The Devil is in the Details:
The Challenges of Collaborative Collecting

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If you want to go fast, go alone.
If you want to go far, go together!

African Proverb
The Smathers Libraries at the University of Florida (UF) are active participants in a number of collaborative collection development initiatives that provide significant benefits to our university, to our partners, and to others who share in the results of our efforts.

- Each of these initiatives requires a significant effort to establish and sustain trust and to maintain the value to the collaborators.
- Each step often takes longer to plan and to execute because a number of people have to be consulted and have their preferences and concerns addressed.

Nevertheless, the Smathers Libraries continue to invest in these initiatives and to seek additional opportunities for deep collaboration because, in the end, they take us much farther than we can go alone.
LIBRARY MISSION: The Smathers Libraries partner with UF faculty, students and staff, as well as the University’s collaborators and constituents, to facilitate knowledge creation that contributes to UF’s standing as a preeminent public research university. The Libraries encourage creativity and inquiry necessary to support the University’s global ambitions and play an important role in attracting and retaining top students, faculty and staff.

LIBRARY VISION: The Libraries ignite curiosity, serve as the locus of knowledge management, and promote intellectual exchange within our diverse global learning community.

To accomplish its mission and vision, the Smathers Libraries will:

• Offer key services at the point of need to meet the requirements of the University enterprise;
• Initiate and participate in collaboration and community building; and
• Assure effective, efficient and equitable access to pertinent information resources for all library users.

The Strategic Directions for the Smathers Libraries are available at: http://ufdc.ufl.edu/IR00004144/00002.
Digital Content facilitates our commitment to "offer key services at the point of need to meet the requirements of the University enterprise."

- Content is increasingly digital to allow for access anytime and anywhere.
  - When available, electronic resources are preferred over print for most acquisitions, even monographs.
  - 87% of the materials budget is allocated to electronic resources, resulting in over 5 million downloads by library patrons last year.
  - UF Digital Collections (UFDC) already host over 12 million pages and at least 1.1 million pages are added to each year.
  - University theses and dissertations are preserved and made accessible by the Libraries through digital deposit and retrospective digitization.
Collaborative Acquisitions:

• Over 50% of our materials budget is used for collaborative acquisitions to minimize unnecessary duplication and reduce costs, including consortial licensing of most e-journal packages and databases.

• Most monographs, whether print or electronic, are selected through unilateral, bilateral or multilateral Patron Driven Acquisition programs, resulting in less purchasing for future researchers and more focus on the needs of current users.

The Libraries participate in a shared Integrated Library System provided by the Florida Virtual Campus (FLVC) that serves all 40 public universities and colleges in Florida and supports easy and efficient sharing of our print collections, reducing the need to acquire and maintain some materials.

The Libraries also obtain access to digital content through participation, along with other public universities in Florida, in several consortial memberships, including HathiTrust.
Collaborative Collection Development Initiatives:

• The Digital Library of the Carribean (dLOC);
• A new partnership with the Biblioteca Nacional de Cuba “José Martí” (BNJM) to establish a Cuban Heritage collection for worldwide public access;
• The ASERL Collaborative Federal Depository Program;
• The Florida Academic Repository (FLARE) and Scholar’s Trust, two shared print archiving projects in which Florida has a lead or significant role; and
• A pilot project with Elsevier to identify and link to articles by UF authors published in Elsevier journals, recently expanded to include other publishers through CHORUS.
The Digital Library of the Caribbean (dLOC) – [http://dloc.com](http://dloc.com)

dLOC is a cooperative digital library for resources from and about the Caribbean and circum-Caribbean. It provides access to digitized versions of Caribbean cultural, historical and research materials currently held in archives, libraries, and private collections.

- Over 10 years ago, Florida International University and the University of Florida received a federal grant to establish dLOC. More than 43 institutions digitize materials from their own collections and upload these materials to a common platform, hosted by UF.
  - Multiple partners contribute digitized content with their own metadata schema and vocabularies.
  - Each partner determines the content and metadata it will provide.
  - Each partner determines the rights and permissions for its own content, although most materials are available for broad public access.
  - Content and metadata are available in multiple languages, including English, Spanish, French, Dutch, Creole, Papiamentu, and Hebrew.
dLOC provides preservation and access to over 3.1 million pages of digital content from the 43 participating institutions. These unique materials were already viewed over 23.5 million times this year, providing access to over 6.1 million users world-wide. dLOC is available at: http://dloc.com/.
This collection was begun by law libraries who belong to LLMC Digital after the earthquake to restore access to Haitian law for the people of Haiti. The Latin American & Caribbean Collection of the Smathers Libraries is the 3rd largest contributor of content and hosts the collection for public access on dLOC. The collection is also available on LLMC’s own platform. It is among the top 10 most used collections in both LLMC and dLOC.
Now we have begun a new partnership with LLMC to digitize Cuban law, and that project has been incorporated into a larger collaboration with the Cuban National Library, Biblioteca Nacional de Cuba José Martí (BNJM).
The Cuban Heritage initiative is structured as four projects: LLMC Cuban Law initiative, already mentioned, and three others: monographs, maps, and journals/newspapers. Government documents will be included in each project where appropriate.
The ASERL Collaborative Federal Depository Program -
http://www.aserl.org/programs/gov-doc/

