

Rollins College Library

Workflow Analysis

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I. Introduction

In March and April 2008, R2 Consulting LLC (R2) spent approximately twenty consultant days analyzing the selection-to-access workflows at Rollins College Library. The project included two days of onsite meetings and interviews, extensive review of documentation, follow-up discussions via phone and e-mail, preparation of this report, and a return visit to present our observations and recommendations.

The overall goal of the project was to prepare for the future of library services at Rollins by:

- Examining Rollins's workflow processes from a "best practices" point of view, based on experience with other libraries
- Adapting Collection Development and Technical Services workflows to increase efficiency
- Finding an appropriate balance between print and electronic resources
- Aligning staff efforts with changing patron demands
- Redesigning the Library's organizational structure to better meet its mission

As R2 understands it, this project is not intended to reduce staffing levels, although some redeployment of staff within the Library may have to occur.

Our findings reflect a fairly traditional college library with a strong orientation toward print collections and manual workflows. At the same time, the Libraries have fully invested in electronic resources and have begun to grapple with changes in user expectations and content delivery mechanisms. While the difficulties of that transition are apparent, so too are signs of progress.

There is much to be proud of at Rollins, including:

- The library is a busy, welcoming space. Big flat screens inform patrons of library news. The café in the lobby encourages people to come in and stay.
- There is relatively ample space and the facilities are beautiful. The rocking chairs on the front porch are fabulous.
- The staff is engaged, with very talented and smart people at all levels of the organization. Turnover is not a problem.
- Managers and many staff are open to change.
- A good deal of local digitization is already underway in Special Collections.
- Decisions have already been made to prefer electronic over print subscriptions whenever possible.
- There are no backlogs of new material in Technical Services.
- Tangible Government Documents have been eliminated in favor of electronic.
- There has already been some weeding activity in Reference and movement toward purchase of an electronic reference tools. A text-messaging service was recently introduced in Reference. (MEEBO)



- Open orders are visible in the OPAC. Faculty members are notified automatically when their orders have been filled. New acquisitions are listed on the website.
- There is no longer routine binding of paperbacks.
- There is a (McNaughton) rental plan for popular books, allowing high profile titles to rotate through the library without adding them to the collection.
- The library has invested in a commercial (Serials Solutions) ERM, although it has not yet been fully leveraged.
- EZproxy, the Serials Solutions link resolver and a federated search engine were implemented last year, making online database access easier for all users.
- Plans are underway to load Serials Solutions MARC records for eJournals, after the ILS upgrade in June.
- Several new online databases were added last year, including ATLA, ARTstor, and Scopus.
- The library's proximity to College IT is an asset; there is an IT helpdesk in the library.
- The Library performed a LibQual Survey last year, results were posted, and concerted effort is being spent on redressing specific issues.
- The Library's 2007 (seven) strategic directions are clear and entirely appropriate. Significant progress has already been made.

But there are also several areas of concern, which can be summarized as follows:

- There is an over-commitment to print resources in Technical Services, even though users prefer electronic.
- There is an over-commitment to traditional cataloging practices.
- Collection Development has not been approached strategically. There is no shared vision of what the "collection" should be ten or twenty years from now. The monographs budget is small in relation to peer libraries, and usage is also comparatively low. The budget allocation process for monographs is opaque.
- Systems and vendor services have not been fully leveraged.
- There is inadequate systems expertise and/or capacity within the Library.
- Management of electronic resources is occurring outside of Technical Services per se.
- Some pending tasks and projects have strategic importance and should be prioritized.
- There is some evidence of inadequate interdepartmental communication. (Example: How current are Rollins serial holdings in WorldCat?)
- There is inadequate expertise relating to operational and project management.
- Discards are backlogged.
- Some faculty members lack confidence in library collections and services.



This list is, in our experience, a fairly typical mix of things that are going well and those that are not. There's a lot that has to go right every day for an academic library function well, and Rollins is doing just that, thanks to the ongoing efforts of a dedicated and experienced staff. We feel privileged to have seen its inner workings.

R2 has endeavored to make recommendations which fit Rollins's context and are organized as follows:

- Strategic shifts in regard to Collection Development
- Opportunities to streamline the handling of print monographs
- Ideas about library systems and system support
- Ways to improve the user experience in terms of discovery and access
- Suggestions to eliminate outdated and/or low-value tasks
- Proposed adaptations to the organizational structure

Many of the changes we suggest in this report have been implemented successfully in other academic libraries and are common practice. Some of our ideas may challenge or irritate; we regard that as part of our charge. Although we usually expect objections to some recommendations, our sense is that many people at Rollins are open to change and anxious for clear mandates. Many of the ideas we present have been put forward previously by library staff themselves, and we want to acknowledge the interest and honesty shown by the staff members in our onsite meetings.

Our recommendations are numerous, and some are contingent on others. We recognize that they will require significant and sustained effort—much of which will need to take place alongside daily production work. Therefore, it is critical that Rollins' leadership carefully analyze and evaluate each suggestion, and determine which to adopt, which to modify, and how to sequence them. Implementation will require careful prioritization and significant effort if the potential benefits are to be realized.



II. Collection Development

The role of Collection Development is changing rapidly in this digital age. In addition to the traditional tasks, there are numerous other aspects, including: convergence of collections and discovery; evolving selection roles for institutional repositories; declining attention to print monographs; increasing need for weeding; the growing importance of collection analysis and cooperative collecting; and the need to prioritize new formats and unique print content. This translates into a need for new policies, new stakeholders, and many new tasks, but rarely new staff.

Collection Development at Rollins has been somewhat isolated within the organizational structure, but has a strong relationship with Acquisitions. The book budget is relatively small. Faculty members perform the bulk of monographs selection, primarily from Choice cards (distributed by the library), publisher catalogs, publisher ads, and review journals, etc. The Collection Development Librarian manages a few small approval plans and reviews faculty selections but beyond that, she is not especially focused on selecting print monographs. Likewise, members of faculty are relatively uninvolved in the selection of electronic resources, leaving this growing responsibility to professional librarians. In our experience, this approach is not unusual for small college libraries, and is not something we would necessarily seek to change. There are, however, some points of strain in the realm of Collection Development at Rollins, and some important tasks that are not getting done. These include:

- Updating the Collection Development policy. Re-envisioning "collections".
- Rationalizing the size of the monographs budget and the departmental allocation process; increasing the sense of equity between departments and finding better ways to support new programs. Increasing the transparency of the allocation process and current expenditures.
- Expediting selection decisions for electronic resources
- Assessing the Library's collections
- Changing the gifts policy to reduce the number of unsolicited gifts
- Assisting faculty with the selection process --- promoting newly published titles; recommending core and highly cited titles to new faculty (so they can spend the \$1000 startup allocation in the most meaningful way)
- Weeding the collection of outdated, deteriorating, and inappropriate titles
- Updating the manner in which donors are appreciated and recognized
- Prioritizing projects and tasks related to digitization and resource description
- Physical inventory of the collection
- Developing a preservation program and furthering the disaster recovery plan

Our recommendations are as follows:

Revise the Collection Development Policy

Rollins's Collection Development Policy was last revised in 2002. The next process of revision should be oriented, at least in part towards re-inventing the concept of collections in this digital age. Of course, there should be an outline of parameters that are appropriate for each discipline. These usually include topical, historical, and



geographical parameters. Perhaps even more important, however, will be policies regarding format: when will print be preferred? When is a digitized edition (commercial or non) an appropriate substitute? What are the policies on back files? Under what circumstances should print be retained? What should be bound? What are the rules about journal supplements? To what degree should non-textual media be collected? How useful are gifts in these areas? What material might belong in an institutional repository? How will it be identified and obtained? Each section should include basic parameters for weeding as well, and some assessment of how often the collection should be analyzed or compared against peer institutions. What should the collections and allocation policy be for new academic programs?

Even more profound is the need to rationalize the extent to which Rollins will continue to own or subscribe to content, versus the extent to which Rollins should “pay per view”. This has long been accepted as a way to provide access to little used journals. What are the usage patterns under which a pay-per view model would be more cost effective for Rollins? Would this approach be more appropriate in some disciplines than others?

Is predictive buying still appropriate at all? Or only in regard to categories of material that have no electronic surrogate? To what extent should the Rollins community rely on content that is not “controlled” by the library? For a small college library like Rollins where information needs are both limited and unpredictable, the answer to these questions could yield considerable savings and long-term flexibility. This topic is being discussed in many academic libraries, of course; both large and small. We recommend the following links for additional, thought-provoking ideas and observations.

- In 2004, Mary Casserly, at the University at Albany Libraries, compared collection management to risk management:
http://www.sciencedirect.com/science?_ob=ArticleURL&_udi=B6VSH-4BDJTS1-8&_user=10&_rdoc=1&_fmt=&_orig=search&_sort=d&view=c&_acct=C000050221&_version=1&_urlVersion=0&_userid=10&md5=48094d0cc24f2a357094fd7d44c76bab
- See page 41 of this CLIR report that described the impact of pay-per-view on user behavior. It appears that even when the library is paying, users view fewer articles: <http://www.clir.org/pubs/reports/pub120/pub120.pdf>
- And, in *No Guts No Glory, Information Professionals March Into the 22nd Century*, Barbara Quint reminds us that the tasks of libraries remain the same: getting the information, and making sure that we don't lose access. But new demands of dealing with a Web-dominated information universe require us to re-structure our primary tasks of access and archive:
<http://www.loc.gov/rr/program/lectures/quint.html>

While none of these citations are brand new, we suggest that they all address the definition of “collection development” in rather creative ways.

Rationalize the book budget and the departmental allocation process

While onsite, R2 was presented with some important data comparing (per FTE) library spending, staff size, and circulation at several peer and Oberlin Group Libraries (developed by D. Yvonne Jones in 3/17/08). At first glance, the reader may be alarmed that Rollins falls at or very near the bottom of all comparisons in regarding library expenditures per FTE. Likewise, Olin's staff size falls to the bottom of the list. As the



Director was quick to point out, however, this may not be inappropriate given that Rollins' Library gate counts AND circulations (again per FTE) are lower than any of the comparison libraries. This raises several questions, for which R2 has no answers. Does course work at Rollins impose less intensive research requirements? If the collection was stronger, would there be more usage? From our third party perspective, this looks like it could become a "chicken or egg" debate, but one that should be brought to the fore, if only to justify the current levels of expenditure within the libraries.

During the course of our information-gathering visit, R2 had the (much appreciated) opportunity to meet with two members of the teaching faculty. The disciplines represented are traditionally book-centered areas of study. In any case, both faculty members expressed some level of concern about the library's monographs collections, and the ways in which they both compensate for its weaknesses. Their comments suggest that there would indeed be more use of the library (encouraged by faculty members) if the book collection was stronger. It may be useful to bear this out with other teaching faculty.

The other concern raised by the faculty representatives had to do with their sense of inequality regarding the allocation of library funds to departments. Everyone is aware that there is not a lot of money allocated, and perhaps the model is fair, but the lack of transparency reinforces the belief that it is not. If Rollins is like other libraries in which we've worked, the oldest, most traditional departments have the biggest allotments. If this can be fully justified, then more openness can and should be tolerated. On the other hand, if the allocations are not easily justified, it may be time to reconsider them.

In the last twenty years, enormous changes have taken place in the academic environment. Scholarship has become increasingly interdisciplinary; programs such as Critical Media and Cultural Studies, Religious Studies, Latin American and Caribbean Studies, and Sustainable Development and the Environment tend to operate outside of and across formal departments. It may be that historically important disciplines are over-funded and emerging disciplines under-funded relative to their current needs. This may be a good time to recalibrate resource allocations with potential demand in each department (as expressed in weighted student credit hours and faculty FTE). These metrics, perhaps also supplemented by a research intensity component, could clearly show where the institution's intellectual attention is focused, and where library support should follow.

Develop a stronger focus on unique and electronic content

In this age of mass digitization and the extensive sharing of resources between libraries, traditional print collections are becoming less important and are certainly not critical to the development of a library's reputation. Alternatively, it is creation of access to local and unique content which can elevate the status of a library and the institution to which it is associated. In addition, the culture of excellence that can be associated with the development of unique resources can pay enormous benefits in the morale of those staff members currently occupied with more generic content.

Clearly, Rollins has recognized that it has a good opportunity to establish expertise in some unique sets of content. In particular, the Florida and College specific materials that are housed at Rollins, together with other archival materials, are exactly the unique types of materials that modern academic libraries are using to make substantial contributions to the totality of human knowledge. We believe that Rollins should continue to make the



digitization and electronic access to unique materials a high and clearly articulated priority in its Collection Development Policy.

Develop routine procedures for identifying and preserving free web sites, pdf's, political blogs, listservs and other unlicensed scholarly electronic resources

Librarians throughout the organization should be encouraged to begin (or continue) identifying such resources, and developing ideas about hosting and archiving them. Working together, the CD, ER, SPEC and Cataloging Librarians should set up submission and description procedures. We don't know if some of this work is already occurring and if so, we recommend that it be given higher priority, since this content is both electronic and unique. In some cases, especially with important material that may not persist on the open Web, copies could be downloaded and hosted locally. In terms of the national collection and scholarly agenda, Rollins's CD efforts should be increasingly spent on the digitization, description, and improved access to unique, local, and un-owned, uncontrolled content.

Consider using portions of the materials budgets for access

In connection with acquisitions workflows for commercially available content, R2 generally advocates using services supplied by materials vendors and other third parties to reduce costs, to speed access to these materials, and to divert library attention towards unique content and tasks that cannot be outsourced. If service costs are prohibitive, and there are no budgetary alternatives, R2 recommends that the Library pay for them out of its materials budget. In our view, the creation of timely patron access is of equal importance to the actual acquisition of the material and that it is entirely appropriate for these aids to creating access to be funded through the materials budgets. In our experience, this allocation of resources is becoming more and more widely adopted by academic libraries.

