Advisory Committee Meeting

15 April 2009

Papers

Wednesday, 15 April 2009
10.00am - 3.45pm
Council Room
National Library of Australia
LIBRARIES AUSTRALIA ADVISORY COMMITTEE  
MEETING  
15 April 2009  
Council Room  
National Library of Australia  
Canberra ACT  

DRAFT AGENDA  

10:00 am  
1. Welcome and introduction, apologies  
2. Draft Minutes of the previous meeting and business arising LAAC/2009/1/1  

11:00 am Morning Tea  

FOR DISCUSSION  
5. Oral reports from the Director-General of the National Library  
7. New subscription models for special, TAFE and school library sectors LAAC/2009/1/5  

12.30 pm Lunch  

FOR INFORMATION  
12. NSLA Re-Imagining Library Services Initiative LAAC/2000/1/10  
14. Other business  
15. Conclusion & Review of resolutions (if any)  

3.45 pm Close of Meeting
## DRAFT MINUTES OF THE PREVIOUS MEETING AND BUSINESS ARISING

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<tr>
<th>Committee Members Present:</th>
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<td>Chair</td>
<td>Observer</td>
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<td>Ms Linda Luther</td>
<td>Ms Jan Fullerton</td>
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<td>University Librarian</td>
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<td>University of Tasmania</td>
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<td>Ms Pam Gatenby</td>
<td>Dr Warwick Cathro</td>
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<td>Assistant Director-General</td>
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<td>Mr Lindsay Harris</td>
<td>Ms Debbie Campbell</td>
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<td>Library Manager</td>
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<td>Ms Anne Horn</td>
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<td>Ms Vicki McDonald</td>
<td>Mr Robert Walls</td>
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<td>Director - Client Services and Collections</td>
<td>Director, Database Services</td>
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<td>Ms Joan Moncrieff</td>
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<td>Associate Librarian, Technical Services,</td>
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<td>Ms Sherre Quinn</td>
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<td>Libraries Alive! Pty Ltd</td>
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<td>Mr Geoff Strempel</td>
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<td>Associate Director, Public Library Services</td>
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<td>Ms Monika Szunejko</td>
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<td>Mr Chris Taylor</td>
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A summary of action items and resolutions is included in Attachment A.

The meeting commenced at 10:00 a.m.

**Agenda Item 1**  
**Welcome, Introductions and Apologies**

Ms Luther welcomed all present to the meeting and welcomed new members, Geoff Strempel and Vicki McDonald. Ms Luther also welcomed Warwick Cathro in his new role as Assistant Director-General, Resource Sharing and Innovation.

All Committee members were in attendance, no apologies were received.

**Agenda Item 2**  
**Draft Minutes of the Previous Meeting and Business Arising**  
(LAAC/2008/2/1)

Dr Cathro reported on Actions arising from the previous meeting on 19 March 2008.

**Agenda Item 3 Director-General’s Remarks (oral)**

A letter was drafted and sent to Jay Jordan and Karen Calhoun of OCLC requesting the recommencement of the nomination process for the OCLC Members Council Asia Pacific representative. The process was not recommenced. The confirmed representative is Mr Vic Elliott, Director Scholarly Information Services and University Librarian at the Australian National University in Canberra. OCLC has been made aware of Australia’s ongoing concern and when the 3-year representational term ceases, the call for nominations will be managed through Libraries Australia.

The Committee welcomed Mr. Elliott’s appointment.

**Agenda Item 4 Libraries Australia Status Report**  
(LAAC/2008/1/2)

A brief exit interview is now conducted when organisations cancel their subscription to Libraries Australia. The results for 2008-08 are included in the Annual Report.

A graph of the trends in searching of OCLC’s WorldCat database has been included in Agenda item 4 – Libraries Australia Statistical Information.

Discussions with OCLC’s Melbourne office regarding additional services that can be provided to Libraries Australia members by OCLC took place and this information will be communicated to members.

**Agenda Item 6 New Subscription Model for State, Territory and Public Libraries from 2008-09**  
(LAAC/2008/1/4)

Ms Campbell reported that a letter was sent out to all public library consortia, including QPLA advising of the changes to the subscription model. Ms Campbell reported that no public libraries cancelled their subscriptions to Libraries Australia under the new model.
Ms Campbell also reported on a meeting she attended with members of Viclink where she gave a presentation on the subscription model. Ms Campbell confirmed that while Viclink members were not proposing to cancel their subscriptions to Libraries Australia, they raised concerns regarding how a second state-wide consortium (being established around a particular platform) will be recognised by Libraries Australia.

Agenda Item 7 New Subscription Model for Special Libraries: Progress Report (LAAC/2008/1/5)

Dr Cathro reported that this model has not yet been fully resolved. It will be presented to the next LAAC meeting.

Agenda Item 11 Australian National Bibliographic Database: Development Report

Dr Cathro reported the statistics of the number of Thai script records in the Australian National Bibliographic Database (ANBD) have been corrected.

Agenda Item 12 Australian National Bibliographic Database Coverage Survey (LAAC/2008/1/10)

Dr Cathro reported that all actions relating to this item were completed.


Ms Campbell reported that the discussion lists were used to ask potential attendees what topics they wanted to hear about at the 2008 Forum. All items suggested were already on the agenda. A social network space has since been identified, called Ning. Ms Luther will be speaking about Ning at the Forum.

Ms Campbell sent a letter to the CEOs of all university, state and territory libraries, inviting them to attend the 2008 Forum. The Committee queried how many CEOs had subsequently registered to attend the Forum. A breakdown by position title was not possible as that information had not been collected. The registration form will be amended for the next Forum to include position title.

Ms Campbell stated that the addition of a review of the Forum and frequency of the LAAC meetings be added to the agenda had been made.

**RESOLVED:** That the minutes of the meeting held on 19 March 2008 be accepted.

Agenda Item 3
Libraries Australia Annual Report 2007/08 (LAAC/2008/2/2)

Dr Cathro introduced the Annual Report to the Committee and highlighted key points.
Statistics were provided on the top 20 organisations that performed the most searches as well as the top 20 organisations that requested and supplied material via document delivery. It was noted that there was a 10% increase in usage for the
Libraries Australia Document Delivery system.

Dr Cathro was asked by the Committee why commercial suppliers were listed under the heading ‘Special Libraries’. After a brief discussion, it was agreed that those suppliers should be categorised separately.

Ms Campbell stated that the number of libraries cancelling their subscription was mainly due to library closures and library mergers. Dr Cathro mentioned that membership has plateaued.

Dr Cathro drew attention to the Libraries Australia Search availability statistics. He commented on a problem with TeraText memory which has caused intermittent disruption to services. A new memory management algorithm has been implemented to address the issue and is currently being monitored. Dr Cathro reiterated that the National Library is committed to finding a solution to the problem and minimizing interruption to the services.

Dr Cathro mentioned that the searches on OCLC’s WorldCat database had quadrupled in the past year. The use of WorldCat as a second port of call for copy cataloguing has worked very well for Australian libraries.

Dr Cathro reported that there had been an increase in searches performed on the APAIS database. He mentioned that a bug has been found in the ‘Getting’ options in the Copies Direct service. This is currently being investigated and a solution will be implemented.

Mr Walls commented on the ANBD statistics and highlighted the 21,000 duplicate records removed since the de-duplication algorithm was implemented. The de-duplication process will be constantly refined and executed on a regular basis. Ms Quinn asked if it was still worthwhile for libraries to manually report duplicates. Mr Walls assured Ms Quinn that manual reporting was still relevant and that ANBD staff would continue to action manually reported duplicate records.

Mr. Walls mentioned that an upgrade to the cataloguing system was progressing well.

Mr. Walls stated that the ANBD was loaded into OCLC’s WorldCat database in March 2008 and a gap load is being created.

Mr. Walls reported that over 300,000 document delivery requests were processed during the year, an increase of 85,000 from last year. The upgrade to the VDX software is on schedule to be put into production during the third week of November. This upgrade will improve the user interface and the DocStore application.

Ms Campbell reported on the marketing activities and singled out the notebook as being a very popular item. Ms Campbell remarked that the highly successful presence at major conferences this year led to invitations to attend other conferences.

Dr Cathro reported on strategic developments and mentioned that new releases for three Libraries Australia components: CBS, VDX and Libraries Australia Search will be implemented during 2008/09. Dr Cathro emphasised a new copyright feature, based on the National Library’s in-house algorithm, would be implemented in Libraries Australia Search. This feature will display the copyright status for an item and will inform the user whether the item is in or out of copyright or if the status is uncertain.
Dr Cathro also mentioned the batch loading of authority data using the Record Import Service. Testing has started with the National Library’s Voyager system and further testing has been planned.

Ms Campbell reported on the stakeholder activities and said that all legal agreements have now been reviewed and the Libraries Australia Training Agents will be informed of the changes to their contracts today. Ms McDonald enquired about the lack of training that was held in Queensland and South Australia. Ms Campbell responded saying that the systems have been stable and it is possible that saturation point has been reached.

**ACTION:** Ms Campbell to arrange ‘Library Suppliers’ to be listed in a separate category for statistical reporting.

The Committee noted the report.

**Agenda Item 4**
**Libraries Australia Statistical Information (LAAC/2008/2/3)**

Dr Cathro mentioned that the figures reported did not fully represent the total cost of Libraries Australia. The actual cost was $4.5 million. After a brief discussion it was agreed that the precise cost should be reported to the Committee. The Libraries Australia office will discuss making these figures publicly available.

**ACTION:** Ms Campbell to arrange the precise costs of Libraries Australia to be reported to the Committee and to be provided in subsequent reports.

**ACTION:** Ms Campbell, Mr Walls and Dr Cathro to discuss making the precise cost publicy available.

The Committee noted the report.

**Agenda Item 5**
**Oral Reports from the National Library:**
**Director-General;**
**Assistant Director-General, Collections Management**

Ms Fullerton provided a summary of the National Library of Australia’s activities since the March 2008 meeting:

- One impact of the imposition of an additional 2% of Commonwealth government-wide Efficiency Dividend was the decision to combine Dr Cathro’s responsibilities into a single position known as the Assistant Director-General, Resource Sharing and Innovation.

- The Newspaper Digitisation Project has progressed with an enthusiastic response from the general public. More than 500,000 lines of text have been corrected which has exceeded expectations. It will still be several years before the project is completed.

- The Australian Women’s Weekly has given permission to have all issues
digitised up until two months before the current issue. This will begin shortly.


- The delivery of the National Library’s oral history recordings online has been a success with only minor bugs to be resolved.

- The National Library has made advances in changing the user registration to allow all Australia citizens to register online and to provide registered patrons with offsite use of certain databases.

- An interface to allow geospatial searching for maps is currently being developed and will provide greater access to the National Library’s vast map collection.

- The IFLA Conference will be held in Brisbane Australia in 2010. Libraries Australia should be represented.

Ms Gatenby provided a summary of other National Library activities:

- The final draft for RDA will be available on 31 October. The National Library of Australia has undertaken to delay implementation until early 2010. This allows adequate time for testing and trialing to be completed by the Library of Congress. The National Library is a member of the Committee of Principals and each member library is also committed to trialing and testing RDA. Discussions concerning training needs have been held with CAVAL and a national training course will be developed in conjunction with the National Library. A discussion list to encourage questions on RDA will be facilitated by the National Library and the communication.

- A survey was undertaken on the value of Cataloguing in Publication (CiP) data. CiP is a free service offered to publishers by the National Library of Australia to provide a bibliographic record for a book before it is published.

- The survey was submitted to libraries, publishers and vendors. There are implications for Libraries Australia as generally it was found that people are not using CiP data because they find that by the time a book is published, some of the data is incorrect (this data has been supplied by the publisher) and CiP records are not being updated which in turn increases duplicates. The National Library will hold discussions with Thorpe-Bowker (the Australian ISBN Agency) on resource and bibliographic strategies. A full report is being written and there will be more consultation before any decisions are made on the future of the service.

**ACTION:** Libraries Australia Office to organise a presentation/representation for IFLA 2010.
Agenda Item 6
Relations with OCLC
(LAAC/2008/2/4)

Dr Cathro stressed the stronger relationship Libraries Australia now has with OCLC. Ms Fullerton added that Vic Elliot, the recently appointed Asia Pacific Representative on the OCLC Members Council will be invited to join Committee meetings in the future.

Dr Cathro announced that there has been additional support provided by the OCLC office in Leiden, Netherlands for the CBS software, which is the basis for Libraries Australia Cataloguing. Support is also provided from OCLC’s offices in Melbourne and Sheffield for the VDX software (OCLC recently acquired Fretwell Downing), which is the basis for Libraries Australia Document Delivery. The National Library of Australia is interested in OCLC’s research and there are opportunities in place to exchange ideas.

Staff from the National Library are regularly videoconferencing with the OCLC staff in the Dublin office to discuss and resolve problems. The updating of directory data is an issue that Libraries Australia is committed to resolving. At present libraries are required to update their details in several databases and the amalgamation of these databases is planned.

Mr Taylor enquired about the different data that these databases hold and how it can be updated once and also reflected on OCLC’s WorldCat Registry. Ms Campbell referred to Janifer Gatenby’s work on SRU, which will allow the synchronisation of data between Libraries Australia and OCLC.

Dr Cathro highlighted a service provided by OCLC that will be offered to Libraries Australia members, called ‘Collection Analysis Service’. This service is useful for comparing collection strengths and it will attract a fee. The OCLC Melbourne office is responsible for providing specific information and pricing to those interested Libraries Australia members.

Mr Taylor enquired about the time frame for when Libraries Australia holdings will be up to date on OCLC’s WorldCat. Mr Walls responded saying in the first quarter of 2009.

Ms Horn remarked that this was an excellent report and should be sent to all Libraries Australia member CEOs. Ms Luther added that it should be sent to all Libraries Australia State User Group Convenors.

**ACTION:** Ms Campbell to provide Mr Taylor with specific details on the synchronisation of data proposed for the Directories Integration Project.

**ACTION:** Ms Campbell to arrange the ‘Relations with OCLC’ report (LAAC/2008/2/4) to be sent out to all CEOs and Libraries Australia State User Group Convenors.

The Committee noted the report.
Agenda Item 7  
Final Report of the Expert Advisory Group on Institution Specific Data (LAAC/2008/2/5)

Mr Walls introduced this report and noted that at its March meeting the Committee had provided feedback on the draft report and recommendations of the Expert Advisory Group on Institution Specific Data (EAG). The report was then circulated to Libraries Australia members for their feedback. The feedback received was general acceptance of ISD using MARC 5 and MARC 21 holdings format. There was general discussion about the report and the Committee reiterated its strong support.

Ms Gatenby asked when ISD support would be implemented. Mr Walls said that implementation ISD support would need to be included when the Libraries Australia subscription service is moved across to Lucene.

Ms Gatenby enquired if ISD could be included in any field. Mr Walls responded saying that the EAG had recommended that ISD only be supported in fields where subfield $5 is defined for use in the MARC21 format.

Mr Strempel queried the supporting documentation, asking if information on the benefits to Libraries Australia members would be made available along with how to use it. Mr Walls confirmed this documentation would be made available.

The Committee noted the report.

Agenda Item 8  
Interim Report on the Australian National Bibliographic Database Coverage Survey (LAAC/2008/2/6)

Dr Cathro introduced the interim report and remarked that the survey was launched on 21 August and closed on 19 September. When reviewing the data it was discovered that a number of university and state libraries had not responded. Dr Cathro wrote to each of the non-responding libraries to alert them to the survey. Currently only one state library and 10 university libraries have yet to respond.

215 responses were received and preliminary analysis confirmed that libraries do not see Libraries Australia as a tool for providing access to electronic resources or online material. Issues in supporting electronic data such as volatile data and licensing were also raised.

Ms Gatenby enquired about the popularity of the Web Cataloguing interface and Mr Walls remarked that although the Web Cataloguing form has relatively low usage for the addition of new bibliographic records, it is heavily used for the addition, change and deletion of holdings.

Ms Luther queried the responses to the technical questions of how Libraries Australia members are contributing records and asked what the Libraries Australia office can do to assist members with their technical difficulties to ensure their holdings are added to the ANBD. Mr Walls responded saying that Libraries Australia is committed to develop solutions for vendors and members. Mr Walls stated that perhaps a targeted marketing campaign on the range of services that are offered by Libraries Australia might prove beneficial.
Ms Quinn noted that 5% of the responses received stated that their collections were not on Libraries Australia and was it possible to look into those collections to see if they would enrich the ANBD. Ms Luther then added that a comparative study was undertaken in 1999 and noted it would be useful to know if collections that were not in the ANBD at the time of that survey, were now in the ANBD or not. There was a brief discussion on the comments made and the Committee endorsed the analysis suggested.

Ms Luther requested that all Committee members be provided with the survey analysis when available.

**ACTION:** Ms Campbell to investigate a marketing plan to be designed to highlight the data creation and contribution services offered by Libraries Australia.

**ACTION:** Mr Walls to provide an analysis of NSLA member responses for Ms Fullerton to take to the next NSLA meeting.

**ACTION:** Ms Fullerton to call the CEO of the remaining state library and ask if it would respond to the survey.

**ACTION:** Mr Walls to provide the Committee with the survey analysis when available.

The Committee noted the report.

**Agenda Item 9**

**Single Business Discovery Project (LAAC/2008/2/7)**

Dr Cathro introduced the report and informed the Committee of the Single Business Discovery Project team:

- Sue Collier – Project Manager
- Kent Fitch – Technical Architect
- Simon Jacob – Main Developer
- Joanna Meakins – Business Analyst

Dr Cathro stated that the project was primarily concerned with the discovery experience for users. It is an ambitious project and the first stage is scheduled for completion by June 2009.

The decommissioning of the Libraries Australia Free service and the Register of Australian Archives and Manuscripts (RAAM) will likely occur in Stage 1.

Dr Cathro reported that the People Australia project was progressing well, with a database built, schema created and harvester developed. Agreements are in place to expose data via SRU and OAI, however the web search interface is not yet available. This is planned for Stage 1. The module that will allow the human review of records is being developed and is also set for completion in Stage 1.

Dr Cathro drew attention to the screen mock-ups provided in the report and there was general discussion on these. Mr Taylor remarked that the mock-ups provided might overwhelm users with data. Dr Cathro assured the Committee that there would be considerable user testing before the service is made widely available.
Ms McDonald asked if there would still be a way to search the silos. Dr Cathro reiterated that all silos would be decommissioned but format specific views of the data would be supported.

Mr Taylor enquired if there was a plan to give all Australian authors a unique identifier in People Australia. Dr Cathro assured him that they would each have a unique and persistent identifier.

The Committee noted the report.

**Agenda Item 10**  
**Consultation Activities – Status Report**  
(LAAC/2008/2/8)

Ms Campbell introduced this report and stated that there was an increase in Libraries Australia staff visits to universities and public library consortia meetings. The Committee members commented on the fact that the number of people at meetings increases when Libraries Australia staff are in attendance.

Ms Szunejko pointed out that additional support from Libraries Australia for the State User Group Meetings requires consideration, as attendance rates were low. Committee members agreed this was a concern and Ms Luther highlighted the need for direct marketing to reference staff to attend the meetings and discuss issues, because Libraries Australia is not only a tool for document delivery and cataloguing staff.

Ms Luther asked if a ‘frequently asked question’ styled information page could be developed to assist those using Libraries Australia to research their family history. Ms Gatenby remarked that online newspapers should also be brought to their attention.

Ms Fullerton asked that Libraries Australia staff visit each State User Group meeting to discuss the Single Business Discovery Project.

**ACTION:** Libraries Australia office to develop a ‘frequently asked question’ information page to assist those using Libraries Australia to research their family history.

**ACTION:** Libraries Australia office to develop a plan to further support the State User Group meetings.

**ACTION:** Libraries Australia office to visit each State User Group meeting to discuss the Single Business Discovery Project.

The Committee noted the report.

**Agenda Item 11**  
**Strategic Plan and Recent Achievements**  
(LAAC/2008/2/9)

Ms Campbell announced that Ms Laurel Paton has been appointed to the Manager of Collaborative Services position recently vacated by Mr David Ong.
Ms Campbell mentioned that the replacement for the Help Desk software is underway and that RefTracker will be replacing Support Wizard. This will ensure a more streamlined approach to queries lodged with the Help Desk.

Ms Campbell stated that the Record Export Service (RES) set up fee has now been waived.

Mr. Walls reiterated that the upgrade to the VDX software was progressing well, with testing completed and a launch date for the third week in November.

Dr Cathro mentioned that Google was not consistently harvesting Libraries Australia data and has met with Google representatives and raised the issue. Dr Cathro also announced that he has been in communication with Library Thing representatives regarding the exchange of data to and from the ANBD.

Ms Luther reported that Ning was the social networking software chosen for the unmediated discussion list and that it would be seeded with topics to encourage members to interact on issues.

The Committee noted the report.

**Agenda Item 12**  
**Libraries Australia Forum 2008 (oral)**

Ms Campbell stated that four external speakers, two of whom are from the United States, would be a highlight of this year’s Forum.

Ms Luther reviewed her presentation to be given at the Forum on its future directions. The Committee endorsed the presentation.

Ms Campbell stated future Forums will need to be coordinated with Vic Elliot’s commitments as the OCLC Asia Pacific Region Representative.

**ACTION:** Ms Campbell to liaise with Vic Elliot to ensure he is able to attend the 2009 Libraries Australia Forum.

**Agenda Item 13**  
**NSLA Re-Imagining Library Services Initiative (LAAC/2008/2/10)**

Ms Fullerton discussed the importance of the Initiative to the National and State Libraries.

Mr Harris enquired about the logistics of delivering such an Initiative. Ms Fullerton replied saying that it is being organized as a series of formal projects with appointed project managers.

Ms Gatenby stated that she was the project manager of the ‘Flexible Cataloguing’ project and the overarching objective is to develop ways to catalogue quickly and cost effectively.

Ms McDonald announced she was involved in the ‘Collaborative Collections’ and ‘Community Created Content’ projects. These projects are concerned with delivering...
efficiencies through collaborative collecting and the identifying and implementing a framework and tool set for everyone to create and transform online content, respectively. Ms McDonald added that at this stage, questionnaires have been developed.

Mr Harris asked if the information gathered would be made available for other organisations to utilise. Ms Fullerton stated it was the intention to make the information available to all libraries.

Ms Luther enquired about the timeline of the Initiative and Dr Cathro stated that the individual projects underpinning the Initiative have a scheduled completion date due between 18 months and five years.

There was a brief discussion on the copyright algorithm to be made available via a copyright status button and Ms Fullerton suggested a campaign be developed to encourage libraries and library users to submit life dates to ensure the copyright algorithm is used to its full advantage.

The NSLA website has detailed information on the initiative, which can be accessed via this link: www.nsla.org.au/projects/re-imaginingLibraryServices.shtml

**ACTION:** Libraries Australia Office to begin a campaign to encourage people to provide verified life dates in conjunction with the introduction of the copyright status button.

The Committee noted the report.

**Agenda Item 14
NSLA Open Borders Project (LAAC/2008/2/11)**

Dr Cathro introduced the report and highlighted the value of the project. Dr Cathro stated that the multiple signon issue would be resolved and the streamlining of access to electronic resources improved. This will allow users to conveniently access full text articles that they are entitled to see, as subscription information will be displayed.

The Committee noted the report.

**Agenda Item 15
Australian Newspapers Beta Service (LAAC/2008/2/12)**

Dr Cathro introduced the report. Ms Gatenby announced she is working on guidelines which would allow digitised Australian newspaper content to be contributed from other sources.

There was a brief discussion on digitisation standards and the National Library's policies and guidelines can be accessed via this link: www.nla.gov.au/digital/.

The Committee noted the report.
Agenda Item 16
OLE Project
(LAAC/2008/2/13)

Dr Cathro introduced the report and stated that the National Library joined the Open Library Environment (OLE) Project as a core partner and a specific contributor in the following areas:

- the Service Oriented Architecture, using the National Library’s draft Service Framework as a model; and
- functional and workflow support requirements for original materials.

Dr Cathro announced that a meeting would be held on 27 November in Melbourne for interested parties. To attend or recommend a colleague to attend, contact Carmel McInerny by email or telephone: cmcinerny@nla.gov.au; 02 6262 1129.