The Federal Depository Library Program disseminates information products from all three branches of the Government to over 1,250 libraries nationwide, including more than **310 libraries in the Southeast**. The **12 Regional Depository Libraries** in the Southeast (all but 2 of which are ASERL members) developed this program to improve access to Federal government information for the citizens in the Southeast and beyond through enhanced cooperative training, outreach and service, as well as collection analysis and development activities.

Key elements of the Collaborative Federal Depository Program include:

- Ensuring that Regionals continue to fulfill their legal responsibilities to Selective Depositories and GPO as described in Title 44 of the U.S. Code;

- Asking Regionals and Selectives to commit to focused development of portions of their collections (38 libraries including all 12 Regionals have committed to being Centers of Excellence), including cataloging and actively seeking to identify and fill gaps; and

- Harmonizing rules for disposition across the region and providing tools to facilitate both needs and offers.
Collaborative Federal Depository Program (CFDP): ASERL’s Plan for Managing FDLP Collections in the Southeast

Of Interest:

Welcome to our newest Center of Excellence! Nicholls State University, Ellender Memorial Library in Thibodaux, LA has become a Center of Excellence for National Marine Fisheries Service (NMFS).
As a Center of Excellence (COE), a depository library has the following responsibilities:

- Inventory holdings and ensure accurate cataloging and holdings records for the extant collection at each site;
- Support other participating libraries by providing catalog records to the ASERL COE database for gap analysis efforts;
- Seek to fill identified gaps in COE collections;
- Develop expertise to facilitate use of the COE collections;
- Facilitate access to FDLP and COE titles through Inter-Library Loan;
- Establish cooperative training initiatives to share expertise within the depository community; and
- Participate in public awareness and outreach campaigns to promote federal government publications to libraries within the region.

Participating libraries are also encouraged, but not required, to digitize and, where appropriate, harvest born digital content for COE collections and ensure the digital content remains available for public access.
One of the biggest burdens on depository libraries is the legislative mandate to offer publications to other depositories before discard.

- ASERL developed common rules and procedures for disposition.
- UF developed automated tools to facilitate implementation of the program.
  - ASERL disposition database matches documents that are being sought (needs) with documents that are being discarded (offers).
  - Gap Analysis tool matches cataloging records from multiple collections to identify common holdings and highlight unique or uncommon ones.
The Smathers Libraries serve as the **Regional Federal Depository Library** for Florida, Puerto Rico and the U.S. Virgin Islands.

The Libraries are an active participant in the **ASERL Collaborative Federal Depository Program** with over 35 Centers of Excellence (mostly small, defunct agencies), including:

- 21 USDA agencies;
- NCLIS, OTA, IMLS, and National Recovery Administration;
- Congressional Hearings;
- CFR and Federal Register (Law Library); and
- Panama Canal Commission and predecessor agencies and all other Federal documents and maps about Panama and the Canal
Additional Process for Center of Excellence (COE) Collections at UF:

• All UF holdings for these COE agencies are cataloged, digitized and available for public access through UFDC, except CFR, Federal Register and Congressional Hearings, which are available, but not yet fully cataloged and will not be digitized by UF.

• UF will harvest and host born digital or digitized documents for its COE Collections, with the exception of CFR, Federal Register and Congressional Hearings for which UF relies on FDsys, and other platforms such as HathiTrust and Internet Archive.

• UF does not otherwise harvest or host digital documents locally.
Commitment to Catalog the Entire Federal Documents Collection

• UF began cataloging ~300,000 pre-1976 documents already in offsite storage in 2008.

• UF moved the remainder of its Federal Documents collection to offsite storage in 2014 and committed to cataloging the entire collection.

• Since 2008, over 563,000 volumes have been cataloged; all records contain a retention commitment in the 583 field. Most are enhanced copy cataloging records, but over 13,980 original cataloging records have been created and contributed to OCLC/WorldCat.

Cataloging the regional collection enables Selective Depository Libraries in our region, and others throughout the program, to make informed decisions about their own collections.

