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Core LEADERSHIP INFRASTRUCTURE FUTURES

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Editorial

A New Beginning

Mary Beth Weber

When I wrote the October column, I truly thought it would be my last column. This time, it really is my final column! A search is in progress for the next *LRTS* Editor. A change in leadership is a good thing while Core is maturing. A new editor will bring a different perspective and experience, and I am confident the journal will flourish under this individual. *LRTS* Book Review Editor Elyssa Gould, who began working with me in 2014, will also complete her term. Rather than a Book Review Editor, there will be an Assistant Editor, who also handles book reviews. This model is consistent with Core's other two peer-reviewed scholarly journals.

Technical services is evolving, and some of the changes were propelled by COVID and the aftermath. The reality is that our work has continually evolved and changed. The difference is that COVID has forced things to change rapidly so that we can continue to provide resources and services to our user communities. Once changes are made, it is difficult, and often not practical, to return to former ways of doing things. Special circumstances spur creativity out of necessity. Change can be uncomfortable and is inevitable. The number of physical items my library acquires has been decreasing, and the current purchasing model is e-preferred, as is the case for many institutions. With the surge in e-preferred purchases, it is rarely necessary for the entire acquisitions department to be on-site and staff members come in as needed to open boxes and receive print purchases. The cataloging department has come to realize that it is not necessary for personnel to be on-site 100 percent of the time, and that quite a bit of our work can be done remotely as we are working on record sets, digital projects, and e-resources. There are still donated and purchased print materials to be handled, and those materials receive end processing, but again, they are handled by staff on an as needed basis. Our systems people do work that can be done from anywhere with an internet access, and will work remotely for the indefinite future. The archivists have been on-site regularly to handle patron queries and provide access to physical resources. However, the archivists are also engaged in digital projects, many of which were initiated long before COVID emerged. My departure as *LRTS* editor has coincided with the emergence of Core, changes to ALA, and a new era of technical services.

For the first time in my capacity as *LRTS* editor, the papers in this issue are all "Notes on Operations." There are research papers in the pipeline that will be published in later issues for this year. The papers in this issue are:

- "Maximizing the Discovery of Data Sets in the Yale University Library Catalog," by Rowena Griem, Yukari Sugiyama, and Tachtorn Meier, who discuss the formation of a Dataset Cataloging Task Force at Yale University Library in response to a request to include data sets holdings in the library's catalog.

- Meredith Giffin addresses the issue of library gifts-in-kind, Spanish books in particular, and evaluation methods to assess their value in "A Holistic Assessment of Spanish Gift Books."
- The last two years have impacted library budgets dramatically. In "Changing Times: Assessment of Continuing Resources Due to Budget Cuts Necessitated by COVID-19," Jaclyn Lee Parrott details how COVID and the pivot to remote necessitated a review of all the library's continuing resources with a short turnaround time for decision-making due to subscription renewal deadlines.
- In their paper, "Improving Subject Headings for Iowa Indigenous Peoples," Heather M. Campbell, Christopher S. Dieckman, Wesley Teal, and Harriet E. Wintermute provide an overview a project undertaken by Iowa State University Library to rectify LC's practice of updating outdated terms for North American Indigenous peoples that deprioritizes or ignores the preferred names of the peoples being described. Metadata Services librarians contacted Indigenous community representatives to engage in dialog regarding terms preferred by community members and updated the headings in its library catalog to match these suggestions.
- Book reviews courtesy of *LRTS* Book Review Editor Elyssa Gould.

Notes on Operations

Maximizing the Discovery of Data Sets in the Yale University Library Catalog

Rowena Griem, Yukari Sugiyama, and Tachtorn Meier

In response to the desire to include data set holdings in the Yale University Library (YUL) catalog, the Dataset Cataloging Task Force was formed in spring 2019 to assess the existing cataloging practices and current integrated library system environment. This paper describes the process of developing cataloging guidelines in the absence of authoritative resources while implementing best practices for cataloging data sets with the goal of optimizing the discoverability and accessibility of data sets in the online library catalog. The authors recommend the establishment of a national group to discuss, establish, and document national guidelines for cataloging data sets so that these increasingly important resources are treated in a consistent manner in institutional, consortial, and global catalogs.

With the growing importance of digital scholarship in academia, there has been a marked increase in the systematic acquisition of data sets by libraries. A data set is "a collection of related sets of information that is composed of separate elements but can be manipulated as a unit by a computer."[1] Yale University Library (YUL) holds over 10,000 data sets ranging from statistical and geospatial data, to text and sound corpora, and image data sets. While most of these are remote data sets, some are available in direct access formats such as CD-ROMs and hard drives.

YUL has demonstrated its commitment to digital scholarship with the establishment of dual research centers for data analysis. The StatLab, now housed within the Marx Science & Social Science Library, works with data in the natural and social sciences, technology, engineering, and mathematics (STEM) fields. The Digital Humanities Lab (DHLab) was established in fall 2015 to probe the arts, humanities, and humanistic social sciences through technology. Thanks to support from Barbara and Richard Franke and the Goizueta Foundation, the DHLab has been transformed from a one-person operation to a fully staffed department with cutting-edge computing technology in a renovated space in a prime location in Sterling Memorial Library.

In 2018, Yale University published the *Report of the University Science Strategy Committee* with a plan to invest in the sciences at Yale by making it a top academic priority. The report highlighted data science as one of its top priority investment areas, noting "The confluence of the volume, speed, and availability of data is transforming information and knowledge production."[2] To support that investment, YUL anticipates increased use and, consequently, acquisition of data sets, escalating the accessions to a steady flow. It is essential to ensure that these emerging, complex, and evolving resources are easily discovered, identified, and accessed by members of the Yale community, including students, educators, and researchers, via the library catalog.

The authors were appointed to the newly formed Dataset Cataloging Task Force in April 2019. The group was charged with reviewing the current library

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landscape and existing cataloging guidelines for data sets, analyzing the needs to integrate data sets into the general collection instead of creating silos, and developing best practices to ensure, optimize, and improve the discoverability and accessibility of data sets in YUL's discovery interface, Quicksearch. The focus was on commercial and open access data sets acquired and licensed by the library, not on research data generated by Yale affiliates. Since cataloging data sets was never addressed in a comprehensive way at YUL, they were not always readily identifiable or displayed in an effective or consistent way in the catalog. Additionally, some data sets require mediated access due to strict licensing requirements, necessitating a workflow for addressing access to them. While the authors' primary goal was to create documentation and tools for cataloging data sets, additional work was necessary to optimize the effectiveness of the bibliographic records created for data sets, such as proposing new subject and genre/form headings and modifying the Blacklight-based discovery interface. This paper describes the issues that arose, and the solutions, deliverables, and resulting enhanced discoverability of data sets in the YUL catalog.

Literature Review

The history of cataloging data sets, which broadly fall under computer-related materials, dates to the 1970s when microprocessors and microcomputers had yet to be developed. At the time, data was stored on punched cards, magnetic tapes, and other data storage products to be processed by machines. Under the 1978 *Anglo-American Cataloguing Rules* (AACR2), second edition, such data was categorized as "machine-readable data file (MRDF)" with the general material designation (GMD), a medium designator added to the title statement.[3] The term MRDF "embraces both the data stored in machine-readable form and the programs used to process that data."[4] As microcomputers became popular and libraries started adding computer-based media such as computer cartridges, computer cassettes, and computer reels, MRDF was renamed "computer file" in the AACR2 1988 revision.[5] Chapter 9 explained that these files are "encoded for manipulation by computer" and "comprise data and programs," and added, "Computer files may be stored on, or contained in, carriers available for direct access or by remote access."[6] With the advent of the Internet, the GMD term was changed to "electronic resource" in the AACR2 2001 amendments to encompass remote access electronic resources, in addition to direct access electronic resources.[7]

These revisions were accompanied by changes and additions to the cataloging rules. Although the revisions were necessary to keep up with the development of new formats and carriers, they also caused some complications. For example, Weiss argued: "Observation of OCLC record errors and problems suggests that transition periods or periods in which more than one standard is in use are the times when there is the greatest confusion among catalogers and the greatest inconsistency of cataloging for electronic resources."[8] Likewise, using video games as an example, de Groat showed how a physical description field was affected and altered by constant shifts of terminology, making "it difficult to collocate materials or provide a consistent search or limit strategy to find all like materials."[9] In 2013, Resource Description and Access (RDA) was fully adopted by the Library of Congress (LC), the National Library of Medicine, and the National Agricultural Library as the successor of AACR2, leading to significant changes in cataloging electronic resources. The GMD became obsolete. Content type, media type, and carrier type were introduced in its place and recorded in the MARC 336, 337, and 338 fields respectively. For data sets, RDA provides just two content types in section 6.9.1.3: "cartographic dataset" and "computer dataset."[10] Whereas "cartographic dataset" is distinctly designated for geospatial data sets, other types of data sets must be described using the less granular content type "computer dataset." Nonetheless, the RDA vocabulary encoding scheme for content type is one of the first terminologies that includes terms to describe data sets in cataloging. RDA also provides controlled terms for file type such as "audio file," "text file," "image file," and "data files." These terms can be used in the MARC 347 field, which was added to the MARC 21 Standard in 2011 to describe digital file characteristics.[11]

MARC-based cataloging of data sets is discussed in only a handful of papers, mostly within the context of geospatial data. Although it was written more than twenty years ago and in the AACR2 era, Welch and Williams's 1999 paper is still remarkably relevant and valuable for cataloging geospatial data. As is Larsgaard's "Cataloging Cartographic Materials on CD-ROMs." In both papers, however, the authors pointed out the limitation of existing subject terms to describe the physical carrier aspect of digital cartographic materials. To mitigate this shortfall, LC used uncontrolled subject headings in the MARC 653, such as "Maps–Digital," "Maps–Digital–Raster," "Maps–Digital–Vector."[12] According to Lage, this practice of using local headings was also employed by several academic libraries.[13] Examples of local vocabulary included "Geographic information systems data," "Geodatabases–Electronic resources," and "Digital spatial data."[14] Lage discusses a "critical need" to standardize subject access to Geographic Information System (GIS) data "through the creation of authorized subject, form, and genre headings."[15] In June 2010, LC announced its decision to separate genre/form headings from the Library of Congress Subject Headings (LCSH) and named this thesaurus

The *Library of Congress Genre/Form Terms for Library and Archival Materials* (LCGFT).[16] Today, LCGFT has some geospatial data-related terms such as "Geospatial data," "Raster data," and "Vector data," and a few data-related terms such as "Census data" and "Statistics."

Over the years, many other metadata schemas emerged to describe geospatial data, including Dublin Core, the Federal Geographic Data Committee (FGDC)'s Content Standard for Digital Geospatial Metadata (CSDGM), the International Organization for Standardization's Geospatial Metadata Standard (ISO 19115), XML, METS, and MODS.[17] Among them, the FGDC metadata standard is the most widely used schema as Executive Order 12906 in 1994 mandated that federal agencies use it.[18] Although more GIS data became available in the FGDC metadata standard, Reese reiterates "the traditional need for MARC bibliographic data will still exist within the library into the foreseeable future."[19] Reese also showed how building a crosswalk between FGDC and MARC or other schemas using eXtensible Stylesheet Language Transformations (XSLT) is complicated but possible and cost effective.[20]

Although there are still no established nationwide best practices for cataloging data sets using RDA, metadata elements useful for facilitating access to data sets were cited in the *Library of Congress Recommended Formats Statement, 2020–2021*.[21] It identified the recommended formats, technical characteristics, and associated metadata to ensure the preservation and long-term access of creative works. For metadata elements for data sets, it is recommended that one include title; creator; creation data; place of publication; publisher/producer/distributor; contact information; a list of software used to produce, render or compress the data; and character encoding whenever possible. Other elements such as language of work, other relevant identifiers, subject descriptors, and abstract were suggested if available. While these recommended metadata elements are for preservation purposes, rather than resource discovery, many are descriptive metadata. As more data sets are born digital and will require digital preservation efforts for future accessibility, the recommended metadata elements should be considered for inclusion in catalog records.

Cataloging practices for computer-based materials have been in flux, leading to a lot of confusion among catalogers and inconsistency in legacy records, jeopardizing the discoverability of those materials. Data sets are no exception. Various authors in the map cataloging community have published guides to help catalogers work with GIS data using AACR2. With the development of RDA and more data set-related terms being added to LCGFT, now seems to be a good time to develop new comprehensive cataloging guidelines for data sets.

Descriptive Cataloging for Data Sets

Unlike most other library materials, data sets are not always incorporated into library catalogs. Some institutions use different library platforms for data sets such as A–Z lists, LibGuides and institutional repositories, whereas others use data-specific repositories such as the New York University Data Catalog; the University of Maryland, Baltimore Data Catalog; and Harvard University's Dataverse Repository. In contrast, at YUL, at the request of project stakeholders (data librarians, DHLab staff, and Technical Services directors), the task force was charged with integrating data sets into the library catalog, making it a one stop shop for all library collections.

In the process of establishing best practices for cataloging data sets, the authors discovered that there do not appear to be detailed national guidelines to distinguish data sets from other types of electronic materials or to record data set-specific characteristics in MARC. Judging from an examination of bibliographic records in OCLC Connexion, it seems that catalogers have relied on their own interpretations of existing rules when cataloging data sets. A lack of clear rules leads to inconsistent cataloging within and across institutions, affecting the discoverability of these resources in library catalogs and OCLC WorldCat. Clear, comprehensive, universally accepted guidelines are crucial to ensure the consistent discoverability of data sets in institutional, consortial, and global catalogs.

Data sets are manifested in various content and data structures. The authors identified five broad types of data sets that each required separate cataloging documentation and templates:

1. Sound data sets, including the subset speech data sets: The resource is a corpus of digital sound recordings, including music, ambient sounds, such as nature sounds, or spoken language, such as speeches. Notable formats are FLAC, MP3, MP4, and WAV.
2. Geospatial data sets: The resource consists of data that identify the geographic location of an object in space according to a geographic coordinate system. Many data sets use the ESRI Shapefile format to be processed in GIS software.
3. Image data sets: The resource is a digital collection of still or moving images, such as graphic materials, photographs, illustrations, or video. Significant formats include JPEG, PNG, BMP, and TIFF.
4. Numeric data sets: The resource consists predominantly of statistical data, such as census or election data. Formats may include CSV, Excel, SAS, and SPSS.
5. Text data sets: The resource is a corpus of digital text derived from written sources, both published and unpublished, such as books, newspapers, periodicals,

documents, correspondence, and emails. Formats include, but are not limited to, TXT, DOC, XML, and DjVu.

Most sets held by YUL are remote data sets, although there are some, chiefly older titles, available via direct access formats such as CD-ROMs, DVD-ROMs, external hard drives, and USB flash drives. At YUL, if the licensing agreement allows, some of these direct formats are converted to locally hosted remote versions to make them more accessible. To address the variability of data sets, the authors identified the following key MARC fields that are unique to data sets in the bibliographic record.

Fixed Fields

There is no uniform Leader/06 (Type of record) code for data sets. Prior to the 1997 revision of the definition for code "m" (Computer file) in Leader/06, all data sets were coded as "m" (Computer file), since anything electronic was defined as a computer file.[22] Following that major revision, the definition of computer file is as follows (the emphasis is the authors'):

> m - Computer file
> Used for the following classes of electronic resources: computer software (including programs, games, fonts), numeric data, computer-oriented multimedia, online systems or services. For these classes of materials, if there is a significant aspect that causes it to fall into another Leader/06 category, the code for that significant aspect is used instead of code m (e.g., vector data that is cartographic is not coded as numeric but as cartographic). Other classes of electronic resources are coded for their most significant aspect (e.g. language material, graphic, cartographic material, sound, music, moving image). In case of doubt or if the most significant aspect cannot be determined, consider the item a computer file.[23]

By this definition, only numeric data should be coded "m" in Leader/06. Other types of data sets are coded based on "the significant aspects of their content, as opposed to their carrier."[24] Combination data sets, for example those including geospatial and numeric data, are coded according to the primary characteristic. Since the Leader and 008 fields are not repeatable, an 006 field for "Computer File" is added to reflect additional material characteristics for data sets that are not coded "m" in the Leader/06, ensuring that the resource is identified as an electronic resource in the catalog and OCLC.[25] The other key elements for data sets are the "Form of Item" (008/23 or 006/06), which is coded either "o: online" or "q: direct electronic," depending on the carrier of the data set, and "Type of File" (008/26 or 006/09) to bring out other characteristics of each type of data set. For example, "a: numeric data" for numeric data sets; "c: representational" for both still and moving image data sets, as well as geospatial data sets; "d: document" or "e: bibliographic data" for text data sets; and "h: sound" for sound data sets. The 007 field (Physical Description fixed field) is mandatory for anything electronic, so when the main item described in a record is a data set, the record must have a 007 field identifying the resource as electronic.[26]

Transcribed Variable Fields (2XX Fields)

Data sets often include little or no identifying information, such as title or publishing information. Consequently, describing data sets in the bibliographic record can be challenging. RDA instructions "1.7 Transcription" and "2.2 Sources of Information" provide guidance for MARC field elements that require transcribed information. In the bibliographic record, information regarding the title proper, edition statement, and publication statement are required transcription elements in RDA. The carrier of the content plays an important role in determining the source of information for electronic resources, including data sets. Data sets can be available via physical carrier (direct access) or over-the-network (remote access). According to RDA,

Table 1. Leader/06 for Types of Data Sets

Type of Data Set	Fixed Fields
Geospatial	Leader/06=e (Cartographic material) 006/00=m (Computer file) + 006/09=c (Representational) 007/00=c (Electronic resource)
Image	Leader/06=g (Projected medium) or k (Two-dimensional nonprojectable graphic) 006/00=m (Computer file) + 006/09=c (Representational) 007/00=c (Electronic resource)
Numeric	Leader/06=m (Computer file) 008/26=a (Numeric data) 007/00=c (Electronic resource)
Sound	Leader/06=i (Nonmusical sound recording) or j (Musical sound recording) 006/00=m (Computer file) + 006/09=h (Sound) 007/00=c (Electronic resource)
Text	Leader/06=a (Language) 006/00=m (Computer file) + 006/09=e (Bibliographic data) or d (Document) 007/00=c (Electronic resource)

the chief source of information for electronic resources, whether tangible or online, is the resource itself, namely "a textual source on the manifestation itself (e.g., a slide) or a label that is permanently printed on or affixed to the manifestation, excluding accompanying textual material or a container (e.g., a label on an audio CD or a model)."[27] That said, this source of information may not be available for data sets. For tangible resources, the title screen is the second choice for the preferred source of information, followed by the labels as the last preferred source of information. If the information cannot be ascertained from any of the preferred sources for tangible or online resources, "[give] preference to sources in which the information is formally presented."[28] This information can be found from the accompanying materials or on the publisher's website.

For data sets derived from previously published resources, for example databases or newspapers, the title and publication information can be based on the original publication with the word "dataset" appended to the title. When the title, or part of the title, is devised, a MARC 500 field should be added noting: "Title supplied by cataloger."

Physical Description Field, 33x Fields, and Digital File Characteristics (3XX Fields)

The physical description, whether it is direct access or remote, is included in the MARC field 300. The authors decided not to follow RDA's main instruction 3.3.1.3 to use the term "computer chip cartridge" from the list of carrier types to record tangible carriers such as USB flash drives or external hard drives.[29] Instead, the alternative instructions 3.4.1.3 were followed to "use a term in common usage (including a trade name, if applicable) to indicate the type of unit."[30] If desired, the number of files can be included in a parenthetical statement in the $a. Accompanying materials such as codebooks, manuals, maps, or CD-ROMs can be recorded in the MARC 300 field, subfield $e. If accompanying materials are available online, access to the accompanying material can be provided in a MARC 856 field with the second indicator "2" to indicate that it is a related resource, using the following format:

856 42 $3 Documentation $u [URL to accompanying material]

The MARC 33X fields are used to describe Content, Media, and Carrier Types. The 336 Content Type field is used in conjunction with Type of Record in the Leader/06 and reflects the form of the content of the resource. It is a core element in RDA. The Term and Code List for RDA Content Types lists two applicable codes: "cartographic dataset," which is expressly used for geospatial data sets, and "computer dataset," which can be used for all varieties of data sets.[31] The latter should be coupled with a second 336 field to reflect the specific content type, for example "still image," "audio," or "text," which allows image, sound, and text data sets to be mapped both to the data set format and the content type of the source material. These combinations of content types allow for expanded discoverability of data sets in the catalog, whether looking for all data sets or a specific type of data set. Interestingly, the new RDA, which is scheduled to be implemented by American libraries sometime after October 2022, allows for the extension of RDA content categories to

Table 2. Sample 3XX Fields

Type of Data Set	3XX Fields
Geospatial	300 \\ $a 1 USB flash drive
	336 \\ $a cartographic dataset $b crd $2 rdacontent
	336 \\ $a computer dataset $b cod $2 rdacontent
	337 \\ $a computer $b c $2 rdamedia
	338 \\ $a computer chip cartridge $b cb $2 rdaccarrier
	347 \\ $a data file $2 rdaft
	347 \\ $b shapefile
Image	300 \\ $a 1 online resource + $e documentation
	336 \\ $a computer dataset $b cod $2 rdacontent
	336 \\ $a still image $b sti $2 rdacontent
	337 \\ $a computer $b c $2 rdamedia
	338 \\ $a online resource $b cr $2 rdaccarrier
	347 \\ $a image file $2 rdaft
	347 \\ $b GIF
Numeric	300 \\ $a 1 computer disc ; $c 4 3/4 in.
	336 \\ $a computer dataset $b cod $2 rdacontent
	337 \\ $a computer $b c $2 rdamedia
	338 \\ $a other $b cd $2 rdaccarrier
	347 \\ $a data file $2 rdaft
	347 \\ $b CSV
Sound	300 \\ $a 1 external hard drive
	336 \\ $a computer dataset $b cod $2 rdacontent
	336 \\ $a sounds $b snd $2 rdacontent
	337 \\ $a computer $b c $2 rdamedia
	338 \\ $a other $b cz $2 rdaccarrier
	347 \\ $a audio file $2 rdaft
	347 \\ $b MP3
Text	300 \\ $a 1 online resource (approximately 6 million text files)
	336 \\ $a computer dataset $b cod $2 rdacontent
	336 \\ $a text $b txt $2 rdacontent
	337 \\ $a computer $b c $2 rdamedia
	338 \\ $a online resource $b cr $2 rdaccarrier
	347 \\ $a text file $2 rdaft
	347 \\ $b XML
	347 \\ $3 Compressed $c 62.60 GB
	347 \\ $3 Uncompressed $c 75.68 GB

accommodate the following attributes: form/genre, subject, purpose, or capture method. To add new terms to the list of RDA content types, such as image data sets, a formal proposal would need to be presented to the RDA Steering Committee. Values could also be defined locally as subvalues of "dataset." The authors elected not to introduce terminology locally, as doing so effectively would require ensuring all YUL catalogers consistently utilize the same terms, and could potentially create variations across the library system.

Additional 33X fields include the Media Type, which is recorded in the MARC 337 field, and reflects the type of device required to access the resource content. The media type "computer" is used for all types of electronic resources, including data sets. The MARC 338 field is used to record the carrier type, the format of the storage medium in which the content is recorded. Computer carrier terms such as "computer disc" and "online resources" are commonly used for electronic resources.

Digital file characteristics are not RDA core. Per LC/Program for Cooperative Cataloging Policy Statements, it is only a core element for cartographic materials. However, this information is valuable to fully describe the content of data sets and allows users to easily identify types of files and determine compatibility with their computer environment. Digital file characteristics such as the file type (audio, data, image, or text files), encoding format, and file size are recorded in the MARC 347 field, while other physical details, such as the number and arrangement of files are recorded in the MARC 300 Physical Description field and note field respectively. The size of compressed and/or uncompressed files (347 $c) has proven useful for data management of locally hosted data files. The authors followed OCLC's guidelines to "prefer use of a separate field for each unique term" to record the file type and encoding format information.[32]

Formatted Contents Note (505 Field)

If the data set contains data from discrete titles, for example newspapers or periodicals, an enhanced content note can be added to maximize discoverability. Cataloger's judgment may be applied to determine whether this is advisable by weighing the number of titles involved and the availability of the information versus the value added. The term "dataset" is added after each title in the contents note to ensure that the nature of the title is evident to patrons. For example, a data set collection featuring New York newspapers would be greatly enhanced with the following 505 field:

> 505 00 $t New York times dataset -- $t New York post dataset -- $t Wall Street journal dataset . . .

Restrictions on Access Note (506 Field)

The presence of a MARC 506 field informs the user when the data set has restrictions and/or requires some level of permission to access. If the resource requires mediated access, it is noted here and paired with a link in the 856 field to request assistance to access the restricted data sets.

Summary Note (520 Field)

A summary note is not an RDA core element, but this information is extremely useful for cataloging data sets. Information about the nature and scope of a resource can help users determine whether a data set is relevant to their research. It is advantageous to record crucial information in one place, using terminology that the patron can easily understand, even though some of this information may be found in a structured format elsewhere in the record. Ancillary information can also be included here, such as granularity (the size into which data fields are subdivided), the organization of the files, etc. Because of the potential usefulness of such details to researchers, it is important to remind selectors to provide catalogers with all available information about the data set (coverage dates, required software, and granularity, for example), so that the resources can be described effectively. It has proved invaluable to informally survey stakeholders working with Yale's data collections to uncover what data they find helpful. Including useful terms is crucial to take advantage of keyword searching, without trying to anticipate or predict how a researcher might use the data.

