discrete, promising collaborative projects and alliances, and determine the relative value of such collaboration on the basis of four driving factors that originally fueled the 2CUL project: quality, productivity, improvement, and innovation.”¹¹

There are not only opportunities but also challenges inherent in participating in cooperative, interinstitutional projects. A particular challenge with cooperative cataloging is differences in cataloging conventions and various integrated library systems. Shieh, Summers, and Day noted that “libraries choosing to download cooperatively created or edited records must take responsibility for assessing and manipulating record quality in light of current standards, local policy, and user requirements.”¹² One of the major challenges facing 2CUL, among others, has been the differing cultures of the home institutions. As noted by Horton and Abrams, and referred to by Harcourt and LeBlanc, “Never, ever, underestimate culture. Culture trumps everything. You must align with cultural values. If you attack them, you make them stronger and change won’t happen. The people inside the organization own the culture, not the organization. They have all the power, and if you forget that, you will fail.”¹³ In this instance, however, the established history of strong collaboration between BTAA institutions is in the project’s favor. Though no two institutions are ever truly alike, BTAA institutions share many key cultural factors that may facilitate ongoing cooperation in ways that are either more challenging or not possible at all with unfamiliar partners.

Methodology

Scope and Scale of the Pilot Study

The group planned a twelve-month cooperative cataloging pilot project in which each library agreed to (1) catalog approximately 100–120 titles sent to them from other participating institutions and (2) have approximately 100–120

titles from their own collections cataloged by other participating institutions. Cataloging more than this maximum threshold of 120 was at the discretion of each institution. This distribution averaged out to approximately ten to twelve titles per month for each of the cataloging libraries, which accommodated the work capacity that each institution felt it could absorb, while still providing enough opportunity to collect meaningful data for assessing costs associated with sharing cataloging across institutions.

The pilot was initially conceived to be limited to non-English language textual monographs and serials. However, as planning for the pilot developed, cartographic materials and DVDs were also included to measure the impact of shared cross-institutional cataloging for a broader range of resource formats and media. Although the stated goal was to provide original cataloging for exchanged materials, the group acknowledged that some cataloging shipments might contain titles with copy already available in OCLC WorldCat, particularly given the inherent lack of language expertise at owning institutions to identify matching records for some languages. In such cases, there was mutual agreement that the cataloging institution would accept the materials for processing and catalog them as copy.

Standards and Cataloging Framework

The group agreed to use a consistent set of cataloging standards for the duration of the pilot with the expectation that the standards would provide a minimum benchmark for quality, for content of the metadata, and assist in standardizing data collected for the assessment. Decisions were made regarding which descriptive standard to use, minimum level of cataloging fullness, subject analysis and classification, and expectations for the language expertise of staff contributing to the project.

Descriptive Standards

Both the Anglo-American Cataloging Rules, 2nd ed. (AACR2) and Resource Description and Access (RDA) were accepted as valid descriptive cataloging standards. When the pilot began in April 2014, some libraries were routinely cataloging in RDA while others were not. The group recognized the possibility that pre-RDA copy records might be identified for use by the cataloging library and should be considered useable as long as they met the minimum requirements for cataloging fullness.

Level of Cataloging Fullness

The Program for Cooperative Cataloging's BIBCO Standard Record (PCC BSR) was selected as the "floor," or minimum content requirement, for bibliographic records contributed

to the pilot. Records created for the project, in either RDA or AACR2, were to follow their respective BSR maps (either the PCC RDA BSR or the AACR2 BSR, appropriate to the format of the resource being cataloged).¹⁴ Although the pilot used the BSR as the common standard, participants would not code records as PCC (i.e., with a "042 pcc") unless they were a BIBCO library and optionally chose to create or enhance a BIBCO-compliant record. Five of the participating libraries are BIBCO libraries (University of Chicago, University of Minnesota, Ohio State University, Penn State University, and University of Wisconsin-Madison).

Libraries would not be expected to exceed compliance with the core metadata guidelines established by the PCC BSR. There was a unanimous decision to not prescribe specific options in RDA, nor inflict local preferences beyond the established core. All participating institutions acknowledged that they would normally accept these levels of records "as is" in regular production, and would also do so for the pilot. If copy was found, the cataloging institution would enhance it as necessary to meet the appropriate PCC BSR standard.

Resources in non-Roman scripts that are supported by OCLC Connexion were cataloged according to the "PCC Guidelines for Creating Bibliographic Records in Multiple Character Sets."¹⁵ Inclusion of vernacular scripts was required, as defined in the PCC guidelines, and was strongly encouraged for access points whenever possible. Participants agreed that access to these resources by vernacular script is critically important to the communities using these resources even if the ILSs employed by some institutions might not fully support this functionality.

Authorized access points within bibliographic records were created following NACO standards. However, the creation or modification of NACO authority records was not required for the pilot, unless the library was optionally contributing a BIBCO-coded record.

Subject Analysis and Classification

A minimum of one subject access point was required for all records, except for literary works. The cataloging library was responsible for supplying one form of classification for each title cataloged, according to the scheme with which they were most familiar, either Library of Congress Classification (LCC) or Dewey Decimal Classification (DDC). The owning library was responsible for making any alterations necessary for local classification purposes, like converting to a different classification scheme or shelving.

Defining "Original Cataloging Expertise"

Since the primary purpose of the pilot project was to catalog non-English language materials, the group set a

high priority on utilizing catalogers with specific language expertise and committed to cataloging only those languages for which genuine expertise (not just “getting by”) could be claimed. While the concern about expertise was partly driven by a desire to ensure high-quality metadata, it was also borne out of trying to reflect how member libraries actively vet and test potential vended solutions for cataloging resources in non-English languages. However, coming to mutual agreement on what was meant by “expertise” proved challenging.

The group initially considered applying a scale of “reading knowledge,” “fluency,” and “native speaker/reader” to the catalogers contributing to the pilot, but was divided on whether this was useful given its subjective nature. Without a method to test language proficiencies across participants, the group ultimately decided to rely upon mutual trust in the self-assessment of individual catalogers and their managers. The group as a whole agreed on some simple overarching criteria: for participants to contribute metadata to the pilot, they needed enough fluency with a given language to create PCC BSR-compliant bibliographic records, create valid authorized access points, provide adequate subject analysis and classification, and be able to provide vernacular scripts when applicable.

Processing Logistics and Technological Considerations

Sharing Records and Setting Holdings

Since all participants were OCLC members, OCLC Connexion was chosen as the common tool for sharing records created for the pilot. Cataloging libraries used their own authorizations to create or update records in Connexion, and removed their institutional holdings from records that they created originally. Upon completion of cataloging, owning libraries were responsible for setting their holdings in OCLC, making any additional locally-required changes to the records, and importing the records into their local systems.

