

ARTICLE  
EXCERPTED  
FROM:

# ISQ

## INFORMATION STANDARDS QUARTERLY

WINTER 2010 | VOL 22 | ISSUE 1 | ISSN 1041-0031

SPECIAL EDITION: STATE OF THE STANDARDS AND YEAR IN REVIEW

PLANNED OBSOLESCENCE:  
A NEW MODEL FOR  
ACADEMIC PUBLISHING

DCMI: BEYOND THE  
ELEMENT SET

E-BOOKS: THE ETERNAL  
NEXT BIG THING

Z39.7 LIBRARY METRICS &  
STATISTICS DATA DICTIONARY

OPENURL KNOWLEDGE BASES  
RECOMMENDED PRACTICE

CR [ SPECIAL EDITION CONFERENCE REPORT ]

---

# 2009 EDUCATIONAL PROGRAM HIGHLIGHTS

---

## WEBINARS & FORUMS ▶

---

This past year was a great success for NISO's education programs. With the support of the Education Committee, NISO held three in person forums, including the third annual NISO/BISG forum at ALA Annual, as well as thirteen webinars—one each month (except July), with May and September having special two-part webinar events. An estimated 3,500 people attended the year's events.



## Webinars

### JANUARY

#### Digital Preservation

##### **Filesystem Metadata: An Unsolved Problem in Digital Preservation**

Keith Johnson (Stanford Digital Repository)

- » File system metadata—which includes file names, file dates, permissions, and directories—are not portable.
- » Need embedded, portable file metadata—perhaps a new container format—and tools for handling incompatibilities in a non-destructive manner.

##### **CLOCKSS, A Global Archive**

Victoria Reich (Stanford University Libraries)

- » CLOCKSS mission is to ensure “access to published scholarly content over time” by building a community-governed sustainable archive without charging for access.
- » Leverages existing technology (LOCKSS) and existing infrastructure.
- » Trigger events allow content to be released to the public.

##### **Going from Zero to Live with an Automated Digital Preservation System**

Carl Grant (Ex Libris North America)

- » Preservation requires planning; policies are not optional.
- » Perform a needs assessment and identify common services that can be shared with other services.
- » Build organization support and sell the preservation service from the top down.



PRESENTATION SLIDES :

[www.niso.org/news/events/2009/digpres09/](http://www.niso.org/news/events/2009/digpres09/)

### FEBRUARY

#### Single Sign-On (SSO) Authentication

##### **Towards Horizontal Linking to Licensed Content**

Adam Chandler (Cornell University Library)

- » **John Law:** Authentication barriers were one of the chief inhibitors to success in using library resources.
- » When Cornell University students tried to access the library's licensed resources from Google, typical results were: a rejection of access, offers for free trial access, homepages with no clear indication of where to go next, and many different types of log-in screens.
- » Need for a consistent log-in link on both the home and article pages, consistent terminology for log-in options, and a “where are you from” (WAYF) menu.

##### **InCommon Library/Shibboleth Project Update**

Steven T. Carmody (Brown University)

- » InCommon Library/Shibboleth project to provide integrated access to licensed library resources regardless of user location, while also meeting users' needs for consistency and vendors' needs for reliable authentication.
- » Phase 1 recommendation was to use a combination of Shibboleth® and a single sign-on enabled proxy.

##### **Access & Identity Management**

Keith Dixon and Lyn Norris (Eduserv)

- » Authentication basically involves trust—balancing the risks to access and user privacy with the usability of services and monitoring for management.
- » Athens is a technology, services, and a federation, which mediates a trusted relationship.
- » Phillips Research Library implemented a combination of EXProxy and Athens local authentication.

##### **SSO Authentication: Understanding the Pieces of the Puzzle.**

Jerry Ward (ProQuest)

- » Support costs for authentication can be huge as companies are forced to support everything from individual system assigned usernames and passwords to Shibboleth®.
- » It is time for a common standard. Just as OpenURL brought linking into common usage, so can a standard single sign-on authentication system have a similar impact on usage.