Relinquish Selective Depository status in the FDLP

Rollins is one of few libraries we've worked with to make the unqualified decision to give up print for e-only access to Government Documents. Furthermore, the Library has removed more than 15,000 Depository items from its shelves, and intends to remove the remaining print items as they are superseded. With so much content now available electronically, we often encourage other Selectives to move in this direction, but to our knowledge few have taken such bold steps. Bravo!

At this point, however, R2 believes that the Olin Library should take the final step away from the FDLP. In the past, Rollins has considered giving up its Selective status, and we urge you to do so now for the following reasons:

- The Library's participation in the program is already minimal. According to the Document Data Miner on the FDLP website, Rollins College is now a 3% Selective. The Library is doing little to publicize Government Documents to the Rollins campus and public visitors rarely make use of the services.
- The "rules of disengagement" are burdensome for those libraries that hold a large print archive as these tangible resources must be "offered" to others. The specter of this task alone has compelled some libraries to maintain their FDLP status. With a small number of print holdings, this is not a significant issue for Rollins.



- The Library is purchasing monthly Marcive records for electronic government documents but adding very few to the catalog. In FY2007, Marcive provided 2,435 records, but only 162 were loaded, or about 6%. The remaining records were not available for patron use. We don't know what these records cost, but the funds can probably be put to better use.
- It's no longer necessary for small or medium sized private institutions to be a member of the FDLP to provide access to Government Documents. With the exception of two or three databases, the majority of GPO's output is available to all libraries. More than 90% of the federal government's information is electronic and the GPO's print output is declining rapidly. We are pleased to note that Olin has already included the GPO as a target in its new federated search tool. And, we urge the Library to also add a link on its website to the new online reference service (announced in 2008) sponsored by the GPO and the University of Illinois at Chicago. For more information see <http://www.govtinfo.org/>
- If needed, the University of Central Florida is an 88% Selective Depository and is close enough to Rollins to be a convenient resource for its students and faculty.
- The Government Documents space on the first floor contains empty microfiche cabinets and empty shelving. There are unused rooms that could be designated for group study immediately, while the Library considers longer term space needs.

Expedite e-resources decisions

The process for selecting e-resources at Rollins is somewhat unclear. Some librarians described the process as "fuzzy" and feel the only way to effect purchase decisions for e-resources is to be a "squeaky wheel". There is a Digital Library Group charged with making recommendations to the Librarian's Meeting about the Library's web page, its online presence, and its use of web tools, but many are not aware that selection/de-selection decisions about e-resources are part of its purview.

In the past the Librarians have come together to propose and advocate for e-resources and reportedly, some felt it was extremely helpful to hear and understand each other's arguments. In our experience, some libraries convene annual meetings for this purpose alone and have found it an effective way to allocate their e-resources budget. Whatever method is chosen, we encourage the Library to design a process that is transparent, with published deadlines for submitting proposals, inviting responses, and expending funds. The ERM should be used for tracking these pre-selection steps (including the reasons for not choosing a resource, so that the decision doesn't have to be re-made each time the resource crosses the radar).

Take the lead in prioritizing TS tasks

In preparation for the R2 audit, the Head of Technical Services compiled a list of pending tasks. These represent a surprising mix, ranging from the ILS upgrade, to remedial headings maintenance. The upgrade aside, many of the projects on the list have been left undone because they were never established as library priorities or simply because there hasn't been time. In our experience, this is not at all unusual. The fact of the matter is that no library can do it all, so conscious decisions must be made about which things should be left undone.

R2 recommends that strategic prioritization can be accomplished most appropriately by Collection Development. The responsibility for shaping the collection should include



responsibility for identifying the most critical cataloging backlogs and database maintenance tasks; always with user needs firmly in mind. Input from public services librarians and faculty will sometimes be important, but coordinating this input rightly falls to the Collection Development Librarian. This work is not unlike selection and should be considered in this light. As we see it, some of the pending cataloging projects should be prioritized including:

- Creating access to resources that have already been purchased or subscribed (netLibrary eBooks and electronic databases)
- Ensure that holdings accurate and current in WorldCat
- Load Serials Solutions MARC records (after ILS upgrade)

And some things should probably be removed from the list including corrections to student created metadata for local photo records. What they've done is good enough, and the adjustments occurring now, while complying with standard LC heading structures, do little to improve access. In any case, the process of prioritization should be ongoing, with a careful eye towards shifting demands.

Note: We see the system upgrade as anomalous on the list of pending Technical Services projects. R2 is concerned that appropriate expertise for managing this project may or may not exist within Technical Services per se. While there may not be a better solution this time around, R2 suggests (and describes below) that in future, primary responsibility for systems related projects should be placed elsewhere in the organization.

Advocate on campus for e-only theses

Given the trend toward e-only theses and dissertations on many campuses, this may be a good time to eliminate print theses from the Library workflow. Obviously, this is a policy issue that must be negotiated/coordinated with the other members of the college community, and one that is already on the agenda in Special Collections. Regardless of the hosting platform chosen, the digital copy should be accepted by the library as its archival copy.

To streamline the cataloging process, we suggest full utilization of the metadata supplied by the author without significant enhancement. Patrons primarily retrieve these resources by keyword or by department name or discipline, often looking for the most recent material; or by author in cases where they know him or her personally. If these search patterns can be borne out at Rollins, it may be that formal subject analysis and name authorities can be abandoned. Again, this change will free valuable cataloging time for more critical tasks.

Establish rules-based weeding for monographs

At present there are some empty compact shelves in the basement, but the Library has little offsite storage. Per the College Librarian, there are no plans to seek additional space for physical collections, which we see as appropriate for an institution like Rollins. At some point, however, shelf space will become a concern unless weeding becomes more of a priority. As well, during the R2 interviews some unhappiness was expressed about outdated and non-scholarly titles in the collection. And, as in most academic libraries, one of the top five issues at Rollins is its use of physical space and how to make it more attractive and functional for students. The Library has made some important improvements in this regard but recognizes that more are needed. Most of the prime



space, of course, is currently filled with books, which are declining in importance to the typical user.

While the benefits of proactive weeding are increasingly clear, item-by-item weeding decisions are cumbersome and typically require the time of professional librarians. Instead, R2 proposes that Rollins librarians collaborate with faculty to develop a target (maybe one floor) and a set of rules to guide an aggressive batch-oriented approach to weeding. In addition to duplicates (which have already been removed), rules might be established to allow withdrawal of earlier editions, textbooks, outdated reference titles, duplicate formats (VHS tapes that have been replaced by DVDs), and the like.

But deeper parameters will also be necessary. For instance, if a title has not circulated within the past ten years, it should become a candidate for withdrawal. "Candidate" titles that have an acceptable full-text surrogate available through Google Book Search or Windows Live Academic, could be automatically withdrawn, without further consultation with faculty. These are low-use titles, and if one is needed, an electronic version is available free of charge. This strategy takes advantage of the mass digitization programs now underway and growing rapidly in scope. It would allow Rollins a relatively low-risk option for opening up valuable space and creating room for new uses.

While rules will vary from subject to subject, the principle is the same. Collaborate with faculty, as necessary, to develop criteria that allow paraprofessionals to move ahead with batch withdrawals. Additionally, the Library should invite faculty to browse relevant portions of the collection and simply pull titles that should be withdrawn. Immediate action should be taken to suppress these records from the OPAC, even if subsequent database clean-up must be delayed.

Develop a more restrictive gifts policy

Like many libraries, Rollins receives hundred of donated books, DVDS, CDs and periodicals each year. One TS Specialist told us that 100% of his time over a period of days can be consumed by a large shipment of gift books. This includes acknowledging the gift, creating a list of the items, and searching the catalog for each one, resulting finally in very few additions to the Library's Collection. The gift discard backlog is sizable.

We suggest that Rollins perform a quick audit on this stream of material, to reveal the actual costs. The outcome of this audit should be shared broadly, in support of a revised policy proposal. As we understand it, approximately 25% of all donations are actually added to the collection, after they've been identified, retrieved, valued, acknowledged, tracked, and reviewed for acceptance by Collection Development faculty. 694 gift books were added to the collection in FY06, 523 were added in FY07. These numbers allow us to estimate that as many as 2500 books are donated each year but more precise figures may be available. For perspective: there were 2577 firm orders placed in FY07. There are several aspects of this that should cause concern. The cost of processing gift material is high (1- 1.5 FTE) and finding scalable options for discards is difficult.

It has long been documented (Dilys Morris et al) that the cost of acquiring a book exceeds the cost of cataloging it. It may be helpful to think about the 500+ retained each year as bearing the total cost of the gifts operation during that time.

As you would expect, R2 recommends an adjusted Gifts Policy. The new practice should eliminate acceptance of most gift materials. Exceptions should include rare or especially valuable books and current titles (current pub year) that fall within the college's collection



policy. Obviously, very special donors should be treated respectfully, but with a practical honesty that most donors will appreciate. And, as soon as a new policy is agreed upon and publicized, the storage rooms should be emptied and the items discarded. Some interviewees expressed frustration with the amount of time needed to process these when so many are discarded. We concur.

Substantially reduce the print reference collection

We understand the Library has recently weeded some of its print reference collection. R2 applauds this initiative and urges even more substantial culling over time. E-Reference titles have proved among the most successful of e-book formats, and the number of titles available continues to increase, both for ready reference and topical works. In fact, electronic reference has become the norm in most academic libraries. It is generally agreed that this category of eBook enhances the user experience, while saving space, and reducing exception treatment. Over the longer term, it is conceivable that Rollins could eliminate print reference as a physical location. Pseudo or highly specialized reference materials should be shelved in the stacks.

Expand the publisher list for the History of Florida approval plan

As we see it, Rollins's current use of approval plan services is appropriate for the size of its budget and collection. While onsite we heard comments about expanding the publisher list for the YBP Florida approval plan to take advantage of funds that are not being used. This would be an easy and efficient way to move forward. A search in GOBI (YBP's online database) for titles about Florida with historical aspects, profiled within the past eight months, displayed 45 titles published by CRC, John Wiley, McFarland, History Press and the Center for American Places. University Presses for Washington, Oklahoma, Alabama, Georgia and California have also published titles about Florida history. At the very least, broadening the profile to include University Presses will produce substantially more books.

Adapt the "rules" related to new monographs orders

At present, if a selection request is received for a monographic title that is already held in electronic form, the order is processed as usual if the print edition costs less than \$50. It occurs to us that this rule could be reversed. Our suggestion is to return the order request to the faculty member with a link to the eBook and ask him/her to resubmit the order if it should be held in print as well.

The paper-cloth decision point is also \$50. That is, if the cloth edition costs \$50 or less, the cloth is ordered. At this point, many libraries have moved to a pure paperback preference, eliminating the item-by-item price comparison and allowing a vendor to substitute paper whenever available. Cost is not the only concern here. While a paperback preference will save a little money, the real savings will come from a stricter rules-based approach to ordering books.

Consider on-demand acquisition of eBooks

If the Library is interested in a just-in-time, rather than a just-in-case acquisitions model, eBooks offer some intriguing possibilities. For instance, instead of actually buying eBooks proactively, consider simply loading a record to the OPAC. For any title available electronically, it might be acquired only when a user requests it. Some eBook vendors offer immediate availability under these conditions — either as a purchase or a short-term rental.



Stop vetting firm order selections in Collection Development

If we understand correctly, all of the faculty requests pass through Collection Development for review. Since none are refused, R2 suggests that this preliminary step be abandoned.

Reduce binding of print serials

At present, just 91 journals are bound; recently (?) down from 360. Clearly, the systematic reduction of print subscriptions (when electronic access is available) has already resulted in a dramatically reduced need for binding. In those cases where print subscriptions will be maintained, we suggest a further reduction. If this hasn't already been done, R2 recommends that Rollins identify those journals for which it owns an historic or complete run. Of these, the College may want to commit to maintaining (binding) future volumes for those deemed most critical and/or those that are not held in JSTOR or Project Muse. Others should (from here forward) remain unbound; perhaps stored in boxes. Once the content is available electronically, unbound issues should be discarded.

Close out unsubscribed or ceased journals and shelve final issues with bound volumes

R2 is somewhat unclear about the circumstances surrounding this issue, so additional investigation will be helpful. In any case, it appears that many journal titles remain in the unbound periodicals browsing area, even when the last issue was received several years ago. Yellow tent signage "Last Issue Published" sits atop the pile of unbound issues and the catalog record still indicates that the title is currently received. Our recommendation would be to close these serial records and place final print issues with the bound run.

Stop storing print journals that are in JSTOR

We are not entirely sure about the extent to which this is happening, but we recommend recycling them once they are removed from the library proper.



III. Print Monographs

In many academic libraries, item-by-item decisions and tasks still define the acquisitions workflows for monographs. Comparing our experience with other Oberlin Group Libraries, we believe Rollins purchases fewer books but involves more staff in the process. In FY07, 2577 firm orders were placed, received and processed by 5.5 FTE staff. Per week, this means approximately 50 new books were put on the shelves, or about ten books per staff member. These numbers are overly simplified, but illustrate the high level of attention paid to each book acquired at Rollins; a costly process that can be streamlined.