Cataloging from Physical Pieces or Scans

The group recognized both pros and cons associated with using the physical piece or scans for cataloging. Not surprisingly, most catalogers reported a preference for working with the resource in hand. However, four institutions in the study (University of Chicago, Ohio State University, Penn State University, University of Wisconsin-Madison) contribute to LC’s Electronic Cataloging in Publication (ECIP) program, and have integrated cataloging operations that are often based on only parts of the resource, provided electronically,

and that result in the production of a full, original BIBCO-level record.

Very little data currently exists to compare the costs of cataloging using scans versus piece in hand. With only anecdotal evidence for costs, preparation and shipping time, and ease of cataloging, the group decided to make a point to send both physical items and scans to test the feasibility of both methods for sharing resources. Cataloging institutions tracked what parts of the scanned resources were used to perform descriptive cataloging, subject analysis, and classification: cover, title page, verso of title page, colophon, table of contents, preface, and/or introduction. Scans were certainly preferred in cases where the materials were either too fragile, large, or valuable to ship.

Shipping and Receiving

The group devised best practices for shipping and receiving to ensure that materials were kept in the best condition possible and were accounted for on both ends of the process. These best practices included instructions for creating mailing labels, packing lists, and flags for materials, plus tips on packing boxes, insuring shipments, and communicating with exchanging libraries about any shipping issues that arose during the course of the pilot.

Assessment Survey Tool and Metrics

Based on the pilot’s established standards, the group developed a list of metrics to assess various aspects of the project (see table 1). With this data, the group hoped to identify trends in costs and time commitment to determine whether cooperative cataloging is a viable solution for addressing some portion of the cataloging needs across BTAA institutions. From the outset, the pilot group recognized that because calculations of time were kept manually by participants and not automated, the data for individual titles should be read as close approximations, not precise timings. What carried the most meaning for the purpose of the study were the times and resulting costs accrued at the aggregate BTAA level, not at the specific title level.

Participants iteratively refined these metrics over the course of several planning meetings and testing. The survey tool used to record the data was configured to accommodate differences in workflows and organizational structures across institutions, and was designed to allow for the capture of free text comments.

Google Forms were chosen because of their flexibility and zero cost. These versatile forms allow for multiple collaborators, varied question structures, optional or required questions, question modifications at any time, results to be gathered in a single location, and an unlimited number of

Table 1. Time and Cost Metrics Gathered by the Owning and Cataloging Institutions

Element	Questions
Searching for copy	Institution name
	Total time spent searching for a bibliographic record
	Was copy found?
	Staff rank/level
Cataloging	Staff rank/level
	Total time spent cataloging
	Format of the resource cataloged
	Language of the resource cataloged
	Cataloging code used (AACR2 or RDA)
	Encoding level
	Was resource cataloged using piece in hand or scans?
	If scans, what content from the resource was used to perform the subject analysis?
	If scans, did cataloger need to request more information about the resource from the owning institution in order to complete the cataloging?
	If more information was requested, describe the nature of the request, including the amount of time spent.
	Were paired fields added to the record?
Were paired fields added via macro?	
If paired fields were added via macro, were the macros local or macros in Connexion?	
Were additional manual edits made to the macro-created paired field?	
Physical processing (mailing)—owning institution	Total time spent on mailing (routing, packing, unpacking upon return from cataloging institution)
	Postage costs
	Staff rank/level
Physical processing (mailing)—cataloging institution	Total time spent on mailing (unpacking, routing, packing to ship back to owning institution)
	Postage costs
	Staff rank/level
Scanning—owning institution	Total time spent on scanning
	Staff rank/level

form submissions from any participant with a link. Setting up Google Forms is free, and requires only that the author has a Google account. Those entering data into the form do not need to have a Google account.

For each of the survey forms created, the group opted to require answers to all questions to ensure data was captured for each area under review; skip logic was employed to enable users to move quickly through sections of a form not applicable to their work. Questions were ordered based on a generalized cataloging process. Once a form was completed and submitted, data from that form was automatically tabulated in a corresponding Google spreadsheet, with the form’s questions functioning as the column headers. Once the forms were developed, tested, and approved by the group, each participating institution was notified by email with links to the final forms. Institutions could share the link within their organization as deemed necessary by their workflows.

Metrics for Calculating Time and Resulting Costs

Processing costs were calculated by multiplying time spent performing a task by the compensation costs (salary/wage plus benefits, if applicable) of the participants engaged in the task. Understanding that compensation data is sensitive, data was anonymized by participating institutions before they shared it with the pilot group. The names of staff were not identified on the surveys, ensuring that compensation information could only be associated with the broad categories of staff levels at each institution (either professional, support, or student), and not with specific individuals.

Grouping at staff level/rank required each institution to submit an average of the salaries or hourly wages for all staff participating in the study at the level of professional, support, and student. To get a holistic sense of costs, institutions

also provided the percentage of benefits additionally applied to each staff level. Interestingly, benefits at some institutions are paid from the library's budget, and benefits at some other institutions are paid by the university. Because institutional membership in the BTAA is guided at the university level, not the library level, the group included benefits costs for all participating institutions, regardless of whether benefits are paid directly by the library or the university.

Differing workflows across institutions required data harmonization for some metrics. For instance, some institutions had discrete workflows and varying staff lines for searching for copy that were distinct from performing cataloging. In the study, these institutions separated their time calculations for searching and cataloging. Institutions that search for copy in a single cataloging workflow stream included searching as a part of their overall cataloging time. For the purpose of calculating uniform costs associated with just cataloging (i.e., not including shipping or scanning costs), the group merged all searching and cataloging times into a single figure to calculate a single unified cataloging cost.

Participants were instructed to record their time to the minute for shipping, scanning, and cataloging. However, when calculating costs, it became problematic to reduce compensation rates to a factor of a minute. In consultation with an assessment librarian from one of the participating institutions, a decision was made to round the submitted time spent on activities to the nearest quarter hour, according to table 2, to relate time spent to wages/salaries.

It should be noted that rounding the times had implications for relating some categories of costs. For instance, one might normally expect that the total cataloging costs for the project as a whole would equal the combined costs of copy and original, or cataloging using AACR2 and RDA, or that the combined costs of cataloging via scans or piece in hand, or the combined costs for cataloging Roman and non-Roman materials. However, the rounding introduced slight, though not statistically significant, variances in totals because of how items were distributed among the various data points. For example, one Slovak serial was cataloged with copy in fewer than seven minutes, resulting in the total time for that piece, according to table 2, to be recorded as zero minutes.