System Details Notes (538 Field)

The digital file type, encoding format, and file size can present significant challenges for cataloging data sets. Certain encoding formats may require special software or applications to access, manipulate, visualize, or analyze the data associated with the resource. For example, GIS mapping software can be used with GIS file formats such as Shapefile, while statistical analysis and visualization tools such as SPSS, R, or JMP, can be used with data file formats such as CSV or Excel. The authors chose to only record specialized methods of data set access or usage in the MARC 538 field, not common computer standards and peripherals, such as Adobe Acrobat, Excel, Internet Explorer, or the World Wide Web.

Action Note (583 Field)

For materials digitized or hosted locally, a formatted MARC 583 field is added to record details of the action, including the action taken, the date, the acting agent, the code used, and the institution. This field is added to mediated data sets

added to Storage at Yale, an institutional central storage service, prior to being moved to Preservica, an archiving and digital preservation platform. At YUL, this field is added to the holdings, rather than the bibliographic record.

Source of Description Note (588 Field)

The source of title is required for electronic resources, even if taken from the chief source of information. RDA 2.17.13.5 also calls for the creation of a note indicating the date the resource was viewed for remote resources, although this is not applicable when a cataloger needs to supply a title. Below are examples of Source of Description Notes for data sets.[33]

588 \\ $a Description based on print record.
588 \\ $a Description based on source database record.
588 \\ $a Title from homepage (viewed [date]).
588 \\ $a Title from file header (viewed [date]).
588 \\ $a Title from readme file (viewed [date]).

Data Set-Related Subject and Genre Headings

One particularly thorny issue that needed to be addressed was how to provide intellectual access to the materials using the LCGFT and LCSH controlled vocabularies. How should the cataloger effectively describe the resource and what it is about? Despite the complexities involved in this process, the authors believe that assigning detailed headings greatly enriches the catalog, ensuring discoverability of the data sets and linking them to related materials via linked data.

In the planning stages of the project, in late 2018, neither LCSH nor LCGFT included the umbrella term "Data sets" or its variant spelling "Datasets," so the authors began with those headings. Work began to propose them in the one-word form for three reasons: a Google search suggested that the single word form was significantly more common than the two-word form; it was consistent with the existing LCSH and LCGFT headings for "Databases"; and the single word form appears in the MARC 336 field as "Computer dataset "and "Cartographic dataset." However, the proposal for the LCGFT was accepted with the preferred form "Data sets," with the single-word form given as a cross reference. At the same time, LC created an LCSH with the two-word form as the preferred form. A proposal for the free-floating form subheading "$v Data sets" was rejected due to the complexities of linked data. The authors were advised instead to pair the newly established LCGFT for "Data sets" with additional the appropriate subject headings fields to provide satisfactory intellectual access to the resource.[34]

At the start of the project, the authors ran a report in YUL's integrated library system (ILS), extracting a sample of data set records to examine the headings assigned to them. Geospatial data sets were often assigned the LCSH "Geographic information systems "and the LCGFTs "Geodatabases," "Geospatial data," "Raster data," or "Vector data." Numeric data sets were typically assigned some combination of the subject format subdivisions "Census"; "Census, [date]"; "Statistics"; "Statistics, Medical"; "Statistics, Vital"; and the genre/form terms "Census data," "Demographic surveys," "Judicial statistics," "Statistics," or "Vital statistics." The vast majority of text data sets present in Yale's library catalog at the start of the project were published by the Linguistic Data Consortium and generally had bibliographic records available in OCLC. Over 60 percent of these use "$x Data processing" in a 6XX field, despite it being a topical subdivision, and the resources being cataloged not being about data processing, but rather being used for data processing.

An assessment of existing LCSHs identified potentially useful subdivisions: "$x Language" ("use as a topical subdivision under names of individual persons and corporate bodies, individual works entered under title, and under classes of persons and disciplines, individual wars, and types of newspapers") for text or speech data sets), "$x Sounds" ("use as a topical subdivision under individual organs and regions of the body and wars" for sound data sets), and "$v Maps" ("use as a form subdivision under names of countries, cities, etc., and individual corporate bodies, and under topical headings for individual maps or collections of maps on those subjects" for geospatial data sets).[35]

An analysis was conducted, comparing existing LCSHs with LCGFTs to determine whether relevant equivalent terms existed. Several topics of interest to Yale's collection were identified and proposed as new genre terms. For example, while "Corpora (Linguistics)," "Medical statistics," and "Biometry" existed in LCSH, there were no equivalent LCGFTs, so the authors successfully proposed the related genre/form terms: "Text corpora," "Speech corpora," "Medical statistics," and "Biostatistics." Proposals for the genre/form terms "Image data sets," "Spatial data sets," "Statistical data sets," and "Text data sets" were all declined in favor of pairing the LCGFT for "Data sets" with another LCGFT(s) for the type(s) of data.

While subject headings already existed for the generic "Data mining" and more specific headings (such as: "Association rule mining," "Contrast data mining," "Multimedia data mining," "Sequential pattern mining," and "Web usage mining"), the authors successfully proposed genre/form terms to describe types of data sets plus subject headings for additional types of data mining, useful when cataloging

materials about data mining, such as those in the DHLab's reference collection.

The following headings were created for the project, significantly enriching the controlled vocabularies:

- LCSHs (650 field):
  - Audio data mining
  - Data mining—Statistical methods
  - Image data mining
  - Spatial data mining
  - Text data mining

- LCGFTs (655 field):
  - Biostatistics
  - Data sets
  - Medical statistics
  - Sound corpora
  - Text corpora

The authors' next step was to provide guidelines on assigning 6XX fields so that the resources are treated consistently. The authors first analyzed Yale's collections and devised a blueprint:

- All data sets are assigned an LCGFT for *Data sets*, which allows patrons to simultaneously retrieve all data sets with a single search;
- Additional LCGFTs are then assigned to identify each of five broad categories (two of which have subsets): "Maps" for geospatial data sets, "Pictures" for still image data sets (or "Video recordings" for moving image data sets), "Statistics" for numeric data sets, "Sound corpora" for sound data sets (or "Speech corpora" for speech data sets), and "Text corpora" for text data sets, allowing patrons to readily retrieve all of a specific type of data sets;
- To achieve greater granularity, additional LCGFTs may be assigned to describe the original form of the data, for example "World maps" in addition to "Maps," "Aerial photographs" in addition to "Pictures" (or "Industrial films" in addition to "Video recordings"), "Death registers" in addition to "Statistics," "Radio programs" in addition to "Sound corpora" (or "Spoken word poetry" in addition to "Speech corpora)," and "Messages (Official communications)" in addition to "Text corpora";
- Finally, subject headings are added to describe the resource's topic without trying to predict what kind of patterns the researchers might plan to study using any given data set.

Table 3. Sample 6XX Fields

Type of Data Set	LCSH	LCGFT
All data sets		"Data sets"
Geospatial data sets	[Corporate body, Geographic location, or Topical heading] $v Maps	"Geospatial data" + Type(s) of GIS data, for example: Raster data, Vector data; Maps; and specific type(s) of map(s), such as Geological maps, etc.
Image data sets (fixed images)	Subject heading for subject of images	"Pictures" + Type(s) of images, for example: Cartoons (Humor), Illustrated works, Postcards, etc.
Image data sets (moving images)	Subject heading for subject of moving images	"Video recordings" + Type(s) of video, for example: Film clips, Motion pictures, etc.
Numeric data sets	[Class of person, Corporate body, Ethnic group, Geographic location, or Topical heading] $v Statistics	"Statistics" + Type(s) of statistics, for example: Biostatistics, Census data, Judicial statistics, Medical statistics, etc.
Sound data sets	[Animated films, Motion pictures, Radio broadcasting, Television broadcasting, Theaters, or Video games] $x Sound effects	"Sound corpora" + Type(s) of sound, for example: City sounds, Human sounds, Nature sounds, Sound effects recordings, etc.
Speech data sets	[Language] $x *Spoken* [Language] $z [Geographic location]; [Individual person, corporate body, or war; class of person or discipline; type of newspaper] $x Language	"Speech corpora" + Type(s) of speech, for example: Interviews, Oral histories, Speeches, etc.
Text data sets	[Language] $x Written [Language] $z [Geographic location]; [Individual person, corporate body, or war; class of person or discipline; type of newspaper] $x Language	"Text corpora" + Type(s) of text, for example Business correspondence, Newspapers, Periodicals, Records (Documents), etc.

A sample list of subject and genre/form headings for each type of data set appears in table 3, although the headings are neither exhaustive, nor required.

Creation of the Independent Data Sets Facet Value

A crucial task was to remediate existing data set records according to the newly established cataloging guidelines. Identifying existing data set records and examining each data set was an extremely time-consuming step of the project. Although two major data set collections, the Linguistic Data Consortium collection of text data sets and the Inter-university Consortium for Political and Social Research (ICPSR) collection of numeric data sets, were known to make up the majority of YUL's data set collection, to identify others, the task force searched for potential data set records based on:

- Data set-related keywords: Dataset, Data set, Datasets, Data sets
- Subject headings: Corpora (Linguistics), Geographic information systems, Biometry
- Form subdivisions: Statistics, Census
- Genre terms: Geospatial data, Raster data, Vector data, Census data, Statistics, Judicial statistics, Vital statistics, Demographic surveys

These searches, however, introduced tens of thousands of false positives, such as geological surveys in print books, voting data in scanned PDF documents, and statistics on computer reels, resulting in the authors spending a significant amount of time reviewing records to evaluate whether they met the basic criteria for data sets, namely data that can be downloaded, manipulated, and analyzed. This process was largely accomplished by importing the bibliographic records into MarcEdit to identify and eliminate false hits by using the "Select Records for Edit" function. For example, records describing computer reels or physical books in the MARC 300 field without supplemental CD-ROMs or DVD-ROMs were eliminated, as the data cannot be downloaded or manipulated. This lengthy review process further verified how inadequately bibliographic records previously described data sets and, consequently, how difficult it has been for users to discover them in the library software catalog. In the end, the task force identified and remediated over 11,000 data set records in bulk processes, including 10,547 records for numeric, 447 for text, 107 for sound, 24 for geospatial, and 9 for image data sets. While some titles surely remain incorrectly identified, the records will be converted as they are encountered in the future.

Whereas users can now find data sets as part of regular searches using the "Data sets" genre/form heading, it was also deemed crucial to improve Quicksearch's public interface to take advantage of the enhanced records to conduct more effective searches. Quicksearch is built on Blacklight, an open source discovery layer that uses Apache Solr for indexing and searching records.[36] Using Solr allows Blacklight to create and customize facets in a library catalog. With faceted searching, users can see the precise options they have available at any time. For example, a user may limit a keyword search to a specific field such as "Title," and narrow results by adding or removing terms from facets such as "Subject," "Location," and "Language." The user may also browse the facets without a keyword search, for example to display all records for resources with the format Video and in the French language.

Prior to this project, all records with "m" (computer file) in Leader/06, with the exception of database records, were broadly mapped to the format facet "Software & Datasets" in Quicksearch. As a result, the "Software and Datasets" format facet contained 18,639 titles, including not just data sets, but also other types of computer files, such as computer programs, games, fonts, computer-oriented multimedia, and online systems or services, making it difficult to isolate data sets. Moreover, this MARC format mapping was not entirely accurate. As described in Table 1, not all records use "m" in Leader/06 for data sets. As the mapping was neither precise nor sufficient to identify all types of data sets, the authors recommended that Library IT to create an independent "Data Sets" format to separate data sets from other computer files and to collocate all types of data sets. All records containing "dataset" in the core MARC 336 field $a, such as "computer dataset" and "cartographic dataset," were mapped to the new "Data Sets" format. A stand-alone format was also practical from a user experience perspective. Users inconsistently spell the word "data sets," as one word or two words. In Quicksearch, searching "data sets" as a form/genre as two words will return all matches, whereas searching "datasets" as one word returns no matches. To mitigate this inconsistent search behavior, it was deemed practical to explicitly display the "Data Sets" format upfront, with this format now adding up to 10,743 titles. The facet for other computer files, now totaling 7,896 resources, was renamed from "Software & Datasets" to "Software & Electronic Media."

Local Workflow at Yale University Libraries (YUL)

Several local policies and practices were implemented or established for efficiently managing the YUL data set

collection. A local workflow was created in response to the task force charge. It addresses local needs and data specialists and other stakeholders' requests, for example that bibliographic records for mediated data sets not be sent to OCLC due to concerns about strict licensing agreements.

Simplifying Discoverability with Hooks

In response to stakeholders' request for easy discoverability of all data sets and specific types of data sets in the library catalog and Quicksearch, the authors created convenient searching shortcuts for YUL staff. These hooks were designed to effortlessly identify specific varieties of data sets with keyword searches. These 090 fields are exclusively added to records in the local catalog. Multiple codes can be added to a single title if applicable. They include: yuldset (for all data sets), yuldsetgis (for geospatial data sets), yuldsetimg (for image datasets), yuldsetmediated (for mediated data sets), yuldsetnum (for numeric data sets), yuldsetsnd (for sound data sets), and yuldsettxt (for text data sets).

Providing Access to Mediated Data Sets

Access to data sets licensed by the library is restricted to members of the Yale community. Most resources are available through a direct link or via an intermediary page, which redirects users from accessing the resource directly by diverting them to a secondary page with particulars, such as instructions, information on digital tools and training, and a link to the remote resource.

Some data sets require staff mediation because access is limited to a certain number of simultaneous users, the data is too large for the researcher to store and manipulate on their own computers, or stringent licensing agreements. At the beginning of the project, many of these titles were not represented in the ILS, and the process to provide access to data sets that require staff mediation varied across YUL departments, leading to confusion for staff and users. The authors discussed several possible solutions with our stakeholders, including an online form, local website, a LibGuide, and Customer Relationship Management (CRM) technology, but ultimately settled on employing a mailto: link in the 856 field with the message: "For data access contact researchdata@yale.edu." This generates an email to a small group of YUL data specialists who then facilitate access. This is a straightforward process with little chance of error, as it allows experts to negotiate any issues that may arise.

Outreach to Library Staff

A "Dataset Review Request Form" was created to facilitate requests to review existing bibliographic records in the catalog for potential enhancements to the record. Additionally, requesters are encouraged to provide any special or specific information about a data set that may be helpful for the cataloger and patron, such as system requirements, digital file characteristics, data granularity, etc., so that the resources can be described effectively. This information was disseminated to selectors and other library staff via a mass email and a special edition of the library's *Electronic Resources Troubleshooting Newsletter*.

Work Products: Cataloging Documentation, MarcEdit Templates and Tasks

Documentation was created to address each type of data set to ensure that data sets are described consistently. To facilitate and ensure the accuracy of cataloging records, a variety of templates and a MarcEdit task list were created. A template is useful for cataloging new titles, particularly when a set of resources shares the same type, format, and/or collection. It allows static information to be pre-recorded, such as creators, issuing bodies, publication information, notes and local notes, access information, or subjects and genres. Since MarcEdit task lists enable batch updates of new or existing bibliographic records, this option proved useful for data sets based on previously published resources, e.g. databases, newspapers, and periodicals. The MarcEdit task and templates and all documentation is freely accessible to the greater cataloging community via the Cataloging at Yale website.[37]

Conclusion

YUL has embraced the growing importance of digital scholarship in academia with a strategic response for acquiring an increasing number and variety of data sets and enabling their discoverability. Integrating data sets into the library catalog is an acknowledgment of their standing as a standard research tool, but mainstreaming the collection necessitates precise metadata to ensure that they can be easily identified and retrieved in the discovery interface using facet, subject, and keyword searches.

This project was extremely challenging due to the lack of authoritative cataloging guidelines and the complex and evolving nature of the resources themselves. The authors employed existing best practices and standards, including MARC 21, RDA, LCSH, and LCGFT, resulting in bibliographic records that can be shared with other libraries, while responding to the needs of the YUL community and its local catalog and discovery interface. The project resulted in extensive documentation and tools that are regularly evaluated and updated. These cataloging guidelines enable YUL librarians to catalog both a backlog of data

sets and newly acquired titles in a uniform and systematic way, enhancing the discoverability of data sets in the public interface. The remediation of a large number of existing data set records to make them consistent with the new guidelines and add data set-related terms further improved discoverability and increased visibility and access to the data sets collection. Ongoing updates to the discovery interface ensure that resource discovery will become increasingly agile, while work continues on peripheral issues, such as ensuring that metadata clearly distinguishes electronic files that are not data sets. Clear workflows were implemented to assure that data sets are acquired and cataloged systematically.

The authors note that the project was more complex than anticipated because satisfying the objectives of the project required expanding the tasks from those originally outlined in the task force charge. For example, when the authors identified a lack of appropriate terms in the controlled vocabularies, they enriched them by successfully proposing numerous LCGFTs and LCSHs. These vocabularies, when consistently applied, assure that data sets (and materials about data sets and data mining) are easily retrievable with subject or genre/form searches. The project has greatly exceeded the three-month time frame originally predicted, and is expected to continue, as cataloging guidelines will require ongoing revisions to respond to the linked data environment, the inevitable changes in bibliographic description standards, and to address new issues and types of data sets as they develop or are acquired by the library.

While the authors developed a viable solution for identifying and cataloging data sets in their institution's catalog, they strongly recommend that the issues raised in this paper be addressed on a larger scale, preferably by a national group composed of representatives from various types of institutions. This group could discuss, establish, and document national guidelines for cataloging data sets so that these increasingly important resources are uniformly handled in institutional, consortial, and global catalogs, as the current patchwork of approaches makes for problematic discoverability and reinforces the inconsistent treatment of these resources by catalogers.

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Notes on Operations

A Holistic Assessment of Spanish Gift Books

Meredith Giffin

Library gifts-in-kind are a mixed blessing: their potential utility must be weighed against the resources required to add them to a collection. Understanding the value such materials can bring to the library is essential. In academic libraries, donations from faculty members may be assumed to be more appropriate and useful additions to the collection. This evaluation used multiple methods to assess the value of several hundred gift books donated by a professor in support of the Spanish program at Concordia University. Parameters examined include age, language, subjects and their relation to the curriculum, usage, and availability in other libraries.

The value of gift materials to a library is not a given: their worth to the institution should be assessed before a decision is made to accept them. In an era where physical collections in general are increasingly under scrutiny for their utility in all types of libraries, donated items should be subject to a similar level of evaluation. Such assessment usually begins when materials are first offered to a library. Library gift policies can prevent donations of unsuitable materials or ensure that the library is not obligated to keep donated items.[1] For academic libraries, it is fairly simple to specify what types of material will not be accepted, such as textbooks, popular fiction, and magazines and journals. Many gifts-in-kind, though, are less easily categorized as appropriate. While some will prove to be desirable and useful supplements to the library's own purchases, others are less useful due to factors such as age, audience level, format, duplication of existing holdings, language, subject areas, and alignment with the organization's needs and collection development strategy. It is not always straightforward to determine the potential value of gifts to an institution at the time of donation.

A particular source of gifts-in-kind in academic libraries is donations made by faculty members, both current and retired. Given the importance of maintaining good relationships with faculty, such gifts may require tactful negotiation and communication of gift policies to ensure that only materials that fall within the scope of library collections and are in appropriate formats and condition are accepted. However, gifts from faculty that do meet such conditions may well fill gaps and contribute useful works to the library, due to their subject expertise and understanding of curricular and research needs. At Concordia University, many faculty members periodically donate materials to the library. This inquiry has been undertaken to evaluate a large quantity of book donations made over a number of years by an individual faculty member from the Spanish program, with the goal of determining the value of these gifts to the institution, using multiple assessment methods.

Background

Concordia University is a large research institution located on two campuses in Montreal, Quebec, Canada, with over 36,000 undergraduate and nearly 10,000

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graduate students. Concordia's two libraries provide access to over 1.6 million unique titles, including 1.2 million print volumes. Through its Department of Classics, Modern Languages, and Linguistics (CMLL), the university offers undergraduate degree programs in Spanish, Hispanic Cultures and Literatures, plus programs in Italian, German, Arabic, Chinese, Classics, and Linguistics. The majority of students in the department are enrolled in the Spanish stream or in Linguistics. The department also offers a Master's degree in Hispanic Studies, although new admissions are currently suspended, and individualized graduate programs may also be pursued in the research areas of CMLL faculty. With an enrollment of 600 undergraduate students and a small number of graduate students, it is a medium-sized department within the Faculty of Arts and Science.

Since the implementation of a revised budget formula in 2018, the department has received an average allocation from the library's collections budget for the Faculty of Arts and Science. For at least ten years previously, the annual budget assigned for book and e-book purchasing in support of this department was relatively low. The number and diversity of programs offered, and the multiple languages taught, have made collection development for this department challenging. Most library materials are purchased from major North American vendors and large European suppliers such as Casalini Libri and Puvill, which are used for books in Italian and Spanish. Latin American materials must often be acquired from smaller providers in the Americas. Another challenge for CMLL collection development has been regular turnover in subject librarians supporting this department over the past fifteen years.

However, print acquisitions supporting the Spanish programs have been augmented by donations made during the past twenty-five years, particularly by faculty members. One retired professor regularly travels to Cuba and other Caribbean countries plus Colombia and Mexico, and acquires books primarily in the areas of Hispanic literature and history. These are then often donated to the library. Very occasionally, purchases made at book fairs have afterwards been reimbursed from library funds, but the majority are donated. The goal of these gifts was to further develop the library's collection of works from Latin America to support the Spanish program. It was initially estimated that this faculty member has contributed at least 500 volumes to the library's collection.

An analysis was conducted to quantify and describe these gift books, and to apply several methods to assess their value to the library, considering factors of age, usage, relevance, and uniqueness. Despite being free, gifts-in-kind require time and effort from library personnel to deal with donors and manage the donation process, to catalog the materials, and to maintain them as part of the collection. Gifts have little value if items are dated, inappropriate for an academic collection, or do not support the curriculum and institution's research directions. Gifts made by faculty would seem more likely to be relevant and useful; this paper investigates this assumption using the case of the Spanish gift books.

Literature Review

Discussions of gifts-in-kind, their management, and their utility—or lack thereof—to libraries appear regularly in the professional literature, so much so that Carrico in 1999 published an eight-page annotated bibliography on the topic of gifts in academic and special libraries.[2] In their paper describing the use of cost-benefit analysis to assess a large gift collection, Ballestro and Howze point out that library gifts are not free, as they require staff time to evaluate, obtain, process, and even discard; with this in mind, their worth is often debated by librarians.[3] As Thomas and Shouse mentioned in their analysis of the utility of gifts, older works, books in poor condition, and materials that are out of scope for the library's collection are not worth accepting.[4] However, even after using an initial assessment to remove inappropriate materials from consideration, concerns remained at their institution over the time and space required to evaluate, accept and process a relatively small number of relevant gifts.

Published studies on gifts in academic libraries have approached the issue of how value is determined in different ways. Several authors have examined usage of gifts, determined by circulation and in-house use. Diodato and Diodato in 1983 analyzed checkouts as a measure of the utility of a gifts program, finding that non-gift materials were borrowed four times more often than gifts.[5] Kairis compared use data (loans, renewals, and in-house uses) for gifts and a sample of non-gifts during a one-year period to provide statistically valid data on the relative use of gifts versus selected and purchased materials, and found that 55 percent of non-gifts were used versus 43 percent of gift books. Additionally, Kairis found that the average use per book was 1.38 for non-gifts and 0.87 for gifts.[6] In reviewing and adjusting their gifts program, Bishop, Smith and Sugnet compared circulation statistics for gift and non-gift materials, which was deemed the primary criteria in determining value by their administration. They found that 60 percent of non-gifts circulated in the past five years, while only 34 percent of gifts had circulated.[7]

Thomas and Shouse's study took a more detailed look at the use of gift books. They examined circulation for items in Library of Congress (LC) classes P and H and by subclasses for the latter, and to what extent interlibrary loan (ILL) accounted for gift circulation, and whether gift books were required reading for courses.[8] Their study showed that

gift books were used less: only 26 percent of books added in class P (Language and Literature) were borrowed, and these gifts had a use rate of 0.87 versus a rate of 1.64 for non-gifts. In class H (Social Sciences), 37 percent of the gift books were borrowed, and the use rate was 1.32 compared to 1.82 for non-gifts. Gift books that were on course readings lists had much higher use rates, ranging from 3.29 to 5.4 depending on the year and semester. In a six-year retrospective analysis of donated book use presented at the 2020 Charleston Conference, Cross examined patterns of usage by subject and age, and noted that items classed under English or History and those published in the past twenty years received the most use.[9]

However, circulation is not the only indicator of value for donated library materials, particularly for academic research libraries. Ballestro and Howze assert that the criteria for gifts acquisition "requires that the items selected build on the already existing strengths of the library's collection, and meet the institution's programmatic needs."[10] In her paper on the role of the subject specialist librarian in gifts management, Norris pointed out that "Often books that do not circulate frequently can be of extreme value to research, which has a narrower focus and subsequently a smaller user group."[11] This paper also described the benefits of outreach activities by liaison librarians in facilitating donations from faculty members, resulting in books which are valued by faculty being added to the library collection.

Kohl described the University of New Mexico's gift review process, which considers multiple factors.[12] In addition to excluding popular (non-academic) titles, textbooks, reprints, and items in poor condition, works must fall within the library's collecting scope. Language of gift items is considered in light of the institution's degree programs; the library actively acquires works in Spanish and Portuguese. Particular consideration is given to developing existing collection strengths, in this case their institution's concentration on New Mexico, the Southwest, and Latin America.

Ballestro and Howze noted that one benefit of donations may be to significantly enhance holdings in a subject area, or to fill gaps, which typically result from budgetary constraints.[13] At Concordia University Library, the relatively low budget allocations to support the CMLL department for many years may well have had such an impact on the collection. Other issues with library acquisitions, such as those associated with obtaining foreign language and area studies materials, can also result in uneven subject coverage. Ward described some of the challenges inherent in acquiring such materials: the need for foreign language skills, the use of diverse (and not always automated) resources for selection and ordering, particularly from multiple countries, relatively short print runs, cost and currency fluctuations, and delays or other problems with shipping.[14] One approach used to obtain such materials, as described by Thacker, is the overseas buying trip to purchase books directly from publishers, vendors, or at book fairs, an endeavor typically embarked upon occasionally by subject specialist librarians employed by larger academic libraries.[15] When the size of the department or program and the diversity of regions and languages represented does not warrant librarians undertaking such trips, donations from an academic travelling to a region and occasionally attending book fairs may be an effective proxy means to augment the library's collection of foreign materials.

