Introduction

The Collections Services FY11 annual report is divided into multiple sections.

- A summary of highlights
- Collections Services Council and Collection Budget Group activities
- Collection Development, Licensing, Trials & Tools
- Collections Services departmental reports
- Scholarly Communication
- Appendix: Activities by topic

If you do not have time to read the entire report, we would urge you to at least read through the Summary of Highlights. FY11 was a transformative year in which the Collections Services model was explored and adopted by the Library. It also was an extremely active year for all departmental units and advisory groups that are now part of Collections Services. All of us in Collections Services look forward to serving the Library and our patrons in FY12.

Summary of Highlights

- **Collection Services Defined.**
  - Collection Development joined with Acquisitions, Cataloging, Licensing, Preservation, and Scholarly Communication to become Collections Services. This year’s activity in each area is summarized in Topics/Activities, below.
  - Bernie Hurley became Director for Collections with the departure of Chuck Eckman in September 2010
  - Lisa Rowlison de Ortiz became head of Cataloging

- Collections Services Council & Collection Budget Group activities
  - Collections Council had an impressive track record of accomplishments (see below)
  - Collections Budget Group
    - The Collections Budget Group (CBG) was instrumental in analysis of the collections budget and in creating a new sustainable model for the budget.
    - Claude Potts joined Collections Budget Group and replaced Elizabeth Byrne as the Fund Group Coordinator for Arts & Humanities.
    - New faculty funding was reestablished in FY11.

- Collection Development, Licensing, Trials, and Tools
  - A working group on how to incorporate library materials acquired digitally (e.g. via email attachment, download, etc.) recommended and was encouraged to pursue pilot project in this arena.
  - An impressive array of new e-Resources were licensed (see below for details)
  - Fund coordinators, selectors, and Margaret Phillips were very active in responding to CDL’s many requests regarding Tier 1 license renegotiations, new licenses and title swaps.
  - New collections-related policies were adopted: giving preference to electronic resources; guidelines for purchasing print journals; and making referrals. (see Collections Services Council, below, for more details.)
At the request of Collections Services Council, several new tools were conceived and are being put in place, including serials expenditure management reports, binding allocation usage reports, and a new tool being programmed by Systems to automate checking for duplicates at the regional storage facilities. (All should roll out for 2011-2012.)

Systems is developing programs to pull ALR/UCOP-type holdings counts from Millennium, to ease workload in all units having collections.

- Collections Services departmental reports
  - Acquisitions
    - Initiated a serials review project to claim late invoices for active orders and to establish better ongoing relationship with serial vendors
    - A new procedure was established to include URLs for e-resources in the order records, which expedites access to new e-resources.
    - 5,190 new orders were created by all ordering units and through file loads
    - 135,759,024 items were checked in last year
    - More than 67,000 individual payments were processed
  - Cataloging
    - In addition to remaining up-to-date with the materials in the current workflow, most backlogs were reduced. The most significant reductions were seen in Slavic, Arabic, South Asian, Turkish, and Indonesian.
    - The Catalog Record Help Desk (aka BadCat) was implemented. BadCat is a very successful project that relies upon not only the skills of its primary coordinator, but upon the cataloging expertise of the most advanced catalogers in the Department.
    - Ground work was also laid for
      - Improved cataloging of replacements
      - a return in the Department’s tracing service,
      - the implementation of name, title, and subject authority control,
      - a further reduction in backlogs and the persistence to remain up-to-date in current workflows
  - Preservation
    - LOCKSS – we continue to collect all content for which we are eligible via LOCKSS.
    - Web Archiving Services – we are running several pilot programs in The Library using CDL’s WAS.
    - WEST (The Western Regional Storage Trust) Berkeley agreed to contribute several runs of journals to WEST for gold level archiving at NRLF. For more on WEST, see [http://www.cdlib.org/services/collections/sharedprint/westinitiative.html](http://www.cdlib.org/services/collections/sharedprint/westinitiative.html). Berkeley is also considering (pending answers to some questions) an additional request for runs intended for bronze level archiving.
    - An insect extermination freezer has been designed, built, and installed at the Regatta building for use by all campus libraries and archives.
    - Preservation laid the groundwork for cutting binding in 2011-12.