Cataloging Cost Analyses

Cataloging Costs

During the pilot, a total of 768 titles were cataloged (see table 3), with an average cost per title of \$25.81. These costs do not include the cost of shipping or scanning, which were reported separately. The distribution of copy versus original

Table 2. Adjusting Actual Time Spent (in minutes) to the Time to be Reported

Time Spent (in Minutes)	Time Reported (in Minutes)
0:00	0:00
0:01–0:07	0:00
0:08–0:14	0:15
0:15	0:15
0:16–0:22	0:15
0:23–0:29	0:30
0:30	0:30
0:31–0:37	0:30
0:38–0:44	0:45
0:45	0:45
0:46–0:52	0:45
0:53–0:59	1:00
1:00	1:00

Table 3. Distribution of Copy vs. Original Cataloging, by Resource Type/Format

Resource Type/ Format	Copy Cataloging	Original Cataloging
Monographs	250	383
Serials	1	1
DVDs	6	30
CDs	1	0
Maps	45	51
Total	303	465

cataloging was unexpectedly high on the side of copy, attributable largely to either the owning institutions' inability to identify appropriate copy for some languages, or (especially for newer imprints) copy becoming available in the period between shipping and cataloging. Data for serials and CDs cataloged are included in the overall data analysis and in table 3; however, the pilot group determined that there was limited statistical significance for them and did not break them out for further assessment due to the low numbers of titles cataloged in those formats.

The average cost for copy cataloging of monographs (see table 4) was low at \$9.45 per title, with a range of \$2.93 to \$43.01 per title.

At \$18.87 per title, the average cost for the original cataloging of monographs (see table 5) was also low, relative to known vended cataloging costs. The cost ranged from \$7.11 to \$57.50 per title.

Some of the participating institutions had an immediate need for cataloging Japanese and Korean DVDs, and included these resources in the pilot. Thirty-six DVDs

Table 4. Costs for Copy Cataloging of Monographs, by Language

Language of Monograph	No. of Institutions Cataloging this Language	No. of Titles Cataloged	Total Cost for Pilot (\$)	Average Cost per Title (\$)
Arabic	1	18	68.87	3.83
Bengali	1	1	21.77	21.77
Danish	1	5	132.41	26.48
Estonian	1	12	242.75	20.23
Finnish	1	2	38.80	19.40
Hebrew	1	10	75.00	7.50
Hindi	1	2	48.98	24.49
Hungarian	1	51	149.38	2.93
Icelandic	1	1	43.01	43.01
Japanese	1	94	824.57	8.77
Korean	1	21	184.21	8.77
Latvian	2	3	28.15	9.38
Lithuanian	1	3	18.96	6.32
Norwegian	1	5	144.22	28.84
Polish	2	6	34.71	5.79
Russian	2	7	47.14	6.73
Swedish	1	9	270.16	30.02
Total	N/A	250	2,361.29	9.45

were cataloged, and they incurred the highest per-title cost resources in the pilot. In general, DVDs for motion pictures require more added access points (writers, producers, actors, etc.), and therefore often require more Romanization and more engagement with authorities, all of which contribute to higher costs. It should also be noted that for these particular sets of Japanese and Korean DVDs, a team of catalogers with format and language expertise worked together to complete the cataloging to pilot standards, thus adding to costs. It is expected that more mainstream DVDs, or resources cataloged by staff with native or more fluent language expertise, would be more cost effective than this smaller sample size proved to demonstrate. Costs for both copy and original cataloging of DVDs are noted in table 6.

The only category of cartographic resource cataloged in the pilot was print maps. Overall, the cartographic resources experts in the group felt that the costs for maps cataloging (see tables 7 and 8) were relatively low, compared to known outsourcing options. A significant number of maps cataloged in the pilot consisted of multiple sheets within a single title, adding to higher per-title costs for providing adequate descriptive metadata. Multisheet maps are complex resources and necessarily required a higher investment of time. As with some DVDs, teams of catalogers with language expertise and expertise in cartographic resources worked together, increasing staff time, and therefore costs.

The average cost for copy cataloging of maps (see table 7) was \$51.52, with a range of \$16.18–\$76.80.

The average cost for original cataloging of maps (see table 8) was \$70.24, with a range of \$28.77–\$106.49.

The overall costs for cataloging resources in Roman versus non-Roman scripts (see table 9) were interesting, particularly when considered in the context of how the data was created. The average per-title cost of cataloging all Roman titles in the study was \$19.56. For non-Roman materials, significant cost savings were realized when the cataloger chose to use macros to automatically add paired fields with the vernacular script into the record, rather than manually adding those fields—at a difference of nearly \$26.50 per title on average.

These figures are particularly important for the purpose of comparing against vended cataloging options. Vended cataloging for resources in non-Roman scripts, with vernacular included in the metadata, were recently quoted to multiple participating institutions at a rate of as high as \$45 per title for original cataloging. The potential for cost savings for these types of resources proved significant.

Cataloging using AACR2 or RDA (see table 10) was not meaningfully different in terms of cost, with only \$1.16 difference in cost between the two:

Finally, cataloging with the piece in hand versus using scanned images (see table 11) did not result in a significant

Table 5. Costs for Original Cataloging of Monographs, by Language

Language of Monograph	No. of Institutions Cataloging this Language	No. of Titles Cataloged	Total Cost for Pilot (\$)	Average Cost per Title (\$)
Arabic	1	34	275.47	8.10
Bengali	1	4	108.85	27.21
Czech	1	4	28.44	7.11
Danish	1	28	969.28	34.62
English	1	1	18.67	18.67
Estonian	1	29	746.92	25.76
Finnish	1	2	45.27	22.63
Georgian	1	11	336.11	30.56
Hebrew	1	10	112.50	11.25
Hindi	1	57	781.57	13.71
Hungarian	1	7	258.95	36.99
Japanese	1	7	122.81	17.54
Korean	1	4	70.18	17.54
Latvian	2	7	56.88	8.13
Lithuanian	1	3	37.92	12.64
Marathi	1	1	21.77	21.77
Norwegian	1	14	504.30	36.02
Polish	3	26	195.49	7.52
Russian	3	116	1,706.30	14.71
Slovak	1	1	0.00	0.00
Swedish	1	13	637.84	49.06
Tibetan	1	3	172.49	57.50
Ukrainian	1	1	9.48	9.48
Total	N/A	383	7,226.01	18.87

Table 6. Costs for Copy and Original Cataloging of DVDs, by Language

Language of DVD	No. of Institutions Cataloging this Language	No. of Titles Cataloged	Total Cost for Pilot (\$)	Average Cost per Title (\$)
Copy Cataloging				
Japanese	1	1	36.54	36.54
Korean	2	5	507.05	101.41
Total	N/A		537.13	89.52
Original Cataloging				
Korean	2	30	3,411.05	113.70
Total	N/A	30	3,411.05	113.70

cost difference, and there is no evidence to suggest it resulted in a notable difference in the quality of the final metadata product. Owning institutions that chose to scan materials for cataloging were specifically asked to communicate any reduction in expected cataloging quality for scanned titles;

no issues were reported. Cataloging with the piece in hand cost \$1.90 more on average than cataloging using scanned images.