The Committee noted the report.

Agenda Item 17
Article: Gatenby, Janifer “The networked library service layer: sharing data for more effective management and co-operation”, Ariadne, July 2008 ariadne.ac.uk/issue56/gatenby/.

Agenda Item 18
Conclusion and Review of Resolutions (if any)

The meeting closed at 3:25pm.
Attachment A – Summary of Recommendations and Actions

Libraries Australia Advisory Committee Meeting

22 October 2008

Agenda Item 2
Draft Minutes of the Previous Meeting and Business Arising
(LAAC/2008/2/1)

That the minutes of the meeting held on 19 March be accepted.

Minutes accepted.

- Ms Campbell to arrange the 2009 Forum online registration form to include position title.

Agenda Item 3
Libraries Australia Annual Report 2007/08
(LAAC/2008/2/2)

- Ms Campbell to arrange ‘Library Suppliers’ to be listed in a separate category for statistical reporting.

Agenda Item 4
Libraries Australia Statistical Information
(LAAC/2008/2/3)

- Ms Campbell to arrange the precise costs of Libraries Australia to be reported to the Committee and to be provided in subsequent reports.

- Ms Campbell, Mr Walls and Dr Cathro to discuss making the precise cost publicly available.

Agenda Item 5
Oral Reports from the National Library:
Director-General;
Assistant Director-General, Collections Management

- Libraries Australia office to organise a presentation/representation for IFLA 2010.

Agenda Item 6
Relations with OCLC
(LAAC/2008/2/4)

- Ms Campbell to provide Mr Taylor with specific details on the synchronisation of data proposed for the Directories Integration Project. Ms Campbell to arrange the ‘Relations with OCLC’ report (LAAC/2008/2/4) to
be sent out to all CEOs and Libraries Australia State User Group Convenors.

**Agenda Item 8**
Interim Report on the Australian National Bibliographic Database Coverage Survey (LAAC/2008/2/6)

- Ms Campbell to investigate a marketing plan to be designed to highlight the data creation and contribution services offered by Libraries Australia.
- Mr Walls to provide an analysis of NSLA member responses for Ms Fullerton to take to the next NSLA meeting.
- Ms Fullerton to contact the CEO of the remaining state library and ask if they would respond to the survey.
- Mr Walls to provide the Committee with the survey analysis when available.

**Agenda Item 10**
Consultation Activities – Status Report (LAAC/2008/2/8)

- Libraries Australia office to develop a ‘frequently asked question’ information page to assist those using Libraries Australia to research their family history.
- Libraries Australia office to develop a plan to further support the State User Group meetings.
- Libraries Australia office to visit each State User Group meeting to discuss the Single Business Directory.

**Agenda Item 12**
Libraries Australia Forum 2008 (oral)

- Ms Campbell to liaise with Vic Elliot to ensure he is able to attend the 2009 Libraries Australia Forum, should it go ahead.

**Agenda Item 13**
NSLA Re-Imagining Library Services Initiative (LAAC/2008/2/10)

- Libraries Australia Office to begin a campaign to encourage people to provide verified life dates.
Libraries Australia Cataloguing Service

CBS v4.1

The upgrade of the Libraries Australia Cataloguing Service to CBS 4.1 was successfully completed on 28 November 2008. The main benefit of the upgrade was adding functionality to support the implementation of SRU Update between Libraries Australia and WorldCat. Other changes included the display of the search command in Short title display, and a new OCLC symbol field in the library profile.

SRU Record Update

SRU Record Update between Libraries Australia and WorldCat was implemented in January 2009. Bibliographic record and holdings updates in Libraries Australia are transmitted to WorldCat within a few seconds. This ensures that Australian library data in WorldCat is up-to-date. Libraries Australia was the second service in the world to use SRU Record Update to WorldCat; the Dutch Union Catalogue was the first.

An OCLC identifier is returned to the ANBD when a bibliographic record is added to WorldCat or matched with a WorldCat record for the first time.

Currently the Cataloguing Service (CBS) supports contribution of records to the ANBD from customer library management systems via SRU Record Update in "interactive" mode (i.e. without matching and merging). This option enables libraries
to search their own database and Libraries Australia and then update both databases simultaneously with bibliographic and/or holdings data. By the end of the year Libraries Australia also hopes to be able to support SRU Record Update in "background" mode (i.e. where records are passed to CBS match/merge). This option will enable libraries to catalogue within their own system and contribute to the ANBD without prior searching of the ANBD. Libraries Australia is encouraging Australian libraries to ask their system vendors to develop support for SRU Record Update.

**OCLC identifiers**

As part of the implementation of SRU Record Update, OCLC bibliographic record identifiers have been added to most ANBD records in the Cataloguing (CBS) Database. However they have not been added to the Search Database. Libraries Australia is currently planning the addition of OCLC Identifiers to the Search Database. Their addition to the Search Database will:

- improve deep linking from WorldCat (especially to unique items that don’t contain ISBNs or ISSNs), and
- provide an additional key for the matching of records.

To support the addition of these identifiers to customer library management systems, Libraries Australia is planning to offer ANBD number/OCLC Id concordance files. Libraries Australia is aware that the inclusion of any new data element in records may have an impact on member libraries and will give at least three months notice of the change.

**Offline Duplicate Detection and Resolution**

Following the first production run of the CBS duplicate detection software on the ANBD in September 2008, there have been three more runs using Library of Congress number as the match key. A total of 24,000 duplicate records have been removed. Libraries Australia is currently working with OCLC Leiden to configure and test software to detect and resolve duplicate records using OCLC bibliographic identifier and ISBN as match keys.

**Table of Contents Data Project**

Options for enhancing ANBD records with Table of Contents (TOC) data were explored. The bulk of the 1.3 million ANBD records with TOC data are derived from a subscription to the Blackwells TOC service.

The Library of Congress was identified as the only major repository for deriving free Table of Contents data. The ANBD contains 352,000 records with links to the Library of Congress’ TOC data in field 856. 160,000 of these records already contain TOC data in field 505. Three options were identified for enhancing the remaining records with TOC data harvested from the Library of Congress's web site. All three options utilise the links in field 856 to retrieve this data but they differ on the process
for inserting the data into existing ANBD records. The preferred method is to use the Record Import Service matching and merging rules to match and merge TOC data with existing database records.

The project will be activated in the second quarter of this year.

The Australian Defence Force Academy Library (ADFA) was also identified as potential source of TOC data but they were scoped out of this investigation. Earlier exchanges with ADFA, in 2002, indicated that they would seek a benefit for supplying this data and discussions stalled. We will re-initiate discussions once a decision on data acquisition strategy has been finalised. The ADFA Library creates TOC data for half of the materials processed with content headings held in separate 990 tags.

### ANBD Maintenance

From 1 July 2008 to 31 March 2009 Global Holdings Updates were performed for 54 libraries resulting the updating or deletion of 520,000 holdings.

### Libraries Australia Record Import Service

128 organisations now contribute to the Australian National Bibliographic Database (ANBD) using the Record Import Service (RIS); included in this total are three consortia providing contributions on behalf of 50 libraries. In total, 178 libraries contribute to the ANBD via the RIS.

The following libraries commenced using the RIS during the period 1 July 2008 to 31 March 2009:

- Australian National University Library (ANU)
- John Curtin Prime Ministerial Library (WCU:JC)
- State Library of NSW for their Mitchell Library (NSL:M)
- Thorpe Bowker
- WA TAFE Consortium (WOT).

The Western Australian Child Protection Services library (WCW) also used RIS for the first and only time to remove all their holdings from the ANBD before their library was disbanded.

### WorldCat Cataloguing Partners service

Use of the OCLC’s WorldCat Cataloguing Partners (formerly known as PromptCat) “Basic” service is available free to any Libraries Australia member. The service provides MARC records for materials purchased through participating vendors. Libraries Australia has had discussions with OCLC and has confirmed that Australian libraries can opt to have a copy of the records supplied through the service sent directly to the ANBD.

### RIS Authority Data Service

During this period two significant database conversions were applied to the ANBD test environments to enable matching of incoming authority records using current
and superseded ANBD control numbers and local system numbers (where these are present in the test data). Two test files from the National Library were loaded and staff performed an audit of the data to determine probable errors and issues with the first major upload of authority records and any subsequent loading activity. Of the 2000 test records provided 70% were name authorities, 20% were uniform title authorities and 10% were subject authorities.

The main issues to resolve are:

- duplication of names headings in both the incoming file and the ANBD authority file (i.e. names as names versus names as subject);
- obsolete or non-preferred forms of the authority overwriting the correct or current authoritative term; and
- matching on text strings within the main heading (field 1XX) is currently not supported. In the current data sample, text string comparison indicated that 80% of records without control number matches could have successfully matched on the main heading.

Two benefits evident in the process are:

- the addition of traced headings (See Also references) to the ANBD authority file; and
- the addition of an Australiana code (field 042) to existing Australian name authorities when they are overlayed with the incoming record.

**Libraries Australia Record Export Service and Products**

371 libraries are currently registered to use the Record Export Service (RES). Fifteen libraries began using the RES during the period 1 July 2008 to 31 March 2009, and are listed in Appendix A.

**WorldCat Synchronisation**

The first gap load of data to WorldCat was completed in November 2008. 3,208,740 records were processed, adding 268,079 new bibliographic records to WorldCat. A second gap load of 312,964 bibliographic records was completed in December. These gap loads were necessary to synchronise the ANBD and WorldCat prior to the implementation of SRU Record Update.

**Libraries Australia Document Delivery Service**

726 libraries are currently registered to use the Libraries Australia Document Delivery Service (LADD). Fifty-three libraries joined LADD during the period 1 July 2008 to 31 March 2009, and are listed in Appendix B.

Seventy libraries are now using ISO ILL-compliant systems to interoperate with LADD. The following libraries began interoperating with LADD using the ISO ILL protocol:

- Australian Defence Force Academy (ADFA)
- CSIRO (VS:CL)
- Glenelg Libraries (VGLEN)
- Port Phillip Library Service (VPPLS) and
- Stonnington Library (VSLIS).

ISO ILL interoperability testing is currently underway with:
- Defence Science and Technology Organisation (VDSTO) locations (Relais system)
- Infotrieve (IDOC) (VDX system)
- Monash University (VMOU) (Relais system) and
- Swinburne University of Technology Library (VSWT) (Relais system).

**VDX 3.2.1**

The Libraries Australia Document Delivery Service was upgraded to VDX 3.2.1 in November 2008. The upgrade included:
- pop-up calendars;
- an action drop-down menu in the ILL Results Screen; and
- Item Format replacing Material Type, with an increased number of formats able to select the ability to search on 13 digit ISBNs.

**Libraries Australia Search**

Release 2.4 of the Libraries Australia Search service was introduced in instalments. New functionality now includes direct access to the Maps of Australia service which provides a geospatial search; and the addition of more online bookshops such as the National Library’s new online service.
Enhancements include Context Objects in Spans COinS support for the MARC databases available through Libraries Australia (Appendix C outlines how to use it), improved readability of the holdings display, and a change to the name of RIS as an option in the download citation format. The latter was requested at the Libraries Australia Forum, and it is now referred to as citation format (e.g. EndNote).

**Service availability**

The Libraries Australia search platform runs on Teratext. Recent intermittent outages in Record Import Service performance were examined by the National Library’s Information Technology Division, and by SAIC, which maintains and markets Teratext. As a result, the Library has commenced a process of purchasing additional high-end server capacity. This capacity will be introduced mid 2009, and is expected to dramatically improve search performance.

**Memberships**

The process which sought funding details from special libraries resulted in a few cancellations. Attached to the 1,248 current members, the number of active user-ids is:

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td>contributing libraries</td>
<td>5,522</td>
</tr>
<tr>
<td>non-contributing libraries</td>
<td>1,388</td>
</tr>
<tr>
<td>total active user-ids</td>
<td>6,910</td>
</tr>
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</table>

There were 30 cancellations and 33 new members between July 2008 and March 2009. Of the cancellations, 31% are due to library closures and the remainder no longer require use of the service.

**Enquiries**

![Monthly Help Desk Enquiries](image)
Note: Question time, which was held in December 2008, was not as widely responded to as in the previous year, so will be rested in 2009.
## Training

<table>
<thead>
<tr>
<th>Courses between July 2008 and March 2009</th>
<th>Number of Courses</th>
<th>Trainees</th>
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<tr>
<td>Libraries Australia Search</td>
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<td>16</td>
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<td>Cataloguing Client</td>
<td>3</td>
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<td>5</td>
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<td>LA Search</td>
<td>3</td>
<td>14</td>
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<tr>
<td>Cat Client</td>
<td>2</td>
<td>11</td>
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<tr>
<td>Doc Del</td>
<td>1</td>
<td>8</td>
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<tr>
<td>Doc Del Online</td>
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<th># participants</th>
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<td>7</td>
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<td>2</td>
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<td></td>
</tr>
<tr>
<td>Doc Del</td>
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</tr>
<tr>
<td>Cat Client</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Doc Del</td>
<td>2</td>
<td>8</td>
</tr>
<tr>
<td>Doc Del Online</td>
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<td></td>
</tr>
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<table>
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<td></td>
<td></td>
</tr>
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<td>Cat Client</td>
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<tr>
<td>Doc Del</td>
<td>2</td>
<td>19</td>
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<tr>
<td>Doc Del Online</td>
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<td></td>
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</table>

<table>
<thead>
<tr>
<th>Tasmania (TAFE &amp; State Library)</th>
<th># courses</th>
<th># participants</th>
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</thead>
<tbody>
<tr>
<td>LA Search</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cat Client</td>
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<td></td>
</tr>
<tr>
<td>Doc Del</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>Doc Del Online</td>
<td></td>
<td></td>
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<table>
<thead>
<tr>
<th>Victoria (including CAVAL training in Western Australia)</th>
<th># courses</th>
<th># participants</th>
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</thead>
<tbody>
<tr>
<td>LA Search</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cat Client</td>
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<td></td>
</tr>
<tr>
<td>Doc Del</td>
<td>2</td>
<td>10</td>
</tr>
<tr>
<td>Doc Del Online</td>
<td>5</td>
<td>5</td>
</tr>
</tbody>
</table>
Outreach activity


- The Australian Library and Information Association conference, October 2008, Alice Springs: a single booth in a strategic location; 400 Libraries Australia calico bags with notebooks and pens were packed onsite for the delegates. The notebooks were highly regarded and feedback was received on how useful and well designed they were. Many brochures were also distributed.

- Visits to nine university libraries: University of New England, Armidale; July 2008; Southern Cross University, Lismore and University of Southern Queensland, Toowoomba, September 2008; Deakin University, Geelong, October 2008; University of Western Sydney, Penrith; University of Technology, Sydney; Macquarie University, Ryde; the University of Sydney, and the University of New South Wales, March 2009.

- The Information Online conference and exhibition, January 2009 in Sydney saw the launch of the mobile phone sock (800 distributed); demonstrations on request included the Libraries Australia’s presence on ‘ning’; Libraries Australia free search, APAIS access for small libraries; Libraries Australia Search – find booksellers option; access to OCLC’s WorldCat; the subscription process and charges.
A design has been chosen for a new Libraries Australia e-newsletter which will be emailed to libraries and made available on the web site. It has a similar look-and-feel to the newsletter provided by Electronic Resources Australia, which is available at <http://era.nla.gov.au/for_libraries/eNewsletterarchive.html>.

**Recommendation**

The Libraries Australia Advisory Committee to note the report.

**Collaborative Services Branch**
**Contact:** Debbie Campbell
dcampbel@nla.gov.au
02 6262 1673

31 March 2009
Appendix A

Libraries which began using the Record Export Service during the period 1 July 2008 to 31 March 2009 were:

- Australian Taxation Office: DA Services
- Ballarat Fine Art Gallery Library (VBFA)
- Barossa Council Public Library (SBCPL)
- Brisbane City Council Library Services - Multi Lingual Library Book
- Brisbane City Council Library Services - ALS
- Calyx Group Library (NCG)
- City of Norwood Payneham and St Peters Library Service (SNPS)
- City of Playford Library Service: Playford Library Service
- Elizabeth Civic Centre Library (SEPL)
- Gunnedah Shire Library (NNRLG)
- Katanning Public Library (WKAT)
- South Australian Public Library Network: Sound Text Media (SSLP:STM)
- St Vincent's Hospital (Melbourne): Carl de Gruchy Library (VSV)
- State Library of South Australia: Royal Geographical Society of South
- Australia Library (SRGS)
- Wagga Wagga Base Hospital Library Services (NWWH).
Appendix B

The following libraries joined the Libraries Australia Document Delivery service during the period 1 July 2008 to 31 March 2009:

- Alzheimer's Australia (WA) (WALZ)
- Australian Communications and Media Authority (VACA)
- Australian Government Solicitor - Sydney Library (NAGTS)
- Baker & McKenzie (NBM)
- Berri Library & Information Centre (SBLIC)
- Carers NSW (NCARE)
- City of Onkaparinga Libraries: Noarlunga Library (SNRL)
- Clayton Utz Solicitors Perth (WUTZ)
- Defence Library Service - Australian Defence College (AJSSC)
- Defence Library Service - Canberra (ADLS:CP)
- Defence Library Service - Canungra (QLWC)
- Defence Library Service - Cerberus (VCERB)
- Defence Library Service - Darling Downs (QAAVNC)
- Defence Library Service - Darwin (XCOONA)
- Defence Library Service - East Sale (VBSESL)
- Defence Library Service - HMAS Albatross (NDLS:AL)
- Defence Library Service - HMAS Creswell (NDLS:CR)
- Defence Library Service - Hunter – Williamtown (NAJWE)
- Defence Library Service - Liverpool (NSMENG)
- Defence Library Service - Macleod (VSSIGS)
- Defence Library Service - Melbourne (VDLS)
- Defence Library Service - North Queensland (QNQ)
- Defence Library Service - Puckapunyal (VPUCKA)
- Defence Library Service - Sydney (NNSWD)
- Defence Library Service - Wagga Wagga (NNRTB)
- Defence Library Service - Williams (VDLS:WI)
- Defence Library Service - Wollongong (NDLS:WO)
- Department of Ageing, Disability and Home Care (NADH)
- Department of Education, Employment and Workplace Relations: Library (AEEWR)
- Dept of Education: Learning Services Support TAS (TDE)
- Dept of Environment and Climate Change - Goulburn Street (NEPA)
- Dept of Environment and Climate Change - Hurstville (NNPW)
- Family Court of Australia - Adelaide (SFCA)
- Family Court of Australia - Brisbane (QFCA)
- Family Court of Australia - Melbourne (VFCA)
- Family Court of Australia - Parramatta (NFCA:P)
- Family Court of Australia - Sydney (NFCA)
- GHD Library - Perth (WGHD)
- Gunnedah Shire Library (NNRLG)
- Gympie Regional Libraries (QGYM)
- Hervey Bay Library: Fraser Coast Regional Council (QHBP)
- The Hills Shire Council Library Service: Castle Hill Library (NBAU)
- Kangaroo Island Council: Kangaroo Island Library (SKIL)
- Office of State Revenue - NSW Treasury (NOSR)
• Orica Australia: Orica (Kooragang Island) Library (NICR)
• The Park Library - Centre for Mental Health Treatment, Research and Education (QWPH)
• Redland City Council: Redland Libraries (QRSL)
• Royal Military College - Library (ARMCA)
• Saint Ignatius’ College, Riverview - Library (NSIC)
• South Australian Museum Library (SMU)
• University of Sydney: SciTech Library (NU:ST)
• Unley Civic Library (SUL)
• Whyalla Public Libraries: Alex Ramsay Library (SWHY).

In the same time period, the following libraries cancelled their LADD membership:

• Citigroup Smith Barney: Research library (NSSB)
• CRA International (NNECG)
• Hamersley Iron Pty Ltd (WHI) - Closed
• National Capital Authority (ANCP) - Library closed
• University of Sydney: Architecture Library (NU:AR) - Library Amalgamated
• University of Sydney: Engineering Library (NU:EN) - Library Amalgamated
• University of Sydney: Madsen Library (NU:GE) - Library Amalgamated
• University of Sydney: Music Library (NU:MU) - Closed.
Appendix C

Citations in Libraries Australia using COinS and Zotero

It is an old adage that when you look after the pennies the pounds look after themselves. Recently Libraries Australia has implemented new functionality based on the COinS standard (http://ocoins.org) that will help users of the service make their research pay off. COinS is a standard that encodes bibliographic information into a token buried in a webpage. While this token is hidden from the end user it can be read and used by citation software such as Zotero or other web applications.

Below are a series of screen shots that show you how to use COinS with Zotero. Zotero is a free, easy-to-use Firefox extension to help you collect, manage and cite your research sources from within the browser you’re using to conduct your research. It can be downloaded and installed from http://www.zotero.org.

Finding a record to cite

Figure 1 below shows the Libraries Australia (http://librariesaustralia.nla.gov.au/) homepage loaded in the Firefox browser. Note that Zotero has been installed and its logo appears in the status bar of the browser on the bottom right hand side.

In order to use Zotero and the COinS implementation in Libraries Australia first you’ll need to conduct a search for an item. In Figure 2 below, a simple search for “pure mathematics” has been conducted and the results are displayed.
When a selected record is displayed, in this case Alan Turing’s *Pure Mathematics*, the Zotero plugin in your browser detects the COinS data in the webpage and displays a small icon that looks like a book in the address bar of your browser as circled in Figure 3 below.
Saving and displaying the citation

Clicking on the book icon causes the item to be saved in Zotero as shown in Figure 4.

Figure 4: Saving an item in Zotero

Clicking on the Zotero icon in the bottom right hand corner of your browser window displays the items you have saved. Zotero provides three panels that help you organise your research. The left-most panel shows the collections that you have set up, in this case there is a single collection called “My Library”. The middle panel displays the title of the items you have saved and the right-most panel displays the full record for the item selected in the middle panel.

Figure 5: Displaying collections items and records in Zotero

Zotero can also be viewed in full screen mode by clicking the relevant button in the Zotero toolbar to accommodate records with many fields or large collections of
citations as shown below. To return to half screen mode simply click the half screen mode button indicated in the figure below.

Figure 6: Zotero in full screen mode

Zotero has a range of other features including an export function that exports to a range of different formats including Dublin Core, RIS, MODS, RDF Bibtex and Refer/BibIX. This function is useful for importing your Zotero citations into other citation software such as EndNote.

Note that the current version of the COinS functionality in Libraries Australia does not support the getting of a resource from a library. This is due to the absence of an OpenURL resolver. Libraries Australia itself can be used to get the resource in question and the National Library is investigating the implementation of an OpenURL resolver to support this in future.
A tag cloud for Libraries Australia produced using www.wordle.net
### Libraries Australia Advisory Committee Paper

**2008 / 2009 Libraries Australia Statistics**

Report for Libraries Australia Advisory Committee

#### July 2008 to February 2009

<table>
<thead>
<tr>
<th></th>
<th>Result</th>
<th>Target</th>
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</thead>
<tbody>
<tr>
<td>Revenue</td>
<td>$2,787,246</td>
<td>$2,739,000</td>
</tr>
<tr>
<td>Expenses</td>
<td>$2,736,500</td>
<td>$2,840,000</td>
</tr>
<tr>
<td>Search Activity</td>
<td>10,076,624</td>
<td>9,960,000</td>
</tr>
<tr>
<td>Holdings Added</td>
<td>1,384,967</td>
<td>980,000</td>
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<tr>
<td>Bibliographic Records Added</td>
<td>565,515</td>
<td>490,000</td>
</tr>
<tr>
<td>Libraries Australia Doc Del Requests</td>
<td>200,882</td>
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#### Full Year

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<tr>
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<td>$4,172,000</td>
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<td>15,415,000</td>
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<tr>
<td>Holdings Added</td>
<td>2,200,000</td>
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<td>Bibliographic Records Added</td>
<td>800,000</td>
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<tr>
<td>Libraries Australia Doc Del Requests</td>
<td>310,000</td>
<td>310,000</td>
</tr>
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</table>

#### % of Target

- Revenue: 101%
- Expenses: 99%
- Search Activity: 99%
- Holdings Added: 147%
- Bibliographic Records Added: 114%
- Libraries Australia Doc Del Requests: 100%

#### Notes

- Revenue includes depreciation, overheads, IT Staff and hardware maintenance costs.
- Search Activity includes all search targets & LA Free Service.
STATUS OF THE GOVERNANCE RELATIONSHIP WITH OCLC

Background

Mr Vic Elliott, Director, Scholarly Information Services and University Librarian at the Australian National University, was elected the Australasian representative on the OCLC Members Council in 2008. He has provided the following report.

