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Cataloging for Consortial Collections: A Survey[1]

Shi Deng, Aislinn Sotelo & Rebecca Culbertson

Abstract: Libraries face many challenges in making electronic resources accessible and discoverable. In particular, the exponentially increasing number of licensed and open access electronic resources and the dynamic nature of consortial collections (platform changes, title transference between packages, and package overlap) present challenges for cataloging and discovery. From March 21 to April 10, 2017, the authors performed a selected review of library literature and conducted a survey of library consortia worldwide to ascertain the cataloging models, strategies, and advanced technological tools used to ensure discovery of consortial collections. The findings from the literature review and survey are summarized in this article.

Keywords: electronic resources, consortial cataloging, cooperative cataloging, centralized cataloging, vendor records, MARC record service (MRS), batch cataloging

Introduction

There are several benefits to being part of a library consortium including opportunities to leverage expertise, participate in cost sharing, and create a cohesive user experience. One significant benefit is the opportunity to license electronic resource materials on a consortial level. The cost sharing benefits however come with many challenges, especially when it comes to cataloging, accessibility, and discoverability of consortial collections.

The authors of this article are metadata librarians and managers at the University of California, San Diego which is the home site for the Shared Cataloging Program (SCP) of the California Digital Library (CDL). Established in 2000, the SCP is a centralized cataloging unit

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that provides catalog records for CDL licensed and selected open access electronic resources

for the ten University of California (UC) campuses. Over the past seventeen years, the SCP has

managed many consortial cataloging changes and challenges as described in the *One for Ten*

article in this festschrift issue. Additionally, several UC campuses have recently or will soon

migrate to a new Integrated Library System (ILS) / Library Service Platform (LSP), which will

potentially impact the SCP operations and workflows. To help prepare for upcoming ILS/LSP

workflow and operational changes, the authors sought to identify how other library consortia

manage discovery of their consortially licensed materials. To do this, they performed a selected

literature review (focusing on articles that emphasized cataloging consortial collections) and

conducted a survey to better understand the current landscape of consortial cataloging. Their

findings are summarized in this article.

Literature Review

To provide context for the survey results, the literature review seeks to illuminate current

and past cataloging practices and approaches to the discovery of consortial collections. The

authors found articles covering topics such as consortial acquisition, consortial licensing,

consortial electronic resources management (ERM), shared collection development, consortial

Demand Driven Acquisition (DDA), return on investment calculation, cataloging partnership

between or among consortial members, and how to be a responsible collaborative participant in

a library consortium, but there were only a handful of articles that focused specifically on

cataloging for consortial collections. The authors will try to summarize the literature on

cataloging for consortial collections in this article. The literature can be divided into two distinct

time periods, the 2000s and 2010s, which clearly document a progression or change in the

approach to providing access to consortially licensed materials.

The first cluster of articles was published between 2000 and 2005 and illustrates

developing approaches for cataloging for a consortium. In 2000, Cary and Ogburn[1] detailed the

development of the Virtual Library of Virginia (VIVA), a consortium of separate universities funded by the state legislature. "There is no one integrated, online library system used in the state; instead, many different systems are in use among member institutions" (p. 46-47). The VIVA Cataloging and Intellectual Access Task Force (VIVACAT) was charged in October 1996 "to establish a process for sharing information about cataloging VIVA materials; develop a draft of goals, principles, and guidelines for cataloging VIVA materials; and determine future means of cooperative communication for cataloging staff in the VIVA libraries" (p. 46). VIVACAT developed shared cataloging standards, cataloger training for member institutions, and shared vendor records for each member institution to load into their local system. Following up in 2002, Shieh, Summers, and Day[2] discussed how VIVA member libraries standardized vendor MARC records and distributed them within the consortium.

In 2002, Boyle and Hughes[3] documented the cooperative cataloging efforts of the ten member libraries of the Nebraska Independent College Library Consortium (NICLC), emphasizing the need for standardization in cataloging. When the NICLC transitioned from local catalogs to a union catalog, they decided to use a single record to represent their consortial collections. One vendor provided authority control. Another vendor merged ten local records into one record in the NICLC database and faced the difficulty of reconciling and merging different versions of OCLC records that were downloaded at different times by member libraries. They were unable to resolve the issue due to local edits which could not simply be overlaid with updated OCLC master records. Today, libraries can facilitate and resolve the same difficulty with new services such as the OCLC Collection Manager updating record service. NICLC moved to OCLC's Worldshare Management Services (WMS) in 2012 and uses WorldCat Local as the library catalog.[4]

In 2002, French, Culbertson, and Hsiung[5], made a case for centralized cataloging for consortia (Shared Cataloging Program of the California Digital Library) as an effective cost saving method for supplying catalog records, provided that agreed upon standards were met.