- Scholarly Communication
Collections Services Council authored a document which resulted in campus policy changing: the first pick of three for e-dissertations is now open access, which we believe will result in this research becoming readily available.

Collections Services Council and Activities

Collections Council was renamed to Collection Services Council (CSC) in June 2011, as part of the reorganization of units into “Collections Services.” CSC is charged both to give advice to the Director for Collections Services and to raise issues of importance to selectors for discussion and review. CSC representatives from subject councils are routinely asked to facilitate conversations on topics with their groups, bringing content from these discussions back to the Director which he uses to shape policies, procedures and agreements with collecting partners.

Collections Services Council was very active in 2010-11, with an impressive list of accomplishments:

Vetting and approval of policies
- Collections Council reviewed and adopted procedures for how to make referrals of items to other selectors. [http://www.lib.berkeley.edu/Staff/CS/ cocs/referral_of_items_to_other_selectors.doc](http://www.lib.berkeley.edu/Staff/CS/ cocs/referral_of_items_to_other_selectors.doc)
- Collections Council formally approved the proposed policy “For journals that are available in both online and print, the Library purchases the online version, with exceptions made when print is necessary.” [http://www.lib.berkeley.edu/Staff/CS/pdfs/digital_preferred.pdf](http://www.lib.berkeley.edu/Staff/CS/pdfs/digital_preferred.pdf)
- Collections Council formally approved guidelines for deciding when buying print journals is appropriate. [http://www.lib.berkeley.edu/Staff/CS/pdfs/purchasing_print_journals.pdf](http://www.lib.berkeley.edu/Staff/CS/pdfs/purchasing_print_journals.pdf)

Advice on Scholarly Communication
- E-Dissertations (and theses): created a sub-committee to review embargo practices in other universities moving to electronic-only formats for same. CC expressed concern and created talking points about why Berkeley should not have a default set to “embargo” as was suggested by the Graduate Council. This document was submitted to Tom Leonard, who took it to the Academic Senate Committee on Libraries, who in turn talked with Graduate Council, resulting in a change in the form eliminating the undesirable default.

Review and feedback on UC-wide initiatives
- Shared Print: Berkeley selectors reviewed and offered comments on the final report of the Shared Monograph Planning Group.

Review and feedback on Berkeley initiatives
- Material Acquired Digitally Working Group. This working group was formed in response to a recommendation in the Digital Collection Development Plan. Their report and proposed pilot projects were reviewed by Collections Council and approved. (see [http://www.lib.berkeley.edu/Staff/CS/pdfs/MAD_Final_Report.pdf](http://www.lib.berkeley.edu/Staff/CS/pdfs/MAD_Final_Report.pdf))
Advised on new budget model
• Facilitated discussion on proposed binding allocations with a goal to transfer binding funds to the materials budget.

Advised on, vetted and approved new management tools
• New serials and continuations expenditure report now under development.
• A set of e-mail templates to facilitate communications with selectors regarding the status of electronic resource titles and related print orders
• A binding report to track new allocations, to go into effect beginning July 1, 2011.
• Non-duplication among RLFs: Collections Council expressed concern about the difficulty of bib checking items being considered for storage at an RLF, given the new non-duplication policy. In response, Ginny Moon gave two workshops, and methods for checking were documented. Selectors discovered that using MELVYL was preferable, and instructions were provided. However, as of June 2011, MELVYL went away. Bernie has directed Systems to develop a program that should help ease this process.