OCLC MEMBERS COUNCIL MEETING: February 2009

On 9-11 February 2009 the OCLC Members Council held its first ever virtual meeting, with sessions running each day from 10.30 a.m. to 12.30 p.m. The three Asia Pacific delegates (from Singapore, Taiwan and Australia) travelled to the offices of OCLC Western in Ontario, California, to participate in the meeting. On reflection, this seemed the best way to solve the time-zone problems which bedevil global meetings of this kind.

The agenda included presentations by Jay Jordan, the President of OCLC, who talked about recent OCLC activities and achievements and Professor Thomas Finholt of the University of Michigan who spoke on virtual organisations. The various service groups (E-Content, Reference & Social Networking, WorldCat Public, Cataloguing & Metadata, OCLC Research, and Resource Sharing & Delivery) met in online mode. And the formal business session included votes on the new Membership and Governance Protocols and Global Council Bylaws, a report from the Transition Committee on the transformation of the Members Council into the new Global Council and Regional Councils structure, presentations from the chairs of the three Regional Council Implementation Committees, a report from the Membership Committee, and a discussion on the new Policy for Use and Transfer of WorldCat Records. A short account of the proceedings of the meeting may be found at <http://www.oclc.org/news/releases/200915.htm>.

In this report I will discuss in more detail the progress that has been made in transitioning to the new OCLC governance structure and developments surrounding the release of the revised record use policy.

Governance Structure

It will be recalled that in 2008 it was decided that the governance structure of OCLC should move from the present Board of Trustees / Members Council pattern to a new structure which comprised not only a Board of Trustees and a Global Council but also a number of Regional Councils. It was agreed that such a structure would better suit and support the increasingly global nature of the cooperative. The size of the Global Council was to be smaller than the present Members Council (48 members instead of 66) and would meet annually rather than three times a year as in the case of the Members Council. In October 2008 it was further agreed that the number of Regional Councils should be limited to three (namely the Americas, Europe, the Middle East and Africa (EMEA), and Asia Pacific).

In recent months much work has been done by three Regional Council Implementation Committees in preparing framework documents for each of the Regional Councils. These framework documents will in due course form the basis of
bylaws for each Regional Council. At present, the Members Council Executive Committee is considering the draft framework documents to ensure consistency and uniformity of practice across the three Councils.

The framework document for the Regional Council of Asia Pacific was prepared by an implementation committee of seven members drawn from Australia, China, Hong Kong, Japan, New Zealand, Singapore and Taiwan. The draft was considered and confirmed at a meeting of the committee in Hong Kong in mid January.

The charge of the Regional Council of Asia Pacific is to serve as:

1. A unit of OCLC governance which elects Member Delegates to the Global Council, as described in Article IV of the OCLC Code of Regulations;

2. An incubator for new ideas within the OCLC cooperative;

3. A two-way conduit to allow the broadest, most inclusive conversation among OCLC staff, Members, participants, and interested parties; and

4. An inclusive forum and a vehicle to allow interested memory institutions to learn more about OCLC and opportunities for participation in the OCLC cooperative.

The Regional Council will have three officers (Chair, Vice-Chair and Chair-Elect, and Council Secretary) and two standing committees (the Executive Committee and a Nominations Committee). The Executive Committee will comprise the three officers together with four additional members, all of whom will be elected by the members of the Regional Council. To ensure inclusiveness and diversity, each member of the Executive Committee will be from a different country within the Asia Pacific region.

The Chair will be required to call at least one in-person meeting of the Regional Council within any twelve-month period. The meeting agenda will include such items as discussions or presentations on the OCLC cooperative’s theme for the year, how Asia Pacific issues affect or are affected by the global theme, and, especially, matters relating to Asia Pacific. The meeting will be open to all interested parties but only OCLC members will be eligible to vote. The first meeting is planned for early September, in China at Tsinghua University.

In determining the membership of the Global Council, it was decided that each Regional Council should be given a base membership of four delegates. The remaining positions will be allocated in accordance with the revenue generated by each region. Under this formula, it is expected that the Americas will receive a total of 33 members, EMEA 10 and Asia Pacific five.

**Policy for Use and Transfer of WorldCat Records**

The new record use policy is designed to update the current Guidelines for the Use and Transfer of OCLC-Derived Records which was issued in 1987. The policy was approved by the Board of Trustees prior to the Members Council meeting in October 2008. At that meeting the Members Council questioned the lack of consultation with the Council and this concern coupled with the controversy which followed the announcement of the new policy on 4 November 2008 led to the establishment, by
the Board of Trustees and the Members Council, of a Review Board of Shared Data Creation and Stewardship on 14 January 2009, to be chaired by Jennifer Younger of the University of Notre Dame (Indiana).

The Review Board will consult with librarians and member representatives as appropriate, review reports, letters and comments including blog and listserv messages from the global library community regarding the revised policy, and recommend principles of shared data creation and changes in the policy that will preserve the community around WorldCat infrastructure and services, and strengthen libraries. The Board has not been charged to write a new policy and it is expected that its recommendations will be available for discussion at the May meeting of the Members Council. The new policy was scheduled to come into force in February 2009. It is now likely that the policy will remain under review into the third quarter of 2009.


Vic Elliott
23 March 2009

**Recommendation**

The Libraries Australia Advisory Committee to note the report.

Collaborative Services Branch
Contact: Debbie Campbell
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02 6262 1673

25 March 2009
DUBLIN, Ohio, USA, 26 February 2009—OCLC Members Council conducted its first-ever virtual meeting February 9–11 to discuss opportunities and challenges confronting the global information community, to learn more about collaborative services, and to continue the transition to a Global Council and Regional Councils.

"Although extensive planning and communication have gone into all of our preparations for this meeting, this is a test to learn more about virtual meeting technology and its applicability to our Global Council and Regional Council meetings going forward," said Members Council President Loretta Parham, Library Director and CEO, Robert W. Woodruff Library at the Atlanta University Center, in her opening remarks.

In the coming year, the current Members Council will transform into a Global Council that connects with Regional Councils around the world. Some of the meetings in the new governance structure are planned as virtual meetings.

Delegates evaluating the virtual meeting gave it high marks. The 2008/2009 OCLC Members Council met in October 2008 in Dublin, Ohio, and will meet again in May 2009 in Dublin. The virtual meeting approach shortened the length of the typical meeting time, eliminated travel for most delegates and cut costs.

Continuing its governance transition, Members Council voted to ratify the Global Council Bylaws as approved by the OCLC Board of Trustees, and also approved new Membership and Governance Protocols and referred them to the Board with the recommendation that the Board approve them.

In his report to Members Council, Larry Alford, Chair, OCLC Board of Trustees, and Dean of University Libraries, Temple University, stated: "These are exciting times for OCLC as we move forward in our governance plan, and I think this meeting will demonstrate the power of technology to connect OCLC members, to connect libraries and librarians and other cultural heritage institutions from around the world to foster cooperation and collaboration."

"Libraries around the world are facing serious economic disruptions and budget cuts with the reductions in services that those budget cuts mean," said Mr. Alford. "In light of these economic conditions, I believe a strong and vibrant OCLC is more vital than ever. OCLC remains a strong and vital partner for libraries in helping libraries meet the challenges of these times. In my view, libraries of all types are more vital than ever to an informed citizenry, and to ensure that in tough economic times, citizens of the world have access to information they need to prosper."

Jay Jordan, OCLC President and CEO, provided an update on OCLC activities.

"Our strategy of building Web-scale and helping libraries move their workflows to the Web has acquired even greater urgency," said Mr. Jordan, in his President's Report. "We must continue to move forward, especially during challenging economic times. In the coming year, we will redouble our efforts to be more innovative and efficient and to create more value for the OCLC cooperative."

In other matters, Members Council:

- Discussed the Review Board of Shared Data Creation and Stewardship, convened by Members Council and the OCLC Board of Trustees to represent the membership and inform OCLC on the principles and best practices for sharing library data. The Review Board will discuss the Policy for Use and Transfer of WorldCat Records with the OCLC membership and library community.

- Met via chat in service groups for eContent, Reference & Social Networking, WorldCat, Cataloging & Metadata, OCLC Research, Resource Sharing & Delivery.

- Heard a Transition Committee report from Maggie Farrell, Committee Chair, OCLC Board of Trustees member and Dean of Libraries, University of Wyoming.

- Heard Regional Implementation Committee reports from Patrick Wilkinson, Director, University of Wisconsin—Oshkosh, and Chair, Americas Regional Implementation Committee; Chew Leng
Beh, Senior Director, Library and Professional Services and Director of SILAS, and Chair, Asia Pacific Regional Implementation Committee; and Berndt Dugall, Direktor/Librarian, Universitat Frankfurt, and Chair, Europe, the Middle East and Africa Regional Implementation Committee.

- Heard Thomas Finholt, Associate Dean for Research and Innovation School of Information, University of Michigan, present, and participated in a discussion on how to make virtual organizations and teams work.

Recordings of the OCLC Members Council February meeting can be found online.

The next OCLC Members Council meeting will be held in Dublin, Ohio, May 17–19, 2009.

About Members Council
The 71-delegate Members Council supports OCLC’s mission by serving as the key discussion forum and communications link between member libraries, regional networks and other partners, and OCLC management. By providing a channel for recommendations and questions from Members Council delegates, approving changes in the Code of Regulations and electing six members of the Board of Trustees, Members Council helps shape the future direction of OCLC.

About OCLC
Founded in 1967 and headquartered in Dublin, Ohio, OCLC is a nonprofit library service and research organization that has provided computer-based cataloging, reference, resource sharing, eContent, preservation, library management and Web services to 69,000 libraries in 112 countries and territories. OCLC and its member libraries worldwide have created and maintain WorldCat, the world’s richest online resource for finding library materials. For more information, visit www.oclc.org.

Find out more about OCLC

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Policy for Use and Transfer of WorldCat® Records

A. Intent of the Policy

OCLC® encourages and supports the widespread, non-commercial use of WorldCat Records (as defined below) for scholarship and research in furtherance of innovation that complements OCLC’s products and services for the benefit of libraries, museums and archives and their respective patrons by:

(i) promoting the evolution of libraries, archives and museums, the use of their collections and the advancement of their professions;
(ii) increasing availability of library, archive and museum resources to individual users; and/or
(iii) furthering ease of access to and use of world-wide scientific, literary and educational knowledge and information.

This “Policy for Use and Transfer of WorldCat® Records” is designed to foster such use while protecting the rights of OCLC’s membership and its investment in WorldCat, and ensuring that the use of WorldCat Records hereunder provides a benefit to the OCLC membership. This Policy governs all Use and Transfer of WorldCat Records unless a separate written agreement is made with OCLC. Please read the entire Policy and the documents incorporated herein by reference to ensure full understanding of the Policy.

This Policy covers WorldCat Records as defined below. This Policy may also govern the Use and Transfer of WorldCat bibliographic data available through other services to the extent determined by OCLC. Please check the FAQ regularly for the applicability of this Policy to other services.

B. Definitions

1. “Policy” means this “Policy for Use and Transfer of WorldCat® Records”, as modified by OCLC from time to time.

2. “WorldCat” is the OCLC online union catalog, an electronic database of bibliographic records and other information maintained by OCLC;

3. A “WorldCat Record” is a bibliographic record meeting one or more of the following criteria unless otherwise specified by this Policy:
   a. a bibliographic record obtained directly from WorldCat through the use of an OCLC product or service; or
   b. a bibliographic record (i) identified as Derived from WorldCat by the party from which the WorldCat Record is received; or (ii) which is otherwise known by the recipient to have been Derived from WorldCat at any time prior to receipt. Please see the FAQ for information on fields, subfields and other factors that can indicate whether a bibliographic record has been Derived from WorldCat.

The Use and Transfer of data extracted from a WorldCat Record is subject to this Policy whether or not the extracted data itself meets one or more of the criteria described in this Section B.3 and shall be included within the term “WorldCat Record”.

Last updated: 11/19/2008
An OCLC Member or Non-OCLC Member may Use or Transfer the following without complying with this Policy: (i) a WorldCat Record designated in WorldCat as the Original Cataloging of the OCLC Member or Non-OCLC Member; or (ii) a bibliographic record which is not Derived from WorldCat whether or not the OCLC Member or Non-OCLC Member adds the OCLC control number to the record.

4. A bibliographic record in WorldCat is designated as the "Original Cataloging" of the agency represented in the OCLC MARC 040 field, subfield a (original cataloging agency). 

5. The “FAQ” is the Frequently Asked Questions document providing more information regarding this Policy, as updated by OCLC from time to time, which is located at: http://purl.org/oclc/wcrup-faq.

6. An “OCLC Member” is an organization that is listed on OCLC’s membership roster as a Governing Member or Member of OCLC.

7. A “Non-OCLC Member” is a library, museum or archive that is not an OCLC Member.

8. A “Third-Party” is any organization who is not an OCLC Member or a Non-OCLC Member.

9. A bibliographic record is “Derived” from WorldCat if it was copied or otherwise obtained from WorldCat at any time prior to receipt.

10. “Use” means use in accordance with the requirements and intent of this Policy without making a Transfer to another person or organization.

11. “Non-Commercial Use” means Use for the purposes of research, teaching, scholarship or private study provided such use is not Commercial Use.

12. “Commercial Use” means Use in any manner that supports, is intended for or directed toward or results in commercial advantage or monetary compensation, including, without limitation, any sale of WorldCat Records.

13. “Reasonable Use” means Use of WorldCat Records that is reasonable for the intended Non-Commercial Use and consistent with the intent of this Policy. Without limiting the foregoing, the term “Reasonable Use” does not include any Use of WorldCat Records that:

a. discourages the contribution of bibliographic and holdings data to WorldCat, thus damaging OCLC Members’ investment in WorldCat, and/or

b. substantially replicates the function, purpose, and/or size of WorldCat. Please see the FAQ for a discussion of Z39.50 for cataloging using WorldCat-derived bibliographic records.

14. “Transfer” means conveyance to another by exchange, merger, sharing, gift, providing the capability to download or otherwise electronically copy or any other means.

Last updated: 11/19/2008
15. “Commercial Transfer” means Transfer of WorldCat Records for Commercial Use by the recipient.

16. “Holdings” means OCLC institution symbols attached to a record, indicating libraries that own, license or otherwise provide access to the item described by the record. An OCLC institution symbol is a unique identifier assigned by OCLC to OCLC Members.

17. “WorldCat Record Use Form” means the form prescribed by OCLC for purposes of contacting OCLC with proposals for Use and/or Transfer of WorldCat Records which are not authorized by this Policy. The WorldCat Record Use Form is located at: http://purl.org/oclc/wcrup-form.

C. Use of WorldCat Records

1. Each OCLC Member and Non-OCLC Member may Use WorldCat Records in accordance with this Policy.

2. Subject to the conditions set forth in this Policy, OCLC Members and Non-OCLC Members are granted the non-exclusive, world-wide, royalty-free right to Use WorldCat Records by:

a. reproducing WorldCat Records, incorporating WorldCat Records into works and basing works on WorldCat Records; and

b. displaying WorldCat Records, works incorporating WorldCat Records and works based on WorldCat Records;

for Non-Commercial Use.

3. The following conditions apply to Use of WorldCat Records:

a. Reasonable Use. Use of WorldCat Records authorized by this Policy is limited to Reasonable Use except as otherwise authorized by written agreement with OCLC.

b. Commercial Use Prohibited. Commercial Use of WorldCat Records is prohibited unless OCLC has entered into a separate written agreement with the party wishing to make such Use. [OCLC has a standard agreement available which authorizes the processing of WorldCat Records received from OCLC Members and Non-OCLC Members.] The WorldCat Record Use Form should be used to initiate discussions with OCLC regarding an agreement authorizing Commercial Use of WorldCat Records.

D. Transfer of WorldCat Records

1. a. Subject to the conditions set forth in this Policy, an OCLC Member or a Non-OCLC Member may Transfer WorldCat Records of its own Holdings to other OCLC Members and Non-OCLC Members for Use in accordance with this Policy.
b. An OCLC Member or a Non-OCLC Member may Transfer WorldCat Records of its own Holdings to a Third-Party who has entered into a separate agreement with OCLC authorizing the Third-Party’s receipt of the WorldCat Records. The WorldCat Record Use Form should be used to initiate discussions with OCLC regarding such an agreement.

2. The following apply to Transfer of WorldCat Records:

   a. **Attribution.** OCLC encourages OCLC Members and Non-OCLC Members to clearly identify WorldCat and OCLC Online Computer Library Center, Inc. as the source of WorldCat Records Transferred. Please see the FAQ for information about appropriate attribution of WorldCat and OCLC.

   b. **Retention Encouraged.** OCLC encourages OCLC Members and Non-OCLC Members to retain the OCLC number (if any), the link to this Policy (if any) and any additional means of attribution (besides the link to this Policy) in any WorldCat Record Transferred.

   c. **Commercial Transfer Prohibited.** Commercial Transfer of WorldCat Records is prohibited unless OCLC has entered into a separate written agreement with the party that will receive the WorldCat Records. The WorldCat Record Use Form should be used to initiate discussions with OCLC regarding an agreement authorizing Commercial Transfer of WorldCat Records.

   d. **Copy of Policy.** OCLC encourages OCLC Members and Non-OCLC Members to provide a copy of this Policy (or a link by which this Policy may be accessed) to OCLC Members or Non-OCLC Members to whom they Transfer WorldCat Records.

3. The Transfer of WorldCat Records by an OCLC Member or Non-OCLC Member which do not represent its own Holdings requires submission of a WorldCat Record Use Form to OCLC for approval of the proposed Transfer. OCLC’s approval of the Transfer described in the WorldCat Record Use Form: (i) must be in writing; (ii) may be conditioned upon agreement to additional terms and conditions determined by OCLC; and (iii) may be withheld by OCLC, without liability, within its sole discretion.

4. WorldCat Records, a work incorporating WorldCat Records or a work based on WorldCat Records which are Transferred may be Used by the recipient only under the terms of this Policy. Additional or different terms may not be imposed. OCLC encourages OCLC Members, Non-OCLC Members and Third-Parties to refrain from removing, hiding, deactivating or obscuring any link to this Policy in a WorldCat Record that is Transferred.

E. **Additional Provisions**

   1. The rights to Use and Transfer WorldCat Records afforded by this Policy shall automatically terminate upon any breach of the terms of this Policy. The OCLC Member(s) and/or Non-OCLC Member(s) involved in any breach of this Policy shall provide such assistance as is reasonably requested by OCLC to remedy the breach.
2. WORLD CAT RECORDS ARE PROVIDED AND/OR MADE AVAILABLE “AS IS”. NEITHER THE ORIGINAL CATALOGING LIBRARY NOR OCLC WARRANTS THE COMPLETENESS OF WORLD CAT RECORDS.

3. Neither this Policy nor the transactions contemplated herein serve to transfer any ownership right or interest in or to WorldCat or WorldCat Records, including, without limitation, the intellectual property rights therein.

4. When an organization makes bibliographic information available to OCLC which is subject to Use or Transfer conditions which are different than those set forth in this Policy, and OCLC nevertheless elects to accept the information for addition to WorldCat, OCLC will inform OCLC Members, Non-OCLC Members and appropriate Third-Parties of the conditions, and the rights to Use and Transfer such information will be subject to such conditions.

5. Regardless of the source from which WorldCat Records are received, Use and Transfer of WorldCat Records is authorized solely by OCLC pursuant to this Policy.

6. OCLC has the sole discretion to determine whether any Use and/or Transfer of WorldCat Records complies with this Policy. In the event OCLC identifies a Use and/or Transfer which does not comply with this Policy, OCLC shall notify the relevant OCLC Member(s) and/or Non-OCLC Member(s) and such parties agree to work with OCLC to resolve the noncompliance.

7. This Policy is the final, complete and exclusive statement of the agreement of the parties with respect to the subject matter hereof. Once applicable to a given Use or Transfer of WorldCat Records, no provision of this Policy may be changed, modified or supplemented except in a written document signed by the parties. OCLC may issue a modified version of this Policy or a substitute for this Policy at any time and the modified or substitute version will apply to any Use and Transfer of WorldCat Records after the date of issuance (or other effective date specified by OCLC).

8. If any provision of this Policy is invalid or unenforceable under applicable law, it shall not affect the validity or enforceability of the remainder of the terms of this Policy, and without further action by the parties to this agreement, such provision shall be reformed to the minimum extent necessary to make such provision valid and enforceable. No term or provision of this Policy shall be deemed waived and no breach consented to unless such waiver or consent shall be in writing and signed by the party to be charged with such waiver or consent.

9. This Policy shall be governed by and interpreted in accordance with the laws of the State of Ohio and the United States of America, without regard to principles of conflict of laws, except (i) as otherwise provided in a separate agreement with OCLC which incorporates this Policy; or (ii) as otherwise required by applicable law.
I. Introduction

The release of a new “OCLC Policy for Use and Transfer of WorldCat Records” initiated an outpouring of concern in the research library community. ARL directors asked that ARL investigate the policy and its ramifications for the community. In response, the ARL Executive Committee established an Ad Hoc Task Force to review the Policy and identify issues of particular interest to research libraries. [See Appendix A for the task force charge and membership list.]

The task force met several times by conference call in December 2008 and January 2009. Task force members reviewed the Policy and the associated FAQ carefully. Additional information from ARL members and the larger OCLC community was shared for discussion. Report language was circulated to ensure clarity of expression for different points of view. Additional information was gathered regarding terminology of guidelines, policies, and enforceability. [See Appendix B for a Memorandum from Jonathan Band on “Enforceability of OCLC Policy for Use and Transfer of WorldCat Records.”]

This report is organized by first providing a short summary of the new Policy, followed by the task force’s understanding of the intent of, and need for, the new Policy. The report then discusses issues in the policy, reports on our findings regarding the Policy and the process of policy implementation generally, and ends with recommendations to the ARL Board. Our recommendations include that the ARL Board share this report with the OCLC Board of Trustees to offer it for consideration in OCLC’s own newly established review process. We also encourage making this report publicly available as a contribution to the broader community discussion of the Policy.

II. Summary of OCLC Policy

OCLC released its new Policy on November 4, 2008. This Policy is intended to replace previously issued “Guidelines for the Use and Transfer of OCLC-Derived Records” (November 16, 1987). In issuing the new Policy, OCLC cited reasons such as improvements in technology and changes in the way libraries obtain and use bibliographic records, protection of the rights of OCLC members and their investment in the WorldCat database, and provision of a means for OCLC to negotiate with prospective partners.

The new Policy is divided into several sections: intent, definitions, use of records, transfer of records, and additional provisions that include termination of the right to use and transfer records if the policy is violated. Modifications to the
policy were made to respond to community concerns and the latest version of the policy is dated November 19, 2008. In addition to the Policy itself, OCLC provides a summary, a 10-page FAQ, and a graphical representation of the Policy on its Web site.

According to the policy, OCLC members and non-OCLC members may use records through a non-exclusive, world-wide, royalty-free right to reproduce and display records for reasonable non-commercial use. Commercial use is prohibited unless there is a separate, written agreement with OCLC.

Under the policy, OCLC members or non-OCLC members may transfer records of their own holdings to other OCLC members or non-OCLC members (defined as libraries, museums, and archives). They may also transfer records if a separate agreement has been made with OCLC to authorize receipt of the records. With the transfer of records, OCLC encourages attribution of the record to WorldCat® through retention of the OCLC number (if any), a link to the Policy (if any), and any other means of attribution in any WorldCat record being transferred. A Record Use Form is needed in case of commercial or possible commercial transfer, and provision of a copy of the Policy to any member or non-member to which the records are transferred. Removing, hiding, deactivating, or obscuring any links to the Policy is discouraged.