Table 7. Costs for Copy Cataloging of Maps, by Language

Language of Map	No. of Institutions Cataloging this Language	No. of Titles Cataloged	Total Cost for Pilot (\$)	Average Cost per Title (\$)
Arabic	1	5	265.32	53.06
Chinese	1	4	127.88	31.97
Japanese	2	18	1,382.37	76.80
Persian	1	1	21.58	21.58
Russian	1	13	469.13	36.09
Ukrainian	1	4	647.73	16.18
Total	N/A	45	2,318.22	51.52

Table 8. Costs for Original Cataloging of Maps, by Language

Language of Map	No. of Institutions Cataloging this Language	No. of Titles Cataloged	Total Cost for Pilot (\$)	Average Cost per Title (\$)
Arabic	1	3	190.99	63.66
Bulgarian	1	1	28.77	28.77
Chinese	1	17	739.30	43.49
Japanese	1	21	2,236.20	106.49
Russian	1	9	494.71	54.97
Total	N/A	51	3,582.08	70.24

Table 9. Costs for Cataloging Roman vs. Non-Roman Titles

Script Enhancement	No. of Titles Cataloged	Total Cost for Pilot (\$)	Average Cost per Title (\$)
Roman Titles	322	6,297.92	19.56
Non-Roman Titles	446	13,256.76	29.72
Paired fields added with macro	188	2,755.08	14.65
Paired fields added manually	258	10,605.38	41.11

Shipping Costs

Institutions were asked to track the actual costs for shipping materials and time spent packing, unpacking, and routing material throughout the library. Executing this in reality proved difficult given the variations in organizational structures associated with shipping processes between institutions, changes in the size and weight of packages received versus packages returned, and the ability for the shipping departments at some institutions to track this data reliably. The ultimate hope was that any future BTAA cooperative cataloging program would use the consortium's existing UBBorrow Interlibrary Loan (ILL) infrastructure for shipping between institutions, so tracking these costs for the pilot was ultimately of lesser import. While no data currently exists for per-unit shipping costs in UBBorrow, it is unlikely that using UBBorrow for shipping would ever be more

expensive than cataloging departments independently using postal or courier services to ship materials.

Shipping textual materials and media was relatively issue free. Shipping of maps, however, was sometimes problematic. Institutions experimented shipping maps flat and rolled in tubes, and in both cases, packages were damaged. ILL policies across BTAA institutions vary, and collective experience shipping large format, delicate materials through UBBorrow or other forms of ILL may not be robust enough yet. Insurance and caution about shipping rare/valuable maps should be figured into future costs and considerations.

Scanning Costs

Three owning institutions experimented with scanning a small sample of their resources for cataloging (see table

Table 10. Costs for Cataloging using AACR2 vs. RDA

Cataloging Code Used	No. of Titles Cataloged	Total Cost for Pilot (\$)	Average Cost per Title (\$)
AACR2	84	2,052.50	24.43
RDA	684	17,502.09	25.59

Table 11. Costs for Cataloging using Piece in Hand or Scans

Piece in hand vs. scans	No. of Titles Cataloged	Total Cost for Pilot (\$)	Average Cost per Title (\$)
Cataloged with piece in hand	743	19,595.02	25.74
Cataloged from scan	26	619.93	23.84

Table 12. Staff Costs Associated with Scanning

No. of Volumes Scanned	No. of Images Created	Total Cost for Pilot (\$)	Average Cost per Volume (\$)	Average Cost per Image (\$)
28	229	184.60	6.59	0.81

12). When the pilot group decided to explore scanning costs, it hoped to yield data that would show scanning as a viable alternative to shipping. However, the data showed that scanning costs exceeded shipping costs. This is likely due to higher paid staff (primarily librarians) preparing the volumes for scanning during the pilot itself. Scanning costs would decrease if students or support staff prepare scans as part of a longer-term partnership program.

Four institutions in the pilot cataloged material from scans, providing original metadata records for twenty-six titles (twenty-five monographs and one serial) in twenty-eight volumes, some of which were bound-withs. The resources were in non-Roman scripts (Russian and Georgian). None of the cataloging institutions needed to contact the owning institution for additional information, suggesting that the pilot's parameters for scanning provided enough context for the catalogers to provide full bibliographic description and at least minimal subject analysis.

Recommendations for Enabling a Sustainable Big Ten Cooperative Cataloging Partnership Program

Cataloging

One of the initial perceived benefits of assessing costs for cooperative cataloging was to attain a useful benchmark for libraries to compare overall cooperative cataloging options against pricing estimates they may receive for vended contract cataloging services for similar languages and resource formats. Because a single vendor may provide different quotes (usually confidentially) to different institutions, known vendor costs are not included in this paper.

Institutions participating in the pilot unanimously recommended that BTAA libraries develop programmatic mechanisms for sharing cataloging capacity and expertise for resources across the spectrum of resource types and formats. The demonstrated costs of cataloging textual monographs proved the most economical, and was significantly lower than known vended cataloging options available at the time. However, the group was of the uniform opinion that there would be value in sharing cataloging expertise even for those resource formats and types that proved more expensive. The costs that were assessed for maps and media, while higher than textual materials, were not prohibitive, and the \$25.81 average cost for cataloging all resources and formats included in the study is certainly competitive.

Participants have also experienced scenarios where outsourcing vendors will not take on cataloging projects when a library cannot guarantee or meet a minimum number of titles in a given time period. In some cases, libraries are charged a fee for not sending a minimum number of materials for cataloging. Developing and institutionalizing cataloging partnerships across libraries would also help address metadata provision for smaller collections that would not otherwise qualify for vended outsourcing.

The pilot group discussed various models for supporting a long-term cooperative cataloging program. The obvious ideal would be one-to-one matches between institutions, wherein two institutions could catalog a certain number of titles per year for each other, creating an egalitarian relationship in terms of costs and volume of work and minimal project management overhead. However, among the eight participating pilot institutions, a one-to-one match between format/language needs and expertise was not possible at the time.

The group also explored using a credit or quota system, not unlike the model used in the pilot, wherein each

institution would commit to cataloging a certain number of titles per year and would be able to send out the same number for cataloging. While this worked well for the purpose of a limited and controlled study, the group was concerned that the overhead required to track credits over a longer term would not be effective, would not provide flexibility, and could potentially inhibit other institutions from joining the program mid-stream.

