



**BROWN UNIVERSITY LIBRARY STUDY**

# **III. Library Collection Annex Operational Analysis**

## **Library Collections Annex Working Groups**

### **Introduction**

The Annex renovation is planned to be finished by Summer of 2003 and fully functional by Fall 2003. Library personnel are on a “fast track” to accomplish this goal. With that in mind, the Library Planning Group has formed four working groups to analyze critical elements of a storage facility and begin to plan how we proceed: to plan how selection of material for the Annex will be done; how that material will be transferred into the Annex; how to provide the needed services for our users who request material held in the Annex, and public relations and communication to the Brown Community about all aspects of the Annex.

As we begin this process, the Planning Group has defined our Purpose and Goals for the Annex, and a number of key points have been identified for each working group.

### **Purpose**

The Annex is being developed for the Brown University Library to house, preserve and provide access to lesser used library materials of research value, in a cost effective manner and in a safe environment. The Annex will allow the Library to improve the functionality of the campus library facilities both in terms of research and study space, and to create more browsable circulating collections.

### **Goals**

- To protect and preserve the collections entrusted to our care.
- To maintain high quality service combined with an excellent inventory and retrieval systems for easy, quick and reliable access to materials.
- To provide comfortable and secure on-site reading facilities for those who want to do research at the Annex.
- To sustain a work environment for Library Annex staff that promotes teamwork, cooperation and communication as values supporting the Brown University Library mission.

Following is an overview of assumptions made by each of the working groups. More specific information is found in each working group’s section.

### **Selection Working Group**

- Materials remaining on-site will be arranged in a logical sequence based on user convenience.
- Selection of materials for the Annex is a collaborative, consultative effort among library staff, subject selectors, faculty, and other interested constituents.
- Storage decisions will be driven by well-articulated selection principles and not by emergency space needs.

### **Transfer Working Group**

(Includes Processing material from on-campus libraries; Transporting material to the Annex; and Intakeing of material into the Annex.)

- There will be an appropriate public record for each item going into the Annex.
- Material will be processed and transported at the same rate that it can be accessioned at the Annex so that material is unavailable to the user for the shortest amount of time.
- The selection and pre-processing of material should begin in mid 2002, well before the Annex is completed.

### **Service Working Group**

- The primary service goal is the provision of quick, reliable delivery of library materials upon request.
- There will be equivalent services for material in the Annex as would be available at campus libraries.
- The services we provide will be defined well in advance of the opening of the Annex and all defined services will be provided to our Annex users beginning the first day of operations.
- Services for the Annex will be contingent on the needs of our users; continued feed-back from our users will be sought to see if service modifications are necessary as we add material in the Annex.

### **Public Relations Working Group**

- Informing and consulting with Library staff and constituents as we develop and plan the Collections Annex will be essential to the success and acceptance of the project.
- Information will be targeted to each constituency through specific meetings and presentations, public forums, email messages, and articles in Library and University newsletters and newspapers.
- Publicizing and gathering feed-back will be ongoing throughout the length of the project.

## Selection of Materials for the Annex

### Working Group Members:

Matthew Jaquith, Manager, Collections, Storage  
Sam Mizer, Manager, Sciences Serials  
William Monroe, Head, Collection Development  
Jean Rainwater, Coordinator of Reader Service, Special Collections  
Eric Shoaf (convener), Head, Preservation Department

Selection of materials for the Annex is a collaborative, consultative effort among library staff, subject selectors, faculty, and other interested constituents.

Selection can be viewed in three parts, each part requiring a different level of staff and faculty involvement. Material in the first two parts below has been pre-selected. This is an important concept because it will help to move the library toward space objectives rapidly, free up space for staging and processing materials, and ultimately contribute to our goal of a more browseable collection.

Part 1— transfer of materials from Harvard site: a first step, a tune-up for future work; no selection involved unless materials have been identified that need to return to open stacks should space allow.