MARC field 996 will carry the policy information and as of the effective date of the policy, every record downloaded from WorldCat will automatically contain: 996 $aOCLCWCRUP $iUse and transfer of this record is governed by the OCLC® Policy for Use and Transfer of WorldCat® records $uhttp://purl.org/oclc/wcrup/1.0

A breach of the Policy will result in automatic termination of the rights to use and transfer records. Records are provided “as is” and OCLC does not warrant completeness of the records. OCLC has sole discretion to determine whether use or transfer of records complies with the Policy.

On January 13, 2009, OCLC announced that the OCLC Members Council and the OCLC Board of Trustees will jointly convene a Review Board on Principles of Shared Data Creation and Stewardship to represent the membership and inform OCLC on the principles and best practices for sharing library data. The stated purpose of the Review Board is to discuss the new OCLC Policy with the OCLC membership and larger library community to solicit feedback before the new Policy is implemented. To allow the necessary time for discussion, OCLC has indicated that the Policy now will not be implemented until third quarter 2009.

III. Policy Intent

OCLC has indicated that the intent of the Policy is to encourage and support the collective investment by libraries in the WorldCat database. According to Larry Alford, Chair of the OCLC Board of Trustees, “Our aim in updating the Policy is to further promote innovative use of WorldCat while maintaining the
comprehensiveness of data and holdings that are at the root of its value. The Policy also encourages the establishment of the provenance of the records that make up WorldCat, both as good practice and to ensure responsible use of those records on behalf of the cooperative with a fair return to libraries by those who would use the records from outside the cooperative.” By stating the intent in such broad terms, OCLC has not made clear to its members the connections between these positive objectives and the limitations on record use specified within the Policy. Members may agree with the stated intent, while disagreeing forcefully with the provisions of the policy, or even with the need for any restrictions to meet these ends.

The task force identified and discussed three separate aspects that the Policy seeks to address.

Sustaining the collective

The Policy forbids use of WorldCat records that “discourages the contribution of bibliographic and holdings data to WorldCat.” The task force agrees that this objective is important, though there will be differences of opinion as to what uses (if any) might actually have such an effect.

On the whole, ARL members, and OCLC members generally, are well served by the unfettered use and re-use of bibliographic records and data. Such use encourages development of innovative services and makes library collections more visible—outcomes that are themselves stated aims of the Policy.

ARL members also derive important benefits from OCLC's bibliographic centrality: i.e., from the fact that a preponderance of libraries have their bibliographic and holdings information in one place. It cannot be assumed that OCLC should maintain that position for all time and at any cost. However, any developments that threaten to erode substantially that centrality should be a concern not only for OCLC but also for ARL. Thus, concerns about potential erosion of library contribution of data to WorldCat is one possibly valid reason for implementing a policy that places restraints on the transfer of WorldCat records, but constrained uses should be limited to those likely to have a serious impact on those contributions.

Protecting the database against competitive commercial uses

Although the Policy does not explicitly state reasons for limiting commercial uses, the definition of “Reasonable Use” excludes use that “substantially replicates the function, purpose and/or size of WorldCat.” The Policy is thus clearly intended to protect against the development of competing services built on WorldCat records.

One reason for concern about the use of WorldCat records to develop competing services is that such development might undermine future member contributions. This consideration has been discussed above.
A second source of concern about the development of competing services is the potential impact on OCLC’s revenue sources. In a presentation at a Nylink Forum on January 16, OCLC staff made it clear that OCLC is indeed concerned about this potential effect. In explaining and justifying the Policy, OCLC noted a correlation between the restrictions database providers (including Amazon, Wikipedia, etc.) place on their content and the degree to which their revenues depend on that content (rather than ads, sales, or external funding). OCLC has often stated that it sees the WorldCat database as its strongest asset, and the policy is clearly intended to protect the database’s value as a business asset.

At the Nylink Forum it also was suggested that OCLC recognizes a need to move to a different revenue model, one based on providing access services using the WorldCat database rather than on serving as a source of bibliographic records for libraries. OCLC believes that the transition to this model must be gradual and the policy on record use is a necessary protection at present.

If OCLC had articulated these reasons and this vision at the outset, its members (including this task force) would have had a better basis on which to evaluate OCLC’s intentions and the wisdom of the policy. While review and assessment of OCLC’s business models are beyond the scope of the task force charge, we would encourage exploration of models that enable, rather than restrict, the broad re-use of WorldCat records and data.

*Strengthening OCLC’s ability to negotiate on behalf of the collective*

Another stated reason for the Policy is to give OCLC the ability to negotiate terms for use of records, e.g., with Google, that are more favorable to members’ goals than might be the case if an expressed agreement for use was not needed. The Policy makes explicit a process for requesting agreements to use OCLC records.

It is certainly the case that OCLC’s ability to provide access to the entire WorldCat database provides a unique opportunity to negotiate terms that will benefit the entire cooperative, either financially or by optimizing the uses made of WorldCat records. It is not clear, however, why OCLC would be better positioned than any member library to negotiate terms for more limited uses of smaller groups of WorldCat records. At a minimum, if OCLC is to be vested with an exclusive right to approve such agreements, the process must operate efficiently and with enough transparency that its benefits are clear to the members.

**IV. Issues Raised by the Policy**

*Broad Issues*

It does not appear that OCLC’s intent in issuing the new Policy is to substantially reduce the allowed uses of WorldCat records as compared to those permitted by the older guidelines. However, by focusing attention on the issues surrounding
use of WorldCat records, OCLC also has brought to the surface philosophical
and practical differences that were less visible, or less consciously held, while the
older guidelines were either passively accepted or tacitly ignored. The strength
and breadth of these differences within the Membership warrant formal
consideration within OCLC’s governance structures.

Problems concepts

The task force questions whether any policy that aims to limit the re-use of
individual records or portions of bibliographic data within records can be
effectively and fairly applied in the modern bibliographic environment.
Bibliographic records and data may now pass through many systems in the
course of their useful life, and be modified and enhanced many times by
different actors. Acknowledging and fairly compensating the contributions of all
parties is difficult at best. If each system owner were to assert control over all
subsequent uses at a micro level, the exchanges necessary for effective use of
bibliographic information would be seriously impeded. To the extent that any
restraints are needed, they must focus on wholesale, deliberate redistributions of
records.

Two provisions of the announced Policy are particularly problematic in this
regard.

First, the Policy states that it applies to “data extracted from a WorldCat record.”
Taken literally, this provision is equally impossible to comply with or to enforce.
To do so would require marking and tracking separately each piece of data
(however one might define that) present in the WorldCat record at time of
transfer, and imposing controls on that element’s subsequent use. This is
presumably not the Policy’s intent—though it is worth noting that OCLC staff
seem unaware of this provision and unable to explain its intended meaning.

Most probably, the intent is to limit the exchange of such substantial portions of a
WorldCat record as to be functionally equivalent to the exchange of the record
itself. If that is so, a better approach would be to adapt the language in the
definition of Reasonable Use, that is, to apply the policy to data extracts that
substantially replicate the function or purpose of WorldCat Records.

Second, the Policy seeks to allow members a greater degree of freedom over their
own contributions by setting different terms for the use and transfer of “Original
Cataloging.” However, Original Cataloging is defined in such a limited way as
to stand in contrast to OCLC’s own stated vision for the creation and
maintenance of bibliographic data, in which the original record creator may
contribute only a relatively small part of a record’s ultimate value. This problem
is likely to prove intractable. No system could effectively assign rights to each
contributor. However, OCLC might consider whether extending this provision
to cover records modified by the library, as well as its Original Cataloging,
would be likely to have any serious negative impact.
Inconsistencies between the Policy and FAQ

The Policy is intended to incorporate the content of the corresponding FAQ, and indeed such a document can play a useful role in policy interpretation as new circumstances arise. No policy can be explicit as to all current and potential future applications. However, the basic intent of the policy should be clear enough to allow all parties a broadly consistent understanding of its meaning without extensive reliance on external documentation. At present, the Policy and the explanatory FAQ seem to be distinctly at odds in several respects, e.g., in the allowed or prohibited uses of Z39.50. Such basic inconsistencies need to be resolved if the policy is to be credible and effective.

Application to future services

It is not clear what OCLC means by, “This Policy may also govern the Use and Transfer of WorldCat bibliographic data available through other services to the extent determined by OCLC.” This clause may be intended to refer to other services OCLC itself may offer that make use of data extracted from WorldCat, such as WorldCat Identities, the Copyright Evidence Registry, the WorldCat API, and similar future offerings. If so, such services should be governed by separate terms and conditions, not by the policy for use and transfer of WorldCat records. The concept of “WorldCat bibliographic data” is so vague that its application to other services will not be transparent.

Conflicting agreements

Some government agencies have raised a number of concerns, some of which are unique to the US federal government. First, similar to the reaction of others in the community, the lack of process and consultation with the federal library community remains a deep-seated concern. This poses a particular problem for federal libraries as the contract between FEDLINK and OCLC does not expire until September 30, 2009, the close of the federal fiscal year. As a consequence, federal libraries participating in this contractual arrangement cannot agree to new terms in the proposed Policy prior to a new contract negotiation.

Application to downstream uses

The Policy seeks to bind downstream users (those who receive WorldCat records indirectly, rather than directly from OCLC) to the terms of the Policy, and encourages OCLC members and non-OCLC members to convey this provision by including an explicit copy of, or link to, the Policy with any transfer of WorldCat records. This provision raises several concerns.

In an earlier version of the Policy, libraries were required, rather than encouraged, to explicitly identify WorldCat as the source for each record transferred, and to include a link to the Policy in all WorldCat records. Such requirements would be unacceptable to many libraries, and even if accepted would place an unnecessary and burdensome obligation on OCLC members and
non-OCLC members. In any future version of the Policy, compliance with these provisions should not be a requirement.

The attempt to bind downstream users to the terms of the Policy appears to be of doubtful legal function. This provision has some features in common with the Creative Commons Attribution–Noncommercial–Share Alike license. However, Creative Commons licenses define allowed uses of work that is protected by copyright, and are thus not an applicable model for WorldCat records. (See Appendix B for further comment on the legal framework of this issue.)

This provision may be particularly problematic as it applies to records created by federal agencies, or through grants requiring unrestricted access to work products. For example, many federal agencies have agreements with search engines to crawl agency Web sites. Agencies reviewing the OCLC Policy have interpreted the new Policy to require that search engines engage in a separate agreement with OCLC if the search engine crawls federal Web sites. Similarly, some federal agencies expressed related concerns about the impact of the Policy on recipients of federal grants, e.g., digitization grants for the US Newspaper Program.

V. Findings

The task force began its work with intent to focus mainly on the content of the policy document rather than on the process of its introduction, a process already widely acknowledged as flawed. In the course of our analyses and discussions, we came to the conclusion that in the context of the collective endeavor necessary to create and maintain the WorldCat database, process and content are inextricably intertwined.

The collective activity of shared cataloging is a source of deep pride and success in libraries in the U. S. and around the world. OCLC was created as, and is viewed as, a membership organization formed for the purpose of enabling this collective activity. The OCLC Web site states, “OCLC and its member libraries cooperatively produce and maintain WorldCat—the OCLC Online Union Catalog.” It characterizes membership as “a cooperative venture…. Together OCLC and its member libraries make up the world’s largest consortium.” OCLC further notes that those libraries contributing all current cataloging and holdings are “governing members.” Members view WorldCat as a collective enterprise, not as a product that they license for use.

These strongly held views and commitment to purpose were evident in the discussions that led to the 1987 “Guidelines for the Use and Transfer of OCLC-Derived Records.” These guidelines were developed as an alternative to allowing OCLC to copyright the database, and were formed after extensive and profound discussions with the membership regarding record ownership and use. Since the new Policy has been introduced as a modernization of and replacement for the guidelines, the task force sought clarification regarding the legal nature
and enforceability of such documents. The excellent explanation by Jonathan Band is included in this report as Appendix B.

Band’s explanation indicates that both are intended as contracts, and describes the various forms and gradations that can characterize a contract as “bilateral” or "unilateral." The new Policy is clearly intended as a unilateral contract, unilaterally imposed on any entity using records from the WorldCat database, including member libraries. While the 1987 guidelines have also served as a unilateral contract—and have much substance in common with the new Policy—the OCLC-member community has not perceived them as such. The guidelines are both less “unilateral,” in that they grew from a known and more open process of debate, and less “legalistic” in language. With the enormous environmental and technological changes that have occurred in the 22 years (a generation) since the guidelines were introduced, the major differences in tone and language between the guidelines and the new Policy, and a number of significant differences in substance between the two documents, the new Policy cannot be viewed as a mere update describing already accepted practices. The member community has seen the introduction of the new Policy as a fundamental change in the nature of the relationship between OCLC and its member libraries. In the eyes of the community, the guidelines expressed a mutual social contract, and the new Policy represents an authoritarian, unilaterally imposed legal restriction.

Given that “together OCLC and its member libraries make up the world’s largest consortium” (emphasis ours) and that the substance and nature of the new Policy is so significant, it comes as no surprise that the membership has responded negatively to the introduction of a unilateral contract by OCLC as a fait accompli. While this can be viewed simply as an unfortunate misstep in process, the task force has come to believe that without thoughtful, substantive community engagement in policy development, there cannot be an operationally effective policy for the use and transfer of WorldCat records. There are at least two reasons:

1. Libraries’ compliance with the new contract is dependent upon libraries’ acceptance and behavior (the social contract) more than it is dependent upon enforceability. Wide community engagement and member library “buy-in” are essential to achieving this acceptance and behavior.

2. The Policy addresses issues that are so complex and so embedded in diverse past, present, and future practices, that wide input is necessary to identify issues and formulate workable approaches to them.

The task force applauds OCLC’s recent announcement of delayed policy implementation and the creation of a Review Board on Principles of Shared Data Creation and Stewardship. We hope that the Review Board will consider its timeline and process, as well as its recommendations on policy issues, in light of the analyses and findings of this report. We believe that, using as a base the
work done to date on the proposed policy and the issues it raises, a fresh start to policy determination and articulation is desirable.

Community acceptance

Contribution and maintenance of records in the collective database is dependent upon the behavior of participating libraries. There are thousands of diverse participants and an ever-changing variety of activities and opportunities that participants may see as appropriate and beneficial to institutional self-interest. Overall these behaviors cannot be dictated and enforced, but must stem from shared values and practice. Making these values and practices explicit and explicitly agreed-to is important to ensuring that collective interests are served. The task force agrees that a policy regarding record use is desirable and necessary, even if that policy were to stipulate no constraints on record sharing.

There is not, and will not be, a universal viewpoint on all issues that are covered by a policy. There is not unanimity within the task force on the core issue: while the majority of members believe that it is desirable to have a policy that limits large-scale redistribution of records that could be harmful to the collective, it is not a unanimous view even within the small membership of the task force. But it is realistic to aim for consensus on a policy, i.e., agreement to follow a policy even though it is not identical in all ways to one’s individual, or even institutional, views. Certainly a process for member input and engagement is necessary for such consensus.

Another essential prerequisite for consensus is community understanding of the intent and content of the policy. As currently written, the Policy fails to gain this understanding. For too many in the member library community its legalistic language has proven difficult to interpret, offensive in tone, and confusing about scope and intent. The current document focuses on what libraries cannot do without sufficient attention to the actual wide scope of “reasonable use” and has thus been widely interpreted as more restrictive than it actually is. The extensive FAQs that have been written since the introduction of the policy provide guidance in language that needs to be incorporated into the policy itself.

Equally important, the tone of the current document obfuscates the constructive aspects of its intent, making it even more difficult to interpret. Earlier in this report we note the need to clarify intent beyond vague mission statements and link it conceptually to the policy. An expression of clarified intent should become part of the policy statement, for example through “whereas” statements at the beginning of the document. Framing the policy as a legal agreement may be a necessity to achieve its goals, but that necessity and the reasons for it must be made much clearer if member libraries are to be confident that OCLC is using the policy to serve their best interests.

Another key factor in community consensus is to ensure that the policy is a living document, responsive to new environments, technologies, and circumstances. For example, it will not be possible to put all interpretations of Reasonable Use into the document (as new situations will inevitably appear), but
the document should be linked to an up-to-date FAQ, one that will likely require community review and discussion from time to time. Also, the current policy creates what is intended to be an efficient process to achieve agreements for uses that fall beyond the definitions of “reasonable” or “non-commercial” use. As may be necessary for operational efficiency, this process cedes all decision making on license agreements to OCLC staff. But these agreements necessarily amount to policy making, and, as with the FAQs, it is important to create an ongoing process of community review and interpretation that will ensure continuing consensus about how and whether the collective is being preserved.

Complexity of issues and diverse input

As discussed in the previous section on Issues Raised by the Policy, today’s (and tomorrow’s) environment raises many layers of complexity in interpretation and practice. While no policy statement/contract will ever be a perfect document, it does need to be effective in accomplishing its goals and readily applied in an operational environment. The ARL task force has identified several issues that need to be clarified and re-worked to make the current policy operational; doubtless a broader community review will identify more. These issues need to be clarified and resolved in the next iteration of the proposed policy. And once the policy is implemented and tested, more issues may arise; an ongoing process of review and revision will be needed.

Similarly, the policy needs to be operational in conjunction with specific other bilateral agreements that institutions may have with OCLC and with third parties. And in the case of federal and some other governmental libraries, the policy must work in conjunction with legal and regulatory obligations. While it may be possible to say that such agreements and obligations override the policy, it is preferable to give the community time to analyze the implications and compatibility of these agreements and suggest approaches or revisions to the policy. To be accepted with consensus, the policy should be viewed as compatible with, rather than potentially at odds with, an overall context of libraries’ record use and transfer and their special obligations.

VI. Summary of Recommendations

The task force recommends that ARL share our full report with the OCLC Board and new Review Board, and also with the wider community. The following summarizes the recommendations that this report intends for OCLC, but this summary should not be interpreted without reading our full report.

1. OCLC needs to develop a new policy regarding the transfer and use of WorldCat records that results from a wide community review of issues; from member library engagement that builds understanding and consensus; and from a careful, widely discussed exploration of how the policy will achieve articulated goals, including whether or how restraints in record sharing may be needed. The currently proposed policy does not meet these criteria.
2. The policy needs to be written in a manner that can be understood and accepted by the community (e.g., as were the prior guidelines). This includes using a positive tone, a full description of Reasonable Use, and a consistent integration with FAQs that will need to be linked to, and thus incorporated in, the policy.

3. The policy statement should include explicit and specific explanation of its intent and how it carries out that intent.

4. Before a policy is implemented, member libraries need an opportunity to analyze how it impacts their operating environments, existing third-party or other agreements, and legal or regulatory environments and resolve implementation questions raised by that review. Specific issues that need more analysis and development in the current proposed policy include: its application to “data extracted from a WorldCat record,” a possible broader definition of Original Cataloging, inconsistencies between the policy and the FAQs (e.g., in allowable uses of Z39.50), the definition of “commercial” use, and the concept of binding downstream users to a separate license. The process for developing the policy with community engagement may uncover additional issues that require more analysis in order to make the policy operational.

5. The policy addressing the use and transfer of WorldCat Records should not apply to records from other OCLC services that make use of WorldCat data, such as Identities. Separate policies should be developed for these services.

6. Recognizing that the policy will be a living document applied in a changing environment, there needs to be a member-community process for ongoing periodic review of applications and interpretations of the policy, e.g., through the work of a continuing review board. Agreements (and denials of agreements) for uses of records, such as those made (or denied) for commercial use, are also integral to the interpretation of how WorldCat records should be used and transferred. Information on these agreements and decisions should be incorporated into the review process.
Ad Hoc Task Force to Review the Proposed OCLC Policy for Use and Transfer of WorldCat Records

Charge

The Ad Hoc Task Force is charged with reviewing and analyzing the recently announced proposed OCLC Policy for Use and Transfer of WorldCat Records. The Ad Hoc Task Force is to identify and evaluate the issues of interest to research libraries in the new Policy.

The Ad Hoc Task Force will provide a white paper by January 16, 2009.

Composition

The Ad Hoc Task Force will include up to six members. The chair and at least one other member of the Ad Hoc Task Force should be directors, with the remaining members being staff from libraries who have the appropriate expertise.

Staff Liaisons: Prue Adler and Julia Blixrud

Timeframe

The Ad Hoc Task Force will produce a report by January 16, 2009. Additional work will be considered only if circumstances warrant further consideration of the Policy. The task force report will be provided to the ARL Board of Directors.

Resources

The Ad Hoc Task Force will need a low level of ARL staff support to assist in the ongoing deliberations. Staff include Prue Adler and Julia Blixrud.

Membership

Carol Mandel, New York University, Co-Chair
Bob Wolven, Columbia University, Co-Chair
Judith Nadler, University of Chicago
Erin Stalberg, North Carolina State University
John Wilkin, University of Michigan
Roberta J. Winjum, Vanderbilt University
MEMORANDUM

To: Prue Adler
From: Jonathan Band
Date: December 29, 2008
Re: Enforceability of OCLC Policy for Use and Transfer of WorldCat Records

The library community has many questions about the new OCLC Policy for Use and Transfer of WorldCat Records, particularly concerning its enforceability. This memorandum briefly discusses issues relating the enforceability of the Policy.

Currently, OCLC has guidelines in place for the use of WorldCat records, which OCLC is replacing with the Policy. There is no legal significance in the change of labels from “guidelines” to “policy.” A set of rules established by a non-governmental body is binding on a third party only if the third party agrees to them – in other words, only if a valid contract has been formed between the parties.

Contracts can take many forms. On one extreme are negotiated or bilateral contracts, where after discussion the parties agree on the mutual obligations, and the parties’ assent to the contract’s terms is manifested by signatures. On the other extreme are implied contracts, where a court infers the existence of a contract based on the parties’ conduct over time. In between these extremes are unilateral
contracts, where one party establishes terms, and the other party manifests its assent through its conduct. “Browse-wrap” licenses on websites are examples of unilateral contracts. They typically state, “by using our website, you agree to the following terms and conditions.” The user’s use of the website is the manifestation of her assent to website operator’s terms. A “click-wrap” agreement, where the user clicks on an icon to manifest his assent, lies on the spectrum between a unilateral and a bilateral contract; the party actually assents to the contract by clicking on the “I agree” button, rather than just manifesting his assent by his conduct.

When courts review unilateral contracts, they typically confront two sets of questions. First, was a contract ever formed? Did the licensee even know of the licensor’s terms, so that there was a “meeting of the minds” with respect to the contract, and did the licensee act in a manner that assented to the contract’s terms? Second, assuming that a contract came into existence, are the contract’s specific terms enforceable? Was there unequal bargaining strength, did the licensee act under duress, and are the terms against public policy? This second set of issues usually comes into play only in consumer contracts, e.g., a user’s contract with a cell phone provider.

The new OCLC Policy is drafted in a manner that appears to reflect OCLC’s intent to create a unilateral contract with users of WorldCat records. For example, E.7 provides that “[t]his Policy is the final, complete and exclusive statement of the agreement of the parties with respect to the subject matter hereof.” E.1. states that “[t]he rights to Use and Transfer WorldCat Records afforded by this Policy shall automatically terminate upon any breach of this Policy.” C.1. provides that “[e]ach
OCLC Member and Non-OCLC member may Use WorldCat records in accordance with this policy.” C.3.a. states that the “[u]se of WorldCat Records authorized by this policy is limited to Reasonable Use....” D.1.a. provides that “an OCLC Member or a Non-OCLC Member may Transfer WorldCat Records of its own Holdings to other OCLC Members and Non-OCLC Members For Use in accordance with this Policy.”

The Policy is less clear on precisely what conduct triggers assent to the Policy’s terms. The Policy defines its subject matter, WorldCat records, as “bibliographic records[s] obtained directly from WorldCat through the use of an OCLC product or service.” B.3.a. This suggests that a court might conclude that if a library obtains a bibliographic record directly from WorldCat through the use of an OCLC product or service after the Policy takes effect, the library has agreed to abide by the Policy with respect to that record. In other words, a court might regard the library’s accessing the record from OCLC as a manifestation of assent to the Policy with respect to that record. On the other hand, if a library does not access any records from OCLC after the Policy takes effect, the Policy should not apply to any WorldCat records already in the library’s possession, because the library never agreed to the Policy.