Stumpf[6] conducted an analysis in 2003 of raw data collected from the Municipal Library

Consortium (MLC) of St Louis County, a consortium of eight small public libraries who "share an

OPAC, an interlibrary loan system, and maintains reciprocal borrowing among its patrons" (p.

93). Stumpf's survey "covered all aspects of a library's cataloging process" (p. 94) such as

staffing, processing, location, turnaround time, etc. Based on her analysis, she believed it would

be feasible and more efficient to establish a centralized acquisitions-cataloging facility hosted by

one of the member institutions. If MLC decided to implement, it would require a further in-depth

study. In 2003, O'Connell[7] recalled the information presented at a workshop, led by Paul

Moeller and Wendy Baia at the University of Colorado at Boulder, on cataloging within a

consortium catalog. The article outlined issues of serials cataloging in a consortium setting and

made recommendations for addressing these issues. "Moeller provided an overview of the

interesting features of several consortia. The CIC Virtual Electronic Library does not provide a

central catalog but allows searching of all member library catalogs individually or as a group.

VIVA, the Virtual Library of Virginia, does not have a consortium catalog, but has documentation

providing guidelines for best cataloging practices for the electronic resources it purchases.

OhioLINK, which was a leader in the development of a central catalog to facilitate the sharing of

resources, has become a purchaser of e-resources. CDL, the California Digital Library, employs

centralized cataloging of the e-resources purchased by the consortium" (p. 230-231). Moeller

also mentioned that "the CDL has done an especially good job of documenting their cataloging

policies" (p. 231) making them available to other libraries and recommended that "those

developing documentation for consortium cataloging practices follow CONSER standards" (p.

231).

      In 2004, Xiaotian Chen, et al.[8] presented the results of a 2003 survey conducted by a

task force of the Illinois Library Computer Systems Organization (ILCSO) (now Consortium of

Academic and Research Libraries in Illinois (CARLI)) that focused on e-resource cataloging

practices in academic libraries and consortia. With over 60 responses from institutions and

consortia, the survey found that libraries were "dealing with a volatile set of unstable resources which change names, contents, providers, and URLs with alarming frequency and thereby require repeated revisions to their surrogate records" (p.174). Additionally "no clear or thorough national standards exist…leaving policy making at the institutional level" (p. 174). Xiaotian Chen, et al. also discussed emerging trends such as the adoption of "the CONSER B+ option, or the aggregator-neutral record" (p. 176), the "the growing tendency of obtaining sets of resources from vendors" (p. 176) which move "libraries away from the single record approach" (p. 177), and the development of OpenURL link server or resolver software for e-resource management (p. 177). Following up in 2005, Chew and Braxton[9] shared their perspectives and reflection on their deliberating process of developing recommended standards for consortial cataloging of electronic resources for ILCSO. Covering many factors from defining the purpose of the shared catalog, local and historical matters, online holdings, MARC environment, vendor records, single record vs. separate record approach, to catalog functionalities, their deliberations centered on "two of the major issues facing libraries today: the challenge of providing access to electronic resources, and of doing so in a distributed environment" (p. 324).

Review of the first cluster of articles revealed that, in the early years, library consortia faced similar challenges in establishing practices for cataloging consortial collections. Library consortia ascribed to one of two methods of providing access and discovery for consortial collections: centralized cataloging or local cataloging and record sharing. The MLC and the CDL took a centralized cataloging approach while member institutions of the CARLI, VIVA, and NICLC contributed and shared catalog records either through a union catalog (CARLI and NICLC) or members' local catalogs (VIVA). Regardless of the record provider method, the challenges of establishing cataloging standards for consortia were similar and identified as the lack of cataloging standards for bibliographic records shared within a consortium, the need to reconcile different local practices (e.g., using single vs. separate records for e-journals) with national practices, how to manage versions of shared records, and/or how to manage vendor

records for large sets of e-books. While VIVA developed shared cataloging guidelines for consortium members at the local level, there were also emerging national standards such as the CONSER B+ option to treat multiple providers using one bibliographic record (now the PCC policy and standard for creating provider-neutral records).