Yet another model considered was one of direct financial compensation for cataloging work performed. In such a model, each institution would function as an outsourcing agency or vendor for other BTAA institutions, following a devised pricing list for certain languages, scripts, and/or format types. The intent would not be revenue generation, but to recover costs. To enable such an effort, more time is needed to study the costs of nontextual materials. While this type of model is certainly not unprecedented, the pilot group did not think that the overhead for tracking expenditures, formally invoicing, and transferring of funds could be easily managed by institutions. It would also require identifying and securing dedicated funding lines in ways that in-kind relationships would not provide. Nor would such a model be in keeping with the building of cooperative partnerships.

Ultimately, the group recommended a model that is flexible over the long term, is customizable across institutions, does not require moving funds between institutions, and that prefers an honor system to tracking costs, credits, or quotas. The pilot group recommended that each participating institution identify a portion of FTE (i.e., time) that can be reasonably absorbed and formally committed to a shared cataloging program. This could be as simple as stating that “our library will commit a maximum of X hours per week of cataloging time for partners in the Big Ten Cooperative Cataloging Partnership.”

A model for this type of cooperation already existed in the Institute of Museum and Library Services (IMLS)-funded Copyright Management Review System (CRMS) project spearheaded by the University of Michigan; a white paper published in 2013 about cost sharing describes the model.¹⁶ In the CRMS project, nine BTAA institutions (Illinois, Indiana, Maryland, Michigan, Minnesota, Northwestern, Ohio State, Penn State, and Wisconsin) devoted a portion of their staff time weekly to copyright determination of digitized texts—regardless of who “owns” the copies that were digitized—so that HathiTrust can make more materials available in full-text. A similar approach to committing a certain amount of cataloging language or format expertise to making shared collections more discoverable would benefit the BTAA as a whole, and would negate a quid pro quo exchange of cataloging time. Rather than focusing collective efforts on mandating and pursuing equal labor across institutions, efforts would instead be focused on contributing

whatever cataloging expertise and capacity each institution can reasonably absorb, and that is needed by other members of the cooperative.

For the chosen model to be effective, a shared collective mindset of long-term purpose is more important than a contract with strict guidelines. The model would need to accommodate fluctuations in staffing levels, available staffing across institutions at any given time, and would require effective and frequent communication across institutions. The BTAA Heads of Cataloging Committee is established, meets regularly, and could provide the forum for regular communication. Such a model requires maintaining an inventory of language needs and expertise for other participants to reference.

The pilot confirmed that, overall, the true cost to institutions (mostly staff time) is significantly less financially than contracting with vendors. The exchange of cataloging services in lieu of cash payments would not require separate budget lines. Staff time and capacity are real costs, and would need to be justified if staff time is provided to other institutions. One of the unsettled issues from the pilot was the extent to which management and administration at participating institutions are comfortable sharing and absorbing these costs without the guarantee of equitable labor across institutions. By offering such services, institutions may not necessarily receive equal services in return. But, there is power in numbers. The more institutions that participate in the program, the greater the capacity becomes overall, the greater the opportunities for sharing expertise and meeting needs, the higher the resulting cost savings will be, the more volume that can be absorbed across the cooperative, and the faster users will gain access to resources across the BTAA’s shared ecosystem for collections.

Shipping

To reduce overall shipping costs (both the cost of mailing and the cost of having technical services staff manage shipping on their own), materials sent between owning and cataloging institutions should piggyback on the existing UBBorrow ILL shipments between BTAA libraries. In January 2014, members of the pilot group met with the BTAA ILL Directors to discuss options for labeling and flagging shipments to indicate when materials are part of a cataloging partnership as opposed to ILL borrowing/lending operations. The ILL Directors group supported the notion of combining shipments to save overall costs. While the pilot study did not adequately assess shipping costs, it stands to reason that the economy of scale afforded by the existing BTAA ILL infrastructure would be less expensive on a per-title basis than sending through the post or by courier.

Scanning

Though the scanning sample was small, whether materials were shipped or scanned seems to have had little impact on either the costs of the cataloging itself or the quality of the metadata end-product. Ultimately, the pilot group believes that in future cooperative arrangements the decision to ship or scan resources should continue to be at the discretion of the owning institution and driven by local institutional goals, or by the value, rarity, or physical conditions of the resources. It may well be that piggy backing on the UBBorrow ILL infrastructure for shipping resources between BTAA libraries will prove less costly per title than employing even student staff to scan materials. For libraries that experimented with both shipping and scanning, it was clear that, from the perspective of staff time, it was both easier and more time effective to pack a box for shipping than it was to scan materials and organize the resulting image files for transmission to the cataloging institution. The relative simplicity of shipping was even more apparent for resources in languages or scripts that were not familiar to the person doing the scanning in terms of their ability to quickly and accurately identify key parts of the resource warranting scanning.

Moving from Pilot to Program

The pilot group distributed its final report on the study and its recommendations for further collaboration for simultaneous review by several stakeholder groups in the BTAA: heads of cataloging, directors of technical services, ILL directors, collection development officers, and library directors. In May 2016, the Heads of Cataloging Committee presented the library directors with a proposed partnership agreement to expand the pilot into a formal program.

The library directors officially endorsed the terms of the agreement and the establishment of a long-term cooperative cataloging partnership across the BTAA, with an initial two-year phase commencing on July 1, 2016. Twelve of the fifteen BTAA member institutions made a commitment to join the initial phase of the partnership (University of Chicago, University of Illinois at Urbana-Champaign, Indiana University, University of Maryland, University of Michigan, Michigan State University, University of Minnesota, Northwestern University, Ohio State University, Penn State University, Rutgers University, and University of Wisconsin-Madison).

The formal partnership agreement provides the following operational expectations and principles:

- **Duration:** The partnership agreement is effective for a period of two years, from July 1, 2016 to June 30, 2018. Any proposal to extend the partnership beyond this initial two years, or to substantively alter the

terms or provisions in the agreement, will be made to the BTAA library directors in advance.

