

# Observations and Recommendations

Print Workflows --- MIT Libraries

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Ruth Fischer and Rick Lugg

R2 Consulting

# R2 Methodology

1. Understand the current environment
2. Identify best “possible” practices
3. Demonstrate the benefits
4. Adjust and implement changes

# The Library Workflow

- **Resource Identification**
- **Selection / De-selection**
- **Purchase Authorization**
- **Receiving and Payment**
- **Providing Access**
  - Cataloging / Holdings
  - Record Maintenance / A-Z Lists
  - Physical Prep / Activation and Linking

- Our Charge
- Our Assumptions

# MIT's Strengths

- **Staff with high degree of talent and commitment**
- **Compelling Strategic Plan for 2005–2010**
- **Integrated Service Point (ISP) works well for patrons, and offers support staff direct contact with users**
- **Steady cancellation of print serials**
- **Some willingness to move to e-only**
- **DigProb tracking system is effective**

# MIT's Strengths

- **IT capabilities embedded in library organization**
  - Scripts and mapping for batch import, EDI and other routine processes
  - Facility with load tables
  - Data Warehouse provides extensive reporting capabilities
- **Analysis of collections and processes is largely data-driven**
- **Commitments database**
- **Batch approach to GOBI/EOCR workflow**
- **Extensive use of keyboard macros**
- **EDI invoicing for serials, approvals, and (soon) firm-ordered monographs with a number of vendors and agents**

# MIT's Strengths

- **Rush processes work well**
- **Fledgling article delivery service from LSA**
- **Outreach programs from the Humanities and Dewey**
- **Processes are as consistent as they can be, given the varying nature of the collections and Collection Managers**
- **Some use of electronic selection**
- **Openness to PromptCat and shelf-ready services for mainstream monographs**
- **Outsourced automated authority control via LTI**
- **Innovation-oriented approach; e.g., use of OCLC #cord load from Serials Solutions**

# MIT's Strengths

- **Reduced flow of gifts for consideration; i.e., more qualifying via lists**
- **Strong quantitative approach with consistent results in Preservation re: end processing, binding**
- **Efficient Government Documents operation**
- **Support staff involvement in meetings, cross-departmental committees**
- **Processing Committee has developed shared approach to training, documentation, process review and communication**
- **Effective and cordial relationships among Processing Units and SerCat/SerAcq**
- **Processing units shaped around local priorities**

# MIT's Obstacles to Productivity

- Processing units shaped around local priorities
- Disproportionate amount of time spent on print resources; 60+% spent on print materials, but 90% of staff hours absorbed by them
- No overall policies for electronic/print preference; storage criteria
- Title-by-title focus on selection of 20,000+ monographs per year
- Most selectors not using electronic selection capabilities
- 30–35% of collections are offsite—moves, “super-moves”
- Two offsite facilities: LSA and Harvard Depository
- Shelves nearly 80% full

# Obstacles

- Constant moves and maintenance for large segments of all collections
- Relatively high proportion of inventory problems
- MIT mailing address limitations prevent specificity in shipping directly to divisional libraries
- 30% of orders include notes, many of which involve exception processing
- ALS seen to be less effective on non-mainstream orders (sourcing, timing)
- 25% of books require bookplates
- Commitments database requires manual maintenance
- Average “receipt to shelf” time: unknown, but too long

growing backlog: the “wall” sometimes reaches  
week wait

# Obstacles

- PRE-CAT process involves multiple moves of titles, delays of more than a year
- Many uncataloged collections, including architectural plans, maps, pamphlets, fiche, etc.
- Lack of communication (occasionally) between CAMS and Preservation and divisional libraries; e.g., recent “push”
- Lost/missing procedures are ineffective
- Redundant processes between Collections Services and Divisional Libraries (e.g., print serials check-in)
- Claiming report is cumbersome—not used consistently across libraries
- Journal collections inconsistently shelved

# Obstacles

- Centralized holdings maintenance; corrections such as deletion of duplicate barcodes require screenshots be sent to Collection Services
- Only one shipment per day from Harvard Depository
- Limited use of student labor
- “Processing” is a misnomer
- Oh, that Aga Khan stuff...
- Weeding and storage decisions require significant selector involvement
- General perspective that storage is cheaper than weeding
- Too much deferred maintenance --- will make a major change harder
- No formal training program