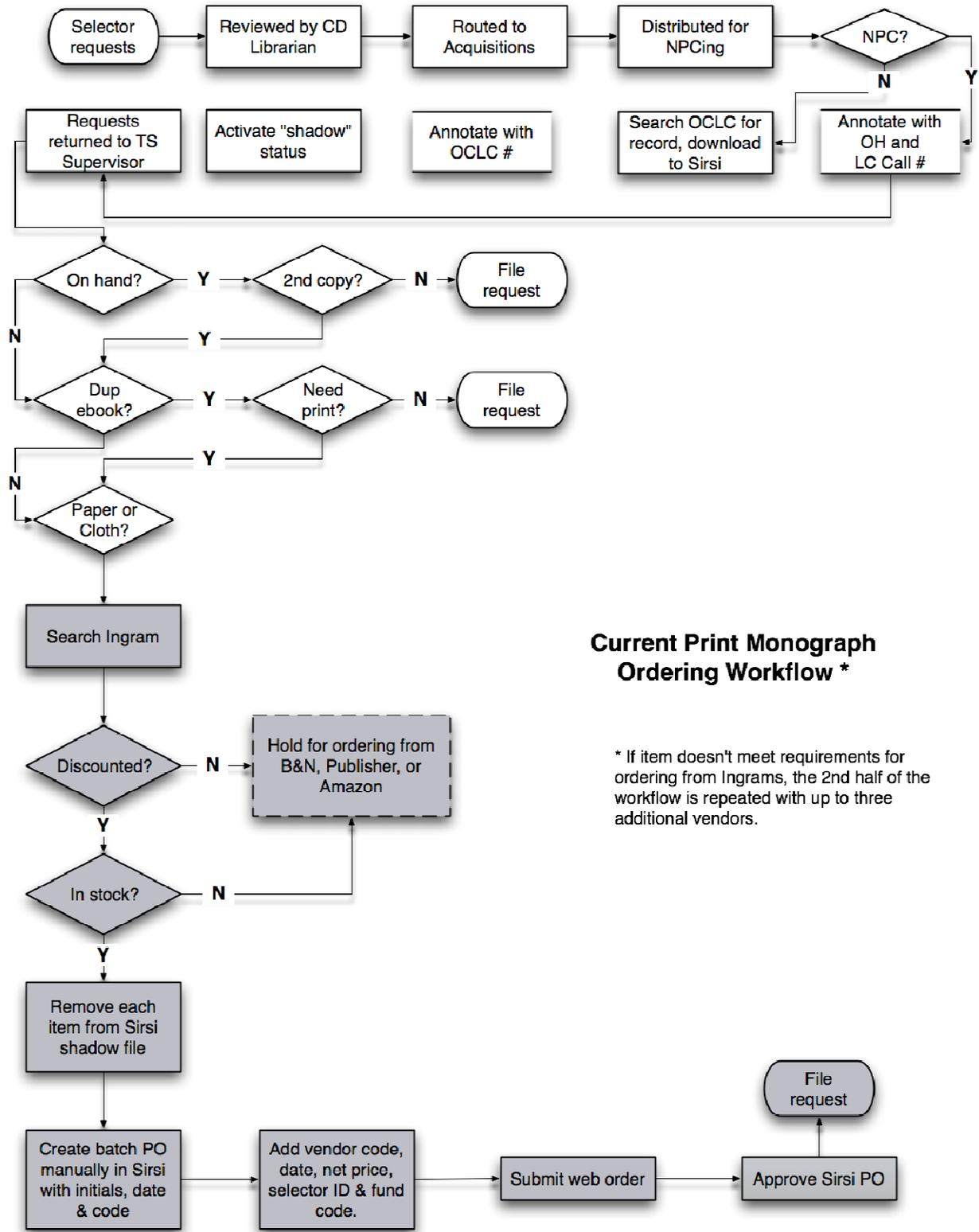
As described in our kick-off presentation, one of the best ways to reduce operational costs and to free staff for critical new initiatives is to automate as many tasks as possible and to some extent, adopt a rules-based decision-making process. As described in this section, the opportunities for automation are most highly developed for domestic print monographs.

In the graphics on the next few pages we present a comparison of the Library's current process with a more automated alternative. The first flowchart illustrates the high level of manual effort in the Library's print monographs ordering workflow. The process is very much oriented toward individual items, title-by-title searches and decision points, exception handling, and manual tasks including data entry and written notes. It is important to recognize that many of the steps in this flow are item specific and completely manual. Seeking the "best" vendor for each book (for example) is costly in terms of staff time and repeats whole sections of the workflow for each item ordered.

The second flowchart depicts a batched workflow that takes full advantage of an academic library vendor's services and Sirsi functionality, and eliminates almost all of the manual intervention displayed in the first chart. We think the advantages are apparent, including a daily process that turns requests into orders, complete transparency of process, close to real-time fund encumbrances in Sirsi, a reduction in keying and searching errors, and vastly reduced time frame between request and receipt; all accomplished with a fraction of the staff time currently committed to this task.

The recommendations in this section are intended help Rollins move towards this automated approach, reducing the effort that goes into the handling of mainstream monographs by leveraging systems more fully.



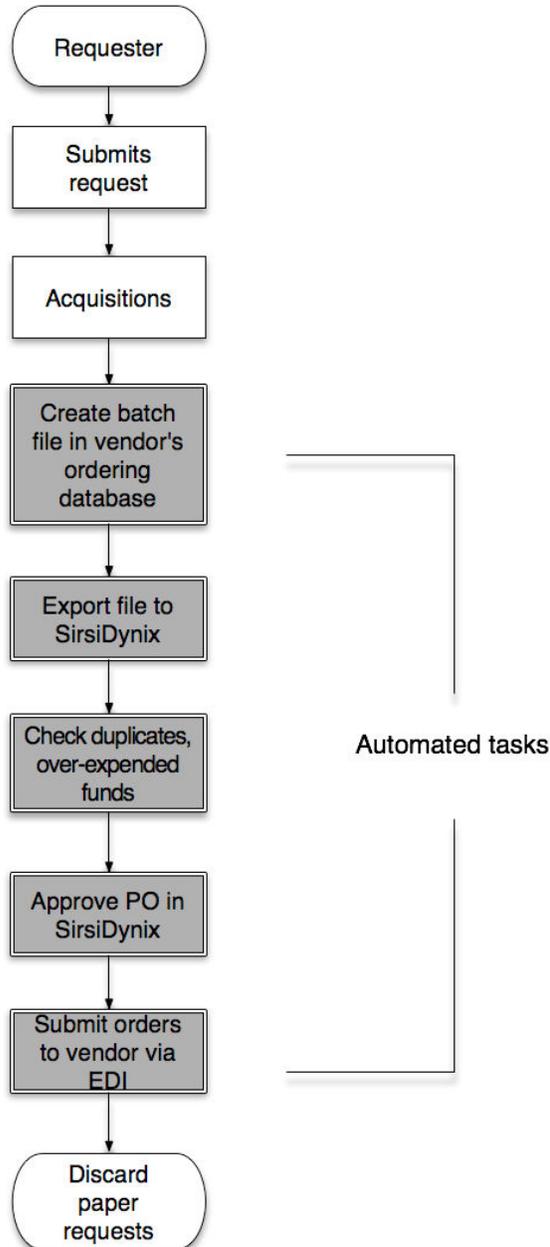


Current Print Monograph Ordering Workflow *

* If item doesn't meet requirements for ordering from Ingram's, the 2nd half of the workflow is repeated with up to three additional vendors.



Proposed Print Monograph Ordering Workflow

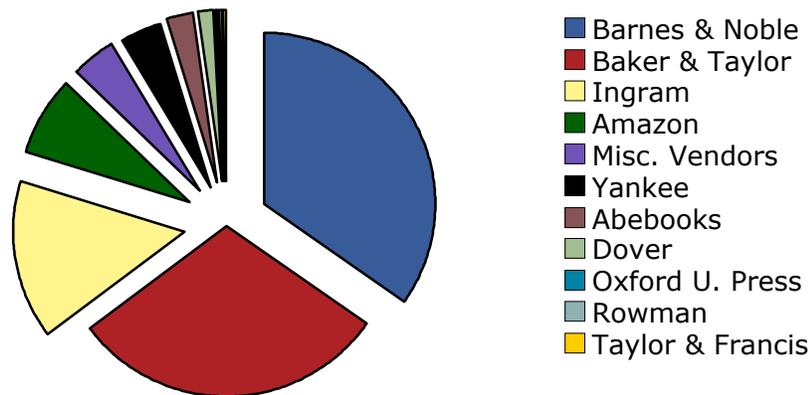


Consolidate monographs purchasing with a full-service vendor

In almost every case, the first best step towards streamlining the acquisition of mainstream print monographs is to consolidate purchasing with a single vendor. At Rollins, vendor selection occurs item-by-item and is primarily determined by discount and availability. In FY 07 the Library placed 2577 firm orders with 14 different vendors or publishers. (A small percentage of these – 97 books supplied by YBP – are part of an approval plan for Children’s Awards titles and books about Florida. Since they are so few, we have combined them with firm orders in the interest of simplification.) The chart below illustrates the vendor distribution for 2006-2007.



FY 2007 Print Monograph Acquisitions

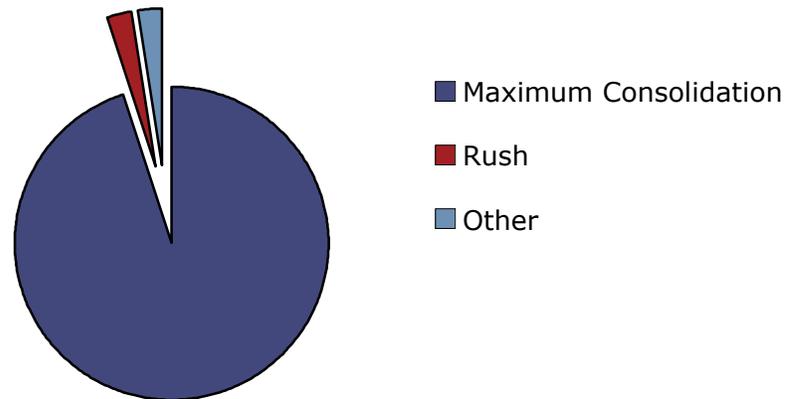


Approximately 35% of orders were sent to Barnes & Noble, 30% to Baker & Taylor, 15% to Ingram, 7% to Amazon, 4% to YBP, and the remaining 9% were divided between publishers, Dissertation Express and the Rollins College Bookstore. In 2008 this pattern may have shifted with searches originating in Ingram instead of Barnes & Noble. We believe this change is because of the higher discount offered by Ingram.

Of these 2700 orders, R2 believes 95% can and should be purchased through a single vendor. If purchasing is directed to a primary academic library vendor, Olin Library could expect to receive between 10 and 12% in overall discount with no shipping fees.

Based on FY07 expenditures, we estimate Rollins was awarded discounts totaling close to \$58,000. Our calculations were based on a 40% discount from Ingram, and 20% from the other vendors. (We believe this is a generous estimate and did not factor in shipping costs.) If 95% had gone to a sole vendor offering a 12% discount, the total discount would have been \$28,000 less. This loss of savings is substantial and to think about giving it up could be disconcerting. However, these savings are possible because they are supported by the work of 5.5 FTE. To our way of thinking, these are valuable resources that should be directed towards more meaningful work. Many libraries have discovered that savings on individual items by "discount shopping" are quickly offset by the workflow efficiencies offered by consolidation.

Consolidation Model



R2 suggests that there are also good reasons to consolidate monographic standing orders with the same vendor. This would allow the vendor to provide more coherent duplication control; reducing the need for pre-order searching in-house. And, we believe replacing or augmenting Choice cards with more current title lists will ensure quicker fulfillment rates because stock should be more available.

Most importantly, however, maximum consolidation broadens the potential benefits of automation and batch processing by creating a mainstream. As we see it, the combined advantages for Rollins are significant, including quicker access to new titles, batch loading of pre-order records, automated duplication control, and the option to receive catalog records, electronic invoices, and shelf-preparation for 2,700 items.

It is likely, therefore, that Rollins, to obtain the full range of services envisioned, would need to consider the major monograph vendors: Blackwell's Book Services, YBP Library Services or Coutts. One of Rollins's current vendors, Baker & Taylor, offers some value-added services such as cataloging and shelf ready processing, but not the full range for academic libraries supplied by BBS, YBP or Coutts. In addition to cataloging and shelf ready options, these vendors can provide automated new title alerts for faculty, duplication control, firm orders and standing orders, out-of-print material, strong reporting tools, ILS integration and emerging services related to eBooks and workflow support.

As experience with the primary vendor grows, both collection development and acquisitions staff become increasingly expert in that vendor's selection and reporting options, ordering and invoicing procedures, status reports, shipping schedules, and customer service procedures. This will result in routine tasks being performed more quickly and with fewer exceptions.

Most significant are the opportunities to 1) take full advantage of vendor services; and 2) to implement higher levels of automated support for the materials workflow. These opportunities include electronic record export, real-time view of order statuses, assistance with duplication control (lessening the need for pre-order searching), electronic ordering or blocking, cataloging and shelf-preparation. Specific recommendations on these points follow, but all are based on this premise: It is



worthwhile to maximize these options because the potential yield is high, with solutions spread across most monograph units, as well as standing orders.

Ultimately, consolidation will reduce costs. Item by item vending decisions will be eliminated; less searching and keying will be necessary; duplication will be controlled by Sirsi and assisted by the vendor; receiving and invoicing can be accomplished as batch processes, and as many as 95% of monographs could arrive with full cataloging records and full shelf preparation, if wanted.

Please note that R2 recommends a careful review of the services and discount available from the full range of monographs vendors. We do not endorse one over the others. But we do recommend that Rollins clarify exactly what it needs a vendor to do before undertaking the evaluation. And, be aware that all three major vendors have recently released new or updated versions of their online ordering databases. Ease of use and response time should be carefully considered as well.

Ask the primary vendor to supply out-of print titles

At present, if multiple vendor searches reveal no "in stock" statuses, the title is acquired via Amazon Marketplace or some other OP vendor. To eliminate this time intensive approach, the primary academic vendors mentioned above maintain relationships with Alibris and other OP dealers, and can supply these titles as part of the mainstream workflow; often with MARC records and full shelf-prep. We recommend that Rollins take advantage of this added service as needed. As described below, moving away from Choice as the primary selection tool will decrease the need to acquire OP titles.