PRESENTATION SLIDES :

[www.niso.org/news/events/2009/authentication09/](http://www.niso.org/news/events/2009/authentication09/)

## MARCH

**Data Movement and Management*****The Landscape of Data Movement and Management in Libraries***

Tim Jewell (University of Washington Libraries)

- » ERMI Phase 1: Functional requirements and data elements for ERM systems.
- » ERMI Phase 2: License expression, ILS/ERM interoperability, e-resource usage statistics.
- » Beyond ERMI: NISO spearheading a number of follow-up activities.

***CORE (Cost of Resource Exchange): Combining Cost and Use Data in Libraries***

Jeff Aipperspach (Serials Solutions)

- » ERM systems need to be able to look up and use acquisitions information from within the ILS.
- » Libraries want to leverage data investments from different systems and allow reuse of data in other applications.
- » Draft standard for trial use that defines the protocol to exchange data between an ILS and ERMS is expected in March with a 9-12 month trial.

***Reusing Library Metadata via the eXtensible Catalog (XC)***

Jennifer Bowen (University of Rochester)

- » XC will provide metadata architecture using OAI-PMH, five toolkits, and an out-of-the-box user interface.
- » Enables automated handling of metadata changes.
- » Ideal platform for experimentation.

***The OAI-ORE Project***

Michael L. Nelson (Old Dominion University)

- » Use published resource maps to the web that instantiate, describe, and identify aggregations of web resources.
- » Takes a resource-centric approach; prior approaches had repository and metadata records as the center.
- » Sets a new direction to think about interoperability in our communities.



PRESENTATION SLIDES:

[www.niso.org/news/events/2009/datawebinar09/](http://www.niso.org/news/events/2009/datawebinar09/)

## APRIL

**KBART and the OpenURL:  
Increasing E-Resource Use through  
Improved User Access*****KBART: Improving Access to Electronic Resources***

Peter McCracken (Serials Solutions)

- » Three main problems with OpenURL today: bad data, incorrect transfer implementation, and lack of OpenURL knowledge resulting in lack of use.
- » KBART is a NISO/UKSG project to ensure that OpenURL knowledgebases contain timely and accurate data.
- » KBART phase 1 best practices guidelines to address all three main problems in the supply chain.

***KBART: Benefits to Link Resolver Vendors***

Thomas Ventimiglia (Princeton University Library)

- » Their knowledgebase has over 100 providers, 2 million records each month, and requires significant work in writing and maintaining software to standardize data formats.
- » KBART identifies a standard data format and a set of metadata fields important to the basic functions of a link resolver and recommends an updating period and transfer mechanism.

***KBART: A Librarian's Perspective***

Chrissie Noonan (Hanford Technical Library)

- » Their OpenURL knowledgebase is registered with multiple vendors and maintenance is an ongoing effort.
- » KBART can improve data accuracy, normalize formats, maximize the usage of electronic products, and ultimately improve the user experience.

***Credo Reference***

Jenny Walker (Credo Advisory Board)

- » Credo is an online full text reference service with metasearch and OpenURL linking, as both a link resolver source and target.
- » For a content provider, conforming to KBART can allow data to be offered in standardized formats and help identify the provider as a trusted source of information.



PRESENTATION SLIDES:

[www.niso.org/news/events/2009/kbart09/](http://www.niso.org/news/events/2009/kbart09/)

CONTINUED »

## MAY

**COUNTER: A How-To Guide****COUNTER: An Introduction to the Codes of Practice**

Peter Shepherd (COUNTER)

- » Current Codes of Practice: Journals and databases (release 3), Books and reference works (release 1).
- » Journals and databases release 3 adds requirement for XML format, consortial reports, and use of the SUSHI (Standardized Usage Statistics Harvesting Initiative) protocol.
- » An independent audit confirms COUNTER compliance.
- » Future developments: using COUNTER data to derive global quality and value factors.

**Using COUNTER Reports**

Tansy Matthews (George Mason University)

- » Virtual Library of Virginia (VIVA) is a consortium of over 125 colleges and universities that processes statistics for all of its member libraries.
- » Data trending over time requires consistent formatting. For non-COUNTER compliant vendors, each one's data has to be processed individually.
- » Developed software for importing and processing multiple Excel COUNTER files and loading into a database.