- **Flexibility:** For such a partnership to be sustainable over the long term, structures will be employed that allow for variations in the number of institutions actively participating, the existence and availability of expertise as staffing changes, shifts in institutional priorities that may affect participation, and evolving collection development strategies and practices. Some of these variations will be planned, others could not be anticipated at the inception of the partnership. The partnership will be approached in ways that maximize institutional and collective capacities to meet needs over the long term.
- **Coordination:** The University of Chicago will continue its role as the coordinating institution for the partnership. The BTAA Heads of Cataloging Committee will collectively approach managing the partnership with an eye toward developing sustainable frameworks that require as little administrative overhead as possible.
- **Communication:** Partners will leverage the existing and regular communication mechanisms already in place within the BTAA Heads of Cataloging peer group. This communication includes regular monthly conference calls to discuss issues related to implementation and to reach a common understanding of expectations. Additionally, the group has established a shared Google Drive for cooperative document management, and the BTAA has established a document archive and a list address for those participating in the management of the partnership to communicate via email.
- **Production expectations:** The partnership will begin with each participating institution providing approximately ten hours per month in cataloging services for other partners. With twelve charter BTAA institutions participating, this will equate to approximately 1,440 hours of cataloging per year across the cooperative. Anything exceeding this operational “floor” expectation is negotiable between individual institutions.
- **Standards:** The partnership agreement outlines specific metadata standards that have been unanimously agreed upon by the participating partners. To reduce operational overhead, the partnership will employ existing international metadata standards managed by the PCC that are well-known to cataloging staff across participating libraries.
- **Shipping:** In cooperation with the BTAA ILL directors, partners will employ the existing UBBorrow operations for shipping materials between owning and cataloging institutions to realize economies of scale afforded by this existing infrastructure.

- **Costs:** All cataloging costs will be in-kind costs; no monies will change hands between institutions. The only financial output associated with the partnership will be the purchase of dedicated flags to visually identify materials as they are shipped via UBorrow. Some institutions may choose to scan materials for cataloging, rather than ship them; the owning institution will absorb all costs related to scanning.
- **Assessment:** Initial assessment activities will focus on three main areas: (1) gathering production statistics efficiently; (2) monitoring that cataloging and ILL workflows are effective; and (3) ensuring long-term sustainability by understanding the ongoing project coordination and management needs for the partnership. The overarching assessment goal is to provide sufficient data for participating libraries to evaluate continued involvement and to aid additional libraries that may be considering joining the program in the future. Categories of data currently being gathered include names of owning and cataloging institutions, type of cataloging performed (copy or original), formats of resources cataloged, languages of resources cataloged, numbers of titles (not volumes) cataloged, and free-text comments.
- **Reporting:** The partnership group will regularly report to the BTAA technical services directors, ILL directors, and library directors on progress, at minimum issuing an annual report each of the two initial years of the partnership.

In July 2016, participating institutions refreshed the original pilot data on cataloging needs and available expertise to begin the initial phase of the partnership. Matches between institutions needing assistance in particular areas and institutions able to provide that assistance were made to get initial workflows started. As subsequent needs emerge, institutions make active calls (either via the electronic discussion list or on the group's monthly conference calls) to the entire group for cataloging assistance, and the group dynamically maintains a spreadsheet of needs over time. All twelve institutions are now actively cataloging materials across the cooperative. As expected, the expansion of the partnership to twelve institutions, from the original eight, has significantly increased the range of language expertise, cataloging capacity, and opportunities available to participants.

Opportunities for Further Collaboration

While the cooperative cataloging partnership will address some of the needs in cataloging across BTAA institutions, it does not solve all of the metadata management challenges or

capacity needs faced by partner libraries. The existing and robust BTAA consortial purchasing program is one area that could benefit from the development of more coordinated technical services and metadata strategies. Library collections are also reflective of diverse areas of study, and there remains a wide range of languages and formats in which none of the BTAA institutions possess expertise, or if they do, they do not have the capacity to keep up with their own collection growth in those areas or to lend that expertise to other institutions. Areas being considered for further evaluation and collaboration include the following:

- **Coordinated metadata management for consortial e-resources purchases:** The BTAA has an active, robust, and long-standing program for negotiating consortial purchases for electronic resources. To date, each library has developed institution-specific means for initially acquiring the metadata for these purchases, and then managing and maintaining those metadata records over time as titles are added or removed from collections, packages have been altered, or access has changed in some way (e.g., URL changes). Several groups may explore opportunities to reduce the redundancy of this work across BTAA institutions, and provide sustainable models for coordinating the long-term metadata management implications of consortial purchasing.
- **Cooperative vended cataloging:** For some languages, institutions across the BTAA have experienced limited success in arranging for vended contract cataloging, either because vendors lack the expertise or the volume is too small from a single library for the vendor to cost effectively handle the materials. For the latter scenario, the BTAA Heads of Cataloging Committee plans to more closely examine pockets of collections that are not likely to be included in the Cooperative Cataloging Partnership, and explore opportunities for combining these collections into BTAA consortium-level contract cataloging agreements.
- **Cooperative metadata purchasing:** While BTAA consortial purchasing has focused on electronic resources, there is also overlap in print acquisitions across institutions. One potential area of exploration is the extent to which there is also overlap in metadata that multiple institutions are redundantly purchasing for collections in tangible formats. In some cases, even if there is metadata available for purchase, it may not be cost-effective for one institution to purchase on its own, but may become affordable if consortial purchasing is negotiated.

Conclusion

Developing long-term, sustainable strategies for ensuring cross-institutional cataloging capacity is not entirely about being able to save money. The ultimate goal is to provide access to library collections. Individually, an institution's cataloging strengths may not always match its collection strengths, staffing levels and expertise will inevitably fluctuate, and outsourcing or vended cataloging may not necessarily provide satisfactory solutions. The BTAA Cooperative Cataloging Partnership that evolved out of the pilot study is a strategic effort to supplement cataloging capacity across libraries without requiring additional dedicated budget lines, when possible. Beyond sharing in-kind costs, the added benefit of moving forward with a BTAA collaboration is that it builds on the existing trusted partnerships, communication, and collaborative spirit between member institutions. Incorporating cooperative cataloging is a natural extension of the "collective collection" movement currently being fostered across the BTAA, and lends a further option for ensuring timely discoverability and access to resources throughout the consortial resource sharing ecosystem. To quote Palfrey,

We need radical collaboration in libraries, far beyond what happens today—not collaboration at the margins or collaboration as an afterthought. Librarians need to measure their success not as individual institutions, or people, but rather as collaborators working together to build a new ecosystem of information and meeting the needs of a rapidly changing group of users. This series of conceptual shifts will not come easily, nor will it be uncontroversial.¹⁷

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Book Reviews

Elyssa M. Gould

RDA Essentials. By Thomas Brenndorfer. Chicago: American Library Association, 2016. 376 p. \$105.00 softcover (ISBN 978-0-8389-1328-4).

With his excellent reference work, *RDA Essentials*, Thomas Brenndorfer presents a guide to the cataloging code Resource Description and Access (RDA) that is both comprehensive and comprehensible. Brenndorfer provides catalogers with a clear path through RDA, helping them to understand the cataloging code and its underlying principles in plain English. Through his thorough introduction, Brenndorfer clearly and intelligently illustrates for readers the connections between the Functional Requirements for Bibliographic Records model (FRBR), FRBR user tasks, and the creation of bibliographic description. Readers of this work will thus gain not only a fairly complete bibliographic description of their chosen item, but also a greater appreciation for RDA's structure and conceptual underpinnings.