For North American libraries, acquiring books from Latin America has been assisted by improvements in communication technologies and the organizational support and cooperative activities provided by the US-based Seminar on the Acquisition of Latin American Library Materials (SALALM), which has enabled Latin American vendors to work more closely with the North American library market.[16] Nevertheless, in their recent paper, Ibacache et al. investigated the acquisition in US university libraries of Spanish-language books, and found the majority of these were published in Spain or Mexico, far more than from any other Latin American country.[17] Due to the US embargo against Cuba in place since 1958, the acquisition of materials from Cuba in particular has been challenging for American libraries and even for libraries in other countries, given the relative isolation of the Cuban publishing industry compared to Latin American countries with readier access to international markets. Prefacing his account of a buying trip to Cuba, Alonso-Regalado of SUNY-Albany University Libraries mentions the difficulties and expense of purchasing Cuban books even through vendors from other countries.[18] Books published in Cuba may therefore be less frequently found in North American libraries, and the donations from a professor who regularly buys books in Cuba may have contributed to building a more robust and unique collection of these works at Concordia University.

In their paper on data-driven decision-making for gifts, Swanson and White discuss the potential for gifts-in-kind to provide "materials of unique, rare, or significant value to libraries," focusing on the concept of rarity and geographic scarcity.[19] Determining the existence and quantity of other holdings locally or nationally through WorldCat is a useful method to assess the availability or scarcity of works being offered. It may also be used to identify gift books already acquired that are rare or not readily available within a region. The Spanish-language books donated to Concordia University Library that were published and acquired abroad, particularly those from Cuba, may well include such items that could be identified using this approach.

In recent years, holistic collection assessment has become an increasingly popular approach to evaluating library collections: using multiple methods and varied types of data to better understand the breadth and composition

of a collection and its relevance and usefulness. This methodology may be applied to entire library collections or to specific formats, subject areas, or special collections. In her recent manual on collections assessment, Kelly asserts, "No single metric can adequately reflect a collection's value within our complex and evolving landscape and no assessment method or tool is so airtight that it could provide the sole basis for anything but the simplest assessment-related projects."[20] Assessing gift books using multiple measures can accomplish the same purpose as any collection assessment: to describe the collection in terms of scope—size, age, subjects, relative strengths—and to determine the value of the materials to the institution. For this collection of gifts donated to Concordia, value will be assessed through comparing usage with that of non-gift books, as has been done in previous research into gifts-in-kind; by examining the alignment of subjects covered with the relevant course curricula; and by ascertaining the uniqueness or availability in other libraries of the gift books.

Method

For this assessment, a combination of collection- and use-based techniques were used to review the gift books. Library system records and documentation of gifts-in-kind were first used to identify the donations made by the faculty member. From 1992 until mid-2020, the library used Innovative's Millenium and Sierra integrated library system products. Although the library migrated in July 2020 to OCLC's Worldshare Management System, bibliographic and usage data were extracted from Sierra in fall 2020 to ensure that all circulation and internal use data from 1992 to July 2020 were provided in a consistent format. Since gifts were identified in Millenium and Sierra with a note that included department code, a list of all gift books for the CMLL department was generated, and bibliographic and usage data for these were exported into Excel. Data fields included LC call numbers, title, author, year of publication, publisher and place of publication, language, ISBN(s), OCLC number, date of record creation, checkout and internal use data, notes, and record identifiers.

Using electronic and print documentation on library gifts-in-kind, all volumes donated by the faculty member were found and coded in the Excel file. Records for a handful of additional titles identified from the donation lists, but lacking the gift note, were also added to the file, as were records for approximately 100 books purchased by the professor in Latin America and reimbursed by the library. Finally, another seventy items in the file of gift books that shared record creation dates, publishers and place of publication, and authors with already documented donations from the faculty member, were coded as their gifts. These additions were confirmed through correspondence with the professor, who routinely included extra items not on the donation lists when depositing books at the library. In all, 814 volumes were identified as gifts made by the faculty member between 1995 and 2019. The data in this file were used to determine the publication date ranges, average age, and average time between publication and cataloging for all the gift books, as well as the proportion of books in Spanish, and the main subjects as identified by LC call number.

An initial review of the file revealed that 99 percent (n = 806) of the gift books were added to the main circulating collection, and 80 percent of all gift books (n= 650) are found in the LC Classification ranges for Spanish American literature (PQ7081-8560) and Latin American history (F1201-3799).[21] Bibliographic and usage data for all volumes (gifts and non-gifts) in these two LC ranges of the main collection were therefore extracted from Sierra, and the faculty member's gifts identified in these two spreadsheets using Excel's VLOOKUP function. This function allows data from separate sources to be matched using a common value, in this case the unique item record number from Sierra. The data sets were generated to identify the relative proportion of the gift books in these two subject areas; to conduct a more granular categorization by subject using LC call numbers; and to enable a comparison of usage between the gift books and non-gift items acquired during the same period. For the usage comparison, loans, renewals, and in-house use (which has been collected at Concordia for at least ten years by staff scanning all books picked up in the libraries for reshelving) were each counted as a single use and totalled for each volume. As 96 percent of the books donated in these two LC ranges are in Spanish, the usage comparison with non-gift books was limited to Spanish-language materials, as that would be more meaningful than including English-language or French-language works, which are far more likely to be used by the Concordia community. The usage data generated was compared with results from other published studies of gift book use.

All books in the PQ and F files were then coded by subject, mapping LC call numbers against the LC classification headings. This approach enabled the books to be categorized by geographic regions and countries, and by some specific literary topics, such as women authors. The goal of this subject mapping was multiple: to facilitate a comparison between the subject areas of gift items and the department's curriculum and research focus; to enable an analysis of usage data at a more granular level than by LC class alone to discover any subject areas where usage is particularly high or low; and to identify any subject clusters that are more unique in terms of holdings elsewhere in Quebec, Canada, and the US. These two files were also analyzed using record numbers, call numbers, titles/

authors, and date created to identify any duplicate copies or variant editions of works already held. Gift volumes from other call number ranges in the master Excel file of donations were checked individually against the catalog for duplicates and variant editions. Within this context, versions in other languages were not counted as variant editions.

All gift books in the PQ and F files were searched for holdings elsewhere in Quebec, Canada, and the US, using OCLC's WorldCat database. Determining whether donated titles are held elsewhere in Quebec or in Canada and the number of copies available in North America provides an indication of the collection's uniqueness, since one of the donor's goals was to develop a collection of materials not otherwise found locally to support the curricular and research needs of the Spanish program.

In a recent paper, Swanson and White describe using the WorldCat API to automate the process of obtaining holdings data for potential gifts-in-kind to assess rarity and availability within various geographic distances.[22] Using the WorldCat API would have significantly reduced the time required to compile holdings data. However, this method relies on using a unique OCLC record number for each work. For this assessment, such an approach would not have captured holdings for the same works from French-language institutions in Quebec and Canada, which use different OCLC records with French descriptions and subject headings from the English-language OCLC records used by Concordia and other English-language institutions in North America. Additionally, a single-record search would not provide holdings for variant editions or reprints. For works of literature in particular, counting holdings without considering alternate editions would present a very limited picture of the availability of the content elsewhere. For these two reasons, the gift titles were checked manually for holdings in WorldCat by searching OCLC record number. When holdings in Quebec, Canada, and the US on the matching record were counted, OCLC's "Search for versions with same title and author" function was used to identify additional holdings in the same geographic regions for French-language catalog records and for alternate print editions. Holdings with the University of Florida's code BNCJM (Biblioteca Nacional de Cuba José Martí) were not counted, as these are in fact items from Cuba's national library that have been added to WorldCat through a partnership with the University of Florida and OCLC. Holdings in Puerto Rican libraries were also excluded from the counts for US holdings, as works on Spanish American literature and Latin American history are both much more likely to be found there and less easily accessed by users elsewhere in the US and Canada.

Finally, the data in these two files were analyzed using filters, pivot tables, and charts to quantify the distribution of gift books across more specific subject areas; to calculate measures of usage and investigate relationships between subject and usage; and to ascertain the quantity and subjects of the donated works which are commonly held in other libraries.

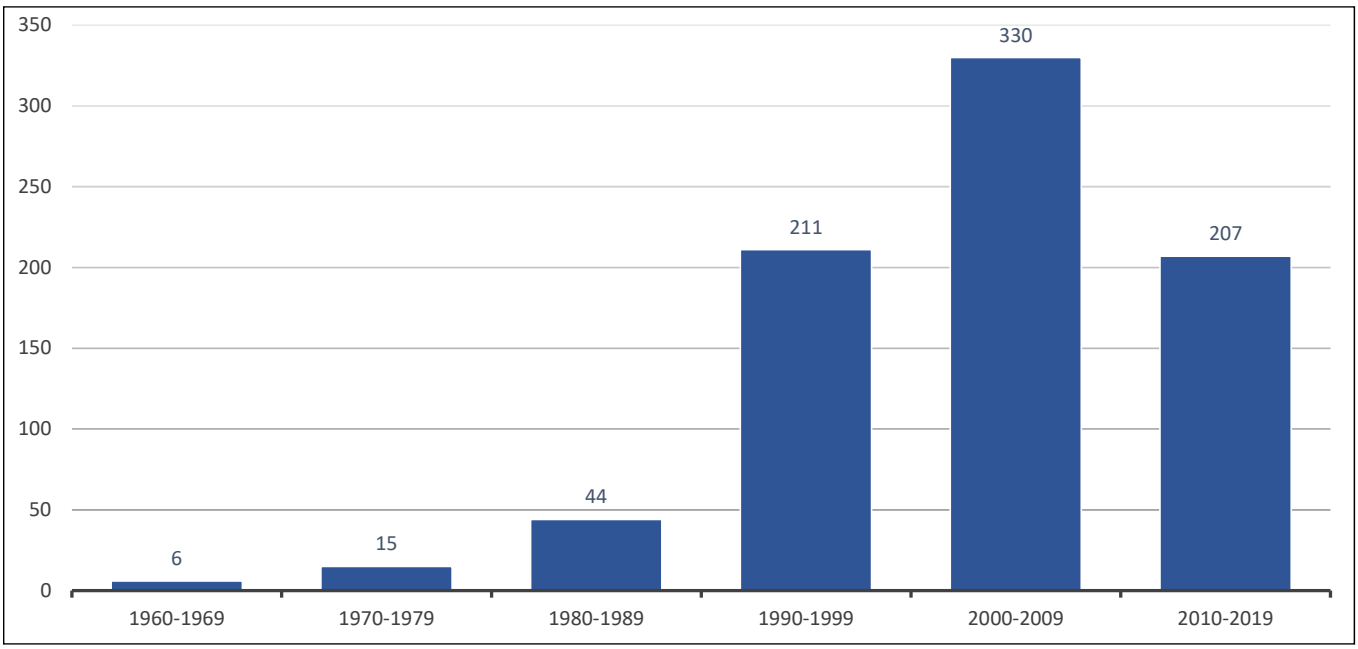

Figure 1. Gift books by year of publication

Findings

Age and Duplication

The age of gift books may be considered as an indicator of potential value. In their examination of gift book usage, Cross stated that "items with use were largely published within the last 20 years."[23] An analysis of the publication dates of the faculty gifts reveals that with the exception of one book published in 1926, the gift volumes were published between 1964 and 2019. Grouped into ten-year date ranges, 41 percent of the books were published between 2000 and 2009; 26 percent were published between 1990 and 1999; 25 percent between 2010 and 2019; and the remaining 8 percent were published between 1960 and 1989, excluding the 1926 outlier (see figure 1). Nearly two-thirds of the gift books were thus published between 2000 and 2019.

However, a more meaningful indicator for the potential utility of gift books may be the delay between the year when the book is printed and the date when the book is received by the library and added to the collection, which Diodato and Diodato refer to as "gift time lag."[24] Excluding the 1926 outlier, the average difference between year of publication and year added to the catalog for the 813 gift books is seven years, and the median difference is five years. In fact, 77 percent of these gifts were added to the catalog within ten years of being published. This is a far shorter time lag than that identified by Diodato and Diodato, who found that 88 percent of their gift books in subclass PS (American literature) were added more than ten years after printing.[25]

Another consideration in assessing the value of gift books is whether they duplicate existing library holdings. A review of all 814 volumes donated by the faculty member revealed that twelve items were second copies of works already acquired by the library, twenty-five items were more recent editions of works already held by the library, and one volume was a second copy of a work for which older editions were also owned. These thirty-eight duplicate items represent less than 5 percent of the total volumes donated.

Subjects and Curriculum

As previously mentioned, 806, or 99 percent, of the 814 donated volumes are found in the main circulating collection. The remaining eight books are in the non-circulating Reference collection, the Curriculum Collection of children's books and works on primary education, or on course reserve. In terms of subject classification, 80 percent of the 814 donated volumes are found in two specific subject ranges: 521 items in Spanish American literature (PQ7081-8560), and 129 items in Latin American history (F1201-3799). Of the remaining 164 items, twenty-three are in PQ6000, peninsular Spanish literature; twenty-one in HQ under Women—Feminism—Latin America; sixteen in PN, Literature (General); and the other works are scattered throughout the LC classification from AC75 (Collections

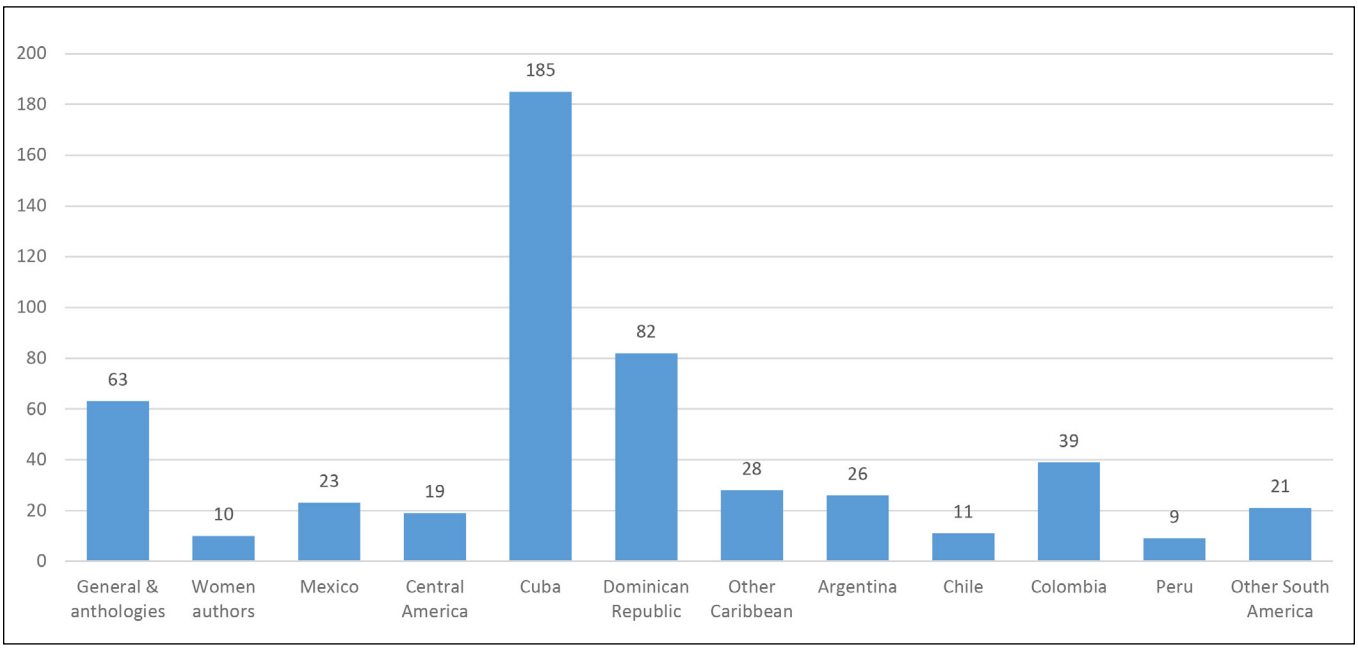

Figure 2. Gift books by subject: Spanish American literature (PQ)

of monographs, essays etc. in other languages) to Z1003 (General bibliography).

Regarding the 814 donated items, 770, or 95 percent, are in Spanish, forty-three are in English, and one is in Catalan. The proportion of Spanish-language gift books varies among the main subject areas identified above: 100 percent of the gift books classed under women's studies are in Spanish, 97 percent of the books on Spanish American literature, 94 percent of those on general literature, 91 percent of those on Latin American history, and 87 percent of the items on peninsular Spanish literature.

The LC classes for literature and history both use geographic divisions to further classify works. In subclass PQ, there are also sections for general works on literature and anthologies grouped by genre within the larger linguistic or regional sections. For the items held in the library's main circulating collection classed in Spanish American literature (n = 516) and Latin American history (n = 129), a further analysis of call numbers using the section headings of LC classification thus reveals the regional distribution of the gift books.

Figure 2 shows the gift books on Spanish American literature further grouped by these subject categories. Of those 516 items, 185 items, or 36 percent, are classed under Cuban literature, and eighty-two items (16 percent) are on the literature of the Dominican Republic. The literatures of Spanish-speaking South American countries account for 21 percent of the gift books (n = 106), while general works on Spanish American literature and anthologies, including those on specific genres such as novels, poetry, and prose, make up another 12 percent of the gifts. The remaining 15 percent are classed under Mexico, Central America, or other Caribbean countries, with ten books on the specific topic of Spanish American women authors.

The regional distribution of the 129 gift books on Latin American history in the main collection is somewhat different, as shown in figure 3. Here, thirty-six works on Mexico account for 28 percent of the donations, while thirty-one (24 percent) are about Cuba, and twenty-four (19 percent) are on the region of Latin America in general. Fewer of these books are on South American countries (n = 15, 12 percent) and the Dominican Republic (n = 14, 11 percent) than the literature gifts. Works on Central American and other Caribbean countries account for the remainder, nearly 7 percent of the total.

Given the differing emphasis on countries and regions within Latin America displayed by the numbers of books donated, the course listings and descriptions for the university's programs in Spanish and History were consulted to see how the focus on particular countries aligned with the curriculum. In addition to twenty-two courses on language and translation, and eleven on peninsular Spanish literature and culture, the Spanish curriculum includes ten courses focused on Spanish American literature and culture, and nine courses on topics in Hispanic literature and culture covering both Spain and the Americas. Among the courses on Spanish

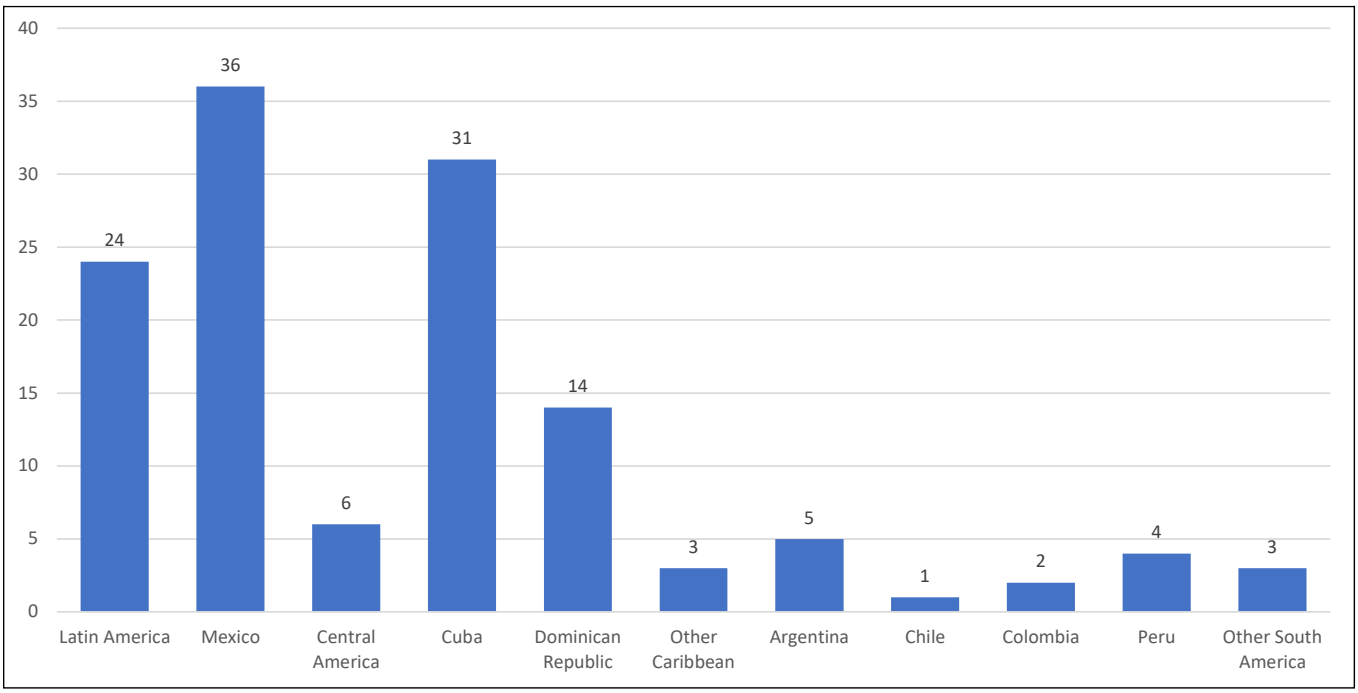

Figure 3. Gift books by subject: Latin American history (F)

America, the description for "Cultures of Mexico, the Central American Region, and the Spanish Caribbean" states that "Mexico, Cuba, and Colombia are given special importance; the history and culture of the Dominican Republic, Venezuela, Puerto Rico, and the Central American countries are also highlighted," while for the course "Cultures of the Southern Cone and the Andean Region," "Argentina, Peru, and Chile are given special importance."[26] Among the literature courses, descriptions specifically mention the following Spanish American writers: Heredia (Cuba), Sarmiento (Argentina), Gómez de Avellaneda (Cuba), Martí (Cuba), Gutiérrez Nájera (Mexico), Darío (Nicaragua), Lugones (Argentina), Carpentier (Cuba), García Márquez (Colombia), Puig (Argentina), Allende (Chile), Burgos and Menchú (Guatemala), Barnet and Montejo (Cuba), Sor Juana (Mexico), and el Inca Garcilaso de la Vega (Peru). The prominence of Cuban writers is notable. However, the disparities in the geographic coverage of the literature books are greater than one would expect from the curriculum, with books on Cuba and the Dominican Republic accounting for over half of the donations while works on South American countries make up less than a quarter and those on Mexican literature less than 5 percent of the gift items.

The History department offers eight courses focused on Latin America or the Caribbean, and three others covering the history of the Atlantic world (Africa, Europe, and the Americas). Of these eleven courses, one is devoted to Mexican history. Another addresses US, Cuban, and Mexican relations. The course "History of Latin America: The Modern Period" covers "the social and economic roots of political instability; Mexico under Porfirio Díaz; the Mexican Revolution; Argentina and Brazil under Perón and Vargas; US-Latin American relations; Castro's Cuba; revolution and counter-revolution in contemporary Latin America."[27] There is a clear focus on Mexico among the Latin American countries studied, although there is also a certain emphasis on Cuba. The higher proportion of books on Mexico among the gift books on Latin American and Caribbean history (as compared to the literature gifts) thus appears to align with the focus of the relevant courses offered by the History department. In comparison, the number of books on Cuba is again particularly high, while works on South American countries are once more underrepresented among the gift books.

Usage Analysis

The two files of books on Spanish American literature (PQ7081-8560) and Latin American history (F1201-3799) were further analyzed to examine usage in comparison with non-gift books, patterns of usage by subject, and the availability or uniqueness of the gift books based on holdings in other libraries. The usage comparison was limited to Spanish-language works, although holdings were checked for all gift books in these two subject areas.

For the usage comparison, two measures found in previous research on gift books were used: the number and percentage of items borrowed or used in-house at least once, and the average uses per item (calculated based on total uses divided by total used and not-used items). In addition to comparing data only for Spanish-language works, this analysis was restricted to non-gift books added to the collection during the same timeframe as the donated items. For books in the PQ subset, this range included volumes added between 1995 and 2019; for the books in class F, volumes added between 2000 and mid-2020. These parameters resulted in a data set for PQ7081-8560 of 500 gift volumes and 692 non-gift volumes, and 118 gift volumes and 191 non-gift volumes in F1201-3799. As the numbers demonstrate, the books donated by the faculty member make up a relatively high proportion of the library's more recent works in Spanish in these two areas: 42 percent of the 1,192 books acquired since 1995 on Spanish American literature, and 38 percent of the 309 books acquired since 2000 classed under Latin American history.

As illustrated in table 1, the results for books in PQ7081-8560 (Spanish American literature) demonstrate a usage pattern somewhat similar to those found in other published research on gift book usage. Books donated by the faculty member were used less than library-purchased items: while 63 percent of non-gift books had been used at least once, only 47 percent of the gift books had been used. This level of usage is slightly higher than the 43 percent of gift books in LC class PS (American literature) with at least one use identified by Diodato and Diodato between 1964 and 1982 and the 43 percent found by Kairis in his one-year examination of use.[28] It is higher still than the 34 percent of gift books used found by Bishop, Smith, and Sugnet over a five-year period, the 30 percent found by Cross in a six-year

Table 1. Usage of Spanish Gift and Non-Gift Books

LC call number range	Number of books	Number used	Percentage used	Use rate per item
PQ7081-8549 Spanish American literature				
Gifts	500	236	47%	1.26
Non-gifts	692	437	63%	2.77
F1201-3799 Latin American history				
Gifts	118	69	58%	2.09
Non-gifts	191	89	47%	1.52

period, or the 26 percent found by Thomas and Shouse over seven years for books in the LC class P.[29] Given that these proportions were found in examinations of predominantly English-language gift books at other institutions, the higher percentage of items used for these Spanish-language gift books at Concordia is an unexpected finding.