More ambiguous is the status of WorldCat records already in the library’s possession if the library obtains a record from OCLC after the Policy takes effect. As discussed above, the Policy arguably applies to the new record obtained from OCLC. But does it also apply to all the records already in the library’s possession? Can OCLC via the Policy reach back to these previously obtained records? If the library agrees to such a reach-back, then it certainly can occur. But the Policy does not
seem to address this issue directly, and the library could argue that it has not agreed to a reach-back.

The Policy also attempts to “stick” to WorldCat records that have been obtained from OCLC. A WorldCat record is defined as including a bibliographic record that is derived from WorldCat by the party from whom the record is received. In other words, if a library obtains a record from WorldCat, and subsequently transfers that record to a company, the Policy states that it applies to the record in the company’s possession. However, unless the company agrees to the Policy, it cannot be bound by the policy. While a court might view the library’s obtaining of the record directly from OCLC as manifesting the library’s assent to the Policy, a court probably would not treat the company’s obtaining of the record from the library as a manifestation of the company’s assent to the Policy.

To be sure, under D.1.b., the library can transfer the record to the company only if the company enters into an agreement with OCLC. But if the library breaches the Policy by transferring the record to a company that has not entered into an agreement by OCLC, OCLC has recourse only against the library, not the company. The Policy attempts to emulate the “stickiness” of Creative Commons licenses, where downstream users must follow the license terms established by the author. The stickiness of the Creative Commons license derives from the fact that copyright adheres to a work as it passes from person to person. Here, by contrast, an individual record is unlikely to contain copyrightable expression. However, if the library obtains from OCLC a large enough set of records that reflects expressive selection, coordination, and arrangement, and the library transfers that set of
records to a company, copyright would restrict the company's use of the set of records.
Review Board of Shared Data Creation and Stewardship

The Review Board on Principles of Shared Data Creation and Stewardship will:

- Review reports, letters and comments including blog and listserv messages from the global library community regarding the proposed Policy
- Consult with librarians and member representatives as appropriate
- Recommend principles of shared data creation and changes in the proposed Policy for Use and Transfer of WorldCat Records that will preserve the community around WorldCat infrastructure and services, and strengthen libraries

Our purpose is to engage the OCLC membership and the larger library community and seek your counsel before a new policy is implemented. OCLC has announced it will hold implementation until the third quarter of 2009. Immediately, we will organize information sharing and feedback opportunities with Members Council delegates and with the full membership as well as with other stakeholders in the global library community. We will seek to understand today’s environment as it relates to the creation, use and transfer of data and articulate principles of shared data creation consonant with the values of the OCLC cooperative. We are mindful of the vibrant library community we represent and with your feedback, we will seek ways to strengthen our community. The Review Board of Shared Data Creation and Stewardship will present its findings and recommendations to the President of Members Council and to the OCLC President and CEO.

“We actively seek feedback in a variety of ways and hope that you will be generous in sharing your thoughts with us. You can do so by sending us an email at reviewboard@oclc.org which is a list set up for the use of the Review Board members, or post comments on the Review Board Online Feedback Forum.”

—Jennifer A. Younger, chair, OCLC Review Board

Members of the Review Board

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<tr>
<th>Jennifer Younger (INCOLSA)</th>
<th>Caroline Brazier (EMEA)</th>
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<tr>
<td>Edward H. Arnold Director of Hesburgh Libraries, University of Notre Dame</td>
<td>Head of Resource Discovery, British Library</td>
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<th>Christopher Cole (FEDLINK)</th>
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<td>Associate Director for Technical Services, National Agriculture Library</td>
<td>Head, Document Access Services and Collection Management, Danish University of Education, National Library of Education</td>
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Related documents

- 2009 OCLC Review Board Survey
- Guidelines for the Use and Transfer of OCLC-Derived Records
- Principles of Cooperation
- Guidelines for contributions to WorldCat

News about the Review Board

Review Board members named
DUBLIN, Ohio, February 6, 2009—The OCLC Board of Trustees and Members Council have named a Review Board of Shared Data Creation and Stewardship to represent the membership and inform OCLC on the principles and best practices for sharing library data. The group will discuss the Policy for Use and Transfer of WorldCat Records with the OCLC membership and the global library community.

Read more »

Review Board to convene
DUBLIN, Ohio, January 13, 2009—OCLC Members Council and the OCLC Board of Trustees will jointly convene a Review Board of Shared Data Creation and Stewardship to represent the membership and inform OCLC on the principles and best practices for sharing library data. The group will discuss the Policy for Use and Transfer of WorldCat Records with the OCLC membership and library community.

Read more »

How to contact the Review Board

We welcome your comments on the proposed Policy for Use and Transfer of WorldCat Records and on the principles of shared data creation. Comments to the Review Board can be submitted publicly via the Review Board Online Feedback Forum or privately via email at reviewboard@oclc.org.
OCLC Liaison to Review Board

Karen Calhoun
OCLC WorldCat and Metadata Services
NEW SUBSCRIPTION MODELS FOR SPECIAL, TAFE AND SCHOOL LIBRARY SECTORS

Background

This paper provides a further progress report on the implementation of the new subscription model for special, TAFE and school libraries. The previous report was provided in 2008.

Libraries Australia is progressively implementing a new subscription model based on the “intrinsic size” of the member library. The measure of intrinsic size will vary between sectors. We have already applied such a model to the university library sector (using total library budget as the measure of size) and to the state, territory and public library sector (using population served as the measure of size).

The background for this change is that usage-based charging (which was used prior to July 2005) creates a disincentive for libraries to increase their use of the service. We want all members of Libraries Australia to use the service to the maximum extent in accordance with their needs.

The new subscription model was announced in principle in 2005. As an interim measure, prior to moving to the new model, libraries have been charged according to the average of their payments in 2003 and 2004, with CPI adjustments in some years.

We need to complete the change to the new model, as we cannot continue to charge libraries based on the usage that they made of Libraries Australia in 2003 and 2004.

The Committee will be aware that the transition to the new model will create “winners” and “losers”. Some libraries, which are relatively small in size but previously made high use of the service, will receive a reduction in their subscription. Others, which are relatively large in size but previously made light use of the service, will face an increase.

For all sectors, the impact of the transition will be reduced by phasing it in over several years. This will be done whenever the change in charges is significant, and whether the change involves an increase or a decrease.

Special libraries

The special library sector represents a modest proportion of Libraries Australia revenue (about 16%) although it contains the largest number of subscribing libraries (more than 500).

The diversity of the special library sector is such that it is difficult to find a single parameter to reflect intrinsic size. However, total library budget and the number of FTE staff were identified as possible measures. Accordingly, in February 2008 the Libraries Australia office contacted all special library members, informing them of

1 New subscription model for special libraries – progress report LAAC/2008/1/5
the proposed new subscription model and seeking information about their library budgets and the number of FTE staff.

The responses to this survey suggested that an alternative model might be required for the situation where a library was simply unable to provide library budget information, and also for the situation in which the library was making a very low level of use of Libraries Australia. Such an alternative, based on search usage in the previous calendar year, was developed. (For example, in 2009/10 a library might be charged a base rate of $240 plus a charge of $1.30 for each search made during calendar year 2008). Under this approach, libraries would be able to choose between being charged according to intrinsic size and being charged according to the previous year’s search usage.

In December 2008 the Libraries Australia office contacted special library members again, informing them of the proposed subscription model based on the above options. A significant number of comments were received. Some libraries commented that either option would result in a significant increase in their fees. Some libraries pointed to their large collection budget, but their small size in terms of staff numbers.

After considering these comments the Libraries Australia office decided to introduce more flexibility into the subscription model for special libraries. Libraries would be free to choose between being charged according to:

- intrinsic size, measured by budget; or
- intrinsic size, measured by FTE staff; or
- the previous calendar year’s search usage.

This is the final model which was notified to special libraries in early March 2009. The tiers in the final model are:

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<th>Level</th>
<th>Budget</th>
<th>FTE</th>
<th>Proposed Subscription</th>
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<tr>
<td>Tier 1</td>
<td>Up to $100,000</td>
<td>Up to 1.9</td>
<td>$350</td>
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<tr>
<td>Tier 2</td>
<td>$100,001 - $300,000</td>
<td>2.0 - 3.9</td>
<td>$800</td>
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<tr>
<td>Tier 3</td>
<td>$300,001 - $600,000</td>
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<tr>
<td>Tier 5</td>
<td>$1,200,001 - $2,500,000</td>
<td>10.0 - 19.9</td>
<td>$7,000</td>
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<tr>
<td>Tier 6</td>
<td>above $2,500,000</td>
<td>20 +</td>
<td>by negotiation</td>
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Tier 6 contains eight large special libraries whose current payments vary widely. It was not possible to make a simple transition to the new model for these libraries. Each of these libraries was contacted individually to establish a fee which moved them in the direction required by their intrinsic size.

**TAFE and school libraries**

It will be necessary to establish subscription tiers under the new model for TAFE and school libraries. Because of the time taken to deal with the complexities of the transition for special libraries, it will not be possible to introduce the new tiers for TAFE libraries in July 2009. However, a survey of TAFE libraries will be conducted during the next few months.
A modest number of school libraries subscribe to Libraries Australia. Any new school library applying for membership will be charged according to the lowest special library tier ($350 per year).

**Volunteer agencies**

Where an agency is staffed solely by volunteers, the fee for individuals will apply. These agencies often have only one person in charge of their library system. Larger charitable agencies will be charged according to the general tiered model.

In some cases, Libraries Australia will also supply products for agencies which are not subscribers. The products will be charged for at the published rate.²

**Consortia**

There are examples in almost every state and territory of consortial services. For example, Murdoch University in Western Australia provides a shared ILMS for itself, several public libraries, a government department and a TAFE. Similarly, the Northern Territory hosts an arrangement for several colleges, government departments and school libraries.

These cases will have a fee calculated based on the membership of the consortium in conjunction with the base model for each sector.

It is proposed that school libraries in a consortium will not be charged for, especially where they are providing a public library function, because public libraries in most states are already included in consortial arrangements.

**Review of tiers**

Subscription tiers will be reviewed at least every three years. In particular, the tiers for university libraries will be reviewed in early 2010, based on revised information about university library budgets that will become available during 2009.

**Recommendation**

That the Libraries Australia Advisory Committee approve the new subscription model for special libraries.

**Collaborative Services Branch**

**Contact:**

Warwick Cathro
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02 6262 1403

Debbie Campbell
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LIBRARIES AUSTRALIA FORUM 2009

The 2009 Forum will be held on 6 November at the Hobart Function and Conference Centre, which will hold up to 200 delegates. It is more than 10 years since the Forum has been held in Tasmania.

A local committee is assisting in the preparations. The programme is still to be finalised.

The Australian Committee on Cataloguing seminar will be held separately, mid-year, in Adelaide.

A summary of the evaluations from the 2008 Libraries Australia Forum held in October is attached for information.

Recommendation

The Libraries Australia Advisory Committee to note the report.

Collaborative Services Branch
Contact: Debbie Campbell
dcampbel@nla.gov.au
02 6262 1673

16 March 2009
2008 FORUM REPORT

The Third Libraries Australia Forum was held at the Powerhouse Museum in Sydney on 23rd October 2008. There were 303 registrations for the Forum. The Forum was promoted via messages to the Libraries Australia and Libraries Australia Document Delivery mailing lists, at State User Group Meetings and via the Libraries Australia Home Page.

Attendees were asked to fill out an evaluation form prior to departing from the Forum. This report summarises these evaluation forms.

At the end of the Forum, 165 responses were collected from delegates. It was noted that a number of delegates left the Forum before the final session. Therefore, the option of completing an online evaluation form was offered to delegates for a week following the Forum. This resulted in the receipt of a further 22 evaluation forms, and increased the total number of responses to 187 (61.7% of total participants).

Approximately two thirds of the participants indicated that they had attended a Libraries Australia Forum previously. The remaining one third were first time participants, the majority of whom indicated their intention to come again.

Keynote speakers

Four keynote speakers were invited to participate, supported by Linda Luther (chair of the Libraries Australia Advisory Committee), and Dr Warwick Cathro (Assistant Director-General Innovation and Resource Sharing Division).

- Dr Colin Adrian, Canberra Institute of Technology
- Dr Thomas Hickey, Chief Research Scientist, OCLC
- Simon Porter, eScholarship Research Centre, University of Melbourne
- Eric Lease Morgan, University of Notre Dame, Indiana.


All presentations are at <www.nla.gov.au/librariesaustralia/aum/laf08/agenda.html>.
Overall Meeting
Sixty-nine per cent of respondents to the evaluation rated the Forum overall as above average or excellent. This compares with ninety-three percent rating the Libraries Australia Forum as above average or excellent in 2007. Just over thirty percent rated it as average.

Quality of Presentations
Many respondents described the sessions as informative and useful. Others noted there was a good balance of local and international speakers. Seventy-two percent of respondents rated the quality of presentations either above average or excellent. Some comments received were:

“Presentations from Tom Hickey, Simon Porter, Eric Morgan - expert speakers provided thought provoking information relevant to NLA initiatives. Excellent."

“The ‘Next generation catalogues’ - presentation ideas and speaker were exceptional."

“The presentations were clear and interesting – not too long. Mostly informative and not too technical.”
Meeting Content
Sixty-three percent of respondents rated the meeting as above average or excellent. Thirty-five percent rated the meeting content as average, while almost two percent rated the content as below average. Overall, the balance between local and overseas speakers was well received. However, some comments suggested more information about Libraries Australia and the National Library could have been included. These comments are in direct contrast to those supplied in 2007, suggesting less inclusion of National Library staff in future Forums.

Figure 3: Meeting Content – 2007 and 2008

Opportunities for discussion
Sixty percent of respondents rated the opportunities for discussion as above average or excellent compared with fifty-nine percent in 2007. Thirty-five percent rated these opportunities as average, and six percent below average or poor. The possibility of having time set aside for discussion, other than at morning/afternoon tea and lunch was raised by a number of respondents. The opportunity for networking and meeting with colleagues that the Forum provides rated highly with participants.

Figure 4: Opportunities for discussion – 2007 and 2008

Some comments included:

“Opportunity to meet & talk. Find out about what’s new.”
“Very valuable to keep in touch with current issues. Networking.”

“Great structure with library visits, presentations, networking opportunities etc.”

Parallel sessions
The parallel sessions were well received, with fifty-two percent of respondents rating the sessions as either excellent or above average. Forty percent rated these sessions as average, while nine percent rated sessions as below average and one percent considered the presentations as poor.

Some comments regarding the parallel sessions include:

“Parallel sessions – very practical.”

“More relevant sessions – if not available, shorten time.”

“Parallel sessions still need some work/thought – should they be more structured and more like training sessions?”

This year two sessions ran concurrently. A number of comments were made about the two theatres at the venue and the variation in their sizes. There were concerns regarding attendees in the small theatre not having seats. Further suggestions included the need to present parallel sessions in smaller rooms with attendees broken up into groups for discussion rather than doing everything through a central speaker.

Meeting Venue
In contrast to the ninety-two percent rating last year sixty-seven percent of respondents found the venue excellent or above average, and twenty-seven percent found it average. Six percent rated the venue as below average to poor. A large number of respondents commented about bottlenecks in the refreshment areas outside the lecture theatres and how crowding inhibited networking. The issues with overcrowding in the breakout areas and having to juggle lunch and drinks were of concern to a number of delegates.

Other comments referred to the air-conditioning being too cold, the need for a larger projection screen so participants at the back of the theatre could see, more seating and
the problems associated with a venue where delegates needed to ‘compete’ with members of the public for toilet facilities and seating.

Meals and Refreshments
Meals and refreshments were provided in the areas directly outside the theatres. While the location where meals were served was an issue for some participants, there were few negative comments regarding the quality of the food. Some comments received were:

“Muffins and brownies ... too big!

Food was excellent, thank you.

Lunch was great as was afternoon tea, morning tea would have been better if smaller muffins.”

Sixty-four percent rated the Meals and Refreshments as above average or excellent compared to eighty-four percent in 2007. Thirty-one percent rated the catering as average while five percent of participants rated the meals as below average.
Helpfulness of Libraries Australia Staff

Ninety-one percent of responses rated the helpfulness of Libraries Australia staff above average or excellent, compared to ninety-three percent last year. Nine percent found staff helpfulness average, and no participants found it less than average.

“The National Library staff do a first rate job, and that this is an essential part of the intellectual infrastructure for the nation. I am concerned that funding cuts is affecting this, and wonder how the whole network of users might be able to help.

Libraries Australia need to improve how it communicates with customers – a number of things that I was not aware of.

LA staff very willing to take on board suggestions and feedback.”

Laurel Paton
Manager, Libraries Australia Customer Services
lpaton@nla.gov.au
02 6262 1326
13 March 2009

Figure 8: Helpfulness of Libraries Australia Staff
NATIONAL LIBRARY OF AUSTRALIA

RESOURCE SHARING AND INNOVATION DIVISION

STRATEGIC PLAN
JULY 2009 TO JUNE 2011

EXPOSURE DRAFT 0.4
7 APRIL 2009
RESOURCE SHARING AND INNOVATION DIVISION
STRATEGIC PLAN
JULY 2009 TO JUNE 2011

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DOCUMENT HISTORY

This Plan was edited by Warwick Cathro, with the assistance of comments and input from staff of the Resource Sharing and Innovation Division. Further comments will be sought from the Corporate Management Group, and from the Libraries Australia Advisory Committee.

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EXECUTIVE SUMMARY

This Business Plan outlines the development and ongoing delivery of the services and activities of the Resource Sharing and Innovation Division during the period July 2009 to June 2011.

The Division serves four groups of users:

- those Australian libraries that subscribe to the service Libraries Australia;
- those Australian libraries that participate in consortial e-resource licensing arrangements that are co-ordinated by the Division;
- the researchers and public of Australia, who wish to access the information resources of Australia’s collecting institutions; and
- the libraries, cultural institutions, universities and other organisations with whom the Library collaborates, including those who contribute data for the Division’s services.

These user groups relate to the four “service bundles” that are described in the body of this Plan.

The plan takes account of significant changes in user expectations, technology, and the wider environment, including:

- increased end-user demand for easily accessible online resources for their research and information needs;
- the expectation of users that at least the ‘finding’ part of the access experience will be free (and therefore that metadata will be freely available);
- the expectation of users that they will not be passive receivers of information, but rather contributors and participants in information services;
- ongoing pressure on library budgets, which continues to press libraries to review their activities, increase the efficiency of services and do more with less;
- a growing expectation that library systems will become more modular, open and flexible systems; and
- ongoing development of Google, including services such as Google Scholar, Google Books and Google Earth.

For Libraries Australia, planned activities include

- maintaining the affiliation of member libraries, including successfully managing the ongoing transition to the new subscription model;
- extending the subscriber base for special libraries;
- encouraging more school libraries to join Libraries Australia;
- undertaking a pilot with selected member libraries to provide a local catalogue, in order to test a potential new service offering;
- investigating the feasibility of implementing a national OpenURL resolver service;
- implementing system enhancements such as the CBS “job manager”, support for Institution Specific Data and integration of the current directories;
- working systematically with member libraries to eliminate gaps in their data contributions and to encourage methods of more timely contribution of data;
- improving the reporting of licensed e-resources;
- populating the ANBD with more links to value added information, especially full-text digitised books that are created through mass digitisation projects, and book reviews; and
- maintaining strong relationships with OCLC staff in Ohio, Leiden and Melbourne.
For the **E-Resource Consortia**, planned activities include:

- testing, with libraries or with relevant funding authorities, the whole-of-sector prices offered by vendors in their ERA offers;
- rationalising NSLA Consortium products to focus on the “core set”;
- promoting the ERA products widely to appropriate libraries;
- updating the ERA product offerings annually; and
- moving to implement this “single contract” model.

For the **Discovery Services**, planned activities include:

- integrating the Discovery Services through the Single Business Discovery Project;
- actively marketing the new Discovery Service, and encouraging users to register, so that they can interact with the Service;
- working with Google to improve harvesting of our content;
- developing the community of content contributors and partners; and
- ensuring that the functionality offered by the Service is regularly improved.

The Division will also engage in a broad set of **collaborative activities** which support the Library’s Directions and also support the future development of the three service bundles discussed above. These activities include:

- participation in Reimagining Library Services projects;
- liaison with the higher education and research sector, for example to explore whether there is any remaining potential for the Library to play a role in collaborating with the Australian National Data Service; and
- participation in relevant standards activities.
INTRODUCTION

The National Library Act 1960 identifies four functions for the Library. The third and fourth of these functions are:

- to make available “such other services in relation to library matters and library material (including bibliographical services) as the Council thinks fit” ...
- to cooperate in library matters ....

These are the functions that relate most closely to the work of the Resource Sharing and Innovation Division.

The Library’s Directions for 2009-2011 includes these statements:

We will use innovative technologies ... to streamline our services, providing users with simple and easy access to our collections and access to the world’s knowledge.

We have a national focus and are committed to taking a leadership role in the Australian cultural community.

We will collaborate with a variety of other institutions to improve the delivery of information resources to the Australian public.

We will continue to maintain and develop the Libraries Australia service to ensure that it meets the developing needs of its member libraries and their users.

The Directions for 2009-2011 also identifies these activities:

- Develop a new online service as a single place for people to discover all of the information resources available through our existing discovery services, with improvements such as access to greater full text content, and facilities for users to comment and to augment our data
- Develop Electronic Resources Australia (ERA) towards its objective of making a core set of licensed information resources available to all sectors of the Australian public
- Create partnerships with libraries, other cultural institutions, universities and government agencies, through which we will obtain data for the Library’s new discovery service

These over-arching statements of intent have guided the development of this Business Plan.

The Division serves four groups of users:

- those Australian libraries that subscribe to the service Libraries Australia;
- those Australian libraries that participate in consortial e-resource licensing arrangements that are co-ordinated by the Division;
- the researchers and public of Australia, who wish to access the information resources of Australia’s collecting institutions; and
- the libraries, cultural institutions, universities and other organisations with whom the Library collaborates, including those who contribute data for the Division’s services.

These user groups are served by each of the four “service bundles” that are described in the body of this Plan. For each of these service bundles, the Plan will provide:

- a Service Overview
- a set of Strategies for 2009-2011
- proposed Performance Measures
- relevant financial information.
ENVIRONMENTAL SCAN

There are a number of trends in user expectations, in the library sector, and elsewhere in the environment which have the potential to influence this Plan.

User expectations
Notable trends in user expectations include:

- increased end-user demand for easily accessible online resources for their research and information needs, leading to a greater emphasis by libraries on the development of their collections of licensed e-resources;
- the widespread practice of users to commence their information seeking at search engines like Google, rather than in library catalogues or portals;
- the expectation of users that at least the ‘finding’ part of the access experience will be free (and therefore that metadata will be freely available); and
- the expectation of users that they will not be passive receivers of information, but rather contributors and participants in information services, and thus will be able to share ideas and information through activities such as annotation, tagging and personalisation.

Changes in libraries
Notable trends in the library sector include:

- ongoing pressure on library budgets, which continues to press libraries to review their activities, increase the efficiency of services and do more with less;
- declining print collections, especially in university and special libraries;
- a greater focus by university libraries on institutional collections, such as research repositories;
- a realisation by university libraries that their special or “hidden” collections need to be made available;
- the strong desire by libraries to transform their catalogues into more flexible discovery tools with relevance ranking, faceted search refinement, and the ability to expose a very wide range of content to users;
- patchy but continuous progress in digitising library collections, and collections of other cultural institutions;
- the survival of inter-library loan services, or at least the slow pace of its decline, despite the fact that most users are strongly discouraged by barriers to ‘getting’ resources; and
- a growing expectation that library systems will become more modular, open and flexible systems (ie they will recognise a Service Oriented Architecture); that they will comprise a mixture of vendor-supplied, open source and possibly in-house developed components; and that they will tend towards use of generic protocols, ie ones that are not specific to the library community.

