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Eliminating Duplication in A Shared Storage Facility: Practical and Political Issues

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Against the Grain

"Linking Publishers, Vendors and Librarians"

Eliminating Duplication in A Shared Storage Facility: Practical and Political Issues

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Introduction

Recent years have seen an increase in the number of shared remote storage facilities being constructed, as libraries facing space shortages see the value of sharing storage costs. As shared facilities become more common, the issue of how to deal with multiple copies is emerging as a concern in cooperative collection development.

The library systems at the University of Guelph, the University of Waterloo, and Wilfrid Laurier University, three public institutions physically located within a short distance of each other in Ontario, Canada, constitute the TriUniversities Group of Libraries (TUG). These libraries built a shared storage facility called the TriUniversities Annex in 1996 to address chronic space shortages. Initially, 25 years of space was projected. Although the original intention was to integrate collections, it was decided not to eliminate duplicates in initial shipments because of difficulties identifying overlap in the three separate online catalog systems, which were in the process of being merged into one database.

Only a few years later, transfers have happened at a much higher rate than expected and the Annex has only 5-7 years of space left. Concerns about space taken up by duplicate copies have resurfaced. This article discusses issues examined by the TUG Information Resources Committee, made up of the chief collections officers at each of the three institutions, to determine if eliminating duplicates in storage would be a feasible way to address looming space crises. Two options were considered: deselecting duplicate copies already in storage, and refusing to accept items sent to storage if a copy from another library is already housed there. Except for some staffing and workflow implications, issues are similar for both.

Collection Use and Condition

Arguments for discarding duplicate copies are compelling: if materials are used seldom enough to be sent to remote storage, multiple copies are unlikely to be needed. Keeping only one copy would therefore free up much needed and expensive space with little effect on service to users or access to materials.

However, the issues involved with discarding duplicates are complicated, and few libraries have experience dealing with the situation.

If Rumors Were Horses

SIRSI Holdings Corp., a privately held company, and Data Research Associates, Inc. (NASDAQ: DRAI) have jointly announced the signing of a definitive merger agreement, providing for a subsidiary of SIRSI to purchase all outstanding common stock of Data Research Associates (DRI) for $11 per share in cash, or approximately $51.5 million. When combined, the new SIRSI-DRA company is expected to be a leader among vendors in the library automation industry, based on a number of installed systems, according to data compiled and published in the March 2001 issue of Library Systems Newsletter. Michael J. Mellinger, DRA's Chair of the Board, will remain an integral part of the management of the combined organization. He will serve as chairman of the new DRA, which will become a wholly owned subsidiary of SIRSI. He will also serve on the board of directors of SIRSI. www.dra.com.

Seems to be more than just a rumor. The potential merger of Swets Blackwell and Nijhoff was recently discussed in the Dutch trade magazine, Boekblad. See http://www.boekblad.nl/ Yours truly called Nijhoff's Ineke Middeldorp <middeldorp@nijhoff.nl> and Bas Gujts who say that, with all the "electronic capabilities" out there, they are "talking with several companies" to "form partnerships, alliances." More to come?

An eBook lawsuit is in the works in Manhattan's federal court. ZDNet News (May 4, 2001) reports on Random House vs.
A literature review followed up by questions posted to various listservs yielded much interest but few concrete experiences with discarding duplicate copies in shared storage. Articles on collections issues in remote storage (Hazen 2000, Powell 1998, Seeds 2000) touch only briefly on storage facilities shared by multiple libraries. In the only article devoted to duplication in shared storage, Michael Buckland (1990) examines the arguments for eliminating and keeping duplicates in shared storage. The discussion raises several issues, including:

- Materials vary in popularity over their lifespan and a low use title may become popular again.
- There may be restrictions on use of some copies; others may have restrictions on withdrawal.
- If no copies are in good condition it may not be prudent from a preservation standpoint to leave only one.

These have all been major considerations for the TUG Libraries. In particular, two libraries have collections with restrictions on withdrawal, in one case because of agreements made when accepting gift collections and in another because of legal ownership by an affiliated unit of the university.

Librarians and patrons also have reservations about withdrawing copies without ensuring that the best copy is kept. In the case of journals, a complete run without gaps may need to be constructed out of the holdings of more than one library. Retention of multiple copies may be necessary in some cases, such as poor condition, first editions, or special provenance. In all cases, examination of physical items located in different buildings would be necessary to make a decision. This requirement would significantly impact on staff workload and slow the transfer process.