Turning to the measure of average use per item, or use rate, for gift books in literature, the use rate is 1.26, while for non-gift books the rate is 2.77 uses per item, or slightly more than twice that of the gift books. Again, this lower level of usage for the gift books reflects the findings from other usage studies of gift books, although the relative difference is much less than that found by Diodato and Diodato, whose non-gift books in LC class PS had over four times the use rate of the gift books. The difference comes closer to Thomas and Shouse's use rate of 0.87 for gift books in LC class P versus 1.64 for non-gift books, or Kairis's finding of 0.87 uses per item for gifts versus 1.38 uses for non-gifts. Given, however, that these other rates of use were for predominantly English-language works, the use rate found here for the Spanish gift books is again higher than anticipated.

A very different picture emerges for books in LC class F1201-3799 (Latin American history). The percentage of Spanish-language gift books used once or more is 58 percent, whereas of the non-gift books only 47 percent have been used—the inverse of the typical difference in usage between gifts and non-gifts. The fact that the percentage of gift books used in this subject area is higher than the percentage of non-gift books used is very surprising. The average use per item for the history books is 2.09 for the gift books and 1.52 for the non-gift books. As with the measure of percentage of items used at least once, this data demonstrating higher use for the gift books is a striking difference. Not only have the gift books on Latin American history had higher usage on average than the gifts on Spanish American literature, but they are receiving over 35 percent more use on average than the Spanish-language books in this subject area purchased by the library.

Usage by Subject

Delving deeper into usage of the literature and history gift books by separating them into the subject categories based on LC call number as described above illustrates some variance in usage according to topics by region. For Spanish American literature, works on the literatures of Peru, Argentina, Chile, and Colombia have the highest percentage of items used at least once, followed by books on Mexico and general works and anthologies. Works on women authors, on Cuba, and on other South American countries have a slightly lower proportion of items used

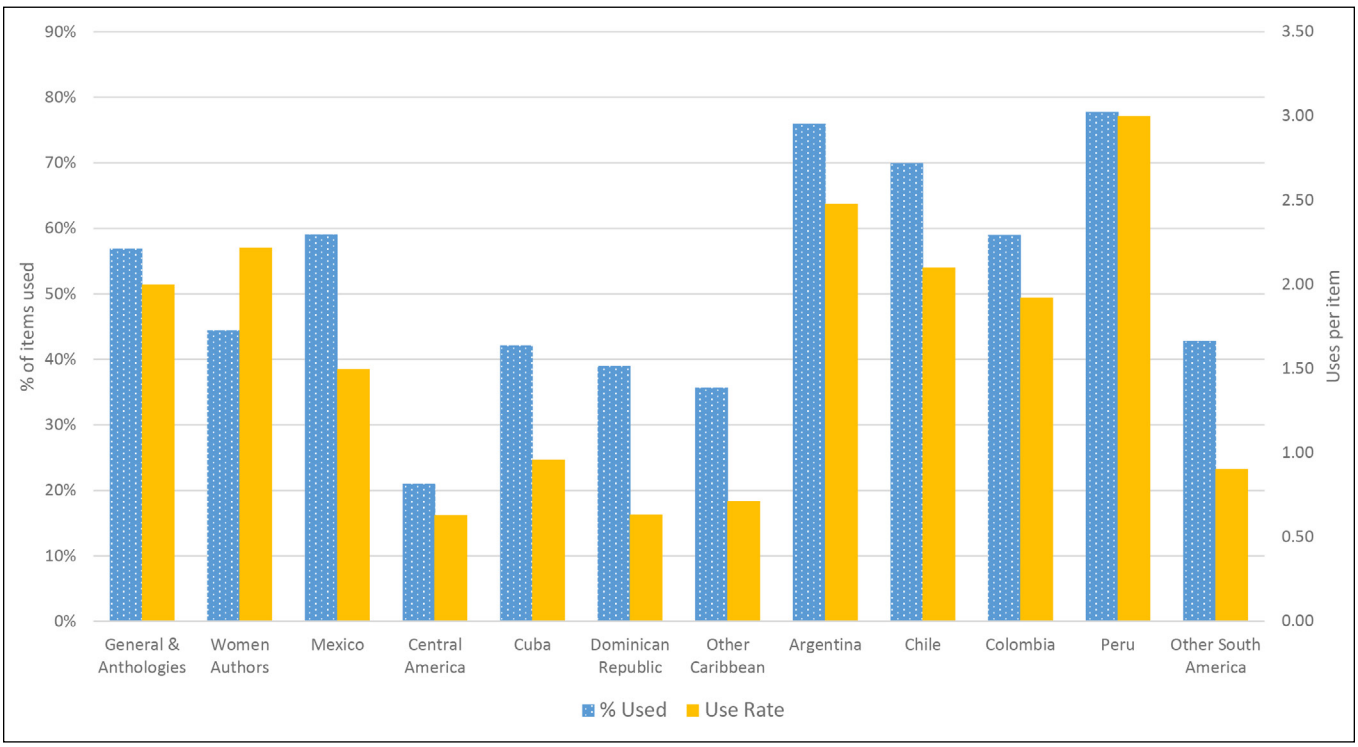

Figure 4. Gift book usage: Spanish American literature (PQ)

than the average of 47 percent, and those on the Dominican Republic, other Caribbean countries, and Central America have the lowest percentage of items used (see figure 4). The use rate shows similar geographic variations with books on the major South American literatures receiving the highest rates of use, although books on women authors have a higher use rate than the general works or those on Mexico. Works on Cuban and other South American literatures have use rates slightly lower than the average rate of 1.26, and again those on the Dominican Republic, other Caribbean countries, and Central America have the lowest rates of use.

There is a different pattern of use by region, as shown in figure 5, for the gift books on Latin American history. Here, 100 percent of the donated items on Argentina, Central America, and the Caribbean other than Cuba or the Dominican Republic have been used. Approximately two-thirds of the items on Latin American in general, Peru, and other South American countries have been used, with a slightly lower percentage of books on Mexico receiving use. Works on the Dominican Republic, Colombia, and Cuba have the lowest percentage of items used. The use rates broken down by country or region vary somewhat from the percentage used, with the highest rates found for books on Central America, Argentina, the Dominican Republic, and Latin America in general; books on Mexico, Peru, and Colombia demonstrating average use rates; and those on Cuba, other Caribbean countries, and other South American countries showing the lowest rates of use.

Holdings Elsewhere

After holdings in Quebec, in Canada, and in the US for the gift books on Spanish American literature and Latin American history were identified using WorldCat and tabulated, the results were compared to determine the availability or scarcity of these items. As previously mentioned, related editions and reprints were included in the tabulation; however, translations in other languages were not.

For the 516 literature books, 174 works were also found in other Quebec libraries, but 342 items, or 66 percent, were not. Looking at availability across Canada, 415 books or the majority were held elsewhere, but 101 books (20 percent) were unique within the country. A total of thirty-two items (6 percent) of these books were quite rare: held in nine or fewer other institutions in the US or Canada. However, when counting only holdings of the same edition as that given to Concordia—not variant editions—ninety books (17 percent) of the gifts on Spanish American literature had nine or fewer copies elsewhere in these two countries.

Examining the literature books not held elsewhere in Quebec or Canada reveals a certain pattern regarding subject. Out of the 342 gift books not found in other Quebec

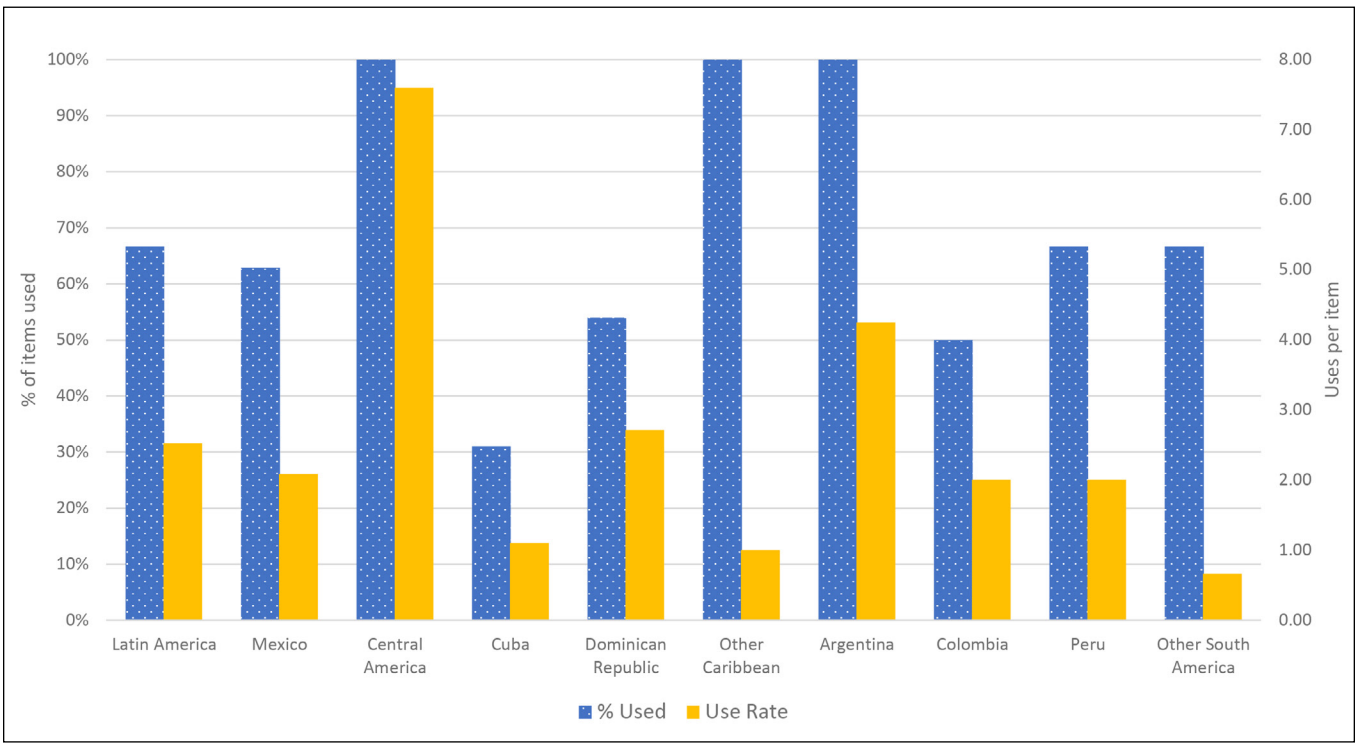

Figure 5. Gift book usage: Latin American history (F)

libraries, 121 items (35 percent) are on the literature of Cuba, and 71 items (21 percent) are on the Dominican Republic. The same two countries are the subject of two-thirds of the books that are unique within Canada: 34 percent of these are on Cuba and 33 percent on the Dominican Republic (see figure 6). Finally, of the thirty-two items that may be considered rare within the US and Canada, nine are on the literature of Cuba and nine on Dominican literature (28 percent each); of the ninety books where the exact edition is scarce in these countries, 21 percent are classed under Cuba and 20 percent under the Dominican Republic. To a certain extent, the predominance of works on Cuba among the less-held titles reflects the overall distribution of gifts in this call number range, as 36 percent of the donations are on Cuban literature. However, only 16 percent of the donated literature books are on the Dominican Republic, yet they account for a larger proportion of those works which are less widely available.

Regarding the 129 gift books on Latin American history, the availability of these works elsewhere at the regional and national levels is quite similar to that of the literature gifts. Only 41 of these books were found elsewhere in Quebec in WorldCat; eighty-eight items (68 percent) are unique within the province. Within Canada, ninety-eight of these works are found elsewhere, while thirty-one items (24 percent) are not. A total of nine books, 7 percent of the history donations, had nine or fewer holdings elsewhere in the US or Canada; again, though, when considering only identical editions, twenty-six books (20 percent) of these gifts were held in nine or fewer other institutions.

In terms of subject, the less widely held gift books in history are on slightly different countries and regions than the literature gifts. Of those not held elsewhere in the province, 28 percent (n = 25) are about Cuba, and 15 percent on the Dominican Republic. However, 23 percent are about Mexico, and 17 percent are about Latin American in general. For the thirty-one works not otherwise found in Canada, though, 36 percent are on the Dominican Republic while 23 percent are on Cuba, 19 percent on Latin American in general, and 13 percent on Mexico (see figure 7). Finally, the nine scarce history titles include four on Mexico, four on Latin American, and one on Cuba; of the twenty-six books where the exact edition is held in fewer than ten other libraries, half are on Mexico while only three are on Cuba or the Dominican Republic. Here as well, the higher numbers of works on Cuba or Mexico among the less-commonly held items mirrors the greater number of history gift books on these two countries. Just as with the literature donations, though, works on the Dominican Republic make up a higher proportion of these less commonly found books than they do as part of the history gift books overall.

Discussion

The donations made over the years by this faculty member have made a sizeable contribution to the library's holdings on the literature and history of the Spanish-speaking countries of Latin America and significantly increased the number of Spanish-language works in the collection. Unlike many gift books received by libraries, these are relatively recent, as nearly two-thirds of the donated works were published in the past twenty years. Additionally, the gifts have typically been added to the library's collection relatively soon after publication: half were added five years or

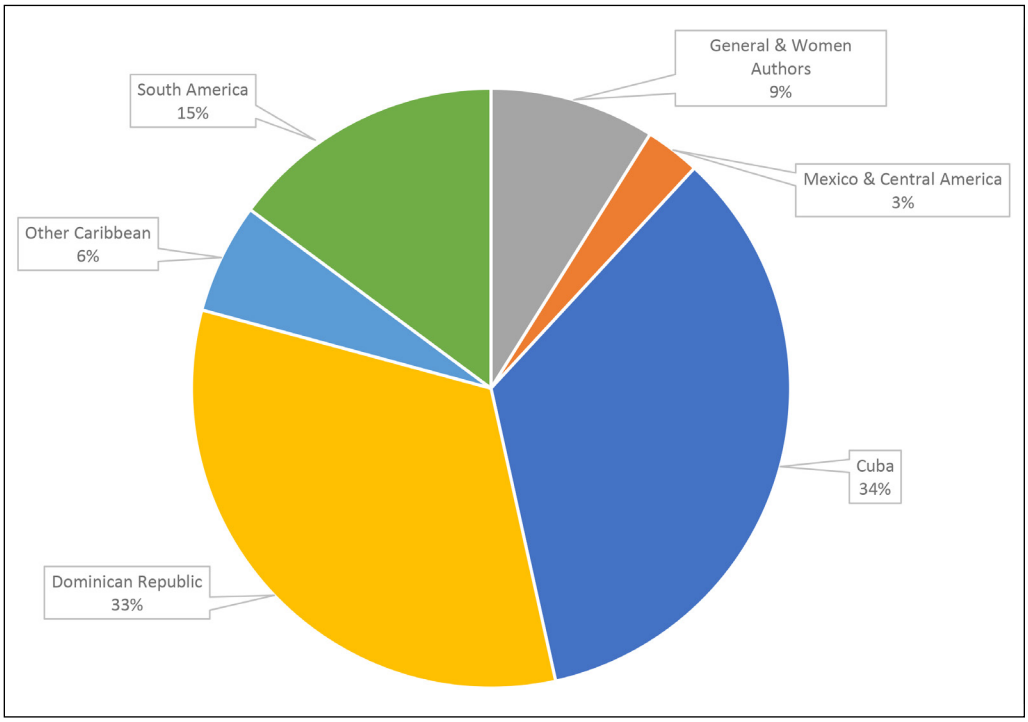

Figure 6. Gift books which are unique within Canada, by subject: Spanish American literature (PQ)

less after publication, and over 75 percent within ten years. From this perspective, the books are desirable and timely additions to the library. This is not an instance of a faculty member regularly clearing personal bookshelves of older material by donating to the library, but rather acquiring books with a view to adding them to the library's collection. The donations have also contributed unique titles to the collection, with fewer than 5 percent consisting of extra copies or related editions of works already held and most of these thirty-eight items being more recent editions of works held.

The general geographic distribution of the gift books in literature reflects to some extent the priorities of the curriculum for the Spanish program, except for a clear emphasis on literature from the Americas as opposed to peninsular Spain. In fact, the gift books make up a surprisingly large proportion of the Spanish-language works in this subject area that were added to the library over the past twenty-five years, with 500 items donated compared to 692 items purchased by the library. However, the library's overall holdings in PQ6000, Spanish literature, are still approximately 10 percent larger than the holdings in PQ7081-8650, Spanish American literature. The department's curriculum gives nearly equal weight to the two Spanish-speaking regions, but without these gift books, the collection of the literature and culture of peninsular Spain would be 30 percent larger than that about Spanish America. In this instance, the gift books have definitely filled a gap in the library's holdings.

For the history books, 118 Spanish-language books on Latin American history were donated since 2000, compared to 191 non-gift items acquired by the library; the donations thus make up a sizeable proportion of the library's more recent acquisitions in this area.

Considering the specific geographic areas represented by the gift books in literature and history, works on Cuba clearly predominate, as was suspected due to the faculty member's regular trips to that country. However, the quantity of books on Cuba appears to outweigh what the curriculum would suggest is needed. Among the books on Spanish American literature, the Dominican Republic also appears overemphasized while Argentina is underrepresented. For Latin American and Caribbean history, the higher proportion of gift books about Mexico does align with the focus of courses offered, based on their descriptions. However, in addition to the number of books on Cuba being disproportionately high, works on South American countries also appear underrepresented among these donations. This may be somewhat mitigated by the works on Latin America in general which account for 19 percent of the history gift books.

While the undergraduate curriculum for the Spanish program indicates a certain emphasis on Cuba and several Cuban writers, it is clear that the donor was focused on building the library's collection on Cuban literature, culture, and history, and to a lesser extent, the Dominican Republic. These donations are mostly from major publishers such as Casa de las Américas, Letras Cubanas, and Ediciones Unión in Cuba and Banco Central de la República Dominicana and Ediciones de la Fundación Corripio in the Dominican Republic. In addition to books by and about well-known figures such as José Marti, Alejo Carpentier and José Lezama Lima (Cuba), and Juan Bosch (Dominican Republic), the donations include multiple works by modern writers including Marilyn Bobes León, Nancy Alonso, Nancy Morejón, María Elena Llana, Ena Lucía Portela, Anna Lidia Vega Serova, and Mylene Fernández Pintado (Cuba) and José

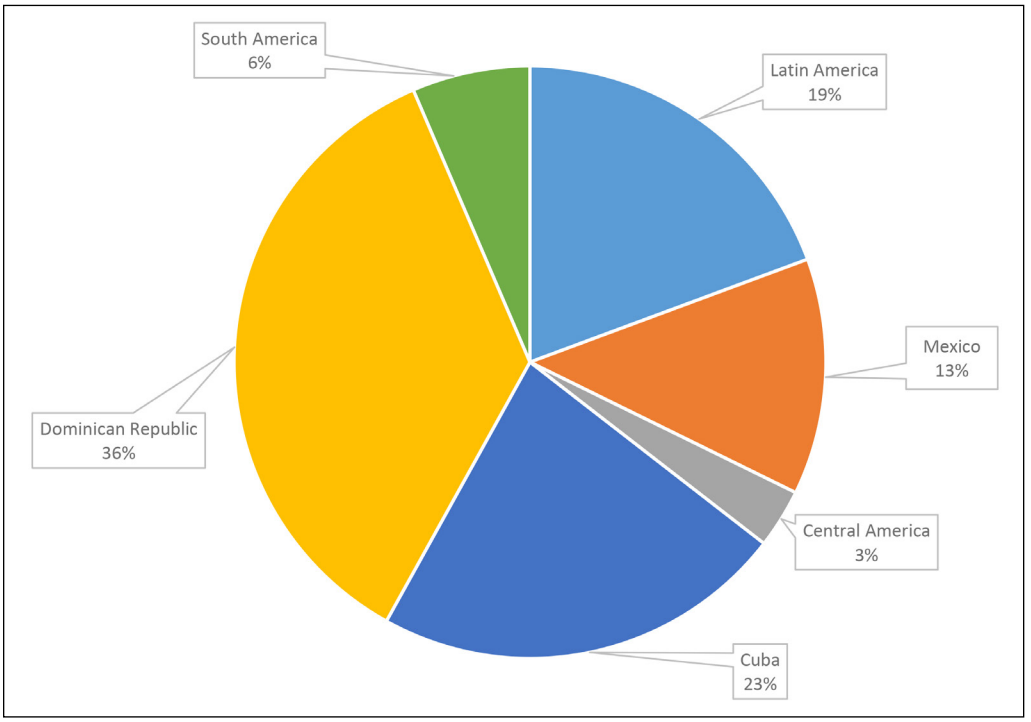

Figure 7. Gift books which are unique within Canada, by subject: Latin American history (F)

Alcántara Almánzar, Angela Hernández, and Jeannette Miller (Dominican Republic).

The donations reflect the donor's own research interests and activities. Many of these books were acquired through regular attendance at the Feria Internacional del Libro de La Habana in Cuba, and some were gifts from the authors. The faculty member has written extensively about Latin American women writers, although the focus of her research has primarily been the Modernismo literary movement of the late nineteenth and early twentieth century and the Romantic movement that preceded it, plus the representation in historical accounts and literature of Indigenous women such as Anacaona and La Malinche. Although some of the donated books in literature and history relate to these topics, plus the twenty-one books classed in HQ under feminism in Latin America, many are more recent literary works. A strong collection of twentieth century and contemporary Cuban and Dominican literature has been developed, one that could support graduate-level and faculty research. The emphasis on women writers and feminism in Latin American also aligns with the university's focus in this area—Concordia University is home to the Simone de Beauvoir Institute, which has offered programs and supported research into women's studies since the 1970s.

Regarding the comparison of usage between Spanish-language gift books and non-gifts in these two areas, the level of use is rather higher than expected for the literature gifts, especially compared to previous published studies of gift book usage. While the higher proportion of gift books being used may be due to the longer timeframe of twenty-five years of use data, it is surprising to see this level of use for works of literature and criticism written in Spanish, given that the Spanish program is relatively small and the number of other users who might borrow literature in Spanish is not likely to be particularly large in a university where the primary languages are English and French. The higher degree of use found for the history gifts in Spanish is unexpected and impressive, given that it exceeds the usage of Spanish-language works in the same subject areas purchased by the library during the past twenty years, which is unusual for donated books. Clearly a good proportion of these gift books corresponds with the needs of students and faculty studying and researching the culture and history of Spanish-speaking Latin America.

When looking at the more granular analysis of usage by call number, clearly books on certain regions have received more use than others. Among the literature gift books, those on the larger South America countries and Mexico are used the most, Cuban literature has received slightly less than average use, and Dominican literature even less. Gifts classed in history display more disparity between the two measures of percentage of items used and the average use rate by region, but overall, books about Central American countries and Argentina receive the most use. In this category, works on the Dominican Republic have the third highest use rate, although the 54 percent of these items that have been used is slightly below the average of 58 percent for the history gifts. While the greatest number of history gifts are classed under Mexico and Cuba, usage of the former is about average among the history donations, but those on Cuba have the lowest percentage of items used and a below-average use rate.

Although works on Cuba and the Dominican Republic make up a high percentage of the donated items, books on Cuba in particular are not being used as much as those about the larger South American countries, even though the use of Cuban literature books is still equivalent to or higher than that found in other studies analyzing usage of gift books in general. These titles are, like the other gifts, relatively recent works that are appropriate for a university collection and for the courses being offered. The question remains whether the lower level of use justifies the quantity of items added to the library's collection. This analysis also shows higher use of books on the major literatures of South America, particularly of books on Argentina and Peru. Acquiring more works on this region would be a reasonable collection development strategy for the library going forward, through purchasing and encouraging future gifts.

The final parameter assessed with regard to the literature and history gifts is their availability or scarcity, as determined by WorldCat holdings in other libraries locally, nationally, or in North America (excluding Mexico). According to this data, the majority (two-thirds) of these books are not available elsewhere in the province, and over 20 percent of the works are unique within Canada, including variant editions. If just holdings of identical editions are counted, 34 percent of the gift books are not found elsewhere in the country. Only 41 books, or 6 percent, may be considered rare in that they are found in nine or fewer other libraries in Canada and the US. However, when variant editions are not counted, 116 items, or 18 percent, of the gifts are held in fewer than ten other libraries in these countries. As well, 60 percent of the literature and history gifts have fewer than fifty holdings of the same or related editions in these two countries, and 30 percent of them are found in fewer than twenty-five institutions. Clearly these gift books constitute a distinctive and locally unique collection on Spanish-speaking Latin America.

Among the books that were held in fewer libraries, those on Cuba and the Dominican Republic predominate, and those on Mexico among the history donations, just as they do among the gifts overall. The proportion of less available works that are on Cuba reflects almost exactly the proportion of books on Cuba among the donations in general, but the works on Dominican literature make up a higher proportion of the titles not found in other libraries

locally or nationally than they do of the gifts overall. A specific and uncommon collection on the literature and culture of Cuba and the Dominican Republic has thus been created from these donations.