The second cluster of articles, published between 2010 and 2013, demonstrate a trend towards utilizing batch cataloging methods and vendor records for cataloging consortial collections. In 2010, Martin and Mundle[10] shared the University of Illinois at Chicago (UIC) Library's experience of managing and improving the quality of bibliographic records for a large e-book collection in a consortial setting, and the challenges of working with vendor records. In 2011, Preston[11] examined the ever changing workflow for the production and distribution of MARC records for e-books in the OhioLINK system designed by the Database Management & Standards Committee (DMSC). Comprised of 25 technical service librarians from various libraries in the system, the DMSC developed the Standards for Cataloging Electronic Monographs. Initially, the Standards applied to vendor records only but later played a broader role for Ohio libraries that were involved in cooperative cataloging, leading to the development of consistent cataloging standards for the Ohio libraries. In 2011, Martin, Dzierba, Fields, and Roe[12] presented their survey findings on how members of the Consortium of Academic and Research Libraries in Illinois (CARLI) "handle e-resources cataloging issues, their awareness of and compliance with the existing consortial recommendations, and challenges faced in e-resources cataloging practices" (p. 362). The survey addressed four areas of e-resources cataloging: quantity and type of e-resources available through the catalog; use of the single versus separate record approaches for cataloging e-resources; batch loading and vendor records; and adherence to existing I-Share (consortium union catalog) guidelines (p. 371). Forty-five out of seventy-six (59%) I-Share members participated in the survey. The survey revealed that "managing access to e-resources through the library catalog is of continued importance to libraries. Almost all I-Share libraries provide access to e-resources--e-journals, e-

books, and/or databases--through the library catalog" (p. 381). The survey comments also "indicated that many libraries are open to simple and straightforward guidelines and welcome direction from the consortium" (p. 382). In 2013, Lu and Chambers[13] described the University of Colorado (CU) system PDA program with a focus on how MARC records are prepared and distributed to the CU libraries--one campus catalogs the records using MarcEdit and then distributes them to other campuses within the system.

While some of the challenges mentioned in the first cluster of articles continue to be debated, other challenges are emerging such as the reliance on vendor records to handle the deluge of e-resources, using batch processes to improve large sets of vendor records (OhioLINK, VIVA, CU), developing workflows for record distribution (OhioLINK, CU), and managing consortial DDA records (CU).

Based on the literature review, it was not possible to obtain an overall picture of the number of consortia cataloging for consortial collections and the approaches they use. Most of the literature reviewed for this article focused on individual consortium or consortia members managing cataloging for consortia. Only the survey conducted by Xiaotian Chen, et al. in 2003 was distributed widely to libraries and consortia. With the increased need to use vendor records, MARC record services, and batch cataloging to manage the exponentially increasing number of e-resources (especially e-books), what are the unique issues facing consortia cataloging and how are they being addressed? To answer these questions, the authors designed a survey to conduct an environmental scan to learn more about how library consortia catalog and create access to their materials. The survey will be the first step in an effort towards creating a conversation about possible best practices for consortial cataloging.

Survey Design

From March 21 to April 10, 2017, library consortia worldwide were invited to participate in a survey about current consortial cataloging practices. The survey was posted to several

listservs including ICOLC, PCCLIST, CONSRLST, Autocat, OCLC-cat, and OCLC-CJK. Comprised of thirteen questions, the survey was a combination of multiple choice and open-ended questions (see attached survey form in Appendix). It was intentionally brief to allow participants to answer the questions within five to fifteen minutes. The goal of the survey was to determine if each consortium had a systematic way to acquire licensed and open access electronic resources. If yes, did these consortial collections get cataloged, and what cataloging models, strategies, and advanced technological tools were employed? Additionally, how did library consortia address the challenges mentioned above and ensure the discovery and access of consortia collections?

Survey Results

During the twenty-one day survey period, thirty-two consortia participated and submitted thirty-six valid responses. In order to analyze and organize the survey data accurately, adjustments were made for multiple responses from the same consortium. Since multiple member libraries from the same consortium responded to the survey separately, some answers were combined and counted only once. For example, only one response was considered for the following questions: Question 2: "Does your consortium have a systematic way to acquire licensed and open access electronic resources?", and Question 3: "Do your consortium collections get cataloged?" For other questions with multiple answer choices, multiple responses from the same consortium were counted only once, if the responses were the same. However, all non-duplicated responses from the same consortium were included in the data analysis. For example, if there were two varied responses from the same consortium for Question 6: "Who catalogs for the collections selected by the consortium?" (e.g., vendor records and MARC record service), both answers were included in the results.

Question 1: Participating Consortia

Thirty-two consortia responded to the survey. Table 1 below lists the name and acronym of the participating consortia in the first and second columns, respectively. The demographic makeup of the respondents was varied and well-represented, encompassing a variety of libraries (academic, public, special, school, museum, archives, county, state, government, and the United Nations) across four continents (Asia, Africa, North America, and Europe). Twenty-nine of the thirty-two respondents represented U.S. library consortia. Of the twenty-nine U.S. library consortia, five consortia served member libraries in multiple states or nationwide, and the remaining U.S. library consortia were from fifteen states serving member libraries at the state, city or small region levels. The membership of each consortium varied from 3 to 1700 member libraries. Some consortia served university systems, while others served member libraries within a state or a region. The membership of state or regional library consortia also varied and were either determined geographically (e.g., all libraries and museums within a specific region), by the type of library (e.g., academic/research libraries of higher education institutions, public libraries, and county/state libraries), or both.