Consider implementing electronic new title alerts to faculty

Currently the Library is using Choice cards to alert faculty to newly published titles in their fields of study. Technical Services staff sort the cards every 4-6 weeks for distribution to the faculty. The benefits to tangible Choice cards are their portability, the ability to write on them, and familiarity with the format. Moreover, Choice has already identified these titles as key. The downside is the lag time between title publication and the production and distribution of the cards, which can be more than a year. Typically, a delay of three to six months by faculty before orders are submitted isn't unusual. This contributes to the need for extended searching routines in Acquisitions when these titles are finally selected, because so many have already gone out of print. Increasingly short print runs will exacerbate this problem.

As an alternative, all of the major approval plan vendors have developed some version of an electronic new-title alerting service for faculty. These systems resemble the CHOICE Online product in some ways, but there are key differences. Perhaps most important, the vendor systems treat new titles immediately upon publication, as opposed to CHOICE's average of 6-9 months later. Blackwell's E-Notes and YBP's GobiAlerts allow either Collection Development or individual faculty members to specify what subjects and formats they wish to monitor, and have relevant new title information e-mailed to them weekly. The details vary from system to system, but all support the faculty's ability to recommend or select electronically, building a daily file of requested titles for review by Acquisitions. Or, for faculty who will not make the transition to electronic, the titles can be printed out and distributed.

Because these services focus on newly published titles, reviews are typically not yet available. But it is relatively convenient to link to the full bibliographic record in the



vendor system, and view flap copy, table of contents and other descriptive information for those titles that include it. Some systems allow the Library to view activity on the title at peer institutions.

Overall, this can be a convenient way to consolidate new title information for faculty, and present it in the context of a system where they can act on it, and send the information to Acquisitions in a way that streamlines the subsequent steps performed there. If the Library believes that faculty will not immediately accept an electronic alternative, a second choice would be to implement a notification slips plan with the primary vendor, or as stated earlier, to print or email targeted lists. Often faculty who strongly oppose changes to their selecting process become advocates when they benefit from newly published books arriving more quickly.

Import bibliographic and local data from primary vendor system into Sirsi

The ordering process at Rollins begins with Collection Development reviewing all the faculty requests prior to sending them to Acquisitions. Next they pass through a complex series of searches and decisions before they are assigned a vendor and entered in Unicorn Workflows. (See the ordering workflow chart above.) On average, it takes about two weeks for a selection/request to become an order.

Consolidation with one of the three primary vendors listed earlier will enable a faster, more efficient ordering workflow. Libraries that have automated their pre-receipt process as we describe here, are able to display open orders in their OPAC within 24 hours of receipt.

To start with, because few if any orders are ever denied, we recommend requests go directly to Acquisitions, bypassing the Collection Development Librarian. Then, once a day, Acquisitions staff can enter the requests along with the fund code and requestor name into the vendor system. Next, using an export function in the vendor system, this batch of bibliographic records (along with fund code, location, order notes, etc.) can be uploaded into the ILS. This technique would replace the current practice of downloading OCLC records at point of order, and would also eliminate most pre-order searching. Instead, the batch file of vendor bibliographic records would be imported into Sirsi, automatically creating brief bib records and pending purchase orders. (This requires software modifications to Sirsi, but has been done by several libraries that are willing to share their code.) Potential duplicates are flagged upon import. Once Acquisitions has resolved those few exceptions, the batch of pending orders can be approved and sent in an X12 format to the vendor.

The benefits are clear: orders are processed and cleared daily; fund encumbrances are immediate; searching is largely eliminated; keying or item-by-item download of bibliographic data is eliminated; staff time is focused exclusively on non-mainstream titles and other exceptions. Perhaps even more importantly, the Sirsi PO number or a Vendor ID number can serve as a match point for the subsequent full MARC record that will be loaded at or near the time that the piece is received. This is another important component, described further below.

Eliminate exception procedures for titles that are not yet published

At present, if a requested title is not found in OCLC, or if the publication date is significantly later than the order, no order is created in Sirsi, and the request form is filed in a "tickler" folder and searched periodically. If not well communicated, this delay can be



frustrating for faculty, and can increase the risk of missing a short print-run title that could go out-of-print even before the title is released.

We understand the logic behind this policy. If NYP titles are ordered immediately on request, funds are encumbered for titles that may not arrive for as much as six months. Nevertheless, we suggest that Acquisitions create the orders as requests are received. This will increase transparency, reduce confusion, and eliminate one element of manual intervention in Acquisitions. R2 suggests that the need for transparency outweighs concerns about fund encumbrance for not-yet-published titles. One solution is to set an automatic cancellation policy with the vendor which alerts Technical Services to unfilled orders and allows funds to be re-directed where needed.

Eliminate pre-order searching for mainstream titles

As noted above, for the approximately 2700+ titles obtained through the primary vendor, the batch import into Sirsi enables a batch approach to searching and duplicate detection as well as expenditure control. Essentially, Rollins would rely on system indexes (ISBN, LCCN, or title key) to identify potential duplicates upon import, eliminating the need to perform pre-order searches on this stream of material. None of these indices is perfect, but used in conjunction with a consolidated vendor that bears responsibility for duplication control, most manual searching can and should be avoided. We suggest LCCN as the primary index, since it offers the best chance of catching paper/cloth or US/UK duplicates—ones that ISBN will miss. Most libraries find that use of a title key returns too many false positives to be useful.

Overall, this should reduce the need to search Rollins's catalog at point of order to non-mainstream titles only. Although an occasional duplicate may slip through, we suggest that is a reasonable risk, given that those staff hours in Acquisitions could be used for other, higher-yield activities.

Implement X12 invoicing for monographs

Electronic invoicing has yet not been implemented at Olin Library. We understand that College Accounting strongly encourages the use of P-cards for all purchases, and while credit cards make sense for many goods and services purchased by other academic departments, library purchases are of an entirely different nature and the number of transactions would far outstrip other departments on campus. For libraries, P-Cards are inefficient, cumbersome, and labor-intensive. P-card statements do not contain title details so invoices must be matched on the dollars and cents charged. When vendors combine purchase orders and submit a single charged amount, the charge must be parsed into a spreadsheet for submission to College Accounting. Automated invoicing is a vastly more efficient solution for the library and perhaps for College Accounting as well.

Invoices are now created manually, line-by-line in Sirsi, by Acquisitions. Adoption of electronic invoicing for the primary vendor would eliminate the need for manual creation of close to 2,700 invoice lines. If, as recommended, Rollins places X12 orders, the book vendor will have all the necessary information to assure automatic retrieval of the correct purchase order. When vendor invoice data is loaded, Sirsi can automatically build a pending Unicorn invoice for speedy approval. Another alternative, used by some Sirsi libraries, involves invoice information embedded in 9xx fields of the MARC record. Whichever method is used, this can save significant time and effort for Acquisitions staff.



Consider OCLC WorldCat Cataloging Partners Program (formerly PromptCat)

R2 suggests consideration of this option, because it offers an automated batch approach to copy cataloging; further streamlining monographs processing. Rollins copy cataloging has long relied on OCLC records, either at point of order or point of receipt. The WorldCat Cataloging Partners Program provides the same OCLC records; the only difference is that they are selected and delivered automatically, in weekly batches, rather than downloaded individually.

OCLC's PromptCat service began in 1993. Now called WorldCat Cataloging Partners Program (or WCCP), it provides automated copy cataloging. It has been adopted by hundreds of libraries. We assume that Rollins would contract with OCLC through Solinet for the service. There is a profile (or order form) that allows the Library to specify what level of OCLC records it will accept, call number configurations, policy for setting holdings in WorldCat, etc. (https://www3.oclc.org/app/promptcat_order/index.pl?/1/start/original)

Most libraries find that they receive full-level MARC records for 80-85% of items; given current ordering patterns, it is likely to be 90% or higher for Rollins. A brief record known as a PromptCat Data Record (PDR) is supplied for "no-hits", primarily as a vehicle for local transaction information. The basic workflow is this:

Each week, as the vendor assembles its shipment for Rollins, they will send an electronic "manifest" to OCLC, which OCLC will match against WorldCat to produce a corresponding file of MARC records, plus transaction information, such as barcode number (if processing is being provided), invoice data (for approval shipments), fund, PO#, etc. That file will be retrieved by the Library from OCLC's FTP server, and is always available before the books reach the Library. (If the vendor is providing shelf-preparation services, OCLC will also send a file of spine-label data back to the vendor.)

Upon import for firm orders, under library-specified rules, the OCLC record delivered by WCCP overlays the pre-existing bib record in Sirsi — matching occurs based on the Sirsi PO number that is present in both the pre-order brief record and the OCLC record. If a barcode has been scanned into the record by the vendor, Sirsi will also create the item record.

The potential benefits are striking: elimination of search and export of individual records from OCLC; automatic item record creation/update (some modification of Sirsi may be required), and automatic setting of WorldCat holdings for 2,700+ titles. If wanted, PromptCat adoption can also enable outsourcing of physical processing to the vendor, with most books arriving fully ready to go to the shelf.

The new WCCP "BASIC SERVICE" includes any automated functionality that was previously available through PromptCat, such as adding barcodes and acquisitions data (invoice number, invoice date, price, etc.) to records. (This may be an alternative to X12 invoicing for monographs, as some Sirsi libraries have written import programs to support this option.) It also includes an electronic file of spine labels that can be delivered to you or your materials vendor for shelf-ready materials. The really good news is that this level of services **is included in your library's OCLC cataloging subscription price**. For extra cost, the program also offers a "100% option", which assures that all titles arrive with a call number and spine label. For details, go to:

<http://www.oclc.org/catalogingpartners/wccp.htm>



Consider vendor-supplied physical processing

If the Library does decide to adopt WCCP, it should also consider outsourcing the corresponding shelf-preparation. Since vendor services are usually cost-competitive with work done by the library, the primary advantage is speed to shelf. Depending on the specific contract for cataloging services, some or all of the 2,700 mainstream monographs could arrive with spine labels, barcodes, theft-detection strips and property stamps already applied. Processing services would likely cost \$2-\$3 per title, which is probably less than it costs now. By accepting a vendor-supplied DDC call number and full shelf-preparation, it will be possible to make these books available to users within 24-48 hours of receipt at the library.

Control quality via sampling

R2 suggests that if implemented, shelf-ready material should be put to the shelf with minimal checking; thereby taking full advantage of the third party services received. As we understand it, the Rollins's current receiving process has multiple parts and hand-offs. 100% quality checking is performed at multiple points. A high-level description of the current receiving process is included here as a way to establish perspective on a more automated approach:

First, the Technical Services Supervisor receives the firm order monographs in Sirsi. Next, the books are sent to the TS Specialist who manages the BAY process and assigns a bookplate. Then the books are returned to shelves in the workroom where copy catalogers retrieve them and either edit existing records in the OPAC or search OCLC for a better record. The Head of Technical Services checks the MARC records before the copy cataloger downloads them. The copy cataloger attaches and scans a barcode and prints the spine label. Student assistants, but more often library staff, apply the spine labels, tattle tapes and date due slips and property-stamps the books. The books are returned to a copy cataloger who checks each one before releasing them to Circulation, or Reference. Our interviews with catalogers engaged in this work suggest that errors identified at this point are rare indeed. Circulation updates the location code, and it is our understanding that a further quality check takes place at this time. Again, few if any errors are detected. After this final inspection the books are shelved on the New Book Shelves.

As an organization, Rollins must recognize that cataloging errors are a fact of life. Regardless of the process/procedures used, it is impossible to buy or to produce 100% error free records. Cataloging is a complex task performed by humans. Rather than seeking/expecting perfection, via 100% review (for example), it is important to establish and communicate an acceptable error rate. It can be as low as 2% or 3% and still be useful for workflow purposes. The point is to have one.

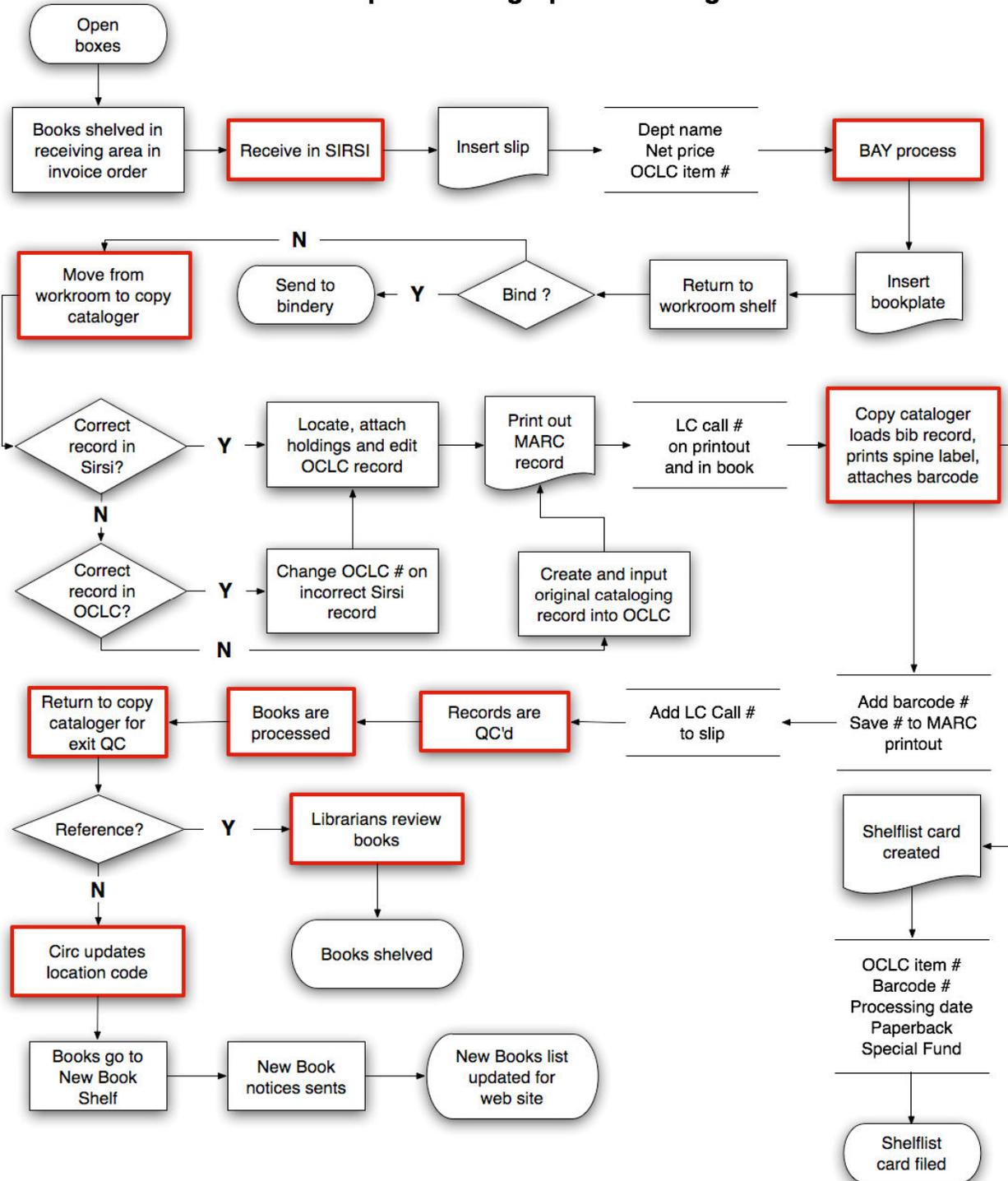
As for the quality review itself, set standard simple checks, and only count errors if found in one of the most critical fields. At the outset, ensure that all sources (every person and every third party) generate records with an error rate of less than 2% or 3%. From this point, move to a sampling approach of no more than 5% -10%, but perform this same level of quality review on every source. At that point, you can be sure that the records added to the catalog are 98% accurate.