Conclusion

Based on the factors considered in this assessment, the books donated by this faculty member are in general appropriate contributions that have added value to the library's collections. They are mostly recent publications that were received by the library sooner after publication than most gifts-in-kind; and they are in subject areas that align with the focus of the Spanish program and related courses in history, significantly increasing the library's holdings on Latin America. The level of use is higher than expected for gift books, particularly for foreign-language materials. While these books constitute a small sample, the results of the assessment demonstrate the relevance and utility of these faculty donations. Applying these assessment methods to a broader range of gifts-in-kind from faculty and other donors could provide further insights into the value of such gifts to the library.

The gifts are skewed toward works about Cuba and to a lesser extent, the Dominican Republic, to a degree that is not supported by the usage data comparing these books with the gift books on other regions. This weighting is likely a result of the donor's travels and interest in the Spanish Caribbean and her belief that these works would otherwise be less easily found in Canada. Her assumption is borne out by the data compiled on holdings elsewhere in Canada and the US, which demonstrate that a significant proportion of the gift books, particularly those about Cuba and the Dominican Republic, are not widely held elsewhere. These findings are similar to those of Ibacache et al., whose investigation into the acquisition of recent books in Spanish by academic libraries in the US found far fewer publications from Hispano-American countries other than Mexico.[30] They point out that acquiring books published in these countries may not only fill gaps in the collection but expose the academic community to a broader range of writers and perspectives from the region through building a more diverse collection.[31] Given that so many of these gift books are not widely held in North America, it would be interesting to examine ILL data to determine to what extent other libraries are borrowing them.

Although the donations of Cuban and Dominican literature are more extensive than is needed to support the current undergraduate curriculum, these works might be put to greater use for coursework and research if faculty and students were made aware of this rich and unusual collection. A recent white paper issued by the Arizona State University (ASU) Library on the future of print collections in academic institutions emphasizes the value for libraries in identifying and promoting any distinctive collections that can serve to highlight the institution's unique character.[32] This assessment has uncovered one such distinct collection, which could benefit and enrich the university's teaching and research on Latin America if awareness of it were raised through promotional and outreach activities on the part of the library.

This discovery reinforces the value of using a holistic approach to assess library collections. Evaluating these books using a single measure such as usage would not have revealed the uniqueness of the gift holdings, nor the range of countries and subjects represented. As pointed out in the ASU Library white paper, "Basing an open collection on records of historic use runs the risk of enshrining traditional perspectives and risks losing more diverse cultural perspectives."[33] The collection that was developed as a result of these gifts not only broadens the library's holdings on Latin America, but with its emphasis on works from Cuba, the Dominican Republic, and women writers, it provides access to voices that may be less frequently encountered in North American academic libraries.

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Notes on Operations

Changing Times

Assessment of Continuing Resources Due to Budget Cuts Necessitated by COVID-19

Jaclyn Lee Parrott

Due to COVID-19, a purchasing freeze was implemented, and budget cuts mandated by Eastern Washington University. This necessitated a review of all the library's continuing resources with a short turnaround time for decision-making due to subscription renewal deadlines. Considering quantitative and qualitative factors, a collaborative effort from internal stakeholders ensued. A tiered collection assessment decision making approach was designed and implemented. Cancellations ensued, and 25 percent of the collections budget was cut. This project involved a systematic review of databases, individual journal subscriptions, and print standing orders. A project of this scale could not have been as efficient and effective without the cooperative effort between those in collection services, public services, faculty, and administration.

Academic library budgets at public universities are often cut or remain flat during normal operations, and depend on many factors, including enrollment, endowment contributions, or state government support. Scholarly information costs continue to rise while library expenditures are seemingly under constant scrutiny.[1] When the unexpected global COVID-19 pandemic occurred, it placed more pressure on libraries' funding for resources and services. The pandemic adversely affected public universities' budgets, including that of Eastern Washington University (EWU). Librarians faced the undesirable decision to cancel continuing resources to save the university funding.

This paper discusses how EWU stakeholders collaborated during the COVID-19 pandemic to reduce their library's collection budget, which involved a systematic review of databases, individual journal subscriptions, and print standing orders. Librarians designed a tiered collection assessment approach tailored to the university setting, considered quantitative and qualitative factors, and cancelled subscriptions based on the methodology employed. A project of this scale could not have been as efficient and effective without the cooperative effort between several collaborators who determined what continuing resource subscriptions would remain financially sustainable during unprecedented times. This paper addresses the library's context, how other libraries have evaluated their collections, how EWU assessed theirs with a tiered ranking approach that relied on quantitative and qualitative factors, the results they achieved, what could have been done differently, and what may be done in the future. Other libraries may be interested in adopting a similar approach and model for making sustainable budget cuts to continuing resources.

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Background

EWU Libraries and Learning Commons support a regional public university with approximately 12,000 students and 500 faculty members. It offers a plethora

of undergraduate and graduate degree programs. The main library provides access to approximately 1.1 million physical items, 515,000 e-books, 150,000 e-journals, and 239 databases (299 before recent cuts). In May 2021, the library employs thirty-one individuals, including one library dean, one library faculty chair, and thirteen tenured or tenure-track faculty librarians. There are ten reference and instruction librarians, one collection management librarian, one metadata librarian, and one discovery services and systems librarian. All librarians serve as subject liaisons.

Subject liaison librarians serve the university's various programs and communicate regularly with teaching faculty. They perform collection development and provide instruction in the subject areas that they represent. Three librarians and four staff members make up the Collection Services unit, comprised of acquisitions, cataloging, discovery services, electronic resources, and other technical services functions. The librarians in this unit include a collection management librarian, metadata librarian, and discovery services and systems librarian. Until recently, there was also a collection maintenance librarian, but this position was first frozen and then cut permanently. The staff consists of four library and archives paraprofessionals (LAPs) and one library and archives paraprofessional (LAP).

When the COVID-19 pandemic began to spread in the United States, it became apparent that it would be some time before Washington's medium-sized, regional public university could safely resume on campus classes. Therefore, a campus-wide teleworking plan for employees was implemented. Executive administration proactively initiated purchasing and hiring freezes when classes switched to online. The library returned year-end money that had been reserved for emerging resources to the university. Severe budget cuts were mandated before one fiscal year concluded and the next began. State budget cuts ensued, while enrollment continued to drop. Rather than cutting more personnel and placing an added burden on existing library faculty and staff, the collections budget was targeted.

At the author's university, changes continue to occur. In July 2021, the university's seven colleges were restructured into four. EWU Libraries and Learning Commons, which functioned as a stand-alone college with its own library dean and budget, became the School of Libraries organized under the newly formed College of Professional Programs (CPP). The incoming CPP dean had a background in psychology and would oversee six other schools in addition to the library. These include the School of Accounting, School of Business, School of Education, School of Psychology, School of Military Science and School of Social Work. The workforce at the top levels of the university and the library also changed. The provost resigned, and the interim provost became interim president after the previous president resigned due to a vote of no confidence from the teaching and library faculty. In December 2021, the new provost stepped down and the CPP dean became provost. The CPP associate dean became dean. Modifications in the top of library leadership continue to occur. In the past two years, the library has had three deans due to a resignation, death, and one serving in the interim. Now the library has a director instead of a dean and faculty chair who reports to the CPP dean.

Labor shortages in library staff resulted from the same reasons as the transition in library leadership (resignations,

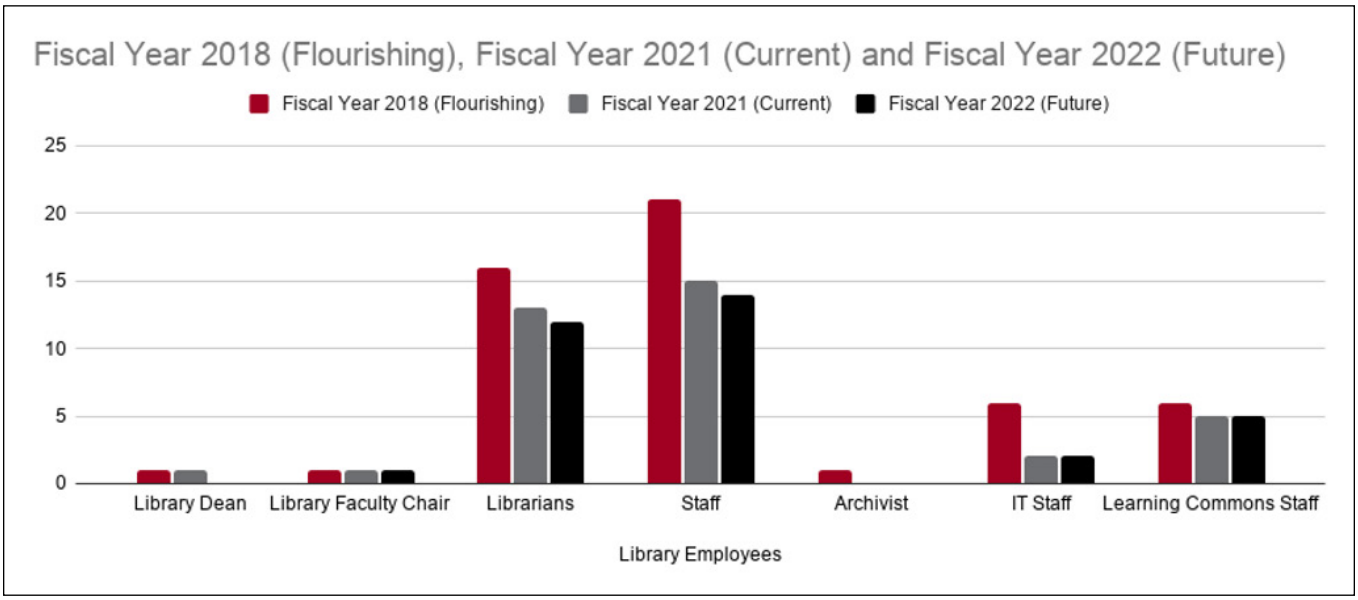

Figure 1. Personnel Changes Over Time

retirements, and death). Due to circumstances, the library lost twelve employees. Only one of the staff members was replaced, and no new librarians have been hired since these changes transpired. With permanent reductions of university staffing, these vacancies will most likely not be filled due to the hiring freeze implemented during COVID-19 related budget cuts. Subject liaisons now represent more programs outside their field of expertise because of the hiring freeze and reduction of the library labor force. In the new fiscal year, the library lost three more employees. Personnel changes have impacted library personnel over time (see figure 1). In 2018, staff and faculty thrived, in current times they are surviving, but the future looks bleak.

With already sparse personnel resources, the library's collections fund budget faced needed reductions. As seen in figure 2, the collections budget consists of state funded operations money (the university is currently 50 percent state supported), endowments, replacements, and distance learning funds. The endowment fund includes various grant foundation monies with stipulations regarding how the donated money can be spent. The replacements fund is used to be replace lost or damaged books. The distance learning fund pays for the library's streaming media and shared consortial e-books. The main collections fund is used for subscriptions, one-time purchases, and maintenance fees. It also includes service charges, shipping, tax, or bindery charges. This collections fund became the target of the cuts.

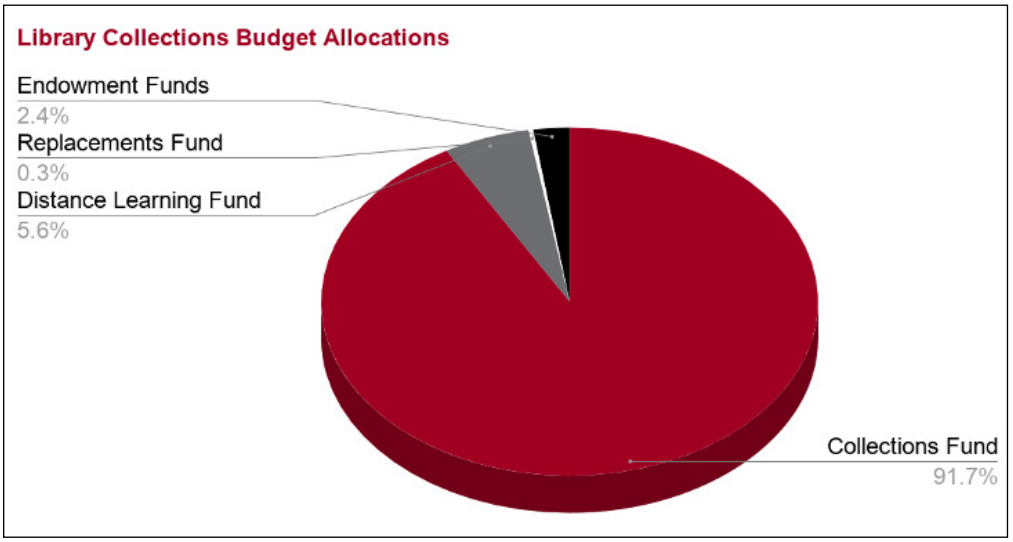

Figure 2. Library Collections Budget Allocations

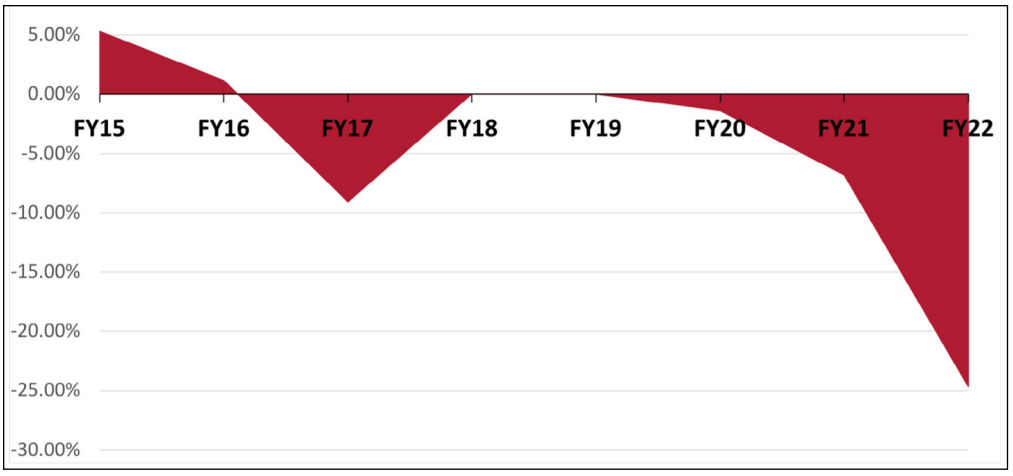

Figure 3. Collections Budget Percentage Change Fiscal Years 2015–2022

The collections fund budget had remained fairly stable in the past, but cuts were necessary before the pandemic. Fiscal years 2015 and 2016 saw slight increases in the collections fund budget, fiscal year 2017 brought a 9 percent decrease, fiscal years 2018 and 2019 remained flat, and fiscal year 2020 realized a cut of 1.4 percent. In the fiscal year 2021, the library budget was cut by 6.8 percent. This resulted in a cut of $89,000 of continuing resources from the collections fund budget and returning $31,000 to the university that would normally have been used for one-time purchases. In fiscal year 2022, the collections fund budget faces a permanent reduction of $300,000, which is another 25 percent cut.

The library previously had a set budget amount allotted for collections. The collection management librarian and collection maintenance librarian managed all subscriptions and monies associated with the collections portion of the budget. They consulted faculty librarians and the library dean as needed. When the collection management librarian

resigned in July 2019, the collection maintenance librarian assumed all resource budget management duties and took over as the collection management librarian.

An allotted portion of the collections budget is normally allocated to acquire new print materials pertaining to subject liaison librarians' areas of expertise, and is based on past average spending. This portion of the budget covers teaching faculty requests or collection development choices. Librarians use Choice book reviews or Global Online Bibliographic Information (GOBI) to assist in their decisions. GOBI is an acquisitions interface used to place orders for print and electronic monographs. Besides offering reviews and various vendor options, it also provides approval plans for librarians based on their subject areas. Each librarian is notified when there are new publications within their individually profiled subject areas to help enable them to make more informed selections.

GreenGlass, OCLC's collection management web application, generates and analyzes custom holdings data, and was used as an assessment tool in 2017–2018. This helped librarians determine how well the library supported each program's curriculum. while simultaneously informing deselection decisions. Additionally, interlibrary loan (ILL) requests are tracked, revealing the most frequently used journal titles.

The focus shifted to e-resources when the library physically closed due to COVID-19. Librarians were no longer purposefully building the collection with their own selections. Their requests were restricted to those that came directly from students or teaching faculty. Subsequently, all print standing orders and all print serials subscriptions had to be evaluated. Print serials are normally bound, but the bindery budget was also slashed.

Before the pandemic, librarians met regularly with teaching faculty to determine the addition or cancellation of e-resources. Usage statistics are routinely considered as part of this process. Wish list spreadsheets are maintained, and regular Collections meetings take place to facilitate dialogue between all librarians. Not everyone feels empowered to advocate for their program's needs. To give everyone an equitable voice, a collections survey was distributed, and each librarian voted on emerging resources they deemed necessary for the areas that they represented, while others could also advocate for these resources (see appendix A).

Previously, the collection maintenance librarian tracked statistics for all e-resources with data available from vendor records in Alma, the library's Library Services Platform. However, there was no longer a position dedicated to collection assessment and ensuring that these vendor platform and journal statistics were current. COUNTER dashboard data generated from SUSHI in Alma Analytics lacked the detail needed to generate reliable Cost per Use (CPU) metrics for collection decisions on an as needed basis. These statistics needed to be updated before renewal decisions could be made.

A Global Pandemic

In March 2020, the pandemic forced operations to cease in-person. All courses were moved online, and a purchasing freeze was implemented. The library building closed to the public. All print shipments were placed on hold. As a Federal Depository Library, this included government documents. Resource sharing, borrowing, and lending stopped. All collection development was suspended for monographs until February 2021. Only e-books requested directly from faculty were ordered. The monographs budget was reduced by $10,000 so that this money could be used to ship books to and from users with an EWU Libraries account who were unable to access them on-campus during the library closure. Due to the budget freeze, none of the year-end money normally spent on one-time library purchases could be directed towards new collections, nor could remaining funds be set aside for a new subscription. All monies were taken back by the university. Librarians no longer had the autonomy to make selection decisions. Every decision was filtered through the library dean, and items he approved to renew or cancel were submitted to the president's office for final approval.

This centralized model was problematic when trying to be proactive with cuts, as library subscriptions include different licensing stipulations and renewal deadlines. Some licenses are multi-year renewals, and managed through a consortium, for example. It was necessary to quickly retrieve data for the remaining encumbered fiscal year 2020 renewals and for the upcoming fiscal year 2021 items. Generally, collection librarians do not seek approval to pay for encumbered materials. With enrollment numbers still in flux, hard financial data was not readily available for the new fiscal year budget; therefore, the budget was fluctuating. Collections' decisions were based on the timing of renewals despite usage being high for these continuing resources. Email threads of feedback between library colleagues proved inefficient and chaotic as subject liaisons were not familiar with every database and journal, but still provided feedback on all resources even though certain ones did not fit into the subject areas they serve.

Librarians realized a more measured approach needed to be prioritized to make informed and balanced decisions relating to all resources due for renewal in the next fiscal year, while seeking approval for those still encumbered in the current fiscal year (see figure 4). A systematic approach was devised in May, and designed in June. Library staff coordinated the update of resource statistics in summer, and by August, most feedback had been collected. This allowed time for the remaining subscription decisions to

be proactively submitted for approval before it was necessary to negotiate terms with vendors. At the beginning of this project, the library anticipated a 25 percent cut to the library budget, with the majority of cuts being made to the collections budget. Reviewing how other libraries have assessed their collections and the various methods they used to evaluate their resources was the first step in determining what factors EWU's library would consider in its resource review and collections budget cuts.

Literature Review

It is evident evaluation of library resources has occurred throughout time. Kennedy et al. point out that this is often necessitated by ever-increasing serial costs.[2] Wilde and Level advocated for extensive interdepartmental collaboration when undertaking assessment.[3] Kelly determined that only collection development individuals should chart the course.[4] Wilde and Level acknowledged that there appears to be a lack of routine, formal assessment taking place in libraries, and that most collection assessment seems to be done on an as-needed basis.[5] According to Murphy and Buckley, the cost of serials has increased by 43 percent since 2013.[6] Arthur saw the rising costs of serials as an opportunity to negotiate with vendors to reduce continuing resources contract rates.[7]

Concerns related to a periodical's perpetuity when there is no guarantee that the electronic version will endure after its print counterpart is cancelled. Financing the electronic version is usually more expensive. Foudy and McManus noted that the price for electronic and print options are frequently offered at a discount when bundled, which further complicates the process for evaluating journal titles.[8] Furthermore, journal packages are not always flexible. Vendors expect a certain spending threshold to be met. Title swaps may be allowed, but not cancellations. Sometimes an entire collection is cancelled versus having the opportunity to customize a title list by selecting specific titles.

Quantitative methods help prevent bias in decision making. Wilde and Level explained how statistics help narrow down which titles should be evaluated if usage is low, rather than wasting time assessing heavily used titles.[9] Libraries vary in how much they are willing to spend on each use (uses measured vary depending on what metric is utilized, e.g. search, download, click, etc.). CPU is calculated by taking the subscription renewal price and dividing it by a year of usage. Enoch and Harker used seventy-one dollars per use as their threshold.[10] Arthur chose $201 as the measure for determining his library resource's CPU.[11] Murphy and Buckley based theirs on how much an ILL transaction would cost; a cost of thirty-fifty dollars or more merited an ILL request since this is often what a library is charged, depending on how many copies have already been requested or what another library may charge others.[12]

Hoeve stated that involving teaching faculty in the assessment process through qualitative surveys or other communicative means is helpful because they can provide feedback on issues such as program accreditation needs or university mission, and explain which journals directly support their course curriculum or research.[13] Departmental response versus relying only on individual faculty responses is important, according to Hardy, Zimmerman, and Hanscom.[14] Many librarians focus on what their collections lack, rather than what they own or to which they can provide access. They also seem to undertake evaluation projects with longer timelines periods of time versus the shortened timeline a global pandemic necessitated.

Various methods of e-resource evaluation and collection assessment have been used. Wilde and Level employed analytics such as usage data, collection overlap, and statistics from link resolvers to help inform how well their resources were being used or duplicated.[15] Hardy, Zimmerman, and Hanscom tracked only searches/sessions/full-text abstracts data elements for subscriptions that were not part of their consortial arrangements.[16] Enoch and Harker focused on evaluating journals with access restrictions. They ensured that all institutional users could access a resource, and considered the length of embargo periods.[17] Range of scope for each journal (journals reaching a broader audience versus a narrow range of users) was important to Kennedy et al. at the University of Florida.[18]

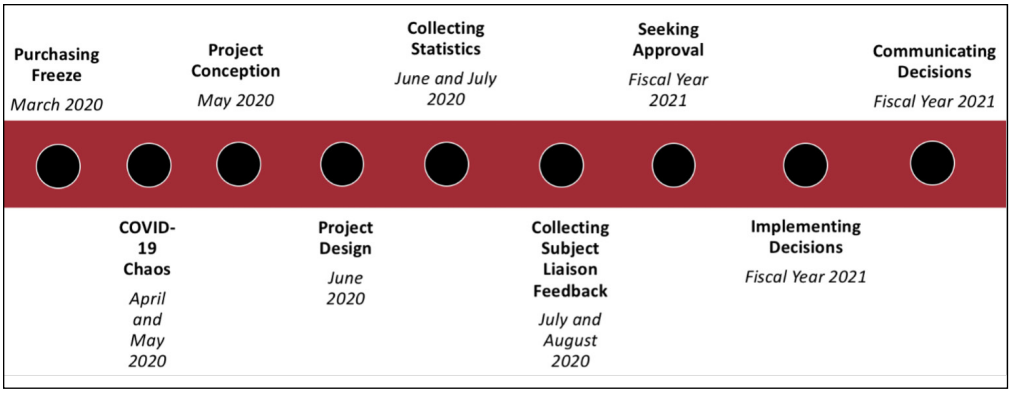

Figure 4. Tiered Resource Feedback Project Timeline

Foudy and McManus factored in rankings, rate of inflation, breadth, uniqueness, cost-effectiveness, and available authentication options.[19] IP authentication is a preferred access method, making it easier for students to access resources remotely as identified users. EZproxy is used as an intermediary so authorized users can log in seamlessly, regardless of their location. Often, a journal or database does not support IP authentication or EZproxy.

Besides usage data and faculty feedback, Hardy, Zimmerman, and Hanscom prioritized retention of journals with content on diverse cultures and populations.[20] Jensen described how most libraries rely on subject liaisons to build and maintain satisfactory collections, but since her library opted to activate more demand driven plans, such as a pay-per-use model, based on what users sought to access directly, since her library no longer has liaisons. This model allowed for short-term loans, and a title was automatically purchased after the fourth use.[21] With this method, only articles directly accessed incurred a cost, rather than supporting an entire journal collection.

Enoch and Harker initiated cuts by not automatically processing their approval plans. They converted anything possible to an e-resource that cost the same or less as print titles. In another mandated round of cuts, they developed a rubric that outlined specific criteria that each of their resource subscriptions needed to meet (e.g. restricted access, title duplication, usage, and ease of use).[22] They used Pareto's Principle to determine a package's value to their users.[23] This principle expects eighty percent of outcomes to result from twenty percent of their causes. For a library, this would mean that only 20 percent of a collection is valuable to its audience.

