

# Collection Management Services

## Annual Report for FY2002

### Highlights

#### Preservation Laboratory.

\* A combination of donor funding and CRSP support, both received in FY2001, positioned Preservation Services to begin detailed planning for a new laboratory. Construction began on May 28, 2002 with an estimated completion date of late August. The Administrative Services staff has provided critical support at every level, including defusing a budget crisis. Nancy Carlson Schrock (formerly, MIT Libraries' preservation consultant) was hired to consult on the layout of the space, equipment and furnishings. Our architect, Michael Hallor, gave considerable attention to studying our requirements and produced an excellent plan that will provide a very logical, functional and attractive facility. Preservation staff researched equipment, analyzed comparable conservation facilities at other libraries, supplied data to the architect, and participated in the design process. They also planned the move to temporary quarters where they have resumed operations for the summer.

\* A new donor-funded position, Conservator, was posted in the late spring with the expectation of filling the position by the time the new laboratory is ready for use. Dedicated to conservation of rare and unique materials, this position will enable the MIT Libraries to address the deterioration of some of the remarkable items in the collections. Some of these items will be prepared for digital scanning so that researchers may have access via the World Wide Web. The position is offered for a two-year term with the possibility of longer-term funding through further donations and grants.

#### Digital Initiatives Laboratory

The anonymous donor who provided start-up funding for the new laboratory and the Conservator position, made a second donation (approximately \$225,000) in FY2002 to support digital scanning of rare and unique materials. This second gift also supports the second year of the Conservator's salary. Formal planning for the digital projects will begin shortly on issues such as content selection, conservation, technology and digital preservation. A goal of this project is to develop infrastructure for the conversion of existing content to digital form using techniques and standards that will permit the digital files to be accessed well into the future, presumably via Dspace.

#### Collections Budget

\* In FY2002, the Collections Budget increased by \$728,612 from a combination of sources including the Provost, higher endowment income, and expendable gift funds. A major portion of the Provost's support went to "hardening" the serials budget inflation costs now that the annuity funding has nearly been depleted. With Provost funding, \$100,000 in continuing money was allocated to five new subjects (Human Rights, Biotechnology Industry, E-Business, Comparative Media Studies, and Bio-Engineering & Environmental Health) and two existing subjects (Film and Medicine). Also, the Provost provided a one-time \$125,000 for electronic resources purchases. Endowment fund budgets rose from \$221,908 in FY2001 to \$278,819 this year due to a higher pay-out rate and a new Humanities Library endowment fund (Shute). Expendable gifts for environment (\$50,000) and medicine (\$45,000) further increased the monographic funds for this year.

\* In Aleph, the "M" funds were 97.4% spent (\$857,272 spent of the \$880,247 budgeted for monographs). At the Aleph closing, \$93,769 (10.7%) was encumbered in open orders. The "S" funds showed a 99% serials expenditure with \$51,955 remaining unspent from the \$4,963,616 budget.

\* Electronic products continue to claim a substantial portion of the collections budget, with more than 25% of the serials budget now expended on databases and electronic journals. At the close of the year, the Libraries were seriously considering Elsevier's renewal option of a total switch from print to electronic, a decision that would have many effects on users, library operations and the collections budget.

\* FY2002 collections and acquisitions activities were compressed into about eight months due to the problematic implementation of Aleph's acquisitions system in summer and early fall 2001. To achieve almost total expenditure of the monograph and serials budgets under such constraints required cooperation and dedication from many participants throughout the library system.

#### Aleph Implementation

\* The Aleph implementation touched each area in the department to some degree. Preservation Services reconfigured the call number labeling program in Aleph with help from Systems staff. RSC staff members were involved in circulation, OPAC, items and holdings discussions during the implementation. Although the DDC project could continue to send image files to OCLC, no OCLC records could be checked until the Libraries received the loader software and tested it. Throughout the libraries, work on storage was deferred until Aleph operations settled down. One Aleph feature, "Your Account", holds useful tools for RSC requests and article delivery services, but will not be implemented until a later Aleph version is released.

\* Management reports from Aleph data did not satisfy our requirements and many of our critical reports did not exist at all. After months of effort to work within the Aleph software, a breakthrough came when the Data Warehouse staff in IS offered their services to the Libraries to build the reports. Under the leadership of the Collections Services' Information Technology Librarian, Data Warehouse staff and library staff held a series of meetings to explore the data and draft a set of reports. The library participants included staff from Systems, Administrative Services, Collection Management Services, Serials and Acquisitions Services, Bibliographic Access Services, and several Public Services units. About a dozen library staff took a class to learn the BrioQuery software used to access Data Warehouse files. This service has brought us a long way toward our goal of having a basic set of management reports that staff can run on demand or on a set schedule. The Information Technology Librarian continues to develop new reports with us, as specified on our report priority list. We are very grateful to the Data Warehouse staff for their ongoing help and we are deeply impressed with their skills and insights in meeting our requirements. This summer a broader group of staff will be trained in BrioQuery and standard reports will be available to them to run as needed.