Brenndorfer launched his cataloging career in 1990 at the National Library of Canada. He has presented on FRBR and RDA at conferences for the Ontario Library Association and Canadian Library Association (verso). *RDA Essentials* stems from Brenndorfer's belief in the "importance of FRBR for the future of catalogs" (verso), a conviction clearly illustrated in his approach to elucidating RDA. The overarching organizational structure of *RDA Essentials* is, like RDA, grounded in the FRBR model. His discussion on how the Group 1 entities Work—Expression—Manifestation—Item (WEMI) relate to the distinction between content versus carrier is lucid and one of the best this reviewer has read. Librarians who have struggled to understand these concepts will find this short summary very useful.

Though Brenndorfer ably handles the theoretical side of RDA, his book is still grounded in practice. The main structure of the book follows the mental path that a cataloger would normally take when creating a bibliographic description. In the introduction, Brenndorfer sets out a "sequence of steps" (xi) that any cataloger would take when creating a simple description, such as for a book. In doing so, Brenndorfer describes how the FRBR user tasks—find, identify, select, and obtain—are truly at the heart of RDA. This user task-based workflow will help more experienced catalogers incorporate these tasks more directly into their work.

RDA Essentials is ultimately designed to serve as a "quick reference source for the RDA element set" (ix). While readers can, and probably should, follow it chapter by chapter when first creating a bibliographic description,

it will most likely serve more experienced catalogers as a tool for clarifying particular elements or rules. The book is organized into four sections. Section 1, which is the bulk of the text, is on the elements themselves. In thirteen chapters, Brenndorfer moves the reader through the WEMI model and FRBR user tasks. Each chapter begins with a short list of relevant terminology, often followed by a sidebar called "Supporting the User." This sidebar reemphasizes the FRBR user tasks as they are related to the given elements, such as how the "data recorded also supports users finding works any expressions that correspond to the user's stated search criteria" (127). Each chapter contains a chart of the elements covered in the chapter. Any related subelements are provided, as well as an indication if the element is considered core or is transcribed. "Sources of Information" for the elements are then provided. The bulk of each chapter in this section consists of each element fully described, with the related RDA rules indicated, and an example of the rule applied to a bibliographic description. Exceptions, alternatives, and related elements are also provided. Section 2 contains guidelines that are referenced in the first section and provide additional detail and support around such issues as transcription (chapter 14) and statements of responsibility (chapter 18). Section 3 guides the user on constructing access points. Section 4 provides a conclusion to the work by addressing other additional instructions, such as cases involving multiples elements (chapter 31).

Of course, as this book is about the essentials, there are some areas of cataloging with RDA that are not covered. Brenndorfer leaves the question of subjects—the creation of headings and their applications—to other resources. His work does not delve into more complex or unique issues of RDA cataloging, such as early printed resources, legal or musical works, or "instructions for changing descriptions because of the Mode of Issuance" (xv). Despite this, *RDA Essentials* will provide a solid jumping off point for most catalogers, especially for libraries dealing with more conventional collections and materials.

What is vital to note about this work is that it specifically "does not provide encoding instructions, such as those for MARC" (ix). Rather, readers should use this work to gain a better understanding of the elements themselves, and later map those to whatever relevant encoding schemes (such as MARC fields). This is an incredibly powerful and important approach to teaching RDA. RDA was designed to be encoding neutral, and sometimes a reliance on the MARC fields or thinking about cataloging through the narrow scope

of the MARC record can cause the loss of the notion and the power of relationships in RDA. The focus on records is secondary to the “important lesson is that RDA is about recording well-formed *data* and recording *relationships*” (xvi). This approach also fosters a deeper understanding of the RDA elements and will better prepare catalogers to use RDA in a variety of encoding contexts now and in the future. It also, quite rightly, refocuses the act of cataloging on users through recording “robust and reliable data in order to maximize support for users engaged in resource discovery” (xvi). Overall, this is a comprehensive work that would be brilliant as a textbook in a cataloging class. As a cataloger, this reviewer has already used this book in daily work and looks forward to keeping it close by.—*Margaret E. Dull* (mdull@ubalt.edu), *University of Baltimore, Baltimore, Maryland*

Exploring Discovery: The Front Door to Your Library's Licensed and Digitized Content. Edited by Kenneth J. Varnum. Chicago: ALA Editions, 2016, 292 p. \$95 softcover (ISBN: 978-0-8389-1414-4).

We are well into the twenty-first century and many libraries, large and small, are dealing with the ever-evolving subject of discovery. This book does an excellent job of covering the many discovery interfaces and platforms available and their impact at various libraries. Discovery is, to quote a statement given in chapter 10 of this book, “enabling people to pick out what they need from an otherwise unmanageable mass of information” (120). Given the changing roles of libraries, as well as the multitude of different media types with which libraries must now deal and must make accessible to patrons, discovery is more important than ever before. Thus, this growing need for discovery that is user-friendly, all encompassing (or nearly so) and fairly intuitive on the back end has given birth to a plethora of options, all of which have their benefits and drawbacks. As not every library or collection is identical, so can be said for the various discovery platforms explored in this work.

The book is divided into four sections. The first two are devoted to various systems, divided between those which are vended and those which are custom made. The third section focuses on the front-facing aspect or “interface” side of some of these systems and the fourth, on the back-end, metadata-heavy side. The majority of chapters in this book focus on discovery systems in academic libraries. Thirteen of the nineteen chapters are either case studies in academic libraries or pull their examples from academic library websites. There are also chapters devoted to discovery in archives and library combinations, including the Rock and Roll Hall of Fame and Museum. Two chapters also focus on digital and/or open access libraries where their discovery systems were of greater importance given their fully digital collections. In addition, there are a few chapters rounding out the book that do not ground themselves to a particular library type, rather

they look at discovery systems and platforms as a whole. Also worth noting is the fact that while some of the chapters in this book delve into highly niche areas such as geospatial resource discovery or use noticeably technical terminology, overall this book is quite readable.

The first section focuses on vended discovery systems, with the first two chapters concentrating on Ex Libris's offering Primo and its integrated library system Alma, and the second two chapters hone in on OCLC's WorldShare Management System and SirsiDynix's Enterprise OPAC, respectively. While three of the four were academic libraries, those three serve campus communities of varying sizes. It is elements such as these that lend themselves to how the different systems were selected and then used by the libraries in focus. The only nonacademic library focused on in this section was a combination library, museum, and archive, which also gives a unique look at what options and flexibility vended discovery systems are capable of offering.