**Economic Impact of SUSHI on the Library Community**

Susan Golden (Serials Solutions)

- » Libraries spend 40 to 60 hours per assessment period in processing vendor usage data.
- » With SUSHI, libraries can save on processing time and redirect it to decision making.
- » Systems such as 360 COUNTER provide the SUSHI client service that libraries need.



## PRESENTATION SLIDES :

[www.niso.org/news/events/2009/counter09/](http://www.niso.org/news/events/2009/counter09/)**New Applications of Usage Data****COUNTER - New Features and Applications**

Peter Shepherd (COUNTER)

- » COUNTER data being used to create global metrics.
- » UKSG project looking at value metrics—impact and usage factors.
- » PIRUS project developing a standard for article level usage statistics that could be used by repositories as well as publishers.

**Article-Level Metrics at PLoS and Beyond**

Peter Binfield (Public Library of Science)

- » A possible method for measuring the impact of research is by measuring usage of research output: the journal article. Few journals currently provide this data.
- » PLoS project looking at usage, citation, and a range of measures that would define impact.
- » Data being added to every PLoS article to be displayed numerically and graphically including historical data.

**An Overview of Recent Usage Data Research**

John McDonald (Claremont University Consortium)

- » Have new ways to collect usage data, e.g., ISI citation data, COUNTER reports, Google analytics, various server logs.
- » Researchers have published theoretical analyses of usage data, e.g., centrality measures, scientific communication maps, open access studies.
- » Other researchers focused on evidence-based analysis of usage data, e.g., Google analytics of local content, e-book models analysis, use of Sparklines.



## PRESENTATION SLIDES :

[www.niso.org/news/events/2009/usage09/](http://www.niso.org/news/events/2009/usage09/)

## JULY

**Library Systems & Interoperability: Breaking Down Silos****CORE: Exchanging Cost Information Between Library Systems**

Ted Koppel (Auto-Graphics) and Ed Riding (SirsiDynix)

- » **Problem:** The ERM needs financial data that is often stored in other systems such as the ILS or vendor and consortial databases.
- » **Solution:** A protocol that will standardize the exchange of data between systems.
- » The CORE protocol uses an XML schema that defines the request and response payload.

## Moving Library Management Services to Web-Scale

Andrew K. Pace (OCLC)

- » OCLC announced a strategy to deliver web-scale management services.
- » Building on WorldCat, OCLC is uniquely positioned to “leverage the power of the cooperative” and “create system-wide efficiencies in library management.”
- » The web-based platform includes customizable workflow, data registries and repositories, and a service-oriented architecture for interoperability with local and 3rd party business systems.

## DLF's ILS Discovery Interfaces Project

John Mark Ockerbloom (University of Pennsylvania)

- » DLF-DI has four levels of discovery interoperability defined with abstract function definitions, and one or more binding technologies for each function.
- » At least ten vendors have agreed to support the Level 1 basic discovery interface.
- » ILS-DI APIs are becoming available. Vendors, libraries, and developers are all encouraged to test, implement, and develop extensions.



PRESENTATION SLIDES:

[www.niso.org/news/events/2009/interop09/](http://www.niso.org/news/events/2009/interop09/)

## AUGUST

### E-Books: A Rapidly Evolving Marketplace

#### Creation, Formatting, and Distribution Options for E-books

Tino Fleischer (Atypion Systems)

- » Key questions for publishers are:
  - What types of book content do you have?
  - How do you want to deliver/present it online to the user?
  - If distributing in PDF, at what level of granularity is it offered?
  - What metadata will be offered, at what granularity, and using what DTD schema?
- » Mobile delivery requires additional formats and processes.

#### Business Issues and Trends in the Digital Book Landscape

Anne Orens, Independent Consultant

- » Tipping points for the e-book trend were: reading devices, print on demand availability, and Google Books.
- » Approaches include: full-service repository to distribution services, repackaging and re-chunking, online sampling, mobile delivery, enhanced functionality (over print), and taking a DRM stance.

- » Strategy determined by combination of pricing, audience, and content type.

## E-books in the Library

Sue Polanka (Wright State University)

- » Libraries want free vendor-neutral MARC cataloging with every e-book, and simplified purchasing.
- » Current access issues include: proprietary software, ability to borrow and lend, and the possible lack of perpetual access.
- » Users want printing and downloading capability, linking, and value-added features.