Recognize, accept, and communicate this level of accuracy. Knowing and reporting your error rate is actually the best way to inspire confidence in your service. When errors are found in the OPAC, they should be fixed as quickly as possible without discussion and



without re-routing to the one who made the error. If the rate of error exceeds the 2-3% benchmark, the contributor (in-house or third-party) should be involved in problem solving. This approach is much more cost effective and helps to reinforce a new philosophy.

Current print monographs receiving workflow

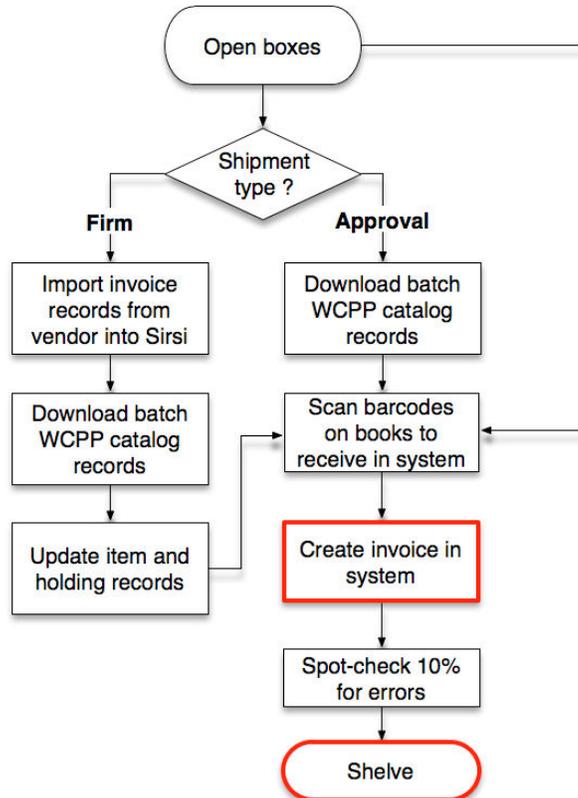


Red boxes = handoff
Open-sided boxes = manual inscription



Adopting the recommendations articulated in this section would result in a receiving workflow like the one shown below.

Proposed Receiving Flowchart



Implement a FastCat process at point of receipt for non-mainstream titles

In the case of books for which adequate copy is available at receipt, it is possible to eliminate the acquisitions-to-cataloging hand-off if the receivers are trained to identify acceptable copy. For shelf-ready materials from the vendor, this is also the best point in the process to impose quality control via sampling (described above). As we see it, this could allow most material to by-pass cataloging entirely. We urge consideration of these opportunities to reduce hand-offs and multiple stagings. We also urge additional use of student labor for various receiving/copy cataloging tasks, as described below.

Rethink the use of bookplates in the BAY program

Rollins is justifiably proud of its successful Book-A-Year Endowment Fund, now in its 75th year. In FY07 the fund contained close to four million dollars and contributed over \$115,000 to the materials budget. Donations of \$500 or more entitle a donor to have a named bookplate affixed to one new book each year. Clearly, this requires item specific decision-making and handling and while libraries depend on endowments like these to maintain and expand their collections, the manual intervention that plating requires at or after receipt interrupts the flow of books to shelves. If automation and batch processes are to be adopted, we suggest an alternative method to honor donors.



In general, R2 suggests that physical bookplates are an outdated aesthetic that can and should be replaced with newer technology. For example, if an electronic note can be consistently formatted and entered in the record (with a macro) at point of order, then a Sirsi search could be used to track and locate the material acquired on a particular fund. Another possibility is to work with the Development Office to create an electronic bookplate, or convert a percentage of the endowed fund for use on e-resources. Ultimately, we suggest that bookplates be replaced by some digital equivalent, or by considering other ways to honor donors.

Virtual bookplates are usually conveyed using the 590 local field, which may be included in the MARC record. Items that include a virtual bookplate may be searched and retrieved in OPAC using a "keywords anywhere" search option. In some libraries, the virtual bookplate is added long after the book has been catalogued and shelved, making it a batch process that can be accomplished on an annual or semi-annual basis. Examples of electronic plating can be found in many academic libraries, including:

Bryn Mawr College:

http://trilogy.brynmawr.edu/mt/trinews/2004/09/electronic_bookplates_now_avai.html

Northwestern Health Sciences Libraries:

<http://www.galter.northwestern.edu/donors/>

The University of Southern Maine:

<http://library.usm.maine.edu/about/policies/gifts.html>

Rutgers University:

<http://www.libraries.rutgers.edu/rul/staff/cataloging/policies/gifts.shtml>

Brown University:

<http://dl.lib.brown.edu/bookplates/fund.php?account=054082>

<http://dl.lib.brown.edu/its/software/bookplates/>

Wright State:

<http://www.libraries.wright.edu/bookplates/>

Eliminate use of redundant paper-based procedures, including shelf list cards

During our short time onsite, we discovered a variety of paper-based back-up or "shadow" systems. While we applaud recent steps taken to eliminate some elements of the paper trail (no longer printing the OCLC record as part of the pre-order process), many remain. Outside of Technical Services, several faculty librarians keep copies of their requests and we think it's safe to assume some teaching faculty do as well. Within the department all of the requests are printed out in Acquisitions, and the printouts are filed even after orders are entered into Sirsi. There is a paper-based tickler file for titles Not Yet Published, slips with redundant data are inserted into books during the receiving process, lists and spreadsheets for the BAY program and gifts, and an extensive shelf list that was described by one staff member as the "back-up for when the OPAC fails".

These backup systems not only create extra work (they have to be checked and maintained); they bespeak a fundamental lack of trust in Sirsi and many of the processes in Technical Services. While the phenomenon is not unknown in other libraries, the extent of such redundant systems within Technical Services at Rollins is uncommon.



R2 believes that we did not actually learn about all of these back-up systems. The first step might be to compile a list of them all, and to analyze what problem or information gap each is intended to address. We suspect that most can simply be abandoned, especially if systems training is strengthened, key measures are implemented, and other steps can be taken to increase the transparency and trust in the system. For those few that do capture information not available otherwise, more systematic solutions should be sought.

Establish benchmarks for timeliness

Technical Services has begun to use benchmarks and we encourage aggressive service expectations be established for the monographs workflow, with focus on the patron experience. We think that a few simple benchmarks can be invaluable for the internal operation and can also improve communication with users. Without them, Technical Services has no way of measuring its own performance and Public Services has no way to predict timeframes and/or manage patron expectations.

We propose that once the new monographs workflow is in place, the library as a whole should agree on acceptable service parameters such as:

- Selection to Order for English Language Books: 1 day
- Selection to Order for Non-Mainstream Monographs: 5 days
- Receipt to Shelf for English Language Books: 2 days
- Receipt to Shelf for Non-Mainstream Monographs: 10 days

Here again, these are just R2 suggestions which should be evaluated by those of you who will be affected by them. Our point is simply that you should be this specific as you move forward.

Projected Benefits

For the purposes of the following estimates, R2 assumes that Rollins will implement all or nearly all of our recommendations relating to monographs workflows. We recognize that to be unlikely, and have tried to provide enough detail to enable Rollins to calculate new estimates based on the recommendations the Library does decide to pursue.

- Eliminates item-by-item search and download of 2,700+ OCLC records
- Eliminates Manual creation of 2,700+ line items on purchase orders
- Eliminates pre-order searching for 2,700+ items
- Eliminates manual creation of PO# (uses system generated PO)
- Eliminates paper-based filing systems for order requests
- Eliminates manual process for managing NYP titles
- Eliminates item-by-item creation of 2,700+ invoice lines
- Increases transparency of the ordering process, and eliminates the need for manual "shadowing" of 2,700 pre-order records
- Assures placement of all mainstream orders within 24-48 hours of selection
- Eliminates multiple additional searches for OP titles



- Assures fund balances for monographs are up to date within 24-48 hours
- Eliminates time and space dedicated to the BAY program
- Eliminates copy cataloging for 2,700+ items
- [Eliminates item-record creation for 2,700+ items] - dependent on Sirsi changes
- Eliminates the need to write the department name on book jackets and eliminates creation and application of secondary spine labels.
- Eliminates shelving of new receipts in invoice order
- Eliminates shelf-preparation for 2,700+ items
- Eliminates two manual quality checks on 2,700+ items (to be replaced with sampling)
- Enables mainstream titles to reach shelves within 48-72 hours of receipt
- Creates capacity for the "acquisition" and description of local and non-commercial content
- Creates capacity for ContentDM and other non-MARC metadata creation, DDC to LC conversion of SPEC titles, and other catalog clean-up
- Creates time for Web site updates; improved discovery strategies
- Increases capacity for managing e-resources



IV. Systems and Systems Support

One of the most critical roles of libraries is to provide increasingly sophisticated electronic access to content. As printed materials continue to become less and less important to undergraduate and Master's level research, more resources will be needed in electronic form only. Moreover, even for old or rare printed materials, effective electronic finding tools are going to be most significant to library patrons of the future. Accordingly, we believe that every academic library must emphasize the development and use of discovery systems.

Develop or acquire dedicated systems expertise

While the College provides some library specific systems support (part of one person's time), we think that the lack of dedicated information technology expertise is hurting the Library's ability to keep up with peer institutions and perhaps even hindering the Library's efforts to fulfill its mission. In making this statement, however, we think that it is important to recognize the many benefits of centralizing the Rollins's overall information technology infrastructure. As we see it, the College IT department should continue to be responsible for the wires, switches, network architecture, internet connectivity, data storage, server maintenance, security, and other fundamental elements of the campus-wide computing environment.

However, Rollins College must also recognize that the modern academic library is, to an ever increasing degree, a provider of *electronic* information. The library's primary service is digital. A large and increasing portion of the Libraries' materials budget (39% in FY 2007) is spent on subscriptions to electronic journals and databases and this percentage will certainly grow. Moreover, the nature of the electronic information for which the Library is responsible is extremely diverse and volatile. To be most effective, a library's website and catalog must be constantly updated and modified to provide patrons with the most current links, tools and information about the library's resources. This information changes daily.

First class academic libraries are nimble in their implementation of electronic solutions. We strongly believe, based upon our experience in over 70 academic libraries during the last seven years, that full centralization of IT expertise on a campus makes it difficult for the library to match their peers in the adoption and implementation of technology. As with all IT environments, the pace of change in library technologies is swift. Failure to act in a timely way can limit or delay other technology-based improvements.

Differentiate systems-related tasks, from e-resources librarianship

Perhaps because there is no Systems Librarian at Rollins, systems and computer support tasks have fallen under the purview of the Electronic Resources Librarian. In our experience, the skills and expertise necessary for e-resources management and for systems development and support can be quite disparate. While the current staff has done an admirable job of managing both, R2 recommends adding capacity and dividing the load.

As we see it, systems-related responsibilities would include:

- Liaison activity with College IT
- Leadership, coordination, and training for all Library/IT initiatives and implementations
- ILS (Sirsi) Administration



- Turnitin Administration
- In-house hardware and software upgrades and management
- Desktop support and troubleshooting (to the extent that College IT cannot)
- Development of new-resources lists and feeds

In contrast, the responsibilities of the electronic resources librarian would include:

- Articulation and promotion of a college-wide digital content strategy including the IR
- Active promotion of digital content to faculty and students
- Website design and routine regeneration of dynamic content
- Decisions about the acquisition, scope, and population of new discovery tools, like federated search, ERM, etc. (technical implementation would be handled by systems)
- Additional development of "FoxHunt"
- Patron hotline and coordinated resolution of access problems
- Development of new multi-media support services in the library (video editing, for example)
- Selection/vetting of non-commercial electronic resources
- Copyright expertise and institutional conformity

Track developments of open-source library systems and WorldCat Local

Without a dedicated Systems Librarian, Rollins is in no way prepared to move in this direction at present. However, it seems clear that SirsiDynix can not support their multiple library systems indefinitely. New Unicorn development will likely be curtailed even further than it has been, forcing Rollins to migrate to an alternative at some point in the foreseeable future. R2 has no direct experience with an open-source ILS, although the concept pre-supposes considerable local programming talent. If Rollins adopts our recommendation to hire a high-level manager for Discovery Systems (again, see below), it may eventually be possible to implement freeware such as Koha: <http://www.koha.org/> or Evergreen: <http://open-ils.org/>.