Table 1. List of consortia to which the participants belong

Consortium Name	Acronym	Content Acquisitions
Abilene Library Consortium	ALC	Yes
Bavaria Consortium		Yes
Big Ten Academic Alliance (formerly the CIC)	BTAA	Yes
California Digital Library	CDL	Yes
California State University	CSU	Yes
Consortium of Academic and Research Libraries in Illinois (CARLI)	CARLI	Yes
CONsortium on Core Electronic Resources in Taiwan	CONCERT	No
Cooperative Computer Services	CCS	Yes
Florida Academic Library Services Cooperative	FALSC	Yes
LYRASIS	Lyrasis	Yes
MassCat, a service of the Massachusetts Library System	MassCat	No
MOBIUS	MOBIUS	Yes

Moody Bible Institute -- 3 branches -- Chicago, Spokane, Michigan		Yes
NorthEast Research Libraries consortium	NERL	No
Ohio Library and Information Network	OhioLINK	Yes
PALCI	PALCI	Yes
Partnership Among South Carolina Academic Libraries	PASCAL	Yes
Private Academic Library Network of Indiana	PALNI	No
Public and Academic Library Network	PALnet	Yes
SHARE - part of the Illinois Heartland Library System	SHARE	No
South African National Libary and information Consortium	SANLiC	Yes
South Carolina Library Evergreen Network Delivery System	SC LENDS	Yes
Statewide California Electronic Library Consortium	SCELC	Yes
TexShare (LEIAN group)		Yes
The Louisiana Library Network	LOUIS	Yes
U.S. National Park Service		No
UN System Electronic Information Acquisitions Consortium	UNSEIAC	Yes
University of Texas System Digital Library	UTSDL	Yes
University of Wisconsin System		Yes
University System of Maryland and Affiliated Institutions	USMAI	Yes
Western New York Library Resources Council	WNYLRC	Yes
Western North Carolina Library Network	WNCLN	No

Question 2: Does your consortium have a systematic way to acquire licensed and open access electronic resources?

Twenty-five consortia (79%) responded "yes" and seven consortia (21%) responded "no." See the third column in Table 1 above for corresponding answers by consortia and see Table 2 below for the summary of responses. The consortia who chose "no" were asked to skip questions 3-13 and submit the survey.

Question 3: Do your consortium collections get cataloged?

Twenty-two out of twenty-five consortia (88%) responded "yes" and three consortia (12%) responded "no." See Table 2 below for a summary of responses. The consortia who chose "no" were asked to skip questions 4-10 and complete questions 11-13.

Table 2. Number of consortia who acquire and catalog licensed and OA e-resources

	Number of consortia	Yes	No
Systematically acquire licensed and open access e-resources	32	25 consortia (79%)	7 consortia (21%)
Consortium collections get cataloged?	25	22 consortia (88%)	3 consortia (12%)

Question 4: What categories of resources are cataloged?

Twenty-one consortia submitted twenty-six responses. See Figure 1 below for a summary of the number of responses by type of resource. Answers for the "Other" category were as follows:

State documents, Federal documents

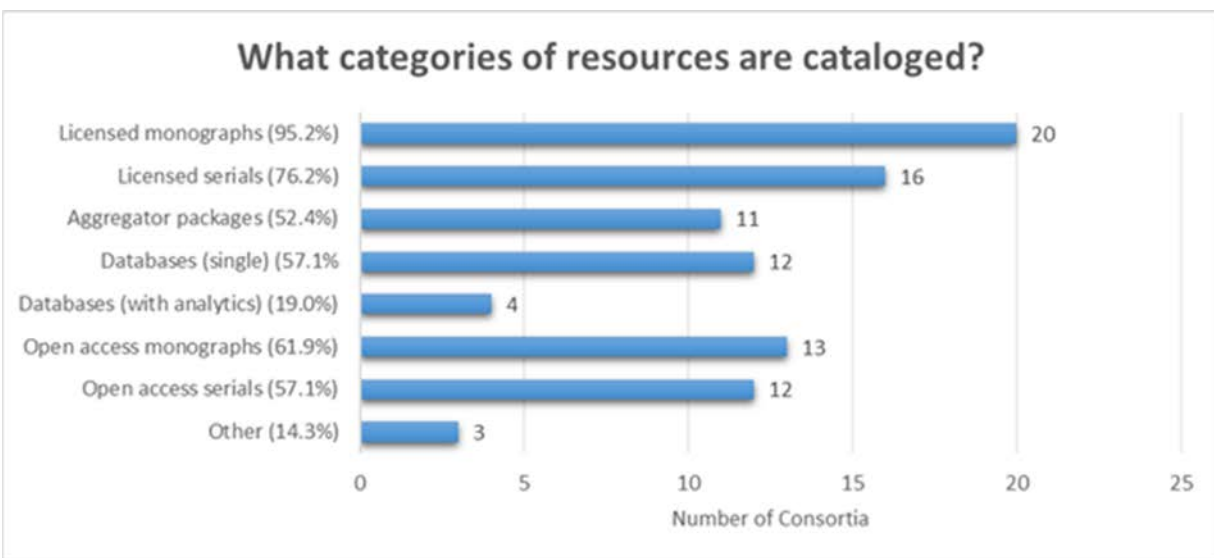Items purchased in perpetuity is being catalogued, subscriptions not