PRESENTATION SLIDES:

[www.niso.org/news/events/2009/ebooks09/](http://www.niso.org/news/events/2009/ebooks09/)

## SEPTEMBER

### E-resources Licensing: The Good, the Bad, the Ugly - Part I

#### Contracts Basics

Trisha L. Davis (Ohio State University Libraries)

- » A contract must include: offer, acceptance, consideration.
- » Other requirements are: competence, consent, and legal activity.
- » Types of licenses that libraries encounter are: shrink-wrapped, embedded within a disc, online click-on, and formal contracts.

#### Terms to be Mapped to ERMs

Trisha L. Davis (Ohio State University Libraries)

- » The DLF ERMI project identified terms of use for an Electronic Resource Management (ERM) system.
- » 30 different terms were reviewed.

#### Introduction to ONIX-PL (ONIX for Publications Licenses)

Clinton Chamberlain (University of Texas at Austin Libraries)

- » ONIX-PL is an XML schema that allows a publisher's license to be expressed in a machine-readable format.
- » Benefits include elimination of manual data entry into an ERMS, better identification of key terms, and improved access to license information by end users.



PRESENTATION SLIDES:

[www.niso.org/news/events/2009/eresources09/](http://www.niso.org/news/events/2009/eresources09/)

CONTINUED »

## ► E-resources Licensing: The Good, the Bad, the Ugly – Part II

### **Review of a Sample Licensing Agreement with Terms to be Mapped to ERMs**

Trisha L. Davis (Ohio State University Libraries)

- » Terms in 3 anonymous licenses are compared for how the terms map to the ERMI elements and differences are highlighted.

### **Introduction to the SERU (Shared E-Resource Understanding) Recommended Practice**

Clinton Chamberlain (University of Texas at Austin Libraries)

- » The Shared Electronic Resources Understanding (SERU) is the NISO recommended practice that allows libraries and publishers to forego a license agreement in favor of a shared understanding of widely accepted practices.
- » ERMI license terms are compared to SERU language.
- » A SERU Registry is available for both librarians and publishers to indicate their willingness to use SERU.



PRESENTATION SLIDES :

[www.niso.org/news/events/2009/licensing09/](http://www.niso.org/news/events/2009/licensing09/)

## ► OCTOBER

### **Bibliographic Control Alphabet Soup: AACR to RDA and Evolution of MARC**

#### **AACR2, RDA, VIAF, and the Future**

Barbara Tillett (Library of Congress)

- » IFLA has had increasing influence on Anglo-American cataloging, in particular the *Functional Requirements for Bibliographic Records (FRBR)* with its entity-relationship model.
- » RDA, the forthcoming replacement for AACR2, uses the FRBR model, has a greater emphasis on controlled vocabularies, and provides for greater re-use of metadata beyond libraries.
- » There will be a transition period with aids such as mapping tables to MARC and other metadata schemes. Database/format scenarios are also in development.

#### **RDA Elements and Vocabularies: A Step Forward from MARC**

Diane Hillmann (Information Institute of Syracuse)

- » Exclusive use of MARC limits libraries from participating in re-use or sharing of data with the non-library community.
- » A joint DCMI/RDA task force was established to build a formal representation of RDA elements and vocabularies using the semantic web RDF and also to create a Dublin Core Application Profile.

- » Among the issues that have to be addressed are handling of RDA aggregated statements (e.g. for publication / production information) and how to represent roles and relationships.

### **Data-Driven Evidence for Core MARC Records**

William Moen (University of North Texas)

- » A two-year project examined over 56 million MARC 21 records from OCLC WorldCat to determine the frequency of use of the various fields and subfields.
- » For LC-created book records, 7 field tags appeared in every record; 14 fields accounted for 80% of the occurrences; 66% of fields used in less than 1% of records.
- » Study makes a case for a core set of 10-18 field/subfield combinations based on actual cataloging practice.