Perhaps more realistic would be to replace the local OPAC with WorldCat Local, currently in beta release at the University of Washington and soon to be adopted by the University of California system. As described by OCLC, "Options will make it possible to integrate the services with circulation records, resource sharing, and licensed full-text collections. Cooperative efforts are already underway with three major integrated library system/OPAC vendors—Innovative Interfaces, SirsiDynix, and Ex Libris Voyager. When fully interoperable, it should allow WorldCat Local to support users' requests for items from library collections, including interlibrary loan and accessing online resources." <http://newsbreaks.infotoday.com/nbReader.asp?ArticleId=35939>

In any case, the stand-alone library catalog is in decline. Alternatives will have to be investigated and eventually implemented. This only strengthens the argument for



additional systems expertise. In the meantime, smaller systems-related needs should be addressed as capacity allows. We've included just a couple of examples here:

Create an automated list of New Library Resources with an RSS feed

At Rollins we were pleased to learn that a list of newly purchased titles is generated weekly in Sirsi and posted to the Library's website. It's enhanced with cover scans, blurbs, tables of contents and links to reviews. However, the usability of the list is severely limited by the default title sort. Subject and format delimiters would be considerably more effective. Some examples of these are:

http://trilogy.brynmawr.edu/cgi-bin/newbooks/newbook_choose.pl

<http://catalog.library.colostate.edu/search/ftlist^bib341%2C1%2C0%2C350/mode=2>

The optimal solution, of course, would be to create an RSS feed to push lists of new titles out to faculty and students according to personal subject and non-subject profiles. The Library could allow interested users to sign up for the feeds, to notify them as new titles in their disciplines are acquired. Libraries who have implemented these successfully have stopped staging new books on separate shelves before moving them into the main stacks, reducing the effort spent relocating the books and changing location and status codes.

For an example of an RSS feed for another Sirsi library, see Seattle Public's new non-fiction books page: <http://catalog.spl.org/lists/newest-nonfiction/>

In the absence of adequate systems expertise and/or capacity, seek external support

As you know, SirsiDynix can provide fee-based services when the library has system needs beyond the parameters of the routine maintenance contract. These services, however, can be costly and there may be other options. Sirsi libraries that have developed ILS related solutions locally are often willing to share their code. As well, Ranny Lacanienta is the Systems Programmer at Brigham Young University (ranny_lacanienta@byu.edu) and performs local programming for Sirsi libraries on a free lance basis. In our experience, he knows Sirsi inside and out, and may be interested in working with Rollins as needed.



V. Discovery and Access

Looking back, it is now clear that Google's incorporation on September 7th, 1998 was the beginning of the end for traditional discovery gateways in libraries, whether those were traditional ILS-based interfaces or, in some cases, the use of shelf list cards or other paper finding aids. Google's method of analyzing the relationships between websites as opposed to simply looking at the number of times a search term appeared on a page produced relevant search results with relatively unsophisticated keyword inquiries. Google's approach quickly conditioned a generation of students (as well as the overwhelming majority of the Internet using public) as to what a discovery gateway should look like and how it should act. In the early 2000s new patrons found existing library discovery gateways (OPACs, union catalogs, Web lists) to be archaic in comparison. To some extent this has contributed to a decrease in the use of library-based discovery tools. As a case in point, a recent estimate by OCLC found that only 2% of patron searches start with a library's website.

Then in 2004 Google launched both Book Search and Scholar, dashing criticism that Google was limited as a research tool because the open web often produced unreliable information. At this point Google had firmly entered into the business of helping users discover scholarly materials, which was previously the sole domain of research libraries. And as one might expect, Google entered this space with both intelligence and style. Similar to searches on the open web, Scholar goes beyond the traditional method of simply searching for hits on specific data. It considers a combination of the full text of an article, the author, the publication, and the number of times an article has been cited by others. Google also enabled Scholar with features normally reserved for expensive publisher platforms including a "cited by" feature that provides a list of other articles that have cited the article being viewed and a "related articles" feature that will produce a list of closely related articles.

It is in this environment of "competition" that libraries have begun to ask fundamental questions about their role in the discovery of scholarly information. From R2's viewpoint it appears that Rollins has only begun to answer these questions. We were impressed with the library's recent investment in various new discovery tools including an e-resources management product, federated search tool, link resolver, and new proxy server. Still, there is considerable work to be done; primarily it seems, in regard to improving the user experience while minimizing the time spent on resource description.

Reconsider policies regarding record display and maintenance

Issues related to record display take several forms, and this strikes us as fertile ground for discussion across library functions and an opportunity to adjust existing guidelines. For instance, should holdings information for e-journals be tracked in the catalog at all, or with federated searching, is reliance on updates to the A-Z list sufficient? The discussion involves issues of clarity for users, and maintenance for serials and e-resources staff. Should the same approach be adopted for eBooks? Are status notes in bib, holdings and other records comprehensible to users? The discussions should include staff familiar with user behavior as well as staff who understand record structures with Sirsi. While the goal should be to ease discovery for the user, we believe it's important to balance the access and efficiency issues intelligently in the creation of new policies.

While we are not familiar with the strategies or scope of Rollins's current web redesign project, we assume that many of these issues are already on the table. We only include



them here, because the process of web redesign has an incredible array of elements and must be an ongoing and iterative process. As technologies develop (and decline) these and other questions should be asked over and over again.

Develop expertise with all kinds of metadata

As difficult as it is for librarians to admit, MARC formatted metadata now has many effective competitors, ranging from ontologies and “folksonomies” to Dublin Core, OAI, MODS/METS, and metadata created by communities of specialized users. Some of these are standardized, others much looser, but all are currently operating as alternatives to MARC. We recommend that Technical Services Specialists at Rollins begin to explore, evaluate, and master these standards.

Many libraries have found that single descriptive standard is no longer appropriate OR affordable. Alternative practices have begun to emerge which are intended to simplify requirements while maintaining appropriate access. R2 suggests that new standards be specific to particular formats and streams of material. Consider:

- adopting VRA Core records for DVDs and videos (<http://www.vraweb.org/projects/vracore4/index.html>)
- adopting Access Level Records for non-serial remote electronic resources (<http://www.loc.gov/catdir/access/accessrecord.html>)
- abandoning LCSH for some categories of material (like non-Roman, which begin to be acquired in greater volume) and go with keywords instead. Harvard has actually made this decision in regard to some of their newly acquired Western European monographs.

The future of cataloging lies in this direction, and in making access as easy as possible for the user. As a whole, the Olin Library needs to develop the skills to locate and identify objects of interest, “ingest” the metadata associated with them (regardless of its provenance or format, enhancing it only if necessary), and create appropriate links to the object using those descriptors.

Accept DLC and PCC (Program for Cooperative Cataloging) Copy without editing

As described above, if the maximum benefit of outsourcing will be realized, Rollins must accept call numbers from the vendor records for all mainstream material. Recognize that there will be occasional duplicate call numbers, mismatched editions, mistags and typographical errors in access fields. Rollins should implement a systematic quality review of these records to ensure acceptable performance, but perfection should not be the goal.

Even in regard to in-house copy cataloging, most libraries now accept full DLC records without item-by-item review, reasoning that the effort far outweighs the benefit. Some even accept member copy, at least from PCC institutions, with little scrutiny. Errors in the 260 or 300 fields do occasionally occur, but also typically don’t impede patron access. Errors in 100 and 245, including those in filing indicators can, of course, impede access.

R2 recommends that errors should be fixed as found, but library staff should take less time looking for them. The idea that the OPAC is not perfect sometimes rankles, but in point of fact it will never be perfect, no matter how much effort is expended. Seeking to



improve that last 2-3% absorbs much time that can and should be used more productively.

Maximize Google hits via OCLC's Open WorldCat

Rollins has already configured its link resolver to be a target of Google Scholar – bravo! This allows patrons who search in Google Scholar to be presented with results that include Rollins's e-resources in their search results. Assuming the user is authenticated, s/he can click from the search results screen to the full-text.

Rollins has also turned on "deep linking", part of OCLC's Open WorldCat service. This allows a user to click from Google search results to the "Find in a Library" interface (where the user enters a ZIP code), and directly from there to the item record in the OPAC.

These approaches help optimize Rollins's content (both journal and book) for discovery via Google — in effect, enabling Google to function as a metasearch tool for your users. One critical element of course, is for Rollins's holdings to be current on OCLC. If the Library does not already participate in OCLC's e-Serials Holdings Service, it may be a good thing to consider: <http://www.oclc.org/eserialsholdings/>

Encourage (do not discourage) use of ILL

While this may have been an anomalous comment, R2 suggests that it warrants some additional scrutiny. One faculty member told us that he has been discouraged from using ILL services too often; presumably because someone in ILL felt the costs to be too high. Always, but especially in this era when the library must increasingly rely on content that it does not own, this orientation could be devastating to the Olin's future. If this faculty member's experience is not unique, the matter should be redressed with as much energy as possible.



VI. Low-Value Tasks

In order to move far and well into the future, it is important to re-evaluate library services and workflow priorities often. The Library must think clearly about the value or the service provided, and be bold about removing steps and tasks in favor of newer, more important ones. Those that will be eliminated are not inherently bad. They may once have been critical and even now, may offer some diminished value. But service pressures require that we eliminate low-value and non-critical tasks regardless of their original intent because there are so many newer and more vital tasks to be accomplished. The following is a partial list of tasks that seem to provide limited benefits. It is intended to inspire new thinking about workflow costs and priorities.

Stop printing articles from electronic journals in response to ILL requests

When ILL requests are received for articles that are available electronically, sometimes the articles are printed and sent via inter-office mail to the requestor. R2 always advocates for good customer service, but we feel in this situation it's sufficient and perhaps more appropriate to alert the patron to the availability of an electronic version.

Stop adjusting LC headings for locally digitized content

Rollins has decided to add records created for the Olin Digital Library Project to its OPAC. While we don't feel strongly about inclusion or exclusion (they are already in WorldCat), we do feel there is no need to standardize the subject headings. The benefits of the extra effort do not justify the time and resources being put towards this.

Cease usage count for print periodicals and books

Currently, patrons who remove current issues or bound volumes from the shelves are asked not to re-shelve them, but rather leave them for students or staff to count for usage statistics. While this may not absorb a huge amount of time, no new knowledge is gained; print usage is declining in every library. We recommend ceasing this activity entirely, or implementing a benchmarking routine with occasional re-shelving counts (maybe one month each year).

Stop performing multiple quality checks

As described earlier, and worth repeating here, it is not necessary to check and re-check books throughout the processing workflow. A sampling approach towards quality control is far more efficient than repetitive piece-by-piece checking.

Eliminate generic Rollins book plates

We recommend this for not just BAY books, but all new books. As we understand it, if a title is not appropriate to the BAY program (too expensive?), a generic plate is adhered. With block stamping and theft detection strips, this method of indicating ownership has become an outdated aesthetic.

Stop double stripping reference titles

This is the first time we've heard of this practice. We're not entirely sure why it's been adopted, but suggest one security strip is sufficient to trigger the exit alarm.

Stop creating secondary spine labels for temporary dust jackets

At the point of receipt, the department name is transcribed on the interior of the dust jacket to enable distribution of jackets to academic departments after they are removed. Departments may use them for local displays, and to inform faculty of recently acquired titles. To us, this seems like too much effort for too little benefit. A new resources feed



would offer the same benefits and eliminate the manual intervention. It would also help faculty and students focus on relevant content in all formats rather than print monographs exclusively.

As well, a second spine label is placed on the dust jackets of new books so that they can be displayed in LC order on the new books shelf (?). Since the number of books acquired in a given week is relatively small (50 or so), it seems to us that they can be grouped with less attention to call numbers, making it possible to eliminate the secondary spine label.

Eliminate “New Reference Books” Cart

Before shelving, new reference books are placed on a cart in the Reference workroom for librarian review. Again, a Sirsi-based “New References List” would be more useful and appropriate. We recommend that use of the cart be discontinued.

Stop transcribing the LC call # in the piece

During the receiving workflow, copy catalogers manually inscribe each book with the LC call #. While this may have been important at some time in the past, it currently adds little value and can be stopped. Most libraries initiated this practice in a pre-automation era to allow easy replacement of lost spine labels. A barcode or title search in the Olin catalog makes the call number immediately available for replacement labeling.

Stop missing-issue exchanges with other libraries

Not surprisingly, the actual number of exchanges has been dropping for years as libraries everywhere are moving attention away from print resources. If there is a critical missing issue that must be replaced, seek an efficient commercial solution.

Stop loaning laptops to patrons

This service has been introduced in many libraries as an innovation, but experience has revealed substantial drawbacks. According to Circulation staff at Rollins, the program is dominated by a small number of constant users, who may or may not return their PC at the end of the loan cycle. A significant number are presently unaccounted for and/or out of commission for repairs.

We don't doubt that the objective was a good one but it seems that the program may not be working as expected, and in fact has created significant stress and problems for those involved. At base, PCs are simply not well designed for this kind of multi-user paradigm. Repairs and reconfigurations are too costly and the number of beneficiaries too small. R2 recommends this program be discontinued. Large numbers of desktop computers are available throughout the library and 95% of students have laptops of their own. Perhaps the College can address this issue with underprivileged students at the time of admission.