Nonbook formats

Figure 1. What categories of resources are cataloged?

Question 5: Do you provide an avenue for bibliographers to request cataloging of open access resources, either single serials, or open access packages?

Twenty-four consortia submitted responses to this question. Twelve respondents (about 50%) indicated that they did not have any formal cataloging request process in place, at either the local or consortium level. The responses below expanded on some of the "yes" or "no" answers:

Libraries may request creation of record sets for open access resources through our request tracking system. Collections are built as time permits

No formal process, but they could ask

Yes. Bibliographers may request that resources be added to the catalog/discovery service. MARC records currently received from Serials Solutions.

Some institutions do, but we do not manage this as a consortia. Each institution decides on their own process.

Yes. Bibliographers

Not formally, but we would try to accommodate any requests that came in

We're experimenting with this -- what level of access can be provided by our discovery layer vs what do we need to catalog ourselves if we want to enhance access.

Yes, but the request must come from selectors from our library (not from any consortium member)

Yes (although this may vary from campus to campus)

Yes. both a single form for serials and, lately, a newer form for groups of resources

Question 6: Who catalogs for the collections selected by the consortium?

Twenty-one consortia submitted twenty-six responses. If a respondent selected "Other" and provided an answer that duplicated one of the supplied answer categories (see Figure 2 below), that answer was included in the data for the specific category rather than in "Other." As

a result, only three out of seven responses in the category "Other" were counted as such. With these adjustments, the data showed that nine consortia (42.9%) made use of "MARC record" services (such as Knowledge Base, Alma Network/Community/Institutional Zones), member libraries of five consortia (23.8%) supplied their own cataloging, four consortia (19%) had designated cataloging units to share cataloging workloads, and one consortium (4.8%) divided cataloging among member libraries. The latter consortium also made use of "MARC record" services. Three consortia (14.3%) selected "Other" and provided the following answers:

A central office imports records batch-cataloged to a minimum level, which member libraries can locally correct & enhance

Most are based at the State Library owing to nature of collections

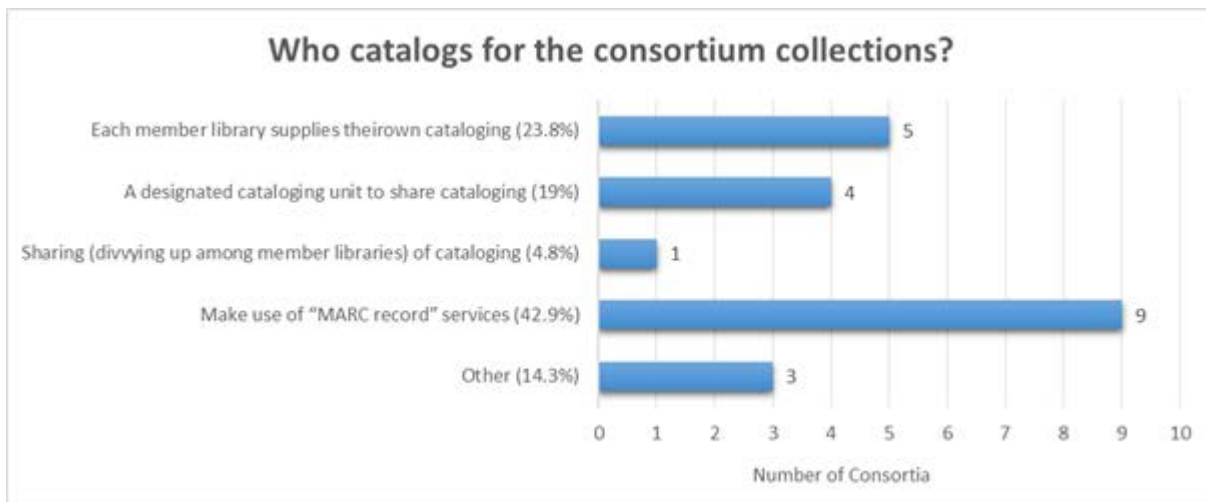Records are batch loaded and not touched by catalogers

Figure 2. Who catalogs for the consortium collections?