Part 2— transfer of materials from closed stacks at the Rock and the John Hay: this would include Rock Level C material and any materials deemed appropriate for storage at the Hay; since the service provided by our new facility closely approximates current Level C paging and our inventory control over the Cutter collection can only improve by inclusion in the Annex, our assumption is that Level C closed stack space could be emptied without a formal selection process provided actively circulating materials were retained, re-classed and/or relocated as appropriate. This could also provide a large staging area for removing materials from the open stacks.

Part 3— transfer of materials from the open stacks at Rock, Sciences and Orwig. In order to identify the many more thousands of volumes to store in order to meet defined goals, selection criteria must be broadened dramatically and the selection process streamlined and automated to the extent possible. See specific procedures below.

When considering how to approach sending materials from open stacks, one way is to think of what collections will stay rather than what collections will go to the Annex. While this will vary among different disciplines, it serves to frame our decision-making in a way that provides library users with the most useful, brows-able, and navigable collections on-site with supporting collections housed at the Annex.

## Selection Approaches

### Global

The quickest way to identify large quantities of material for the Annex is to apply a parameter globally to the circulating collections. For example, there are 250,000 Rockefeller monographs recorded in JOSIAH which have not circulated since 1978. Sending these materials would not require the diversion of selectors' energies at a time when it is a Strategic Plan priority to free them to work more closely with faculty and students. Since a single parameter is run against JOSIAH this approach to extracting records is technically simple and the approach is even-handed across disciplines.

### **Selective**

Parameters such as publication date, circulation history, named collection, language, format, (e.g, manuscripts, archives, recordings) etc. may be applied selectively to customize selection for each discipline. This approach is much more labor-intensive for selectors and it is more technically complicated to extract and manipulate customized files.

### **Hybrid**

By combining Global and Selective approaches, we can both customize for disciplines and identify large collections which can be transferred to the Annex in ways that are less labor-intensive for selectors.

### **Phased**

A mixed approach in which we use a global parameter to quickly identify and move materials in the first phase of populating the collections annex and then take a more selective approach in subsequent phases is a possibility.

### **JOSIAH Records**

With any of these approaches, in order to most efficiently select, process, and move large quantities of material to the Annex within a short time frame, materials selected for storage must already have records in JOSIAH. In the time period before the storage facility is operational retrospective conversion efforts should be targeted to storage selection decisions (Rock Level C materials, etc.). Selection for storage and the completion of conversion of the card catalog into JOSIAH must go hand in hand in order that both our on-site and our stored collections serve the needs of our users.

## **Staffing**

One full-time SLAS staff position will be required for the 2 year project to move large amounts of material to the Annex. Some of the duties of this position will be:

1. Coordinate with selectors to ensure timely review of materials identified for the Annex.
  - a. Provide bibliographic information, use patterns, and availability at other libraries.
  - b. Check condition of material identified for the Annex.
  - c. Collect information for use by selectors in communicating with faculty.
  - d. Ensure disciplines meet defined goals for identifying materials for the Annex.
2. Work closely with processing staff to meet planned goals.
  - a. Track rates of removal from shelves to processing area.
  - b. Serve as interface between processing staff and selectors.
  - c. Assist with resolution of problem re-con records.
3. Compare lists of materials with actual shelf availability, note discrepancies and deal with problems.
4. Other duties as assigned.

## Transfer Working Group Processing, Transporting, Intake

Working Group Members:

Bonnie Buzzell (Convener), Head, Circulation Department  
 Linda Gesualdi, Manager, Processing Unit  
 Whitney Pape, NEH Preservation Librarian  
 Jean Rainwater, Coordinator of Reader Services, Special Collections  
 Barbara Spaulding, Data Base Management Coordinator  
 Gretchen Yealey, Head, Serial Catalog Librarian

Based on our experiences of processing material for storage at the Harvard Depository Library, and from what we have learned from other libraries undertaking large storage projects, this working group developed a set of assumptions about the work we will be encountering as we prepare material to go into the Library Collections Annex. These assumptions are detailed in the following parts of this report, and draw on a common understanding of the sources and types of stored material, and a general three-segment procedure.