Other environmental issues
Other notable environmental issues include:

- ongoing development of Google, including services such as Google Scholar, Google Books and Google Earth;
- expansion of globalised services (eg WorldCat, LibraryThing);
- increased use of the Web to “mash up” data and to repurpose data in other spaces;
• the reluctance of e-resource vendors to make metadata available for re-purposing in cross-vendor discovery services;
• Australia’s “Digital Education Revolution” program, which libraries are aiming to support despite the lack of any funding for content development; and
• lack of action by government in funding national licensing for even a core set of e-resources.

**Discussion**

It follows from the above that:

• Libraries Australia will continue to support national shared cataloguing and inter-library loan services;
• Libraries Australia will need to operate as efficiently as possible, in order to moderate its subscription fees;
• Libraries Australia should aim to aggregate information on e-resource licence holdings, and their associated conditions, so that users can readily determine if they can access particular e-resources through one of their affiliated libraries, or through an on-site visit to a library with which they are not formally affiliated;
• Libraries Australia will continue to broker deals which make useful metadata content available to the member libraries (as has happened with WorldCat and Blackwells);
• the licensing of e-resources should be as affordable and flexible as possible for the libraries that use the Division’s services;
• the library sector should attempt to persuade Government to fund at least some library sectors (eg schools) in licensing a core set of e-resources.
• the Division should enter into a dialogue with e-resource vendors concerning the release of their metadata for re-purposing in cross-vendor discovery services;
• the content of the Library’s Discovery services should be exposed comprehensively in Google: where appropriate there should be a “getting” pathway from Google search through to the local library catalogue;
• the Discovery Services should aim to include digitised collection content wherever possible;
• the Library should strive to make metadata freely available in its Discovery services wherever possible;
• the Discovery services should be developed towards flexible and powerful tools with features such as relevance ranking and faceted search refinement; and
• the Discovery Services should support activities such as annotation, tagging and personalisation.

This Plan assumes that there remains a strong imperative for the provision of the Libraries Australia service. The aggregation of collection data serves to meet the need of libraries in cataloguing and resource sharing, and also provides great opportunities for repurposing the data in powerful Discovery Services. Libraries Australia provides a mechanism for aggregating information about the distributed works of authors and other creators spread across Australian collections. It also plays a role in ‘syndicating’ the aggregated data into discovery services which contribute to the broader information infrastructure.
LIBRARIES AUSTRALIA

Service overview

Libraries Australia and its predecessor services, based on an online Australian National Bibliographic Database (ANBD), have been provided by the Library since 1981. The service is a fundamental part of Australia’s information infrastructure.

The purpose of Libraries Australia is to support the collection management workflows of its member libraries. It supports collaboration between those members, including cooperative cataloguing, interlibrary lending, and cooperative collection development.

The system which supports Libraries Australia was redeveloped during 2004 and 2005. That redevelopment lowered the costs of providing the service, and reduced the risks involved in any future system redevelopment by segmenting the system into four modules. More details of these modules, and a more detailed description of Libraries Australia, are given in Appendix 1.

The metadata which is aggregated by Libraries Australia is being repurposed within the Library’s free public Discovery Services. Indirectly, therefore, Libraries Australia enables Australians to access resources held in Australian library collections and Australian publications available online.

Since February 2006 there have been two versions of the Libraries Australia Search service: the “subscription” version and the “free” version. The subscription version has also included “personalisation” features that are suitable for end users (such as alerts) and member libraries have been encouraged to make these features available to their end users. The take-up of personalisation during the past three years has been at a relatively low level. The Division now adopts the position that end-user services will be provided by the new Discovery Service (described below) and that further development of the Libraries Australia Search service will be directed primarily to meet the needs of member libraries. However, in the longer term these two search services will share a common back-end based on a common Lucene database.

During 2005/06, a new subscription model for Libraries Australia was foreshadowed. The new model aims to allow unlimited use by the member libraries. The new model is being implemented in stages. It was applied to university libraries in July 2007, and to state, territory and public libraries in July 2008. The new model will be applied to special libraries in July 2009.

The budget resources of the National Library are currently tightly constrained, and this constraint has an impact on support for Libraries Australia. The Division will always need to make difficult choices between keeping member subscriptions low and ensuring that the staffing support for Libraries Australia is sufficient to provide a high level of services to member libraries.

Strategies for 2009-2011

Strategy 1.1: Encourage and strengthen affiliation and usage of Libraries Australia

Background

The Australian library community benefits from a high level of participation in Libraries Australia. It is in the interests of all libraries for services such as shared cataloguing and interlibrary loan to have the widest possible reach.

It will also assist the National Library’s ability to maintain the service if the revenue from Libraries Australia can be maintained at or above $4m per year.
Libraries Australia is in transition to a new subscription model. Member libraries will be charged in a manner which is equitable (based on intrinsic library size) and which does not discourage high levels of use by the libraries and their users. The new subscription model will be implemented for special libraries in 2009/10, and for the remaining library sectors in 2010/11. It is recognised that there are political and practical difficulties in this process.

Specific activities

In support of this strategy, the Division will:

- ensure that the availability and performance of the four system modules are maintained at target service levels
- improve the stability of Libraries Australia Search
- manage the ongoing transition to the new subscription model in a manner which maintains affiliation and minimises the impact of any membership cancellations
- extend the subscriber base for special libraries
- encourage more school libraries to join Libraries Australia
- support the Libraries Australia Advisory Committee
- communicate well with member libraries through:
  - an improved Libraries Australia web presence, including the online member forum (Ning);
  - professional but friendly Help Desk service, including effective use of RefTracker;
  - provision of written information through the annual report, other LAAC papers, articles in Gateways, and a new e-newsletter for CEOs of member libraries;
  - regular visits to state user groups; and
  - an attractive programme each year for the Libraries Australia Forum
- continuously improve the documentation for Libraries Australia services including user manuals and tutorials
- educate member libraries about how to make the maximum use and derive the maximum benefit from Libraries Australia
- support the training agents.

Strategy 1.2: Enhance Libraries Australia services

Background

To meet the changing needs of the member libraries, the Libraries Australia software must be regularly improved and extended. These changes will eliminate sub-optimal features and develop new service offerings. The changes should be made to all four modules of the software (see Appendix 1).

As part of these enhancements, the Division will provide a small number of member libraries with a local catalogue, as a pilot of a new service offering. If this offering were to be implemented it could provide a new revenue stream, either supplementing or replacing current revenue from Libraries Australia subscriptions. The most likely strategy would be to deliver such catalogues as “views” of the new Discovery Service (described below). Consequently, the trialling of this offering would be subject to sign-off by the Single Business Discovery Project Board, with respect to the relative priority of this initiative compared to the needs of future stages of the new discovery service. In addition, achievement of this offering will depend on improvements to the software which would allow data of purely local significance to be added to the ANBD and properly managed there. Following the pilot, there would need to be a thorough business analysis prior to any decision to implement this service offering.
The Division will also investigate the feasibility of implementing a national OpenURL resolver service that would support navigation to appropriate copies of e-resources that are licensed by Australian libraries. A possible model is the service offered by the Finnish National Electronic Library (FinELib). This investigation would be linked to the NSLA Open Borders Project, described in a later section of this Plan.

**Specific activities**

In support of this strategy, the Division will, during the period of this Plan:

- deliver at least one new release of Libraries Australia Cataloguing (server and client);
- make priority changes to the Record Import Service;
- deliver at least one new release of Libraries Australia Document Delivery;
- ensure that Libraries Australia Cataloguing and Libraries Australia Document Delivery are no greater than one release behind the current production release;
- in conjunction with the Directories Integration Project, deliver one new release of Libraries Australia Administration;
- deliver release 2.5 of Libraries Australia Search on the existing platform (TeraText);
- deliver release 2.6 of Libraries Australia Search by migrating it to the Lucene platform; and
- with selected member libraries, trial the provision of local catalogues, perhaps delivering them as “views” of the new Discovery Service (described below); and
- investigate the feasibility of implementing a national OpenURL resolver service.

In addition to the pilot of local catalogue provision and the investigation of the OpenURL resolver service, enhancements to be delivered through the above outcomes may include:

- implementation of the CBS “Job Manager”, which will enable staff of the Libraries Australia office to undertake tasks which currently must be performed by IT staff at the National Library or at OCLC Leiden;
- changes to Libraries Australia (Cataloguing and Search) to implement the recommendations of the Expert Advisory Group on Institution Specific Data;
- addition of strategic data sources to improve the service offerings to member libraries;
- priority improvements to the Record Export Service and Products;
- expansion of “deep links” to local catalogues from Libraries Australia Search;
- addition of SRU search and OAI harvest interfaces to Libraries Australia Search;
- integration of the two directories (currently known as Australian Libraries Gateway and ILRS Directory) with Libraries Australia Administration and with the WorldCat Registry; and
- inter-operability of the “Subject Suggestor Tool” with Libraries Australia Cataloguing and with other cataloguing client software commonly used by the member libraries.

**Strategy 1.3: Improve the ANBD**

Data can be contributed to the ANBD by three methods:

- The Libraries Australia Cataloguing Client;
- The Record Import Service; and
- The simple Web Cataloguing Form.
The Division has no preference between these methods, but encourages each member library to identify the combination of methods that best suits its local needs. The Division does aim, however, for:

- widest possible coverage of member library data, including data about e-resource subscriptions and original materials;
- timeliness in data contribution; and
- contribution of high priority authority data from state and appropriate university libraries.

During 2008 the Division undertook a major survey of the practices and capabilities of member libraries in contributing to the ANBD. As expected, many member libraries are not contributing all of their eligible data. Where data is being contributed, it is sometimes not contributed in a timely manner. It will benefit all member libraries if the scope and timeliness of data contribution can be improved.

Many libraries have resisted appeals to report their e-resource licence data to the ANBD. There is a need to find ways of overcoming any contribution barriers. The development of services such as local catalogue views should create compelling business drivers for libraries to contribute this data.

In addition, the ANBD requires constant maintenance so that it can be used with confidence by the member libraries.

In support of this strategy, the Division will, during the period of this Plan:

- support the implementation in 2010 of the new cataloguing standard RDA (Resource Description and Access) so that member libraries can create and exchange RDA-compatible data;
- in following up the ANBD Survey, work systematically with member libraries to discuss gaps in their data contributions, and to implement measures to eliminate or reduce these gaps (priority to be given to state and territory libraries, then university libraries);
- as part of this process, develop approaches to improve the reporting or harvesting of licensed e-resources, or at least those resources licensed through the NSLA and ERA consortia;
- encourage member libraries and system vendors to implement the SRU Record Update protocol so that local systems of member libraries can update the ANBD as a real-time background task;
- continue to refine the database matching and merging algorithms;
- continue to configure and refine the operation of the offline duplicate record removal facility;
- develop a service to support batch mode import of authority records (including an examination of options for loading LC authority files);
- improve ANBD authority files (link bibliographic and authority records, merge name and name/subject headings);
- investigate additional sources of ANBD data, such as ONIX data from publishers; and
- populate the ANBD with more links to value added information, especially full-text digitised books that are created through mass digitisation projects, and book reviews.
**Strategy 1.4: Maintain and develop business relationships**

The quality of services that are offered to member libraries depends in part on the business relationships that the Division develops. For example, these relationships can extend the range of cataloguing data and the range of document supply options that are available to the member libraries.

Of particular importance is the relationship with OCLC, which now involves:

- software support by OCLC for Libraries Australia Cataloguing (CBS) and Libraries Australia Document Delivery (VDX);
- a network licence allowing Libraries Australia member libraries to make unlimited use of WorldCat as a supplementary source of cataloguing data;
- contribution of the ANBD to WorldCat, with data synchronisation; and
- participation of Libraries Australia member libraries in OCLC governance.

In support of this strategy, the Division will:

- maintain regular contact with the OCLC staff in Ohio, Leiden and Melbourne, with information sharing leading to joint activities where needed;
- plan and implement inter-operability improvements, such as interconnection of WorldCat Resource Sharing with LADD;
- participate in the Virtual International Authority File;
- maintain the relationship with Te Puna;
- maintain and develop relationships with key document supply agencies such as Infotrieve, CISTI and the British Library; and
- develop data sharing arrangements with vendors of Electronic Resource Management services (similar to the relationship already established with Serial Solutions).

**Performance Measures**

The Key Performance Indicators for the above strategies are listed below. Where these indicators form part of the Balanced Scorecard, this is indicated in parentheses, eg “BS 6a” means “Balanced Scorecard Measure 6a”.

- Maintain search usage (combined usage of Libraries Australia Cataloguing and Libraries Australia Search) at or above 13 million searches per year, excluding searches of the free service - which will migrate to the new Discovery Service (BS 6a)
- Maintain usage of Libraries Australia Document Delivery at or above 220,000 requests per year (BS 6b)
- Achieve a Libraries Australia online availability of at least 99.5% across all four software modules (BS 19b)
- In satisfaction surveys of member libraries, if any, achieve a satisfaction level of at least 90% (BS 1b)
- Meet predefined targets for customer retention and database growth (BS 22a) including:
  - retaining membership at or above 1250 libraries
  - a net increase in ANBD size of 1.5 million holdings per year
  - a net increase in ANBD size of 0.95 million bibliographic records per year
- Remove at least 20,000 duplicate records from the ANBD annually
• Achieve milestone targets for the following initiatives:
  o New releases of Libraries Australia software modules (see Strategy 1.2)
  o Local catalogue pilot
  o Investigation of national OpenURL resolver service
  o Directories Integration Project
  o Invoking the Subject Suggestor Tool from Libraries Australia Cataloguing.

Financial Information
The total costs and revenue in 2008/09 for Libraries Australia (including costs relating to resources from outside the Division) are:

- Employee Expenses: $2.37M
- Supplier Expenses: $1.06M
- Other expenses including depreciation and corporate overheads: $1.03M
- Revenue: $4.13M

In 2008/09, the staffing support for Libraries Australia stood at 25.9 FTE (7.8 FTE in Collaborative Services Branch, 15.6 FTE in Database Services Branch, and 2.5 FTE in Division Management). These numbers will decline by 4% per year (to meet employee cost increases) unless Libraries Australia revenue increases.

The largest Supplier Expenses for Libraries Australia are the annual OCLC WorldCat licence, the software support for Libraries Australia Cataloguing (by OCLC Leiden), and data subscriptions (including Library of Congress, BNB, Blackwells Table of Contents).

A table showing a more detailed breakdown of Libraries Australia costs and revenues is given in Appendix 2.

This table shows that the total cost of Libraries Australia in 2008/09 will be $4.46M. Since the revenue will total $4.13M, this represents an underlying subsidy by the National Library of $0.33M.
E-RESOURCE CONSORTIA

Service overview

Electronic journals and databases now represent a major part of the value which libraries offer to their users. Australian libraries subscribe to a variety of such electronic resources, sometimes through sectoral or state-based consortia. However, many Australians do not have access to the e-resources they would like to use, because they are not affiliated with a library which subscribes to them. Increased availability of e-resources will contribute to the social, educational and economic well-being of the community.

The Division manages and co-ordinates two consortia for licensing of e-resources: the NSLA Consortium, and Electronic Resources Australia (ERA).

The short to medium term goals for these consortia are:

- to assist the member libraries to obtain the best possible prices for e-resource licences; and
- to assist the member libraries to achieve aligned and favourable licence conditions.

The National Library also has two long term aspirations with respect to the e-resources that are licensed by the Australian library community:

- to give every Australian resident the right to access a core set of e-resources, free to the user but paid for by the Australian library community, assisted where possible by direct Government funding; and
- to allow Australian library users to easily discover and link through to those e-resources which they are entitled to access by virtue of their multiple library memberships.

Achieving the second of these aspirations will be a major undertaking for the Discovery Services, discussed below.

NSLA Consortium

In October 2000, following an investigation by a working group, National & State Libraries Australasia (NSLA) approved the establishment of the NSLA Consortium. The members of the Consortium are all Australian state and territory libraries and the National Library of Australia. Members may also elect to act on behalf of one or more public libraries in obtaining e-resource licences. NSLA appointed the National Library of Australia as the lead negotiator. In this capacity, the Library negotiates and signs agreements on behalf of members.

The NSLA Consortium has a Business Plan for the period October 2008 to September 2010.

In accordance with this Plan, the NSLA Consortium in 2008 identified a “core set” of e-resources suitable for take-up by all NSLA member libraries. The Plan calls for negotiation efforts to focus on the core set during the 2009 licence renewal process.

Electronic Resources Australia (ERA)

Following the 2003 recommendations of the Senate Inquiry into the Role of Libraries in the Online Environment, the National Library convened a series of forums with representatives from library groups and various consortia. These forums led to the establishment of Electronic Resources Australia (ERA). The Library began to manage ERA in early 2006, calling the first ERA open tender in August 2006, with the results announced in May 2007.

Because of the prior existence of other consortia, in the short to medium term ERA is likely to be of most benefit to small libraries (school, special and some public libraries). ERA will work to improve coverage for a basic set of e-resources, with the long term goal of achieving a
situation in which every Australian library user can access the basic set through any library
with which they are affiliated.

By the end of 2008 over 1,100 libraries from all sectors were taking subscriptions through
ERA, either individually or through consortia. The ERA Product Panel included 25 products,
from eight participating vendors, which will be available to libraries on 1 July 2009.

ERA has a Business Plan for the period 2007 to 2009. A new Business Plan will be
developed, covering the period July 2009 to June 2011.

The operation of ERA involves:

• maintaining a “multi-use list” panel of e-resource vendors, including annual
advertisements on AusTender to provide an opportunity for new potential suppliers
to apply for inclusion, or for existing members to modify their e-resources or product
packages;
• reviewing the ERA product offerings annually in consultation with the ERA Executive
Committee;
• managing the procurement and establishment Head Deed agreements with these
vendors, which include licence conditions and annual subscription prices;
• promoting ERA and the product offerings to Australian libraries and supporting the
promotion of e-resources to their users;
• undertaking “product polls” to determine the level of anticipated take-up for setting
pricing based on volume discounts;
• evaluating the performance of the consortium; and
• operating under a governance framework.

Licence conditions

Ideally, libraries that licence e-resources wish to do so under conditions such as the
following:

• all on-site users, including “walk-in” readers who are not registered library users,
have access to the e-resource;
• all registered library users have off-site access to the e-resource;
• the e-resource can be used in delivering standard library reference services, including
online and virtual reference services delivered via email or online chat, such as
AskNow;
• the library can provide the e-resource to another library under the interlibrary loan
provisions of the Copyright Act (ie the licence should not over-ride these rights)
• library users can make any use that is permitted under Australian copyright law,
including fair dealing provisions;
• the library will have perpetual access to the e-resource, including access to backfiles if
the licence was discontinued; and
• it will be possible to obtain usage statistics that meet the agreed international set of
standards and protocols governing the recording and exchange of online usage data.

These conditions, except for perpetual access, have been negotiated in the ERA Head Deeds.
The above conditions are not yet fully reflected in the NSLA Consortium: in particular,
conditions relating to remote access and virtual reference need to be clearly articulated.
Strategies for 2009-2011

Strategy 2.1: Increase participation in the NSLA and ERA products

Both consortia will benefit from a high level of take-up of the licensed products. Greater participation will bring the consortia closer to achieving whole-of-sector and national prices, which will lead to cost savings for all participating libraries. “Whole-of-sector” prices have been offered for some products by some ERA vendors. Acceptance of such offers would mean that all Australian libraries in a given sector (e.g., university libraries, school libraries, NSLA libraries) would be able to offer the product in question to their users.

In support of this strategy, the Division will:

- test, with libraries or with relevant funding authorities, the whole-of-sector prices offered by vendors in the second round of ERA offers;
- aim to phase out those NSLA Consortium products where there is no prospect of achieving whole-of-sector take-up by NSLA member libraries, and focus the NSLA Consortium on the “core set”;
- promote the ERA products widely to appropriate libraries;
- facilitate training by vendors in use of the products; and
- review the ERA product offerings annually.

Strategy 2.2: Establish a framework that supports national licensing

Currently, ERA comprises a set of arrangements for particular products which may approximate the “core set” which we wish to make available to every Australian. The arrangements involve individual libraries electing to “opt-in” by referencing the relevant Head Deed in their contracts signed directly with the vendors.

There would be administrative savings, and a more whole-of-nation approach, if ERA were to negotiate with vendors as a single consortial entity, resulting in a single contract with each vendor. This is the approach adopted by New Zealand’s national consortium Electronic Purchasing in Collaboration (EPIC), where the National Library of New Zealand is the central body procuring on behalf of New Zealand libraries.

Subject to corporate approval, the Division will move to implement this “single contract” model.

Performance measures

The Key Performance Indicators for the above strategies are listed below.

- Achieve a 20% increase in the number of libraries participating in ERA
- Achieve a target rate of subscription renewals (the target will be set following the close of the 2009 product poll)
- Achieve at least one whole-of-sector product licence
- Reduce by at least 50% the number of NSLA products that are subscribed to by three or less members
- Achieve the “single contract” model for ERA, within the period of this Plan.

Financial information

The Division’s costs and revenue for the E-Resource Consortia in 2008/09 are:

- Employee Expenses: $240,000
- Supplier Expenses: $5,000
- Revenue: $18,000.
In 2008/09, the staffing support for the E-Resource Consortia stood at 1.6 FTE. The above Employee Expenses take account of a proportion of the time of the Division Head and the Database Services Branch Head.

The Revenue of $18,000 is the amount provided by NSLA member libraries as a contribution to the administrative costs of the NSLA Consortium. This represents approximately 15% of the costs of administering that Consortium.

Each year, approximately $1.8M is received from members of the NSLA Consortium for product subscriptions. The same sum is paid to the vendors of the Consortium’s products.
DISCOVERY SERVICES FOR THE PUBLIC

Overview of existing services

The Library began to provide free online discovery services for the public within two years of establishing its web site. These services provide a single point of discovery for a range of information resources that are held in multiple Australian collections.

The Library now operates eight discovery services, and responsibility for these services is spread across three Divisions of the Library. These services are listed in the table below.

<table>
<thead>
<tr>
<th>SERVICE NAME</th>
<th>YEAR INITIATED</th>
<th>CURRENT PLATFORM</th>
<th>MANAGING DIVISION*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Register of Australian Archives and Manuscripts</td>
<td>1997</td>
<td>Oracle</td>
<td>ACRS</td>
</tr>
<tr>
<td>(RAAM)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Picture Australia</td>
<td>1999</td>
<td>TeraText</td>
<td>RSI</td>
</tr>
<tr>
<td>Music Australia</td>
<td>2004</td>
<td>TeraText</td>
<td>ACRS, RSI</td>
</tr>
<tr>
<td>Australia Dancing</td>
<td>2004</td>
<td></td>
<td>ACRS</td>
</tr>
<tr>
<td>PANDORA search service</td>
<td>2005</td>
<td>Lucene</td>
<td>CM</td>
</tr>
<tr>
<td>Australian Research Online</td>
<td>2005</td>
<td>Lucene</td>
<td>RSI</td>
</tr>
<tr>
<td>(renovated in 2008)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Libraries Australia free search service</td>
<td>2006</td>
<td>TeraText</td>
<td>RSI</td>
</tr>
<tr>
<td>Australian Newspapers Beta</td>
<td>2008</td>
<td>Lucene</td>
<td>CM</td>
</tr>
</tbody>
</table>

Key to Division names:
ACRS: Australian Collections and Reader Services
RSI: Resource Sharing and Innovation
CM: Collections Management

RAAM was an online replacement for the former printed *Guide to collections of manuscripts relating to Australia*. It records about 40,000 collections held by Australian institutions. RAAM has not been updated for more than two years and its online interface and underlying database platform are well overdue for renovation. The Library is in the process of establishing new contribution pathways based on those provided by Libraries Australia.

Picture Australia provides a single point of discovery for pictures that have been digitised by Australian collecting institutions (libraries, museums, archives and other institutions). Since 2000 it has grown from six to 49 contributors (representing 106 separate collections). In early 2009 it provided access to over 1.6 million images.

Music Australia presents a specialised subset of the National Bibliographic Database containing a wide range of resources relating to Australian music, including books, pictures, biographical information, music scores, sound recordings and websites. The underlying database is a copy of this subset, presented with its own online interface.