Collection Development, Licensing and Trials
An impressive array of new e-Resources were licensed and other investigated:

Licensing (also see E-books above and Trials, below)
New Tier 1 licenses (selective list):
• 19th Century British Newspapers
• Bibliography of British and Irish History
• Oxford History of Western Music
• Shun Bao
• Thesaurus Linguae Latina

New Tier 3 licenses (selective list)
• American West
• China Statistical Yearbooks Database
• Electronic Enlightenment (via CRL)
• Frost and Sullivan
• Hebrew Printing Online
• Oxford Bibliographies Online
• Pravda Digital Archive
• South Asian Newspapers (from the World Newspaper Archive) (via CRL)

Other significant licensing negotiations
• Protracted negotiation with American Mathematical Society regarding the renewal of our license for MathSciNet. Finally reached mutually agreeable terms.
• Difficult and/or drawn-out negotiations with Ovid, Informa, Sleep, Sage and Forrester.
E-books
- eBrary subscription to 77K titles via the Academic Complete package renewed through 2014; paid for by a combination of selector shares, major contributions from the undergraduate collections and AUL funds.
- Wiley eBooks (approximately 950 titles) acquired via CDL
- 2011 Springer ebooks (via CDL) added to our existing collection of Springer ebooks; collection now numbers close to 45K titles
- 2010 Cambridge ebooks acquired (Tier 3)
- APA ebooks (Tier 3)
- Cold Spring Harbor Monograph Collection (Tier 3)

Trials
- AIDA (Articoli italiani periodici accademici) (Claude Potts)
- Archives Unbound (Margaret Phillips) Filmakers Library Online (Kathleen Gallagher)
- Middle Eastern & Central Asian Studies (Kathleen Gallagher)
- North American Indian Thought and Culture (Kathleen Gallagher)
- Parker Library on the Web (Jim Spohrer)
- SCOPUS (Beth Weil)
- Trew Letter Collection (Jim Spohrer)
- World Religion Database (WRD) (Jan Carter)

Collections Services Departmental Reports

Acquisitions (also see Selector workshops, below)
- 5,190 new orders were created by all ordering units and through file loads
- More than 67,000 individual payments were processed
- Began using deposit account for CDL expenditures
- Initiated serials review project to claim late invoices for active orders and to establish better ongoing relationship with serial vendors
- Provided selectors with a sample serials and continuations expenditure report for future development
- Order Unit assisted with the dispersal of non-multidisciplinary resources from the Central Digital Fund to individual selector funds
- Order Unit consolidated the former ENTO and FORE Orders and Funds with the NATR budget line
- E-Resources Unit developed set of e-mail templates to facilitate communications with selectors regarding the status of electronic resource titles and related print orders
- In cooperation with the Catalog Department, developed a new procedure to include URLs for e-resources in the order records to expedite access to new e-resources.
- E-Resources Unit staff participated in the system-wide upgrade of SFX to version 4 which included attendance of workshops to learn the new system. One of the benefits of SFX Version 4 is that links are now updated weekly rather than monthly.
- Completed a project to add notes stating access restricted to UCB for all UCB purchased e-resources

Cataloging
During FY 2010/2011, there were approximately four-thousand volumes in the current Catalog Department monographic workflow (materials counted are those which have left Monographic Receiving, and are in distribution, cataloging and marking) at any time during each month of the year.

During this fiscal year, in addition to remaining up-to-date with the materials in the current workflow, most backlogs were reduced. The most significant reductions were seen in Slavic, Arabic, South Asian, Turkish, and Indonesian. Across all non-Western European languages, the backlog was reduced by more than 15,000 volumes. While our staff are to be commended for their effort in reducing the backlog, the Department must also express appreciation for our many talented student employees with foreign language expertise and burgeoning cataloging skills.

Some areas that were formerly backlogged are now up-to-date with new receipts handled as encountered: Congressional Hearings, multi-volume monographs, and works with accompanying material.

Despite this substantial reduction, other areas continue to challenge the Department: replacements (while the overall backlog was reduced by almost 400 titles; and currently received titles are kept up-to-date, there remain approximately 900 titles in this area), miscellaneous foreign languages where the Department lacks language expertise (e.g. most African languages, Romanian, and several South-East Asian languages), as well as media (e.g. DVD, CD-ROM, etc.).