The transfer of material to the Library Collections Annex will include material of various formats from several sources, each with slightly different transfer routines:

- **Material stored at the Harvard Depository Library**, including general and special collections, both fully and partially cataloged. We will move approximately 62,000 pieces (250,000 volume-equivalents) from Harvard Depository to the Annex during in the first year of operation.
- **General collection** material currently shelved at the Rockefeller, Sciences and Orwig Libraries. Potential formats include monographs, serials, scores, sound recordings, maps, and microforms. We will transfer approximately 884,400 pieces during the first five years of operation.
- **Special collections** material located in the John Hay Library and Annmary Brown Memorial. Potential formats include cataloged and uncataloged books, serials, scores, recordings, dissertations, manuscripts, archival materials, broadsides, newspapers, paintings and museum objects. We will transfer approximately 40,800 volumes and 4,000 boxes (12,000 linear feet, or 120,000 volume equivalents) during the first two years of operation.
- **Newly acquired** general and special collections materials that are sent to the LCA shortly after receipt, either fully or partly cataloged. This includes the on-going acquisition of St. Martin's Press material (special collections), as well as occasional bulk gifts and purchases. We will transfer approximately 5,000 volume-equivalents annually.
- **On-going transfer** of retrospective material from all libraries in order to maintain acceptable stack conditions. We will transfer approximately 37,000 pieces per year from Rockefeller, Sciences and Orwig. Special collections transfers are harder to predict, but are likely to be at least 500 volume-equivalents per year.

The transfer process in all cases will include three separate segments, each with its own routines, and possibly its own staffing. Each segment will be discussed separately in this report. Although there will be variations within each segment, depending upon the origin of the material, its format, its condition, and other special attributes, we define them as follows:

- A. Processing includes** all of the steps following the selection decision, until the material is ready to be moved to the Annex. This includes both physical preparation and assurance of appropriate bibliographic control and access through *JOSIAH* and other methods.
- B. Transporting includes** the physical move of material to the Annex, and attendant tracking if necessary.
- C. Intake includes** all of the steps following arrival of material at the Annex, until it is placed on shelves there. This includes physical sorting and recording of item barcodes in the Annex inventory system.

## **Processing Assumptions**

### **General**

1. Processing includes some or all of the following steps:
  - physical preparation: paging selected material, physical assessment, stabilizing, applying barcode
  - creating or updating Josiah records (correct description, item records for each volume, appropriate location and status codes)
  - packing volumes for move/transfer
2. To meet our goal of processing 1,500 items per day during the first year of operation: “If it’s not easy, defer it, divert it, or don’t do it.” However, we should not skip necessary control in an attempt to move more material.

### **Staff and Workflow**

3. We will need a core of people to process these materials, at least one of whom should be a librarian with cataloging and serials cataloging expertise. For general collections material, assuming that all books have bibliographic records already in Josiah, in order to process 1,500 volumes per day, we estimate the following staffing level will be needed, possibly working in two shifts:
  - 2 Catalog/Serials Catalog Librarians
  - 2 Managers
  - 2 SLAS
  - 14 LTA2
  - 2-3 FTE student assistants
  - 22-23 TOTAL
4. We should begin selecting and pre-processing material in mid-2002, well before the Annex is finished.
5. Material to be moved from Harvard Depository will need minimal processing.

### **Physical Preparation and Preservation**

6. Material will be processed for the Annex only if it will not be damaged by transport to Annex, and if it will not damage anything else there. Material that does not meet these criteria will be diverted at the beginning of the process.
7. After material is removed from the Library shelves, and prior to processing for the Annex, we anticipate the following preservation activities:
  - Check for mold, insects, etc. Divert these materials to the Preservation Department if found.
  - Remove extraneous objects, e.g. paperclips, pressed flowers, sticky notes, etc.
  - Provide basic stabilization, e.g. string around loose material.