# What's not getting done?

- Gifts Web-page updates
- Updating documentation (post-upgrade) in Acquisitions
- Some statistics
- Reporting/Statistical support to selectors/administrators (from serials)
- Web-based “New Books” or “New Resources” list
- Faculty liaison work
- Selection of non-mainstream books—proceedings, technical reports
- Identification and cataloging of free Web resources
- Timely replacement of lost or missing items
- Collection assessment
- DDC conversion at LSA
- Uncataloged fiche (Huge number) at LSA: Dept of Energy reports, NASA, etc.
- Missing books
- Journal use study

# What's not getting done?

## Legacy projects in ESL

- Retrospective journal barcoding in Science
- Gov Docs items uncataloged and unbound
- Cleanup based on BRIO reports (inconsistencies between catalog & shelf)
- IEEE Proceedings to storage (200+ series)
- Science Front End Project (Reference weeding & re-labeling)
- Science Storage
- Media Room (300 items; new cases, labels, collection codes)
- Film Reels (Engineering)
- Uncataloged Technical Reports
- Current Journals in Science (paper list updates; holdings issues)
- Theses (remove those 10+ years old)
- ASME section papers (unbound, incomplete records)
- Browsing/Serendipity collections (stocking, re-labeling)

# What's not getting done?

## Legacy projects in HUM

- Government Documents Discards
- Missing Journal issues
- Backlog in preparing 19th and early 20th century journals for repair
- Systematic barcoding of serials in Hum stacks
- Binding of serials in Hum stacks
- Serform project (summary holdings updates for cancelled, ceased and merged/split serial titles)
- Journals record clean-up ("bad" records: no or incorrect holdings)
- Reference collection review (new editions, transfer to stacks/storage)

# What's not getting done?

## Legacy projects in Dewey

- Government Documents Discards
- Journals storage
- Serform project
- Journals record clean-up (“bad” records: no or incorrect holdings)
- Commitments database clean-up
- Replacements for brittle books
- Systematic barcoding of serials in Dewey stacks
- Serials binding
- Fully class Dewey journals
- “Temporary location” cleanup project (approx. 6,000 records)
- Create an electronic finding aid for historical annual reports
- Remove majority of reserve journals
- Searching several large older gifts
- Theses withdrawal/discard project (from 1985 and earlier)
- Atlas case location change

# What's not getting done?

## Legacy projects in Rotch

- RVC – digitizing slides
- Metadata for GIS resources
- Collection-level or FGDC standard records for architectural plans
- Finding aids or collection-level records for “huge” pamphlet collection
- Maps – 3,000 of 5,000 uncataloged – need at least brief records
- Storage of monographs
- Rare Books cataloging
- Retrospective barcoding of serials



# Standard Business Principles

- Know your costs
- Incorporate “systems thinking”
- Simplify and standardize requirements
- Create a mainstream
- Automate the mainstream
- Outsource when effective
- Establish production goals
- Measure performance
- Control quality via sampling
- Make strategic choices

# R2 Recommendations

- Just recommendations
- There will be changes
- Next step: Libraries-wide evaluation
- Moving target
- Implementation plan

# R2 Recommendations

1. Strategies/Policies
2. Print Journals and Serials
3. Monographs
4. The Organization

# Act Strategically

- Develop a Libraries-wide strategy for managing print resources
- Redefine the roles of LSA and HD
- Reduce onsite collections to “The Fewest and Newest”; Much “Smaller, Well Inventoried Collections”
- Make Digital Collections, Article Delivery, Rapid Print Delivery, and Web-Based New Resource Lists Central Elements of User Service
- Don't allow onsite collections to grow
- Prepare to let go --- stop doing things

# Print Journals and Serials

- **Reduce the Incoming Volume**
  - Implement e-only for some/most of the 2,000 titles in dual format
  - Implement e-only for major serials and proceedings:
  - Continue to reduce print reference and replace with e-reference
  - Retain the Commitments database to monitor availability of newly electronic titles
- **Reduce the Number of Print Volumes Retained**
  - Adopt a much more proactive approach to cooperative last-copy archiving and/or trusted digital archiving
  - Withdraw and discard print backfiles unless MIT has last-copy responsibility and/or a trusted digital archive