VII. Organizational Structure

As in many academic libraries, the organizational structure at Rollins College Library has evolved gradually, in response to workflow demands, budget pressures, and available skills. As elsewhere, the staffing model has not fully adapted to the rapidly changing information environment, and workflows are less efficient than they could be. As new tasks, such as electronic resources management, have been added to the workload, the approach has been ad hoc, rather than planned. This tends to result in staff hours being skewed toward historically important processes, with less bandwidth available for emerging priorities. While Rollins is by no means unique in this respect, it is a challenge that must be confronted.

Concerns

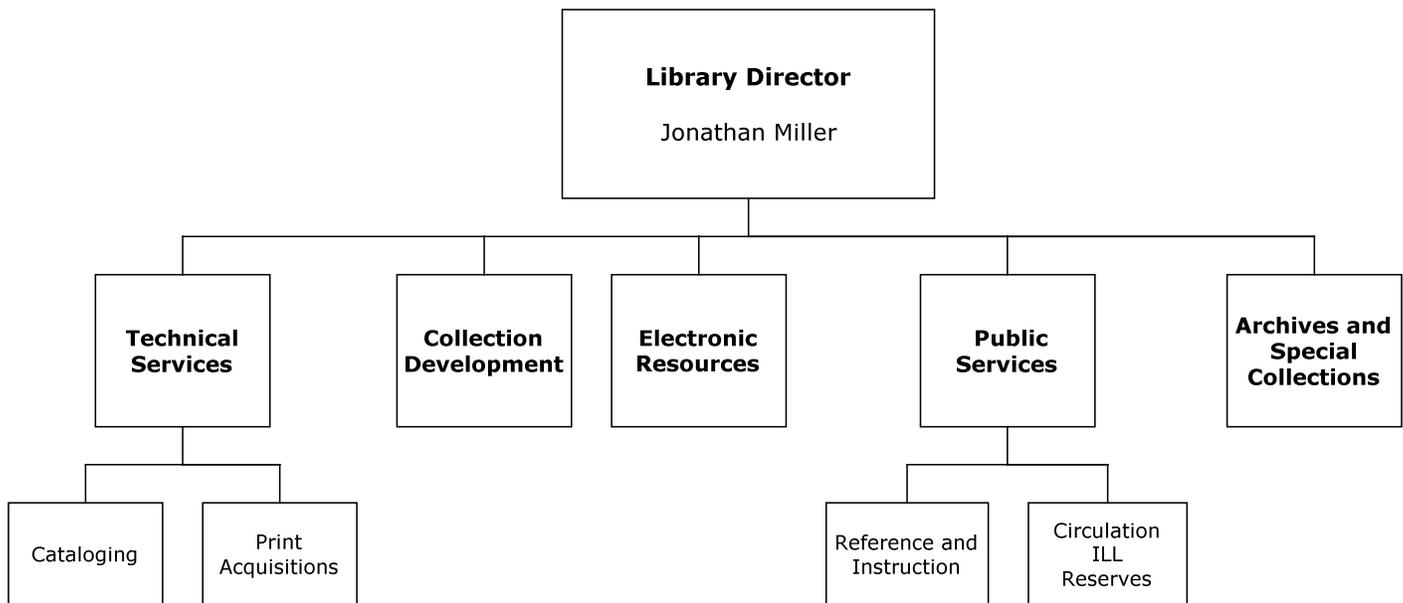
These are the organizational issues we have sought to address:

- Too much time is being spent managing print monographs.
- There is too little systems expertise within the library, and staff members are less sophisticated than they should be in regard to basic computer and information technology.
- Work related to electronic resources management has been conflated with more general computer support services.
- E-resources management is occurring almost entirely outside of Technical Services per se
- The Collection Development Librarian is in something of a stand-alone position, and is overly involved in standard Acquisitions processes.
- There is one vacant TS staff position, which should be redefined to better meet current organizational needs.
- Technical Services Specialists have expertise in MARC, less so for non-MARC formats such as Dublin Core or MODS.
- Communication at all levels, from strategy to daily operations, could be improved. Within TS, there is inadequate familiarity with the “big picture” and there is not enough interdepartmental understanding or collaboration.
- In some cases, individuals have been allowed to operate according to personal priorities and preferences. This suggests a need for more specific service parameters and stronger operational management.
- Workloads are unbalanced. Some staff members are carrying too much of the load while others are not busy enough.

In this section of the report we propose changes intended to address these issues. We have taken great liberty here, attempting to think more about what the Rollins organization might need to look like in 3-5 years than what it looks like now. We believe this is useful, because the Library is beginning to build that organization now. We can't say for certain that the functional shifts we suggest are possible but we do think they can provide some important insights. Please do not consider this a blueprint, but rather a set of ideas intended to stimulate new thinking at Rollins.



As we discussed while onsite, the current organizational structure is hierarchical at base, but also relies on many interdepartmental relationships and dependencies. The following is a simplified drawing of the library's administrative model. In our experience, this is a relatively conventional form that tends to isolate both Collection Development and the management of E-Resources.



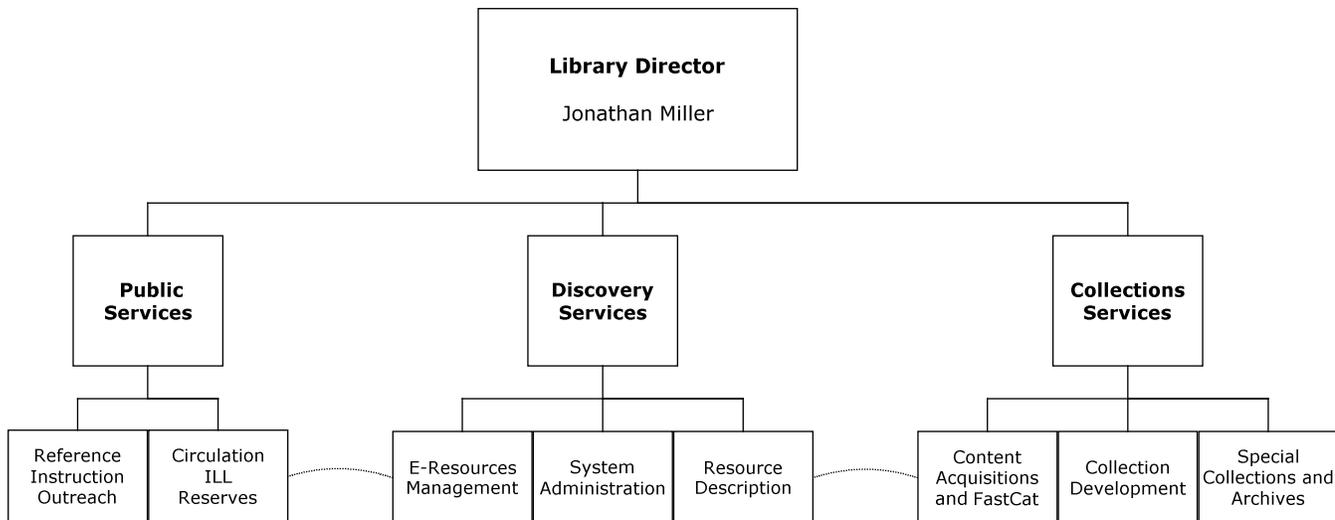
Current Administrative Structure

In seeking to re-invent itself, R2 believes the library should fundamentally rethink the organizational structure; with "discovery" front and center. As described earlier in the report, the acquisition of commercial content should be curtailed somewhat, in favor of various on-demand access models. The intent is to shift the library's commitment away from fixed collections and toward powerful discovery systems and electronic access. Because this migration away from print will be ongoing, R2 suggests that Rollins combine acquisitions and collection development functions in a single division. As CD strategies and policies evolve, they can be translated immediately into new acquisitions procedures. We also suggest that the library establish a new division focused on discovery. In the model we propose, Public Services would remain more or less unchanged.

Establish three operational divisions

As depicted below, the three divisions would each have multiple areas of responsibility, and each would have a senior manager or division head that reports to the Director. Each division head will also be an individual contributor in at least one functional area.





Proposed Administrative Structure

Create a Discovery Services Division

We envision this division as combining elements of cataloging (resource description) with systems, and e-resources management to facilitate discovery and clarity of results for users. Discovery Services should be responsible for traditional Systems Librarian duties, resource description (MARC and Non-MARC), and design and management for e-resources (including management of the Serials Solutions knowledgebase and holdings maintenance, link resolver and proxy server maintenance, participation in the College-wide work on ContentDM, Web site development and maintenance.) The intent here is to frame the discovery experience from a user viewpoint, and to craft systems and screen displays that provide clear status or holdings information, and clear next steps to access content. Entry points might include the OPAC, but also an A-Z list for e-resources, Google Scholar or Book Search, Blackboard, or pass-through from the link resolver or WorldCat. All of these pathways need to be designed and managed, to the degree that they don't already exist.

Discovery Services, therefore, is conceived of as including original MARC cataloging, within increasing focus on other forms of resource description and OPAC enrichment. It would be charged with producing a regular list of new resources acquired, sortable by subject or fund and distributed electronically to faculty, staff and students. The Library's Web site, exploration of Facebook participation, full leveraging of federated search, linking with peer libraries, integration of vendor systems with Sirsi, ERM management, consideration of WorldCat Local, and other similar tasks would fall under its purview. In short, Discovery Services provides the tools; Collections Services provides the content; and Public Services provides guidance and education in the use of both.

Obviously, this group should not work in isolation, but in close consultation with others throughout the library. Because activity for commercial e-resources will be divided between the divisions, the Library's ERMS will be needed to coordinate activity and communicate status information at each workflow stage. Staff in this department should be responsible for completing the set-up and for instructing others in its use.



Use the term Description instead of Cataloging

This is a minor proposition, but one that can be helpful as the library comes to terms with increasingly non-MARC and non-AACR2 resource description.

Hire a Head of Discovery Services

As a way of fast-tracking the development of this new division, the Library should hire a Senior Manager responsible for Discovery Services. Demonstrated in the Functional Overview below, an appropriate agenda for this division is impressive. Overall coordination of these related functions and tasks seems to us, critical.

Please note: It is relatively unusual that an R2 report would recommend an expansion of staff. It is our usual premise that we must work within the staffing constraints presented to us. In the case of Rollins, however, it is unrealistic to think that the Library can fully accomplish its mission without a significant boost in systems administration and development.

Increase sophistication concerning “computers” across the library

The reportedly sluggish response of the College IT helpdesk has forced the Electronic Resources Librarian and Specialist into the provision of computer support throughout the library. At least in part, this conflation of roles has allowed library staff to be indiscriminate about the “kind” of problems they may experience. Since they call the same number (or use the same email address) for every type of problem from dead end links to network access issues, they have had no incentive to become more astute users of technology. This also puts too much of the burden (and all of the expertise) with just two people.

As one person said to us, “We don’t need better communication; we need people to understand and use the systems more effectively.” While improved communication will certainly help, we concur that librarians and staff alike must become more sophisticated users. This could be accomplished in a variety of ways. Training always comes to mind first, but the time requirement can be a barrier. Better perhaps, to require that they segregate their requests by providing more information about the problem they are experiencing. To a large extent the responsibility for this “organizational learning” will fall to those in the Discovery Services division. Additional capacity there and the segregation of responsibility will make this possible.

Create a Collections Services Division

This division would combine the responsibility for collection development, special collections/archives, print acquisitions, serials check-in, physical processing, and local digitization efforts. In addition, this group would handle the selection and acquisitions tasks (trials, selection, acquisition, licensing, and usage statistics) for electronic resources. The intent is to bring selection decisions and action upon them closer together organizationally, and to integrate print and electronic acquisitions. This structure takes advantage of already strong relationships between CD and Acquisitions, and brings Special Collections closer to the operational engine of the library.

Some may see it as odd that we have removed Cataloging (resource description) from Acquisitions. We have arrived at this model because usable copy exists for the vast majority of commercial content acquired at Rollins. We are encouraging the Library to take advantage of this work that has been performed by others, and shift the focus of catalogers entirely away from the stream. As we see it, a brand new organizational



structure will clarify and cement the change. When new resources arrive without full copy, titles should be routed to an expert in Resource Description.

Reduce the number of staff focused on print resources

As we have stressed throughout the report, libraries generally should be attending more closely to non-mainstream and electronic resources. R2 recommendations concerning the monographs workflow can have especially profound benefits to the Olin Library, because they could free up so many TS staff members. At present, tasks related to print monographs occupy more than 5 FTEs. Our experience suggests that 2,700 monographs (55 titles per week) could be stewarded through the selection to shelf requirements by 1 FTE if automation and outsourcing options are adopted. While some redundancy is critical (we'd want two people to know how), the changes we suggest would allow as many as 3-4 FTEs to focus on other high-priority work.

On the serials side, print check-in has already dwindled to an average of less than 120 per week or less than an hour a day. As mentioned earlier in the report, standing orders should be consolidated with the primary monographs vendor and mainstreamed to the extent possible. When the Serials Specialist position eventually becomes vacant, R2 recommends that this position be re-conceived.

While this may sound radical to some, the Functional Overview (below) demonstrates the wisdom, the necessity, and the feasibility of moving in this direction.