### **Equipment and Supplies**

8. Equipment needed for processing: 36 booktrucks, 12 computer workstations (computer, table, chair), flatbed truck, networked printer, vacuum (with good filtration system), 2-4 worktables for cleaning/wrapping and packing containers, telephone.
9. Supplies: barcode labels; stabilization supplies (ties, envelopes, paper wraps, etc.). smocks, dust filters, gloves, rags.
10. A processing area, probably in the Rockefeller Library from which most material will come, should be located with good accessibility to elevator/loading dock, large enough to accommodate 12 computer workstations with two trucks at each station, four worktables, supply storage.
11. Additional processing areas at other libraries should be established as needed. Staff may work at various libraries, depending on the phase of the project.

## **Transporting Assumptions**

### **General**

1. Transporting will include moving filled containers of processed material to loading areas at on-campus libraries, queuing containers for transport to the LCA, and organizing containers as they are off-loaded at the LCA. It may also include loading and unloading the truck, and/or driving the truck.

### **Workflow and Staffing**

2. We will transport material at the same rate that it is processed at the campus libraries, and is accessioned at the LCA.
3. During the first years of operation, it may be most effective to work on a weekly schedule, with a goal of having material “off the shelf” for less than a month. For example, material processed during week 1 would be transported in week 2, and accessioned and shelved during week 3. Later, when the volume of material is lower, a one-week turnaround should be sought. It is likely to be safest and most cost-effective to use commercial movers for this transporting during peak periods.
4. Materials transferred from Harvard Depository might be moved while still in their Harvard Depository storage trays. Specialized equipment, containers and methods should be sought to enable this. It is likely that professional movers will be used for the Harvard Depository material.

5. Following the initial load-in, use of our own truck and staff for daily transport of material to the Annex will be feasible. At that time, the inflow of material may decrease to around 750 volumes per week, or about 40 totes. Transport of material to the Annex will become part of the routine circuit between the on-campus libraries and the Annex.

## **Intake Assumptions**

### **Equipment and Supplies**

6. Transport bins and/or transport carts, hand carts, flat bed trucks, truck.

### **General**

1. Intakeing will include some or all of the following steps:
  - Unloading and/or unpacking material
  - Vacuuming and physical stabilization (if not already done)
  - Sorting by size and placing in trays
  - Associating individual items with tray in GFA; verifying (checking) GFA entry
  - Placing trays on shelf, and associating tray/books with the shelf in the GFA system
2. Our goals under the “Push Project” are to intake 400,000 items in 2003-04, 360,000 in 2004-05, 240,000 in 2005-06 and 170,000 in 2006-07. The first year includes items from the Harvard Depository.

### **Inventory System**

3. For the purposes of this report, we assume that there will be an independent inventory system to track the specific location of individual items shelved at the Annex some libraries have successfully used their integrated library systems to perform this function. However, we have been advised that for high-density shelving facilities exceeding 300,000 volumes, a separate inventory system is most cost-effective. Further verification of this assumption is desirable.

### **Staff and workflow**

4. During the first years, we will need two sorting lines in order to intake 1,500 items per day.
5. The recommended staffing level for intaking is 5 FTE.

### **Equipment and Supplies**

6. Equipment: GFA system server and software, 6 workstations, barcode printer, 7 hand-held scanners, 20 stationery scanners, photocopier, 40 low carts, 10 high carts.
7. Supplies: 82,000 cardboard trays, preservation materials (string, wrapping paper), labels for trays.

## **Service Working Group**

Working Group Members:

Bonnie Buzzell, Head, Circulation Department  
Florence Doksansky, Associate University Librarian Public Service/Collection Development  
Barbara Schulz (Convener), Head, Business Services  
Carol Tatian, Library Collections Annex Information Coordinator

Storage facilities are highly focused operations. They typically do not offer a wide breadth of services, but it is critical that those they do offer are done well. The services provided by storage facilities provide the necessary link between the end user and the stored materials. The quality of these services is crucial to the acceptance of the storage facility by library users.