The second section directs its attention to custom discovery systems with an emphasis on Blacklight. Blacklight is used to varying degrees by each of the five libraries discussed. Given the system's flexible nature, this does not come as a surprise. While other systems are mentioned, these chapters dive deeply into the various parts of discovery for which Blacklight is used. As such, this section is extremely useful for any library or librarian interested in using the web application. Once again, the libraries spotlighted in these five chapters are a diverse group. While three of the five chapters focus on academic libraries in the United States, chapters 7 and 8 focus on the discovery systems (and implementation of Blacklight) at a Canadian university and a museum archives, respectively.

The third section focuses on interfaces and user experiences. This section begins with dabbling in how library discovery has had to change and adapt since the advent of popular search engines such as Google. Various aspects of interfaces ranging from bento box design and single search interface to integrating online services and facets are explored in this chapter. Four of the five chapters focus on academic libraries, however much of the information in this section centers around aspects of discovery that are not only used and useful in the broad library world, but also by companies and institutions outside of the library world.

The fourth section focuses on the content and metadata aspect of discovery systems. In general, these last five chapters of the book tend to focus on the nitty-gritty technical aspects, metadata integration, and backend side of discovery platforms. To this end, the first three chapters of this section concentrate on discovery and metadata of a few digital and open access collections. This section also has two chapters dedicated to the impact of discovery platforms on libraries overall. Specifically, chapter 18 focuses on the impact in regards to the library world in general, and chapter 19

focuses on new challenges in how metadata is now used.

In summary, this is a useful book for those wishing to understand and research different discovery options. Particularly of interest are the discussions of what Blacklight and Ex Libris's Primo have to offer libraries and patrons. Despite focusing mainly on academic libraries in the United States, the nineteen chapters do cover a wide array of discovery issues that can be found in any kind of library. This is primarily what makes the book useful. In general, librarians at academic libraries will benefit the most from the information presented here. That said, there are still many tidbits of information that librarians from other types of libraries could glean, particularly from the chapters encompassing the whole spectrum of discovery and metadata. Because of this, this book would make an excellent addition to any library or librarian's collection.—*Laura Nelson* (lnelson@csusm.edu), *California State University, San Marcos, California*

Shared Collections: Collaborative Stewardship. Edited by Dawn Hale. Chicago: ALA Editions, 2016. 211 p. \$75.00 softcover (ISBN 978-0-8389-1403-8). An ALCTS Monograph.

Librarians are natural collaborators. As professionals we enjoy working with colleagues within the same institution and beyond. This is particularly fitting when it comes to collection development. Academic libraries strive to support the research needs of our users by providing access to a wide range of materials. In a world of shrinking budgets and limited staff, we turn to collaboration as a way to continue to deliver excellent services to our patrons. Collaborative partnerships between regional institutions or across state lines allow individual organizations to reallocate their resources and better serve the local needs. If you are ready to begin the planning stages of a collaborative collection development project, this book is a great starting point. *Shared Collections: Collaborative Stewardship* is a gathering of essays that discusses an array of cooperative collection development projects in a variety of institutions. It covers everything you need to know from how to create a partnership of shared collections (chapter 2) to specific examples of current projects covering everything from serials (chapter 4), monographs (chapters 6 and 8) and digital collections (chapter 7).

Shared Collections brings together a number of perspectives on collaborative collection building for the twenty-first century. The book is divided into three parts: "Building Shared Collections," "Shared Collections: Case Studies," and "Future Directions." The content of each section is as obvious as the titles suggest. Part 1 lays the foundation of shared collections. It lists historical examples of collaborative projects while at the same time providing direction for the future. Strieb argues that "this volume collectively addresses the challenges of learning how to operate cooperatively and

to reorganize and repurpose past investments" (4). Part 2 includes a variety of examples of cooperative agreements ranging from serials projects and electronic books to digital collections. In each case, the authors describe the steps taken to set the consortial agreement. In some cases, there is a discussion or evaluation on how the project is evolving and what future direction it may take. Part 3 consists of a single chapter that ties all the individual chapters together. It addresses the issues and solutions presented in the previous chapters, highlighting the main points in each while also adding similar projects not described in the book.

This book is a must-read for collection development librarians. It contains valuable information to keep abreast of current collaborative projects across the academic landscape. Many of the lessons and processes described can be extrapolated to new collaborative projects. An unanticipated benefit of this collection is that the chapters describe and evaluate a variety of vendors' products used in collaborative projects, therefore providing the reader with a unique assessment of the products. This valuable insight can assist in determining whether to implement a particular platform for digital collections, as is the case with the UCLA project with Nuxeo in chapter 9. Another example is how to build a digital collection for electronic books using University Press Scholarship Online in chapter 7. All but one of the chapters end with a list of notes to further expand the conversation.

Shared Collections provides a one-stop-shop approach to collection sharing. The examples of joint collection development run the gamut from for the traditional serials, monographs (print and electronic), digital collections, and how to handle scarce materials. The detailed descriptions of the various shared projects provide the necessary tools for other librarians and administrators to implement similar plans on their campuses. Take for example, the preservation challenge described in chapter 3's "Scarce and Endangered Works" where Nadal, Peterson, and Aveline describe their approach to outline the decision-making process to take preservation action of the materials in the UCLA system. Their work looks at "propose[d] methods of making preservation decisions based on holdings data for library collections" (27) in the UCLA library system. They suggest the need to look at the holdings of an individual item in the system at large (e.g., WorldCat) before making the decision to either replace or withdraw that particular title. The methods and lessons outlined in this preservation project can be implemented on a smaller scale at any institution that wants to apply a data-driven aspect to the process that handles their endangered materials.

This book covers important aspects of collaboration across institutions in order to build shared collections. It begins by providing readers with early examples of consortial agreements. These examples serve as a foundation for current and future projects. They are the blueprint upon which

we can continue to build as we explore new avenues for collaboration. It is important to point out that even though the book supplies its readers with many details on consortial agreements, it is not a “how-to” type of book. This book is also not an instruction book to create consortial agreements with other institutions, or a conference proceeding. It does not take a narrow approach to shared collection building for serials or monographs. Rather, it is a selection of a wide variety of ongoing collaborative projects across the nation covering a wide range of formats that provide enough details

on the individual projects to serve as a basis for new projects. Readers can easily draw from the experiences outlined and explore the tools and vendors mentioned as they assess which direction to take for their own projects. As such, the whole book brings different voices and experiences to the conversation of shared collection building. *Shared Collections* is a must-read for all collection development librarians in academic libraries.—*Betsaida M. Reyes* (breyes@ku.edu), *University of Kansas, Lawrence, Kansas*



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