PRESENTATION SLIDES :

[www.niso.org/news/events/2009/bibcontrolo9/](http://www.niso.org/news/events/2009/bibcontrolo9/)

## ► NOVEMBER

### **Data, Data Everywhere: Migration and System Population Practices**

#### **Data Quality, Policy, and Large-Scale Data Flows**

Hilary Newman (Innovative Interfaces, Inc.)

- » When populating bibliographic systems or merging data, consider the data to be alive and evolving and don't make policies based only on today's needs.
- » Use standards.
- » Leverage computing power to do the work for you.

#### **Data, Data Everywhere and Constantly Moving**

Maribeth Manoff (University of Tennessee, Knoxville)

- » There are large one-time migrations, e.g. a new ILS, and there are ongoing constant system populations, e.g. a link resolver knowledge base.
- » One-time migration with known data formats can result in less attention paid to opportunities for innovation or new user experiences.
- » Ongoing migrations / data populations require an emphasis on processes "that are both rigorous and flexible."
- » New configurable data formats, e.g. XML, can encourage innovation.





### **Libraries and Data an IU Perspective**

Robert McDonald (Indiana University)

- » Library systems now include a legacy ILS plus e-content module plus advanced discovery interface that must all interoperate and share selected data.
- » Next generation discovery system decouples the discovery and ILS; MARC data is exported and reformatted before it is presented to the user.
- » Curation mandate increasingly extends to inclusion of the scientific research data. HathiTrust is an example of a consortial curation service.



PRESENTATION SLIDES :

[www.niso.org/news/events/2009/datasystems09/](http://www.niso.org/news/events/2009/datasystems09/)

### » DECEMBER

## **ONIX for Publication Licenses: Adding Structure to Legalese**

### **SCELC and ONIX-PL**

Rick Burke (SCELC)

- » ONIX-PL fulfills a critical need—a universally acceptable standard for formatting and delivering license information for all parties: libraries, consortia, and publishers.
- » By using ONIX-PL, SCELC can eliminate manual entry and editing of licensing terms into their consortial ERMS.
- » The open source ONIX-PL Editing Tools (OPLE) provide effective access to the license for all parties, including end users, and will provide the facility to generate the subsequent web summaries at any stage of license mapping.

### **ONIX-PL: Viewpoint from the University & Library Community**

Wilma Mossink (SURFFoundation)

- » Virtual learning environment (VLE) initiative in The Netherlands needs licensing information for copyrighted materials delivered in course packs.
- » ONIX-PL offers the possibility of having machine-readable and searchable licenses but there is a chicken and egg issue right now. Not enough publishers are offering licenses in the format. Not enough awareness of or demand for it from the library community.

### **An Introduction to RELI**

Mark Bide (EDItEUR)

- » RELI (Registry for Electronic Licenses) is a JISC-funded project to pilot the development of a license registry, which can be useful in providing permissions data for users, storing all licenses in one place for access by library staff, [and] enabling comparisons of licenses.
- » ONIX-PL is the only available machine interpretable format for populating a registry with XML-formatted license information. Not enough publishers are using it yet.



PRESENTATION SLIDES :

[www.niso.org/news/events/2009/onixplo9/](http://www.niso.org/news/events/2009/onixplo9/)

## Forums



### » Performance Measures and Assessment

Baltimore, MD

- » **Steve Hiller** (University of Washington Libraries) - Traditional statistics are no longer sufficient; need to demonstrate outcomes and the value of the library to the individual, community, and the organization.
- » **Mike Poulin** (Colgate University Libraries) - Using a variety of data to make journal cancellation decisions. The library's role is not to support the faculty with publication of unused material or to provide revenue for publishers.
- » **David Consiglio** (Bryn Mawr College) - NISO survey showed significant increase in importance of wireless access for all constituencies.
- » **Larry Nash** (East Carolina University) - Use progressive alignment of assessment to the library service environment: non-alignment, practice alignment, process alignment, system alignment, environmental alignment.