The high-density storage facility will be a closed stack environment. Retrieval of materials from the shelves is triggered by a request from a user who, if there were no storage Annex, would have gotten the material from an open shelf in an on-campus library. Because of this, storage facilities have necessarily focused a great deal of effort on ensuring timely delivery of requested materials. Just as the primary role played by the high-density storage facility is efficient physical storage of library materials, the primary service goal is the provision of quick, reliable delivery of library materials upon request. Delivery may be to a library on-campus; by providing electronic delivery of an article, table of contents or part of a book; or to an on-site reading room where users can use general collections material in the storage facility. However delivery is done, the timeliness of that delivery is essential for our users to fully accept the concept of off-campus storage.

The services we provide will be defined well in advance of the Annex's opening, and all defined services will be provided to our users of the Annex on day one of operations. However, since services for the Annex will be contingent on the needs of our users, once the Annex is open, continued feed-back from our users will be sought to see if service modifications are necessary as we add material in the Annex.

### **Services**

- Hours open: The Annex will be staffed M - F, Library business hours; the reading room will be open 10 a.m. - 4 pm, M – F.
- The University will provide transportation to and from the Annex for users who choose it.
- Delivery will be to on-campus branches of the University Library M – F, twice a day.
- A service to provide photocopies and/or electronic or scanned copies of articles or excerpts of books in accordance with copyright will be made available.
- There will be equivalent services for material in the Annex as would be available at campus libraries.

### **Services - Reading Room**

- Use is for general collections; special collections will be sent to the Hay for viewing.
- The reading room will be supervised.
- There will be telephone access for assistance to reference staff at campus libraries; one workstation with reference desk top; and one laptop tap.
- If using material on-site, prior notification is necessary to allow time for paging materials.
- Materials may be held for use for more than one day.

**Services - Requesting**

- Inventory system will accept requests from Inter Library Loan
- Users and staff will place requests for volumes electronically through Josiah
- Requests for articles will be done electronically (through Josiah, if possible)

**Services – Staffing**

- Sufficient staff to provide all services including backup; we anticipate an equivalent of one position to handle the service aspect of the Annex.
- Cross training in all tasks (OSHA training for order picker; be able to lift 75 lbs – physical requirements)

## **Public Relations Working Group**

### **Working Group Members:**

Florence Doksansky, Associate University Librarian Public Service/Collection Development  
Michelle Ganey, Planner, Facilities Management  
Carol Tatian (Convener), Library Collection Annex Information Coordinator

Informing and consulting with Library staff and constituents as we develop and plan the collections Annex will be essential to the success and acceptance of the project. The need for an Annex must be understood by our users and publicity and feed-back for selection of material and Annex services will give our users a personal involvement and a sense of control over the storage process. Decisions will be made with care so that the Annex will enhance the Library and be part of a user-centered system.

- Publicizing and gathering feed-back will be ongoing throughout the length of the project.
- Information will be targeted to each constituency through specific meetings and presentations, public forums, email messages, and articles in Library and University newsletters and newspaper.
- Feed-back from each constituency will be sought at meetings, presentations and public forums.
- A Web Site has been created which will have up-to-date information about the project and contact information for the Planning Group members. The url is:  
<http://www.brown.edu/library/staff/annex>
- A Purpose and Goals statement for the Annex has been written and is on our Web Site.
- The Library Collections Annex Planning Group is working on a collective set of Assumptions to put on our Web Site.
- Initial publicity will express why we need a Collections Annex and why we chose to have a high-density facility.
- Once a site is selected, that information will be publicized.
- The Annex Information Coordinator will work with Library staff to ensure their understanding about the project so that they in turn can work with university faculty, students and staff.
- The Annex Information Coordinator and library selectors will work with faculty to define what material can be selected for the Annex in each subject area.