Question 7: What strategies/methods are used for cataloging?

Twenty-one consortia submitted twenty-six responses. See Figure 3 below for a summary. Sixteen consortia (76.2%) made use of vendor records. Twelve consortia (57.1%) made use of "MARC record" services (such as a Knowledge Base, Alma Network/Community/Institutional Zones). Ten consortia (47.6%) batch created MARC records. Nine consortia (42.9%) distributed

records to their member libraries. Six consortia (28.6%) selected "Other" and provided the following answers:

OCLC record sets to acquire MARC records, then scripted cleanup to bring them to a minimum level of quality

Original cataloging as needed (especially serials), enhanced copy cataloging, and batch editing

Databases are not catalogued. Content is made available by our discovery tool.

Perpetual items are supplied to by: Batch creation of MARC records and Copy cataloging via OCLC

OCLC, original cataloging

Original

It depends on the institution doing the cataloging; my library primarily uses MARC record services
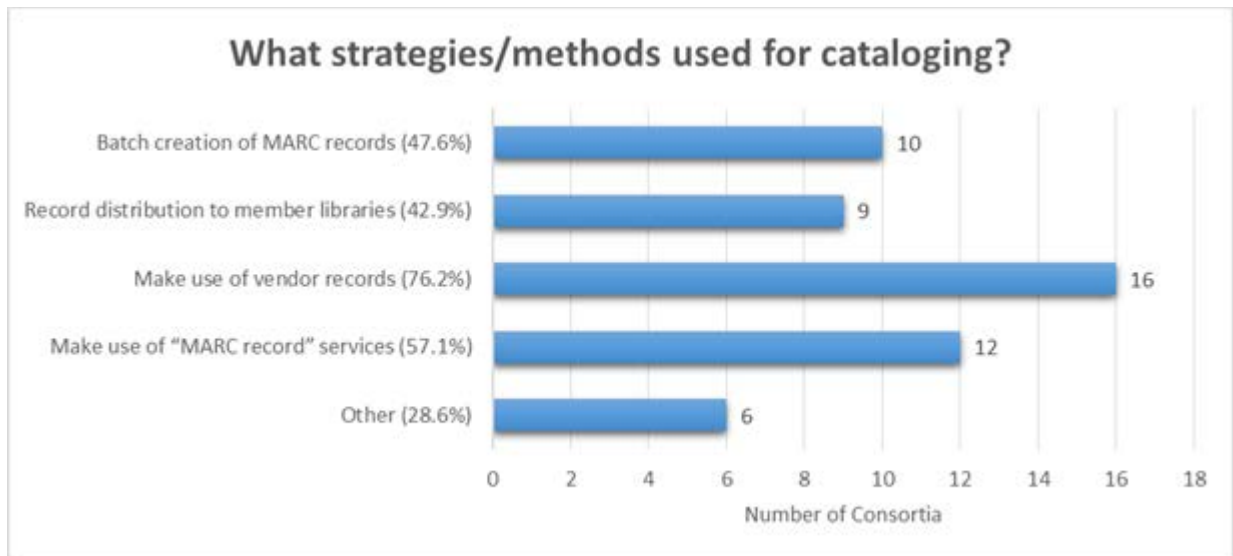

Figure 3. What strategies/methods used for cataloging?

Question 8: If records are cataloged, do you attach holdings in a utility (such as OCLC) to aid in resource sharing?

Twenty-one consortia submitted twenty-six responses. Only consortia that contributed cataloging for consortial collections responded to this question. Based on the responses, this question was not specific enough as to whether the responses addressed cataloging at the consortium level, individual library level, and/or even varied within the same consortium. Therefore, "yes" answers were counted only once. Overall, eighteen consortia (86%) attach holdings for resource sharing.

Table 3. Number of consortia who attach holdings in a utility (such as OCLC)

Response	Number of consortia
Yes	9
Yes in some limited situation, such as for shared e-books, or if in OCLC or contain OCLC number	3
Yes or maybe yes at individual library level, or not at consortium level	6
No	3
Total	21

Question 9: What about updating/maintaining catalog records?

Like question 8, only consortia that contributed cataloging for consortial collections responded to this question. Twenty-five consortia responded mostly "yes" but varied to a certain degree. For example, some consortia updated/maintained records at the consortia level and distributed them to member libraries while individual libraries at other consortia managed their own records. Some consortia depended on the source of records (either the content provider, or OCLC Collection Manager) for record maintenance and others maintained only collections in certain categories. For example, a few consortia disclosed that they don't maintain records for titles in subscription packages. One consortium relied heavily on their discovery tool, annual KBART lists, and maintaining the subscription on the discovery knowledge base to support record maintenance.