It also prepares the collection for inclusion in the Florida Academic Repository (FLARE) and eventual placement in the planned high density storage facility.
GPO Proposal to Allow Substitution of Digital Copies in Regional Collections

UF has offered to serve as a Preservation Collection for print versions of digital or digitized documents in GovInfo (formerly FDsys).

When at least 4 preservation copies are identified, other Regional Depository Libraries will be able to request authorization from GPO to substitute the electronic version from GovInfo and discard the print copies.

This requires minimal changes in standard procedures at UF.
- The Preservation Collection will be a non-circulating collection (Access will be provided by the official digital copy in GovInfo (formerly FDsys).
There is a “Last Copy” policy specific to Federal Documents in the UF Regional Collection.

• Supports the preservation of unique government documents from Florida academic libraries and selective depositories libraries in Florida, Puerto Rico and the US Virgin Islands
• Acknowledges the value of retaining at least one copy of each unique government document in the state/region as part of a preservation program
• "Therefore, all academic libraries in Florida and all selective depositories in Florida, Puerto Rico and the US Virgin Islands are granted the right to deposit last copies of government documents being withdrawn from their collections in FLARE for preservation and access."

There are also collaboratively developed “Last Copy” policies for monographs and journals in the Florida Academic Repository (FLARE).
Libraries in the State University System (SUS) of Florida and the University of Miami are building a shared collection called **FLARE: Florida Academic Repository.**

- Offsite storage in Gainesville managed by UF
- Journals, monographs and government documents are included
- Shared policy development and funding
- Information at: [http://cms.uflib.ufl.edu/flare/Index.aspx](http://cms.uflib.ufl.edu/flare/Index.aspx)
The **FLorida Academic REpository (FLARE)** – [http://cms.uflib.ufl.edu/flare/Index.aspx](http://cms.uflib.ufl.edu/flare/Index.aspx)

FLARE is the statewide shared collection of low use print materials from academic libraries in Florida. It is managed by the **Smathers Libraries** and currently held in two off-campus library facilities: The Interim Library Facility (ILF), which also houses Digital Services and Conservation, and the Auxiliary Library Facility (ALF), which also houses UF-Only Storage and the Shared Collections Cataloging Unit.

In 2007, the Board of Governors of the State University System approved construction of a high-density storage facility in Gainesville, to be managed by the **Smathers Libraries** on behalf of all of public universities in Florida. The FLARE collection will be housed in the facility once it is built.

A Steering committee was established in January 2008 with members from all state universities as well as representatives from the Independent Colleges and Universities of Florida (ICUF) and the Florida College System.
Upper right: current auxiliary library facility (ALF). Upper left: platt map for ALF and future location for the high density storage facility.

Lower right: rendering of the proposed new facility, including the renovated ALF building. Lower left: image of high density storage.
FLARE already contains over 2.2 million volumes, with over 1.2 million trayed and inventoried in preparation for high density storage.
Association of Southeastern Research Libraries (ASERL) and the Washington Research Library Consortium (WRLC) have a collaborative print journal archiving project: Scholars Trust.

- Established in 2013 by merging the existing programs from ASERL and WRLC
- 29 ASERL participants (including UF/FLARE and Miami)
- 9 WRLC participants
- ASERL titles held in multiple locations with varying conditions of storage and use
- WRLC titles held at a central high density facility in Maryland

To avoid duplicative entry into databases for the two journal archiving programs, UF offered to develop software that would serve both Scholars Trust and FLARE --> JRNL: Journal Retention and Needs Listing.

The purpose of JRNL is to track archived titles and identify missing volumes to facilitate filling gaps. It is open source software, available for modification and use by others.
Welcome to Scholars Trust

The Association of Southeastern Research Libraries (ASERL) and the Washington Research Library Consortium (WRLC) have signed an agreement to combine the contents of their respective print journal archives under a single retention and access agreement called “Scholars Trust.” Also participating in the program is the FLorida Academic REpository (FLARE), a statewide shared collection of low use print materials from academic libraries in Florida. The combined title list exceeds 14,000 journal titles and more than 300,000 volumes, making the Scholars Trust archive one of the largest print journal repositories in the United States.

In addition, WRLC and ASERL libraries also agree to extend reciprocal priority Inter-Library Loan (ILL) services under this agreement.