Australia Dancing provides users with access to current and historical information about dance in Australia. It describes dance research materials held by the National Library of Australia, the National Film and Sound Archive, and other selected institutions, and enables discovery, location and access to information about dance in Australia through links to other relevant sites.

The PANDORA Search Service provides access to the web site snapshots that are stored in PANDORA, Australia’s web archive. The Search Service, renovated in 2005, allows the user to access either individual pages within a web site snapshot, or the title entry page which lists all of the snapshots of a particular site.
Australian Research Online (formerly known as the ARROW Discovery Service) provides access to more than 250,000 Australian research outputs, including theses; preprints; postprints; journal articles and book chapters. The service aggregates the metadata from participating Australian university repositories, and selected government research repositories.

The Libraries Australia free search service was launched in February 2006, realising a long-held ambition to open up the National Bibliographic Database to the general public. It allows anybody to verify the bibliographic details of library collection items, and to locate these items in Australian libraries. The service also provides a "landing place" for links from other services such as Google Books.

The Australian Newspapers Beta service was implemented in July 2008. It provides access to historic Australian newspapers digitised as part of the Australian Newspapers Digitisation Program.

The Library has embarked on a new program to aggregate biographical metadata, the People Australia program. This program provides unique party identifiers to contributors of biographical information. It will support an entry point to Australian web-based biographical services by constructing a virtual web page for each person or organisation represented in the national authority file contained in the ANBD. Users of the service will be able to navigate from these web pages to entries in the ANBD for works by and about the person concerned, and will also be able to navigate to biographical information contained in other web-based services.

**Strategies for 2009-2011**

**Strategy 3.1: Integrate the discovery services**

The cornerstone strategy for the next two years is to complete the integration of the discovery services through the “Single Business Discovery Project”. This Project commenced in August 2008.

As part of this Project, the Library will extend the scope of the discovery services to include biographical data (through the People Australia initiative) and journal articles.


The current “Statement of Purpose” for the new service is given in Appendix 3.

The Project aims to improve the discovery experience for the Australian public by providing access from one place to the resources currently discoverable via the eight discovery services. It will also provide access to a significantly greater range of resources from a wider range of sources, including more full-text content. It will enhance ease of discovery through improved relevance ranking, refinement by facets, and FRBR grouping of related items. It also aims to allow users to engage with the content, and with each other, by supporting annotation services.

The Library will build the new system itself using Lucene and other appropriate open source tools.

While the new service will provide an integrated space for the user, this space will be organised into a number of “collection views”. These views will recognise the unique requirements of different types of information resource. They will have home pages and result sets tailored to the needs of users searching the type of material concerned. While most of these views will be based on the format of the information resource (eg “Maps”), some will be topic-based (eg “People and organisations”) and some will be “specialisations” based on discipline or other context (eg “Music”, “Research”).
The Resource Sharing and Innovation Division will become the overall business owner for the new discovery service, with responsibility for ensuring that data is successfully harvested for the service. However, other Divisions and Branches of the Library will take responsibility for particular collection views as appropriate. This responsibility will include defining the policies for data collection, and for building some of the stakeholder relationships.

The Resource Sharing and Innovation Division and the other relevant Divisions and Branches of the Library will collaborate to:

- actively seek out additional content, whether structured metadata or full text, and with an emphasis on data held by Australian partner institutions; and
- identify appropriate external targets for inclusion in the new service.

This Project will assist the State and Territory libraries to improve their discovery services as part of the “Connecting and Discovering Content” Project of the NSLA Re-imagining Library Services initiative.

As the implementation of the new discovery service will be a major undertaking, there will be a staged migration to the new architecture. The first stage will populate all of the format-based collection views from the National Bibliographic Database (including the former RAAM data), migrate the Australian Newspapers service, and make the biographical data available for searching. Thus it will replace three of the eight discovery services. In addition, it will incorporate new content (such as digitised books from the Internet Archive) and the research data from the OAIster service.

A significant separate piece of work included in Stage 1 is the completion of the development of the People Data Administration module. This module allows Division staff to manage people records and the identities to which they belong.

Stage 1 is planned for delivery in the third quarter of 2009.

Between October 2009 and June 2011, given appropriate sign-off by the Project Board and Corporate Management Group, future stages of the Project will aim to achieve the following:

- Development of the Australian Newspapers collection view, to meet the priority enhancements identified during the Australian Newspapers Beta phase
- Development of journal article content, to include the full content of any journals digitised by the Library, additional journal article indexing data, and search facilities for an identified set of licensed electronic journals, such as those licensed by the members of National & State Libraries Australasia (NSLA)
- Development of archives and manuscript content, to include finding aids, file descriptions, and agency-level metadata made available by partners
- Piloting of some “local catalogue” views (see Strategy 1.2)
- Further development of the Pictures and Photos view as required to allow the current Picture Australia platform to be decommissioned
- Possible development of a Research Specialisation to replace the current Australian Research Online, and to include metadata describing data sets
- Establishment of the Music Specialisation and the Dance Specialisation as required to replace the current Music Australia and Australia Dancing services
- Expansion of the Web Archives view to include the Whole Domain Archive
- Additional features to allow replacement of the Libraries Australia Subscription Search Service
- Further development of the Maps view, including an expanded set of external targets which might include data sets from GeoScience Australia and the Bureau of Meteorology, and development of a Geospatial search interface.
The transition strategy for the existing discovery service brands is described in more detail in Appendix 4.

**Strategy 3.2: Ensure a high level of use of the discovery services**

The Division will aim to achieve a high level of use and user acceptance of the service. In support of this strategy, the Division will:

- take opportunities to raise awareness of the services with potential user groups such as education communities and creative industries;
- enable stakeholders to use and repurpose the content;
- encourage users to register, so that they can interact with the service (eg add tags, comments, and enhance some metadata) and join in discussion with other users; and
- work with Google to overcome the current difficulties which are being experienced with Google Sitemaps, under which indexing of the Library's discovery services by Google is very incomplete.

**Strategy 3.3: Develop the community of contributors and partners**

The Division will aim to attract new contributors of the content that is exposed through the new service, and new partners whose content can be accessed as external targets.

In support of this strategy, the Division will:

- engage with a wide range of collecting institutions, including archives, museums, data centres, etc.;
- identify suitable contributors through knowledge built up from other National Library activities (example: Community Heritage Grants);
- consider streamlining contributor governance arrangements;
- extend the scope of the Harvester software as required;
- take steps to make contribution easier (eg through static OAI repositories);
- identify categories of pictures content which are under-represented in Picture Australia, and seek new contributors in these categories;
- seek Flickr contributions to Picture Australia in response to major events;
- obtain metadata for contemporary audio Australian music content, to replace the previous arrangement with destra Media (2005-2008);
- work with university and other research repositories to overcome any barriers to contributing data;
- identify additional contributors for the People Australia program;
- seek to obtain data from social networking activities;
- communicate well with contributors through:
  - an improved web presence, including an online contributor forum (based on Ning);
  - professional but friendly Help Desk service, including effective use of RefTracker.

**Strategy 3.4: Enhance the discovery experience**

To meet the needs of its users, the functionality offered by the new discovery service must be regularly improved. Examples of possible improvements are:

- parse the text of all service content to identify geographic places, which can be matched against an appropriate Gazetteer to obtain geographic coordinates, and thus support a maps-based search interface;
- provide a facility for users to create their own trails or thematic collections;
- deliver alerts through RSS feeds;
• support federated access to e-resources, allowing Australian library users to easily discover and link to those e-resources which they are entitled to access by virtue of their multiple library memberships (see also the investigation of the national OpenURL resolver service in Strategy 1.2); and
• actively push content into other domains (e.g., Wikipedia, Google Earth).

Performance measures
The Key Performance Indicators for the above strategies are listed below.
• Achieve the milestones for Stages 1-3 of the Single Business Discovery Project
• Achieve online usage targets [to be set in early 2010]
• Over the period of the Plan, complete agreements with new content contributors or partners:
  o Pictures: 15 new contributors
  o Research: 10 new contributors
  o People information: 12 new contributors
  o Music: provider of contemporary audio Australian music content
• Achieve high priority enhancements by June 2011.

Financial information
The Division’s costs and revenue for the Discovery Services in 2008/09 are:
• Employee Expenses: $470,000
• Supplier Expenses: $44,000.

In 2008/09, the staffing support in Division 3 for the Discovery Services stood at 5.0 FTE. These resources support three of the existing services: Picture Australia, Music Australia and Australian Research Online.

The above Employee Expenses take account of a proportion of the time of the Division Head and the Collaborative Services Branch Head.
THE WIDER COLLABORATIVE AGENDA

The Resource Sharing and Innovation Division is engaged in a broad set of collaborative activities which support the Library’s Directions and also support the future development of the three service bundles discussed above.

Reimagining Library Services

The Division will play a strong role in leading or supporting several of the projects that form part of the Reimagining Library Services initiative of National & State Libraries Australasia. These projects will strengthen the other services offered by the Division. The principal projects are:

- Open Borders (led by the Division) which will play an important role in defining a strategy for access to e-resources within Discovery Services for the Public;
- Connecting and Discovering Content (led by the Division) which will involve NSLA member libraries in the Single Business Discovery Project;
- Collaborative Collections (led by the State Libraries of Queensland and NSW) which will support the efforts to move toward national licensing of e-resources, and including e-resource holdings data, with associated licence information, onto the National Bibliographic Database;
- Delivery (led by the State Library of WA) which will provide an impetus towards transforming document delivery and interlibrary loan, and will pick up the aims of the ‘Rethinking Resource Sharing Reference Group’ which has investigated the possibility of end user requesting and home delivery of items.

Liaison with the higher education and research sector

As part of its then Innovation Program, the Library was strongly engaged with the higher education and research sectors between 2003 and 2008. This included activities such as:

- membership of the ARROW Project, led by Monash University;
- membership of the Australian Partnership for Sustainable Repositories, led by the Australian National University;
- establishment of the ARROW Discovery Service, now called Australian Research Online;
- membership of the Advisory Group for the Australian National Data Service (ANDS);
- participation in the Data for Science Working Group of the Prime Minister’s Science, Engineering and Innovation Council;
- a strong level of input, including formal submissions, to the roadmap for the National Collaborative Research Infrastructure Strategy (NCRIS); and
- liaison with academics in the fields of humanities and social sciences concerning the inclusion of support for these disciplines within NCRIS.

During 2007/08 the Library, at the request of the interim management of ANDS, scoped and costed its potential involvement in ANDS activities such as discovery services, registry services and a National Persistent Identifier Service. In the case of the latter, the costing submission was undertaken through active discussions with the Persistent Identifier Linking Infrastructure (PILIN) Project, which was then at the stage of winding up. No formal response was received to the Library’s submissions.

There is still the potential for the Library to play a role in collaborating with ANDS. At the time of writing (March 2009) the Library was waiting for ANDS to affirm its priority activities for the period 2009 to 2011 and to identify any activities for which it would welcome participation by the Library.
Standards activities

The Division will continue to be involved in standards development and implementation activities, where these relate to the Division’s services. These activities will include:

- convening the Library’s internal Standards Activities Group;
- participation in Standards Australia Committee IT/19;
- participation in the development of the Encoded Archival Context (EAC) standard, which supports the exchange of biographical information;
- participation in the Australian Committee on Cataloguing;
- participation in any metadata standards activities for the higher education sector (such as MACAR);
- encouraging the implementation of protocols such as SRU Record Update, which will improve efficiencies and timeliness in the exchange of bibliographic data.

Liaison with Google

Increasing the use of the Discovery Services is strongly linked to reliable harvesting of the content of those services by Google. To date, harvesting of this content has been far from comprehensive. In addition, the effective functioning of the Discovery Services will depend on other aspects of inter-operability with Google, such as an API for Google Scholar. The Division will continue to discuss such issues with Google.
APPENDIX 1: DESCRIPTION OF LIBRARIES AUSTRALIA

Service Rationale
Libraries Australia supports improvements and efficiencies in library operations, by providing an effective platform for creation and exchange of bibliographic data, through support for resource sharing between libraries and by supporting libraries in making their resources available to users.

Libraries Australia’s key asset is its underlying database (the Australian National Bibliographic Database) containing records of around 46 million items (in April 2009) held by about 1,000 Australian libraries that are members of the service. Subscribers can also access major international databases including WorldCat (provided by OCLC) and Te Puna (New Zealand libraries national union catalogue).

In order to gather this data, Libraries Australia supports cooperative cataloguing, enabling the member libraries to reduce the costs of their cataloguing by using records created by other libraries in Australia and worldwide. In order to improve access to library collections, Libraries Australia supports interlending and efficiently manages the associated payments.

For the end user, Libraries Australia aims to support access to Australian library collections and to Australian publications available online. The service supports ‘finding and getting’ material from collecting institutions and other information suppliers such as bookshops and publishers of online content.

Since the early 1980s Libraries Australia and its predecessor services Kinetica and the Australian Bibliographic Network (ABN) have operated on a partial cost recovery basis. While the National Library has always provided a subsidy, the service has historically operated at or slightly above marginal cost recovery, allowing the Library to support continued growth in the service.

The redevelopment of the Kinetica service during 2003-2005 resulted in a reduction in the ongoing cost of supporting the service. Flowing from this reduction in costs, Libraries Australia revenue was reduced by $490,000, comparing the financial years 2002/03 and 2006/07, thus passing on a significant proportion of the savings to Libraries Australia member libraries.

Consultation with member libraries on their needs and the future development of the service occurs through the Libraries Australia Advisory Committee, and through regular meetings with member libraries in all states.

As far as libraries are concerned, Libraries Australia has a high market share, as it serves over 1,000 Australian libraries including all state, university and most special, government and public libraries. Its continued operation is based on providing cost efficiencies to these libraries and increased access to Australian library collections.

Value Proposition
The value that is provided to member libraries in return for the subscription fee can be summed up as follows:

- Members libraries are able to use of all of the ANBD data to meet their copy cataloguing needs, and find all of that data in one place
- This data includes Blackwells TOC, not easily available elsewhere, which enhances the member libraries’ catalogues
- Member libraries have unlimited access to WorldCat – and other external databases – with their subscription, giving them a high copy cataloguing hit rate
• Member libraries will receive assistance in making transitions such as migration to new cataloguing standards (including Resource Description & Access)

• Member libraries are able to make full use of the national interlibrary loan system (LADD) – or, are able to utilise a fully tested interconnection of their local ILL system with LADD and therefore other systems, as part of their subscription

• Member libraries are able to access support through the Libraries Australia Help Desk, whenever they need it

• Member libraries are able to offer their end users alerting services through the personalisation features of Libraries Australia Search

• The catalogue data of member libraries is synchronised to WorldCat in real time, and is therefore visible to a global community.

The full Libraries Australia Value Statement, which documents service features and their value to Australian libraries, may be found at www.nla.gov.au/librariesaustralia/documents/supporting_australian_libraries.pdf.

Underlying system

The four integrated modules which constitute Libraries Australia are:

• Libraries Australia Search, currently (April 2009) available as a subscription and free version, which enables users to find and get the resources recorded in the ANBD. This module is currently supported by the TeraText search software from SAIC.

• Libraries Australia Cataloguing, a data creation and maintenance service, which enables subscribing libraries to create and edit relevant data, and also enables managers of the ANBD to obtain, convert and maintain relevant data. This module is currently supported by the CBS software from OCLC in Leiden.

• Libraries Australia Document Delivery, an interlending and payment service, which enables subscribing libraries to manage the process of requesting, shipping and paying for loans and copies. This module is currently supported by the VDX software from OCLC in Sheffield.

• Libraries Australia Administration, which enables subscribers to manage their user account information and register for the Record Export Service (RES) and the Products service. This module is currently based on the Open LDAP directory software.
### APPENDIX 2: LIBRARIES AUSTRALIA COSTS AND REVENUES

<table>
<thead>
<tr>
<th></th>
<th>2007/08</th>
<th>2008/09</th>
<th>2009/10</th>
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<td><strong>REVENUE</strong></td>
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<td>Database royalties</td>
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<td><strong>TOTAL REVENUE</strong></td>
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<td>Employee – IT Division</td>
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<td>Supplier – OCLC Leiden</td>
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<td>Supplier – Hardware/software maintenance</td>
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<tr>
<td>Supplier – Other</td>
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<td>Depreciation</td>
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<td>Recovery of non-capitalised costs</td>
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</tr>
<tr>
<td><strong>TOTAL EXPENSES</strong></td>
<td>4769</td>
<td>4458</td>
<td>4508</td>
<td>4508</td>
</tr>
<tr>
<td><strong>SURPLUS</strong></td>
<td>-601</td>
<td>-326</td>
<td>-376</td>
<td>-376</td>
</tr>
</tbody>
</table>

The table shows actual costs and revenues for Libraries Australia for 2007/08, and estimated costs and revenues for 2008/09 to 2010/11. All figures are in thousands of dollars ($’000). The figures in the last two columns are in 2008/09 dollars: that is, they have not been adjusted to reflect estimated changes in salaries and other costs in 2009/10 and 2010/11.

**Revenue.** The item “Database royalties” refers to royalties received from RMIT Publishing for the products “Serials in Australian Libraries” which is derived from the ANBD.

**Employee expenses: Libraries Australia.** This line represents the employee costs of the Libraries Australia component of the Resource Sharing and Innovation Division.

**Employee expenses: Information Technology Support.** The IT Division devotes a total of 4 FTE to the support of Libraries Australia. The 4 FTE excludes any IT resources devoted to the Single Business Discovery Project or to the existing Discovery Services.

**Supplier expenses.** These lines include the supplier expenses of the Resource Sharing and Innovation Division associated with Libraries Australia. It also includes the hardware and software maintenance expenses incurred within the IT Division where this relates to Libraries Australia.

**Depreciation.** This line includes depreciation of the capital costs of the 2003-2005 Redevelopment Project (including all of the costs associated with staff time, hardware and licensed software that could be formally capitalised) together with depreciation of any new capital costs incurred since the Project.

**Recovery of non-capitalised costs.** About $1.54M of the costs of the Redevelopment Project could not be formally capitalised. Nevertheless, in order to ensure that all of the costs of the Redevelopment Project are reflected in the Libraries Australia cost envelope, this table shows a write-off of these costs over seven years, at $221K per year.

**Internal service charge.** The National Library is a user of Libraries Australia. The attributed revenue from the Library’s use of the service amounts to about $276K per year, and is shown here as an offset to costs.
Corporate overheads. This line shows the cost attributed to Libraries Australia from the Library’s corporate services, together with the cost of floor space and desktop computers used by Libraries Australia.

Cost of Resource Sharing and Innovation Division resources. The Division’s share of the above costs in 2008/09 is:

- Employee Expenses: $2.08M
- Supplier Expenses: $0.97M.
APPENDIX 3: NEW DISCOVERY SERVICE: STATEMENT OF PURPOSE

FOR anyone¹, but particularly for those interested in information resources by, about, or held in Australia

WHO want to find and access those resources

THE New Discovery Service (name to be decided)

WILL provide a single place to discover, augment, access or harvest items held by:

- Australian collecting institutions
- significant digitised content providers (eg. Project Gutenberg, Internet Archive Text Archive/Open Library, Project Hathi)
- other digitised content providers holding full text for resources described in the service’s metadata.

This service will be different from the existing NLA discovery services (Picture Australia, Music Australia, RAAM, Libraries Australia, Australian Newspapers, Pandora) because it will:

- provide a single place to access a full range of resources, including those in our existing services.
- provide value-added features such as facets, related items and user augmentation, and FRBR
- provide access to a significantly greater amount of digitised content.

This service will be different from Google because it will:

- be neutral (not driven by a commercial imperative)
- focus on resources collected by Australian institutions
- have value-added features such as facets, related items and user augmentation (eg. tagging, annotation, review, creation of lists).

This service will be different from WorldCat because it will:

- focus on resources collected by Australian institutions
- contain things that WorldCat does not (eg. Australian historical digitised newspapers, journals and magazines, pictures/photos, archived websites.)

This service will be different from Wikipedia because it will:

- focus on resources collected by Australian institutions
- provide access to more comprehensive resources

¹ Including those who need comprehensive information, as well as those who need only a sample of relevant information.
APPENDIX 4: NEW DISCOVERY SERVICE: MIGRATION STRATEGIES

PICTURE AUSTRALIA

The brand name “Picture Australia” will have the same meaning in the new service as it does in the existing service. In other words, the name “Picture Australia” will refer to a collection of digitised pictures which are held by Australian institutions, or which relate to Australia in some way.

Thus, the name “Picture Australia” will refer to a part of the “Pictures and Photos” collection view, namely that part which is invoked when the facets “online” and “Australian” are turned on.

In addition, the phrase “incorporating Picture Australia” will be used when presenting the entire “Pictures and Photos” view.

The existing TeraText-based Picture Australia service will continue to exist in the medium term, and this service will continue to be promoted. At a later stage of the Single Business Discovery Project, when all of the functional features found in the current Picture Australia service have been included, the separate TeraText-based service will be discontinued. The "online and Australian" faceted view in the new discovery service will continue to use the current Picture Australia name and design.

REGISTER OF AUSTRALIAN ARCHIVES AND MANUSCRIPTS

The name "Register of Australian Archives and Manuscripts" will not be used in the new discovery service. The service will effectively be replaced, in Stage 1 of the new service, by an equivalent collection view.

The name of this view has been much debated. The card sorting exercise showed that novice users do not understand the terms “manuscripts” and “archives”, though these terms would be understood by researchers. The card sorting report recommended using the name "Personal/Organisational Collections" for this view. Other suggestions have included “Diaries, letters, business records, etc.” and “Diaries, letters, archives”.

The existing RAAM web site will be abolished once Stage 1 of the new discovery service is operational. Any use of its URL will create a re-direct to the appropriate view in the new service.

ARROW DISCOVERY SERVICE

Now that the ARROW Project has ended, the name of this service will be changed to “Australian Research Online”. This name will be used on all of the service’s web pages, but we will retain a link to the former name by continuing to use some of the ARROW graphic design elements.

The URL will be changed to "research.nla.gov.au", and there will be a re-direct from “search.arrow.edu.au”.

The existing service, based on the Lucene platform, will continue to exist as a separate service for the medium term future.

In the new discovery service, the data which is included in Australian Research Online will be mixed in with several of the collection views, including the "Books, Journals, Magazines, Articles" view.

In a later stage of the Single Business Discovery Project, a "Research" specialisation will be created. At that point, the data which is included in Australian Research Online will be revealed through an “Australian” facet within the “Research” specialisation. At that point, the separate service (and the brand “Australian Research Online”) will be discontinued.
LIBRARIES AUSTRALIA FREE SEARCH SERVICE

This service will be replaced by Stage 1 of the new discovery service. The data that is currently included in the National Bibliographic Database would be spread across all of the collection views in the new service.

After a short period of parallel operation, the Libraries Australia free search service will cease to operate. The URL “librariesaustralia.nla.gov.au” will lead only to the logon page for subscribing libraries. For free service users, this URL will trigger a re-direct to the Home Page in the new service.

All links to pages in the current free search service (from Google, for instance) will be re-directed to the new service.

PANDORA SEARCH SERVICE

Currently, the Pandora search service is invoked from a “Search Pandora” search box on the Pandora Home Page http://pandora.nla.gov.au/

The Pandora web site has a delivery interface which is based around the use of Title-Entry pages. These are important in displaying to the user the different instances of each harvested web site.

In the medium term future, if somebody issues a search from the existing “Search Pandora” search box on the Pandora Home Page, the response to their search will be managed by the current Pandora search service. (It will not be possible to invoke the new discovery service in this case).

In the new discovery service, there will be a collection view "Archived Websites, 1996-". The phrase “incorporating Pandora” will be used when presenting this view.

At a future stage of the new service, this collection view will be expanded to include the Whole Domain Harvest and other collections such as the Indonesian websites.

In the new discovery service, if somebody clicks on a page link in a search result in the “Archived Websites, 1996-“ collection view, they will land on the relevant page in the archived website, as occurs in Pandora now. If they click on a website (or title) link, they will land on the Title Entry page in the Pandora web site. They will be able to return to the new discovery service by using the Back button.