With newly revised procedures for cataloging replacements and the variety of complexities these materials pose, the Department hopes to have the replacement backlog defeated before the Spring 2012 semester, and to be able to remain up-to-date, henceforth. As for media, we hope to shift some additional cataloging responsibilities away from our media cataloger to allow an increase in this type of cataloging. In terms of languages where the Department lacks expertise – little can be done at this point. There is some possibility that UC’s Next Generation Technical Services may be able to re-apportion backlogs across campuses to allow libraries to share language expertise. However, this concept is nascent and development of the requisite infrastructure is unlikely to be completed in this fiscal year.

Other activities of the Catalog Department within 2010/11 include the implementation of the Catalog Record Help Desk (aka BadCat), and a pilot project to resume analytic cataloging using a phased implementation process. BadCat is a very successful project that relies upon not only the skills of its primary coordinator, but upon the cataloging expertise of the most advanced catalogers in the Department.

Serials Cataloging is up-to-date with the active print workflow, which includes new titles and title changes. Areas of continued overflow include original cataloging for inactive materials in non-roman languages, inactive microform titles, materials requiring series treatment decisions, and materials on CD-ROM or DVD. The inactive Slavic backlog was greatly reduced in 2010/11, and is expected to be non-existent in 2012. The overall backlog situation in Serials Cataloging is likely to remain without improvement in 2011/2012. Our primary
hope is that none of our most experienced serials catalogers will retire in the foreseeable future.

The new fiscal year 2011/2012 will bring a return in the Department’s tracing service, the implementation of name, title, and subject authority control, and assuming continued momentum and staffing levels, a further reduction in backlogs and the persistence to remain up-to-date in current workflows.

Preservation

- Binding budget reviewed with a goal to transfer binding funds to the materials budget. New reduced binding allocations and a report mechanism were devised to go into effect beginning July 1, 2011.
- An insect extermination freezer has been designed, built, and installed at the Regatta building for use by all campus libraries and archives. Bancroft staff are scheduling freezer runs and PRES staff are responsible for ongoing maintenance.
- A preservation microfilming project for newspapers not scheduled for ongoing filming is nearly finished. Funds to accomplish the work were contributed by selectors, the AUL/CD, and by PRES.
- PRES is hosting a statewide project to digitize and digitally preserve moving image and sound recordings. Nineteen California libraries and archives are participating, each contributing historically important unpublished audiovisual recordings.

Scholarly Communication

- BRII program continues: BRII celebrated its 3rd birthday January 21, 2011. This is a nationally recognized open access initiative that has already approved: 119 articles for BRII funding for 92 unique authors and 17 departments. BRII has reimbursed 72 articles published in 34 journals published by 17 publishers.
- Berkeley participated in Open Access Week activities included:
  - “Publish Smart/Maximize Impact” workshops for Social Sciences, Humanities/Areas Studies and Sciences conducted by Beth, Claude Margaret and Susan
  - Catherine Nancarrow spoke regarding federal legislation on open access. October 22 in Biosciences
  - Library cosponsored, with the Students for Free Culture, webcast of Nick Shockey from the Right to Research Coalition.
- Library eScholarship site went live. Margaret Phillips, Jeff Loo, Claude Potts and John Kupersmith serve as editorial board. http://escholarship.org/uc/berkeleylibrary
- Faculty Conversations on Scholarly Communication – John Willinsky, from the Stanford School of Education presented on “Open Access and other Intellectual Properties of Learning on November 4.…. 
APPENDIX

Activities by Topic

Annual reports
Selectors submitted annual reports 2009-2010 and estimates of budget increment needs for 2010-2011. (see bSpace tab, “Library Selectors”)