Most discussion about discarding duplicate copies in storage is based on the assumption that collections in storage are infrequently used. However, some collections in the TUG Annex actually receive regular use, either because severe space shortages forced the transfer of higher use collections or because the items were placed there for reasons other than use. Keeping only one copy of these items to serve three institutions would present access problems for users.

Ownership and Access Issues

Issues of ownership are thorny and have both political and practical dimensions. Deciding to keep only one copy for three libraries means giving up local control of your library’s collections in those cases. Giving up this kind of local control over collection decisions may be an uncomfortable and unfamiliar situation for librarians, faculty, and administrators. In TUG, even though the three libraries have a good relationship and have worked closely on collection and service initiatives for years, true cooperative collection development is still in its early stages, and an agreement to preserve access to the last copy was seen as essential.

As we discovered, however, implementation of any formal agreement brings up difficult legal and institutional details. There are legal and institutional complications surrounding issues of joint ownership, which an agreement implies; all three universities also have institutional regulations governing formal legal agreements. For a number of political and practical reasons TUG is not a formal legal entity and cannot therefore legally own anything; ownership must remain with the constituent libraries individually.

After deciding that a formal agreement on joint ownership of collections had too many legal and administrative roadblocks to be feasible, the TUG Libraries agreed that a more informal arrangement would work. A strong existing relationship between the libraries for access to collections exists, which includes an integrated library catalog with a shared database for all libraries, and a heavily used one-day book and journal article delivery service from any library of the Annex. This past and current level of cooperation is considered to be assurance of continued future access. In addition, policies at each library can be changed to prohibit withdrawal of unique titles from the Annex, and records in the shared online catalog database can be changed to reflect joint ownership for remaining titles when a duplicate is withdrawn.

This type of shared ownership, whether formal or informal, brings up highly political issues surrounding counting, statistics, and rankings. Two of the TUG Libraries belong to ARL, and all contribute library statistics for Canadian university rankings considered vital by campus administrators. Such statistical rankings rely heavily on numbers of volumes, and often specifically exclude shared collections. Libraries sharing ownership of single copies in storage are not taken into consideration. Options would be either to report volume decreases to ranking agencies or to include shared collections in volume counts despite instructions to the contrary. The counting problem presents one of the biggest obstacles to shared ownership and generated much discussion in TUG. As more libraries face space shortages and attempt to save costs by sharing remote storage facilities, we hope there will be more recognition of joint ownership.

Political Issues

Many librarians and library patrons do not like to see library materials discarded. Combined with uncertainty over relying on another library for access and preservation of titles formerly controlled locally, there may be internal and external political resistance to the idea of discarding duplicate copies in storage. The level of resistance has varied considerably at the three TUG Libraries, depending on institutional climate. There has been agreement, however, that keeping only one copy makes sense for large sets or runs of journals, especially those with duplication in other formats. Concerns about what would happen if the use of an item increases and the original owning library decides to move it back from storage still need to be addressed. Options include a policy agreement to keep items with shared ownership in the Annex permanently, and a committee with responsibility for administering shared ownership collections in storage which would make decisions in disputed cases.

In addition, there are different regulations about how university property can be disposed of that need to be taken into consideration. Since all TUG cooperation has been between the three library systems as opposed to the three universities, campus lawyers and financial auditors unaccustomed to thinking about collective ownership issues have been hesitant about approving the concept.

Staffing and Processing Issues

Items to be transferred to the Annex are currently processed at the originating library before the books are shipped. Locations are changed, a storage number assigned to each item, and volumes are packed into boxes. Books are shipped to the Annex and unpacked by Annex staff. They are shelved by storage number in different areas of the building according to owning library. Changes to these processes and staffing requirements would depend on the approach taken to eliminating duplicates.

If we decided to dewithout duplicates already in the Annex, staffing requirements would be for a one-time project. Staff would be required to identify duplicates, examine items located in different locations of the building to determine best copy, then send to owning libraries for withdrawal from the catalog and discard. Retrieving items from Annex selves and shifting collections after space has been freed would be daunting, staff-intensive projects since shelving units are 14 high. Annex staff are not trained subject specialists, so in many cases librarians would need to examine items individually since preservation and provenance concerns may prevent withdrawal of duplicate copies.