Thus, there will be only a one-way link between the new discovery service and Pandora, in Stage 1 of the new service.

At a later stage of the Single Business Discovery Project, when all of the functional features found in the current Pandora service have been included (including browse options such as subject and title browsing), the separate Pandora service will be discontinued.

MUSIC AUSTRALIA

The existing Music Australia service is an example of a “discipline based specialisation”. It covers all formats of the music discipline, including printed music, manuscript music, audio files, web sites, pictures, books and biographical information. However, Music Australia is a subset of the National Bibliographic Database, so while it is broad in one sense, it is narrow in another.

There will be no equivalent of Music Australia in Stage 1 of the new discovery service. The new service will have a collection view entitled "Music, Sound, Video", but that view is strictly format-based. It omits some of the music formats listed above, and it includes much content that is non-musical in nature.

Music Australia will continue as a separate TeraText-based service in the medium term.
In a later stage of the Single Business Discovery Project, a "Music" discipline specialisation will be created within the new discovery service. At that point, the data which is currently included in Music Australia will be revealed through an “Australian” facet within that specialisation. At that point, the separate TeraText-based service will be discontinued.

When the “Australian” facet is turned on in the new service, the user would see a result set which contains the current Music Australia name and graphic design.

AUSTRALIAN NEWSPAPERS BETA

The Australian Newspapers Beta service will be integrated into Stage 1 of the new service as a collection view in its own right, to be known as the "Australian newspapers, 1803-1954" collection view. Any attempt by a user to access the old Australian Newspapers Beta service will create a re-direct to this view in the new service.

The Newspaper Digitisation team has identified a large number of proposed enhancements to the current service. Only a small number of these will be addressed in Stage 1 of the new service. Consequently, there will be a need to address the high priority enhancements (or as many of them as possible) in an early future stage of the Single Business Discovery Project.

In the future, we may decide to expand the scope of this collection view to include all metadata relating to newspapers, including the title-level metadata for newspapers that have not been digitised.

PEOPLE AUSTRALIA

The new discovery service will include a topic-based view called “People and Organisations”. This view will provide access to the biographical data which has been aggregated by the People Australia program. In addition, it will provide access to a wider range of data, as it will include non-Australian names from the Libraries Australia Name Authority File and the Virtual International Authority File.

OTHER SERVICES

Journal articles. In future stages of the Project we will consider the option of splitting the “Books, Journals, Magazines, Articles” view into “Books” and “Journals, Magazines, Articles”, given that a different technique will be used for delivering digitised books and digitised journals. Given that the latter may use a delivery interface similar to the Australian Newspapers interface, another option would be to combine the views dealing with newspapers and journal articles.

Australia Dancing. Future development of this service will take place within the context of the new discovery service, but more discussion is required on the approach to be followed. Much of the data would appear to be in scope for the “People and Organisations” view. However, it may be best to create an “Australia Dancing” discipline specialisation, along similar lines to Music Australia.

Libraries Australia Search Service (the subscription service for libraries). Ultimately this service will transition to a view of the new discovery service – a closed view for the subscribing libraries. This view would reflect the fact that the subscribing libraries have additional service options – such as the Record Export Service, and catalogue products – which are not available to the users of the other views.

In any case, it will be necessary to move this service from the TeraText to the Lucene platform. Early planning for the Single Business Discovery Project identified a number of significant inhibitors in migrating this service. For example, existing software supporting the Record Export Service, Products, Administration and Authentication would need to be separated from the TeraText platform and applied to the Lucene platform.
ACTION PLAN RESULTING FROM THE AUSTRALIAN NATIONAL BIBLIOGRAPHIC DATABASE: COVERAGE SURVEY

Introduction

As reported at the October 2008 meeting, 215 valid responses to the ANBD Survey were received up to the formal closing date of 10 October (LAAC/2008/2/6). Libraries Australia subsequently contacted all Council of Australian University Libraries (CAUL) and National & State Libraries Australasia (NSLA) members who had not responded to encourage them to respond. In January Libraries Australia also contacted all libraries that provided incomplete responses and encouraged them to at least complete those questions relating to the number of items (titles) and the percentage of their collection that is not recorded in the Australian National Bibliographic Database (ANBD).

The survey form continued to be available on the web until 16 March 2009. The last response was received on 24 February. A total of 221 valid responses were received. While the survey has now formally closed and the online questionnaire has been taken down, Libraries Australia would be pleased to provide a Word version of the questionnaire to any library that would still like to participate in the survey.

Reports summarising the responses of NSLA and CAUL member libraries have been provided to the respective organisations.

The primary objective of the survey was to obtain data that could be used by Libraries Australia to develop strategies to improve overall coverage of the ANBD and in particular to contact libraries with important special collections to attempt to facilitate addition of records for these collections to the ANBD.

In 2008/2009 Libraries Australia will give priority to addressing gaps in the coverage of state and university library holdings and to the other initiatives described in this paper.

This paper reports on the actions planned by Libraries Australia in response to the ANBD Coverage Survey.

Current Projects

State/Territory Libraries

Seven state or territory libraries responded to the survey. They indicated that while contribution of records for some specific types of material (e.g. online) is problematic, the main reason for gaps in ANBD coverage is the fact that MARC (or other electronic) records have never been created for substantial parts of the collections of some state libraries.

The survey indicated that most state/territory libraries are contributing all of the records in their library management systems to the ANBD. The reported exceptions were:
• New South Wales: Original materials (pictures, manuscripts and oral history) that are in a separate non-MARC database have not been contributed.

• Queensland: Records in ENCompass databases for manuscripts, Picture Queensland records and digital stories. Test MARC records for manuscripts are with Libraries Australia awaiting evaluation prior to loading on ANBD. Supply of records for digital stories has been postponed until the records are migrated to a new management system.

• South Australia: 40,000 records for South Australian books and pamphlets were catalogued in their library management system to a low standard as part of a card conversion project. The library hasn’t had resources to upgrade them and they haven’t been contributed to the ANBD.

• Tasmania: Doesn’t contribute records for lending resources.

• Western Australia: Archival materials have not previously been contributed but there are plans to do so in the future.

Libraries Australia will follow-up ANBD Survey responses with each of the state and territory libraries during visits in the next year. Discussion will focus on:

• Gaps in ANBD coverage and identification of solutions;
• Confirmation of whether gaps are due to lack of existing machine readable data, library policies or limitations in Libraries Australia; and
• Encourage ongoing contribution especially of records for electronic resources.

**State Library of New South Wales: E-record project**

This three-year project will create MARC records for original materials and for pre-1980 monographs in the General Reference Collection. It is expected that around 500,000 bibliographic records will be produced and added to the ANBD. Libraries Australia met with State Library staff in October 2008 and March 2009 to facilitate the contribution of these records to the ANBD.

**State Library of New South Wales: Pictures Manuscripts and Oral History**

Libraries Australia visited the State Library in March 2009 to discuss the loading of data from their Manuscripts, Oral History and Pictures catalogue. The use of OAI harvesting is being investigated. Later in the year Libraries Australia plans to integrate harvester functionality with the ANBD data loading software.

**Reimagining Library Services. Project 8: Flexible Cataloguing**

Libraries Australia is monitoring the progress of this project. The project is likely to initially focus on picture and newspaper collections. It is likely to result in improved ANBD coverage of state library collections.

**University Libraries**

Thirty-one university libraries responded to the survey. Most university libraries reported that high percentages of their collections have been added to the ANBD. Most also reported that they plan to make ongoing contributions and that they are happy with their current contribution mechanisms. Five libraries said that they would prefer to contribute using SRU Record Update, OAI harvest or through material vendors.
Most gaps in ANBD coverage were due to lack of MARC records for the resources, assumptions that the data was not of a sufficient standard for contribution, or library policies relating to the availability of the resource to non-members or for interlibrary loan. Many libraries reported that they do not add records for e-resources to the ANBD although several said that they add records for most e-resources.

Libraries Australia will follow-up ANBD survey responses with each of the university libraries during visits in the next year. Discussion will focus on:

- Gaps in ANBD coverage and identification of solutions;
- Confirmation of whether gaps are due to lack of existing machine readable data, library policies or limitations in Libraries Australia; and
- Encourage ongoing contribution especially of records for electronic resources.

Libraries Australia visited the five Sydney-based university libraries in March. Melbourne universities will be visited in April and May.

Libraries Australia provided input to a presentation by the LAAC CAUL representatives for the CAUL meeting in early April. The presentation discussed the various services that Libraries Australia provides to support contribution to the ANBD.

Map Collections

The survey identified ten libraries holding more than 500 maps that have not been recorded in the ANBD. These include national, state, university, public and special libraries. In some cases records do not exist however several libraries responded that records were in systems other than their library management system. Martin Woods, National Library of Australia Map Curator, also identified another four libraries that may have a significant number of maps that aren’t recorded in the ANBD.

Libraries Australia contacted these libraries in February and March to attempt to find ways to improve the ANBD coverage of these collections. As a number of the organisations also reported gaps in the coverage of other special materials these resources were also included in the discussion.

Three of the state libraries contacted and one public library confirmed that they have strategies in place to contribute map records to the ANBD. One university responded that the map collection identified was in fact held by a university department and not the library. The Western Australia Department of Environment and Conservation Library has sent a test file of map records to Libraries Australia. Discussions are continuing with the other libraries.

Contribute to the ANBD in some other way

Thirty-five libraries indicated that they would like to contribute to the ANBD using a mechanism that is different from the one that they are currently using. Most of these libraries said that they intend to use another existing Libraries Australia service instead of, or in addition to, the service they are currently using. Libraries Australia will contact these libraries to provide information about these services.

Six libraries said that they would like to contribute using mechanisms that aren’t currently available. These are:

- SRU Record Update (2)
- Open Archives Initiative – Protocol for Metadata Harvesting (2)
• Smartport (1)
• Creation of full bibliographic records via the WebCat interface (1).

Libraries Australia is implementing support for ANBD contribution via SRU Record Update and OAI harvesting. We will encourage libraries to ask their system vendors to develop support for SRU Record Update.

NB. Smartport is the brand name for the Sirsi Unicorn Z39.50 search and record import functionality.

**Planned Projects**

**Electronic resources**

Many libraries, especially university libraries, do not contribute records for electronic resources to the ANBD. 73 responses identified one or more E-resource collections that have not been contributed to the ANBD.

The following is a representative sample of the reasons for non-contribution of electronic resources records:

- Licensing restrictions that prevent interlending and document delivery;
- Electronic resources are not added due to licensing and firewall issues;
- Will not be adding digital resources as they are very fluid with titles coming and going all the time with packages, datasets, etc;
- There is no automated process for adding records for ejournals. Many of the records for websites are brief and therefore not standard;
- The majority of records not contributed are electronic monographs - our records link only to external URLs and issues of link integrity have always meant a reluctance to add these to the ANBD;
- We don't add our electronic resources to the library catalogue. They are organised and accessed via SFX, MetaLib, Digitool instead;
- Principally we do not contribute our holdings for digital resources on account of the fact that the holdings are continually updated, or the URLs in the records only allow [our library's] users to avail themselves of the resources. Many publishers place such restriction on their ebooks that even photocopying more than a page cannot be done in one sitting.

Interestingly, several libraries reported contributing records for most of their electronic resources to the ANBD.

Libraries Australia would like to seek the advice of the Advisory Committee to ascertain where the value lies in including this volatile data and what strategies could be used for sourcing it and encouraging its contribution.

Libraries Australia will increase marketing of its current agreement that allows Australian libraries that purchase MARC records from Serials Solutions to opt to have a copy of the records added to the ANBD. It will also endeavour to implement similar arrangements with other vendors of Electronic Resource Management services.

Libraries Australia will work with Electronic Resources Australia (ERA) and NSLA to add holdings to the ANBD for resources purchased through these consortia.
Formed Collections

Seventy-seven responses identified “formed collections” that have not been contributed to the ANBD. While the survey did not specifically ask why these collections have not been added to the ANBD, responses to other questions suggest the following reasons:

- The collections have not been catalogued;
- The collections are catalogued only in card catalogues; or
- Libraries believe that the cataloguing is not of a sufficient standard to be contributed.

The National Library, each of the state libraries and nine university libraries identified “formed collections” that have not been contributed to the ANBD. Libraries Australia will discuss these collections when it meets with state and university libraries during the next year.

Special, TAFE and public libraries also reported “formed collections”. Most “formed collections” reported by public libraries were local history collections.

Some libraries reported that plans are already in place to create and add records for these collections to the ANBD. These include:

- Planned retrospective cataloguing projects;
- A volunteer is searching Libraries Australia (ANBD and OCLC) for bibliographic records for the 8,000 sales catalogues and printing them out for a future retrospective cataloguing project;
- If the Library was to make use of the planned Libraries Australia local service then we would have to reconsider adding this material to the ANBD;
- In time, as technical reports and microfiche are catalogued, records will be sent to ANBD; and
- This collection of rare music scores/mss is being catalogued slowly as we are able, or as project work.

Microform Collections

Thirty-three libraries reported that they have not contributed records for important microform collections. Most of these are microfilmed local newspapers, local history resources or, in one case, confidential corporate technical reports. Five libraries reported large microform “collections” that have not been added to the ANBD. These are:

- Early English books 1641 – 1700;
- English books 1475 – 1640;
- ERIC (Educational Resources Information Center) reports;
- History of education microfiche - (work in progress);
- International Atomic Energy Agency Technical reports;
- Irish political and radical newspapers;
- Nineteenth Century. General collection
- U.S. National Technical Information Service. Selected research in microfiche (SRIM) programme: technical reports; and
• Women advising women Pt. 2.

Bibliographic data sets for some of these collections are already available in the ANBD. Libraries Australia will contact the relevant libraries to confirm the scope of their holdings with the aim of adding these holdings to the ANBD. Libraries Australia will also consult the libraries about the other collections and investigate the availability of data sets.

**Non-members of Libraries Australia**

Ten libraries responded to the survey by saying that they did not contribute to the ANBD because they are not members of Libraries Australia. This group was comprised of four theological libraries and six special libraries. One of the special libraries, Royal Geographical Society of South Australia, has now joined Libraries Australia. Libraries Australia marketing will contact the other libraries.

**Existing machine-readable metadata that has not been contributed**

Libraries Australia will review all survey responses to identify libraries holding significant numbers of machine-readable records that have not been contributed to the ANBD and that have not been followed-up through other projects in this plan. We will contact these libraries to identify options for obtaining these records.

**Recommendation**

The Libraries Australia Advisory Committee to note the plan, and provide advice on future strategies to increase contribution.

Libraries Australia Database Services  
Contact: Rob Walls  
(02) 6262 1657  
rwalls@nla.gov.au

31 March 2009
MEASURING SYNDICATION

Background

One of the benefits which Libraries Australia provides to member libraries is described in the 2007 Value Statement\(^1\) as data syndication. It is defined as ‘a method for bringing the general public to Libraries Australia, even if they initially know nothing about the service’. When a patron starts a search in a search engine such as Google, the results can provide a direct link to the patron’s local library or to other holdings in Australia.

Syndication is arranged by the National Library in a brokering role on behalf of all contributing Australian libraries. It takes the form of both record seeding into search engines\(^2\), and exchange with larger data aggregators such as Google, Yahoo, OAIster, and WorldCat which provide open access to information.

In particular the National Library has ensured through its 2007 Agreement with OCLC that the visibility of Australian library collections increases for the benefit of Australians and other interested parties alike. Additional services, such as the exchange of data between OCLC and Google to make more full-text content available in Google Book Search, ensure that Australian libraries are linked to where possible.\(^3\)

The need to measure

While these arrangements seem like good ideas, it is important to measure their ongoing success.

In May 2007, OCLC presented its findings on the impact made by opening up WorldCat for open access\(^4\). Some of the findings included the effect on referrals which the incorporation of a modest little search box such as this one can generate.

The other measure which is mentioned by OCLC is its international web site ranking. This ranking is a useful benchmark for determining trends and for comparative purposes, which this paper now discusses.

Many agencies use a free service called Alexa to determine their international site ranking. In 2007, WorldCat.org (previously Open WorldCat) was ranked 19,652 out of billions of web sites.

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\(^1\) Libraries Australia Value Statement

\(^2\) A description of seeding techniques and their effects is provided at “Exposing the deep web to increase access to library collections” <www.nla.gov.au/nla/staffpaper/2005/boston2.html>

\(^3\) OCLC and Google to exchange data, link digitized books to WorldCat
<www.oclc.org/news/releases/200811.htm>

\(^4\) Accessing library materials via Google and other Web sites, Janifer Gatenby,
Measuring large Australian library sites

Some Australian university libraries have advised that they do their own seeding to Google Scholar and the like, which will influence their ranking. In March 2009, some comparative rankings, based on host URLs, appeared as follows:

<table>
<thead>
<tr>
<th>Sample</th>
<th>International ranking</th>
<th>Ranking in home country</th>
<th>Ranking of library sub-domain</th>
</tr>
</thead>
<tbody>
<tr>
<td>WorldCat in May 2007</td>
<td>19,652</td>
<td></td>
<td></td>
</tr>
<tr>
<td>WorldCat in March 2009</td>
<td>6,509</td>
<td>3,779</td>
<td></td>
</tr>
<tr>
<td>Libraries Australia March 2009</td>
<td>12,544</td>
<td>360</td>
<td>n/a</td>
</tr>
<tr>
<td>nb. The host URL is nla.gov.au</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Monash University</td>
<td>6,187</td>
<td>131</td>
<td>10.6%</td>
</tr>
<tr>
<td>University of Sydney</td>
<td>8,441</td>
<td>140</td>
<td>5.4%</td>
</tr>
<tr>
<td>University of New South Wales</td>
<td>8,841</td>
<td>164</td>
<td>1.0%</td>
</tr>
<tr>
<td>Australian National University</td>
<td>11,093</td>
<td>324</td>
<td></td>
</tr>
<tr>
<td>University of Queensland</td>
<td>11,688</td>
<td>233</td>
<td>6.4%</td>
</tr>
<tr>
<td>University of Technology, Sydney</td>
<td>18,012</td>
<td>234</td>
<td>17.7%</td>
</tr>
<tr>
<td>University of Western Aust</td>
<td>20,736</td>
<td>489</td>
<td>not shown</td>
</tr>
<tr>
<td>University of Adelaide</td>
<td>20,902</td>
<td>545</td>
<td>8.2%</td>
</tr>
<tr>
<td>Macquarie University</td>
<td>22,515</td>
<td>286</td>
<td>1.7%</td>
</tr>
<tr>
<td>Swinburne University of Tech</td>
<td>23,102</td>
<td>284</td>
<td>2.1%</td>
</tr>
<tr>
<td>University of Western Sydney</td>
<td>30,694</td>
<td>237</td>
<td>1.5%</td>
</tr>
<tr>
<td>Deakin University</td>
<td>31,679</td>
<td>476</td>
<td>not shown</td>
</tr>
<tr>
<td>University of Southern Qld</td>
<td>41,692</td>
<td>787</td>
<td>not shown</td>
</tr>
<tr>
<td>University of Tasmania</td>
<td>43,371</td>
<td>566</td>
<td>1.7%</td>
</tr>
</tbody>
</table>

Note these rankings would need to be recorded on a regular basis to observe trend data. Alexa provides another tool which shows longitudinal trends:
It is possible to also do a three-way comparison, for example:

![Website Traffic Comparisons](image)

**Conclusion**

Fluctuations at large libraries, such as university libraries, may be due to the academic calendar. The National Library will continue to work with Google and other destinations to improve traffic to Libraries Australia, but the value of seeding Australian library records to WorldCat is consistently demonstrated.

**Recommendation**

The Libraries Australia Advisory Committee to note the report.

Collaborative Services Branch  
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02 6262 1673

18 March 2009
The National Library of Australia
Directions 2009-2011

Our objective is to ensure Australians have access to a national collection of library material to enhance learning, knowledge creation, enjoyment and understanding of Australian life and society.

The National Library of Australia

- collects documentary resources of all kinds, including digital material;
- puts accessibility at the forefront of all of its services;
- works in partnership with Australian libraries;
- supports the creative work of the nation’s writers and researchers;
- plays an active role in the community of world libraries.

The National Library of Australia’s collections take many forms. These include books and serials, manuscripts, pictures, music, oral histories and digital items, reflecting the nation’s diversity. Our first priority is to ensure that a representative record of Australian life is collected and preserved for the future.

The National Library supports creative and intellectual endeavour and the wide dissemination of ideas and information. We have a national focus and are committed to taking a leadership role in the Australian cultural community.

We are committed to collaboration in achieving our objectives and to developing partnerships to achieve particular goals. However, the resources to meet these challenges and opportunities in economically uncertain times are necessarily constrained.

Technological innovations are enabling easy access to increasing amounts of information. Such developments present opportunities for the sophisticated delivery and management of collection materials, opportunities that the National Library of Australia embraces.

We will continue to develop innovative ways to build and manage collections and to provide access to information for all Australians. We
will use innovative technologies, digitisation and the Internet to streamline our services, providing users with simple and easy access to our collections and access to the world’s knowledge.

We will engage with users in more varied ways to improve our services and enrich our collections. We will monitor emerging global trends in the provision of information and will develop services that encourage the innovative use of our resources.

We will maintain our prominence in Australia’s cultural, intellectual and social life. We will invite individuals and organisations to support us through philanthropy, sponsorship, volunteering and our Friends organisation.

While providing national and international services, we will continue to promote the importance of the Library building as an inviting place in which to work and visit. To achieve our objectives we will strive to provide our staff with the skills, tools and environment needed to operate at the highest levels.

1. COLLECTING

1.1 We will collect and make accessible the record of Australian life.

1.2 In particular, we will collect:
   • Australian publications comprehensively;
   • selected digital materials including web sites; and
   • other documentary resources such as archives and manuscripts, pictures, maps, music and oral history recordings.

   We will:

1.3 Explore new models for creating and sharing information and for collecting materials, including supporting the creation of knowledge by our users.

1.4 Acquire selected overseas materials, mainly in electronic form, to provide an international context for research based on our Australian collections.
1.5 Undertake the following major activities:

- increase the scale of digitisation of published Australian materials by continuing to digitise newspapers and commencing digitisation of selected Australian journals and magazines;
- implement *Resource Description and Access (RDA)*, the international standard for the bibliographic description of library materials;
- strengthen our technical infrastructure so that we can significantly expand the collection and preservation of “born digital” content;
- improve the processes associated with selecting and acquiring original materials through better workflows and automation.

2. DELIVERING

2.1 We will meet the needs of our users for rapid and easy access to our collections and other information resources.

2.2 We will underpin this access through

- ongoing activities such as cataloguing, collection digitisation, development of collection guides; and
- improvements in our online catalogues and databases.

2.3 We will support the research needs of Australians wherever they are, and those people seeking information about Australia, through our reference enquiry and document delivery services.

2.4 We will selectively interpret and highlight the Library’s collections through publications, exhibitions and events.

2.5 We will undertake the following major activities:

- build a Treasures Gallery, a permanent space in which to display iconic, rare and interesting items from our collections;
- introduce a new online service incorporating all the information available through our existing discovery services. This will include access to greater full text content along with facilities for users to comment on and add to our data;
• develop a comprehensive plan for our reading room facilities to ensure that they provide integrated access to our various collections and 21st-century information services.

3: COLLABORATING

3.1 We will collaborate with a variety of other institutions to improve the delivery of information resources to the Australian public.

3.2 We will continue to play an active role in the community of international libraries and the rapidly evolving developments in international library practices.

3.3 We will continue to maintain and develop the Libraries Australia service to ensure that it meets the developing needs of its member libraries and their users.

3.4 We will continue to advocate for the importance of library services to everyone, whether specialist researchers or members of the broad community.

3.5 We will undertake the following major activities:

• advance the National & State Libraries Australasia (NSLA) initiative, “Reimagining Library Services”, to transform services offered by the national and state libraries to meet the needs of the digital age;

• develop Electronic Resources Australia (ERA) in order to deliver a core set of information resources to the Australian public;

• create partnerships with libraries, cultural institutions, universities and government agencies to improve the data available through our new online discovery service;

• join with other Australian and international parties (including the International Internet Preservation Consortium) to develop software supporting the management and delivery of library collections.