Digital Archiving
- LOCKSS: The Library was an early adopter of and continues full participation. CDC called a task force during 2010-11 to discuss potential benefits of UC-wide participation.
- Portico – membership continues
- Hathi Trust – records for items out of copyright become available in ______.
- Web Archiving Service pilot projects continue:
  - Jim Church: International Development Organizations Archive
  - Jianye He: Chinese Environmental NGOs(with a focus on grass root NGOs).
  - Kathryn Neal & David Farrell: UC Berkeley Administrative websites and select UC Berkeley Faculty websites
  - Jesse Silva: California Regional Federal Office Publications (Jesse Silva)
  - Susan Xue: Taiwan Historical Documents and Data and Chinese Local Gazetteers

Assessment
- Interlibrary Borrowing: summary information posted regarding what we borrowed from UC’s for 2009-10. http://www.lib.berkeley.edu/Staff/CS/ill.html
- OCLC WorldCat analysis pilots – Education/Psychology; Environmental Design

Budget
All four parts of the collections budget (AUL-controlled funds, selector-controlled funds, central Digital allocations, and program allocations) are now operating on a sustainable budget model. As part of this year’s analysis, a number of very useful reports were designed and will be regularly available to the Director and to CBG.

CSC Staff serving on Committees and Working Groups
CSC members regularly serve on various CSC advisory groups, e.g., Collection Services Council, Collections Budget Group, Collections Campaign Group, Scholarly Communication Advisory Group. (For more on advisory group membership, see CSC Advisory Group Structure.) In addition to these regular assignments, CSC staff have contributed to the following committees, task forces and working groups.

CSC search committee: Tonette Mendoza, Lupe Ochoa, Alvaro Piedra-Lopez, Rico Estrada (Acquisition Department), and Lisa Rowlison de Ortiz served on the search committee for the Monographic Receiving Unit Library Assistant III position.
Library and CDL Committees

- Armanda was appointed Chair of the Cataloging & Metadata Council (CMC); served on Group 5 of the UC-wide Next Generation Technical Services Phase 3 initiative; the UC Cataloging and Metadata Common Interest Group (CAMCIG); an Ad Hoc review committee for LAUC-B CAPA; NGTS Phase 2 Steering Committee; and served as the Steering Committee liaison to the NGTS Phase 2, Group 2
- Jim Boydstun represented Preservation on the Circulation Services Group
- Cheryl Cook represented Acquisitions on the Materials Ordered Digitally Working Group.
- Jean Dickinson served as a member of the Undergraduate Library Prize Committee
- Rico Estrada became co-chair of Btech, taking over from Judith Weeks who had chaired Btech for a number of years.
- Saima Fazli, became Chair of the Staff Development Committee
- Gail Ford was Chair of the ARL-UCOP Working Group, Analyst for CDC’s Shared Monograph Planning Group, and continues as project manager for the Doe Centennial Celebration.
- Jim Gordon served on the Subcommittee on Referred for Replacement Procedures last fall and became Acquisitions representative to the ILS Steering Committee
- Adnan Malik served as a member of the LAUC-B Committee on Diversity and on the LAUC State-wide Committee on Diversity
- Michael Meacham served as Chair of a task group to implement tracing within BadCat.
- Tom Perry-Houts represented Preservation on the Berkeley Technical Services Group (BTECH)
- Margaret Phillips is Berkeley’s representative to CDL's Scholarly Communication Officers Group.
- Trina Pundurs served as a member of the Library-wide Materials Ordered Digitally Working Group, the Cataloging & Metadata Council (CMC); WAG (Web Advisory Group); and the UC Shared Cataloging Program Steering Committee
- Emily Ramos served on the Exhibits Committee
- Jane Rosario served as a member of LAUC-B CAPA and on the Undergraduate Library Prize Committee.
- Lisa Rowlison de Ortiz served on Group 2 of the UC-wide Next Generation Technical Services (phase 3) initiative.
- Kai Stoeckenious served as Chair of the LAUC-B Committee on Research and was a member of the Authority Control Task Group
- Hannah Tashjian served on the Staff Development Committee

Communication

- Early Bird – Collections Update, July 9, 2010
- Early Bird – Emily Stambaugh speaks on WEST, February 10, 2011
- Early Bird – Collections Budget, February 22, 2011
- New website for Collections Services designed, vetted, launched http://www.lib.berkeley.edu/Staff/CS/
- Merged Collections and Cataloging blogs into a single Collection Services Blog.