Sutton focused on comparing citation lists, overlap data, usage, or a journal's impact factor for resources that required further analysis.[24] Source Normalized Impact (SNIP) is a complex metric used by Moisil at the California Digital Library.[25] It reflects differences in each field's citation practice. Carroll and Cummings discussed how their library developed a Serials Decision Database to aid in collections assessment. The database incorporated serials information into a single spreadsheet, and pulled data from their integrated library system, interlibrary and citation databases, journal usage reports, and subscription agents.[26]

Libraries have checked their holdings against bibliographies, used OCLC's WorldCat Collection Analysis, followed the Conspectus method (an inventory of a library's strengths and collection intensities), or used other standards-based perspectives for each subject. Acknowledging that all these methods tend to be one-dimensional, Kelly argued for a more holistic approach, believing that various perspectives and tools should be incorporated into any collection evaluation project.[27]

Some librarians have methods to track circulation of print titles, but most rely on a "dust test," Moisil notes.[28] Document delivery options are a good alternative when a serials cancellation project is underway. Nash and McElfresh confirmed this when they determined that none of the titles they cut had generated a significant number of ILL requests.[29] Jaskowiak and Spires' cancellations did not significantly increase ILL's workload.[30] Murphy and Buckley shared a new model that integrates a library's OpenURL link resolver with document delivery to make articles more readily accessible.[31] They explained how specific services such as Get It Now, the A–Z Academic Article Collection from Reprints Desk, ReadCube Access, DeepDyve, and IngentaConnect offer access to articles on demand in varied forms. Contracting with one of these platforms provides unsubscribed content directly to end users when they seek full-text for an article.[32]

Method

To conduct an effective evaluation of materials for their collections' assessment project, EWU Libraries and Learning Commons' librarians involved several stakeholders in the project and did not rely solely on Collection Services staff. They also incorporated both quantitative and qualitative measures and methods. Statistics are informative when evaluating materials; however, data is only one aspect of what makes a resource valuable. Each discipline's journals vary in cost. Science journals often cost more than humanities journals, which is why CPU should not be the only factor when considering disciplinary trends.[33] It was also important to solicit librarians and other teaching faculty members' input, individually and by department since they are more familiar with the journals and databases in their respective areas of expertise.

The primary question addressed by the project was: How could stakeholders collaborate effectively to reduce the collections budget by 25 percent and still support curriculum needs? This question resulted in three objectives: 1) To collaborate with stakeholders so that the approach would be fair and consistent across all subject areas; 2) To design a method that stakeholders could use to identify which continuing resource subscriptions could be canceled; and 3) To cut 25 percent of the collections budget based on selected criterion.

The first objective was to collaborate with stakeholders to be fair and consistent across all subject areas. Communicating via email with librarians or having group discussions at meetings were no longer effective mediums to make decisions. The university had mandated that every purchase be approved through the president's office, and therefore, this project involved several stakeholders. Internal stakeholders included executive administration, the library dean, business manager, faculty chair, subject liaison faculty librarians,

other teaching faculty members, and collection services staff. Collaborators in each category were involved in the collection assessment decision-making approach. Librarians were asked to communicate with teaching faculty in subject areas where they served as liaisons. Once renewal decisions were reached, the collection management librarian corresponded with the library dean, business manager, and faculty chair. The library dean communicated with the appropriate person in the president's office, requesting final approval to purchase or cancel materials. When approval was received, collection services staff took the appropriate measures to renew or cancel resources.

External stakeholders included students and vendors, as they would be affected by the decisions to renew or cut resources. Teaching faculty members were both internal and external stakeholders since they were part of the decision-making process, and their teaching and research was directly affected by the outcomes of these collective choices. All collaborators and stakeholders who were involved in the project are detailed in figure 5.

Collaboration between stakeholders was conducted via shared documents and Zoom meetings since the library was closed due to COVID-19. The library developed a comprehensive plan to involve everyone listed in figure 5 in a way that was both strategic and effective. Without the well-coordinated collaboration, cooperation, and communication between all parties, such drastic cuts to the collections budget could not have been made as efficiently or effectively.

The second objective was to design a method that stakeholders could use to identify which continuing resource subscriptions could be canceled. The library's faculty chair and collection management librarian consulted and agreed on a tiered ranking and decision-making approach. This approach allowed librarians to rate each resource based on various factors and not limit decisions to quantitative data or qualitative feedback. A plan was needed that would enable cuts to be made across all departments and subject areas. This necessitated direct feedback from librarians regarding the resources within their subject areas, plus collective library faculty feedback for larger packages covering interdisciplinary areas. Usage data and librarian opinions could no longer be used as the single decision point to inform resource cuts. Considering multiple qualitative and quantitative factors before ranking each resource presented best cases for keeping or cutting subscriptions.

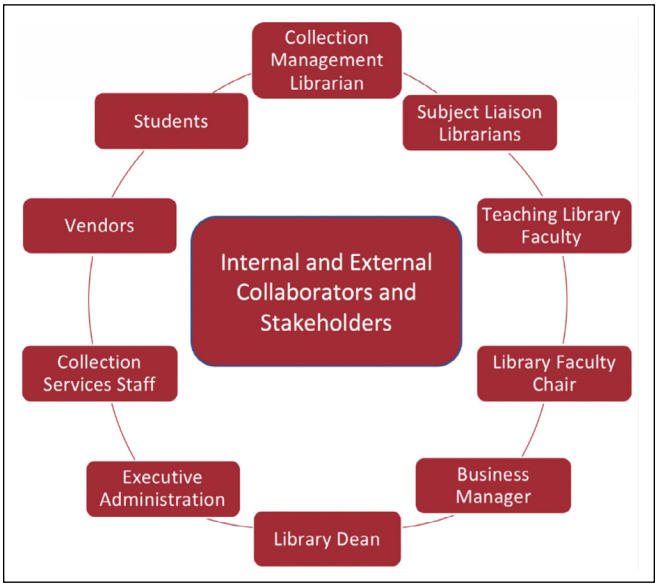

Figure 5. Internal and External Collaborators and Stakeholders

The library faculty chair created four tiered categories (see table 1) to determine priorities to assess the library's collection. Unique to the methods cited in the literature review, these categories enabled objective data to support any subjective arguments from faculty librarians and teaching faculty to keep a resource. The purpose was to focus on librarians' professional judgment based upon their liaison expertise. It revealed other areas that would merit further analysis. This approach spotlighted resources that were not used as frequently, forming a baseline for the collection management librarian and library dean to reference when decisions were due. It was emphasized that librarians should not evaluate resources unfamiliar to them to keep their focus on their individual subject liaison areas.

The collection management librarian created a spreadsheet of all renewals that required evaluation by librarians, plus a master tracking spreadsheet that contained all collections budget information and all renewal decisions when finalized. The data was initially saved on a shared drive, and was later switched to Google Sheets, which provided an easier platform for all librarians to simultaneously edit. One tab listed the current college, department and programs offered. If the program included graduate areas of study,

Table 1. Tiered Ranking System for Collection Assessment

Tier 1	A resource we cannot cut if we intend to keep operating as a university
Tier 2	A resource we could only cut in an absolute worst-case scenario, since it could affect department accreditation or require that a program stop offering certain classes which cannot substitute for this resource
Tier 3	A resource which is highly useful, but which we could bear to cut—doing so might require adjustments to curriculum and student assignments, but that's feasible
Tier 4	A resource which has some value, but which would be easiest to cut right now, since doing so would likely not require faculty to make any curricular changes

that was noted. Since many librarians had assumed new subject areas due to turnover, the next tab listed subject areas and the librarians assigned to them. All e-resources were listed under each subject area with their price first and were then divided into their renewal months by tabs. This "subject" tab allowed each librarian the ability to quickly find the resources that required their feedback. A "month" tab was created for each month of the fiscal year (July 2020–June 2021) and showed when the subscriptions were due for renewal. Librarians could make decisions on materials in advance of their renewal dates by using the "month" tab.

When this project was implemented, July renewals were finalized, and librarians started tackling August and each month thereafter. They inserted their initials under the appropriate tiered category for the resources they represented, based on their subject liaison area. Each tiered category was listed in a separate column. Their feedback was based on their knowledge of each resource and teaching faculty's feedback from the respective departments represented. Some resources were ranked by a single librarian, and others required multiple librarians to rank them. If an interdisciplinary resource was ranked, all librarians provided their initials under the tiered rating that they felt they could justify. Additional tabs provided separate title lists for interdisciplinary packages, which needed further evaluation

The spreadsheet provided a description of each expense, vendor, and cost in separate columns (see appendix B). A column used to justify each expense was included. The contract end date or perpetual access was specified for any subscriptions that were cancelled. Another column was added to ensure that the LibGuide created to communicate these changes was maintained once a decision was reached. Another column provided database and journal statistics links (see appendix C). These included the last two years of data with CPU outlined for each invoice cost and the twelve-month period most closely aligned with it. Forecasted CPU information was provided for some resources.

Collecting statistics was also a challenge, and staff and librarians collaborated to generate and provide available data for analysis. Not all current costs were available because vendors may inflate their renewals by 4–6 percent on average. This information becomes available closer to the renewal period for each resource. The collection maintenance librarian wrote instructions, met with staff, helped to generate statistics, and provided cost data on file that is regularly tracked for each continuing resource. A library and archives associate and the metadata librarian helped to generate the remaining statistics and CPU metrics.

Some smaller publishers do not provide statistics, or their reports vary (i.e. not all vendors provide SUSHI harvesting), which made it more difficult to navigate the data. Most resources provide COUNTER usage reports, which can be obtained through administrative portals. Although COUNTER converted from using COUNTER 4 metrics to COUNTER 5, some vendors had not converted to the latest version. The conversion to COUNTER 5 made analyzing data difficult, since two different years of reporting varied in formatting and metric types. The metrics librarians primarily used when reviewing COUNTER 4 Database Report 1s were Regular Searches, Result Clicks, and Record Views. For COUNTER 4's Journal Report 1s, Full-Text Article Requests were counted. COUNTER 5 reports included Database Master, Title Master, and Journal Requests (Excluding OA Gold) with the metrics Searches_Regular and Total_Item_Investigations and Requests (see appendix D).

During the project, librarians relied heavily on the evaluation of continuing resources based on CPU data. They debated over how to determine the average CPU threshold when considering cuts. The collection management librarian flagged items to be considered for cancellation that exceeded ten dollars per use. Some of the librarians believed that an average ILL cost should be the determining factor. As previously noted, Murphy and Buckley shared that the average cost of an ILL is thirty-five dollars, assuming that the first five loans for a journal title are free through the Copyright Clearance Center (CCC), which is the case at EWU.[34] If the subscription costs more than ILL, it was cut unless it was needed for an accreditation. The librarians chose to rely more heavily on ILL and the CCC for articles the library could no longer access. As a result, the EWU signed up for RapidILL, Ex Libris' software to improve and expedite resource sharing.

Before assigning a resource to a tiered category, certain quantitative and qualitative factors were considered (see table 2). CPU, a quantitative factor, was not always the determining factor, although this was certainly consequential. Besides relying on database and journal usage statistics and CPU data, LibGuide statistics were informative. These statistical reports were generated from administrative assets data sets available within the LibGuides. One report showed the number of clicks for a database link was when it was accessed through the LibGuides within customizable timeframes. Peer library and open access holdings also played roles in decisions. If there was duplication or overlap with the other full-text aggregators that the library used, titles were cancelled. Since Science, Technology, Engineering and Mathematics (STEM) journals are often more expensive, this factor was considered before cutting a journal in this field simply due to high CPU. Available formats and access options were reviewed. Less expensive alternative sources were explored. When consensus could not be reached by librarians on a cross-disciplinary resource, Survey Monkey was used to poll librarians to reach a deciding vote.

Qualitative factors involved group discussion at meetings. EWU's Collection Development Policy was referenced. Deselection guidelines in this policy include factoring in how relevant the resource is to the university's mission and curriculum. Since the university is not classified as a research institution, broader research needs and range of scope were prioritized over the specialized needs of graduate students and teaching faculty. The university is focused more on student success and retention, and not as heavily on faculty research and support.

While the collection development policy states that subject librarians are responsible for deselection of resources, it seemed prudent to involve teaching faculty as much as possible. Seeking departmental feedback helped weigh a resource's political capital, in what programs or courses it was used, and uniqueness of content. Titles were retained if teaching faculty justified the need for them in their field or program.

Diversity was another factor that impacted continuing resource retention. This is a priority at the university since EWU's goal is to be the premier public diversity-serving institution in Washington state. Diversity, equity, and social justice are included as an initiative in EWU's current strategic plan. EWU is also a recipient of the 2019 Higher Education Excellence in Diversity (HEED) Award. This award honors universities with an exemplary dedication to diversity and inclusion. If a journal or database that fit into this framework was not as highly used as desired, it was still renewed based on this value. The policy also encourages the library to use the buying power of their consortia as much as possible.

If a librarian decided to keep a journal and provided strong justification why the expense was essential for a particular title, approval was sought. If a title was considered core or regional, librarians advocated for it. If a title lacked justification, the collection management librarian contacted the appropriate subject liaison librarian for additional feedback. The library dean made the final decision for any outstanding titles that required a decision before a deadline.

Table 2. Assessment Methods Employed

Quantitative Methods	Qualitative Methods
Database and journal usage statistics	Librarian feedback based on program needs
LibGuides statistics	Faculty and departmental feedback
Cost per Use data	Dean feedback
Duplicate titles	Institutional politics and mission
Overlap with other subscribed full-text aggregators	Collection Development Policy
Open access holdings	Accreditation standards
Peer library holdings	Group discussion

For the library's individual journal title subscriptions managed by ESBCO, information on duplicate holdings and open access information were included on a separate spreadsheet in addition to the format, title, metric type, cost, usage and CPU for the last two years. Rather than assigning each title to a tier as with most continuing print and e-resources, librarians reviewed each title relevant to their subject area, and added feedback in a separate column. They provided their reasoning for keeping or cancelling a title before submitting a decision to the library dean via the collection management librarian. For certain packages, a journal's impact factor was considered, or if it was a key journal for a field. If an embargo was a year or less, a title was often slated for cancellation.

Due to title transfers or title name changes, not all titles had the data needed to help inform decision making. These scenarios raised the question of whether some statistics were reliable given any lapses in coverage that may have taken place, or if they had been linked correctly from the start. Feedback was not received for all journal titles due to the sheer number that needed review or based on the lack of knowledge pertaining to them. In these cases, the library dean decided whether to keep or cancel these titles. If an electronic version was available for print titles under review, it was preferred. If online access for journals was not IP authenticated, that option was ruled out. Sometimes electronic access was tied to maintaining serial coverage, or print and online formats were bundled together. Cutting too many titles would increase service charges, and was a consideration.

Streaming videos are in high demand at EWU since instructors prefer online accessibility, and the pandemic accelerated this need when classes moved to online. It is hard to manage their cost with the Patron Driven Acquisition (PDA) model maintained by the library until the end of the fiscal year 2020 when the library's set funding threshold was reached and no extra funding could be allocated to continue using this model. With this model, four uses of a film triggered a purchase. A PDA play is incurred for a title when an end user accesses the title in a unique session and watches 30 seconds or more of consecutive footage. The absence of a set annual subscription fee meant that costs were unpredictable, and depended on how many times a video was accessed and for how long it was viewed. The library began managing this vendor platform by request only. Not all requests are approved unless they directly support course curriculum. The library opted to add AVON's streaming video service to supplement Kanopy when it became available through the library's consortial arrangement since this platform also offers a variety of educational films. It is more cost effective than Kanopy since ProQuest

offers an annual subscription rate. With instruction continuing to remain online or hybrid for the foreseeable future, the demand for streaming video will remain high. Due to licensing and copyright restrictions, not all physical DVDs can be duplicated for online use.

Once all the resources were assigned a tier, the collection maintenance librarian created a separate spreadsheet to order each resource by tier according to how many votes received. Each tier had a total cost for the expenditures assigned to it, reflecting how much savings each provided. Figure 6 shows the distribution of resources by percentage for each ranking. All Tier 1 expenses were most likely to receive approval if they included the appropriate justification. Some Tier 1 resources were cut if cheaper alternatives were available. Tier 2 resources were kept when possible, and only cut when absolutely necessary. Tier 3 items were further scrutinized, and many were cut. Tier 4 expenses were automatically cut.

Results

The third objective was to cut 25 percent of the collections budget based on selected criterion. All the decisions for this fiscal year have been made, and approximately $330,000 was cut from the continuing resources budget, which is approximately 27 percent of the collections fund budget. This included several standing orders, databases, packages, and individual journal titles. Seventy percent of print journals were cut, 12 percent of the monographs budget was cut, 100 percent of standing orders were cut, 100 percent of the journal binding budget was cut (although some of this may be restored in the new fiscal year), 100 percent of year-end money was cut, and 40 percent less was spent on streaming media by mediating requests. The library increased spending on new subscriptions by 4 percent. Two percent of funds allocated for new subscriptions will be slashed, resulting in a 25 percent permanent reduction of $300,000 to the collections fund budget index that will take effect in the new fiscal year.

Each resource's row on the master spreadsheet was highlighted with a different color, signifying the action taken regarding it. Red highlights indicated that a resource had been cancelled. Orange meant questions remained about it. Green showed that the item was renewed. The collection maintenance librarian communicated changes to vendors as necessary. Some vendors tried to negotiate cancellation notices with lower renewal prices, but this did not influence decisions once they had been made. Holdings were updated in Alma when the renewal expired.

In some situations, the decision was made to subscribe to individual journal titles rather than an entire database. In one case, EBSCO's Academic Search Complete subscription was upgraded to their Academic Search Ultimate version for broader coverage with more journals. In doing this, Science, an expensive journal title with a direct subscription, was cut, and could still be accessed via this upgrade.

Clarivate's Web of Science was exchanged for Elsevier's Scopus for a much lower price. Access World News was reactivated due to being partially subsidized through a state library arrangement. ProQuest's Newsstream was added back through another prior consortial agreement since it was no longer part of the larger package deal through a different consortium. The library's Junior Library Guild print elementary books standing order was changed to digital eBooks, and AVON was added to help meet streaming video demands.

The collection management librarian, business manager, library faculty chair, and library dean were creative with the available library funds. Because the library was closed in summer due to the pandemic, student staffing was eliminated, and a summer index fund normally spent on staffing for a percentage of collection costs was used. A library staff member helped track and pay invoices partially with this fund. This same team advocated that departments split the cost of a resource with the library or fund it fully if they had their own funds. The Education department funded Education Week fully and split the cost of ProQuest's Education Database with the library. A special music fund was used to procure IPA Source.

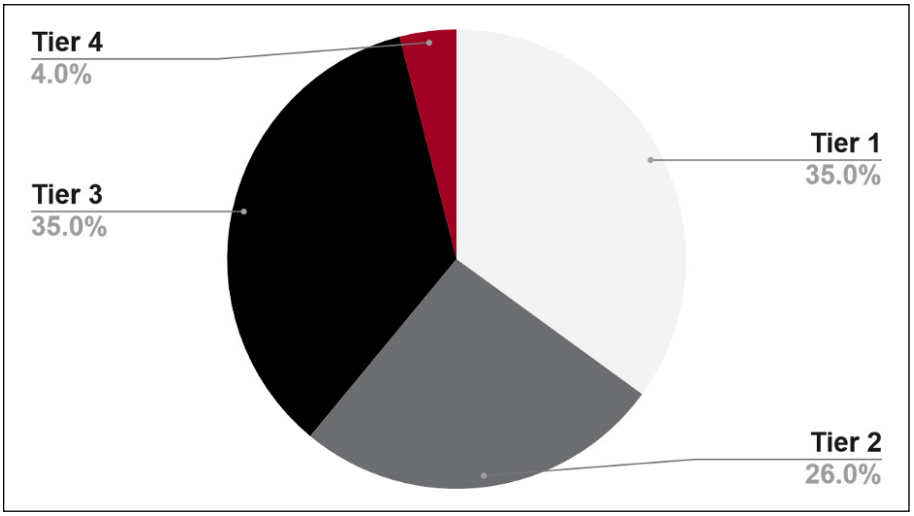

Figure 6. Tiered Ranking Resource Distributions

A decision was made to subscribe to Linguistics & Language Behavior Abstracts due to a vendor credit. Funds were taken from a special Library fund that is used at the library dean's discretion to support Kanopy requests. Endowment funds were re-evaluated quarterly to reallocate these monies according to the library's needs. One subscription supported by these funds was cancelled by faculty librarian vote so that Project Muse could be added. *Benzeit Dictionary of Artists* was added temporarily to fill a gap resulting from the fact that art students were not able to access all print materials readily during the pandemic.

Since it was necessary to communicate cancellations to teaching faculty, librarians created a LibGuide (see appendix E), "Subscription Renewals, Cancellations, and Additions." This LibGuide kept library and teaching faculty updated with ongoing changes to library resources. It was provided to all faculty members for a centralized and transparent place to communicate decisions made pertaining to the library collections budget and includes a statement that explains the project. It provides a list of all renewals, cancellations, and additions with their formats, perpetual access coverages, and subscription end dates. It includes a total amount in cancellations and a link to another Research Guide for academic resources made available by vendors during COVID-19.

When the pandemic occurred, publishers and vendors began offering extended trials to e-resources. The library took advantage of this despite the labor involved to activate and deactivate the resources. The collection management librarian developed a COVID-19 LibGuide that highlighted all the resources new to the university and extended coverage of current resources that were being offered, updating it as access ended. The discovery and systems librarian updated the Database A–Z list each time a staff member activated or deactivated various collections. Open Education Resources (OERs) and e-books were also highlighted on this guide.

Recognizing that some faculty would not be happy with all the decisions made, the collection management librarian created a spreadsheet to track feedback received from faculty to support resubscribing to cancelled subscriptions if more funds become available later. Only one database cancellation received negative feedback from more than one department, but since there was strong justification to cancel it, the librarians stuck by their decision. Based on other feedback received, two resources were added back that had initially been part of a larger package. A wish list is being maintained for any emerging resource requests.

Analysis

The objectives were met. Everyone collaborated, a measured method to assess continuing resources was designed and implemented, and the budget was cut to meet expectations. The pandemic provided an opportunity to reduce excess spending and to re-assess what continuing resources programs truly need in order to support curriculum and intellectual inquiries. Besides offering extended or new access to resources for a period of time, most vendors offered or were amenable to negotiating flat or reduced renewal rates to resources, which helped tremendously. The library was still able to add some new resources by upgrading a subscription, finding cheaper alternatives, and through taking advantage of consortial deals and a subsidized trial. Without e-resources and technology available, the library would not have been able to serve faculty and students as effectively. The library never really closed for this same reason, aside from the building being inaccessible for a time. This enabled the library to continuously serve its stakeholders.

There are still quite a few challenges with this project. Libraries using a similar approach may want to be more proactive and have a plan in place to cut resources before a crisis occurs. For example, the author and her colleagues were not able to collect subject liaison ranking feedback until July and August. Since several renewals take place in July, some were cut or renewed in May when it was necessary to notify vendors without further evaluation of resources using the tiered ranking system approach. A checklist could be provided to ensure that subject liaison librarians had considered all quantitative and qualitative factors before submitting their ranking feedback to ensure thoroughness and consistency.

This project was not comprehensive due to timing constraints. Cuts needed to be made before renewal deadlines and in the same fiscal year that they were mandated. In the future, if time permits, it would be helpful to send formalized surveys to teaching faculty to help inform decision-making. Despite librarians regularly engaging with other teaching faculty in subject areas they represent or being familiar with the resources critical to program support based on their own expertise, they could not consistently provide strong justification for why they would rate a resource in a particular tier. In some cases, it was difficult to solicit feedback because many library and teaching faculty members are not under contract during summer or were on leave when decisions were needed. This made it difficult to get the specific counsel needed for certain titles. It was unavoidable, considering the timing of the mandated budget analysis and cuts. This meant that some things were cut that might have been more important to teaching faculty than assessed by librarians. Implementing decisions was a lengthier process than average since approval had to be solicited from executive administration.

When there was not an opportunity to gather qualitative input, librarians ranked resources based on the

available quantitative data. Usage statistics and CPU were used the most to attain the mandated 25 percent in cuts to the collections budget. This data heavily influenced the rankings and decision making for cuts. Quantitative data did not weigh as heavily when journals were not canceled for strategic or political reasons. It also was a significant factor for titles duplicated in other databases or for the more costly STEM journals.

Working from Google Sheets enabled everyone to simultaneously work on a document in real time. However, navigating so many spreadsheets resulted in information overload, which was overwhelming or confusing for some. Librarians often asked questions without first referencing the spreadsheet(s) for relevant information. This revealed how much the collection management librarian is relied upon for collection development and assessment despite the attempt to make this project as collaborative as possible

After such a labor-intensive cancellation process, questions remain if the library will re-purchase multiple individual titles in lieu of a larger database package, which may save on cost, but not on the time management required to activate and maintain these titles. Although staff analyzed Elsevier's Science Direct package of journals for each title's impact factor, not all journals were evaluated with this level of detail. Journals have not been evaluated based on any of the university's faculty publishing or citation factors, and is another reason the study was not considered comprehensive although every continuing resource was ranked using the information available to librarians. Some journals were cut when perhaps those in which faculty have published should have been kept, including those that they most frequently cite. Citations could be analyzed to determine if faculty and students prefer a particular publication year range or format. Future title cancellations should perhaps consider the ISI impact factor during the review process.

It would also be useful to develop an attractive visual platform to report usage to stakeholders. This would illustrate on an ongoing basis which resources are most used or underutilized. Attempts have been made to explore using Tableau, data visualization and analysis software libraries use to present statistical data in more automated and user-friendly ways.

ILL could be tracked to see how many article requests resulted from journal cancellations. Continued feedback from faculty will be useful to determine future needs. Regarding a long-term plan, a continuing resources committee should be formed with representation from various areas to ensure that regular evaluation of resources occurs. Once the restructuring of all colleges takes place, a more thorough program and enrollment review should be conducted, and funds reallocated accordingly.

Conclusion

Collaboration was essential to make all necessary cancellations for continuing resources to ensure that program curriculum would continue to be supported, and to meet renewal decision deadlines. Having a tiered ranking system for collection assessment designed to evaluate resources thoughtfully with set quantitative and qualitative factors helped the process flow in an organized and consistent manner. All resources the library dean submitted for approval to executive administration were approved based on justification provided using the tiered ranking approach. Each resource submitted for expense was justified well quantitively or qualitatively. Permanently reducing 25 percent of a collections budget was not a small undertaking, particularly when it had to be accomplished in a short timeframe. All objectives were met, and programs and course curriculum had the library resources to support them.