Re-conceive the vacant TS staff position as a Collections Analyst

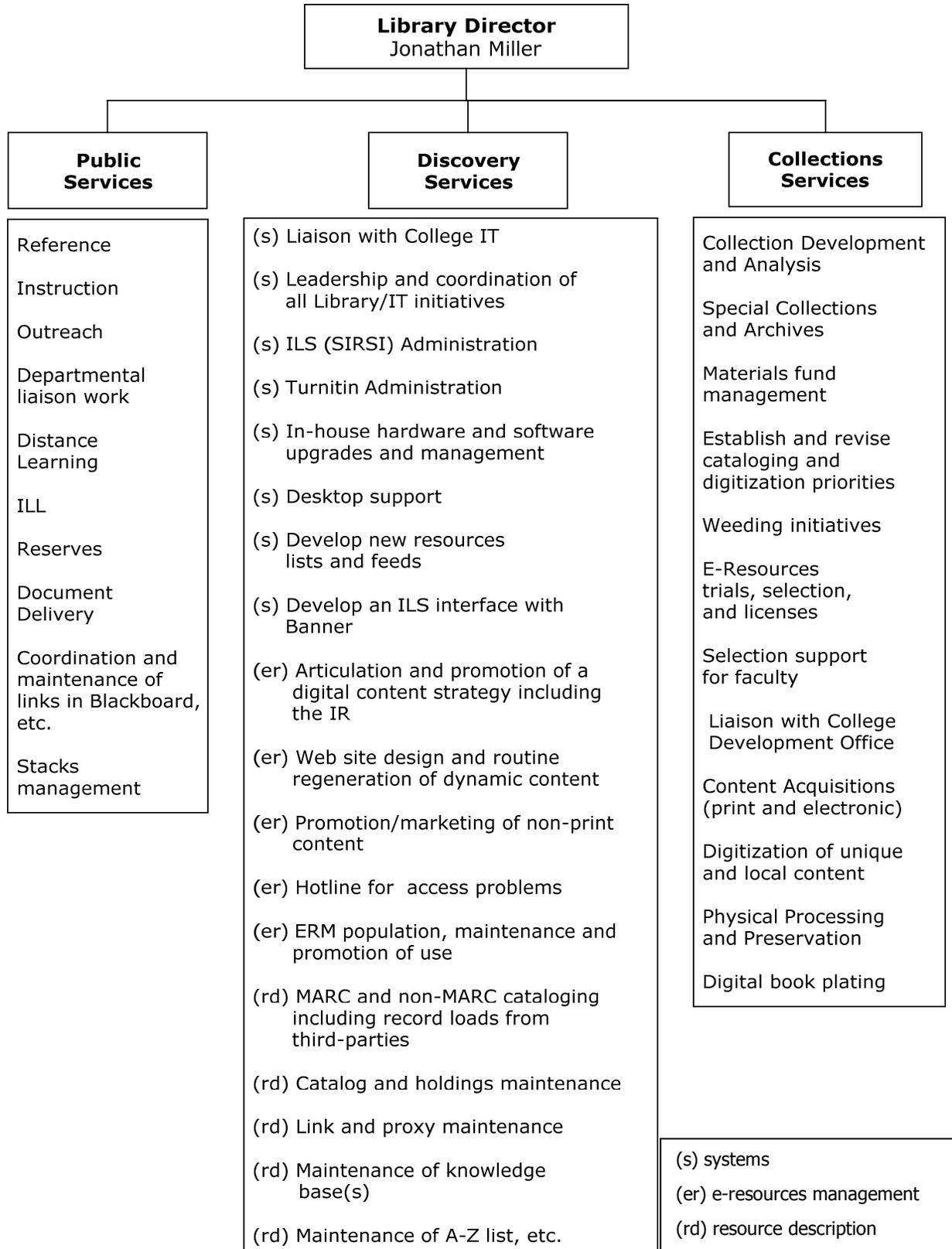
A significant amount of the work required in Collections has to do with analysis; of the current collection; of comparable collections; of the universe of available content; of usage; of transaction patterns; of budgets, encumbrances, and allocations; etc. R2 recommends that Rollins hire someone with these skills to assist with the data crunching that will allow for improved collections management. Library experience would be a plus, but not a requirement. Filling a position like this would go a long way towards increasing "systems sophistication" and will allow the Library to take better advantage of Sirsi databases and information stored elsewhere.

Reallocate staff as automated workflows are implemented

R2 recommends that the Libraries be aggressive in redeploying staff from acquisitions and copy cataloging as soon as possible. Plan ahead, and eliminate the question we hear all too often, "What will I do if we automate?"

The functional overview below, highlights primary responsibilities of the three divisions, and within Discovery Services, suggests a way to differentiate tasks appropriate to systems, e-resources, and resource discovery.





Functional Overview



Of course, the lines of responsibility will have to be established in considerably more detail if the Library chooses to move toward this organizational structure. As well, the relationship between College IT and the Library's Discovery Services Division will need careful clarification and ongoing attention.

Please note that our drawings are entirely hierarchical for purposes of clarity. As now, critical dependencies and inter-relationships could be highlighted via modified drawings and should be emphasized in the day-to-day workings of the library. Some interdepartmental relationships, in fact, will become even more critical than they are now.

As mentioned in our kick-off meeting, relationships between ILL and Acquisitions should be strengthened (when to borrow when to buy), as well as the relationship between ILL and Resource Description (to what extent are holdings accurately represented in WorldCat?). Likewise, this model will require closer ties between Collection Development and Electronic Resources Management. In fact, the Rollins Library is small enough to expect communication to occur in every direction without any organizational constraints. This expectation should be reinforced whenever possible. As well, a couple of more formal communications venues might be helpful.

Incorporate more outreach into Public Services

R2 applauds the "Your Librarian" initiative and urges that PS should incorporate even more "outreach" into the mission of the department. That is, part of the task may be to extend library services further out into the Rollins community—to all the places where users are working. This might include extending the Library's virtual doorway (e.g., through creating a customized Library link for every course in Blackboard), or setting up Library "office hours" in classroom buildings, dorms or dining halls. Again, especially in a small institution like Rollins, Public Services must work very closely with colleagues in Collections Services and Discovery Services, as all groups will constantly be monitoring user needs. The three group leaders, along with the Director, should meet regularly, but should also reserve one meeting each month or quarter to think creatively about continuing to adapt Library services and content to changing needs, and to inspiring lifelong information literacy.

Establish a Librarian's Council

The three second tier administrators (we've referred to them as Division Heads), along with the Library Director, should meet regularly to establish policies, adjust priorities and make decisions; but should also reserve one meeting each month or quarter to think creatively about continuing to adapt Library services and content to changing needs, and to inspiring lifelong information literacy. Discussion summaries should be distributed to all staff.

Require Divisional Meetings on a monthly basis

Division Heads should be required to convene regular meetings of their staff to share news, hear concerns, discuss projects, establish and discuss benchmarks, celebrate successes, and/or learn new things.

Improve management effectiveness

As discussed with the project team while onsite, we believe that operational management is not highly valued in academia generally, and is therefore not as effective



as it could be. R2 suggest that the Olin Library should seek to develop a culture that appreciates good management.

Project management skills are essential to many operational aspects of a library and will be absolutely critical if the changes we recommend are to be implemented successfully. The Rollins Library should actively develop project management expertise. This can be accomplished, in part, by designating specific project leaders and requiring that they draft project plans before beginning any substantial project. If departmental managers or projects leaders are not experienced in designing and writing project plans, we recommend that the Library dedicate appropriate funds to provide this specific type of training.

Another option would be to establish an internal management development program. We believe that such a program can be modeled on those that exist in many corporate environments and would include at least the following elements:

- Less experienced MLS and non-MLS professionals would be identified as potential future supervisors and managers.
- Identified management candidates would participate in a program of training that would have them rotate through the various departments in the library.
- Identified management candidates would be encouraged to take leadership and organizational management classes both at the school of business and through short seminars offered by outside organizations.
- Identified management candidates would be assigned to a management mentor within the library who would be responsible for helping the management candidate construct a management education program unique that that individual.

We believe that the establishment of this sort of program will demonstrate Olin's commitment to more effective organizational and operational management. It will bring new management ideas into the library and it will serve to motivate new generation librarians by demonstrating an interest in their continued development. Finally, it will begin to provide an effective stream of good middle management personnel to fill vacancies that will exist as the older employees retire.

We recognize that many of these ideas will raise staffing and personnel issues if Rollins decides to move forward with any of them. Our best hope is that we've suggested some practical ways of thinking about your organizational future, and that our ideas will help you to further your own. They clearly don't provide a perfect solution, but they do suggest a visible shift in emphasis. We appreciate the opportunity to work with you and we welcome the opportunity to discuss all this further.



VIII. Summary of Recommendations

As the length of this report attests, R2 seeks to provide the broadest possible range of recommendations. We expect that some of them will challenge existing practices and values. We fully understand that the Library administration and staff must evaluate them and decide which can benefit your organization. Some will be ignored or discarded; others modified to better fit your environment. But we urge careful consideration of them, because we are confident they can create new capacity within your operations, even as they push you beyond your organizational comfort zone.

We estimate, conservatively, that implementation of R2 recommendations will require many months, maybe more than a year of concerted effort. It will be important to think about how to sequence them, and to accommodate dependencies and communication with participants inside and outside the Library. And of course, the R2 perspective is just one of many to consider as the Library maps its way forward.

In the following chart, we've listed all of the recommendations included in this report. We've provided two columns for the Library's use, once evaluation of R2's recommendations has been completed. Some libraries ultimately add a third level. We've intentionally left these columns blank, even though we have opinions about them, because these are decisions best left to implementation planners.

Primary recommendations are those "low hanging fruit" that seem most obvious, may already be underway, or may provide the biggest/most immediate benefits in terms of freeing capacity. In some cases, they are required first steps, upon which others hinge. Secondary recommendations are those that may have a lower priority, a lower potential yield, or which depend on a previous change. Some of these will offer less leverage in terms of specific workflow improvements, and others will require greater collaborative effort and long-term planning to accomplish. We believe this model can serve as a brainstorming/prioritizing rubric, and can suggest first, second, and even third phases in a staged implementation.

IX. Closing

Recommendations from outsiders can have enormous value, but naturally they have limitations. Our observations and ideas are based on only a few days' immersion in the Library's processes, systems, and culture. We are certain that we have mistaken some of what we heard and saw, and that our recommendations will need scrutiny by those of you closest to the situation.

We thank the staff for participating so whole-heartedly in this process. Although there is a great deal of opportunity for improvement, the Library has been built on a strong foundation, through the efforts of many dedicated people. Our recommendations seek to build on that foundation, and accelerate the Library's creation of its next generation of library services.



Recommendation	Page	Level 1	Level 2
II. Collection Development			
1. Revise the Collection Development Policy	6		
2. Rationalize the book budget and the departmental allocation process	7		
3. Develop a stronger focus on unique and electronic content	8		
4. Develop routine procedures for identifying and preserving free web sites, pdf's, political blogs, listservs and other unlicensed scholarly electronic resources	9		
5. Consider using portions of the materials budgets for access	9		
6. Relinquish Selective Depository status in the FDLP	9		
7. Expedite e-resources decisions	10		
8. Take the lead in prioritizing TS tasks	10		
9. Advocate on campus for e-only theses	11		
10. Establish rules-based weeding for monographs	11		
11. Develop a more restrictive gifts policy	12		
12. Substantially reduce the print reference collection	13		
13. Expand the publisher list for the History of Florida approval plan	13		
14. Adapt the "rules" related to new monographs orders	13		
15. Consider on-demand acquisition of eBooks	13		
16. Stop vetting firm order selections in Collection Development	14		
17. Reduce binding of print serials	14		
18. Close out unsubscribed or ceased journals and shelve final issues with bound volumes	14		
19. Stop storing print journals that are in JSTOR	14		
III. Print Monographs			
20. Consolidate monographs purchasing with a full-service vendor	17		
21. Ask the primary vendor to supply out-of print titles	20		
22. Consider implementing electronic new title alerts to faculty	20		
23. Import bibliographic and local data from primary vendor system into Sirsi	21		



Recommendation	Page	Level 1	Level 2
24. Eliminate exception procedures for titles that are not yet published	21		
25. Eliminate pre-order searching for mainstream titles	22		
26. Implement X12 invoicing for monographs	22		
27. Consider OCLC WorldCat Cataloging Partners Program (formerly PromptCat)	23		
28. Consider vendor-supplied physical processing	24		
29. Control quality via sampling	24		
30. Implement a FastCat process at point of receipt for non-mainstream titles	26		
31. Rethink the use of bookplates in the BAY program	26		
32. Eliminate use of redundant paper-based procedures, including shelf list cards	27		
33. Establish benchmarks for timeliness	28		
IV. Systems and Systems Support			
34. Develop or acquire dedicated systems expertise	30		
35. Differentiate systems-related tasks, from e-resources librarianship	30		
36. Track developments of open-source library systems and WorldCat Local	31		
37. Create an automated list of New Library Resources with an RSS feed	32		
38. In the absence of adequate systems expertise and/or capacity, seek external support	32		
V. Discovery and Access			
39. Reconsider policies regarding record display and maintenance	33		
40. Develop expertise with all kinds of metadata	34		
41. Accept DLC and PCC (Program for Cooperative Cataloging) Copy without editing	34		
42. Maximize Google hits via OCLC's Open WorldCat	35		
43. Encourage (do not discourage) use of ILL	35		
VI. Low-Value Tasks			
44. Stop printing articles from electronic journals in response to ILL requests	36		



Recommendation	Page	Level 1	Level 2
45. Stop adjusting LC headings for locally digitized content	36		
46. Cease usage count for print periodicals and books	36		
47. Stop performing multiple quality checks	36		
48. Eliminate generic Rollins book plates	36		
49. Stop double stripping reference titles	36		
50. Stop creating secondary spine labels for temporary dust jackets	36		
51. Eliminate "New Reference Books" Cart	37		
52. Stop transcribing the LC call # in the piece	37		
53. Stop missing-issue exchanges with other libraries	37		
54. Stop loaning laptops to patrons	37		
VII. Organizational Structure			
55. Establish three operational divisions	39		
56. Create a Discovery Services Division	40		
57. Use the term Description instead of Cataloging	41		
58. Hire a Head of Discovery Services	41		
59. Increase sophistication concerning "computers" across the library	41		
60. Create a Collections Services Division	41		
61. Reduce the number of staff focused on print resources	42		
62. Re-conceive the vacant TS staff position as a Collections Analyst	42		
63. Reallocate staff as automated workflows are implemented	42		
64. Incorporate more outreach into Public Services	44		
65. Establish a Librarian's Council	44		
66. Require Divisional Meetings on a monthly basis	44		
67. Improve management effectiveness	44		