Cooperative Collecting beyond UC

- Berkeley-Stanford Cooperative Program. Jim Spohrer from Berkeley and Zachary Baker from Stanford have been named as leads to move this program forward. Susan Edwards and Claude Potts are part of a pilot to develop a template to be used for all proposals.
- Berkeley again participated in CRL process to nominate major microfilm set or reprint collections, and for the first time for discounted rates on electronic resources for CRL participants.
Cooperative Collecting within UC

- Beth Weil joined JSC.
- Armanda Barone and Lisa Rowlison de Ortiz served on Next Generation Technical Services committees
- Shared Print: Berkeley selectors reviewed and offered comments on the final report of the Shared Monograph Planning Group.

Digital Collection Development Plan Implementation

- Material Acquired Digitally Working Group. This working group was formed in response to a recommendation in the Digital Collection Development Plan. Their report and proposed pilot projects were reviewed by Collections Council and approved. (see http://www.lib.berkeley.edu/Staff/CS/pdfs/MAD_Final_Report.pdf)
- Collections Council formally approved the proposed policy “For journals that are available in both online and print, the Library purchases the online version, with exceptions made when print is necessary.” http://www.lib.berkeley.edu/Staff/CS/pdfs/digital_preferred.pdf
- Collections Council formally approved guidelines for deciding when buying print journals is appropriate. http://www.lib.berkeley.edu/Staff/CS/pdfs/purchasing_print_journals.pdf

E-Dissertations (and theses)

Collections Council (now Collections Services Council) created a sub-committee to review embargo practices in other universities moving to electronic-only formats for same. CC expressed concern and created talking points about why Berkeley should not have a default set to “embargo” as was suggested by the Graduate Council. This document was submitted to Tom, who took it to the Academic Senate Committee on Libraries, who in turn talked with Graduate Council, resulting in a change in the form eliminating the undesirable default.

Mid-career Faculty Retention

Mid-career faculty collaboration launched fall 2008. We withdrew our commitment beyond existing set of participants due to budget. Support for the current cohorts, up to $1500/year, will continue for another 2 years.

New faculty funding

Selectors were awarded with $3000 for each of 14 new faculty in 2010-11.

Non-duplication among RLFs

Collections Council expressed concern about the difficulty of bib checking items being considered for storage at an RLF, given the new non-duplication policy. In response, Ginny Moon gave two workshops, and methods for checking were documented. Selectors discovered that using MELVYL was preferable, and instructions were provided. However, as of June 2011, MELVYL went away. Bernie is working with Systems to develop a program that might help ease this process.

Referrals

Collections Council reviewed and adopted procedures for how to make referrals of items to other selectors. http://www.lib.berkeley.edu/Staff/CS/cocs/referral_of_items_to_otherSelectors.doc
Selector workshops
- E-order process workshops (2)
- An updated e-order processing workshop was developed and presented twice

Staffing
- Bernie replaced Chuck Eckman in September 2010, resulting in his responsibility for Acquisitions, Cataloging, Licensing, Collection Development, and Preservation.
- Lisa Rowlison de Ortiz became Head of Cataloging.
- Dorothy Chen became permanent staff in Acquisitions February 1, 2011
- Nga Ong, Work leader for E-Resources Unit was promoted to Library Professional 4 on December 10
- Frank Carothers, Head of Gift and Exchange, retired June 28, 2011

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WEST (The Western Regional Storage Trust) Berkeley agreed to contribute several runs of journals to WEST for gold level archiving at NRLF. For more on WEST, see http://www.cdlib.org/services/collections/sharedprint/westinitiative.html. Berkeley is also considering (pending answers to some questions) an additional request for runs intended for bronze level archiving.