Difficulties would also arise in determining which items are duplicates. Although the
three library systems share a single catalog database, separate records still exist for many older items. Older records often were created using previous cataloging standards and may have varying forms of title entry. Records for older materials are also unlikely to have ISBNs or ISSNes for easy matching. Generating an accurate list of duplicate items from the catalog is therefore problematic.

If we decided to stop sending duplicate items to the Annex, staffing requirements and processes would be slightly different. Currently, transfers at two of the libraries are done by students or night circulation staff since processes are straightforward and require minimal training. Barcodes for volumes are wanded, changes to location and storage number are made, and the record is saved. Changes that require searching for duplication first would require staff trained to do relatively complex bibliographic searching. At the TUG Libraries, that would mean responsibilities for the transfer workflow would need to shift from casual, less trained staff to more qualified permanent staff members not currently involved in the process, at a higher rate of pay.

Other transfer processes would also become more complex, since records need to be deleted and new holdings records added to show shared ownership for items already in the Annex. A workflow analysis at one of the libraries found that the revised transfer process would take 2.5 times as long as the current process. Subject specialists would also need to double check titles about to be withdrawn to catch volumes with special circumstances requiring retention, since Cataloguing staff is not trained to do this type of assessment.

Space Gains

So far, the project's success has been in the areas of cost savings and efficiency. The TUG Libraries' current costs are now about 20% of the cost of maintaining separate cataloging systems. By moving to a shared catalog, the libraries can now focus their efforts on providing high-quality service to patrons while reducing costs.

References


Rumors from page 18

IFLANET at http://www.jfca.org/IFLANET/copy.htm

According to Liblicense (April 2001) and the New York Times of the same date, the Borders Group has closed its online bookstore in favor of having Amazon.com serve its customers instead. "Borders Turns Over Its "Online Book Sales to Amazon" by Saul Hansell and David D. Kirkpatrick. Borders had sales of $27 million last year while Amazon sold $1.7 billion of books, music and videos in the same time period.


Library expenditures as a percent of university expenditures for FY 1998 and 1999 is now available on the Web at: http://www.arl.org/stats/ejg/

I want to give a special public thanks to Jenny Fuller (EBSCO Subscription Services) <fullerl@ebsco.com> who is the College of Charleston's inside Account Representative. Setting up electronic journal subscriptions can be a pain and Jenny is always cool, calm, and collected in the face of the 8:00 AM deadlines. Thank you, Jenny!

Brandeis University in Waltham, MA, has successfully used Ex Libris' ALPHEUS integrated library system to send monograph purchase orders to Blackwell's, Brandeis' major domestic monograph vendor. While not a new capability to ALPHEUS, this marks the first time one of the Ex Libris' North American customers has used ALPHEUS' EDIFACT capability to dispatch purchase orders. Brandeis now plans to switch its ordering activity with Blackwell's entirely to the EDIFACT arena. www.edibris-asa.com


This is something to watch. Microsoft Press now has custom books. Customers who visit the Microsoft Press Website can browse and compile individual chapters from selected works, and have them delivered as a single, custom book—either in printed or electronic form. To create a custom book, customers go to http://mspress.microsoft.com/ and click Order Custom Books from the left navigation menu. From the Custom Books page, they can view available titles organized by topic, and drill down to view chapter listings. Chapter content can be previewed while building a custom book, and search capabilities are built into the site to help customers identify relevant material. Once the desired chapters have been selected, users can customize the contents of their custom book and create their own title. Users can order their book either as a printed and bound book, as an eBook in Microsoft Reader format, or as an Adobe Acrobat PDF file. Printed books will be shipped in as little as 48 hours, and eBooks in as little as four hours. Pricing is based on a flat per-chapter charge, which decreases as more chapters are selected. Chapters priced at $9.95 and slide to approximately $5.95 per chapter. Initially, customers can select chapters from 30 works on Windows 2000, Exchange Server 2000, SQL Server 2000, Office 2000 and XML. Microsoft Press will make more titles available, as determined by customer feedback and demand. Microsoft Press previewed the Custom Book Builder at a recent meeting of the Back Office Professional Association, a Seattle-based user group. Is this the new model for publishing? http://www.microsoft.com/presspass/features/2001/may01/05-14custombooks.asp

That's it for now. Have a great summer! See you at ALA! 

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