# Print Journals and Serials

- **Selectively Reduce Maintenance Steps**
  - Stop check-in and routine claiming of titles that won't be bound
  - Reduce routine claims—limit claiming to known problem titles
  - Reduce the effort to locate missing issues; decide to bind incomplete more often
  - Allow holdings maintenance in processing units
  - Reconsider binding policies --- reduce binding
- **Reorganize Print Holdings for Future Use**
  - Reserve LSA for print journals and serials without digital equivalents
  - Build a full-scale scanning and article delivery system in LSA

# Monographs

- **Use the Approval Plan More Vigorously**
- **Eliminate Approval Returns**
- **Eliminate Receipt of Paper Slips from YBP**
- **Require Electronic Selection in GOBI**
- **Eliminate Paper Audit Trails in MonoAcq**
  
- **Stop Acquiring Reference Books in Print**
- **Stop Acquiring Monographs That Have an Electronic Surrogate**
- **Reduce the Number of Special Locations**

# Monographs

- **Reduce the Number of Discretionary Moves**
- **Adopt Rules–Based Management of Aging Print Monographs**
- **Fully Centralize the Gifts Workflow and Send Immediately to Storage**
- **Eliminate Non–Critical Marks, Stamps, Labels**
- **Place All Barcodes on the Front Cover, Top Left Corner**
- **Expand Local Record Maintenance Authority**
- **Use YBP Provisional Plus Service**
- **Outsource Shelf–Prep to YBP for Firm and Approval Streams**
- **Eliminate Check–in of YBP Monographs in the**

# The Organization

- **Merge Processing and Circulation Units into New Access Support Units in Each Divisional Library**
- **Maintain Staffing Levels in Processing Units**
- **Continue to Centralize the Acquisition, Cataloging and Access Maintenance for Mainstream E-Resources**
- **Review Legacy Projects --- abandon or prioritize**
- **Maintain central staffing, and gradually shift emphasis to eResources, article scanning, document delivery and rapid print delivery**

# Benefits of Adoption

## Reduced Workloads (Annual):

- Eliminates distribution of 20,000+ YBP slips
- Reduce number of firm orders created by 1,500 (due to expanded AP)
- Eliminate item-by-item searches:
  - In OPAC/OCLC 7,700
  - In GOBI: 7,700
- Eliminate 12,000 WorldCat downloads and overlays of brief records
- Eliminates copy cataloging for 12,000+ titles
- Eliminates physical processing for 12,000 titles
- Eliminates returns to vendor or 400+ titles
- Eliminates receipt of 10-12,000 journal issues; check-in of 15-17,000

# Benefits of Adoption

## **Reduced Workloads (cont'd):**

- Eliminates receipt/check-in for 2,300 serials/proceedings volumes
- Eliminates 5,000 routine claims
- Reduces time in shelving and shifting
- Reduces print volumes in storage by [unknown number]
- Reduced location and status maintenance for discretionary moves
- Eliminates check-in in divisional libraries for 12,000 monographs
- Relieves selectors of item-by-item storage decisions
- Relieves selectors of title-by-title selection decisions for mainstream monographs
- Eliminates delays in identifying items for storage

# Benefits of Adoption

## Improved Service

- Article delivery for all print journals & serials without digital equivalent
- Increased space for users in divisional libraries
- Standardized new resources lists/feeds
- Receipt to shelf in one day for 12,000 monograph units; eliminate potential 10–12-week delay due to review shelves and “wall.” (The 12,000 assumes 11,300 shelf-ready titles from YBP and 700 (of 1,000) from L&C.
- Reduced need for rush cataloging & processing
- 24-hour delivery of print material from LSA and HD
- Reduced delays from movement back and forth of screen prints for holdings maintenance