Question 10: How do you prioritize cataloging of resources?

Twenty-two consortia responded to this question and reported that they prioritize cataloging by consulting with their member libraries (if they are using a centralized cataloging model) or allowing individual member libraries to determine their own priorities. Following that, they prioritized cataloging based on a variety of factors including the number of participating members for a resource, perpetual content or licensed content over all other categories, on a first in first out basis, print before electronic resources, and/or batch loads first.

Question 11: If cataloging is not provided (for some or all collections), what strategies and methods are used to make resources discoverable?

Twenty-three consortia (including three that do not provide cataloging) responded to this question. Some strategies and methods for discovery are categorized in Table 4. Note that some consortia utilize a combination of the strategies.

Table 4. Strategies and methods used if collections not cataloged

Strategies and methods	Number of consortia
Rely on discovery tools	10
Link from library website (either list or to vendor's platform	6
Use OCLC KB	2
Use Link resolver	1
Provide MARC records to members to do as they wish	1
Others (all cataloged, cataloged licensed, N/A, etc.)	5

Question 12: What practices do you feel are most effective for providing access to your resources?

Twenty-four consortia responded to this question, touching upon many areas. See Table 5 below. The buzzwords "central" or "centralized" dominated concepts such as centralized metadata (without loading records into local system), central knowledge base, centralized services, centralized distributions, or central catalog. Some consortia emphasized the importance of the currency of knowledge bases for providing access to resources in library

catalogs and discovery tools. Several participants also pointed out the need to use multiple cataloging practices and services in combination to achieve the most effective results.

Table 5. Effective practices for cataloging for consortial collections

Most effective practices	Number of consortia
Central services, centralized distribution of records	3
Central KB and MARC record sharing services	8
Central catalog (inclusive)	4
Discovery service (connected to local catalog), Link resolvers	9
Vendor records, (improving quality)	2
Batch editing	2

Question 13: What are challenges/issues? What are opportunities?

Twenty-five respondents identified the following as current challenges/issues of consortial cataloging:

● Lack of cataloging staff/expertise at both consortium or local level; it's a challenge to keep up with large quantity of e-resources with very limited staff

● Lack of time, funds: significant time/funds invested in resources but lack of time/funds allotted for cataloging

● Some large packages do not get the same level of attention as other packages

● Issue with consortial catalog architecture; records must be loaded into individual local library catalogs

● Overlapping content or duplication of titles in multiple collections/sources

● The OCLC WorldShare Collection Manager is complicated and has a steep learning curve

● Inconsistent quality and currency of records in Knowledge Bases, or catalogs; the latest titles or contents are not always available

● Dependency on vendor records which often lack consistency in the quality of its metadata and compliance with standards

- Dependency on relevance ranking of discovery services

- Off-campus, VPN, and EZproxy authentication issues affecting user access

Twenty-five respondents identified the following as opportunities and advantages of consortial cataloging:

- Sharing of staff expertise and workload

- Sharing records

- Work with vendors to improve the quality of metadata in records and be able to insist better/more complete records as a condition for purchase

- Leveraging discovery service indices effectively

- Utilizing OCLC WorldShare to tag e-book holdings for resource sharing

- Improve cooperative cataloging in utilities such as OCLC WorldCat

- Opportunities to make more resources discoverable, more quickly with less cataloger effort in knowledge bases

Discussion

The survey results revealed five current trends in consortial cataloging.

Trend 1: As expected, the local library catalog is not dead yet! Twenty-two (88%) out of twenty-five consortia that systematically acquire licensed e-resources maintain that providing MARC records for the individual local catalogs in their consortium is important.

Trend 2: The MARC records that the consortia provide in their union catalog heavily favor licensed materials, especially licensed e-monographs, followed closely by licensed e-serials. Surprisingly, only half of the consortia supply records in their catalogs for e-journals from aggregator databases. Despite the increasing availability of the open access resources, cataloging for open access resources is handled on an "if requested basis." This may change, as more publishers expand their selection of open access journals and even switch previously licensed titles to open access status.

Trend 3: We found several approaches for consortial cataloging. While it is true that most of the consortia obtain their cataloging records from a MARC record service, there is a minority that uses the centralized cataloging and record distribution model. One successful centralized cataloging model is the Shared Cataloging Program (SCP) of the California Digital Library which is documented in the article *One for Ten* (also in this issue). The SCP catalogers in this model often use a variety of methods to acquire records, from batch loading records for e-books created through spreadsheets to providing the highest level of CONSER records for e-journals. Not reflected in the survey, one large consortium initially provided cooperative cataloging through the efforts of volunteer libraries within the consortium but due to budgetary cuts and lack of local staffing within the member libraries, combined with a large increase in e-book records, this consortium switched to using a centralized cataloging model. Another consortium moved from using volunteer member libraries to loading vendor records. It's possible that more consortia would adopt the centralized cataloging model if there was a standard formula for success. Though the initial planning process for a centralized cataloging operation can be daunting, it is essential for successful implementation and longevity. The member libraries must have good communication and be able to trust the output of the catalog record provider. Another possibility is the predictable decline of local libraries cataloging staff as resource budgets move into the electronic resources realm and is then moved into the orbit of the centralized operation.