\* As noted above under "Collections Budget", the Aleph acquisitions system proved very challenging, with unreliable budget data among the many difficulties that took months to resolve. The pattern recurred in the spring when testing began on the Aleph year-end processes. After weeks of problem resolution, the testing was successfully completed just in time to enable us to run FYE2002 on schedule.

\* A consequence of the late start in ordering last fall was that expenditures were behind target levels well into the spring. A huge effort by the Monograph Acquisitions staff accelerated the pace of ordering, and the good results were accompanied by overflowing shelves of receipts awaiting cataloging. The ensuing project by BAS staff to catalog this material produced a challenge for Preservation Services to keep pace with end-processing. With some additional labor from "casual" employees, this has been resolved.

#### Article Delivery Service

The RSC's plan to deliver articles electronically to users was implemented in a test phase in May 2002, with a full fee-based service anticipated for the Fall 2002 semester. The technology involves image capture on a Minolta planetary scanner and delivery of the image files to the users via the World Wide Web using the Prospero software incorporated into Ariel 3.01 software. Project steps included equipment and software selection, discussions with Document Services and Inter-Library Borrowing about their article delivery services, copyright compliance planning, and staff training. The Financial Administrator made an inquiry with the CAO staff about fee-handling and learned they would like us to use a new financial tool ("ClearCommerce") for credit card transactions. We will be exploring this with CAO in the summer.

#### Development Activities

\* The Libraries received a \$50,000 expendable gift in honor of Walter Rosenblith who requested the money be used to buy "environment" materials. To support medical research, \$45,000 of a larger MIT grant from the Howard Hughes Medical Institute was transferred to the Libraries and spent on major

reference titles. A new \$50,000 endowment, the John (1931) and Roberta Shute Fund, yielded the first year of income for the purchase of literature and related subjects in the Humanities Library.

\* Preservation Services staff members and the Head of Collection Management Services presented a preservation session at three alumni events during FY2002 for the MIT Club of Boston (July 2001 and April 2002) and the Reunion classes (June 2002). The events included presentations by the Director, Archives, Preservation, and the Associate Director for Technology.

\* The Director of Development, with assistance from the Head of Collection Management Services, made proposals to several donors, including the anonymous donor who gave the FY2001 gift for the Preservation Center. The anonymous donor gave \$225,000 for digital imaging of rare and unique materials; the total for this donor is now about \$475,000. Another person has shown strong interest in funding preservation of rare books; his development officer anticipates a signed gift agreement very shortly. In addition, two other prospects have emerged and efforts have begun to interest them in funding collections and preservation needs.

\* A new program, "Honor With Books" was launched by the Director of Development as a collaboration between the Parents Association and the Libraries. In this first year, a mailing was sent to parents of graduating seniors inviting donations of \$100 for a bookplate to be placed in a book on a subject related to the student's interest. The project yielded \$9,000 (i.e., 90 donations), which encouraged the Parents Association and the Libraries to continue this program with the next senior class. Another benefit is that the Emma Rogers Society will be inviting members to make "Honor with Books" donations starting in FY2003. The donations are distributed to the libraries' collections budgets as appropriate for the subjects selected by the donors.

#### Compact Shelving Project

The project, begun in May 2001, to install compact shelving in Hayden Basement was completed in October 2001. In addition to the shelving installation, the entire basement collection was shifted into a more logical arrangement. All the shelves and the volumes were cleaned. Volumes identified for storage were moved in a series of transfers, and the Science processing staff has been working with the RSC staff to complete the record changes. To date, over 11,200 volumes have been processed and counted in the transfer statistics.

#### Collection Management

\* The Libraries joined the OCLC Digital & Preservation Co-op as charter participants; the Head of Collection Management Services attended the charter members meeting in May 2002. One of the OCLC projects is to create a trusted archive for digital content on the OAIS model.

\* The Collection Management Group carried out an analysis and revision of the approval and slip plan with YBP. The vendor also presented a session about GOBI, YBP's online tool for acquisitions and collections work.

\* With the Web Manager, the Collection Management Group reviewed the public web site's collections information and made plans for strengthening this content.

\* A team of subject specialists analyzed needs for "environment" subject resources that could be met by a donation of \$50,000 from a fund administered by Walter Rosenblith. The monies were allocated in the FY2002 budget and will be spent by FY2003. Because this subject has a place in each of the libraries, it requires ongoing collaboration to balance the coverage and prevent gaps from developing. This project is enabling the staff to revise the coverage and add a substantial number of resources. A related product completed by this team was a new "Environment" collection development policy statement now posted in the test area of the public web site. This is the first subject policy to be prepared as a web resource.

## Ongoing Activities and Projects

### RetroSpective Collection

\* The RSC implemented two changes in user access to stored collections. The stacks were closed to browsing (for safety and security reasons), and a policy was implemented requiring people without MIT identification to schedule on-site visits one business day in advance. The on-site use by employees of a local business was barred after RSC made many requests that they comply with RSC's user guidelines.

\* The RSC is now represented on the Processing Committee.