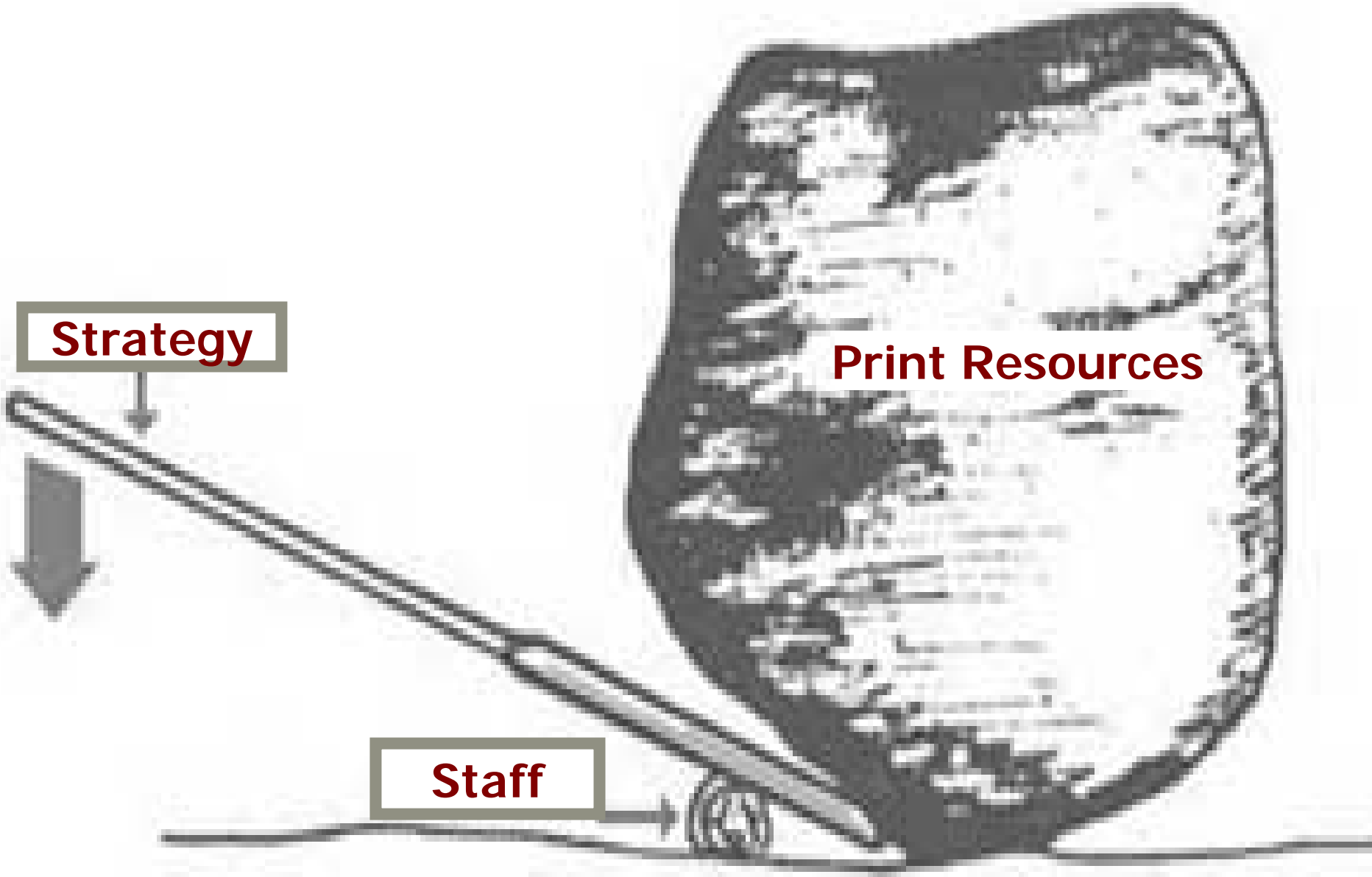
# Costs

## Costs and Offsets: One-Time

- Reorganizing LSA to include only titles without digital equivalents
- Establish scanning and article delivery systems and processes
- Reduce divisional library onsite collections
- Define, test, and refine cataloging specifications with YBP
- Define processing specifications with YBP

## Costs and Offsets: Ongoing

- YBP Cataloging (Prov+) and physical processing (12,000 @ \$5): \$60,000 (offset somewhat by reduced WorldCat download charges)
- Twice/day delivery from HD
- Staffing for Article Delivery service



# MIT Libraries

Questions?

Comments?

# MIT Libraries

## Next Steps

[www.ebookmap.net](http://www.ebookmap.net)

**Thank you!**