Trend 4: Most institutions utilize vendor records in some manner. The majority of consortia (76.2%) make use of vendor records, 57.1% make use of MARC record services. The one glitch in the survey was that the term "MARC record services" wasn't well defined. Consequently, respondents lumped vendor records issued to accompany for specific packages and batches of records provided by all-encompassing record services such as OCLC or ProQuest in the same category. Respondents also used the term "MARC records services" interchangeably to refer to providers that supply all the MARC records needed by an institution

(complete or stub records), and even vendor records offered by jobbers such as Gobi Library Solutions. In either of these cases, the major advantage of using vendor or MARC records is the speed with which they are brought into the catalog. The problem with speed, however, is the fact that speed and stub (or skimpy) records often go hand in hand. Fortunately for libraries that attach their holdings to all their records (including vendor records) in utilities such as OCLC for resource sharing, complementary record maintenance services may be available for facilitating automatic record updates based on a library's individual profile.

Trend 5. Although three-quarters of consortia rely on vendor records, many of them agree that the most effective method of providing discovery and access for consortial collections is through some kind of "central" or "centralized" service, such as centralized metadata, a central knowledge base and MARC record sharing services, centralized distribution of records, and discovery services connected to a local catalog.

Conclusion

Based on the literature review and survey of consortial cataloging, it appears that more libraries and consortia are concentrating their efforts on consolidating their cataloging on a local level into services such as the OCLC Knowledge Base and the Alma Community, Network, and Institution zones. Meanwhile some of the challenges of using such a service or centralized knowledge base for consortia need to be addressed.

What is needed henceforth are more in-depth studies that shine the light on new and innovative ways of providing or maintaining batch processes for e-book records, both MARC and, increasingly non-MARC. The latter will be important as libraries move to Linked Data for bibliographic description. We also need more in-depth assessment studies to determine if the functionalities of knowledge bases and discovery services are meeting the functionality needs of consortia to effectively make their collections available for discovery and access at both the institutional and consortia levels. Lastly, best practices are needed both for consortial cataloging

and for managing consortial electronic resources in centralized knowledge bases. The library

community would greatly benefit from a set of best practices that can be used both by the

providers and the recipients of vendor records. The Program for Cooperative Cataloging vendor

guide, published in 2011, was an attempt to provide best practices in this area but it is out of

date. Fortunately, NISO has convened a working group to prepare a document on best

practices for e-books cataloging. It will be released for worldwide review in 2018.

Notes

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Appendix. Survey on Cataloging for Consortial Collections

1. The name of the consortium to which you belong _____

2. Does your consortium have a systematic way to acquire licensed and open access electronic resources?
   o Yes (If yes, please complete the next question)
   o No (If no, please STOP here and submit the survey. Thank you!)

3. Do your consortium collections get cataloged?
   o Yes (If yes, please complete questions 4-13, write NA for question 11 if not applicable)
   o No (If no, please SKIP questions 4-10 and complete the questions 11-13. Thank you!)

4. What categories of resources are cataloged? (Check all that apply)
   o Licensed monographs
   o Licensed serials
   o Aggregator packages
   o Databases (single)
   o Databases (with analytics)
   o Open access monographs
   o Open access serials
   o Other: _____

5. Do you provide an avenue for bibliographers to request cataloging of open access resources, either single serials, or open access packages?

6. Who catalogs for the collections selected by the consortium?
   o Each member library supplies their own cataloging
   o A designated cataloging unit to share cataloging
   o Sharing (divvying up among member libraries) of cataloging
   o Make use of "MARC record" services (such as Knowledge Base, Alma Network/Community/Institutional Zones)
   o Other: _____

7. What strategies/methods used for cataloging? (Check all that apply)
   o Batch creation of MARC records
   o Record distribution to member libraries
   o Make use of vendor records
   o Make use of "MARC record" services (such as Knowledge Base, Alma Network/Community/Institutional Zones)
   o Other: _____

8. If records are cataloged, do you attach holdings in a utility (such as OCLC) to aid in resource sharing?

9. What about updating/maintaining catalog records?

10. How do you prioritize cataloging of resources?

11. If cataloging is not provided (for some or all collections), what strategies and methods are used to make resources discoverable?

12. What practices do you feel are most effective for providing access to your resources?

13. What are challenges/Issues? What are opportunities?