### Preservation Services

\* Preservation Services responded to a variety of calls about leaks, some involving damage to collections materials. Chronic problem areas in Hayden basement were monitored for leaks during and after rainstorms. On his first day, the new Facilities and Operations Administrator was called into action by Preservation Services to investigate a mysterious substance (determined to be glycol from air conditioners overhead) dripping over the stacks in the Humanities Library's center mezzanine. The 24x7 disaster response team was expanded to include: Preservation Services Librarian, Facilities and Operations Administrator, Head of Collection Management Services, and Associate Director for Administration.

\* Preservation Service offered two sold-out IAP sessions on pamphlet binding, with the morning session reserved for library staff. At an open house in November 2001, library staff were invited to make snowflakes and stars using special techniques for folding decorative papers.

\* Exploration of new preservation technologies continued with the purchase of a thermal transfer printer for call number label production. Thermal transfer printing is specified by Library of Congress for their label operations. In addition, library staff met with representatives from ZfB (Zentrum für Bucherhaltung), a German conservation business investigating the U.S. preservation market. ZfB is known for the high-quality automation of delicate conservation techniques such as paper-splitting and leaf-casting.

\* A preservation student in the Simmons LIS program completed an internship in Preservation Services. Elke Piontek-Ma (Processing Supervisor in the Humanities Library) received information and training in the following areas: the conservation bench, equipment, tools, supplies, vendor catalogs, informative websites, continuing education offerings, record keeping and statistics, quality control, and several simple binding techniques.

\* The rare book cataloging and condition survey project completed the first full year of production. Workflow and communications among the team members (Archives, Preservation Services, Rare Book Cataloger) have become established in the daily activities of the project. The Rare Book Cataloger and the Head of Collection Management Services attended the Rare Books and Manuscripts Section Pre-Conference in June 2002. The conference provided useful perspectives on incorporating rare books programs into the mainstream of library services and resources.

### Collection Management Group

\* After a somewhat frustrating first year with the Aleph Acquisitions system, DLG/TSAC reviewed the outcomes and suggested potential improvements. CMG and the Monograph Acquisitions Librarian also met to discuss improvements and trade-offs. Possibilities include a better way to factor the YBP discount into the budget, initiating YBP/GOBI orders in the local processing units, and continuing to develop Data Warehouse reports.

\* The Government Documents Review Project in CMG is nearing completion. Dewey, Science and Humanities Libraries have completed their reviews, with all three libraries making substantial cuts in the number of items selected. Also, the CMG members participated in the self-study (coordinated by Kim Maxwell) of our federal depository operations.

\* Collection Managers planned a pilot project to send print copies to storage when MIT provides access to the electronic version. Titles in the JSTOR list are particularly good candidates for this project, as are full-

text packages, such as the ACM product that will be Barker's pilot project. Implementation planning will begin with a meeting of CMG and the Processing Committee (including the RSC Supervisor).

## Statistics

### RetroSpective Collection

\* Storage activity in FY2002 was slower-paced across the library system for two reasons: a planned "breather" from the super-moves of recent years; and Aleph implementation difficulties. Nonetheless, over 50,000 volumes were handled: 36,038 volumes went to HD; and 14,431 were added to the RSC stacks (total = 50,469). In FY2003, a renewed effort will be made to maintain the "equilibrium" of new receipts vs. stored volumes, and several large moves are already being prepared by the libraries.

\* Barker's continuing super-move yielded 8,500 volumes in FY2002; this put them well over the original target. The last phase of this project will continue into FY2003 with the transfer of journal runs to be held at RSC. Earlier transfers went to HD.

\* Humanities and Science transferred a total of 15,538 volumes, in large part due to the compact shelving project. Some Science transfers remain to be counted as work continues to unpack the boxes and complete the record changes.

\* In the fourth year of the DDC recon project, the staff processed 12,042 monograph titles for OCLC cataloging and HD storage. Less serials staff time was available for DDC because of priorities related to the Aleph implementation and a temporary reassignment of time to assist with digital acquisitions.

\* Over 15,000 items from the stored collections were used:

1. Circulation: 9446 items circulated from RSC stacks

2793 items circulated from HD

12,239 Total circulation

2. On-site use: 3246 volumes used on-site by 442 people.

### Preservation Services

\* Preservation Services sent 22,823 items for commercial binding.

\* Staff performed 2,746 repair treatments on items from the circulating collections. During the compact shelving project, Preservation Services staff trained Science and Humanities staff in wrapping and tying the hundreds of worn volumes that were sent to storage.

\* The shelf-preparation unit handled 20,007 new (or new to MIT) items and 22,823 commercially bound items. Good progress has been made on the goal to reduce the cycle time through careful tracking of the workload and constant effort from student assistants, "casual" employees, and Preservation Services staff.

## Personnel Changes

\* Harolyn Hylton was on a maternity leave from December 17, 2001 until March 15, 2002.

\* Elizabeth Phillips was hired as a Library Assistant IV at the RSC; she is responsible for circulation activities including electronic article delivery.

### **July 15, 2002**

Jennifer Banks, Head, Collection Management Services

Heather Caldwell, Preservation Services Librarian

Harolyn Hylton, RetroSpective Collection Supervisor