PRESENTATION SLIDES :

[www.niso.org/news/events/2009/assess09/agenda](http://www.niso.org/news/events/2009/assess09/agenda)

CONTINUED »



## ► NISO/BISG Forum: The Changing Standards Landscape for E-books

Chicago, IL - ALA Annual

- » **Andy Weissberg** (Bowker) - The International Standard Text Code (ISTC) provides a means of uniquely and persistently identifying textual works and linking to all of their manifestations.
- » **Mark Bide** (EDItEUR) - The ISBN has to resolve some significant challenges, especially with digital content, if it is to continue to be an effective identifier. Is the e-ISBN a possible solution?
- » **Michael Smith** (IDPF) - EPUB is an XML-based format for digital books designed to provide true interoperability across platforms.
- » **Michael Healy** (BISG) - BookDROP standard was developed to streamline how online book content is shared between publishers with digital book content repositories.
- » **Suzanne Kemperman** (OCLC NetLibrary) - Better access and less DRM requires better business models and jointly developed digital use standards.
- » **John Cox** (John Cox Associates) - E-books are ten years behind journals in developing business models. The business is too young and too varied as yet for consensus on standardization.
- » **Sue Polanka** (Wright State University Libraries) - To successfully adopt e-books, libraries need standards for metadata, catalog records, purchasing, access, and interface features.



PRESENTATION SLIDES:

[www.niso.org/news/events/2009/ala09/bisg/](http://www.niso.org/news/events/2009/ala09/bisg/)

## ► Library Resource Management Systems

Boston, MA

- » **Oren Beit-Arie** (Ex Libris) - Significant changes in how scholarship is conducted: more data is produced, more multidisciplinary, shift to greater importance on earlier activities than in the final journal article output, technology compounding other trends.
- » **Robert Gerrity** (Boston College Libraries) - Users are looking for library systems to offer one stop shopping of discovery to delivery, flexible delivery options, delivery to mobile devices, and contextualized services.
- » **Judi Briden** (University of Rochester) - eXtensible Catalog user research focused on how to improve the OPAC for casual, non-expert users and address not yet identified needs of expert researchers.
- » **John Culshaw** (University of Colorado at Boulder Libraries) - Buy instead of building with open source to obtain greater functionality, have a vendor partner, and interoperate with the campus IT environment.

- » **Art Rhyno and Guoying (Grace) Liu** (University of Windsor) - Implemented Evergreen PINES system due to lower cost, growing track record with consortia, agility and flexibility of the software, and ability to integrate with SFX.
- » **Annette Bailey** (Virginia Tech) - Open Source and vendor software can work together to: link users to library resources, process data for display in external web page, and enhance existing OPACs.
- » **Rachel Bruce** (JISC) - Rapid technology change (especially Web and e-resources), users who go to Google, and funding challenges have created the perfect storm for change. There are many ways libraries can and are changing to meet the challenge.
- » **Ivy Anderson** (California Digital Library) - ERMI Phase 1 defined data model, data dictionary, and functional requirements. Phase 2 addresses license information. Current gap analysis and standards review determining recommendations to NISO for future work.
- » **MacKenzie Smith** (MIT Libraries) - Integrating library resource management systems into campus infrastructure for research and education by building on bibliographic data models, defining new conceptual data models, and using a data-oriented architecture.
- » **Diane C. Mirvis** (University of Bridgeport) - Decision to implement both enterprise Portal and CRM forced new process model to optimize workflow and information exchange between academic, library, administrative, and clinical areas.
- » **Kat Hagedorn** (University of Michigan) - Repositories can now move into a "cloud library" (partnering with HathiTrust) that will become a shared network resource.
- » **Kyle Banerjee** (Orbis Cascade Alliance) - Alliance migrated to OCLC WorldCat Navigator as a hosted resource platform, which utilizes a multi-library version of WorldCat Local for discovery, combined with consortial borrowing and gateway to local circulation.
- » **Marshall Breeding** (Vanderbilt University) - Dynamics of library automation are changing. Open source and SaaS creating new options. Research and development essential to develop systems to meet the needs of libraries and address the issues identified in this forum. Standards need to drive, not hold back, new initiatives.



PRESENTATION SLIDES:

[www.niso.org/news/events/2009/lrms09/agenda/](http://www.niso.org/news/events/2009/lrms09/agenda/)

|CR| doi: 10.3789/isqv22n1.201010

For information on NISO's 2010 line-up of educational webinars and forums, visit: [www.niso.org/events/2010](http://www.niso.org/events/2010)