Fiscal stewardship of the library is taken seriously, although the administration should take note that libraries need to be adequately funded to support meaningful teaching and learning for both university professors and students. This assessment accomplished what it set out to achieve, yet continuously eliminating library resources due to budget cuts is not a sustainable approach to supporting research, education, and student success. No one can predict what the future holds for library budgets and collections or higher education. A project of this magnitude would not have succeeded without the cooperative efforts of all stakeholders involved. This collaboration exhibited the librarians' ability to reduce the collections budget to be sustainable in challenging, unprecedented, and continuously uncertain pandemic times. Any library facing similar challenges could benefit from taking a similar systematic approach involving multiple stakeholders.

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Appendix A: Prioritize New Resources

1. Prioritize Subscriptions (1 for first choice, 2 for second, etc.)

	1	2	3	4	5
Academic Video Online (AVON)	○	○	○	○	○
Frost & Sullivan	○	○	○	○	○
Leisure Tourism (CABI)	○	○	○	○	○
Newsbank (Access World News) @	○	○	○	○	○
Project Muse	○	○	○	○	○

2. Prioritize One-Time Purchases

	1	2	3	4	5	6	7
African American Communities (Adam Matthew)	○	○	○	○	○	○	○
Increase monograph funds (print or eBooks)	○	○	○	○	○	○	○
eBook Collections	○	○	○	○	○	○	○
JSTOR Arts and Sciences XV	○	○	○	○	○	○	○
JSTOR Sustainability	○	○	○	○	○	○	○
Theology & Religion Online	○	○	○	○	○	○	○
Give funds back to university	○	○	○	○	○	○	○
Other (please specify)							

Appendix B: Library Resources Tiered Librarian Feedback Spreadsheet Categories
(tabulated my month each resource renewal due in)

Vendor Payment	Description of Expense	Expense or Range of Expenses	Access Ends/ Contract Ends	Added to Collections LibGuide?	Describe Why Expense is Essential	Cost Per Use Spreadsheet (Google Docs URL)

Based on your subject liaison areas, please place your initials under the appropriate Tier you think the resources you represent fall under.

Tier 1: A resource we cannot cut if we intend to keep operating as a university	Tier 2: A resource we could only cut in an absolute worst-case scenario, since it could affect department accreditation or require that a program stop offering certain classes which cannot substitute for this resource	Tier 3: A resource which is highly useful, but which we could bear to cut—doing so might require adjustments to curriculum and student assignments but that's feasible	Tier 4: A resource which has some value, but which would be easiest to cut right now, since doing so would likely not require faculty to make any curricular changes

Column A: Vendor Payment
Column B: Description of Expense
Column C: Expense or Range of Expenses
Column D: Date Access Ends/Contract Ends
Column E: Added to Collections LibGuide (Y/N)
Column F: Describe Why Expense is Essential
Column G: Cost Per Use Spreadsheet (Google Sheets URL)
Column H: Tier 1: A resource we cannot cut if we intend to keep operating as a university
Column I: Tier 2: A resource we could only cut in an absolute worst-case scenario, since it could affect department accreditation or require that a program stop offering certain classes which cannot substitute for this resource
Column J: Tier 3: A resource which is highly useful, but which we could bear to cut – doing so might require adjustments to curriculum and student assignments but that's feasible
Column K: Tier 4: A resource which has some value, but which would be easiest to cut right now, since doing so would likely not require faculty to make any curricular changes

Appendix C: Database Statistics Example

Metric_Type	Reporting_ Period_Total 2018-2019	FY19 Cost	Cost Per Use 18/19	Reporting_ Period_Total 2019-2020	FY20 Cost	Cost Per Use 19/20
Searches_Regular	16189	$3,021.00	$0.19	13745	$3,282.24	$0.24
Total_Item_ Investigations	3678	$3,021.00	$0.82	2478	$3,282.24	$1.32
Unique_Item_ Investigations	3121	$3,021.00	$0.97	2099	$3,282.24	$1.56
Unique_Title_ Investigations	97	$3,021.00	$31.14	76	$3,282.24	$43.19
Total_Item_ Requests	7	$3,021.00	$431.57	8	$3,282.24	$410.28
Unique_Item_ Requests	5	$3,021.00	$604.20	7	$3,282.24	$468.89

Appendix D: COUNTER 5 Metric Types

For further detail, see: https://www.projectcounter.org/code-of-practice-five-sections/3-0-technical-specifications/

Metric_Types, which represent the nature of activity being counted, can be grouped into the categories of Searches, Investigations, Requests, and Access Denied.

Metric_Type	Description	Host_Types	Reports
Searches_Regular	Number of searches conducted against a user-selected database where results are returned to the user on the host UI. The user is responsible for selecting the databases or set of databases to be searched. This metric only applies to usage tracked at the database level and is not represented at the platform level.	A&I_Database Aggregated_Full_Content Discovery_Service eBook_Collection Full_Content_Database Multimedia_Collection	DR DR_D1
Total_Item_Investigations	Total number of times a content item or information related to a content item was accessed. Double-click filters are applied to these transactions. Examples of content items are articles, book chapters, or multimedia files.	All Host_Types: A&I_Database Aggregated_Full_Content Data_Repository* Discovery_Service eBook eBook_Collection eJournal Full_Content_Database Multimedia Multimedia_Collection Repository* Scholarly_Collaboration_Network	PR, DR, TR, IR DR_D1, TR_B3, TR_J3

Appendix E: Subscription Renewals, Cancellations, and Additions Research Guide

Subscription Renewals, Cancellations, and Additions

This guide's purpose is to provide information on our response to the budget climate.

Fiscal Year 2020-2021

- Statement
- Renewals
- Cancellations
- Additions and Resource Changes

Statement

As a responsible steward of our financial resources, EWU Libraries is actively engaged in implementing the university's directive to limit spending to essential expenditures in fiscal year 2021 (July 1, 2020-June 30, 2021). As part of this effort, librarians are scrutinizing each resource the library purchases, from individual books to electronic databases. The librarians recognize the importance of electronically-accessible resources for EWU students in the "online first" environment, and are prioritizing renewal and purchase of resources that directly support student learning. Librarians are also cognizant of the need to support disciplines as equitably as possible, and are striving to spread reductions over all areas.

EWU Libraries leverages the buying power of the Orbis Cascade Alliance (OCA) consortium of Pacific Northwest academic libraries in order to obtain lower-cost subscriptions to electronic resources. Additionally, EWU Libraries takes advantage of free resources offered by vendors during the COVID-19 crisis (see Extended Access to Existing EWU Library Subscriptions and Temporary Library Access to New Resources for links to these resources). EWU Libraries' interlibrary loan requesting service and the OCA's Summit borrowing service support students and faculty in obtaining resources the Libraries does not directly own or access through a subscription.

If you don't see a resource you are looking for listed on this page or would like suggestions on alternative resources, please contact your subject librarian to inquire about the status of the resource or alternatives. This page will be updated as decisions are made regarding renewal or cancellation of resources.

Notes on Operations

Improving Subject Headings for Iowa Indigenous Peoples

Heather M. Campbell, Christopher S. Dieckman, Wesley Teal, and Harriet E. Wintermute

By authorizing outdated terms for North American Indigenous peoples, the Library of Congress Subject Headings (LCSH) vocabulary deprioritizes or ignores the preferred names of the peoples being described. As a result, cataloging and metadata professionals constrained by LCSH often must apply names imposed during colonization. For example, in many library catalogs, works about people of the Meskwaki Nation in Iowa are labeled with "Fox Indians--Iowa" and "Sauk Indians--Iowa," and Ioway peoples are described as "Iowa Indians." As part of a diversity, equity, and inclusion (DEI) initiative at Iowa State University Library, a working group in the Metadata Services department undertook a project to build, publish, and use a controlled vocabulary of preferred terms for Indigenous communities with ties to land that is now part of the state of Iowa. This paper describes the working group's research, outreach efforts, published vocabulary, and process for adding the preferred subject headings to library metadata.

Terminologies used to label Indigenous communities are subject to cultural bias and can convey different connotations, degrees of accuracy, and social acceptability for individuals of different backgrounds. Many are exonyms—names originating from outside groups—and can even be understood as pejorative. This paper describes a project Iowa State University Library undertook to rectify this issue for American Indian nations with ties to the state of Iowa. To accomplish this, Metadata Services librarians reached out to Indigenous community representatives to inquire which terms are preferred by community members and updated the headings used in its library catalog to match these suggestions.

In summer 2019, Metadata Services librarians identified several strategic opportunities, one of which was diverse, equitable, and inclusive (DEI) metadata practices. As a result, they formed the DEI Metadata Work Group (DMWG) with the goal to make DEI metadata a priority. Areas for focus included undocumented immigrants, LGBTQ+ terminology, and preferred names for Indigenous peoples.

The decision to commit to this project was driven by several factors. First, by ensuring that library resources were described with culturally appropriate terminology, it supported the library's mission of "advancement and celebration of DEI in the library system through our diverse collections, inclusive programming, responsive services offered, and other means."[1] Second, as a public institution, the team members were interested in undertaking a project of local historical and cultural value; hence, the project's scope was limited to tribes with connections to Iowa. It is this group's hope that this project inspires other institutions to pursue similar work (e.g., specific to their geographic region or area of specialization). Finally, the authors hoped that information ascertained from this project will benefit library and information science scholars and practitioners. This is particularly important as the subject of DEI and the description of library

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resources remains a dynamic, relatively new area with much still to offer.

Several goals guided this project. First, the DMWG sought to identify unacceptable terms and their more culturally appropriate equivalents. Second, they planned to supplement the old terms with the new ones in the local library metadata. The main reason for focusing on local metadata was that Metadata Services had not done authority work in-house for more than a decade, and had no experience with submitting Subject Authority Cooperative (SACO) subject heading proposals. While the DMWG recognized the importance and need for improving name and subject authorities, they also wanted to keep this project manageable. They decided that authority work was out of scope, but that it could be a future phase. Finally, the DMWG determined two additional goals: build successful relationships with American Indian nations, and share information ascertained from the project with other libraries in the hope of assisting similar work.

Literature Review

Over the past decade, information professionals have contributed to a growing body of scholarship pertaining to diverse, equitable, and inclusive metadata.[2] Librarians and archivists have made various efforts to better represent and describe Indigenous peoples, other marginalized communities, and topics related to these communities. This reckoning with outdated and inequitable descriptive practices has led to a variety of approaches. One strategy is to update Library of Congress Subject Headings (LCSH). Others focus on building a broad set of new terms, either by amending and extending LCSH or by creating a new vocabulary from scratch. Still others focus on narrower areas, such as name authorities, languages, or identifying individuals in historical photograph collections.

The Cataloging and Metadata Services Unit of Oregon State University Libraries and Press (OSULP) has undertaken a project to establish headings for Indigenous peoples in what is now Oregon who were not represented in LCSH. The project also aims to update relevant bibliographic records in WorldCat and the OSULP catalog with the new headings to improve discoverability.[3]

The First Nations House of Learning Subject Headings (FNHL), Manitoba Archival Information Network (MAIN) vocabulary, Pathways thesauri, Anti-Racism Digital Library Thesaurus, and Incluseum Metadata Schema all take a broad approach by creating vocabularies that cover a spectrum of headings. The FNHL was created for the X̲wi7x̲wa Library, an Aboriginal library at the University of British Columbia, and includes topic headings, demographic group headings, geographic headings, and chronological headings to describe a collection of Indigenous materials covering British Columbia.[4] The MAIN vocabulary extends LCSH by emending headings and deleting headings to avoid perpetuating outdated and offensive terminology in favor of headings that better reflect the communities they describe. The MAIN vocabulary also adds headings to fill in gaps in LCSH.[5] Focusing on the Indigenous peoples of Australia and the Torres Strait, the Pathways thesauri cover topical subjects, place names, and Indigenous languages.[6] The Anti-racism Digital Library Thesaurus applies a similar approach to headings connected to anti-racist topics, including policies, organization, demographic groups, and time periods.[7] The Incluseum Metadata Schema consists of a small set of headings covering seven categories, including age- and education-level–based demographic groups.[8]

Another approach has been to create vocabularies that specifically focus on demographic group terms. This is the tack employed by the Library of Congress Demographic Group Terms (LCDGT). The LCDGT covers a broad range of demographic terms, based on aspects including age, occupation, language use, ethnicity, national origin, and other characteristics.[9] Additionally, LCDGT includes updated names for some groups that improve upon LCSH, such as using "Muscogee (North American people)" while the LCSH term for the same people is "Creek Indians." However, LCDGT includes terms for only a few Indigenous peoples at present.[10]

A fourth approach is to create name authorities, either for social units or individuals. The First Nations Métis and Inuit Indigenous Ontology (FNMIIO) includes names of First Nations, Métis, and Inuit communities across Canada and is intended to better reflect how those communities refer to themselves.[11] The Iwi Hapū Name List provides standardized terms for Māori social units.[12] Project Naming, which seeks to identify Inuit individuals depicted in the photographic collections of Library and Archives Canada, is not an authority list per se, but could serve as a conduit for the creation of authority records for Inuit individuals.[13] Although not an Indigenous name authority, the Union List of Artist Names (ULAN) includes demographic group information about the people named in the list, including several Indigenous groups with ties to Iowa.[14]

While many existing vocabularies show promise for improving discovery of materials by and about Indigenous people, none solved the problem of describing Indigenous communities with ties to Iowa. Those vocabularies with the most thorough coverage of Indigenous demographic groups were limited to peoples in Canada or Oceania. The vocabulary with the best coverage of Indigenous groups with ties to Iowa, ULAN, lacked total coverage and is not intended as a demographic group vocabulary.

Research and Planning

Much of the literature reviewed was collected and shared during the exploratory period after the formation of the DMWG. While reviewing these resources, the DMWG remarked on the trailblazing work by Canadian libraries to identify and establish vocabularies aligned to the preferred names for First Nations in Canada. To establish an achievable scope and project outcome, the DMWG elected to focus on Indigenous groups with ties to Iowa, using the twenty-two communities listed on the school's American Indian Faculty and Staff Association (AIFSA) webpage.[15] The DMWG divided research and exploratory work to build lists of potential contacts, both known names and alternate names and spellings, current geographical information, and current LCSH related to each community.

The DMWG surveyed tribal government websites to compile a list of contacts. The DMWG decided that directly contacting tribal-recognized representatives, as opposed to other individuals with existing tribal connections, was the best way to ensure that the group would receive authoritative feedback from the communities. The first group of contacts consisted primarily of tribal leadership. After discussion, a decision was made to focus Indigenous community outreach on library and museum staff, language program staff, and educators where possible. The DMWG believed that this second approach would be less presumptuous than direct outreach to the leaders of sovereign nations. Additionally, a direct message to a colleague might be more effective than a form letter to a government leader. The second survey resulted in identifying one or more personal contacts for most nations. However, some websites included only a single generic email or contact form. In the case of El Nacimiento de la Tribu Kikapú, no website could be located.

Table 1 lists each Iowa-related Indigenous community with their current geographic locations and corresponding LCSH. The LCSH typically indicate broad communities and often, but not always, align with federally recognized names. In some cases, multiple LCSH will apply to an Iowa Indigenous community. For example, when describing resources about the Meskwaki, both the "Fox Indians" and the "Sauk Indians" would be included in the bibliographic metadata. These LCSH do not reflect the geographic location, historical or present; therefore, a geographic subdivision, such as Iowa, would be added to distinguish resources about the Meskwaki Nation (based in Tama, Iowa) from resources about other Meskwaki communities. In just a few cases, LCSH were also available for related subgroups, such as "Fox women" or "Potawatomi children." Many communities also had related topical headings, such as "Fox art," that the DMWG included under the scope of this project.

After informal search testing, it was clear that the preferred names for Iowa Indigenous communities needed to be searchable and to display to the public. Adding these preferred names as subjects to library metadata would be a valuable step in making catalogs and metadata more equitable and inclusive and would improve the discoverability of these resources. Yet the DMWG knew that they could not simply replace the broad LCSH with current names of Indigenous nations. Without further research, a cataloger would not know to which of several present-day nations a subject such as "Fox Indians" referred. Moreover, using the name of a current geopolitical entity as a subject might not be accurate for a resource focused on history or culture, considering that historical territories and cultural regions do not correspond neatly to the political boundaries of today. Therefore, the DMWG decided to develop potential subject headings that roughly corresponded with the LCSH listed in table 1. Like the existing LCSH, the new headings would be broad; they would refer to peoples, rather than political entities.

The DMWG referred to scholarly resources and online resources (i.e., official Indigenous community websites) to devise and propose new, local headings that would reflect communities' preferred names. The proposed terms are listed in table 2 and were included in the authors' outreach letters as described below. The proposed terms were constructed from the name the community appeared to use to refer to themselves as a people, followed by the suffix

Table 1. Indigenous communities with ties to Iowa and related headings

Community name (per official website)	Current geographic location(s)	Library of Congress Subject Heading(s)
Meskwaki Nation: Sac and Fox Tribe of the Mississippi in Iowa	Iowa	Fox art Fox dance Fox Indians Fox women Sauk Indians
Iowa Tribe of Kansas and Nebraska	Kansas Nebraska	Iowa Indians Iowa language
Bah Kho-Je: Iowa Tribe of Oklahoma	Oklahoma	Iowa Indians Iowa language
Otoe-Missouria Tribe	Oklahoma	Oto Indians Oto language Missouri Indians
Sac and Fox Nation	Oklahoma	Fox art Fox dance Fox Indians Fox women Sauk Indians
Sac and Fox Nation of Missouri in Kansas and Nebraska	Kansas Nebraska	Fox art Fox dance Fox Indians Fox women Sauk Indians

Table 2. Updated names for and outreach responses from Indigenous communities with ties to Iowa

Community name (per official website)	Response	Proposed subject heading (for which the DMWG sought approval via outreach)	Preferred subject heading (at time of writing)
Meskwaki Nation: Sac and Fox Tribe of the Mississippi in Iowa	None yet	Meskwaki (North American Indigenous peoples)	Meskwaki (North American Indigenous peoples)
Iowa Tribe of Kansas and Nebraska	Acceptable	Ioway (North American Indigenous peoples)	Ioway (North American Indigenous peoples)
Bah Kho-Je: Iowa Tribe of Oklahoma	Acceptable; tribe officially granted consent	Ioway (North American Indigenous peoples)	Ioway (North American Indigenous peoples)
Otoe-Missouria Tribe	Acceptable; additional name provided	Otoe-Missouria (North American Indigenous peoples)	Jiwere-Nut'achi (North American Indigenous peoples) | Otoe-Missouria (North American Indigenous peoples)
Sac and Fox Nation	None yet	Meskwaki (North American Indigenous peoples)	Meskwaki (North American Indigenous peoples)
Sac and Fox Nation of Missouri in Kansas and Nebraska	Acceptable	Meskwaki (North American Indigenous peoples)	Meskwaki (North American Indigenous peoples)
Omaha Tribe of Nebraska	Acceptable	Omaha (North American Indigenous peoples)	Omaha (North American Indigenous peoples)
Winnebago Tribe of Nebraska	None yet	Ho-Chunk (North American Indigenous peoples	Ho-Chunk (North American Indigenous peoples)
Ho-Chunk Nation	Acceptable	Ho-Chunk (North American Indigenous peoples)	Ho-Chunk (North American Indigenous peoples)

"(North American Indigenous peoples)" in place of "Indians." The parenthetical language was suggested originally by one of Iowa State's AIFSA co-chairs.

The working group drafted a letter to send to representatives of Indigenous peoples with ties to Iowa. The letter briefly introduced the library's efforts to create new subject headings that accurately reflect the names used by Indigenous communities. It then explained that the library catalog typically has used exonyms to describe Indigenous peoples, and provided an example of a LCSH related to the community being addressed. The letter next proposed the alternative local subject heading for the community and asked whether this term was an acceptable description of the community's people and their kinship groups. The DMWG decided to include the proposed heading in the letter, rather than asking the community for a preferred name, mainly because the group wanted to ensure it had a well-researched alternative term to use if the community did not respond. The DMWG also wanted to limit the burden placed on respondents, and responding to a proposal is typically easier than providing fresh information. Finally, the letter welcomed questions, corrections, and suggestions and provided contact information (email address and phone number).

Before finalizing the letter, the DMWG solicited feedback on the draft from colleagues knowledgeable in DEI and American Indian studies. One reviewer, Omar Poler, a librarian, and the American Indian curriculum services coordinator at the University of Wisconsin-Madison, emphasized the importance of establishing a reciprocal relationship. He cautioned against requesting information from community staff members, who handle many public inquiries and may be overworked, without providing anything meaningful in exchange. Instead, the library could offer communities a selection of relevant library materials as a gesture of appreciation for their feedback on the proposed subject heading.

On Poler's advice, the DMWG planned to draft a bibliography as a possible resource to offer in appreciation. They surveyed Iowa State's holdings to collocate resources with LCSH corresponding to the Iowa Indigenous communities. A total of 482 titles were found; most were books, but there were also video recordings, sound recordings, and a few e-books. Upon reviewing the publication information and the LCSH in use with the resources listed in this draft bibliography, it was clear that the metadata (not to mention the collection) was in a sorry state. The resources varied in age, raising concerns about which items would be appropriate to list in offering. Additionally, a high number of titles focused on "Ojibwa Indians," although "Fox Indians," "Ho Chunk Indians," "Iowa Indians," "Kickapoo Indians," "Menominee Indians," "Miami Indians," "Omaha Indians," "Ottawa

Indians," "Oto Indians," "Potawatomi Indians," "Sauk Indians," and "Winnebago Indians" were also present, each representing a few titles. When sharing the draft bibliography with the library's Associate Dean of Equity and Inclusion, Susan A. Vega García, for vetting and feedback, she also noted this disproportion. A possible explanation for this phenomenon may be an indication that more scholarly research and output focusing on the Ojibwe people have been available than those focusing on other Indigenous peoples. Also noteworthy is that additional LCSH outside the DMWG's scope were present, such as "Cree Indians."

After the disappointing initial effort to use LCSH to create a bibliography, the DMWG pivoted to a different approach. The list of twenty-two Iowa-related Indigenous peoples was divided among the librarians, who each researched authors, scholars, and other prominent persons from these groups. This research validated some of the initial results, but revealed additional resources, including scholarly works, literature, documentaries, newsletters, and more, both print and electronic. After the second round of research, the DMWG had more confidence in the appropriateness of the resources it had selected to offer during the outreach process.

Vega García also suggested offering free Interlibrary Loan (ILL) services to the twenty-two identified communities. The DMWG met with their ILL colleagues to describe the project and the outreach scope and to determine whether offering free ILL would be feasible. Overall, the library was in favor of providing this as a free service to these communities, as it aligned with Iowa State's outreach and extension mission. A challenging aspect of providing ILL was that not all twenty-two communities had libraries, museums, or cultural heritage centers available. Nevertheless, many communities had cultural or education departments or contact persons who could serve as the library surrogate should anyone want to accept the ILL offer. At the time of writing, no requests have been made through this service.

While the DMWG was conducting these preparatory activities, Iowa State's Digital Press disseminated their new diversity statement. The DMWG realized their emphasis on "authors from underrepresented groups, in languages other than English, and voices from outside academia," made them an ideal service to highlight.[16] The DMWG reached out to colleagues in Special Collections and University Archives (SCUA), and received recommendations of relevant and appropriate collections to include. With a vetted list of works and resources to include, and additional services to offer or highlight, the DMWG created a LibGuide as the final product to offer in appreciation during outreach. This LibGuide was not part of the library's general LibGuide collection, and would be publicly available by direct link. For the most part, the DMWG handled the content and organization of the LibGuide, and an ILL staff member had access and provided content for their page.

An early version of the LibGuide was shared with the AIFSA co-chairs, the library stakeholders mentioned above, and the Scholarly Communications Team (SCT). The feedback was positive overall. Many of the suggestions were corrections, word choice improvements, or menu tweaks. Some feedback was very specific and helpful; for example, SCT members recommended a subject area, "environmental activism," to research for possible inclusion. After verifying that Iowa State held some items on this topic, a few titles pertinent to the Iowa area were selected and added to the LibGuide. Vega Garcia indicated the need for a welcome message to Indigenous users and needed improvements for the Indigenous user experience on the page providing information about ILL services. The DMWG and ILL incorporated these improvements.

The final LibGuide, "Resources and Services for Iowa Indigenous Peoples" (see figure 1), opens with an introductory page.[17] The main content includes a welcome message, an overview of the project and LibGuide, a land acknowledgement statement that is based on Iowa State's official version (and expanded with land cession information), and concludes with appreciation for people who contributed or provided feedback.

Sidebar content is available throughout the LibGuide. The left sidebar underneath the navigation menu consists of a list of all twenty-two community names, and all but one of which are linked to their official website (as mentioned above, El Nacimiento de la Tribu Kikapú does not appear to have a web presence). The right sidebar contains two boxes, the first lists DMWG members and a hyperlinked contact email, and the second is a content warning cautioning audiences about possible offensive descriptions or negative stereotypes in the library's collection.

The next LibGuide page, "Free Interlibrary Loan Services," prepared by ILL staff, provides an overview of the service, a quick start guide on how to place an ILL request, and a FAQ to provide additional information. A downloadable, static PDF copy of this page is provided to give users additional options for bringing or communicating this information to their community, library, or borrowing agent. The "Publish with ISU Digital Press" page provides an overview emphasizing the Digital Press's commitment to publishing DEI content in diverse voices plus links to the Digital Press website and contact page.