Additional information at http://www.scholarstrust.org/
University of Florida and Elsevier Pilot Project

**WHO:** University of Florida Smathers Libraries & Elsevier

**WHAT:** Strategic collaboration for integrated systems to meet common goals

**WHY:** To maximize visibility, impact, and dissemination of articles by UF researchers who have published in Elsevier journals and facilitate oversight of compliance with funder open access mandates

**HOW:** Article links and metadata automatically delivered to UF’s Institutional Repository, the IR@UF, using free application programming interfaces (APIs) from Elsevier
COMMON GOALS:

- Facilitating oversight of compliance with current and future funder-mandated public access policies.
- Demonstrating efficient and responsible sharing of scholarly journal articles through university institutional repositories.
- Increasing awareness of and showcasing UF scholarship.
- Identifying a cost-effective solution with minimal burden on UF faculty and library staff.
Phase I: Implement the API Infrastructure that Delivers Enhanced Repository Services:

- Increase comprehensiveness of coverage of Elsevier-published content by UF authors through the IR@UF.
- Provide subscribers with access to the best available (published) version through the IR@UF.
- Integrate published articles with other IR@UF content.
- Allow users to return to their IR search results when reading final articles from ScienceDirect.
Phase II: Refine the API Infrastructure and Expand Enhanced Repository Services:

• Provide an access option for users without a subscription: viewing of the post-embargo accepted manuscripts (2013 forward).
• Offer full text searching through the IR@UF, with links to the published article on ScienceDirect.
• Usability testing by Elsevier and UF.
• Research on open access publishing by UF authors and use of Elsevier metadata for other University purposes, including compliance.
Implementation using the IR@UF on the SobekCM Platform:

- Coverage: Over 30,000 articles by UF authors from 1949 forward.
  - Metadata, abstracts, and (in Phase II) full text for indexing in the IR@UF.
  - Links to ScienceDirect for access.
- Includes both open access and subscription articles.
- Full access for users with subscriptions; alternative access for other users (Phase II).
  - 95% of ScienceDirect usage is by users with subscriptions.
Benefits of Collaboration:

• Collect information without burden on UF faculty publishing in Elsevier journals.
• Facilitate University oversight of compliance with public access mandates.
• Achieve cost savings and efficiencies for the Libraries and UF through automation.
• Test and refine Elsevier APIs to provide smooth scalability of process with future academic collaborators.
• Improve understanding of publisher and academic library perspectives and address constraints inherent in these roles.
Why link to the published articles on ScienceDirect?

- Maximizing research impact for articles by UF authors.
- Delivering the best available (published) version on ScienceDirect.
- Displaying the search results with data sets and related content in the IR@UF and the published article with links to related content on ScienceDirect.
- Assuring the reliability and trustworthiness of content.
Goals and Discoveries:

Phase 1 Goals:
- Metadata and links for ~31,000 articles by UF authors in IR@UF from 1949 - 2016
- Indexing based on metadata

Phase 1 Discoveries:
- More gold OA publishing than anticipated (601 articles by 1,443 unique UF authors between 2009 and early 2016)

Phase 2 Goals:
- Streaming final articles or accepted manuscripts to IR@UF
- Indexing based on metadata and full-text
- Learning from usability testing
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The Elsevier & UF Pilot Project has resulted in a new project with CHORUS involving more publishers...
Pilot Working Group - Publishers

American Chemical Society

APS physics

Association for Computing Machinery

ELSEVIER

OXFORD UNIVERSITY PRESS

THE ROCKEFELLER UNIVERSITY PRESS

WILEY

updated 11 October 2016
Pilot Project Aims:

Identification
• Identify and collect metadata for articles written by institution staff, faculty and students and published by CHORUS pilot member publishers in October 2015 - January 2017 (Scopus / CHORUS)
• Filter and sort by US agency funding (CHORUS)

Compliance
• Develop institutional dashboards, alerting and reporting (CHORUS)
• Collaborate to create mechanisms to track and report on compliance (CHORUS / Institution)

Engagement
• Generate interest and involvement of other stakeholders in the project (e.g., funders, other institutions and CHORUS publishers, preservation services)
• Recommend ways to minimize duplication of effort and burdens on researchers
• Explore related metadata, identifier and compliance initiatives and map future interactions

Discovery (Optional Extensions)
• Indexing: Harvest metadata and full text from publishers for delivery to participating institutions (Institution/CHORUS)
• Linking: Link from portal search results via Crossref DOIs to relevant content on publisher platforms (Institution)
• Display: Consider use of an API to allow display of full text within the local search results using content streamed from publisher platforms (Institution / Publisher)
Portfolio analysis of University of Florida Articles by Publisher 2014

Bubble size represents number of UF-authored articles published in 2014

Why Elsevier? Why CHORUS?

Source: SciVal and Scopus

Pilot participant and CHORUS member publisher
CHORUS member publisher (as of January 2016)
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Thank you!

The Smathers Libraries actively seek partners for collaboration, particularly in digital initiatives. We welcome visiting scholars who wish to do research in our collections.

Judy Russell
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George A. Smathers Libraries

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UF Students, Faculty and Alumni are known as the Florida Gators!