The remaining three LibGuide pages showcase DMWG-curated resources. First, "Select Works Held by ISU" (see figure 2) lists thirty-eight books authored by, edited by, or about the Iowa Indigenous communities that the library has in its collection. "Online Resources" likewise lists fourteen online resources, most of which are freely available, including Indigenous community newsletters in

addition to streaming video and scholarly resources by or about community members. The last item is licensed by the library but may be available through ILL or requested through another library. Both these pages categorize the lists by community name. The last page, "Archival Resources at ISU," lists several finding aids to highlight collections with content of possible interest. Instructions are provided at the top for people to contact SCUA directly. The archival collections include records, papers, and photographs from rural organizations, the campus intercultural center, an Iowa State professor who developed and taught courses on Iowa history, and a few more notable people and organizations.

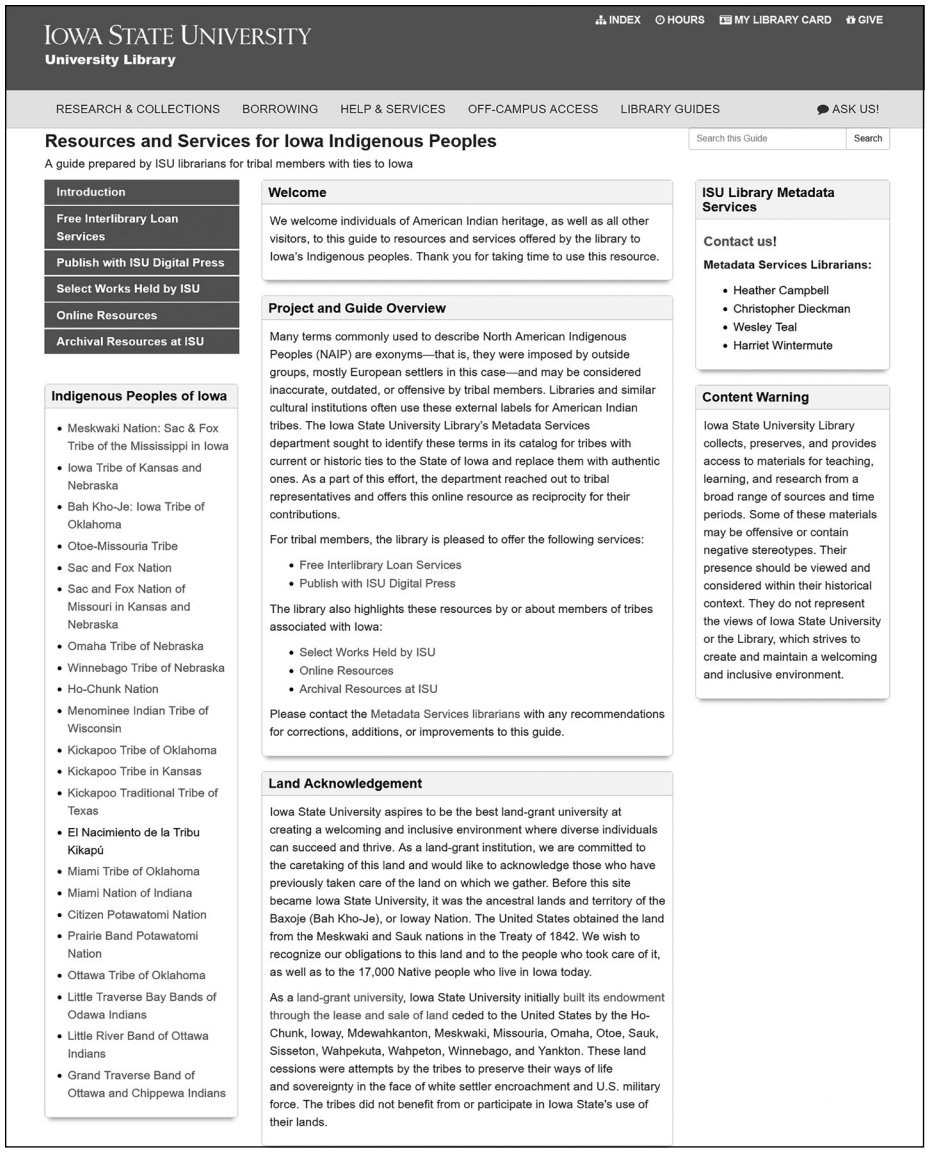

Figure 1. Landing page of the "Resources and Services for Iowa Indigenous Peoples" LibGuide

Results

Outreach and Responses

As the DMWG completed the LibGuide, they also revised the outreach letter to enable them to begin contacting Indigenous communities in June 2021. The final draft (see Appendix) not only requested approval of the proposed subject heading, but also provided a link to the guide and highlighted the library's offer of free ILL services and digital publishing opportunities. As the DMWG undertook these revisions, it considered whether to mail the letters or to use email, whether to call before or after sending the letters, or to use some combination of these methods. The group ultimately preferred to send emails when possible, to be clear and consistent in its messaging, and to follow up with phone calls as needed. Sending emails also was more efficient than making calls, as messages could be distributed at once, and responses could easily be tracked.

After completing revisions to the outreach letter, the DMWG divided the list of contacts for the twenty-two identified communities and customized the letter for each community to be contacted. The customization process involved inserting the community's name as shown on its official website, the proposed subject heading to be used for the community and related groups, and the existing LCSH to be replaced. It was important to use the correct terms in each letter, as some headings describe several related communities. For example, the proposed subject term "Meskwaki (North American Indigenous peoples)" describes not only the Meskwaki Nation in Iowa, but also the Sac and Fox Nation of Oklahoma and the Sac and Fox Nation of Missouri in Kansas and Nebraska, both historically and in present contexts. Moreover, the DMWG chose to list related communities in the letter for context, and to be transparent about the group's intent to describe multiple communities with the same broad term. To show respect and

understanding, it was crucial that those lists were accurate, complete, and correctly spelled.

The DMWG then attempted to email the customized letters to specific representatives of each community. If contact information for a person associated with a library, museum, education office, or historic or cultural preservation department could not be located, the librarian contacted other representatives, including language experts, elected officials, administrators, and general contacts. In some cases, the only available contact method was a form on the group's website. Some contacts responded by email within days, and a small number contacted a librarian by phone. However, most did not immediately reply.

After a few weeks, the DMWG used several strategies to try to elicit responses: follow-up emails, emails to additional contacts, and phone calls. This effort yielded several replies, but still only about half of the contacted communities had responded by this time. More than a month later, the group made a third attempt to contact communities that had not yet responded. This time, follow-up phone calls and letters sent to newly-located email addresses resulted in a few additional replies.

Following three months of outreach efforts, the DMWG received replies from thirteen of the twenty-one communities (62 percent) that it had contacted. At this point, the group decided to proceed with implementing the recommendations, with the understanding that further responses could later arrive.

Most respondents represented cultural or educational departments, and included a cultural resources officer, a cultural librarian, a director of archives and records, a language coordinator, a director of the community's language department, and a higher education program coordinator. A few respondents, including an executive director and a tribal secretary and enrollment coordinator, represented the tribal government. In one case, a recipient forwarded the request to the tribal government, which added the proposal to an official agenda and reached a consensus to "grant consent."

The responses varied widely in content and complexity. Several simply accepted the proposed term. Others agreed to the proposal, but suggested a change in spelling. Some proposed an entirely different name. Replies ranged from a respondent's single sentence to multiple messages from several representatives of the same community. Many respondents provided supporting evidence for their decision, such as a consultation with a community linguist, a reference to their official website or constitution, or a description of historical considerations. For instance, one noted that variant spellings resulted from the fact that their language had not included a written alphabet until about a century ago. Others noted the differences between the name as represented in the community's language and the name recognized by the federal government or the name of the legal entity representing the community.

Several respondents referred to related communities. Some asked about other communities' responses; for example, the Otoe-Missouria representative asked whether the Ioway had responded because, as she noted, they are kin to her community. She especially wanted to know whether the Ioway proposed using their traditional name and the broader term proposed by the working group. Others alluded to the autonomy and distinctiveness of related communities. Several said that they could not speak for others. One noted that the proposal was a touchy subject; two communities that had been split since the era of relocation might not want to be grouped under a shared name. Another quoted a phrase overhead at a tribal council: "When you have met one tribe, you have met one tribe."

Figure 2. Partial view of the "Select Works held by ISU" page in the "Resources and Services for Iowa Indigenous Peoples" LibGuide

There were responses that hinted at frustration with non-Indigenous society's continued lack of awareness of present-day Indigenous peoples and cultures. One respondent recommended against using the word "tribe" because "that is the way mainstream society looks at the Native American people today," and encouraged the working group to check the nation's websites for further information. Another advised using the name "as stated in our name."

Yet several other respondents thanked the working group for its communication. Some noted their appreciation of resources offered in the LibGuide. Others expressed gratitude for the consideration of their community's language and culture, and several offered greetings and salutations in their language. For example, a representative of the Grand Traverse Band of Ottawa and Chippewa Indians wrote, "Miigwetch (thank you) for inquiring and being a stand-up university for genuinely including the Native perspective. Our cultural identity is based strongly on how we see ourselves in the world."

Implementation

The DMWG then designed and implemented an automated process to add the newly identified terms as supplemental subject headings to the library's catalog. The library's system, Ex Libris Alma, uses normalization rules (NR) to batch edit metadata in MARC records. Because the NR needed to make multiple edits, it included several subrules individually created to handle each of the existing LCSH (see figure 3 for a partial NR). When the subrule matches for an LCSH, it adds the corresponding community's supplemental heading, coded as local, to the record. For example, "Myaamia (North American Indigenous peoples)" is a supplement for the Miami Tribe of Oklahoma, and when the LCSH for that community—"Miami Indians"—is found in any 650 subfield $a, the supplement is added to the record in a new 650 field with a second indicator of 7 and a subfield $2 with the value "local." Before and after examples in public display are shown in figures 4 and 5 respectively. To prevent duplicate fields, a condition was added to each subrule that would stop it from adding the new heading if it already existed in the record. Once the NR was finalized, an Alma job checked every record in the catalog and applied the NR as needed. Additionally, Alma's import process was updated to incorporate this NR so the supplemental headings would be added automatically to every applicable imported record, removing the need for manual intervention. The full NR rule is publicly available in GitHub.[18]

```
rule "add 650 _ 7 $$a Ioway (North American Indigenous peoples) $$2 local"
when
   (exists "650.{*,*}.a.Iowa Indians*")
   AND
   (not exists "650.{-,7}.a.Ioway (North American Indigenous peoples)")
then
   addField "650.{-,7}.a.Ioway (North American Indigenous peoples)"
   addSubField "650.2.local" if (exists "650.{-,7}.a.Ioway (North American Indigenous peoples)")
end


rule "add 650 _ 7 $$a Meskwaki (North American Indigenous peoples) $$2 local"
when
   (exists "650.{*,*}.a.Fox Indians*|Sauk Indians*|Fox women*")
   AND
   (not exists "650.{-,7}.a.Meskwaki (North American Indigenous peoples)")
then
   addField "650.{-,7}.a.Meskwaki (North American Indigenous peoples)"
   addSubField "650.2.local" if (exists "650.{-,7}.a.Meskwaki (North American Indigenous peoples)")
end
```

Figure 3. Alma normalization rule (partial)

Discussion

Challenges

The variety of names for Indigenous peoples presented one of the largest challenges of the project. The existing LCSH cannot be directly mapped to updated names, as many outdated and preferred names lack a one-to-one relationship. Some preferred names are broader than the existing LCSH—for example, Meskwaki encompasses "Fox Indians" and "Sauk Indians," and Ho-Chunk covers both "Ho-Chunk Indians" and "Winnebago Indians." Other LCSH can be mapped to more than one preferred name. For instance, the LCSH "Ottawa Indians" currently is applied to several communities, but the Little River Band of Ottawa Indians and the Grand Traverse Band of Ottawa and Chippewa Indians both prefer the broader heading Anishinaabe as a replacement, while the Little Traverse Bay Bands of Odawa Indians prefer Odawa. Additionally, some communities accept the broader updated subject headings but also would like to be identified by a more specific name in their language—e.g., the Otoe-Missouria Tribe recommends both Otoe-Missouria and Jiwere-Nut'achi as preferred headings. However, as languages have evolved over time, some older names may remain in use but have a different meaning. The respondent for the Citizen Potawatomi Nation confirms that Bodwéwadmik is an acceptable name while also identifying Neshnabek as "our original name for ourselves"; yet because the respondent clarified that today Neshnabek means "native," the DMWG decided not to include it as an alternate subject heading.

While a variety of preferred names can be accommodated through the automated addition of one or more subject headings to a record, other preferences cannot be as easily addressed. At least one community, the Sac and Fox Nation of Missouri in Kansas and Nebraska, approves of the name (Meskwaki) proposed by the working group but also requests acknowledgement of the distinctiveness of individual federally recognized tribes. In certain cases, resources pertaining to a present-day tribe, such as the Sac and Fox Nation, could be assigned the broader preferred heading along with the federally recognized name as listed in LCNAF ("Sac & Fox Nation of Missouri in Kansas and Nebraska") as subjects. However, it would be historically inaccurate to apply a present-day federally recognized name as a subject when the resource being described pertains to events that occurred before the establishment of that name. Such cases may require an individual librarian's attention rather than an automated solution.

Spelling posed another challenge. In several cases, the working group proposed spellings that were corrected by the respondents. The Citizen Potawatomi Nation and the Prairie Band Potawatomi Nation recommended the spelling Bodwéwadmik over Bodewéwadmik, which the group had proposed as a replacement for the LCSH "Potawatomi Indians." Myaamiaki, the proposed update to "Miami Indians," turned out to be a plural form used to refer to a gathering rather than the name of the tribe; representatives of both the Miami Tribe of Oklahoma and the Miami Nation of Indiana recommended Myaamia instead. A respondent representing the Little Traverse Bay Bands of Odawa Indians rejected another proposal, Daawaa, by explaining that their name could be transcribed several ways, including "Daawaa," "Odaawa," or "oDaawa," but that "Odawa" was the most common spelling in the Michigan area. Where multiple versions were acceptable, the DMWG would have liked to provide context or at least note the existence of alternate spellings. However, the current scope of the project—automatically applying the preferred names as additional headings in relevant MARC bibliographic records, rather than creating new or updated authority records containing variants, sources, and other background information—meant that the group needed to settle on a single accepted spelling.

The outreach effort and response represented further challenges. The process of locating contact information for twenty-two communities, attempting to contact them, following up, and tracking responses, consumed many hours. Moreover, because the organizational structure and available contacts differed for each community, the respondents did not hold equivalent positions of authority. Some represented leadership, while others held cultural or educational positions. Additionally, several respondents mentioned consulting with others or forwarding the request to the tribal government for approval, but others made no mention of a broader consensus. One respondent disclosed discomfort with making any recommendations on behalf of the tribe. Despite the differing roles and approaches of the respondents, the DMWG was pleased to receive any

Figure 4. Public display before applying Alma NR

Figure 5. Public display after applying Alma NR

response and so accepted every recommendation. When no response was received, the working group determined that it would implement its proposed subject heading with the idea that changes could be made if communication with a community later occurred.

Conclusion

At the end of their project to improve subject headings for Iowa Indigenous peoples, the librarians of the DEI Metadata Work Group had met their main goals. They identified more culturally appropriate subject headings to replace existing LCSH that described Indigenous peoples with ties to Iowa. They designed and implemented an automated process to supplement the LCSH terms with the improved terms in the local library metadata. They forged reciprocal relationships with several American Indian nations through outreach and the creation of a guide highlighting resources and services offered by Iowa State University Library to Iowa Indigenous communities. Finally, they began to share their work with other libraries.

As a small step toward transparency and a library linked data environment, the DMWG has made the list of preferred subject headings for the twenty-two Iowa Indigenous communities available as a Google Sheet.[19] The Google Sheet lists the community's federally recognized or legal name, hyperlinked to their website where available, alternative names and spellings, the preferred subject heading(s) the DMWG is using to supplement Iowa State's library metadata, and the equivalent LCSH. One last column notes the community response in standardized format, such as "acceptable" or "no response." Any institutions wishing to improve their metadata for resources related to these twenty-two communities are welcome to employ the supplemental headings provided in the Google Sheet.

The DMWG envisions several possibilities for additional DEI metadata work in the future. It plans to submit SACO proposals to improve LCSH authority records related to the twenty-two Iowa Indigenous communities, and to enhance each community's name authority record in LCNAF. Beyond using an Alma NR to update MARC records, the DMWG will use other tools (e.g., Python scripts, oXygen, or OpenRefine) to update other library metadata, such as digital collections in Islandora and SCUA's finding aids in ArchivesSpace, where needed. Eventually, as Iowa State's library technology infrastructure increases, the list of Iowa Indigenous preferred subject headings, and other DEI vocabulary initiatives, will be published as a linked data vocabulary similar to the University of Houston's Cedar project.[20] This vocabulary will make it possible to include the scope and background notes mentioned above, which the Google Sheet does not currently handle.

Moreover, as part of continuing efforts to improve Iowa State's library metadata, the DMWG is considering other DEI vocabulary areas to research and implement as updates to local records or share as linked data vocabularies. Some examples the DMWG is considering include the addition of Homosaurus terms for LGBTQ+ resources, the application of LCDGT and other vocabularies to describe authors belonging to minoritized groups, and a new round of outreach to improve LCSH for the Iowa-related Indigenous communities' languages.[21]

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Appendix A: Letter template

Greetings [name if available],

I am [name], a librarian at Iowa State University. We are working to update our catalog with the most accurate names for American Indian nations. As you may know, library catalogs rarely reflect the names Indigenous peoples use for themselves, but instead use names imposed on them, like "[LCSH heading]."

To rectify this issue, we would like to use [proposed subject heading] in our catalog. Is this a name that you would use to describe the [name used by tribe] as well as [name(s) of related tribe(s)]?

Please let us know at your earliest convenience if the proposed name is acceptable. You may contact me with any corrections, questions, or suggestions at: [contact information].

As an expression of our gratitude for your help, we have compiled the following guide to selected materials by and about the Indigenous peoples of Iowa: https://go.iastate.edu/UAREL3.

We are offering free access to our physical and electronic materials through our interlibrary loan service, which normally includes a fee for non-university members. Your community also may be interested in our digital publishing services. Please see the guide for details.

We look forward to improving our collection and making sure it accurately represents your community. Thank you for your time and willingness to help us in this effort.

Sincerely,
[name]

Book Reviews

Elyssa M. Gould

The Complete Guide to Institutional Repositories. Edited by Stephen Craig Finlay. Chicago: ALA Editions, 2021. 197 p. $74.99 softcover (ISBN: 978-0-838948101).

This edited volume by Stephen Craig Finlay on institutional repositories (IRs) involves mostly-United States-based academic library author contributors. These contributions share different project perspectives from scholarly communication and institutional repository librarians, but also share project perspectives from library personnel in the areas of reference, assessment, and special collections. The book is divided into many chapters on planning and implementation of an IR, followed by several case studies and experiences from various libraries and institutions. Most chapters are followed with an extensive list of references and notes for further reading.

The book starts out with a bang with a powerful chapter on "Starting an Institutional Repository" by Leo Stezano. Stezano's chapter is a narrative companion to go with his 2016 workflow document "A Librarian's Process for Building an Institutional Repository".1 Both are excellent explanations of how to get started with an IR at an institution, including what to do to initiate the project, defining what content will be in the IR, the IR's relationship to other digital collections in an institution, determining what feature sets to use, creating a metadata schema, defining access protocols, a plan for sustainability, choosing an appropriate system for the IR, and general communication about the IR internally and externally. Stezano warns us early in the chapter that "it would be tempting to shortcut some of the activities listed [in this chapter], but that will only create bigger problems down the road" (3). This particular chapter should be shared with library or university administrators or libraries in general starting an IR and all the things that need to be done and considered ahead of time. Even if the reader has already started an IR or had one in place for a while, it is a good chapter to read to be reminded of successes (or failures) in the project, and tasks that need to be completed for a proper IR.

The rest of the planning and implementation chapters cover some basic things to consider when planning an IR. As noted in chapter 2 by author Harrison Inefuku, "much of the literature on [repositories] remains devoted to discussing faculty members' self-archiving activity" (19), and the rest of this book is a good update to the library literature to cover other aspects of running an IR: communication and marketing, policies for the IR, authority control and metadata planning, copyright concerns, and what and whose work should be in an IR. The book assumes that the reader might be new to librarianship as well and has some basic chapters on name authority and copyright, if not familiar with those concepts from other library projects. Topics that run throughout the planning and implementation chapters include the impact on IR policies and materials accepted due to funder and/or institution mandates for faculty authors to deposit their works in an open access (OA) IR, the importance of creating clear policies for what to include and from whom, and what situations may cause the removal of an item from an IR.

The five case study chapters to close the book include a detailed analysis of IR policies from many institutions by an institution with a long-standing IR (in order to update their own), a review of OA policies with a European perspective, a look at open-source IR software, planning a community outreach event for an IR, and faculty outreach ideas. One strength of the book and the case studies is that the authors share that not everything went well. Examples include a well-planned community event that had very few attendees, an IR that was managed well by particular people but then they left the institution, and faculty outreach asking for curriculum vitaes that had lower participation than expected. Thanks to these reports, all readers can learn from these ideas that did not live up to expectations and save time and planning for institutional projects.

In any volume about library technology like an IR, there is concern about the work going out of date soon after purchase. However, this volume was written to not include technology that would quickly go out of date (besides the current options for open-source IR software, which still will be current for a few more years), making this volume useful for years to come. Even if the reader is not planning an IR soon but is planning other large library technical projects

(such as a new integrated library system), this book provides some good ideas on project management and marketing. For a librarian new to IR work and/or project planning, or with any institution starting a new IR, this work is essential.—*Christina L. Hennessey (christina.hennessey@csun.edu), California State University, Northridge*

Reference

1. Leo Stezano, "A Librarian's Process for Building an Institutional Repository," 2016, https://newinformationservices.files.wordpress.com/2016/09/els-lc_ir_process.pdf.

The Complete Collections Assessment Manual: A Holistic Approach. By Madeline M. Kelly. Chicago: Neal-Schuman, 2021. 250 p. $58. softcover (ISBN: 978-0-8389-1868-5).

The world of collections assessment in any type of library is an ever-dynamic activity. Budgetary considerations are critical, the needs of the constituency served may change, whether or not a library has a sufficient number of staff needed to devote attention to the necessary work in this area. Other concerns for an academic library include the addition of new courses or the establishment of new degree programs. Further considerations are libraries and archives wishing to create an assessment tool towards understanding the scope of their hidden collections. Creating collections assessment tools to help libraries would go a long way to assist them in their decision making. The question is how does a library professional begin the process? What considerations are needed? How should we construct the assessment to provide us with the information we need to make constructive decisions? What tools are available to a library to help in this effort?

The *Complete Collections Assessment Manual* provides library professionals with the answers on how to proceed with questions they have and, perhaps, with questions they did not think to ask. The book is structured into three parts: Planning a Collections Assessment Program, Metrics and Methods, and Appendixes.

Part 1 addresses the assessment holistically and hoped for outcomes and goals, identifying the necessary stakeholders in the discussion, selecting the data and the methodology to used to collect the information, project planning and how to anticipate possible challenges, how to communicate with stakeholders, including a discussion on how to invite outside partners into the discussion, how to present your findings, and special considerations to consider. In chapter 4, the author offers three frameworks for discussion: traditional, Borin and Yi, and a framework she refers to as "Goldilocks." Each framework is discussed and they are referenced throughout the text. At the end of many of the chapters are sources for additional information: bibliographies, examples, and sample plans.

Part 2 addresses how to put a developed plan into action and addresses many of features in collections assessment: the collections, inventory, e-resource environmental scan, users and patron demographic mapping, interviews and focus groups, circulation and inter library loan analysis, and citations analysis. Within the chapters are discussions about the strengths and weaknesses of each of these pieces and how to prepare, analyze, and use the data.

Part 3 supplies assessment planning templates and sample collections assessment portfolios that can be used as is or adapted to the needs of specific libraries. Also included is an annotated overview of the technologies available, such as resources for data cleaning, merging, and visualization, bibliometric tools and those for graphic tools and project management. Each offering is noted as being cloud-based, free, or premium or subscription based.

Throughout the text are a myriad of visuals in the form of charts, statistical breakdowns, project plans mapping data to intended goals, and Gantt charts. Many of these visuals assist librarians in their need to supply data and information to interested parties. Additionally, once the assessment has been implemented the author supplies questions, analysis, and viewpoints how to critically understand your findings.

In the introduction, the author states that her goal was to "set out to create a one-stop shop for practical, actionable collections assessment that not only guides readers step-by-step through major assessment methods but also provides concrete guidance on how to contextualize those methods within a broader assessment framework" (xix). This goal was successfully met. The author has not simply offered a theoretical analysis of what collections assessment is about, but has created an all-encompassing manual on how to approach a collections assessment for libraries of all types. Through the text she supplies the pros and cons of each suggested offering, letting the reader decide which course of action would work best in their respective library.

The author encourages librarians to take a critical view of their collections and encourages them to take make diversity an important component in their assessment. In chapter 4, the author explains, "take care that your assessment accommodates a balance of perspectives, identities, and voices. It is not enough to assume this would happen passively; we must actively examine our practices to ensure that the information we steward is diverse and inclusive" (29). Further, "This plays out in assessment at multiple levels, including in the frameworks we build to conduct our assessments, the date we use to populate them and the

conclusions we draw in the end." What follows is a discussion on how to accomplish this in practice.

In a world where libraries are increasingly expected to prove their value and to help counter any negative impact on collections development budgets creating a practical collections assessment plan is critical. Madeline Kelly has not only met her own goals but has wonderfully exceeded them to provide library professionals with the tools they will need to meet the objectives of their library.—*Jackie Parascandola (jpara@upenn.edu), University of Pennsylvania, Philadelphia, Pennsylvania*

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